Sector Network for Rural Development
Regional Learning Workshop:

Managing Change in the Delivery of Rural and Extension Services at District Level

Polokwane, South Africa, December 8 - 14, 2003

Through BASED (Broadening Agricultural Services & Extension Delivery) with:
Sector Project Knowledge Systems in Rural Areas
Agricultural Extension Services Project, AES, Malawi

Regional workshop

Managing Change in the Delivery of Rural and Extension Services at District Level

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GTZ Sector Network for Rural Development (SNRD)

Contact: Klaus Pilgram, SNRD Coordinator

Pretoria, Republic of South Africa

Tel.: +27 12 34 23 53 7 / Fax: +27 12 34 23 51 0

E-mail: klaus.pilgram@gtz.de

www.gtz.de/snrd

This report is the full documentation of the 2003 SNRD learning workshop held in Polokwane. It is meant to be a reference document for all participants and intends to provide transparency. Almost all results from the working groups and plenary sessions are documented here. The author would like to thank Willy Ehret and Paolo Ficarelli for their patient advice and explanations, Mathias Braun for advice and proofreading and Rebinah Sasa for tirelessly typing many charts.

Text and picture documentation/layout: Vera Greiner-Mann

(in the table of content: G = Group involvement; I = external input; F= feedback; O= organizational issues)

Use of colours: lenghty quotes (discussions)   tasks issued by facilitators

information boxes   working groups' contributions

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Starting with the demand side: Voices from participants

In the following, much will be presented about adapting services to the demand. The series of 'open workshops' initiated by SNRD Africa faces the same challenge with ever new 'generations' of extensionists within its ranks. But what *are* participants' demands? Here are some voices:

"One has been working for some time, but there are things which I never really thought I was doing them correctly. This workshop has helped me to realize that managing service delivery really is the key factor in development. And I'm also quite impressed about the excursion that we had, to realize that for development to go on, all the people, the stakeholders *are there* to bring change: For progress, the communities need us - and we also need *them*."

"When I came here I really felt well-organized and well-oriented, and when the course started it was confirmation of things I know. But yesterday I realized: Now I'm really developing. So I think this was a very worthwhile course, presented in a way that it challenges how you use to perceive and do things. And now, with another window, you're looking at things differently."

"What struck my mind is the big responsibility on us as managers to go back to our countries and implement a thing like this and make sure that we really do what we are talking about. And I think that's the big challenge that I face."

"When we started I thought we were not doing the same thing as other countries. But as far as we go I realized that we work together and do almost the same thing. I understand that the roots are really here in Limpopo. When we compare the inputs we give and the inputs from other countries: Really the roots, it seems, are coming from Limpopo."

"Speaking about the environment of the workshop: As I can see, the way it has been organized and the way each issue and each thing has been put in place – especially by the facilitators: It's a new input for me. Because maybe all of us are facilitators also, and we are doing facilitations in our countries. So I'm still looking for these things carefully because we *have to* take notice of them."

"What I have noticed is that attending workshops of this nature cheats one to say: 'Now I know everything' - until the right question is asked which stimulates the thinking to go deeper. And this is what happened to me throughout this conference for the past three days."

"In my case I feel great, especially in my background as a protectionist. I'm not really tuned in much with extension. But my short stay here has revealed that at the community level there are some factors that must be in place to enable the people to mobilize themselves and to articulate their demands – not only *demands*, but *quality demands*."

"Because it may be the last time for me to attend this workshop I feel very privileged to be present in this room. Maybe I should first start referring to Joe's presentation of that hut which had no windows. Really, when I was coming here maybe I was inside that hut. But now I think that hut has some windows which are assisting me to at least make comparisons or to make additions to what I already know. I think the experiences shared here in this room will make my work much easier now because I think I've gone to the basic roots."

"Through this workshop I can now see the gaps with approaches that we have been using. When I'm experiencing what I'm learning here it gives me a confidence to know there are certain things you have got to achieve. As the result of learning all these aspects I think that I'm changing in the approaches that I've been using."

The 2003 Workshop

"Change is painful. But we need willingness to embark."
Paolo Ficarelli

Within the complex system of public service provision for rural development, extension managers in public administrations and/or agricultural programmes hold a key position. At the crossroads between policies and implementation in the field (extension workers), they are, as decision makers, confronted with complex shortcomings in communities, heterogeneous target groups and intersecting competences of public and private players. In the face of institutional reform and a changing economic and social environment and with clients who themselves are encouraged to continuously develop new skills and capacities, they need to administer, but at the same time to re-orient and modify their working approaches. To achieve in this, a structured and systematic approach to assessment and implementation is of great value. It eases procedures, avoids isolated interventions and duplicities, thereby rendering efforts sustainable and efficient. The *Service Delivery Framework* offers such a model. It helps keep the overview of stakeholders and duties, obtain a clear picture of clients' demands and propose action to the right stakeholders within certain, distinctive levels of intervention. With this compass in mind, any new situation can be analyzed and relevant operational plans for rural development be elaborated that are fine-tuned to meet the demands, correspond to reality and are supported by the policy framework.

The workshop "Managing Change in the Delivery of Rural and Extension Services at District Level" outlined the claims and concept of the Service Delivery Framework. The principles were then transferred into practice: The partaking extension managers developed concise action plans to address specific challenges back home.

08th –14th December, 2003

The Ranch Hotel Polokwane, South Africa

35 participants, 5 facilitators, 2 support staff

A heartfelt "Hello" by Joe Ramaru

"We believe that to improve implementation strategies for service delivery to rural communities it is extremely important to create networks between managers, and practitioners working on the ground."

Paolo Ficarelli about SNRD

Blossoming garden at the entrance.

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"The vision of
self-reliance is fine
but it needs
to be facilitated
for the people to
realize: What does
it mean? and to
become alive."

Joe Ramaru

Monday, 08th December, 2003

1. Opening and setting the stage

On Sunday, 7th December, the facilitating team and most of the 27 participants from five African countries – Ghana, Malawi, Mozambique, Namibia, South Africa – arrived at the Ranch Hotel, Polokwane. (Polokwane, the former Pietersburg, capital of RSA's Northeastern province of Limpopo, was renamed in 2002.)

On Monday morning, 8th December, a first summoning prepared the ground for the work atmosphere and working conditions of the week to come. Guiding questions were: "How will the workshop be organized? What to expect? How are we going to work together?"

Chart 1: Day's programme Monday 8th December

That day, the schedule was put into practice as follows (right):

"The only way of transmitting know-how is that the people embark on the same learning process as we went through for seven years."

Paolo Ficarelli, Project Advisor BASED (GTZ)

- **opening and welcome**
- introduction
- **programme overview**
- **organisational issues**
- **preparation for country presentations**
- presentation Ghana
- presentation Mozambique
- **intermediary summary**
- presentation Namibia
- presentation South Africa

1.1   Welcome address by Senior Manager Ephenia Kganyago

Ms. Ephenia Kganyago, Senior Manager in the Vhembe district, 190 km from Polokwane, officially opened the workshop on behalf of the Limpopo Department of Agriculture. She outlined the administrative structure of the province: Limpopo, which borders to the neighbouring countries of Mozambique, Zimbabwe and Botswana, comprises six districts. Each district is again divided into municipalities which are headed by municipal majors. The municipalities try to work together in the development of programmes. Clients of the 2,500 staff of the Vhembe district's administration are the between 50,000 and 100,000 smallholders in the area.

According to Ms. Kganyago, the Department focuses on poverty alleviation (reduction of families dependent on welfare). Its strategy is to concentrate on the following "key priorities":

- restructure formerly government-owned assets: Previously state-run farms are made available to communities. The government supports farmer-to-farmer services and endorses commercial farming as an important source for local jobs;

- land reform: a comprehensive programme aims at increasing private land-ownership (smallholders), provides access rights to disadvantaged coloured people, fosters agricultural land development;

- poverty eradication (with aid from international donors): e.g. income-generation, in cooperation with Department of Social Welfare

- human resources development for staff and clients (i.e. farmers).

As an institutional challenge to her administration, Ms. Kganyago emphasized an increasing interdepartmental and municipal collaboration and cooperation with the educational sector (colleges). A cross-sectoral integrated development plan (IDP) is in preparation to involve all governmental services including extension.

**Ephenia Kganyago, Senior Manager
in the Vhembe District**

"We all know that there is nothing you can do in agriculture unless you have land. You need land ownership to promote agricultural development."

Ephenia Kganyago

"People cannot do things if they are not knowledgeable, if they don't have the expertise or the capacities."

Ephenia Kganyago

Concluding, Ms. Kganyago expressed her pleasure to share experience in the conference and emphasized she hoped to win insight into how programmes could best be integrated. She expressed her gratitude to SNRD for sponsoring, hosting and co-organizing the workshop and wished everybody a fruitful exchange.

Then Joe Ramaru, PEA/PDA trainer of the Limpopo Department of Agriculture and BASED Programme Manager, presented the day's programme (chart 1). To make the participants familiar with each other, he suggested a sociometric lines exercise.

"Challenges is more than another word for 'problems': Challenges are problems that can be turned into opportunities."

Mathias Braun

1.2 Introduction: Personal encounter with colleagues from next door

As a warm-up and as a chance for participants to make a personal encounter with their colleagues at an early stage, the participants were asked to gather in groups according to different criteria (*right*).

In a lively, laughter-provoking hustle and bustle people got themselves sorted out and took position in the room.

In the local greetings part, the participants' different backgrounds made for some colourful and cheerful presentations. Facilitators Mathias Braun, Willy Ehret and Paolo Ficarelli found themselves belong to different cultural environments and regions – according to their longstanding commitments in various parts of the continent.

A second and third grouping revealed a) the operational level on which each participant exercised their professional work (national, intermediary, field), and, b) the participants' personal experience in agricultural extension.

The results by numbers:

● = one participant (out of 20 participants at the time of the exercise)

Participants' introduction

Group together country-wise and position yourselves within the room:
If this is North, and the room is the map of Africa, where do you come from? Then:

- **Greet us as a group in your local language.**

- **Tell us your name, your roots and how you want to be called in this workshop.**

- **Tell us more about yourself.**

"The 'Differentiation Exercise' (sociometric lines) is a good instrument for allowing the participants to perceive themselves as a group and mobilize them physically."

Willy Ehret

Which country are you from?

Ghana	Mozambique	Namibia	South Africa
●●●	●●●	●●●●●	●●●●●●●●●

On which level do you carry out your professional work?

National / suprasectoral	Intermediary (province, district)	Field (e.g. frontline extension officer)
●	●●●●●●●	●●●●●●●●●●●●

It was observed that in some cases the levels were intersecting, i.e. that in practice there was a continuum rather than a strict division.

The participants were then asked to think about "As I am at my place, what do I need from colleagues working at other levels?" Typical answers were:
"We want to know what *they* need." (Intermediary level from field level)
"What can we do for them [district managers] to become stronger? What can be done from our side?" (National level from intermediaries)

Mr. Ficarelli remarked that the participation of practitioners from different operational sectors in the workshop secured that the whole chain of service delivery would be represented: working environments and challenges of all levels of the public service chain would become transparent.

How would you rate your experience in decentralization and service provision?

Lots / middle	Low	None
●●●●●●●●	●●●	●●●●●●●●●

Joe Ramaru took this set of clusters as a starting point to reveal the participants' respective expectations from the workshop. Each cluster was asked to pin down their expectations on 5 cards.

Paolo Ficarelli clustered the cards. The expectations related to all stages of the rural service delivery chain.

Mr. Ficarelli emphasized that such cards as 'better planning' or 'communication linkages' clearly revealed gaps in the delivery system which participants experienced in their daily work. In practice, such gaps hampered what would be, in ideal, the precise articulation of needs by the micro level, and an adapted support from all other levels.

What are your expectations from this workshop?

Chart 2: Expectations from the workshop (3 x 5 cards).

Mr. Ficarelli highlighted three requests/expect-ations which would receive special attention in the workshop:

- How to develop user-friendly systems ("practical tools") for rural development?
- What to monitor and evaluate?
- How to support know-how and store our ex-perience?

Joe Ramaru suggested a short exercise to en-able everybody to get to know each other from a more private angle:

Emily Handunge shared an observation from Namibia: In a move to introduce an animal-drawn technical innovation, imported material from Mozambique was used to demonstrate the benefits to farmers. But as soon as farmers were eager to utilize the device it was observ-ed that all further material would have to be imported from e.g. South Africa, which no one was really ready to do. For the moment, Ms. Handunge as well as the plenary deferred from any commentary or analysis but the partici-pants were encouraged to continue with that sort of exchange throughout the workshop.

"We cannot work tomorrow if we have not planned today."

Paolo Ficarelli, commenting on the two planning-related cards

In teams of 5, share an important experience either to remember, either to tell or to forget.

Sharing of experiences continued in discussion rounds.

1.3   Joint establishment of values and guiding principles

To pave the way for some common rules of conduct Paolo Ficarelli took to some out-of-the-ordinary exercise: He presented some "strategies to survive a workshop" or recipes against workshop fatigue ("*workshopitis*"), as he named it (not to be taken too seriously):

In groups of 4, identify 3 top strategies you have seen other people adopt during workshops to <u>ensure they participate as little as possible</u>.

Ideas from the plenary:

- Avoid responsibility: E.g.: "I can't write because my handwriting is bad"
- Not involve everyone in the group
- Be dominant, which scares off other people

Facilitators' "suggestions":

- Sit on the fringe, hide behind others
- sit in the toilet
- dress drably and be invisible
- arrive late in the group

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- Use mobile phones, have to go to the toilet all the time, sneak out, not respect the timetable
- lack of interest
- poor organization (by facilitators)
- not deliver messages attractively
- total withdrawal: E.g.: "I have an important business to address"
- in a formal sitting arrangement, someone can just sneak to the back and not partake at all.
- pretend to be ill or sick

- if forced to speak:
  - present the clueless self ("Sorry I didn't understand your question" or call on others "I'm not an expert in this. I'm sure him or her knows more on this topic.")
  - mumble, statter or look downwards
- keep your cellphones open
  (at this moment Paolo had himself called on his cellphone by Joe)

Back to serious, Willy Ehret took over (right):

In groups of 5, think about what should be the guiding principles and values we want to stick to for the time of the workshop (4 cards).

These were the results on the 'value board':

Respect each other's views
- Respect for each other's inputs
- Appreciation of colleagues' views
- Respect each other' views

Time consciousness
- Punctuality
- Time management

"Yet it is important not to stick to the time schedule when a discussion is worth continuing."

(P. Ficarelli)

Felicia Ansah-Amprofi attached the "Values" cards.

Team work
- Full participation

Switch off cell phones
- Cell phones off

Respect
- Accept others' opinions

Other
- Professionalism (Open and technical)
- Listen to arguments
- Too many energizers put you off

Paolo added some "guiding principles for ourselves as well as for the participants":

- **Everybody is a resource person**
  "Nobody knows nothing, nobody knows everything."

- **Openness and feedback**
  "Minds are like parachutes: They work better when they are open."

- **Adult learning**
  Learning by doing

- **Flexibility**
  "Better be roughly right than completely wrong."

- **Shared responsibilities**
  "This is YOUR workshop. We are only the facilitators creating the environment to exchange experience and learn."

- **Readiness to accept new things**
  "Someone once said: The biggest obstacle to my learning has been my education."

- **Appreciative attitudes**

- **Respect for each person**

- **Readiness for change**
  "What for the caterpillar is the end of the world, the rest of the world calls a butterfly."

- **Confidentiality**

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Now Joe Ramaru came up with the following proposal:

Among others, the following titles/nicknames came up: Manager, Boss, Bwana, Doctor, Uncle, Professor. Asked whether they would like to add their titles on their tags or do away with them, the participants jointly voted for the latter and decided not to use their titles during the workshop.

"The professor belongs to the dustbin."

Joe Ramaru, resuming the plenary's reactions.

1.4   Overview of objectives and workshop programme

In the next step, the participants and facilitators agreed on the workshop objectives and the tentative workshop programme.

In a short flashback Willy Ehret first explained how the workshop series had come into being.

The series had started from three workshops in participatory extension methods in 1997, 1998 and 1999.
By 2000, practitioners desired to transform the framework into an operational training environment. In its contents, the workshop should focus on specific implementation strategies.

So, in 2001, the then topical issue of decentralization processes was taken up in the first training workshop. In 2002 the focus was put on decentralized extension delivery systems in districts. Implied was a shift from mere production issues (livestock, irrigation, horticulture) to the whole of the value, production and marketing chains: Farmers' organization, the range of necessary inputs, marketing, book-keeping, commercialization).

"Now, in 2003, our workshop is to advance and deepen our understanding of such decentralized extension delivery systems and to identify new challenges we must address in order to advance." (Wily Ehret)
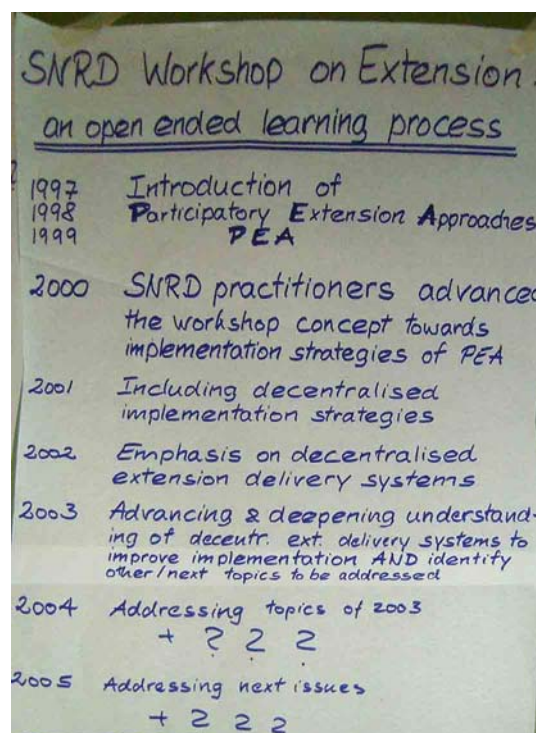

Chart 3: Review of the workshop series

Willy Ehret also read the overall objectives of the workshop as they were pinned down on a separate chart. The participants agreed that the set objectives matched well with their expectations.

Then he took to the concept of an experiential learning cycle – "learning as an evolutionary process" instead of learning according to a fixed, pre-set agenda. The aim is to generate and further develop innovative solutions to the challenges participants face in their daily work and to foster the initiative and the commitment to try out new ideas.

The workshop approach provides for a step-wise evolution of knowledge and practice in an "open-ended learning process", as illustrated in the learning cycle. It implies starting from first-hand experience, and, after analyzing the experience, moving from conceptualization to operationalization. By distilling, from the specific experience, essences/lessons that are generally applicable, practitioners are enabled to transfer the gained insights to their given situations. As soon as a new operational plan is put into practice in their respective situation, continuous monitoring is needed to ensure that the new experience can be further processed within a new loop/ cycle of experiential learning.

Mathias Braun outlined the workshop flow (general sequence of the workshop modules, which were diligently interlinked with the hotel's conference catering). The tight schedule demanded from all participants to be well organized, Paolo Ficarelli reminded.

The daily schedule:

- Morning modules, interrupted by a tea and coffee break
- joint lunch
- afternoon sessions
- supper.

Every morning was to start with a feedback on the day before (Chart 6): "what we have learnt, what went right and wrong: the main issues".
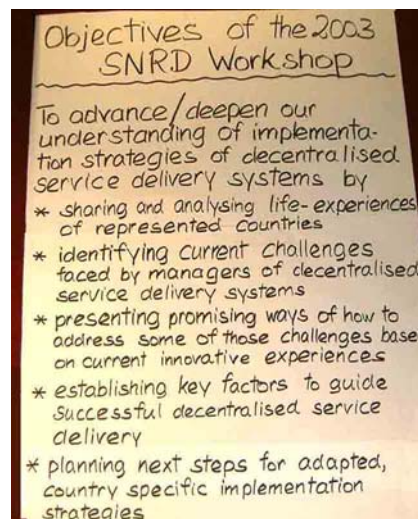
Chart 4: Workshop objectives

Chart 5: Experiential learning cycle

"I feel great I've been here. It has been really a good experience meeting people from other countries, integrating and sharing experience about each other's country. But the other thing I have noticed is that learning is really a life-long experience. And sometimes learning can be a bitter experience. Because there will be some ups and down as we are learning. But then the rewards you get after that will give you a long-term, life-long joy and excitement as you now start to understand what is going on. I mean: We attended this workshop last year. I thought maybe we were supposed to come up with solutions to the questions that were asked last year. But we found ourselves still going, needing more in order for us to deepen our understanding. So it means it is not an on-off-thing, and then you can say: I know everything. You just have to continue to learn and learn and learn and learn. After that your understanding will be deepened."

(*Participant, resuming the workshop 2003*)

Mathias Braun explained the tentative pro-gramme in detail, emphasizing the following procedure:

- Collecting material (countries present their cases, important country issues)

- 1st group work on country presentations

- Presentation of clustered issues

- Major input on service delivery frame-work (derived from the previous work-shops) → "= framework for our work"

- Case studies on demand side of delivery

- Group work on factors: How can de-mand be identified and organized

- Clusters: Extracts from the findings (main points)

- Collect material from case studies and own experience, process it and try to subsume experience by forming clusters

- Preparation of field trips to BASED pro-ject sites

- Input: case studies on response

- Group work

- Input on the next level: Support

- Friday: Group work, presentation, clusters (the three levels are brought together)

- The results are formulated into guide-lines for service delivery framework "to gain a strategy for implementation from our own experience and input"

- Work on HIV/AIDS to see how such in-tervention can fit into the service delive-ry framework

- Videos are available; in the evening a typical South African barbecue was scheduled

- Saturday: establishment of country plans (how to shape the service delivery framework into a concise strategy at home)

- Evaluation and closing of workshop

The programme as a matrix:

Chart 6: General programme layout

"Looking back – comparing – learning."
Willy Ehret

Mathias Braun explained the schedule.

Willy Ehret (left), with colleagues from RSA, Ghana, Namibia and Malawi.

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	Monday	**Tuesday**	**Wednesday**
8h00 – 10h00	Registration • Introduction • Setting the scene	Feedback • Presentation of clustered issues from country presentations • Input: Service delivery framework	Feedback **Field exposure** to district municipalities
Tea break (20 min)			
10h20 – 13h00	• Workshop organization • Preparation for country presentations • Input: Feedback	• Case studies on demand • Role play • Group work: reflection on demand	contd.
Lunch break (1 hr)			
14h00 – 15h30	• Country presentations	• Group work: reflection on demand contd. • Presentations • Establishment of clusters from demand • Balloon Code 1	**Field exposure** to communities and farmer groups
Tea break (30 min)			
16 – 17h30	• Country presentations	• Preparation for field trip	contd.
Supper			

	Thursday	**Friday**	**Saturday**
8h00 – 10h00	Feedback • Processing field exposure • Additional challenges discovered	Feedback • Group work on support • Presentations • Establishment of clusters for support	Feedback • Country groups: back home action plans
Tea break (20 min)			
10h20 – 13h00	• Case study on Responsive Service Delivery	• Balloon Code 2 • Guidelines for service delivery	• Workshop evaluation • Closing ceremony
Lunch break (1 hr)			
14h00 – 15h30	Shopping in Polokwane	• Establishment of gaps and supporting measures	
Tea break (30 min)			
16h00 – 17h30	• Group work on response • Feedback exercise • Case study on support	• HIV/AIDS interventions in the service delivery framework	**The tentative workshop programme**
Supper			

After Willy Ehret had sketched the workshop objectives Paolo Ficarelli explained how these objectives would be reached in the workshop (methodology).

According to Paolo Ficarelli, a careful situational assessment/analysis is the basis for efficient action in practical extension work.

Analysis was also to play a due part in the workshop. Starting from empirical material – the participants' experiences in managing service delivery in their countries – the so-called "funnel" was to secure that this 'raw material' was systematically filtered. At the end certain distilled 'lessons' or guidelines were to be gained which then could be applied under different yet comparable circumstances (see chart 7).

In the course of the workshop every stage of the learning process was to bring about a definite result, which was the basis for further development.

As such, Chart 7 repeated the rather abstract learning cycle of Chart 5 – but unfolded it into a vertical, chronological sequence of steps with concise results according to the workshop's aims.

Mr. Ficarelli put a special concern on the strategic guide for implementation (cf. step 5) to be gained from this didactic method:

"Because the city of rural service delivery is very complex it is necessary that we have something like a map - like in a new town, where we must decide from which street to go to which."

Didactically, the 'funnel principle' again served as a "guide on HOW to advance and deepen our understanding" [of a functioning service delivery chain], Paolo Ficarelli explained.
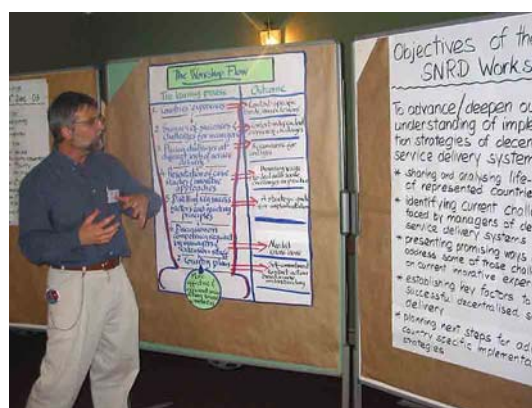
Paolo Ficarelli explained the "funnel".

Chart 7: The workshop flow – *left*: the funnel

"Practitioners are glad not to receive objectives only (such as halfing poverty by 2025) but also guidelines. They always think: That's very nice to do – the problem is HOW to do it."

Paolo Ficarelli, referring to the necessity to make PEA methodology operational and to draw guidelines from the workshop.

1.5 Workshop groups and committees

To ensure that the workshop matched the participants' needs and sticked to their specific situations, bodies for co-steering and monitoring the workshop were formed.

A **process steering group** was founded to gather feedback from the participants on the content and process of the workshop. The group was joined by one member of each country present at the workshop. Together with the facilitators, the five members reviewed every day's process at the end of the afternoon sessions. Then the agenda for the following day was adapted according to the objectives and the general group dynamics.
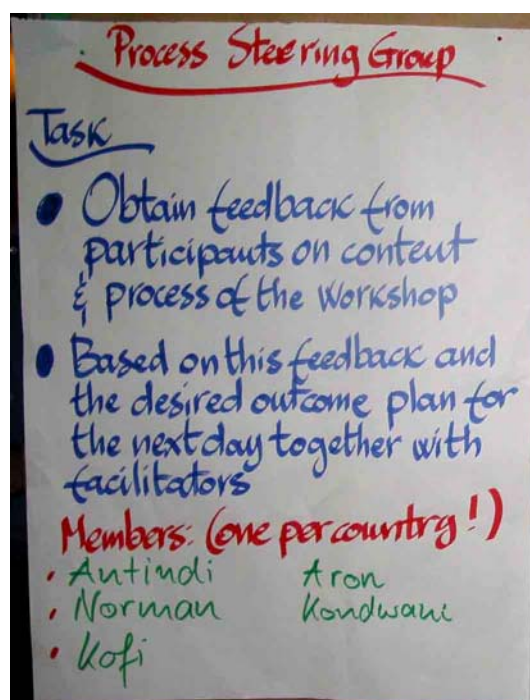
Chart 8: Process Steering Group: tasks and members

To help the plenary and facilitators keep track with the day-to-day advances in the programme, five feedback groups were established. They were to give a brief summary of the previous day – if possible in a lively manner that was suited to wake people's spirits early in the morning…

This was the sequence of volunteers:

- South Africa were the first to perform on Tuesday,
- Malawi turned out to be next,
- on Thursday Ghana took over,
- Friday was Mozambique's turn,
- and Saturday was introduced by Namibia.
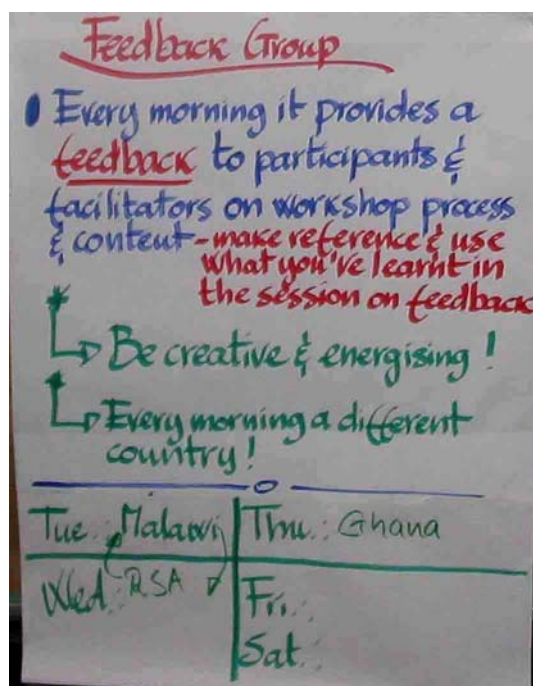
Chart 9: 'Job description' for the Feedback Groups

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From the participants, Felicia Ansah-Amprofi, District Director of Agriculture, Ghana, volunteered as a contact person to assist in all matters of accommodation and logistics, health etc. She formed the Wellbeing / Housemanagement Team together with the "pillars of the workshop organization": assistant Phuti Mphawele and secretary Rebinah Sasa, who took care of changing money, ticket confirmation and transport.
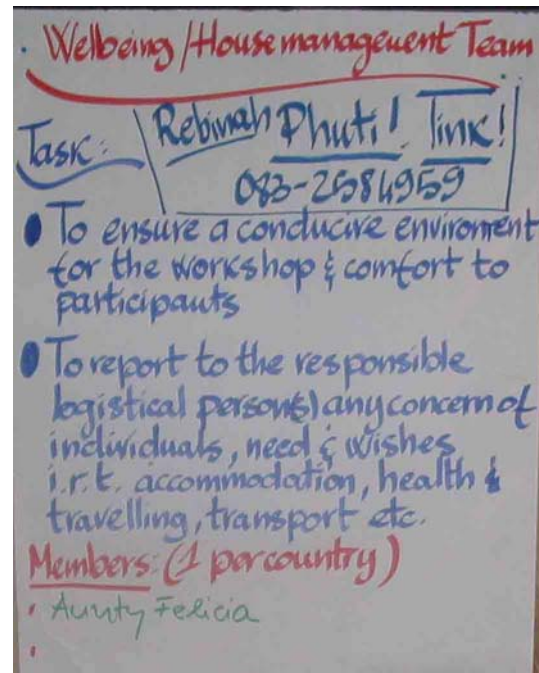
Chart 10: the Wellbeing Team

2. Collecting data on international success and challenges

Just as its predecessors, the 2003 workshop relied on country reports as a starting basis. In the reports participants could reveal key experiences in managing service delivery in their countries. With participants from five historically and administration-wise quite different countries the workshop offered a rare and generally appreciated opportunity for an intense supranational exchange, just like in the years before.

Within the workshop rationale, the country reports served several purposes at a time: a) They revealed the respective national framework for public services and the participants' working environment. Thereby each report helped the facilitators assess the respective country representatives' specific situation and verify their training needs. b) They enabled fellow participants to compare their situations and to draw conclusions. c) They enabled the facilitators and plenary to base their exchange and discussions on real-life cases and to refer to current, first-hand information, which kept the workshop up-to-date.

A short handout in each folder (above right) helped the country teams structure their reports.

In arranging their presentations every country group already started a first situational analysis. The results were presented to the plenary for discussion – so that listeners could already grasp some answers to certain own recurring problems.

GUIDELINES FOR COUNTRY PRESENTATIONS ON DECENTRALIZED SERVICE PROVISION

1. **Describe your service delivery system:**
   - institutional framework
   - who are your clients
   - who else provides services to your clients
   - what finance mechanisms for service provision do you and others use

2. **What are the new approaches/ trends that you are involved in to improve services in your districts?**

3. **For you as managers:**
   - what are the successes so far?
   - what are the challenges (i.e. difficulties and opportunities)

4. **Any other information / experience / lessons you want to share with the workshop participants**

The presentation should be on flip charts and take around 15 min. Another 15 min. are for discussion.

"We can learn from the failures as much as from successes. There is no failure at the end if we can process it and turn it into an opportunity."

Willy Ehret

"Let's apply the instrument of 'facipulation': facilitation and manipulation…"

Willy Ehret

2.1 Country presentation Ghana

Institutional framework

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                          │   Minister   │
                          └──────────────┘
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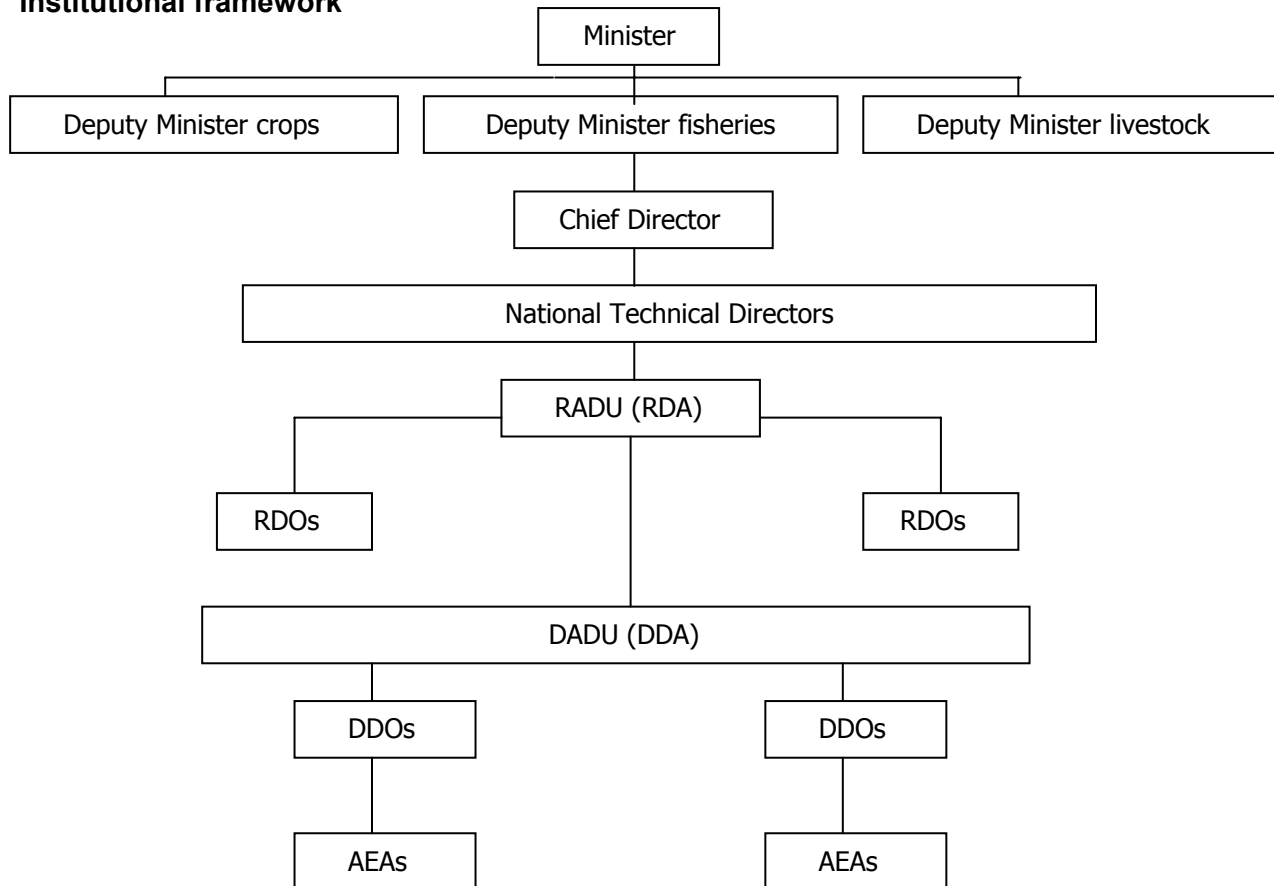
RADU: Regional Agri-development Unit
RDA: Regional Director of Agriculture
RDO: Regional Development Officers (for crops, fisheries, veterinary, livestock etc.)
DADU: District Agri-development Unit
DDA: District Director of Agriculture
DDO: District Development Officers (for crops, fisheries, veterinary, livestock etc.)
AEA: Agricultural Extension Agents (frontline staff), supervised by District Development Officer

Clients

- Farmers
- Processors
- Traders
  - for domestic markets
  - for exports

Other service providers

- NGOs
- Farmer associations (e.g. pineapple)
- Financial institutions
- Department of cooperatives
- District assemblies
- Research institutions/ universities (existing cooperation: farmers sent to institutions to ask for technical advice)

Ben Frank Amponsah, Regional Development Officer for plant protection, explained the chart.

Finance mechanisms

- Multi-donor (World Bank) fund (AgSSIP: Agric. Sub-sector Services Improvement Programme): main support in the form of vehicles, project money etc.
- Government of Ghana (GoG)
- NGO
- Other donors: GTZ, FAO, DFID and DANIDA

New approaches

- From centralized to de-centralized service delivery:
    - Decentralized planning at district level involving stakeholders: "We have involved all people in the agricultural sector. The district committees are the executive meetings: here almost all involved in agricultural activities come together and plan for the district. Those involved know exactly what is happening; top-down approaches are replaced by participatory measures. We also have farmer groups."
    - RELC: Research-extension linkages at regional level
    - Decentralized budgeting with resource allocation to districts: "Today budgets are directly handed down and this is more efficient."
    - District assembly agricultural sub-committee
- AEAs allocated operational areas, supervised by DDOs under overall management by DDA.

- Pluralistic extension with PTD & E (Participatory Technology Development and Extension) being the most recent approach (see also Chap. 6.6)

Successes

- Plan and implement activities of relevance to farmers
- Reduced bureaucracy in accessing budgetary allocations.
- Linkage with local/ district authorities strengthened
- Research tailored towards farmers' needs (RELC)
- Capacities are built based on identified gaps, e.g. training needs
- Improved interaction between MoFA (Ministry of Food and Agriculture) staff and clients

Challenges

- Managing change: "It is very difficult to change people who have their minds set already."
- Ability to motivate district extension agents for commitment. "There is an advantage: The supervising DDOs are directly present in the district. Extension approaches were developed and staff trained. But due to accommodation problems some agricultural extension officers are still far away from the communities."
- How to integrate post-production management and marketing into extension delivery
- Strategies to sustain strong farmer groups
- How to mainstream emerging cross-cutting issues such as HIV/AIDS, gender and environmental issues into extension delivery

Extracts from the discussion:

Q: "I think one of our critical points at district level is: What are the arrangements to ensure better **coordination between different service providers** such as district and local authorities and research and extension. They are part of your success factors – but are there also challenges?"

A. "Yes. The institutional framework is basically the perspective of the Ministry of Food and Agriculture. But when you get at the district level there are more players than the Ministry. We have NGOs and also commodity-based service providers (e.g. cotton). All these different service providers tend to have a bit of impact on service delivery at district level. But most of them come out with not necessarily the approach the MoFA is using but other approaches. So a conflict of interest is possible – for instance organization A wants a participatory approach, organization B has an approach from the past (e.g. packages of pest management) which counters what has already been initiated and accepted by the farmers. The challenge is to

Kofi Biney, Extension-field Coordinator, Ghana, (centre) answered lots of questions.

coordinate and manage these different approaches of extension delivery and decide which option is appropriate at which level and for which farmers' activity."

"Another issue **is linkages between the Department of Agriculture and local authorities**/ district authorities:
With decentralization power has been pushed down from the top to the district level. And there the authority that manages all issues in the district as far as government positions are concerned is the district assembly. They have the power. The Ministry of Agriculture also has been decentralized. And by that we mean that the ministry has to link up with district authorities. Before the decentralization MoFA didn't have its place in the district matters. Decentralization gave MoFA a steady place in the district assembly. And now under the district authorities there are various sub-committees. Within the district assembly we have agric sub-committees (health, environment etc.). The district agriculture sub-committees serve the interest of agriculture in the district and by so doing they shape the committee mission and influence the policy set-up. The committee can push ahead the interest of agriculture as a whole including also extension. And as an institutionalized link, the District Director is a member of the district agric sub-committee."

"Concerning the RELC (research-extension linkage): Formerly in Ghana the Ministry of Agriculture or MoFA was not present in research planning as the research institutions do not fall under the Ministry of Agriculture. So there wasn't much linkage between all the research systems and the Ministry of Agriculture. The first extension linkages were initiated by a World-Bank-supported National agriculture extension project. But then we divided Ghana into five zones with presumably similar problems. In these zones, the district staff and farmers would come meet and discuss problems. In a second step extension was to be carried out and feedback given to MoFA. But as it went on a few challenges came up: It was realized that the reform plan did not address farmers at the district properly. It had even to be decentralized further. So that now we have regional extension linkages and district extension linkages. The concept is that the plan brings together research, farmers and staff to think through: What are the main issues, the problems, the potentials? From there the real issues, the needs of the farmers are identified and the researchers can react to the challenges. This system still needs to develop, but with this slight change of decentralizing the whole process there is a bit of improvement and it is likely to work."

"I think not only Ghana but many developing countries have suffered from dependence on the World Bank support, which still comes under certain conditionalities. And the big issue there is that sometimes the money is injected into the system, and it runs for some time, and when the money is taken out the system is in danger."

2.2   Country presentation Mozambique

Institutional framework
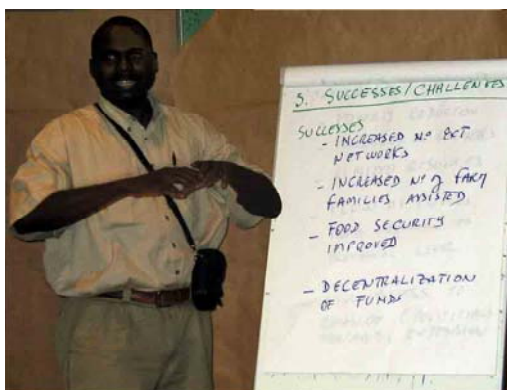
Mario Luis Cossa Norman, Assistant Advisor of Agriculture
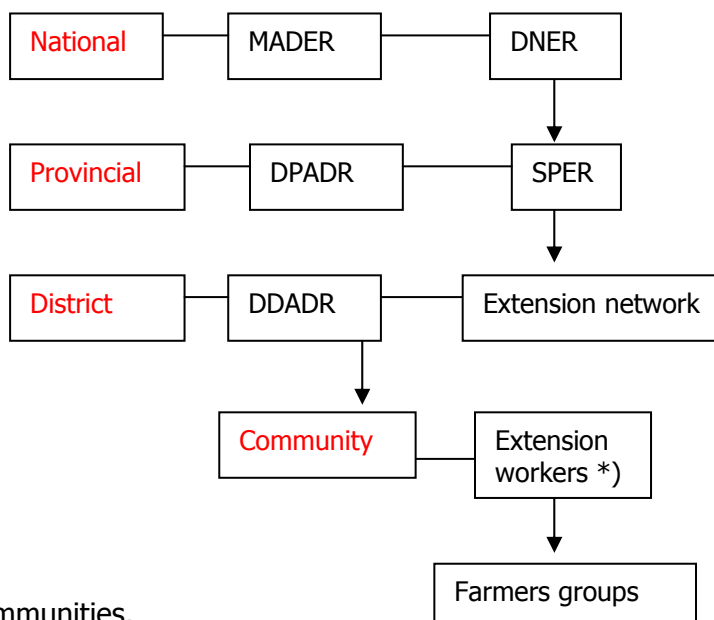
*) Extension workers are part of the communities.

MADER: Ministry of Agriculture and Rural Development
DNER: National Directorate of Rural Extension
DPADR: Provincial Directorate of Agriculture and Rural Development
SPER: Provincial Services of Rural Extension
DDADR: District Directorate of Agriculture and Rural Development

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Clients

- Family sector
- Private sector
- Schools

Other service providers

- GOs: GTZ, Austrian cooperation
- NGO: FHI, ORAM, KULIMA
- Private sector: CAN (National Chamber of Cotton), Dimon tobacco

Finance mechanisms

- Public funds
- Private funds
- Terms of agreement to finance certain services

New approaches

- Farmer-to-farmer extension
- Participatory extension approach (just started)
- Demand-oriented extension

Successes

- Increased number of extension networks; work with farmer organizations and associations
- → increased number of farmer families assisted (introduction of new technologies)
- Food security improved
- Decentralization of funds

Challenges

- National level: poverty reduction
- Illiteracy rate of 76 % among farmers
- Limited resources
- Slow flow of funds from national level to provincial level
- HIV
- Willingness to change (politicians towards extension)

Extracts from the discussion:

Q: "Are you measuring an increase in numbers only or also quality? Does the sheer increase in numbers satisfy you no matter what the farmers actually do? Did the increase in numbers of outreach have any impact on your bargaining position for money/budgets?"

A: "Quality assessment was not required yet. But we have moved to the communities: The extension workers at district level now live directly with the farmers. So we have good possibilities to evaluate. We have a schedule of training with which we can evaluate the system. In terms of funds it is difficult because the standards are different. We have a programme for agricultural development in which donors put their money. Because of the increasing number of farmers we get special attention from the national level. Even in terms of incentives and additional money to keep for the extension workers because they need a lot. We are buying houses, bikes, training."

2.3   Intermediate summary

And this is how Paolo summarized the findings of Ghana and Mozambique's country presentations:

"In Ghana there is a move to bringing research much closer to the communities through information and institutionalized research extension and farmers linkages. And there is the idea to better respond to farmers' needs - although this may mean success and challenge at the same time.

It also became clear that somehow - this is a question mark again from Mozambique - there are performance standards for extensionists, but the challenge is still between quality and numbers. If you take as performance standard the numbers of farmers contacted you also need to see what happens because of these contacts. So quality remains an issue.

In Ghana, particularly where the process of decentralization is more mature, there are clear signs of institutionalized linkages between the Department of Agriculture and local and district authorities. Therefore these fora – sub-committees between line departments and local governments – are accepting the fact that communities and in this case farmers could increasingly influence the planning processes at the municipal level. Still challenges remain. There is in both countries a basic legal and administrative framework for decentralization in place. There is a clear process towards decentralization.
Mozambique has also said something to learn from: That there are linkages between agricultural extension and schools, and extension agents must even work in the schools and live in the communities.

These are more or less the basic characteristics and trends. The challenges are very clear:

- How to introduce and manage change?

- Commitment of extension agents: How to maintain it?

- How to scale out the participatory approaches after their introduction?

- How to find a way for farmers/communities to set the agenda for extension and public service delivery? There is a link between effectiveness of service delivery and levels of farmers' organization:

The more the farmers are organized the higher is the chance that they can influence the demand and the planning processes. Self-sustaining organizations remain a big issue.

- Another challenge was mentioned by Ghana: different approaches from different stakeholders. Everybody comes with their own magic bullet. And some of them are bullets that are like one against each other.

- How to support financial decentralization (flow of funds from national to local level)?

- HIV/AIDS, environment, gender: How to integrate these issues into extension? How to broaden the scope of extension?

- How ensure that research results are taken up by farmers so they can benefit the end-user?

So now we have set the agenda for further discussions. And the time is mature to invite the third presentation."

2.4 Shaping an overview of successes and challenges

During the country presentations Mr. Ficarelli had taken notes and already prepared some cards. In his overview on the instances of success, and the challenges that had been mentioned in the first two country reports (above, 3.3) he pinned the respective cards on two boards. The boards were to become the starting points for further analyses. They provided the plenary with a first overview of the practical potentials and shortcomings to deal with, in a condensed form. Later, the facilitators' inputs and the presentation of the BASED case study also contributed to the boards, so as to shape a complete and thorough picture of the practical, up-to-date issues to be addressed in rural service delivery.
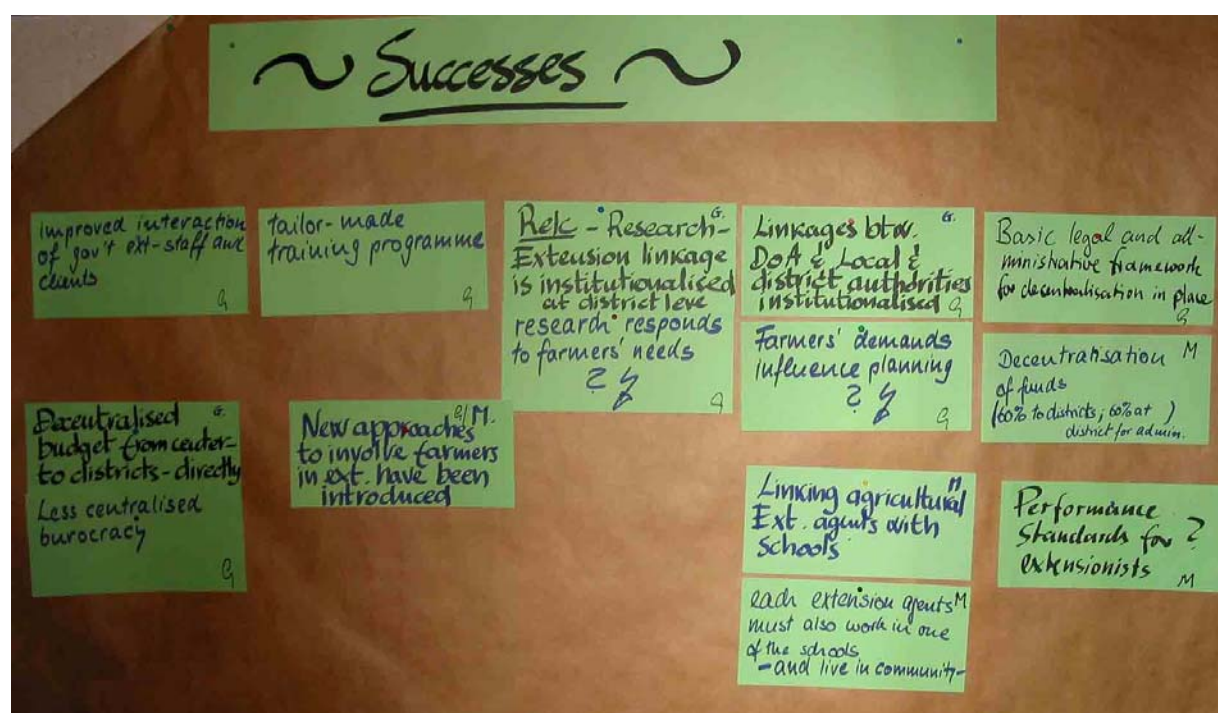

Chart 11: Cases of success derived from the country presentations of Ghana and Mozambique
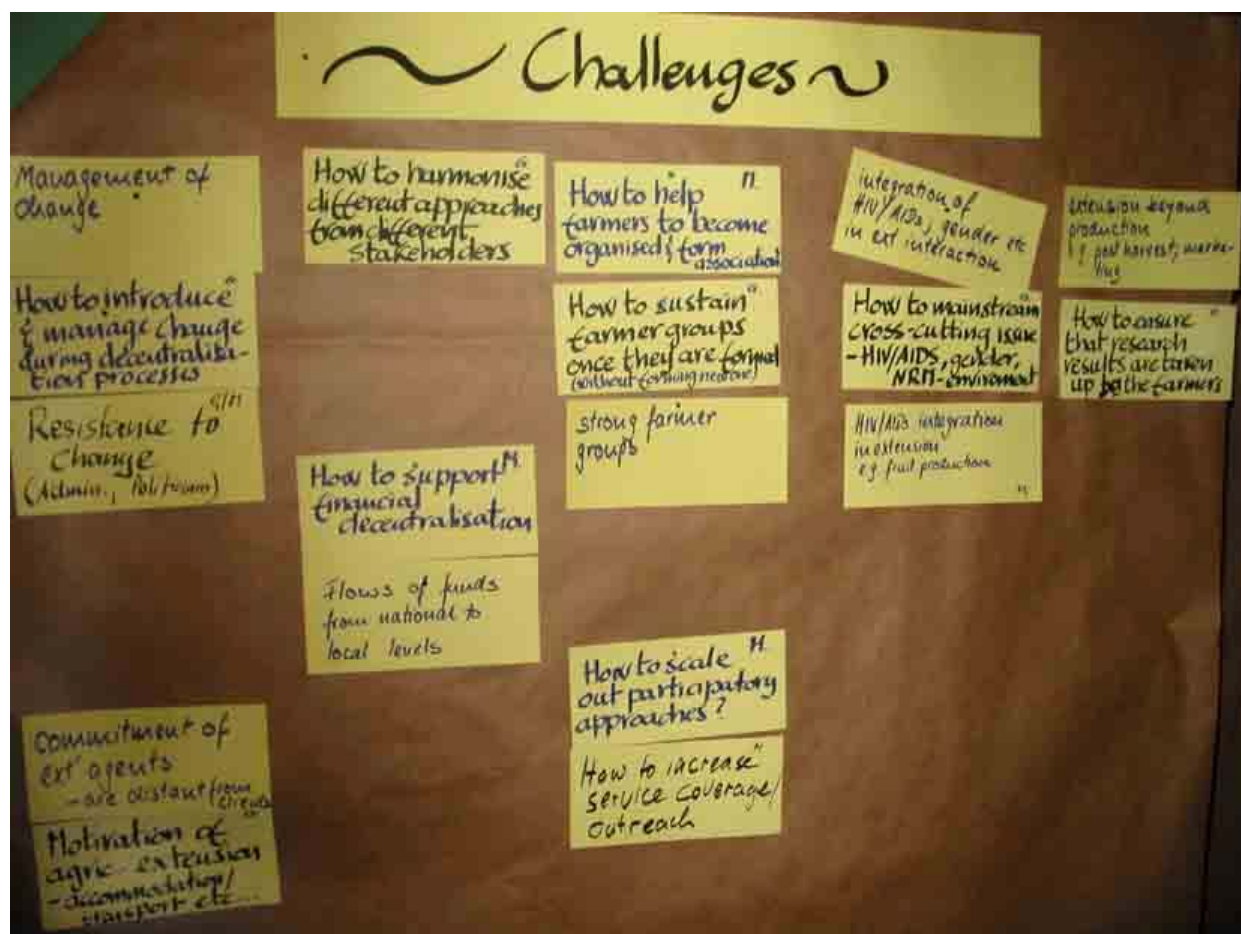
Chart 12: Challenges derived from the country presentations of Ghana and Mozambique

Cf. Willy Ehret's methodological remarks when the workshop flow was introduced:

"At the beginning we have a lot of material, that's your experience in managing service delivery in your country. So we get context-specific issues and lessons that you have learnt in your own country. Then we want to look for issues that are applicable not only e.g. in Malanga, but also in the Southern provinces of Namibia. So we sum up successes and challenges for managers to proceed to a context-independent overview of the challenges. We move from the general to the specific and become a bit more specific – but still in a context-independent situation."

On two boards, Mr. Ficarelli outbalanced the findings of the country reports.

2.5   Country presentation South Africa

Institutional framework

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│ District municipality │               │ Government Departments │
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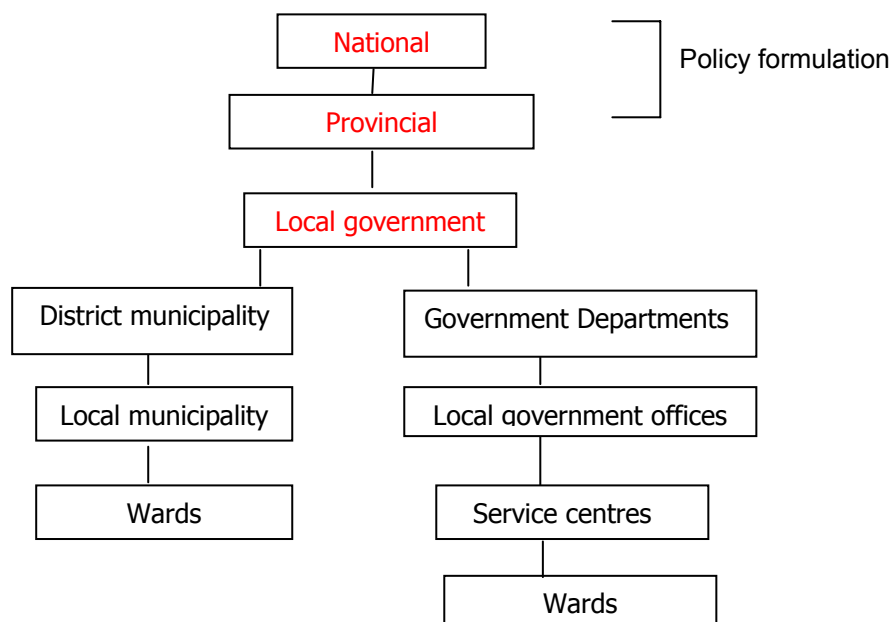
Clients

Communities – everybody in the communities who are:

- Farmers
- Farmer organizations
- Villagers (commodity groups)
- Emerging farmers who have bought land through LRAD (Land Redistribution for Agricultural Development)

Service providers

- Other government departments (e.g. Land Affairs)
- NGOs in the districts
- ARC (Agricultural Research Council)   ⎤
- CSIR (Centre for Scientific and Industrial Research) ⎦ Research institutions
- Input suppliers
- Mechanization suppliers
- Churches/Charities (Red Cross)

Finance mechanisms

- Government funding (e.g. LRAD is funded by government)
- Donor funding: NDA (National development agencies), DBSA
- Land bank and other commercial banks
- Agricultural development cooperatives

New approaches

- PEA/PDA
- IDP (Integrated Development Programme), where development is channelled through municipalities

Managers' successes (as a consequence of applying the new approaches)

- Community participation improved
- Stakeholder participation improved
- Sense of ownership and control: "because communities are involved from the beginning in planning, decision-making, implementation and evaluation"
- Very good trainers are in place at community level
- Backstoppers are in place within PEA and IDP to care for trainers

Challenges

- More needs for training and finances
- More expectations raised ("more and more people want to take part in programmes")
- Resistance to change ("there are clients and officials who challenge the system. They want other approaches to be applied they have seen working somewhere and which they think are better than PEA and IDP")
- More informed clients: "We are faced with farmers who are very informed. Because now the farmers can invite whoever stakeholder they like to come and help them and get whatever information."

Any other information

- "The approach is working where it has been piloted, however there is resistance from other quarters."
- "Personnel feel insecure due to the fact that clients are well informed and more en-lightened (job losses): They think: 'They don't need our services any longer.'"

"In the three pilot provinces of South Africa we have come out with more self-reliant farmers and more people who are ready to train others. But in other provinces there is the opinion that 'there are other working approaches which can lead our communities somewhere'."

Another topic that was mentioned was a new development in decentralization: Some munici-palities make agricultural project funds avail-able on their own. However, raising such funds from authorities and allocating them would remain a challenge.
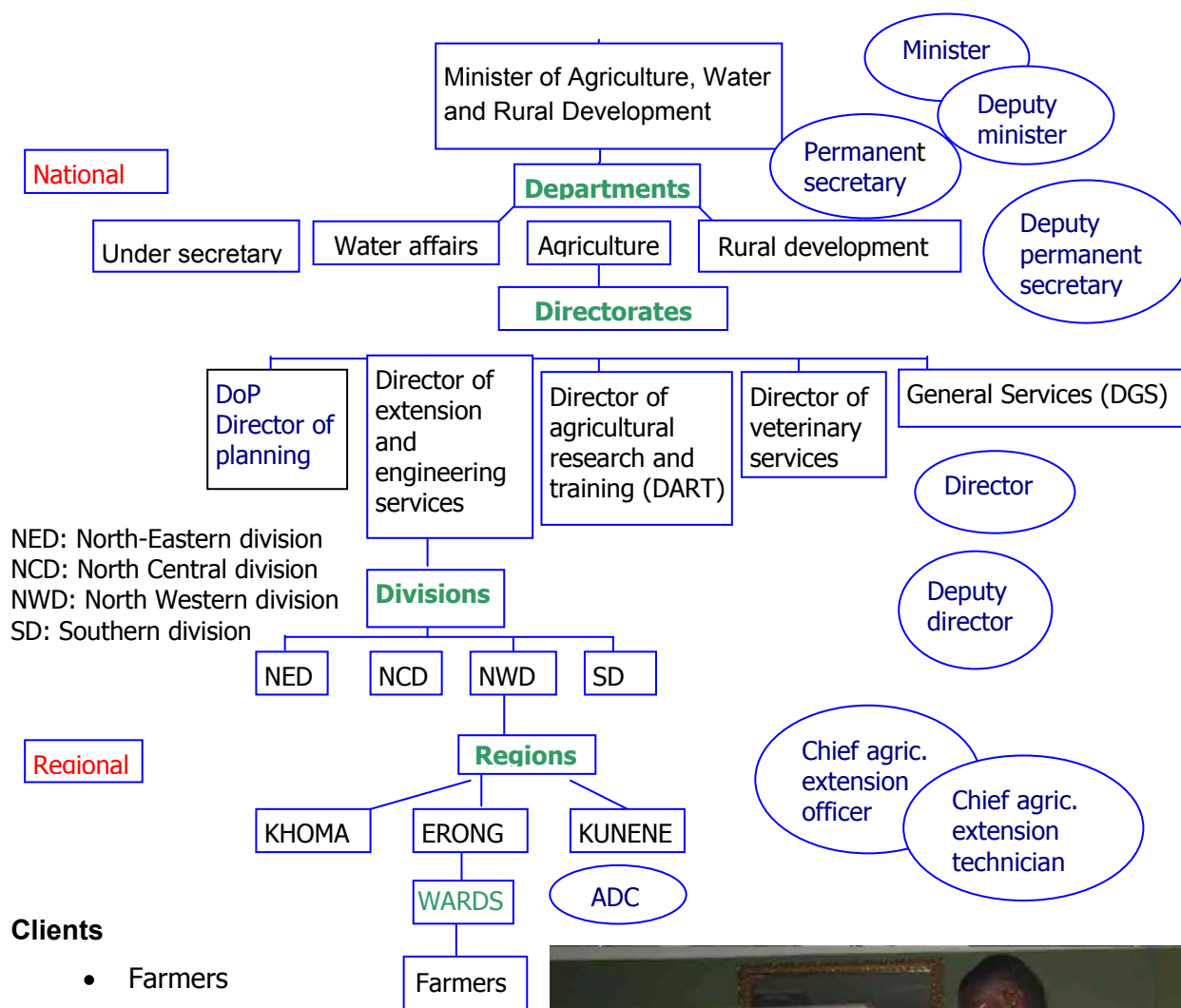
After two short energizers the group from Na-mibia presented their overview.

Assistant Director Sinah Mahlodi Kekana presented the South African part.

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2.6 Country presentation Namibia

Institutional framework

NED: North-Eastern division
NCD: North Central division
NWD: North Western division
SD: Southern division

Clients

- Farmers

Other service providers
- NGO
- FA (farmers associations)
- FU (farmers unions)
- Cooperatives
- Private sector
- Agricultural Bank of Namibia
- DRFN (Desert Research Foundation of Namibia)

Finance mechanisms

- Government: recurrent budget
- Donors: EU, GTZ, IFAD, DFID

Lawrence Karumendu, Chief Agricultural Extension Officer, explaining the chart.

New approaches

- FSRE (Farming Systems Research and Extension) approach:
  - demand-driven
  - participatory
  - multi-disciplinary

Successes

- FSRE approach better understood
- Farmers are demanding services
- Logframe and Annual Work Plan and Budget (AWP +B) in place at national, divisional and regional levels
- Uniform reporting system in place
- Quarterly national extension management meeting: opportunity to give inputs
- Regular coordination meetings at regional levels with all stakeholders

Challenges

- Better understanding of farming systems, research and extension
- Capacity building (all stakeholders)
- Limited resources (financial and human)
- Dealing with decentralisation issues ("what it actually means and how it works is not yet understood by different ministries")

Lessons

- Improved extension services since independence with limited resources
- Extension service fully decentralised: ADC (agricultural development centre) is closer to the people

Extracts from the discussion:

"The sizes of the wards differ from place to place in the country. In the South, which is very sparsely populated the ward can be very large where there is only roundabout 200 farms and 300 farmers. The commercial farm size there is about 12,000 acres. Up the North the ward is very small because it is heavily populated and there is much more resources. This relates to the local level where local governments or traditional authorities are more recognized in Namibia than in other places."

Q: "I understand there are the big commercial farms and there are the community farms. For which clientele is the FSRE approach more appropriate?"

A: "Some of the areas have both clients, from commercial and communal. The demand from the commercial areas is much lower. But the approach can be used for both."

Q: "I understand you are serving the communal farmers and the commercial farmers at the same time. In your financing mechanisms you have not indicated if you get paid for service delivery. Are all your services – specifically your veterinary services – free of charge for all kinds of farmers?"

A: "Yes, mostly. The extension services are free for all. I do not know that much about veterinary services. I do know that commercial farmers need to pay for services. But I'd say 99% of all services delivered are free."

"I think land ownership and land use rights but also communication, coordination and competition are still central challenges."

Before the afternoon session was closed with a prayer, Phuti Mphawele had a short announce-ment. She asked the participants to take down their names and addresses in the list of partici-pants and offered her assistance in registration and refunding matters to those who had arrived late due to a coach brakdown. Also she invited everybody to a welcoming cocktail party at 7 pm. To make provisions for the following day, the steering committee had a short meeting right after the session.

Impressions from the day

The hotel's garden premises allowed a bungalow for each participant.

Starting the day at the breakfast table.

Other guests

The Namibia team, drafting their presentation out in the green.

Workshopping below a sumptuous flower cover.

Tuesday, 09th December, 2003

3.   Adoption of a comprehensive framework concept/
Demand

3.1   Introduction to the day's programme

On Tuesday after the prayer the Welfare Committee had some good news for the facilitators: "Everybody enjoyed the energy in the class."

It was good motivation for a day which was to be packed with information and demanded much concentration from each plenary member as well as from the facilitating team. On Tuesday, the successes and challenges which had been reported by the country groups would be further clustered, and cornerstones extracted.

It was to be seen how the multi-level model labelled "**Service Delivery Framework**" helped managers to identify duties, assess situations and improve management of service provision.

To this end, the framework – as it had been introduced in the previous workshops – was first brought back to participants' minds. In the course of the day it would be reflected how the identified challenges could be attributed to certain stages of intervention.

"As we have seen service delivery implies international, national, and provincial stakeholders, and people in the field who, in contact with communities, help them to articulate their demands and respond to them. So we need to understand: Are the challenges we face as managers part of this one or any other level? Does it concern the municipality or what area?"

Willy Ehret

This would help the practitioners gain a clearer view of their tasks and to develop a systematic strategy to address them properly.

This is how Willy Ehret described the advantages of the step-wise procedure:
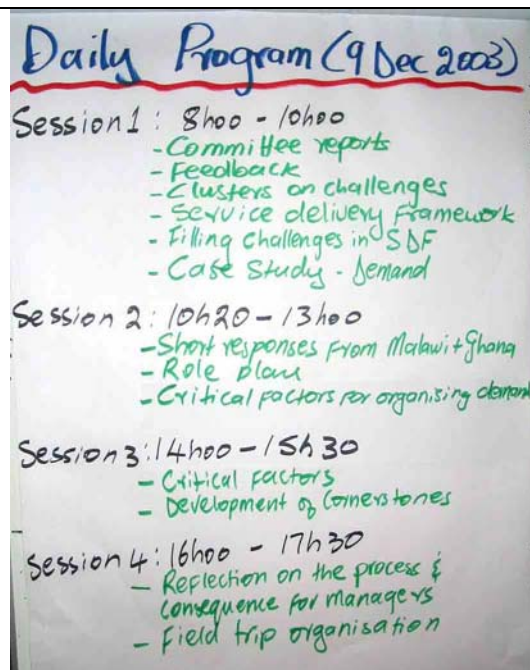

Chart 13: Day's Programme Tuesday, 9th December

"First we cluster the successes and challenges extracted from the country presentations, then we place them on different levels of the service delivery. Now that we have the issues and challenges, let's see: What are possible approaches to deal with these issues and challenges at the different levels? This will allow us to develop a framework for analysis. So when we're talking about field level we also discover the issues we must deal with as managers. With delivery of services: These are the matters that concern the municipalities, the districts or whatever."

On Tuesday, a start was made with the first level of the SDF: i.e. the **identification of *Demand***. But first, it was the Feedback Group's turn:

Interplay: "Any problems? Ask the healer!"

Energizingly, the plenary improvised a little cho-
rus to call the Feedback Committee to the fore.
The singers were rewarded by the astounding
appearance of a traditional healer (Sangoma),
mimicked by Silas Sitholimela, Manager of Agri-
cultural Services in the BASED project. With
leaves attached to his head and in a raised
voice, interspersed with grudges, he reviewed
the past day from his point of view. Speaking to
his 'client', Bantwini Aron Mdyodyo, Community
Services Manager, Eastern Cape Province, he
attributed yesterday's travel delays and detours,
the case of a colleague fallen ill, but also the
workshop's progress and the "excellent facili-
tation", to either evil forces, curses of his fellow
colleagues in their national groups – or to the
miraculous impact of such personalities as Kofi

"And there were the Nigerians who said they were coming and didn't make it! And now they're still searching for the place. And what was the cause? The Namibians! […]"

Annan ("who changed the proceedings of the
Commonwealth Summit - he got the good idea
from the UN and EU"), or Thabo Mbeki.

A *Interplay*: The art of giving feedback: Johari Window

In many if not all cases, personal self-development
is a precondition for developing the outside. This is
why issues of **personal development** also played a
role in the workshop. But because of its importance
for the workshop rationale as well (cf. "experiential
learning"), **how to give feedback** in a productive and
professional way was the first and foremost issue in
this respect. Joe Ramaru downright illustrated the im-
portance of feedback – and let people talk about the
Johari Window and the art of giving proper feedback.

This was his introduction:

"Feedback has a lot of implications for this workshop.
Because the success of this workshop is all about the
experience that we put together from the different
domains of our own experience. But how best can we
try to share our own experience? If we look at how
experience and analysis of experience can help us
modify our approaches, feedback is one of the most
important elements."

As Klaus Krebs put it in last year's report:
"Professional feedback is possibly the most
effective and easily accessible tool for
changing positively. Creating a feedback
culture in one's own environment empowers
openness between colleagues. Openness is
an indispensable prerequisite for the
sharing of experience because sharing of
experience also means sharing of failures."
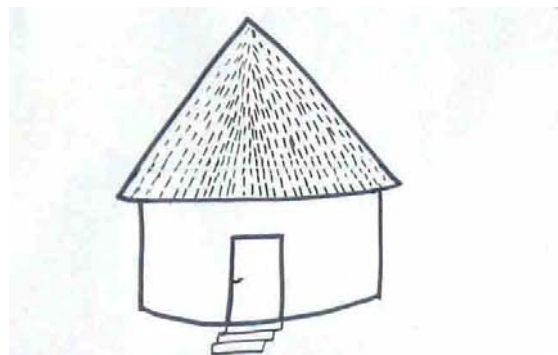
So Joe Ramaru first sketched a hut:

Chart 14: Hut, without windows.

He then asked asked the plenary to "imagine yourself in this hut. How would you feel?" This of course provoked jokes: "I feel safe from the moskitos!" But it was also observed that there was no way of communicating: "You can't be seen **from** the outside. And you can't see **to** the outside."

Joe then introduced a *window* as a means of opening oneself to the outer world and establishing communication between Self and Others. From this image he went on to the model of the **Johari Window**. The concept, established by **Jo**seph Luft and **Har**ry **I**ngham, was first used in a session on group development in 1955. It illustrates the risks of communication gaps and the potentials of learning through exchange/ feedback in a simple way. One's own state of awareness, and interpersonal relations are described along:

what I know about myself and others know about me

what I know about myself but others don't know about me

what others know about me but I don't know about me

what neither myself nor others know about me
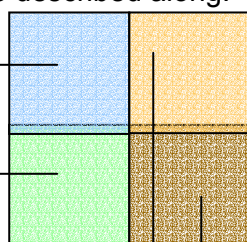
In describing the model, Joe Ramaru took care to link it to participants' everyday work. He emphasized that the phenomenon could also be applied to organizations. "E.g.: The department of agriculture may not know what farmers' organization need. Or, *we* know that we have a lot to offer but *they* don't know." As a case of "blind spot" he cited a "service provider (e.g. NGO) who knows what the Department of Agriculture is doing, but the Department of Agriculture will know little about what the service provider actually does." Sharing is to communicate what is yet unknown to others. Sharing leads to the diminishing of blind spots and also 'intrudes' into the mystery field – that area which is the most frequent source of serious misunderstandings and failures. Feedback helps increase
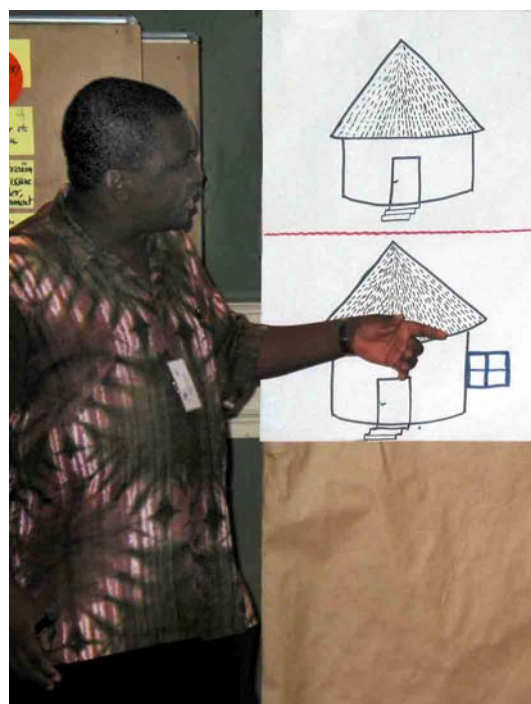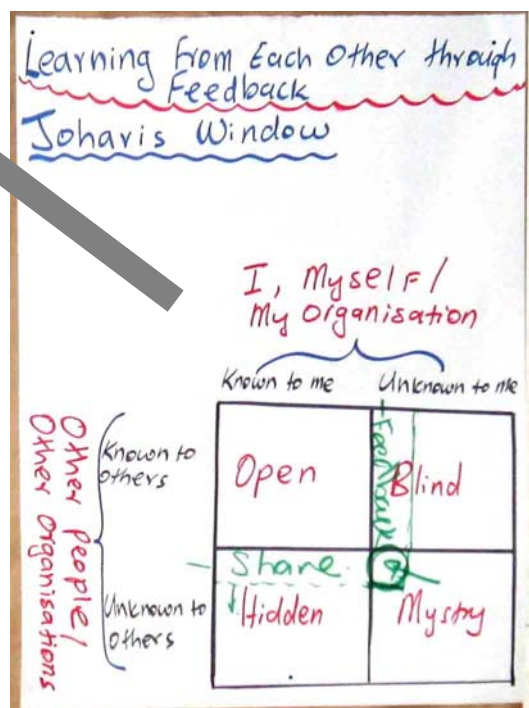

Joe Ramaru, demonstrating the sake of a window.

Chart 15: Model of the Johari Window

one's knowledge about oneself and others by widening the open part and diminishing the blind spots.

Both lead to reducing 'mysteries' and contribute to a better mutual understanding.

Klaus Krebs (workshop documentation 2002): "There are two options of how teams can improve their interaction pro-actively:

- **Share** what I know about me and others don't know: the open window grows bigger, and the hidden window becomes smaller

- **Ask for feedback** to find out what others thinks about me: the blind window gets smaller, and the open window increases."

In villages, the farmers' ability and willingness to exchange their personal experience (e.g. in production techniques) with other members of the community is an important precondition for spreading innovation and sustainable action. There, the Johari Window has already proved a very straightforward tool to argue for the benefits of sharing experience:

In capacity building, BASED applies the Johari Window with officials, managers and also directly with farmers. "Farmers understood the model very well. They also started talking to other farmers about the importance of sharing and feedback", said Joe Ramaru. "It is a useful tool to illustrate the importance of sharing and feedback."

Joe Ramaru also offered the plenary some tried and tested rules of how to give professional feedback and thereby manage relationships successfully:

"People like changes. But they don't like to change."

Paolo Ficarelli

"Johari's Window is not only of use in farmers' organizations. It is also most important to use in the families (interaction between husband and wife) and in children's education."

Participant

Rules for giving feedback

- Offer feedback, make appointments

- Speak first about positive behaviour you have observed

- When speaking about aspects to improve, describe behaviour without judgement

- Give feedback timely, don't overdose

- Make clear that you speak about behaviour, not characteristics of a person

- Don't refer to third persons

- Your feedback is an offer that the other person may use – or not use

- State clearly that this is your perception and not the ultimate truth

- Don't expect that the person changes immediately the way you wish

In other words:

- Relate your feedback to concrete situations "here and now"
- Provide it as soon as possible
- Be honest and open
- Offer your information don't impose
- Admit that you might be wrong
- Do not make or force the other person to "confess" to be wrong
- Provide your information in a way that really helps / supports
- Never use the word "always"

Joe made it also clear that there is a culture of **receiving** feedback (*right*):

Receiving feedback

- Don't argue and defend
- Just listen, clarify and ask for details so that you fully understand
- Be open – ultimately it is yourself who takes the feedback
- Try to distinguish professional feedback from personal feedback
- Say "thank you" – feedback is a precious gift

To turn to practice and make participants internalize the findings, Mr. Ramaru suggested a brief group exercise: "Come together in three or four who are next to each other and just informally brainstorm:"

What does feedback mean to us as individuals, for us as managers and also for us during this workshop?

So professionally prepared to engage in intimate conversation with each other, the groups found it hard to split up again: Joe needed several attempts to regain his audience. These were some of the statements he gathered from his colleagues:

"As a manager you get feedback from the people who are really implementing. And in turn you give feedback to your supervisors."

"We have experienced that yesterday, when we were sharing our country experience and information, there were things from other countries we didn't know. The feedback from other countries was very helpful."

"We agreed that feedback should be two-sided, not only from one side. And it shouldn't be taken as criticism."

3.2 Clustering the international success and challenges data

The previous day, Paolo Ficarelli had begun to distil an overview of the successes and challenges of the country groups' reports (Chap. 3.3). Just after that, 'RSA' and 'Namibia' had presented their cases. During that, too, the facilitators took notes and so compiled an additional set of 'South Africa and Namibia issues' cards.

Overnight, the facilitators had added their SA and N cards to the "Successes" and "Challenges" boards. Now Mr. Braun introduced the amended boards to the plenary, inviting comments and feedback. The picture from the country presentations was complete:

Chart 16: Success factors identified by the country teams (green), with headings (white).

Though time was limited, Mr. Braun took care to receive full plenary consent of how he had interpreted and arranged the success factors. Since only the respective country teams would be able to decide whether their issues were correctly subsumed on the board, each card received a letter to reveal the country of origin, for orientation (G = Ghana, M = Mozambique, N = Namibia, SA = South Africa). At the moment only the SA and N cards were considered, as the others had already been agreed on with Paolo on Monday (Chap. 3.4). Summing up the green cards, the white round cards were meant to be the cluster headings. These headings, Mathias Braun announced, would later be put on the different levels of the service delivery framework.

Full text overview: Clustered cards on the "Successes" board

- **Farmers' participation**
  Improved interaction of government staff and clients G
  Farmers demand services M

- **Financial decentralization**
  Decentralized budget from centre to districts – directly G
  Less centralized bureaucracy M
  Decentralization of funds (60% to districts, 60% at district for administration) M

- **Community participation**
  Community participation increased SA
  Communities own and control activities SA
  Increased community participation SA

- **Training capacities**
  Trainers and backstoppers in place SA
  Tailor-made training programme G
  Training/trainers available for PEA SA

- **Stakeholder participation**
  Stakeholder participation SA
  Higher stakeholder involvement SA

- **Management procedures**
  Logframe, uniform reporting, quarterly meetings N
  Mechanisms for planning & reporting from different levels in place N
  Performance standards for extensionists (?) M

- **Decentralized planning**
  Decentralized & integrated (legal) planning processes are in place, e.g. IDP SA
  Farmers' demands influence planning ? / G

- **Linking research-extension-farmers**
  RELC – Research Extension Linkage is institutionalized at district level G
  Research responds to farmers' needs ? / G
  Farming Systems Research Extension approach well understood N

- **PEAs**
  Participatory approaches introduced e.g. FSRE N
  New approaches to involve farmers in extension have been introduced M

- **Broadening the extension base: involve youth**
  Each extension agent must also work in one of the schools and live in community M
  Linking agricultural extension agents with schools M

- **Framework for decentralization**
  Basic legal and administrative framework for decentralization in place G
  System is fully decentralized & traditional leaders integrated (?) N

- **Linking agricultural departments with local authorities**
  Linkages between Department of Agriculture and local & district authorities institutionalized G
  Some municipalities are making available funds SA

Chart 17: Challenge factors identified by the country teams (yellow), with headings (red).

There were two comments from the plenary: One participant wished for a more precise formulation of a card ["Decentralized *integrated* planning instead of *'legal'* planning. Mr. Ficarelli did so but pointed out that the facilitators had intended to draw attention to the fact that in RSA the IDP (Integrated Development Plans) are constitutionally fixed, which merited special attention.] Another point, which was well received by the plenary was that M + E was a challenge that ought not be forgotten.

On request, Mr. Ficarelli sketched the meanings of "scaling up" versus "scaling out": "*Scaling up* is putting something from the local level to the higher levels of the organization, as it is typical of processes of mainstreaming. *Scaling out* is the challenge we face when we want to disseminate or replicate success stories or pilots from one ward or community to the entire province or region."

Full text overview: Clustered cards on the "Challenges" board   43

- **How to manage change**
    Management of change M/G
    How to introduce and manage change during decentralisation processes G
    Resistance to change (Administration, politicians) G/M

- **How to motivate extension staff**
    Commitment of extension agents – are distant from clients G
    Motivation of agricultural extension (Accomodation, transport, etc.) G

- **How to make research results relevant and adoptable by farmers**
    How to ensure that research results are taken up by the farmers G

- **How to manage financial decentralisation**
    How to raise and allocate municipality funds SA
    How to support financial decentralisation M
    Flows of funds from national to local levels M

- **How to link local government with Department of Agriculture**
    How to link political and sectoral interests/activities
    Accountability of external staff to municipality? SA
    How to develop accountability mechanisms between local government and sectoral department Na
    How to strengthen linkages between LG – DoA?
    How to implement decentralisation at regional level Na

- **How to build competencies of stakeholders**
    How to build competency of other stakeholders in PEA, FSRE Na

- **How to strengthen farmer groups /organisation**
    How to help farmers to become organised and form association M
    How to sustain farmer groups once they are formed G
    Strong farmer groups G

- **How to up-and out-scale participatory extension approaches**
    How to scale out participatory approaches?
    How to mainstream new approaches
    How to increase service coverage/outreach M

- **How to finance extension services**
    How to increase cost-effectiveness of extension services?

- **How to integrate HIV/AIDS into service provision**
    Integration of HIV/AIDS, gender etc. in extension interaction G
    How to mainstream cross-cutting issues (HIV/AIDS, gender, NRM-environment) G
    HIV/AIDS integration in extension (e.g. fruit production) M

- **How to broaden the scope of agricultural service provision**
    extension beyond production e.g. post harvest, marketing G
    Extensionists over-burdened by non-agricultural tasks Na
    New approach challenges role of extension agents SA

- **How to coordinate various extension approaches**
    How to coordinate/harmonize competing approaches SA
    How to harmonize different approaches from different stakeholders G

- **How to build competencies of extension staff**
    Threat to government staff: well-informed clients!
    ↳ staff left behind
    ↳ lose jobs
    How to build competencies of extension staff to match new demands of clients SA
    Need for more training SA
    How to ensure sustainable funding mechanisms for training SA

+   Reminder: Monitoring and Evaluation

Interrupted by a joke as an energizer, the session went on with Paolo leading over to phase 3 of the workshop flow: "Placing challenges at different levels of the service delivery".

To this end, he initially invited the participants to, together, "broaden our exploration of what we call the Service Delivery Framework".

Mr. Ficarelli recapitulated that, in its original sense, "extension" was understood as 'spreading knowledge to the farmers': In a chain conceived as **Research – extension – adoption**, "research developed good solutions for the farmers – extension disseminated them, and farmers should have adopted it. We found out that this does not reflect reality."

Participatory extension approaches as they are now applied in most countries have abandoned the notion that farmers are a *homogeneous group of people with an isolated interest in agricultural advance*. New approaches conceive agricultural production as *part of a livelihood system*, in which production is strongly influenced by the **socio-cultural environment**, and economic systems are linked to social settings. Farming, for instance, may not be the only source of personal household income so that time constraints due to other activities needed to be considered: "All of a sudden we discovered that farmers are not only farmers but also members of a community with different limiting factors, constraints, opportunities." The higher complexity of the system led to different needs being identified.

The consequence was to take other sectors into account such as electricity, water, health, and foster linkages. Extension was to be understood in the broader framework of rural service delivery, and local governments, and departments such as Water or Health, needed to be involved.

In such way, extension is challenged by problems that go beyond agriculture and needs to respond to outer needs: "If you want to deliver services to the farmers you also need other support measures to make it happen." As Paolo Ficarelli put it (*right*):
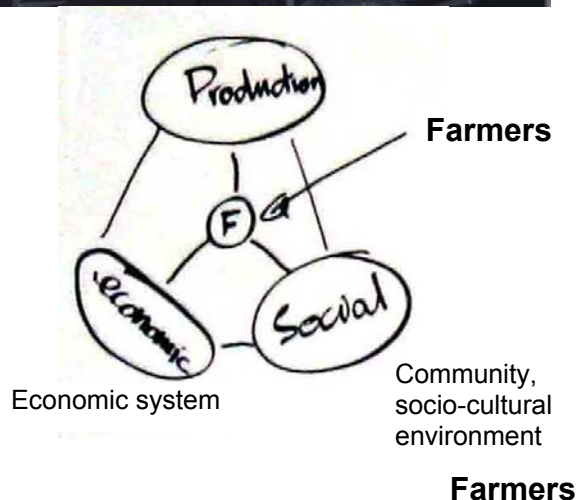

Economic system

Farmers

Community, socio-cultural environment

Farmers

Chart 18: Farmers' livelihood system

"Our understanding of extension is changing. Extension has to broaden up. And on the other side, we must understand the broader framework of rural service delivery. This evolution may be confusing, so we need some guidance on how to direct our further planning. The Service Delivery Framework is a basis to manage changes that participatory extension approaches have brought into the system."

3.3 Input I: The three levels of the service chain

The first necessary step to provide any relevant service is to **organize the demand**. Confronted with producer associations, commodity-based organizations but also the silent majority of people who have no voice, needs must be assessed, or: people facilitated to articulate their needs. "The organization of demand – to see: what comes from the communities? – is one of the crucial steps in order to link up the first level with the second level: Responding to the demand."

"Who are the major actors at this level? Nowadays, because of decentralization, certainly the major vehicle are the municipalities (or the comparable local and district governments according to country). But also the private sector is needed and other institutions from the public sector such as line departments."

Responding to the demand: "If we want to bring innovation to the communities we also need concrete solutions that can be offered and adapted by the people."

"Another complication is that if you stop at this level this does not guarantee that the relevant services can be delivered to the different stakeholders of the demand level in sufficient quantity and quality. The reason is that we have another level which plays a very important role in the service delivery system: the **support to the response**. Here challenges are for instance the management of finances from the top, decentralization processes, policy framework, land reform, but also market and prices, which are fundamental, and are not regulated down here, but at a very high level. If we don't consider that, we will risk to have production impasses."

"Often, people coming from the *Response* side only think about the *Response*. But always keeping the Demand level in view is important to root your services so they become sustainable."

Willy Ehret

"These three levels are very important, and even when we want to deliver a very simple service the three levels must always be considered."

Paolo Ficarelli

Mr. Ficarelli further explained:

"Usually many initiatives that should benefit the demand level still start from the top. Then, if the intitiator is not in line with the bottom, we have again the problem of mismatching sevices with the actual felt needs. National departments of agriculture come up with a lot of problems that dramatically influence the demand and response levels. But the demand should be articulated here, and this demand should influence as much as possible the delivery system on the top. Sometimes these two must compromise. So if the government only wants welfare measures like food distribution as a way to solve the problem of food security, we must look for a compromise. But we can also start initiatives that bring communities towards self-reliance and longer-term development processes."

"If we want to achieve impact we need facilitative interventions at all levels. The project that either focuses here or there won't achieve impact:

- "We need interventions at the demand level to help people articulate their demands.

- We need interventions at the response level to help the different actors come together and work together.

- But we also need the national department to play a conducive role to make all this happen."

"If managers do not have the understanding of the whole process, if they are not staffed to deliver the services, if they don't compromise what comes from the top and what comes from the bottom according to their own understanding, it is going to be very difficult to bring about change."

"The demand should influence as much as possible the delivery system on the top."

The levels in terms of priority (bottom first). In terms of organizational structure (macro-meso-micro) the sequence would of course be the other way round.

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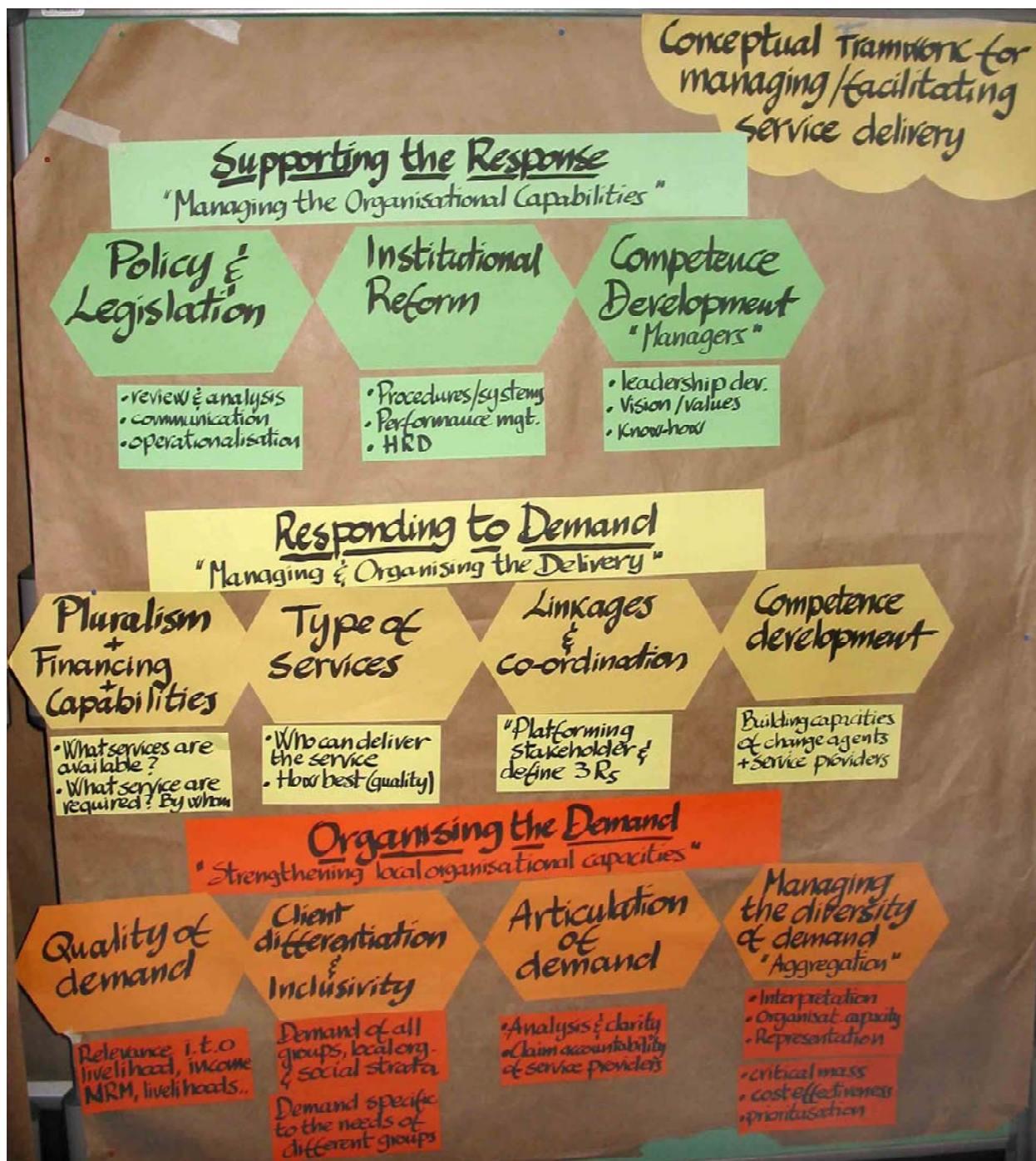## 3.4 Input II: The Service Delivery Framework

Chart 19: Conceptual framework for managing/facilitating service delivery

Paolo Ficarelli now narrowed down on the single levels and explained general conditions for any practical intervention. To this, he encouraged the plenary to reflect: "What can we do as an organization in order to take into account the different levels and to make the system work according to the philosopher?" Of course this was an open process: "We are still in the process of finding out how the different interventions can best be put together so we can improve our services." On a board, Paolo Ficarelli pointed out decisive elements for each level:

1st level: Organizing the demand

The first decisive factor to look after is the
- **Quality of demand**:

"Quality demand: It's not only about a shopping list but demand must have a relevance to improvement of livelihoods in terms of income, natural resources management etc."

Also, managers must care for
- **Client differentiation and inclusivity:**

Demand must encompass all groups (agricultural and non-agricultural) and social strata (youth, elderly, women, men) and be specific to the needs of the specific groups.

- **Articulation:**

"It's not only the question of what the community wants. Demand must be clear and capable, i.e. strong enough to claim accountability from service providers." (Paolo Ficarelli)
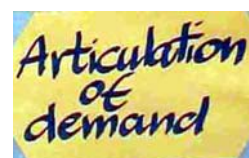
The consequence is that extension directors must
- **Manage the diversity of demand**:

in organizing the demand "they must aggregate by interpreting and facilitating communities' organizational capacities, their representation, the clarification and prioritization of their needs. And we need a critical mass to ensure cost effectiveness."

2nd level: Responding to the demand

On the response level one main issue is
- **Pluralism**:

With even more stakeholders there is an increased opportunity of finding different ways of producing and delivering services, i.e. alternative service delivery systems, but also more financing capabilities.

A second component to look after, Paolo explained, was the
- **Type of services**: Who can deliver the service and how best (quality-wise) can the service be delivered?

- **Linkages and coordination**

was increasingly important: "To avoid conflict of approaches and duplication of service delivery we must agree with the different stakeholders and analyze: What are our responsibilities, roles and relationships? The 3 Rs are very important to ensure proper coordination."

- **Competence development**

Bulding capacities not only of change agents but also of service providers.

3rd level: Supporting the response

- **Policy & Legislation:**

"We must review and analyze present policies, communicate policies and operationalize policies."

- **Institutional reform:**

In order to make an extension agent deliver the services for which people have articulated demand, the district manager must put in place procedures and systems, performance management and human resources development, to be effective.

- **Competence development:**

"Managers must turn from managers to leaders. The difference between a manager and a leader is: A manager is always worried about doing things right. A leader's concern is to do the right thing. A manager must bring the vision and values of the organization to his staff." (Paolo Ficarelli)

3.5   Placing issues on the levels of the service chain

Willy Ehret now turned to the international "Successes" and "Challenges" boards. Picking one round card after the other (white and red) he asked on which of the different levels of the service delivery framework the card belongs. The categorization would enable the participants to categorize their official tasks into separate areas of intervention and so obtain a new operational system for their work. He was forcefully assisted by the audience.

With several cards there was a debate about where they should be placed. And not all of these focal points of success or challenge were found to relate to *just one* level: A few were found to fit to two or three categories at a time. Because the discussion proved very interesting, some important parts are quoted:

E.g. the plenary was divided whether **"Linking agricultural departments with local authorities"** belonged to *Response* (under **Linkages and coordination**) or *Support* (because departments of agriculture as governmental institutions were involved). The card was finally put under *Response*, due to the respective category there.

Another heated discussion was about **"Linking research-extension-farmers"**: On the one hand "farmers are involved", somebody observed. Also, in some cases, researchers live among the communities, another participant explained. Yet a Namibian colleague argued he would put the card under *Response* rather than under *Demand* - as a case for clarifying roles and responsibilities (cf. **Linkages and coordination**). But: If you regard it as a matter of an institutionalized framework (as there is in Ghana), it should go under *Support*.

Similarly contested was **"Decentralized planning"**: "The relevant issues come from the demand side, and those who are responsible in the committees on district level take them up", went an argument to keep it at the bottom. This card also received two twins, labelled "community planning" as a part of decentralized planning (for *Demand*) and "decentralized planning/ system" (for *Support*).

PEA was put on both *Response* and *Demand*.

Chart 20: Critical factors for organizing demand.

"Organizing the demand takes place where farmers are involved."
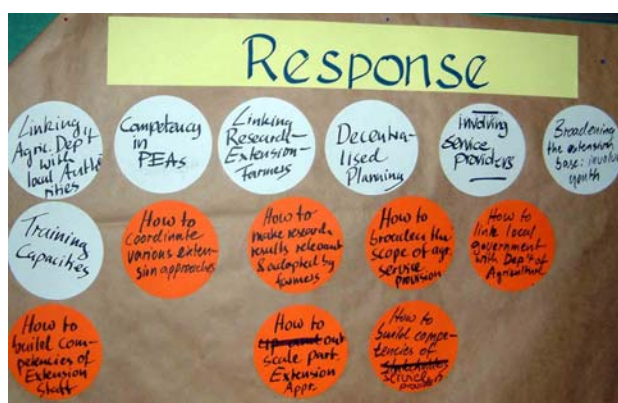
Willy Ehret

Chart 21: Critical factors for responding to the demand.

"The middle level is where demand is facilitated, clarified, argued, battled with, negotiated."

Willy Ehret

Chart 22: Critical factors for supporting the response.

Other headings were felt to be somewhat vague. E.g., **"Stakeholder participation"** could not really be distinguished from the already categorized **Farmer participation**, since "Farmers are our main stakeholders." The term was sharpened as "Service providers' participation" to go to the *response*, and "farmers' participation" to remain on the *Demand* level.

With the challenge **How to manage change?** it was decided that management of change really was an issue on all levels. "But a driving force must come from the *Support*."

Paolo Ficarelli emphasized:

"Demand and organization is a very important link: All the issues we have mentioned: quality demand, articulated demand, aggregated demand will lack if you don't have strong organizations at community level.

Some of you would like to put **"Organization of farmers groups"** on the *Response* level. But is centrally an issue of the *Demand*.

Because when we talk about organizing demand we're talking about building a civil society. It's impossible that this responsibility be in the hands of extension. Civil society is about people themselves. Extension can only create a framework for it. If people themselves don't take the initative and become empowered we will never achieve it.

Any participatory approach in the field must have a component to help people to get organized by themselves because local organizational development helps identify existing groups and needs."

Both *response* and *support* had a category of **Competence development**. There were several overlaps in cards such as:

response   support

"How to build competencies of service providers" ⟶ *response*

"How to build competencies of extension staff" ⟶ *response*

"Competency development of managers in supporting training staff in PEA" ⟶ *support*
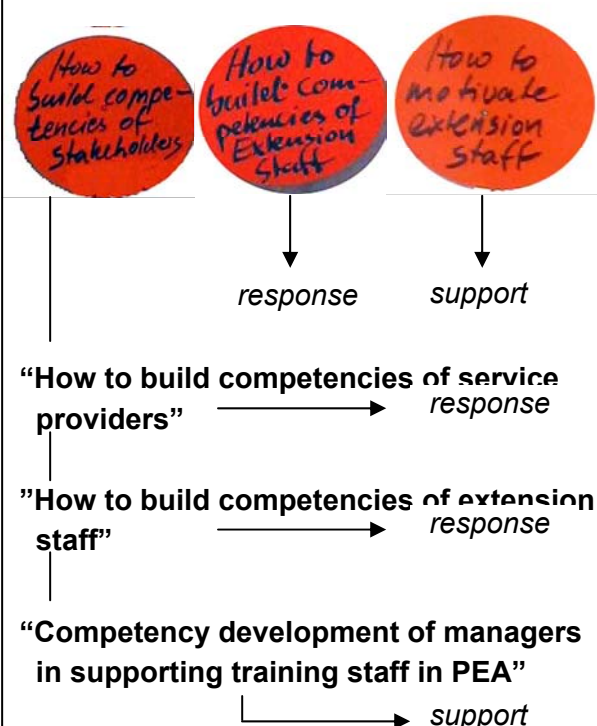
Mr. Ficarelli explained the case by pointing out that there were different aspects of competency development of extension staff. Even if a top level manager would never carry out the training him/herself, he/she had to support the training of extension staff, he argued: "You must still understand and back the process."

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3.6 *Case Study* 1: First contact matters – How to approach communities (BASED, South Africa)

To enter, after such conceptual matters the area of project work was a welcome change to many. After an enchanting Sosholoza song in forceful chorus and another joke as energizers, Joe Ramaru, BASED Programme Manager in the Limpopo Department of Agriculture (LPDA), allowed a first-hand insight into his seven years of experience as an extension agent in the GTZ-funded project BASED (Broadening Agricultural Services and Service Delivery).

The BASED case study depicted how the project had initiated a participatory pilot approach and what lessons were to be learnt. The project account from "the lowest level of the service delivery chain" introduced participants practically to the situation in the villages which were to be visited on Wednesday.

Highly instructive and straight-to-the point, Mr. Ramaru's explanations are largely quoted in his own words.

With the advent of democracy in the Republic of South Africa in 1997 it became necessary to quickly develop systems of public services for smallholder farmers. With politicians ready "to do something", in 1997, GTZ's BASED project in the province of Limpopo – then the country's poorest province and very low in the human development index – decided to look for models in neighbouring Zimbabwe. An existing PEA was picked up and brought to three villages of each the Vhembe and Capricorn districts (six piloting villages altogether).

Sharing a success story: Joe Ramaru.

"We were not going to reinvent the wheel, but to get the back-stopping from those who implemented and developed this concept for themselves, to help us implement it in South Africa."

Village near Spitzkop, Capricorn District, 2003

Crucial issues were action planning and helping farmers solve their problems by trying out different options (**experimentation**). Another was to encourage farmers to share their own various experience and lessons so as to learn from each other (**self-evaluation and reflection**).

A team of facilitators was identified to go out to the villages and test the approach.

"In this **action-learning process**, in 2000, we managed to come up with a comprehensive lesson and a product of PEA which is a modi-

Chart 23: BASED learning cycles and progress.

fication of where we started from. The big changes were that, first, we now realized the different phases of the learning cycle much clearer.

Secondly, going through all the components of the learning cycle, it emerged that the process of organizational change is not limited to only one component of the PEA: It cuts across all the different components in whatever you do: When you start identifying farmers you have already started the process of organizational change. When you help farmers to plan this increases the whole momentum of organizational change. When people experiment and see the results the change process continues.

But what was even more interesting for us: We were able to better find and understand the local organizational development process:

How can we strengthen existing groups, and, where groups don't exist, facilitate the process of information."

It turned out that for the concept of experimentation to be effective, experimentation and sharing needed to be combined on the spot, especially in crops. "Just imagine: If somebody sees the different sorts of crops in the field he or she would go and ask the farmer if this experiment was working. And the farmer says: 'If you had come last January you would have seen how it was working.' People must see and share experimentation while the experiments are still there."

As such the process developed. Lessons were distilled and refined, and in 2002 the district manager started planning the last project phase from 2003 to 2006, with different functional areas and focuses. Joe Ramaru: "We hope that from now, since we see that the project is going to end in 2006, we have developed mechanisms to ensure that the programme can be managed by ourselves. We are looking how ourselves but also the LPDA* can find better mechanisms of delivering qualified services to the communities in future."
A committee has been formed comprising all district managers and managers of other directorates to get the services organized and plan for the future. "Other districts already pay to get more and more extension officers trained."   *)Limpopo Department of Agriculture

From 2001, there was a growing interest from other districts and provinces to adopt the approach. By now, the project has spread from two to five districts and to other provinces. Upscaling also took place, Joe answered to a participant: "It started on the ground, but the supervisors and managers at district level got more and more involved. It's now becoming a very big stream. We have established a base management committee, comprised of different levels up to the top level, the support level."

Asked about policy guidelines:

"Policies are actually quite broad. People can use policies to defend whatever they want to do. Policies must be informed by people who give much more details to what politicians say. For example, in South Africa a policy says we want to support food security. But it doesn't say how. There was nothing in the initial state that stopped us doing anything. But what we have actually done, some of the lessons that were heard here, have provided much more details on how things should be done and even on how things should be shaped between the whole institutions. We are changing separate elements of the policies. For instance as
a result of implementing the process the job description of the officers who are now implementing are much differrent. In my 1997 job description there was nothing about facilitation and me going to the communities and staying here with you."   Joe Ramaru

Reply, by Paolo Ficarelli (- actually recalling the concerns and impact of the *Johari Window*):

"Starting a new project I would always ensure that there is somebody accompanying me at the very top level. Because if you work on the ground level or at the district level you may go through all this process and the national level doesn't even know. And now they come up with all sorts of other approaches – agrodiversity and so on – and this creates a lot of confusion now at the provincial level. If I had to start, the ideal process would be an intervention at the three levels at the same time so that you do not create these gaps of understanding between the three levels."

After outlining the course of action within the BASED project Joe Ramaru introduced the "**building blocks of the approach**":

As explained above, the project perceives all phases, such as *initiating change*, *strenghthening local organizational capacity* and *reflecting on lessons learnt and replanning,* as separate learning cycles (Chart 24). As a key to local organizational change and community emancipation, the project takes the following approach:

Chart 24: Learning cycles as conceived by BASED.

"We **see a village as an organization**. When we go into a village we look at a village in the same way you will look at your own organization: You have got the leadership – the top management –, you have divisions and functions performed by different organizations - the traditional leadership, the civic leadership. If you don't recognize some of the organizations you don't become aware of the potential."

Through the process of **linkages and cooperation** a network is developing. This is why we help cooperate among the organizations themselves but also with service providers and outsiders."

"**Experimentation**: Communities and farmers don't just organize themselves for nothing. People always take pride when they achieve something and solve their own problems. The whole process of trying out is very important. It's **learning through a process of self-reflection**: Distilling the different domains of experience and putting them together as lessons."

Chart 25: Pillars and values of PEA/PDA.

Community networking also ensured, Joe Ramaru explained, that a maximum number of farmers profited from the extensional system: Every farmer who is able to do facilitation and extension herself covers another farmer. "If you have a village of 1,000 households and the budget can benefit maybe 50 people the question is: What criteria do you use for whom to benefit?" Usually the extension officers would identify 'master' or 'project' famers to work with, and the majority would remain excluded.

Joe Ramaru sketched Chart 26 to demonstrate how the **project approach**, i.e. investing in a selected village project, risked to leave aside important other existing self-help groups which would be worth sustaining. BASED therefore decided to spread benefits by facilitating a process in which farmers across villages intensified cooperation (**community approach**).

Chart 26: Project vs. community approach

The farmers founded an umbrella organization (Chart 27) with representatives from every group, as a community forum to access information and services from the project.

According to Joe Ramaru, the farmers meanwhile use the umbrella organization to link with outside service/ input providers and to channel funds with groups.

Yet, "it is important not rush into forming an umbrella organization. The trend towards the organization must be in the groups. If the groups are weak you will have a very weak umbrella."

Chart 27: Groups are the back-bones of the umbrella.

Today, BASED works with around 80 villages in five districts. In the pilot villages of the two districts where the PEA had begun in 1998, farmers have already formed a new and broader umbrella organization – a development which "exceeded our initiative: We are at a stage where our farmers form a **CBO (Community-based Organization)** – an even broader umbrella which encompasses the different umbrella organizations." In September, two farmers were sponsored and invited by an Ugandan organization to come and share their PEA experience.

The fact that farmers practiced extension themselves successively helped to solve the coverage problem, said Joe Ramaru. "And it helps you much, as an extension officer."

In a community, common farmers regard those who are organized and in closer contact with the extension services as their representatives and will ask them for advice.
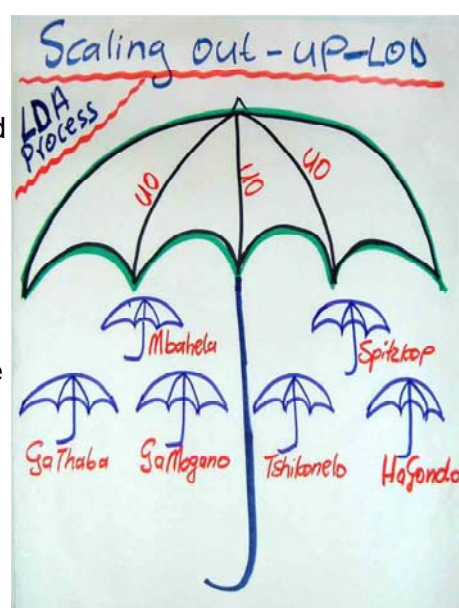

Chart 28: Multiplication of umbrella organizations.

Chart 29: Interaction of innovation and organization.

As such, organization fuels innovation," Joe Ramaru explained Chart 29: "And innovation helps organizing, because the benefit of working together is realized."

An attentive discussion followed the presentation.

Extracts from the discussion:

Q: "I wonder: Are the farmers involved in **quality control** and who is doing that?"

A: "They are involved 100%. You cannot produce certified seed if you don't respect very strict seed regulation frameworks set up by the South African Seeds Association, which involves all the private seed companies. Farmers are involved in how quality seeds are produced. This needs a lot of competency development: We had to train a seed inspector from the Department of Agriculture. In fact, RSA's first two African seed inspectors have been trained by us, to train farmers in quality control, and passed their exams."

A (by a Ghanaian partcipant): "We think about farmers also to be part of assessing the quality of services that come to them. This is the only way by which we can improve upon the quality of the service we provide."

A: "The government of South Africa has embarked on a transformation of policies. In terms of such policies we also work for what we call *customer service*. Through that, farmers, extension officers and other departments are able to evaluate the quality of services rendered. During the services the clients are able to tell you whether you satisfy them. So you can identify in what you lack and you will improve in the next phase."

A: "When farmers call a service, they should set up indicators. These indicators then become the basis on which they can see whether the service has been delivered adequately."

Other contributions to the BASED case:

"The challenge we have in the Capricorn district at the moment is: Those farmers organizations who find it difficult to come on board with this new concept say we are working against them. In the sense that they think we tell farmers not to join their organizations as farmer unions. It's very important to bring all service providers and stakeholders on board so that nobody says: 'You are taking my farmers.'"
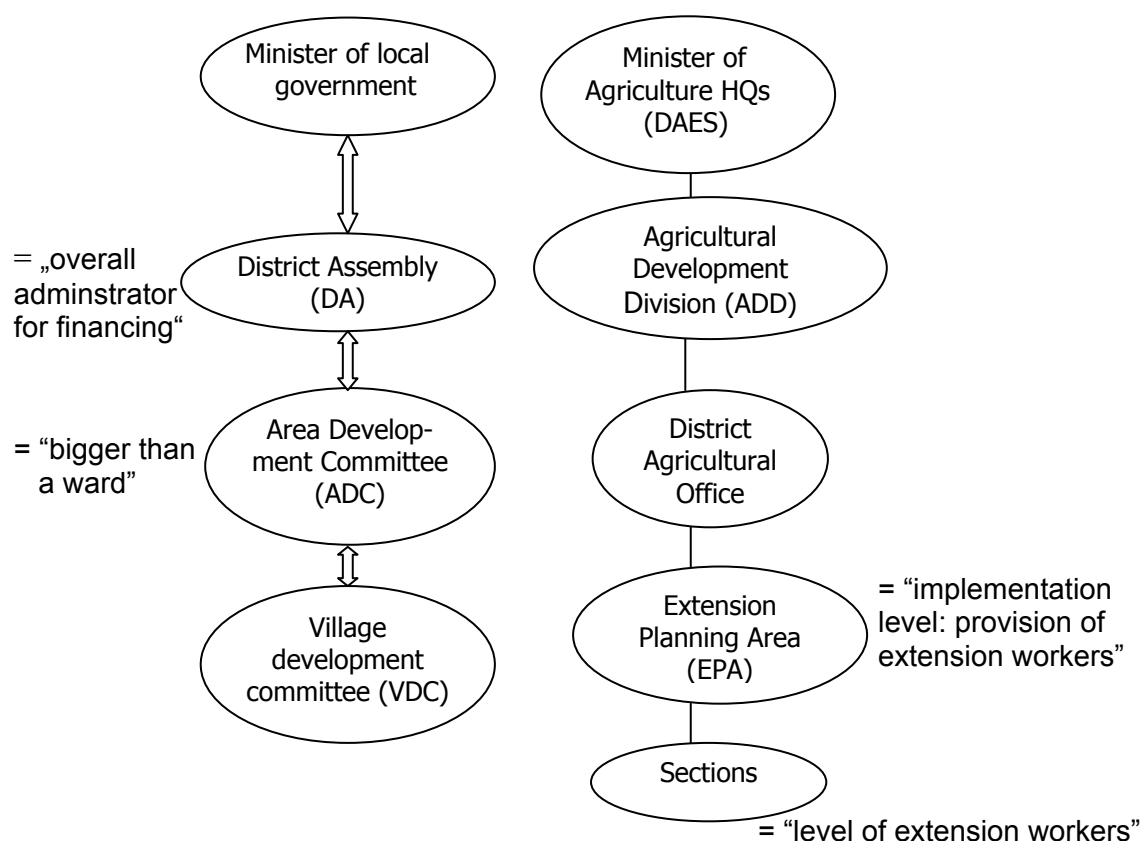
"Another problem with those that do not appreciate PEA is an attitude of some farmers, because of their dependency: If you don't come with a bag full of money they don't see a reason why they should come."

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3.7 *Case study* 2: Clear-cut processes – clear articulation of demand (Malawi)

A package of reports and documentations in a folder which had been provided to the participants contained a more detailed description of the BASED project. Paolo drew his colleagues' attention to the background material. Also, a short video about the project was shown. Students of the province's University of the North had produced it in a cooperation project.

Among the participants there were three colleagues from Malawi, who, due to a coach breakdown, had only arrived on Monday evening. Speeding up with the schedule, they presented a condensed country report with a focus on demand level experience:

Institutional framework

Minister of local government

= „overall administrator for financing"

District Assembly (DA)

= "bigger than a ward"

Area Development Committee (ADC)

Village development committee (VDC)

Minister of Agriculture HQs (DAES)

Agricultural Development Division (ADD)

District Agricultural Office

Extension Planning Area (EPA)

= "implementation level: provision of extension workers"

Sections

= "level of extension workers"

Facilitation of articulation of farmers' demand

- PRA (Road to progress) at VDC level (farmer groups)
- Considerations on agricultural issues:
  - Identify 3 priority areas/ issues
  - Gender issues inclusive
- Generation of options/ solutions
- Option categorisation (three categories)

  a) What farmers can do on their own
  b) Those requiring extension workers' assistance
  c) Those requiring external assistance
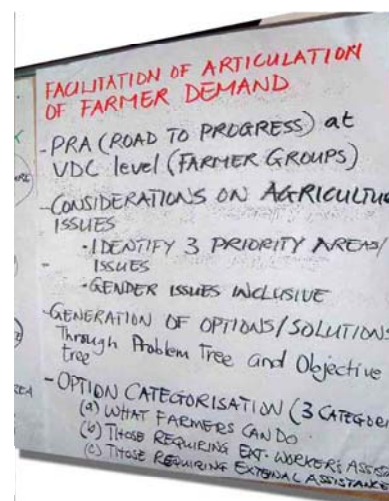
C.L.Z. Nkkhode Kondwani Distr. Agric Development Officer

- The demands are presented in the form of a project proposal

- Proposals are then forwarded to Area Development Committee, then District Assembly

- At each stage feedback is essential and is given.

In Malawi, a particularly formalized, subsidiary process of demand organization is practiced. After an overview of the history of extension in Malawi the country team described it as such:

1) Prioritizing:

In communities, extension workers face "many and varied needs". Agricultural issues have a priority, because "we are extension agents of the department", but other issues are not completely out of sight. To narrow the demands down to the essential needs, the communities discuss and identify their top demands in *three areas*, with a special attention on gender issues.

2) Analysis:

By means of a *problem tree and objective tree analysis* the extension agents generate options or solutions. These options or solutions are then split, together with the farmers, into *three categories*: Problems which the farmers can solve on their own, Challenges which require the assistance of extension workers, and matters which neither farmers nor extension workers can sufficiently address. The latter are going to be passed on to other service providers.

3) Articulation:

In order to have farmers "voice out their needs", the Department of Agriculture relies on a "participatory rural appraisal network" on local level. Its method, labelled "Road to Progress", is to provide a written, "decent" *standard format* to villages so they can take down their demands in the form of a *project proposal*. (The farmers receive training to do so.)

4) Aggregation:

The "*People village proposal formats*" are then handed over to the Area Development Committee, where they are aggregated. The ADC assesses which technical and human capacity is necessary to meet the demand and which input is needed on which level. As a principle, the issue remains in the responsibility of the area in which the demand has arisen, and is covered by service providers of the area. Only when the needs cannot be addressed there will they be forwarded to the district.

5) Feedback:

Feedback in service provision is deemed very important. According to the speaker, provisions have been installed to ensure that feedback is given timely in all stages of the cooperation.

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3.8 *Case study* 3: The benefits of quality demand
Example from the Integrated Crop Protection Project = ICP (Ghana)

As Mathias Braun reminded in his following speech, not all demand is evolving, institutionally fa-cilitated and long-term. There are also cases of instantaneous demand with a "now or never" time schedule. In emergencies, it's all about readiness and rapid action.

A sudden export cri-sis happened, in 1999, among Gha-na's commercial pineapple growers: Due to pesticide le-vels their exports were rejected on the European market. For reasons of qua-lity, the importers de-manded from them to have their prod-ucts certified.

The larger commer-cial farms were al-ready organized in a farmers' association which controlled the export. Insecure about what certifica-tion implied, how it worked and whether it was an option, the farmers first turned to their organization.

The farmers' associ-ation approached the government. All of a sudden, the project-supported govern-mental Plant Protect-ion and Regulation

Chart 30: The pineapple case: Parties and central issues involved.

Services Directorate, which before had only been contacted sporadically by the commercial far-mers, was confronted with a need for "emergency support". The farmers' association wanted:

- a quick response to the export crisis and
- a medium term and long-term response concerning certification.

To clarify what the farmers' would need most urgently in this situation - "Commercial farmers want very specific solutions to their problems" - the Project first gathered background information on how serious the crisis was, about the new quality requirements and certification conditions. Then, together with the farmers' association, the farmers' demands were clarified and formulated in mee-tings and workshops, together with other partners.

The workshop facilitation "resulted in a concrete demand for a joint response of NGOs, the farmers' association and the government." In reaction to this, pesticide residues were tested and protocols (Good Agricultural Practice) jointly developed as a basis for certification.

Several **success factors** made the quick reaction possible:

> ➢ strong and urgent relevant demand ("People turned up in the office we had never met before, and asked for advice")

> ➢ Farmers were organized in an association. They did not approach the Directorate as single commercial farmers.

> ➢ The farmers' association acted as a representative body and was interested to cooperate.

> ➢ They were finally able to properly formulate a qualified demand; commitment; and a timetable.

This report was the last facilitators' input of the day. Later, as a second part of the Ghana case study, Mathias Braun would describe how the government Directorate **responded to the demand**. As it was already well into lunch time the role play (cf. Chart 13) was omitted.

"We would like communities to behave in the same way as in Ghana: The farmers' association for pineapple managed to mobilize the entire system because they had a very important point. This is the proof that the linkage between organization and articulation of demand is very important. As soon as farmers are organized and capable of claiming services in a very strong way, the system reacts immediately."

Paolo Ficarelli

3.9   Developing cornerstones for organizing demand

The central factors for managers to bear in mind when they tried to organize community demand had become obvious in the presentations and discussions. To cluster them and help the

participants memorize and internalize them Paolo Ficarelli named another board "Organizing the Demand – Key success factors".

The first cards to be added to this board were the round ones: the headings from the previous international "challenges" and "successes" boards (Charts 16 and 17). In the discussions to which level of the framwork they belonged (Chap. 4.5), six had been been conceded to the "critical factors" – *Demand* chart (20, below), as a first essence of all demand-related issues. The morning's case studies had illustrated the important roles these factors played in practice.

Chart 20: Critical factors for organizing demand.

So now, it was a logical step to elaborate on them more deeply: to find out what *operational steps* actually were needed in order to foster these components. To this end, Paolo Ficarelli first arranged the six headlines (such as "**community planning**") on the plain board. They would now be complemented by their respective practical working guidelines.

The round cards in text, explained by Mr. Ficarelli (in brackets: the major source of account):

> "**Farmer Participation** is already a given. (country presentations)

> We know that we have **Participatory Extension Approaches** in place. (country presentations)

> We know that there must be some **linkages between research and farmers** at community level. (country presentations)

> There is the important linkage between **organization and innovation**. (BASED case)

> An essential component of all these processes is **community planning**. Without planning how the different farmers' groups can articulate themselves and their needs be aggregated the system cannot be in a position to respond to the demand. (Malawi case)."

Paolo Ficarelli subsumed: **"Unfortunately in most communities we don't have these conditions. But we _need_ a clear demand from smallholder farmers. If we don't reach this level we will always be battling."**

Now a group work session was to trigger a shared understanding of the preconditions of qualified organized demand. And it was to be found out how these conditions could be practically endorsed.

The participants were asked - in Mr. Ficarelli's words: **"According to the quality standards: What should be in place in order to ensure that the demand is organized?"** (Chart 31).

However, some participants seemed unsure (maybe only due to terminology) about the depth of analysis they were expected to do. In the end it took two rounds to agree on the "_cornerstones_".

Wearing policy: Mmantwa Sinky Kgaphola, Assistant Director Mphumalanga, South Africa.

"Here, we are talking about the best way to address the problem of poverty. Because we do not address articulated demands for the sake of having some demand to respond. It's because these demands allows us to deliver services that improve people's livelihoods. And smallholder farmers represent the majority of people living in rural areas."

Paolo Ficarelli

Chart 31: Task for group work on _Demand_.

Each group was joined by six to seven colleagues.

These were the working groups' results
(1st round):

Group 1:

- Communities are structured and respected
- Farmer-to-farmer networking (farmers are working hand in hand)
- Communities are channelling their needs through different fora
- HIV/AIDS as a challenge
- Building capacity to community structure

Group 2:

- Farmer participation + other service providers
- Organized farmers in well sustainable groups
- Farmer-to-farmer extension
- Well prioritizing needs
- Integration of farmers' knowledge
- Building on farmers' experience and knowledge
- Extension staff highly capacitated and motivated

Group 3:

- Supportive environment (law, credits, religion, culture, values)
- Capacity building of farmers to steer the process themselves
- Formation of associations with a common interest
- Structurally effective farmers associations
- Experimentation, on-farm-demonstration
- Self-organized community groups with own law

Group 4:

- Level of community organization
- Broader active community participation
- Ability of farmers to articulate own demands
- Community initiative, taking charge of their own destiny
- Level of conflict in the community

The groups' propositions were now discussed in plenary.

Because capacitation of extension staff was not a responsibility of the community, the card **"Extension staff highly capacitated and motivated"** was removed from the *Demand* board as a concern of the *Response*.

Living up to their names: the *working* groups.

The proposal of "**HIV/AIDS as a challenge"** seemed to suggest to the facilitators that the analytical level of their question had not been fully clear to the audience. Mr. Ficarelli pointed out that the facilitators' question actually targeted the "*mechanisms at community level that would us allow to answer* the challenge of HIV/AIDS". He proposed to the participants to read the question as "*what people need for this purpose: How to achieve that there are organized farmers, sustainable groups etc*."

In other words: *"What are the central factors for articulation and organization of quality demand?"*

Capturing that the considerable mass of information and termonology from two long morning sessions might have exhausted participants, Willy Ehret encouraged them to take another perspective: "Imagine yours*elves* as villagers." Personally adressing some colleagues, he proposed: "We are a community: Here's the women's 'group fellowship - here's the chief - the teachers - the youth - the technical adviser - *you* have been abroad and are back in the village now, *you* still go to school. Now imagine you want to come up as a village with all your different representatives to formulate and articulate a kind of a need in order that you advance as a community: What are important factors that you, as such a diverse community as you are, can say at the end:

"Capacity building of staff is either *Response* or *Support*."

Paolo Ficarelli

'This a what we would like to do, and this is the next step we should make to improve as a community'?"

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Willy Ehret also provided some clues of what was meant by "*factors which allow farmers to articulate and organize themselves, and enable managers/the response level to develop quality demand*":

Communities should:

- **be sensitive to the different groups**
- **negotiate**
- **be able to communicate**
- **find a common interest/ series of interests**
- **have the ability to listen to each other**
- **have somebody to act as a facilitator**
- **have leadership is in place**
- **be ready for a broad consultation process.**

"Where does gender fall?" (musing of a participant in another group)

Now, in a second round, the same groups joined to digest the new perspective. As the groups had perceived the critical factors in a too broad, too aggregated way before, the results from the first round were now broken down into 'smaller pieces'.

Task: Try to see how your different cards from before fit to the 4 major cornerstones, and develop further ones.

- Paolo Ficarelli had attached the first 4 "cornerstones" to the board, and, when the discussion went back into the plenary, invited the participants to revise their previous cards, cluster them around the four top categories, and add their new cards from the 2nd round.

"With these few cornerstones, we will set a compass to tell us which kind of **support** is required for ensuring that the system is able to **respond** to the **demands** that are organized at the local level."

Paolo Ficarelli

There was some confusion as to whether the three levels of the framework were actually determined by the *people involved* (paralleling, in a way, the concept of the macro-meso-micro intervention levels). If so: a) How to rank topics that involve all protagonists? and b) If *Demand* was "what the villagers do": Are there any actions at all that communities would entirely do without any involvement from outside?

A participant:

"Normally when communities plan, an outsider has to participate in the planning. The same with innovation: The villagers do have experience. But apart from that they know nothing about other things unless we as extensionists say: 'Come, and there is this idea' – 'Oh yes, we take it up!'."

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The partici-pants agreed that a better way of describing and defining the level of demand could be as to:*What is needed from communities?* - no matter how and by whom that input was facilitated.

Group 1, making up their minds about key factors for organizing demand.

The working groups' results (2nd round) – not all speakers directly referred to the 4 cornerstones:

Group 1: "There should be:

- a **coordination mechanism for existing commodity groups**
- **democratically elected representatives of interested groups to the higher fora**
- a **broader consultation process** of all groups and needs assessment
- a **prioritization of needs**
- a **market analysis**
- an **analysis of what the community can do for itself** and, as
- (initial) **external requirements**: assistance on project starting procedures"

Group 2:
- communities are well-structured
- strengthened function of commu-nity groups
- constitutions for the groups
- umbrella process

- analysis of what is being experiemented on
- emphasized need
- clear objectives
- planning meeting
- all groups represented at agricultural planning sessions
- communities represented at district

Group 3:
- knowledgeable facilitator
- group leadership (+ mandate)
- agreed-upon interest
- selective innovation
- share information
- involvement of various sub-groups
- agreed-upon objectives
- broad consultation among group members
- M & E
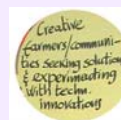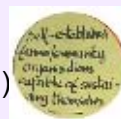
Group 4:

- Linking existing community structures
- Mechanisms for coordination
- Community constitution
- Problem of communication channels

- Identification of existing knowledge and experiences to adress problem
- Problem identification
- Acces to relevant information
- Broadening mechanisms for sharing information
- Involvement of technology assessment criteria
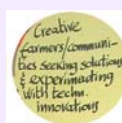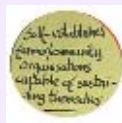
- Identify needs
- Analyze the needs
- Identify available sources
- Clear involvement of sexes
- Identify service providers
- Involvement of stakeholders in operational plan
- M + E systems agreed-upon by farmers

- Groups in the community
- Find criteria to select representatives
- Feedback system developed and practiced
- Accountability mechanisms to district

Extracts from the discussion:

Sharing concerns

There was still some need to clarify the line between *Demand* and *Response*. Again the question came up if the levels could be defined by way of the *personnel* involved:

Q: Doesn't the "**knowledgeable facilitator**" card have to go under *response*?

The group who had furnished the card explained that they had been thinking of a facilitator from *within* the community proper.

Accordingly, the card was modified into "**community-based facilitators**". But Mr. Ficarelli added: "Surely at the end we need a knowledgeable facilitator from the level of *response*. "
Such an external facilitator would surely *not* rank under *demand*, if demand was defined as: "What do we need to **find** *on the lower level* in order to be able to react on our next higher level?".

However, one participant insisted that even an external faciliator might be put under *demand* because: "If we talk along the line: What is needed to *happen within the boundaries of communities* (not in the *response offices*) in order that a certain necessary output from communities be generated. Then, an external faciliator (even if he or she themselves belong to the *response side*) can be subsumed under *Organizing the demand*. "

But it became apparent that if everything which contributes to organizing the demand on village level was *attributed to this level* – eventually the whole category of **support**, too, would end up under *Organizing the demand*.

So, to clarify the situation, it was confirmed that the crucial question to ask was (as had already been proposed before): *What do I need on the side* of the *response* (a facilitator) – as opposed to: *What do I need on the side* of the *demand* (comitment, interests groups, etc).

When the groups had presented and discussed their suggestions on flip charts Paolo Ficarelli promised that this was the way how clear important cornerstones "and key success strategies that should be in place" would emerge. But still the "Key factors" board was empty except for the 4 main categories. For it to be filled with the relevant issues the participants had developed, Paolo Ficarelli asked four volunteers to finalize the results. They took Group 4's flipchart of key factors and strategies (p. 67) as a model and tried to figure out any missing links that could be taken from other charts. In their compilation they were asked to ensure no relevant element from the other groups' contributions was left aside. With the end of the afternoon quickly approaching, the group task on "Consequences for Managers", a reflection of what the process meant for the managers who actually organize service delivery, was postponed to Thursday.

B   *Interplay*: Critical review of the day
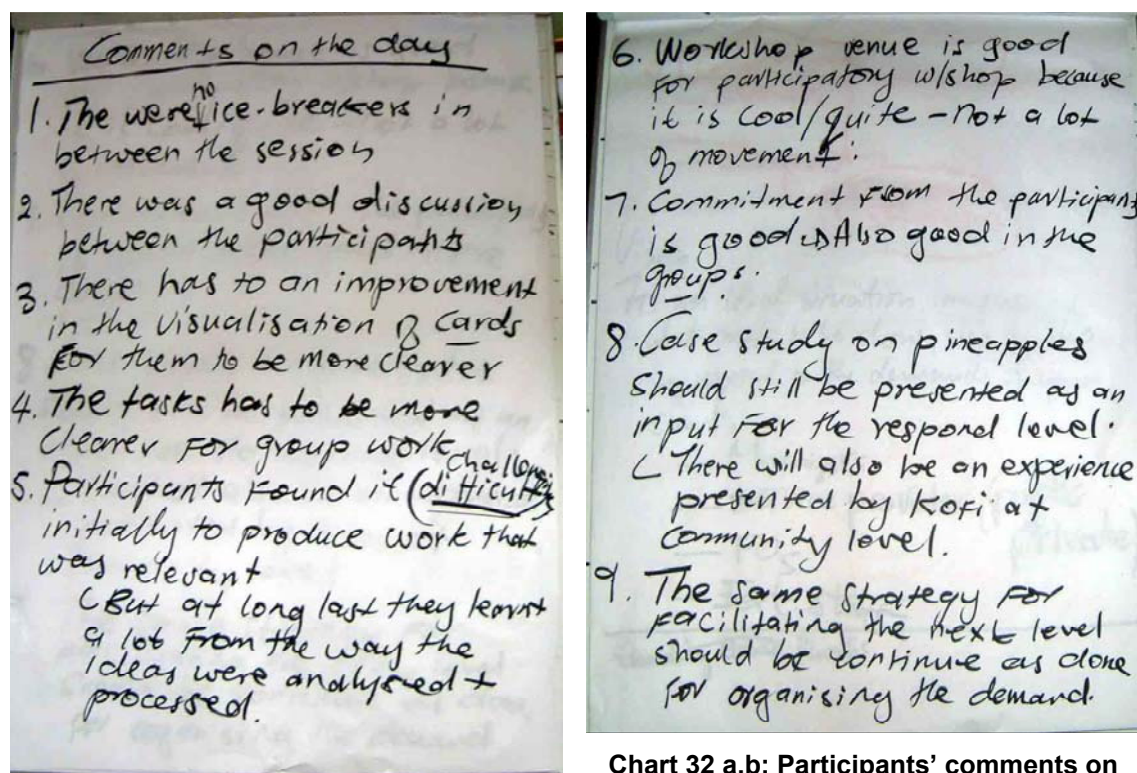
**Chart 32 a,b: Participants' comments on
Tuesday, 9th December.**

A group of participants had been asked to give feedback on the day (Chart 32). They had very good marks for the audience. In fact no one had tried out the "strategies for surviving a workshop" (Chap. 2.3). Instead, there seemed to be a consensus to stay involved with the workshop flow even through the longer passages of discussion and clarification. Group work was usually very intense. Given the necessarily short time of the exercises, the results were strikingly productive and could easily be further processed. The case study on pineapples was welcomed by the group, as a practical example, and wished to be further adapted and used within the workshop flow.

4. "It's a question of making noise": Field visit exposure

4.1 Preparing the field visit

Village profiles

Spitzkop

- The village is 90 km from the Ranch hotel and East of Polokwane city
- It has an average rainfall of +/- 600mm/ annum
- The village is under chief Mamabolo
- It is under Hennisburg municipality

Mbahela

- The village is situated 265km North-east of Polokwane
- The rainfall is +/- 700mm/annum
- The village is under chief Matsharada
- It is under Thulamela municipality

Instead, Joe Ramaru introduced the participants what to expect from the field visits. Direct accounts from partners and, if possible, on-site impressions are key elements of the workshops. A welcome sensual add-on to the lectures and exercises, this integrates theory and practice more closely than the case studies alone could do. With the service delivery framework and their situations back home in mind, everybody was able to discover on their own how PEA tackles challenges in the field. Due to this impact and as a whole day was to be spent on excursions this year, the preparation was very attentive and precise.

First, BASED project manager Joe Ramaru explained the geographical setting of the two BASED project villages which would be visited the following day: Spitzkop and Mbahela (see profiles above right).

Area around Spitzkop. The climate offers reasonable conditions for farming.

Both villages were among the six pilot villages when BASED started field work in 1998. Mbahela had already figured in the video that had been shown the same afternoon.

Joe did not go into details of the agricultural and social situation as the municipalities would do so:

The responsible municipalities for the areas had been chosen as a second destination. A personal welcome and in depth-introduction by administrative staff followed by discussions would ensure that the Response (and peripherically Support) side, would also be covered. In two groups of around 14 members each, the participants would head for Polokwane municipality and Spitzkop, or to Thulamela municipality and Mbahela, respectively.

In both municipalities and villages, the managers were encouraged to take attention to certain aspects. In the administration these were related to structures and linkages of the Department and local government, and the Integrated Development Plan, RSA's vehicle for district-driven joint development planning (right, below).

In the villages, attention was to be paid to processes of innovation, needs assessment and visions. To deepen previous information and exchange about the BASED approach and local government structure in South Africa, the participants were prepared to answer guiding questions handed out by Mathias Braun [While the list presented in class (right) only covered the major topics, the handout listed the questions in full text, see p.78]

Because the questions were divided up into relating to demand, response, or support, each of the two main groups formed three sub-teams to take care about 'their respective questions.

The facilitators hoped for mixed-country groups to sign up for each coach. Concerning the thematic groups on demand, response, support, Mathias Braun said everybody was free to chose: Already in the coaches on the way back 'home' people would exchange what answers they had gained.

"You only see what you know."

Mathias Braun, on the benefits of preparation and reporting.

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Community/ farmers

- Innovations adopted
- Organisation at local level
- Representativity (Limpopo Development Association, LDA): Capricorn and Vhembe
- Process undergone
- How do they formulate demand
- How have service providers responded
- Vision for the future
- Gaps/ challenges
- What kind of further support is necessary
- What, to their eyes, is good service

Implications task

- Developing strategies to attract youth in agriculture
- Involvement of NGOs in group formation
- Facilitate the formation of groups according to group capabilities
- Facilitate access to markets and market information
- Managers should have a basket of options for experimentation
- Conducting needs assessment continuously (periodically)

</div>

The following chapter refers to events in **Polokwane** municipality and in **Spitzkop**. Since only half of the participants were involved the account is kept short, providing only a rough outline.

Mixed group: Participants from South Africa, Mozambique, Malawi sharing views.

Wednesday, 10th December, 2003

4.2   Polokwane municipality

After a short welcome by municipality officials the visitors introduced themselves. To foster under-standing of the **institutional set-up** of public ser-vice delivery the municipality outlined the structure of regional administrative bodies in the Republic of South Africa, citing decentralized government structures in the Limpopo province as an example. The input closely linked up with Ms. Kganyago's welcome address on Monday.

Impressive range of services: Felicia Ansah-Amprofi and Aron Mdyodyo, examined the entrance panel.

Provinces

Districts   Capricorn

Local muni-cipalities   Polokwane

Clusters

(Polokwane: 35 wards)

" Wards is just a demarcation. In terms of service delivery we talk of clustered villages."

"For the municipality to come up with this structure of clusters it must be informed by the provincial legis-lation, and it should obviously align to all national legislation."

"A lot of energy goes into areas that are developing very, very fast."
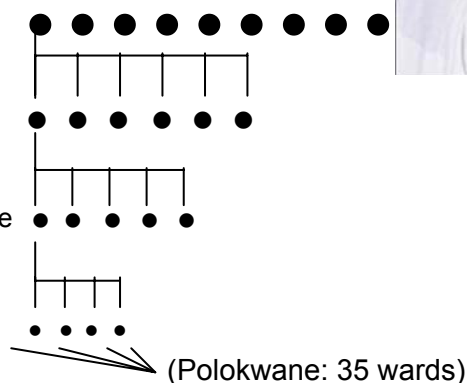
Surprising for some, it was explained on a map that the focal organizational entity for public service delivery in South Africa is not the ward. Instead, extension concen-trates on "**clusters**", i.e. villages, often in what used to be the former homelands, deliberately grouped together along social-geographical criteria. The "**spatial rationale**" of a given area constitutes the framework for development policy and planning. According to it, in clus-ters there can be found *local population points* (concen-trations of people in rural areas but also with sometimes rapid urban development taking place next door). Inter-secting clusters are termed *local population cross points*, *municipal cross points*, or *district cross points*. Polokwane has been ranged as a *provincial cross point*.

Land ownership is a major issue: Often, 100 % of the land in clusters is owned by the state. Most of the surrounding tribal land is also state-owned, with only some patches of private land and private farms in between. One such farm was later to be seen bordering the village (*right*).

Commercial farm in the Spitzkop area, side by side to smallholder premises.

In the plenary room, the administration structures were described to the Polokwane group.

The next speech in the plenary room was a lesson on how much the assumptions and claims of PEA and the Service Delivery Framework (SDF) were put to life. With a constitutional frame in place, the municipality was in a process of transformation to achieve development goals in closer consultation with communities. They had just embarked on change in June, with the adoption of the Integrated Development Plan (IDP), which Ms. Kganyago had already mentioned in her welcome address on Monday. The IDP defines four "key development areas":

- Transformation of the municipality to be in line with the constitution
- Meeting the basic needs
- Community Empowerment
- Local economic development

The basic needs of water, sanitation, electricity and housing are top of the agenda. "But by meeting the basic needs you cover others, too." The key areas are included in a three years' operational plan. The IDP is to be reviewed on an annual basis. A performance management system was adopted in 2002 to monitor performance, time frame budget and implementation schedule.

For needs to be prioritized the municipality takes up concerns that come from government, national or provincial agencies. The issues are proposed to the communities, who then prioritize their needs according to their situation. "Then we put them together and let the politicians decide." Two clusters are already listed to prioritize their needs.

The objectives of local government are to:

a provide a democratic and accountable government for local communities

b to ensure the provision of services to communities in a sustainable manner

c to promote social and economic development

d to promote a safe, healthy environment
   e to encourage the involvement of communities and community organizations in the matters of local government

Constitution, § 2
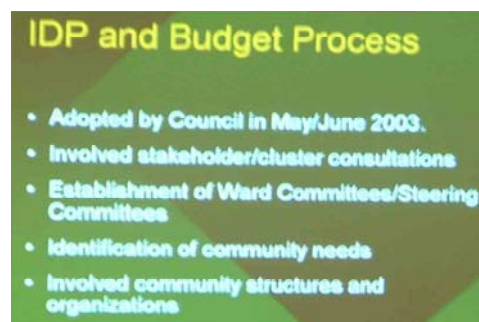
Slide taken from the "Development experience presentation to SNRD participants"

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Our vision is "a safe, prosperous and caring municipality free of poverty and inequality, promoting participatory development and providing quality services for a better life for all."

As a graphic example of one project among others the "African Markets" project aims at taking travelling 'flea market' sellers from the pavement and provide them with a joint market space in town.

The IDP initiation process is scheduled to be "through" by March. With a large list of stakeholders identified for any project, negotiations are still going on.

Extracts from the discussion:

Q: "Does the composition of the IDP involve all institutions and organizations within the municipality?"

A: "We start from what we call a panel consultation, then move to invite sectoral departments, traditional leaders, NGO and clusters. All people involved in the IDP unit identify community needs. Then we establish ward committees that are constituted by an elected ward councillor. The committees are a powerful driving force. Most issues at the local level are discussed and channelled through the ward convents. We have as much community participation as possible but it's a question of making noise. Unfortunately we don't have much noise from the people who are involved."

Q: How does funding reach the beneficiaries?

A: "We get grants from the government. Housing, for example is one of our priorities. Then we depend on public participation from Ward Councillors to see how we can go to village a or b because of IDP. This process is ultimately decided by the Ward Councillor at the basis."

Q: "Is there a constitutional space in the local government structure where local farmers organizations can voice out their needs, not only in terms of agriculture but also representing broader community needs?"

A: The Municipal ward committees. The ward councillor will bring the issues up and make aware of them, and they end up in the LVU.

"You can't talk about the IDP without talking about the budget."

"We don't just pull out. We're looking much more after sustainbility."

„It's a question of making noise."

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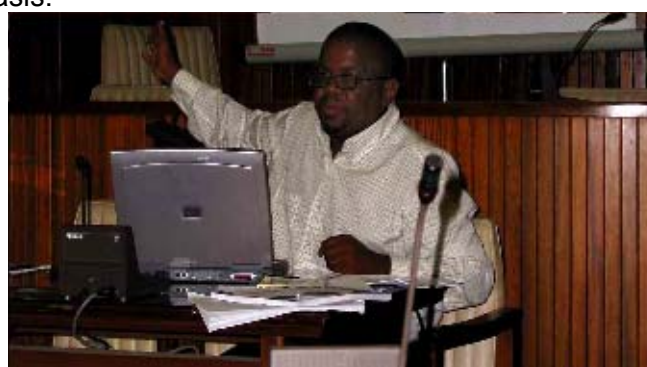
Attendance at municipality IDP meetings was often low. On the other hand, "we have at the district a forum for all district managers", one visitor objected. "In this "Managers' Forum" issues like IDP are raised. But other departments may not be attending. So we have a system in place, but the extent to which people own that forum is another thing." This concern was shared by a colleague from a fellow country. She suggested, among others, that the "minister should sign such letters so it puts a kind of pressure on them to be there." It was agreed that "this is not just another forum, this is affecting people's lives." Often, however, the challenge was to indicate "to a higher political level that this is a relevant problem."

Apart from the importance of mutual contacts and the problem of horizontal and upwards communication and lack of networking there was an informed discussion about structural problems such as how to match the extent of municipal responsibility with agricultural advance. Also, particular administrative and managerial issues such as adequate staffing were debated.

"Whatever extension policy we come across must be aligned to district and provincial policies."

"The challenges are that the IDP should inform priorities of all stakeholders, including provincial and national departments and that the cooperative governance regime is still at infant stage."

Change of scenery: Coach ride to the mountainous area of Spitzkop

4.3 Spitzkop

After the voyage through a decentralized administration landscape the group set road to Spitzkop. Here, too, the group was accompanied by Piet Mohlahlegi, PEA Trainer from the LPDA. A warm welcome with a farmers' chorus and a nourishing joint lunch introduced a several hours' meeting with 25 representatives of the village, mainly women. The group's speaker, who had already reported about the village in 2002's SNRD workshop, delivered an extensive speech revealing significant progress made in group organization since BASED project inception in 1998. *Practical demonstrations* were cancelled.

Hearty welcome by the farmers. In the back: basic needs assistance has left its traces.

In the community, 7 commodity groups have been established, sized around 5 to 50 members:

- Brick production
- Livestock
- Poultry
- African potatoes
- Bakery
- Vegetable
- Maize.

Empowerment personified: The women's speaker.
***Right, standing*: Piet Mohlahlegi, Trainer, LPDA.**

The positive experience from acting in organized groups (e.g. for buying seeds) was described as "more efficiency in a larger community", and being "stronger than the individual on its own". Farmers visited each other and gave feedback to other farmers, the visitors were told. An umbrella group (comprising the villages of Jack, Mafarane and Segoshe) had been formed. The umbrella group supports the groups – among others in accessing land care projects. "It helps us and organizes training. When groups have a problem they ask the umbrella group." A point was made that the degree of external support ("advice, not money") to be obtained depended on close relations to the project – another benefit of the umbrella group. The groups send representatives to regular umbrella and – whenever possible – to provincial and national meetings. "The representatives report to their groups. When they come back, they tell us, for example, to make constitutions for the groups." Asked about the criteria for a group member to be chosen as a representative, several villagers confirmed they looked at commitment, trustworthiness, neutrality and readiness to give feedback.

Training makes a difference, and farmer-to-farmer extension can result in advice at different occasions:
"We asked for seeds in our neighbourhood when we started ploughing. That was a result of training. Our neighbourhood did not ask for seeds." – "Other groups are very much behind our level, so we can tell them how to catch up and draft a constitution."

Three kinds of income generating measures – chicken rearing, brick production, dress making – bring the farmers nearer to their vision to become "more self-reliant, self-supportive, commercial producers, with not only hand-to-mouth sustenance but more output for the (local) market".

Sharing of experience: The village classroom as a fitting location.

There was also progress in production techniques. If before project arrival, the farmers had only gained five bags of maize (400 kg) from their rather limited fields of 30 by 90 m each, they were now able to produce 8 to 30 bags – growing independent from chemical fertilizers at the same time. Better ploughing equipment, intercropping and groundnut for optimizing the soil were introduced. Innovation even took a downright institutionalized form with patches of "experimental fields" reserved for trying out new seed and corresponding cultivation measures. Recipes like 'If we don't want the seed to be spoilt we must defer from dancing on the soil' were replaced by modern agricultural techniques. Advanced water retention and erosion control have triggered new aspects of livelihood improvement: "Since we are no more exposed to erosion we can practice conservation." Special care was taken for African potatoes, since there is a growing market.

Of course the challenges were not left out. Extensive farming needs land. A continuing problem was that cattle damaged crops.

But the most serious concern – not the least in terms of project follow-up – was that, as one participant observed, no youth was present at the meeting. "Agriculture has no appeal in schools, it is no more a main subject", the villagers resented: "Most youth are not interested in hard labour in the fields." On one of the chairs in what was actually the classroom of the village a *Nike* logo was painted with a felt-pen. While the working groups proved stable the number of people involved was in decline.

„Good service delivery is when whoever is there to assist us, does not go and tell us: ‚Do this and this' but comes here to listen, and then work together."

"We don't have enough arable land."

Annex to Chap. 5: Guidelines for questions to ask during the field trip

D= Demand; R= Response; S= Support

1. Visit to a District Municipality:

Guiding questions

D • What is the process for formulation of priorities in the Integrated Development Plan (IDP)?

D • What are the levels and mechanisms of community partcipation in the IDP?

D • How is facilitation/mobilization done at community level?

R/S • What are the structures of the Local Government (LG)?

R/S • What are the challenges/driving forces/hindering in implementation of the Local Government guidelines?

R • What are the linkages of the Local Government with the line departments, especially the Department of Agriculture (DoA)?

S • What are the priorities in the IDP?

S • How far does decentralization go and what does it mean for the IDP?

2. Visit to a Community and Farmers:

Guiding questions

D • Which innovations are practiced and how do farmers go about them (e.g. experimentation)?

• What is the organization of the group/community at local level?

D
• How representative/inclusive for farmers is the Limpopo Development Association (LDA)?

D
• What process was undergone to identify representatives?

D
• How is the demand for services formulated by farmers groups/communities?

D
• What is the farmer groups'/community's vision for the future?

D
• What are the perveived gaps and challenges of the services? Haw have service providers
D/R   responded to the demand formulated?

• What are the characteristics of a "good service" in the eyes of the groups?
R
• What kind of support is further necessary to strenghten farmer groups?
D/S

NB: During the field visit try to find answers to the guiding questions in the SDF level of your group.

Thursday, 11th December, 2003

5. Review: Analyzing, deepening, stepping into *Response*

5.1 Introduction of the day's programme

In response to the learning process on Tuesday and the progress made in identifying relevant factors for the bottom level of the SDF the facilitators adjusted the day's programme (p. 17). First, envisaging that the day would once more demand a lot of concentration from all, one more hour was conceded to the shopping trip to Polokwane (12h20 – 16h 30 instead of 12h30 – 15h30). On the other hand, the facilitators suggested to prolong the sessions into the evening – which was readily accepted since a timely return from the field trip yesterday had allowed everybody, tired but happy and full of new impressions, to repose or have a cocktail after supper.

The Balloon Code which had to be postponed on Tuesday was easily integrated into the morning sessions. Most importantly, however, a **review** of Tuesday's learning progress and presentation of the final product helped to ground the analytical approach before stepping into further levels.

When Joe Ramaru had proposed the schedule, it was to the Malawi group to give their feedback of the day before the field exposure. Starting with a joke, they gave a detailed neutral chronological account (Chart 34), which was much appreciated – and which bridged the gap to the first part of the workshop, "bringing us back to the workshop atmosphere", as Joe Ramaru put it.

The team of four volunteers who had finalized the "Key factors" board on Tuesday now had a chance to present their results. Kofi Biney explained that they had used all group work's results, and had added a few missing links from oral contributions where they had felt the written cards alone were incomplete. Two complementary suggestions were now presented by Paolo Ficarelli, and discussed.
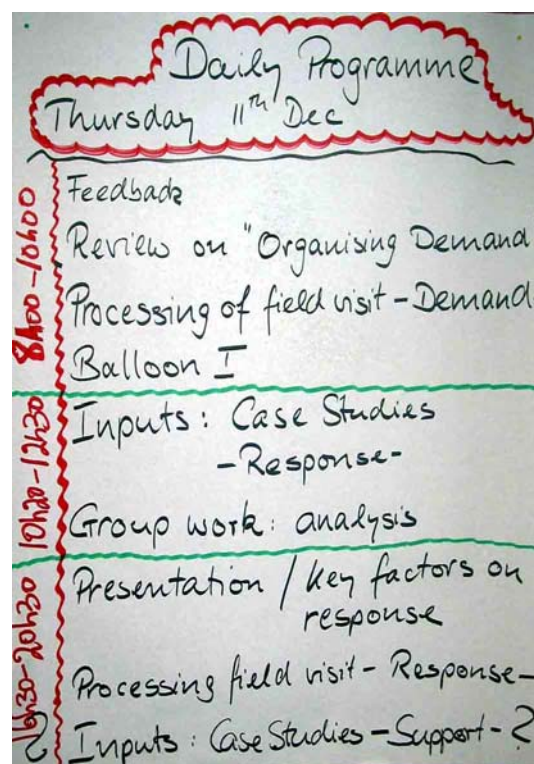
Chart 33: Day's Programme Thursday, 11th December

Chart 34: Review of Tuesday's activities.

5.2 Extracting and finalizing key success factors *Demand*

One card that was added by Paolo was **Training of farmers in community mobilization/organization** (below, first column). Such "Community-based service delivery complemented the work of the extension officer", Paolo explained, and "makes community organizations sustain themselves by providing services to other communities on their own."

➢ **Self-established farmer community organizations**

➢ **Creative & innovative communities experimenting**

➢ **Representation mechanisms**

➢ **Inclusive village plans based on analyzed needs**

Categories

Chart 35: Final product of the reflection on *Organizing the Demand*: the 'Key success factors' board.

Another factor that was added was **Developing supra-village organizations by communities** (Chart 35, last column): "You may recall that when representatives go to the local municipalities they don't represent one community but a large number of communities in that ward." Supra-village fora make mechanisms of representation work and underline the relevance of needs towards response.

Tea break

Interplay: Voices from the *learning shop*

At this stage, Willy Ehret asked for a mid-time individual feedback, inviting participants to share their views on how the workshop was proceeding – in terms of cognitive and emotional profit. As far as the statements are not qouted elsewhere in this report, they are comprehensively cited below:

"**I** was really confused on Tuesday. But what was put here today has explained it."

"**I** feel very moved because I've long been doing extension. But really with the background that I had up to yesterday I couldn't see how best our people are capable of doing things if they are correctly motivated."

"**I**'m happy to be here. I've learned a lot from my colleagues and the presentations that have been made. I've also learned about the system in which the facilitation is carried out. I feel it is very important as key lamp I'm going to pick up. And I just see that I'm still in the learning process."

"**I** feel very proud to be here. I think I'm gathering a lot of experience. Though we came late - we were behind a whole day -, because of the approach the workshop is taking, we are not let behind and have managed to catch up. So I'm feeling great."

"**I**t was very, very good because it was sort of re-orientating ourselves on how to approach our communities. The most important thing is not: How we can deliver the services? But: How do we approach those who need our quality services? Are we satisfying them, are we meeting their demands? That is why Limpopo is the most appropriate place to be, and whenever we are going back to any project this is the approach we must use."

"**I**t was quite interesting. Finally, it was all about the Johari Window: How sharing and feedback really means a lot. If we couldn't share all this information I'm sure things would be bad for me. But now that I've been sharing with you and the feedback that I got from other countries, this has opened my eyes."

"**N**ext March I'll be in South Africa: Then this workshop must be organized again!"

Q: How do you feel after the long journey from Mozambique?
A: "I'm now feeling comfortable because I've been soothened by the welcome I've received by the facilitators and by the audience whom I met last year."

"**I**'m also happy to be here. I was trained as an extension officer. But I changed and went into science. But I've just been appointed into this new post so I'm back in extension where I belong. My being here has a bit widened up my scope of extension. I *like* to be an extension officer."

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"I feel privilleged to be here. When I was invited to this workshop I asked myself: Oh, am I going to another *talkshop?* But when I got here I realized that this is a *learning shop*. We've learned a lot, we've shared a lot. And I realized our challenges in whatever you are going through is almost the same. And I'm happy that we are really putting together the strategies that we can go back home with and then implement so that we can solve our managerial problems and know how to go about responding to the demands of our farmers and other stakeholders. So I like to conclude by saying that, as the 'Welfare-Aunty' I'm happy to know that we are all learning in a very happy atmosphere and as one big happy family."

"Well, I feel very happy to be in this workshop for especially two reasons: The first is that I have attended the similar workshop last year. But what is so striking is that what was discovered last year is not what is discovered in this workshop now. Which means we are booting on what we know already. Another striking thing about this workshop is that now I'm able to actually know the critical issues as far as organizing demand is concerned. When you look at the critical success issues: Not that most of them were sometimes omitted when we're organizing demand. But from this workshop I feel really equipped that I'm able to organize demand very well."

"Being here I'm very happy. But with the Johari Window: I'm not seeing… – we are not opening up, colleagues. Honestly: Today is Thursday. And I see when we are here we share, but when we are outside we are still Namibians, South Africans, I think we have more to share outside which we can not really share properly here. But when we meet outside we go deeper and discuss and get to know a lot of things. And I think that's what we should do."

"First, I think, one should say: Thank you to SNRD for hosting a workshop like this. And a second thing that struck my mind is the big responsibility on us as managers to go back to our countries and going to implement a thing like this and make sure that we really do what we are talking about. I think that's the big challenge I face."

"I'm going to start speaking about the environment of the workshop: As I can see, the way it has been organized and the way each issue and each thing has been put in place – especially by the facilitators: It's a new input for me. Maybe all of us are facilitators also, and we are doing facilitations in our countries. So I'm still looking for these things carefully because we *have* to take notice of them. The other new input which I got was yesterday: I looked to the gender issues as been taken and placed in the fields for the farmers. Also, the farmers have good linkages and are getting well on these gender issues, and probably that's because their husbands don't work on the fields all days and the development has got other challenges. Another thing I feel is relevant is learn the issues. You know, all of our countries still are discussing about these issues. I heard yesterday that here in South Africa you also have got the same problems. I'm improving a lot, and I'm thinking about the next steps: What are the things that should be taken in place in Mozambique?"

"I've only got two issues of interest. Firstly, the most important thing is that when you start a new approach in extension you need to be two steps ahead. You need to plan and start implementing the work, organize programmes. This workshop has literally assisted me because I've now aggregated the approach in the organization of demand I've done in various countries. So upon the application of the ideas from all those various countries I'm now able to go back with a new, different idea which is going to be implemented with a look on the needs of the farmers."

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"I'm very happy to be here for the second time. I was here last year. From now on I will be very careful when I want say that I know something. Because when this happens it means probably I do not know what I say that I know. Some of the aspects that were not so clear to me last year this time became more, more and more clear. I would like to emphasize the question of municipalities with which we are not dealing with much in our country [Mozambique]. That was an experience I got here. And the final product of rural extension work we could see yesterday in the field – last year we didn't have a field visit, we just had a chance to talk to farmers. But this time we went to farmers and it was amazing to see farmers so happy with what they were getting. That's something that leads us to learn more and offer more of what we have. From now it is easier to see more things because I know more things."

"Now, coming from Namibia, a very young country, when I came here I was telling my colleagues: Ah, I think we are lost. There are a lot of things here, but: where are we? But I realized that other countries have similar problems. I learned quite a lot. Personally, I have been involved in a lot of type of hearings, next one in a fortnight. But the challenge for me still remains the issue of what we were talking of as 'quality demands'. Yesterday also I came to pick up that it's not an easy thing as we might think because it depends of the level of your people: where they are and what they endeavour and that issue of quality demand can be defined differently by many people. I will be clear how to approach it and share it with my other colleagues home."

"It was very, very good because it was sort of re-orientating ourselves on how to approach our communities. Because the most important thing is actually not: How we can deliver the services? But: How do we approach those who need our quality services? Are we satisfying them, are we meeting their demands? That is why Limpopo is the most appropriate one and whenever we are going back to any project this is the approach we must use. Don't forget to include me to this workshop once more."

Eventually, this was the facilitators' own commentary on the road covered until Thursday morning:

"90% of the statements could have been my statements as well. To sum up: I feel challenged to bring the theoretical framework together with practice. That we match the two things, fill the framwork with life. I see that the framework is a very good guideline, it gives us guidelines to work, and as you say: It is relevant for all countries here in Africa. It is an almost universal framework."

"Thank you very much for your feedback. Feedback is a precious gift."

"Well, I have a problem being a referee in the play the same time. You don't learn easy, but even if those things are really very difficult and the discussions are heating up, this is a process we have to go through."

"What you say when you are reflecting back to last year: It looks like we are achieving our objectives to deepen and advance our understanding. How I personally feel is: On one side it's a challenge for us as facilitators to create an environment here that is exacty targeted to your needs and so that you can discover a lot of things yourself. On the other hand I feel very happy because I think we are together here, and there is unity there is no tension and I'm very relaxed to work together with you."

A part of the facilitating team, kindly, the author was also encouraged to give her statement - as an observer from without.

"I think it is a very, very inspiring atmosphere. Also, the information that comes across is on the one side very substantial and also easily graspable even for an outsider. I found it very interesting to listen to your contributions and especially to see what's development work like in the field and what are the typical challenges you face in your practical work."

5.3 Reflecting and processing the field visit: Tasks for managers

A chorus on Unity and Progress, stimulated by Aron Mdyodyo, linked up with the next part. Meanwhile, the workshop flow was slowly but persistently approaching the working desks of the participants: The facilitators had a "Consequences for Managers" task up which had been postponed from Tuesday. There was a welcome occasion to link it to the field exposure.

To this end, Willy Ehret suggested that the concise guiding questions which had been handed out before departure to the district were a guideline. The participants should now think about some general major insights they had gained and highlight them on flipchart. The observations were to be cross-checked with to the four top categories of *Demand* (p. 65). Grouping ensured that both Spitzkop and Mbahela 'experts' came together, to share their mutual impressions.

Chart 36: Group work on field visits.

More detailed professional exchange about the field visits was left to tea breaks and the like. The field trip day was not specially reviewed in plenary. Obviously, however, Spitzkop and Mbahela issues, as well as municipality impressions kept coming up in subsequent discussions, and were deliberately woven into the framework scrutiny. The facilitators would directly refer back to them on the other levels.

The work was presented on four flipcharts.
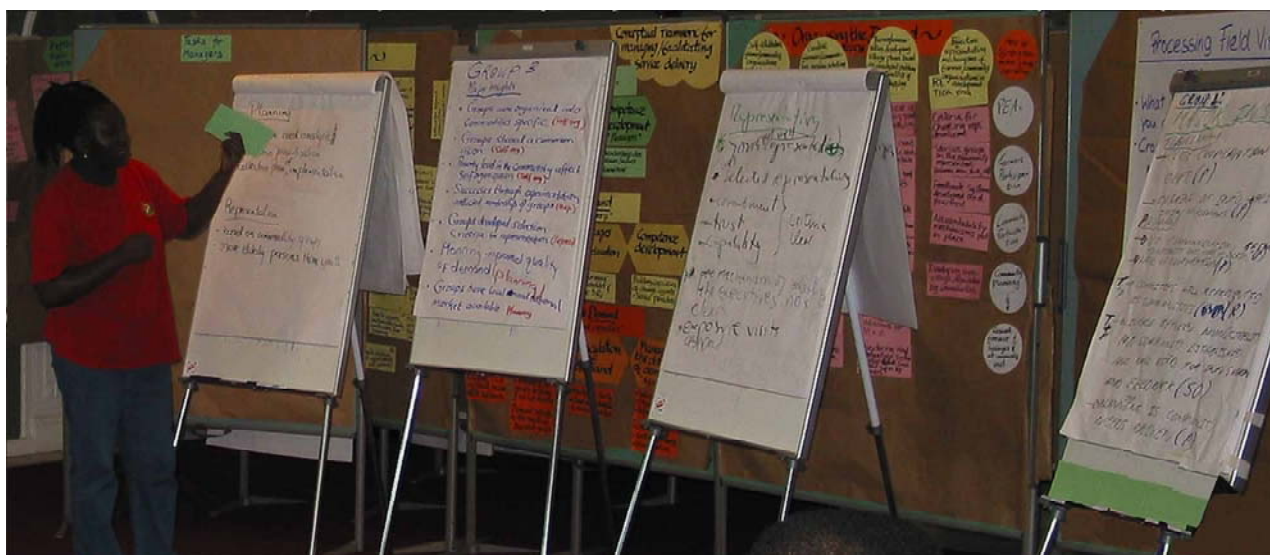
The working groups came back with these results (charts and some of their explanations):

Group 1:

Self-organization:

- Common need-driven
- Need for working together
- Immediate benefits
- Socio-economic problems
- Visionary leadership exists

Experimentation:

- Willing to test relevant options based on their needs/demands
- Willing to learn from peer groups
- Developed evaluation and selection criterion for the best option
- Experiment helped to do away with some cultural beliefs, e.g. superstition

Planning

- Collective need analyis
- Collective prioritization
- Collective plan of implementation

Representation

- Based on commodity groups
- More elderly persons than youth

Antindi Berfine Ndahambela, Chief Agricultural Extension officer, Namibia, represented Group 1.

The first two groups first checked the categories and found the following convergences and discrepancies:

Group 2:

Self-organization:

- Well-organized interest groups
- Umbrella group
- Linkages around villages: Umbrella bodies form associations: Community-based organization (LDA)
- Constitution
- Organizations have own bank account

Planning

- Capacity to organize demand at community level "without external facilitation") still a challenge

Experimentation:

- Self-reliance ("without consultants")
- Well-organised and experiential learning through experimentation
- Monitoring and evaluation

Representation

- Youth not well represented
- Well selected representatives:
  - Commitment
  - Trust   clear criteria
  - Capability
- Mechanism of selecting the executive is not clear
- Exposure visits abroad (Uganda): "Quite interestingly they are at a level to represent their country abroad."

Group 3 first gathered ideas independently, then cross-checked them with the categories:

Group 3:   **- Major insights -**

- Groups were organised commodity-specific, no other interests (Self-organisation)

- Groups shared a common vision (Self-organisation)

- Poverty level in the community affects self-organisation (Self-organisation)

- Successes through experimentation attracted membership of groups (Experimentation)

- Groups developed selection criteria for representation (Representativity)

- Planning improved quality of demand (Planning)

- Groups have local and national market available (Planning)
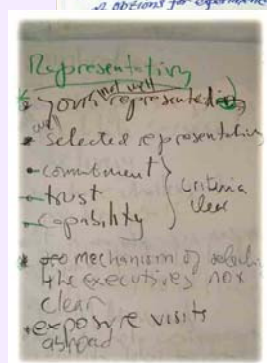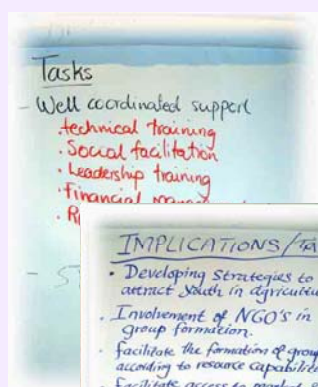
"The road is open the moment the community changes their minds from being waiting for handouts to doing things for themselves."

Group 4 followed the same strategy as Group 3 but specified the village:

Group 4:   **- Major insights -**

Tohulamala:

- Close cooperation between departments (Planning)

- Sharing of information, prioritization of demands (Planning)

Polokwane: almost the opposite:

- No communication between municipality and Department of Agriculture (Planning)

- Lack of cooperation (Planning)

Both:

- Communities well represented within Committees (Representativity)

- Linkage between municipality and community established and well used for information sharing and feedback (Self-organisation)

- Planning is community needs-driven (planning)

Villages: Spitzkop and Mbahela

- Communities are well organised (Self-organisation)

- Umbrella organisation is effective in helping them to address their needs (Self-organisation)

- Leadership is democratically elected (Self-organisation)

- Project membership constitutes the real interest group (Representativity)

- Market needs addressed because communities are well organised (Self-organisation)

- Self-experimentation for various innovations is actively practised by farmers to solve their problems (Experimentation)
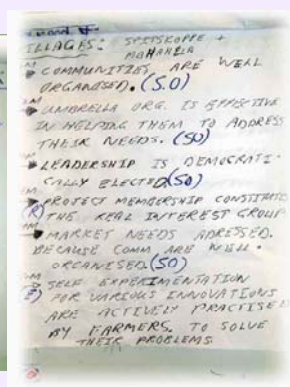
Group 1:   **- Tasks -**

"To our view, the challenge is proper coordination. We have the municipalities and other players, who must work together. So for us, it's again to make sure we coordinate properly so that the services are properly delivered."

- Well coordinated support:

- Technical training
- Social facilitation (to enable participation)
- Leadership training
- Financial management
- Record keeping

- Stimulate discussion:

"As managers we cannot just sit down in the office. We must become more open and make a strategic move to stimulate the discussion."

Group 3:   **- Implications/Tasks -**

"It was indicated by the farmers that there is a struggle to encourage the youth to participate in agricultural activities. We thought that as managers it was also necessary for us to attract youth to agriculture."

- Developing strategies to attract the youth in agriculture

- Involvement of NGOs in group formation

- Facilitate the formation of groups according to resource capabilities

- Facilitate access to market and market information

- Managers should have a basket of options for facilitation

- Conducting needs assessment continuously (periodically)

Group 2:   **- Implications -**

- Well-organised groups facilitate service delivery

- We have a challenge to involve youth

- It is our responsibility to build local organisations - capacity to articulate quality demand

- Need to help community identify local facilitators and build their capacity

Group 4:   **- Implications/Tasks –**

Jan Schutte: "It was a rather difficult exercise not to list things again that reflect the *Support* and the *Response* rather than just the *Demand*. So we were thinking about: What should be in place at community level for them to be able to voice their demand? And what we as managers would wish to happen at community level so that demand can be articulated." The group's chart read:

- Facilitation skills essential in process of demand organisation

- PEA very important

- Empowerment of community v/s handouts

- Institutional arrangements of community structures very important and effective

"We think that facilitation skills are very essential in the process of demand organization so that the people on community level are able to facilitate their own meetings. Also, for us as managers PEA is very important. The part of demand cannot be achieved without being participatory. And if communities are not well organized, organizing the demand will not take place at all."

The following tasks and implications were distilled from the group work and placed on a board:

Tasks for managers

- Facilitation skills essential

- Social facilitation

- Stimulation of discussion

- Technical training

- PEA important

- Record keeping

- Financial management

- Facilitate access to market and marketing information

- Empowerment v/s handouts

- Conducting needs assessment continuously (periodically)

- Managers should have a basket of options for facilitation

- Organisational*) arrangements important

- Well organized groups will facilitate service delivery

- Need to identify local facilitators and build their capacity

Chart 37: Organizing demand - Tasks for managers

- Responsibility to build local organisation capacity to articulate quality demand

- Facilitate the formation of groups according to resource capabilities Challenge to involve other groups e.g. youth

- Challenge to involve other groups, e.g. youth

- Developing strategies to attract the youth in agriculture

- Involvement of NGOs in group formation

*) Mathias Braun proposed to change **"Institutional arrangements of community structures very important and effective"** (Group 4) into "*organisational* arrangement" as to avoid confusion with governmental set-ups

Antindi Ndahambela (right) handed over the cards.

Approaching the managers with some contributions to the work load…

5.4 The Balloon Code: Balancing the workload

A "balloon code" helped people associate with the tasks written on the board: The participants were asked to chose "the four most important tasks for yourself perso-nally, as a manager" from the board, and write them each on a balloon. Encouraged to read the tasks aloud and try and keep all his or her four balloons in the air at a time, no one of course succeeded. In the same way, Paolo said, anybody who tried to fulfil all tasks on his or her own would end up lost. The lesson: "Teamwork, support from several managers, and prioritization are three very important strategies."

"These are things we experience every time and every day in our work as managers. The conclusion is clear."

Paolo Ficarelli

Lost, without a helping hand: Ephenia Kganyago

Physical energizer and graphic lecture in one: the balloon code, in preparation.

5.5   *Case study 1*: Training and interaction for qualified response (Malawi)

"As soon as farmers push the demand to the service providers the demand will be responded. But we also look to the quality aspects on the response level: Farmers need *quality* response to *their quality* demands."

In Malawi, district stakeholder meetings comprise of representatives of the Ministry of Agriculture, district councillors, NGOs, the private sector, the agribusiness, and religious organizations. In order for grassroots organization to "access" response (cf. Chart 39), Malawi sustains a training programme: Participants to the stakeholder meetings

Chart 38: Response to demand: Participatory set-up.

are provided with courses in Effective Group Leadership (EGL) and Essential Management Skills (EMS).

Trained representatives can then voice their concerns in so-called "district change teams" which serve as special interfaces between demand and response, with important coordinative functions. Here, they already meet service providers, for more immediate interaction.

"Change teams help us better understand what service delivery means, and to better respond to farmers' demands."

CF: Commercial Farmers
DAC: District Agricultural Committee
FO: Farmers' organizations

PS: Principal Secretary
SH PANEL: Stakeholder Panel
SH –FS: Small holder – Food Security
SSC: Smallholder Commercial
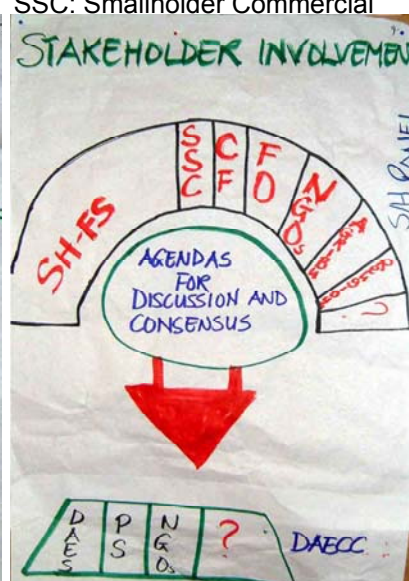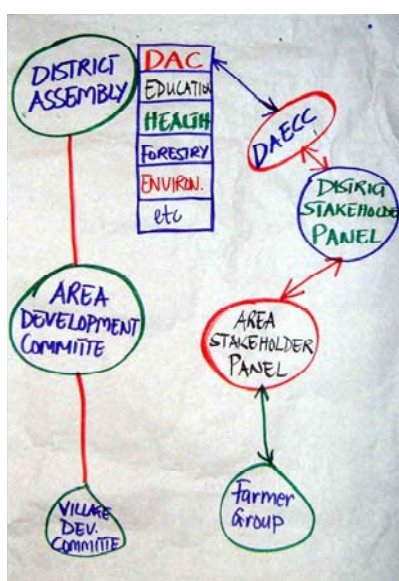
Charts 39 and 40: Demand ladder; Stakeholder involvement.

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The Malawian way of responding to demand foresees that change teams, too, are capacitated, for interior coordination and functioning networks. They also receive training in extension management skills (i.e. managing demand). Each extension provider in the district will give regular accounts about their range of activities and financial and human resources capacities. In knowing each other, service providers can also group together and share resources, which helps advance experience and qualify response.

In order to ensure timely and sustainable service provision, a Memorandum of Understanding (MoU) has been signed between a particular service provider and a particular farmers' group – a "strong bond that binds the service provider to the farmers."

Delving into details: Mr. Ehret and Mr. Ficarelli in conversation with Paul Whiteson Kabuluzi, District Agricultural Officer, Malawi.

As the Malawi report ("case study") on *Demand* had already sketched, area Stakeholder Panels, in which farmers of all production sizes, from subsistence to commercial/state farmers and the agribusiness, have a say, receive and discuss community proposals. Then they establish contact with service providers or, if necessary, forward the proposal to higher administrative entities such as the District Stakeholder Panel. On the other hand, they are accountable for turning down proposals and explaining why to the petitioners. Farmers are represented at all levels for decision-making and process observation.

Another body to "ensure that extension reaches the farmers" is the District Agricultural Extension Coordination Committee (DAECC). It advises the District

"The central factor is that farmer groups articulate their demand at the local government."

Assembly on demands which have reached up to the district level and require higher authorities' attention. The District Assembly (DA) itself approves of all funding. As in Ghana, the DA hosts several sub-committees such as the District Agricultural Committee (DAC), and committees for Education, Health, Forestry, Environment, Finance, etc.

5.6 *Case study 2*: Self-help through innovation (Ghana)

Example from the Integrated Crop Protection Project = ICP

If it is a main pursuit of a workshop to mobilize insights and experience and make them productive so that they, instead of fading out, are memorized and gain momentum, this year's "Managing Change" workshop was an overachiever. Statements like that of a farmer: „Good service delivery is when whoever is there to assist us, does not go and tell us: ‚Do this and this' but comes here to listen, and then work together" were not only quoted by participants at several occasions. In case studies also, this 'developer's commandment' was made to be remembered.

Confronted with pests and diseases on their crops, Ghanaian farmers were looking for a way to produce healthier crops. A participatory extension approach was now described by Kofi Biney. It started from **technical needs**, which were to be met **sustainably** – both impact-wise and environmentally/economically, without an overdose of pesticides. The project developed a **methodological** response to it (labelled "Participatory Technology Development and Extension" - PTD+E), with experimentation as a cornerstone.

The first step, as "with all stakeholders and stages", was **"to find out what problems people have at what level.** You need to know the sheer facts."

Acquaintance with existing structures was a precondition for community selection and entrance. Kofi Biney: "You also need to appreciate the absent and the unknown so that when you enter trust can be built."

Kofi Biney, Extension-field coordinator, ICP-GTZ, Ghana

After going through this process farmers' needs were assessed, and then "**we looked at what we have and what they want, and we tried and offered some options**."

"Then there is this initial state where you need the partners to **chose among the different options**. So the options were discussed with the farmers, and later also **methodology and strategies**, based on the options the farmers preferred. The farmers "put themselves together into **interest groups** and developed **their own plan** as to how they wanted to test their option". They included **scenarios** and how they would react to them. Strengthening the groups was of prime importance because "**only strong groups have enough room to think of forms of underdevelopment**."

Kofi Biney: "It's a question of effort at a particular point to see how the groups can be **consolidated**. There are several measures to do it."

After there preparations, the groups would tackle problems in **experiential cycles**. At any stage of the process, the farmers would be ready to find out **next steps** that needed to be taken - "which means they are in a new learning-innovation cycle". **New groups** would consult existing ones and open up new cycles, and the old group would identify **new needs** again.

Of course, "there was a bit of **preparation** to this": Intensive training was made with frontline staff and also to 'master trainers' – who actually trained the frontline staff. **Capacity building** concerned technical service, leadership skills and change management.

In this approach (which took on the **district** as a whole), Mr. Biney found many **cornerstones** that had been discussed:

- **Planning** community selection and entrance, to establish trust
- Need assessment and prioritization
- Action planning: operational plans
- Facilitating
- Look at options which are sustainable
- **Self-organization**
- Group formation
- **Experimentation**
- Minimization of risks of difficulties and losses so that:
- Informed decisions could be taken
- **Representation** was a minor issue, but some farmer groups tried to reach up to become part of bigger groups
- **Competence development**
- Technical training
- Methodological training
- Planning and organizational training
- **Backstopping**, follow-up.

To this, the following charts were shown:

"Negotiation means com-promise. It does not mean conducting a stakeholder meeting in a way that you listen to some-body and then write whatever you want, anyway."

Mathias Braun

Prepared to add on PTD+E explanations: Willy Ehret

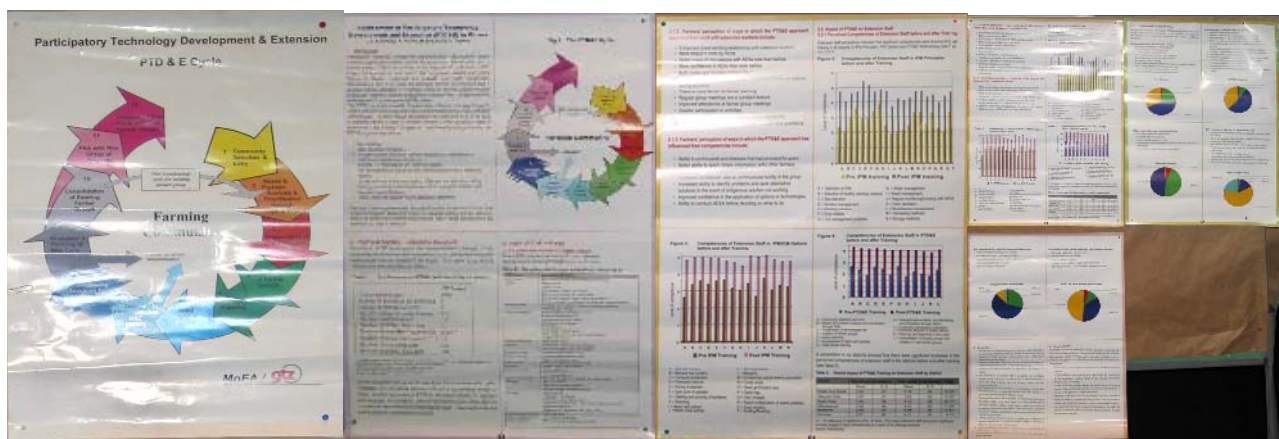**Chart 41: Organizing the response: the case of Ghana.**

Chart 42: Participatory Technology Development and Extension (PTD+E) cycle. Assessment and evaluation of project results. (Full sheets to be obtained through the Project.)

5.7 *Case study* 3: Clear role assessment - sustainable response
Example from the Integrated Crop Protection Project = ICP (Ghana)

After he had described the "pineapple crisis" and the commercial farmers' articulation of a qualified need (Chap. 4.8), Mathias Braun told the audience how the story went on.

Didactically, this kind of "serialized" case study in three parts was ideally fitting since it followed all the steps that were taken **along the service chain**. The split-up parts could then be presented as they were needed in the course of the training modules. It also suited well to keep up the attention level in a workshop programme which, in 2003, put a special emphasis on many case studies in sequence: "In 2002 we had only one case study [RSA], this time it's three case studies, so it's much more systematic." (Willy Ehret).

There had not been any discussion immediately after the inception presentation on Tuesday. But in 'multilateral' chats meanwhile, colleagues had argued that in their daily routine, they did not see any capacities nor point in answering such **ad-hoc demands**, which admittedly were coming up in districts every day.

As a good example of how in an open atmosphere sharing modified and promoted the workshop, Mr. Braun therefore put an emphasis on **mainstreaming responses.**

Ad-hoc demands, all the same as

Chart 43: The pineapple case: Parties and central issues involved.

structural demands, Mr. Braun argued, could be taken as a **chance for change**, if they were structurally analyzed and addressed in a structural way ("not on-and-off"). In the 'pineapple case' the demand was to become a part of the innovation – "on national level, here, but it could also happen on district level."

The first step into delivering qualified response was to research the **basis for decision-making**:

- **Relevance/importance**: annual turn-over: 30 mio. €, second biggest non-traditional export crop after cocoa, approx. 500 farms 10,000 people involved. Pineapple exports are a major and growing part of the economy, so the Ministry for Food and Agriculture must respond. ("Correspondingly: If the **district** furnished an important part of the national economy which was endangered, *you* would have to react, whether it is in your medium-term development plan or not.")

- **Mandate**: the Ministry of Food and Agriculture has a policy on "market-oriented agriculture", which includes commercial farmers. There was a mandate for standard-setting in plant protection, no mandate for commodity extension. The legal basis on food safety was not comprehensive. GTZ support was possible because a new focus on market orientation in poverty reduction allowed intervention. This mandate was at least a basis for first action, even if the consequences for mainstreaming were not apparent, at first.

As Mr. Braun demonstrated the mandate had certain implications for the **support level** – among others in terms of pluralism of service providers, since no provider would be able to react comprehensively on their own.

Later a **separate working field** to cope with the innovation process was installed.

- **Resources**: technical staff from the Plant Protection and Regulation Services Directorate, funds from projects; trial sites, interested stakeholders and Farmers Managers as well as market access from the Farmers' Association and NGOs had linkages to the foreign market.

After a decision was met to intervene "we went into **knowledge management**". The question of standards was to be addressed, because with the pesticide problem and certification as a possible way of reacting, **legal standards** were needed, so that a certifying body could refer to them. The stakeholder for governmental standards were on board already. Now pesticide standards in Europe (as the main market) and the certification landscape was to be found out ("Linkage to external information sources"). Then standards (GAP = Good **agricultural practices**) were developed for growing pineapple. As a reference for certifiers the standards were published as books, together with the Association and NGOs and **under the umbrella of the government** "so that nobody could challenge them".

Willy Ehret assisted Mathias Braun in compiling the board.

Staff competency was needed in trials and technical surveys. In-service training was amended by specialized external training in certification procedures that is formally required for entering the process [Mr. Brauns reference to the generally high cost of such courses was accompanied by the plenary murmur: "a very good point"]. The Farmers' Association was exposed to **conferences and exchange visits** to mainly South Africa, but also Europe. A new NGO was initiated and is now being qualified to assist smallholders to become certified (this was required due to mandate limits). The different service providers that came into play were coordinated in **stakeholder meetings**. A joint plan of action was developed. At the Farmers' Association level a certification **working group** took "things into their hands", while GTZ conducted Training- of-trainers workshops.

Standard courses were established in which trainers could obtain certificates as "**approved providers**" of services to the farmers (requirement of certification process).

The provision of services and the roles of service providers were of course monitored.

Cost sharing of course was an issue. The following arrangement was met: Joint activities, publication cost, trials cost (large expense by FA) were covered jointly by all stakeholders, according to various shares (mostly 80% project, 20 % farmers). For the farmers' training a memorandum of understanding between farmers, NGOs and the project provided for 80 % of the cost being raised by farmers, and 20 % by the project.

By now 60 % of the Ghanaian export (15 to 20 mio. €) are certified. However, this involved large farms and was regarded as a weak point. On the other hand, Mr. Braun noticed: "Small-scale farmers are now in the programme and benefit from it."

Mathias Braun, continuing to take stock: "We worked a lot with large commercial farmers – but for the sake of learning for the small-scale farmers. And making knowledge available to as many people as possible is a classical role for a government."

From a narrative point of view this was a very graphic practical example - with clearly identified opposite parties right from the start, petitioners which, as a group, had a name and mandate, a felt commitment to the need of action, and defined interests which needed to be negotiated.

The higher number of case studies as compared to 2002 helped much for the subsequent extraction and understanding of response cornerstones and was in line with the workshop series' emphasis on real experience. Yet, it also made itself felt in the time schedule (e.g. the option of viewing educational videos on demand practically disappeared) in a certain hurry of presentations and certainly in the participants' capacity to concentrate. A quick break was put in. After that, the fourth case study was shared by Joe Ramaru.

Working chats and interaction on the verandah.

5.8 *Case study* 4: Outscaling through action-learning (BASED, RSA)

A central issue put on the *Response* level (Chart 19) was *competence development*. Several presentations and the field visit had already proven its indispensability. But it was Joe Ramaru's part to tell how competence development with various parties could actually be achieved in project practice so that skills and knowledge were proliferated vertically and horizontally.

"If you work with smallholder farmers it's all about putting yourself in the shoes of the farmers."

Joe Ramaru

As the project was passing the different phases of its learning cycles, it was felt that the field frontline staff, i.e. the **extension officers**, ought to be capacitated over time. So in year 3 of the implementation, the officers were encouraged to **review the methodology** and think in relative terms "What you see is only one approach. So, do not become narrow-minded and start your own approach without understanding what others do.

Time was flying, but questions could be asked in between.

Because whoever is engaged in PEA should also be exposed to other approaches and be able to use and integrate elements from them."

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Another aim was self-development: **Empathy** and **authenticity** ("Try to be yourself as a facilitator: E.g. when you're Kofi you shouldn't pretend to be Joe.") In facilitating the process this all related to impact, Joe Ramaru said.

The same with "**vision and values**": If *you* don't have a vision in terms of community development how can you facilitate other people to have a vision?" **Management skills** included elaborating action planning and efficient hypotheses.

A recent project review in May had changed several things, Joe Ramaru added, but the principle of capacity building had remained the same: A process of **action-learning** in this way:

Initiate interest – exposure to methodological aspects of PEA (orientation workshops) – 2 months of implementation – searching for new ways – sharing, exchange – again performance in the field – strengthening capacities "-and so on."
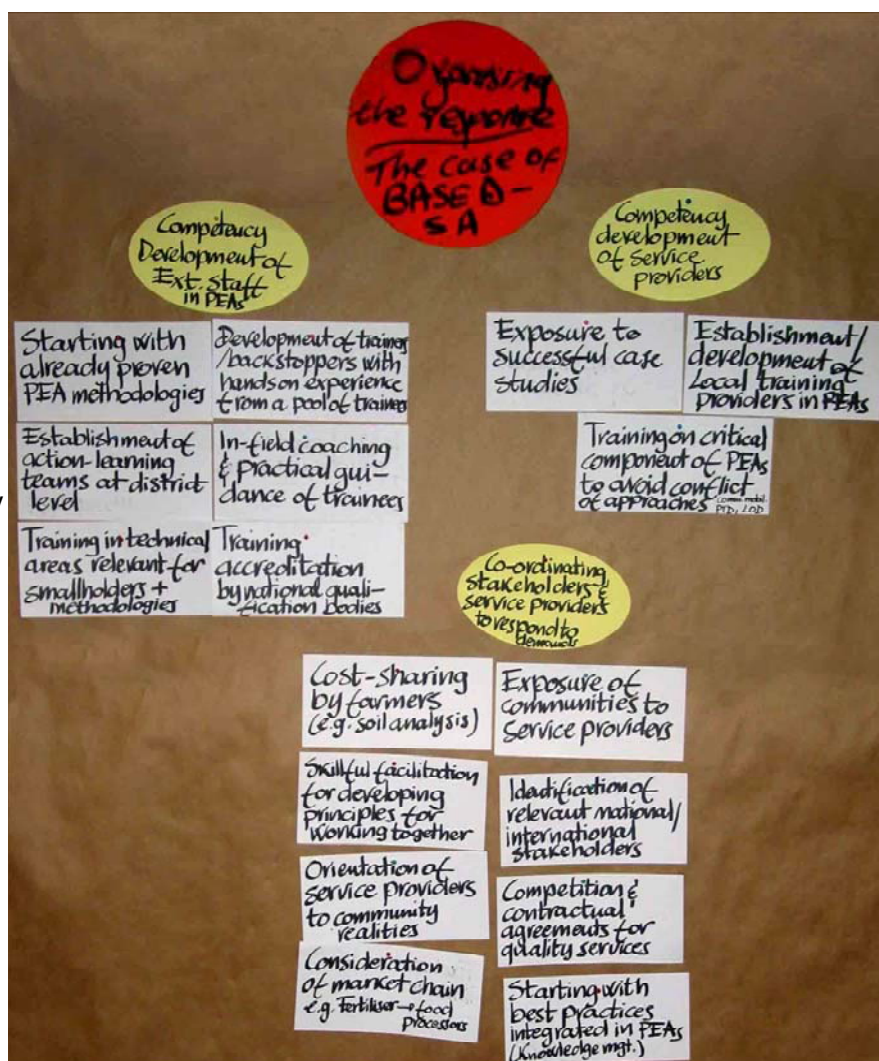
Chart 44: Critical factors in organizing response within BASED.

Joe Ramaru continued with the set-up of BASED competency development:

Implementation teams helped to organize ("-not in the form of an organogramm structure but only for PEA process coordination: like the a change teams in Malawi.") The BASED programme is housed in the office of the **General Manager**, to whom Joe as BASED's Programme Manager is accountable. The **Programme Manager** is responsible for managing the programme in the whole province. In each **district** – the level of Implementation teams – a BASED **coordinator** works together with a team of facilitators. In the sub-districts - "basically the municipalities", **backstoppers** (those who have been trained before and are experienced) coach and help the newly trained extension officers (teams of three) in order to fasten the process of implementation: "Backstoppers have their own villages but also help the **peer learning team**. If necessary they take the lead in the facilitation. But the responsibility is still with the peer learning team themselves." Extension officers are accountable to their own supervisors: "The backstoppers should not take responsibility off the supervisors."

The critical factors (cf. Chart 44):

Competency development of PEA staff:

- Start with a proven participatory extension methodology (not from a vacuum)

- Establish action-learning teams

- Train staff in technical areas

- Development of trainers: Selection from "a *very big pool* of trainees, because not everybody will be a good facilitator."

- In-field coaching, practical guidance: "We don't train people and then just leave them to be frustrated."

Disputing details: Mmantwa Sinky Kgaphola, Assistant Director from Mphumalanga province.

- Accreditation: "People get much more motivated if they are accredited by official bodies."

Competency development of service providers:

- Exposure to successful cases

- Establishment of local training providers in PEA: "Starting from the process in Limpopo there was also a need in other provinces such as Eastern Cape and Mphumalanga." The Department of Agriculture, however, decided not to "just to go out and train" because, in order to be sustainable, the provinces would have to rely on their own responsibilities. Instead, external facilitators were established to accompany the process.

- Training in critical components of PEA to avoid conflict of approaches: " Other service providers can be good but whatever package of training they have they do lack certain critical things like local organizational development, community mobilization, participatory technology development. So we identify the areas they lack and capacitate them."

At this stage Paolo Ficarelli took over, taking another example from BASED to illustrate the importance and key factors of coordinating stakeholders and service providers (cf. the remaining 8 cards in the lower part of Chart 44: **"Coordination stakeholders/service providers to respond to demand"**).

5.9 *Case study* 5: Multiplied suppliers – multiplied opportunities (BASED, RSA)

In this case it was a farmers' clear and articulate demand – "a typical quality demand that covered a wide variety of communities and farmers" – *for maize sorts* that provoked the extensionists' reaction. Similarly, a wide variety of stakeholders were required to respond to the demand.

BASED Project Advisor Paolo Ficarelli based his present-ation on 6 Powerpoint slides (see Annex 1).

The project first developed, together with the service providers, a **common strategic framework**. Each cor-nerstone of it (picture below right: peripheral circles on the Powerpoint slice), could be monitored separately, and **roles, relationships, and responsibilities** be allocated to it.

Maize: the starting point for a variety of stakeholders to be managed.

A stakeholder platform was developed (this time not on district but provincial level due to the extend of the chal-lenge). Reading the various types of services that needed to be provided and paid for, Mr. Ficarelli emphasized that "only through cornerstone analysis the joint stakeholders were able to define the outcomes of the process, based on experiences".

He compared the process to the workshop flow: We are talking about a step-by-step process facilitation: "Collect experience, analyze it, identify key success factors and guidelines for the process. Then clarify ro-les. In the end, "everybody put something in the basket."

In his conclusive remarks Mr. Ficarelli quo-ted the 8 crucial factors for coordination of stakeholders and service providers from the board (Chart 44):

"Pluralism of service providers requires skilful facilitation of working principles."

- Cost sharing by beneficiaries

- Exposure of communities to service providers: "The extension agents were able to help farmers to understand service providers and making contacts."

- Facilitation for developing principles of cooperation: "Service providers usually have different understandings of the issue, different agendas, different self-interests, different objectives. This requires some skilful facilitation of working principles."

- Identification of relevant national/international stakeholders: "Particularly the relevancy of stakeholders is sometimes difficult but important to assess."

- Orientation of service providers to community realities: "Certain services providers, particular-ly from the private sector, never put a foot into rural setting. The exposure to the realities and people's questions is an essential part of building competences of service providers."

- Competition and contractual services for quality services: "12 fertilizer companies were invited to the communities, analyzed one by one and selected on the basis of farmers' questioning. Over time the farmers may change the service provider – either because another one has emerged which is more suitable, or because the first one has not performed well."

- Consideration of the market chain: "If you increase production you must also look what to do with the surplus, e.g. contact food processors. This is particularly relevant when the private sector plays an important role in the country's economy."

- Starting with best practices integrated in PEA – "as a form of knowledge management".

Spare time was spent with informal chats.

Assistant Director Nelani Selina Mabuza (*left*) in a chat.

First departure arrangements were made.

5.10   Summary: How to find the right response

Late in the afternoon, when people had come back from a short shopping trip to town, Mr. Ehret intro-duced the guiding question for the group work on *Response* (cf. below). As he specified, the "ideal situation is not related to communities or farmer groups but to your own situation as managers". The participants were asked to use flipcharts as a basis for discussion and then put a summary on cards to be visualized on the board. There were 40 minutes for exchange in random subgroups. The groups' leaders were suggested by the facilitors.
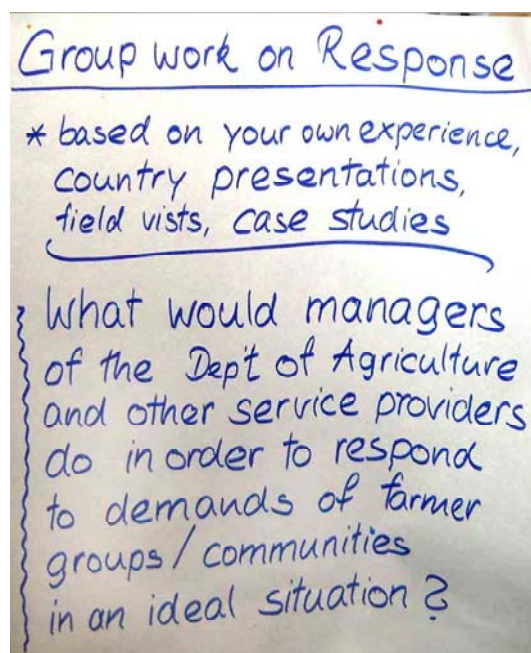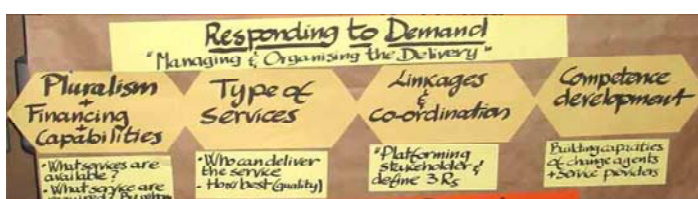
Chart 45: Task for group work on response.

The results session was in-
troduced with a Sosholoza
chorus. The groups' speakers
(they had been chosen by the
groups autonomously) pre-
sented their contributions on
flipchart. Then they agreed
with the plenary and facilita-
tors on the precise wording
for the cards to be attached.

The magic powers of manager-to-manager extension

After a short heated discussion the card **Consult
policy guidelines** passed on to the *Support* level.
The relevant category was policy & legislation:
"Vision and values, mandate and priority areas of
the orgnization are all *Support* level. They have
nothing to do with the way *in which you respond to
demand*." (Paolo Ficarelli).

The other cards:
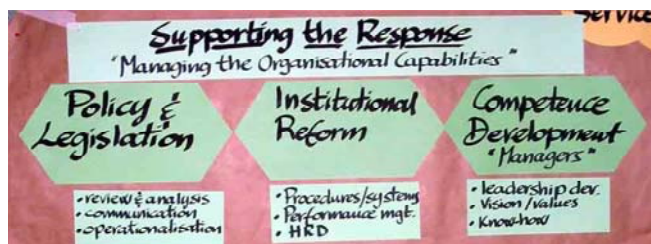
The Support level (extract from Chart 19).
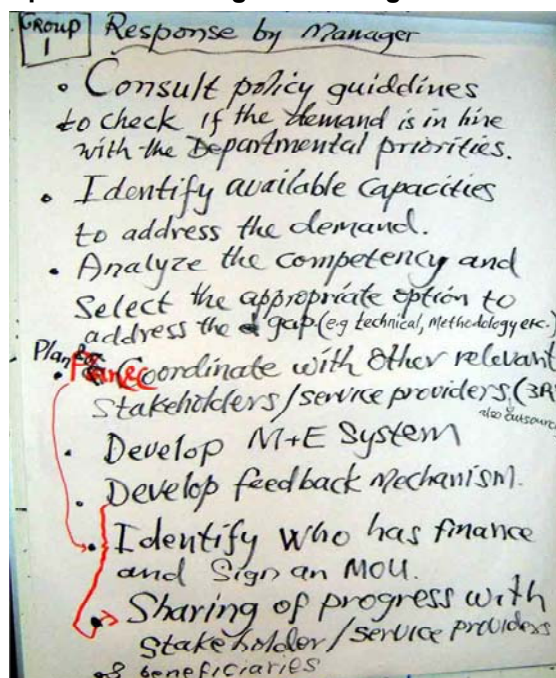
Chart 46: Contributions by group1.

Group 1:

- **Identify available capacities to address the
  demand**

- **Analyze the competency and select the
  appropriate option to address the gap**

- **Plan and coordinate with other service
  providers**

- **Develop M+E systems and mechanisms
  together with other service providers**

- **Develop feedback mechanisms** ("e.g.
  commu-
  nication of phases in the learning cycle, sharing
  of problems")

- **Sign memorandum of understanding**
  ("to establish roles, funds and commitment")

Well-meaning audience: Lawrence, Leonard.

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- **Chart 47a**: Building capacities of staff (technical and methodological)

- **Chart 47b**: "There are many service providers so to channel means, we should coordinate ser-
 vice providers (cf. Malawi experience)" [et alii].

- **Chart 47c**: "Stakeholder panels must prioritize and cluster needs/demands into short/medium and long-term"

- **Chart 47d**: "Plan of operation. With stakehol-ders identified, we enter a public-private part-nership. From that we go to M+E of service pro-
 vision, and we train farmers in post-production management and marketing."
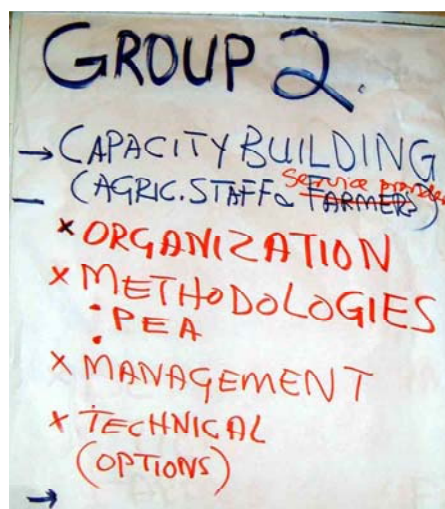
a

Chart 47 a–d: Contributions by group 2.
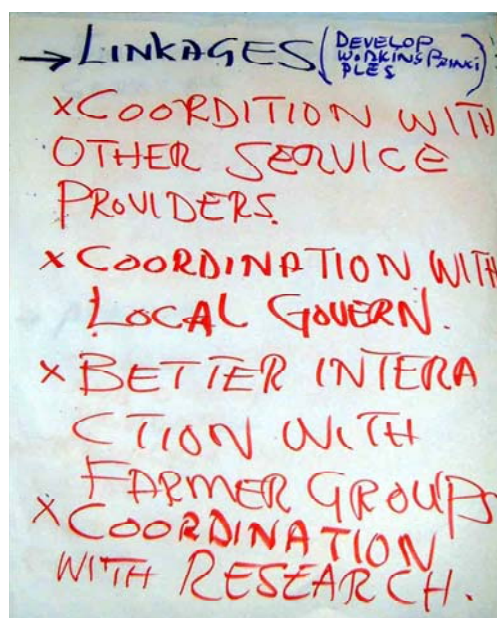
b
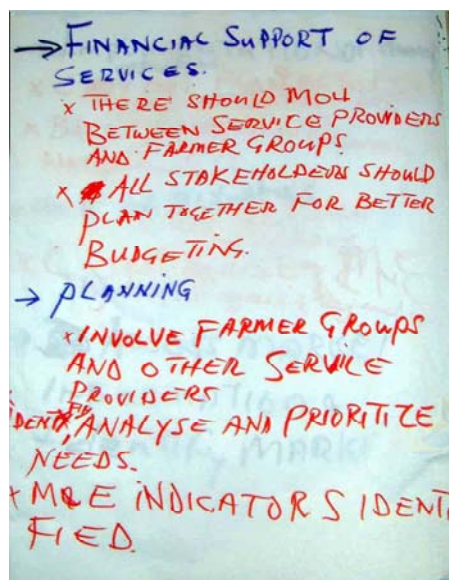
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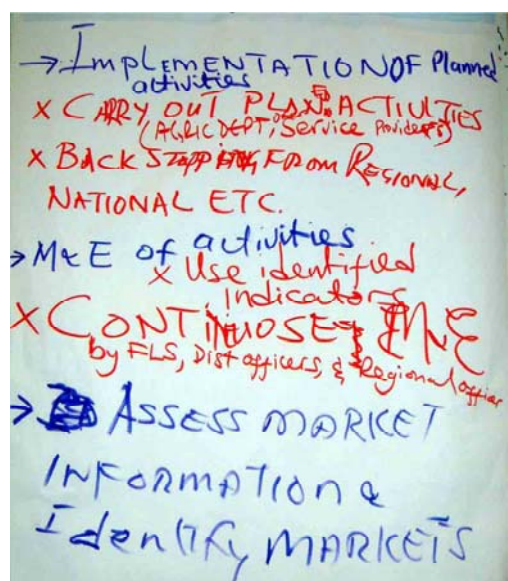
d

'Trilateral talks' (*from left*): Ghana's Ben Frank Amponsah, Eastern Cape's Thembin-kosi Preston Boko (Assistant Manager, GTZ-RuLiv) and Domingos Mandane, Mozambique.

Group 3:

Response to the demand:

- **Capacity building** of agric. staff and service providers for better response (organizational skills, methodology, management and technical)

- Develop **working principles** in terms of linkages (coordination with service providers, coordination with local government

- **Take action** with farmers' groups

- **Financial support** of services ("MoU is part and parcel of the financial support; joint planning for better budgeting")

- **Plan** together with farmers' representatives and service providers how to deliver response

- **Identify, analyze, prioritize the needs**

- **Implementation** of planned activities by agric. staff and other service providers

- **M+E** of activities by frontline staff, district staff ("must be continuous process")

- **Market information** "for realistic assessment"
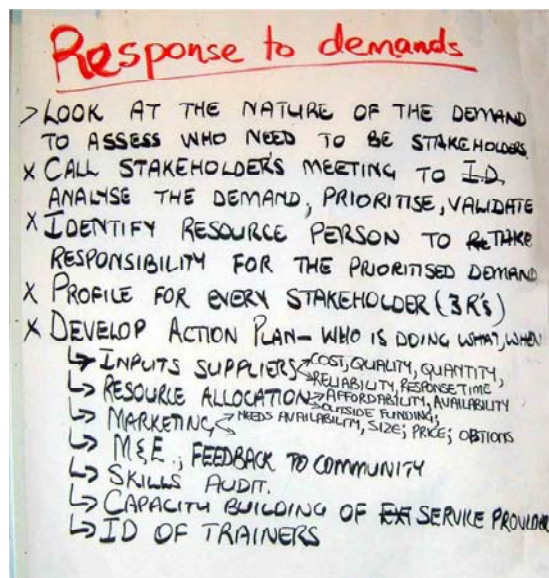
Chart 48: Contributions by group 4.

Group 4:

- We should create a district forum to analyze the demand: If we know the nature of the demand we can assess: "Who are our stakeholders?"

- We should call in a **meeting for all stakeholders** to be in a position to analyze and prioritize the demand.

- Identify suitable service providers *)

- Get a profile for [of] every service provider**) (3 R's)

- Develop an action plan including:
  - Input suppliers
  - Resource allocation
  - Marketing
  - M+E, Feedback to community
  - Skills audit
  - Capacity building of service providers
  - Identification if trainers

*) **resource persons** was replaced by **service providers**

) the speaker suggested **Stake holder to be replaced by **service provider**; this was forgotten

Presenting the results of group 4.

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5.11 Clustering the working groups' contributions to *Response*

Chart 49: Clusters of crucial issues to be observed in responding to the demand.

Full text overview: Clustered cards on the *Response* board

➢ **Analysis and validation of demand**

- Planning together with farmer groups and service providers
- Identify, analyze, prioritize needs
- Create district body (mechanism) to analyze demand
- Look at nature of the demand to assess who needs to be stakeholder
- Call stakeholder meeting to analyze the demand, prioritize and validate demand
- Prioritization and clustering needs into short-, medium- and long-term by panel of stakeholders

➢ **Assessment of capacities and capabilities of DoA**

- Identify service providers to take responsibility for the prioritized demand
- Identify available capacities to address the demand
- Resource allocation, affordability, availability, outside funding
  - Human resources
  - Transport
  - Finances

➢ **Financing of services**

- Cost-sharing arrangements
- Sub-contracting services
- Financial support of services

➢ **Capacities of service providers**

- Capacity building for extension staff and service providers
- Capacity building for agric. staff and service providers for better response
- Competence development for service providers
- Building capacities of staff for matching demand
- Methodologies
- Technical skill training
- Technology
- Identify trainers

➢ **Accountability of service providers to clients**

- Memorandum of understanding
- Signing of MoU

➢ **Coordination and linkages of service providers**

- Coordinate with service providers (e.g. Coorination Committees)
- Plan and coordinate with other service providers how to respond
- Linkages: Develop working principles
- Get the profile of each service provider (3 R's)
- Input suppliers: cost, quality, quantity, reliability, response time
- Implementation of planned activities by agricultural staff and other service providers

➢ **Managing of service provision**

- Strategic planning and plan of operation
- Monitoring and Evaluation of service providers
- Develop M+E systems and mechanisms
- Monitoring and evaluation of activities by frontline staff, district staff
- Develop feedback mechanisms: Reviewing and sharing with other stakeholders

➢ **Understanding and analyzing past experiences**

- Developing ways of harmonizing approaches to prevent duplication and conflict of service provision
- Framework for service provision ("approaches")

➢ **Marketing chains**: "From the fields to the fork"

- Integration of post-production management, marketing, extension
- Market information
- Training in Agribusiness
- Organizational and training of processors
- Access market information and identify markets
- Marketing (needs availability, size, price, options)

Some time was spent on clustering the cards. There were some arguments as to the placement of certain cards (e.g. whether "Resource allocation: human resources, transport, finances" should go to **Assessment of capacities and capabilities of DoA** or to **Financing of services**. Or: "Developing ways of harmonizing approaches to prevent duplication and conflict of service provision" under **Coordination and linkage of service providers** or **Understanding and analyzing past experiences**). In some cases it was agreed to be a question of perspective. But in most cases, closer scrutiny (as to exactly which action, aims or stakeholders were involved) revealed that there really was a sequence of steps and cards therefore had to be attributed to a chronologically preceding cluster. To provide a third example from the discussion: The "Framework for service provision" was explained to be the overall approach. The approach, as a starting point, needed the result of previous applications (past experience). Since the approach would be modified throughout the learning cycles according to previous experience, it was placed under **Understanding and analyzing past experiences**.

Another argument related to the cluster **Analysis and validation of demand**. This one should not be on the *Response* level, somebody argued: Co-determining, as it were, the *quality of the demand* this was in the centre of a cluster of tasks related to *Demand*. Another participant, however, argued that validating the articulated demand *from the perspective of the Response side* was another, second step: "It is critical to the way how you organize the demand, but it is not on that level in terms of the conceptual framework. It's actually response."

The cluster **Accountability of service providers to clients** was amended by a participant who added that accountability had to be in place not only between the service providers and the clients but also *among service providers themselves*.

Finally there was a broad consensus about the outcome. Paolo Ficarelli called the clusters "a quite satisfactory guide of what would be necessary to have. The critical issues have been identified to ensure an effective response to demand. This already gives us a good understanding."

The facilitators announced that, after supper, they were going to extract cornerstones from the board by allocating certain clusters to some overall clusters – without changing the clusters. They invited members from the plenary to be part of the process, and expressed their gratitude for the participants' stamina during the long day.

Good match of traditional and modern: Felicia Ansah-Amprofi in customary wear and Nelani Selina Mabuza.

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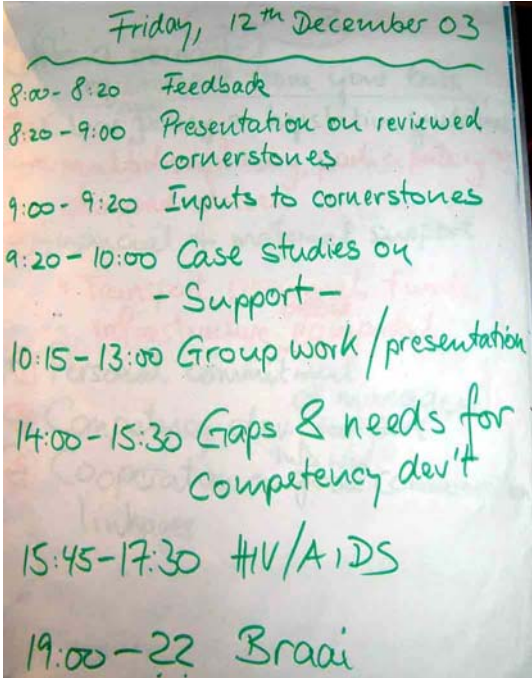
Friday, 12th December, 2003

6. Power through policy, decentralization, private players

6.1 Introduction to the day's programme/ Cornerstones *Response*

The Ghana country team introduced their feedback session by a song, followed by a jingle-introduced, 'authentic' radio newsreel of the "Ghana Broadcasting Corporation". After the humoristic review of last day's event, a forceful "Unity" chorus by the plenary set in - a fine energizer to start the day with.

Paolo Ficarelli now explained how the night before, the facilitators had systematised the clusters that were produced by the participants: They complemented the elements from the groups and grouped them together to cornerstones. Paolo emphasized: "Because of *your imput* and the different countries' presentations we thought that we should *add* some cornerstones." The fact that the facilitators revised/ improved their starting points, actually reflected "the learning process of the very interactive exercises".

Chart 50: Day's programme, Friday, 12th December

Sinky Kaphola & Willy Ehret watched Paolo Ficarelli turn to the final board.

Due to an increase in cornerstones, which the groups' contributions made necessary, two *Response* boards were needed.

Chart 51a: Cornerstones of *Responding to Demand* (1).

Chart 51b: Cornerstones of *Responding to Demand* (2).
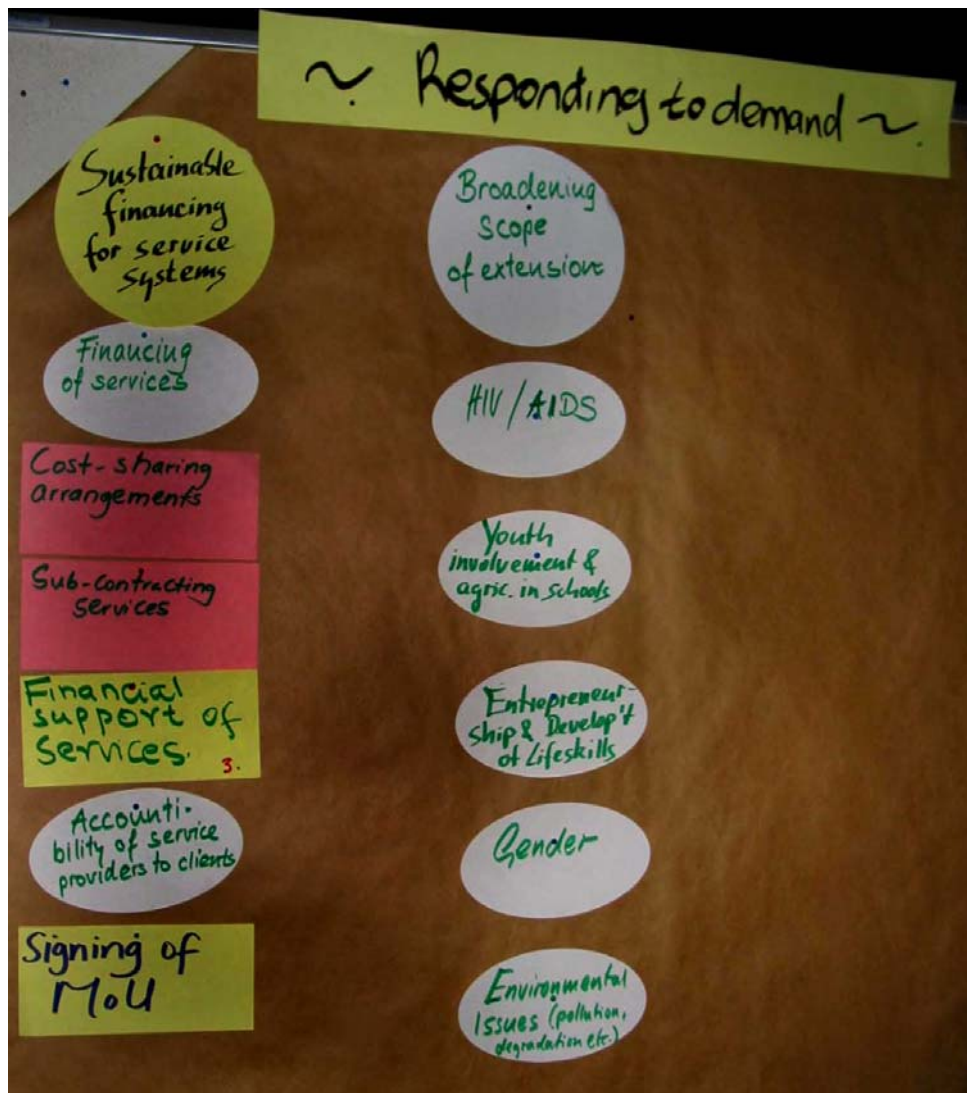
- **Broadening the scope of extension**:

"means using our extension staff to promote crucial issues like HIV, youth involvement, entrepreneurship, etc.". Because extension is not only about agriculture and service provision but also about crucial cross-cutting issues of public interest to be promoted. This is to ensure the society benefits from governmental help."

Paolo Ficarelli

Tea break impressions

Opper Alex Frank Ng'oma, Chief Agricultural Extension Officer, Malawi, in a chat.

Centre: Hetherwick Nkhuzenje, Extension Methodologies Officer, Malawi; *right*: Jessie Lonnie Zgambo, Extension Officer, Malawi.

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As the first "map to orient ourselves on how to respond effectively to demands that emerge from different clients", Paolo Ficarelli presented the above charts. These are some of his remarks concerning the six different categories:

- **Pluralistic and decentralized service provision**:

  As Mr. Ficarelli pointed out, the two previous clusters (Chart 51):
  - ➢ **Coordination and linkages of service providers**
  - ➢ **Assessment of capacities and capabilities of DoA**

  "are essentially an analysis of our own services and the identification of potential service providers who could deliver this service". They were grouped into this cornerstone.

- **Capable service providers responding to the demands of different clients**:

  Within this cornerstone, the following elements/cards were highlighted as sub-categories:
  - ❖ **Capacities of service providers**
  - ❖ **Analysis and validation of demand**

  In chronological order, first mechanisms and systems were needed to take up demand from community level, then it needed to be analyzed, validated and aggregated.

  The whole range of assessing the competencies of service providers could be integrated into this cornerstone: Capacity building and competency development of service providers, and training mechanisms in order to capacitate the service providers to deliver the service.

  Management functions also were needed in this field of action: planning, M+E and quality assurance.

  Among the "different clients", Mr. Ficarelli subsumed: smallholder, commercial and emerging farmers (the beneficiaries of land reforms).

- **Sustainable financing for service systems**:

  After this, different ways and possibly more efficient ways to use scarce resources for delivering services needed to be searched for. Sustainable financing (among others through contractual arrangements between clients, service providers and the public sector) helped to increase efficiency of a scarce resources and increase accountability.

- **Farming as a business and marketing**:

  "It is a public function to ensure agricultural development, and that agriculture contributes to the economy of a country, so we have to integrate producers into the market, and help to commercialize agriculture."

- **Knowledge and innovation management**:

  Apart from knowledge (approaches, know-how), *innovation management* "is about all the innovations that farmers have developed and put in place over hundreds of years. The local experience is an important part of the culture and social system."

- **Broadening the scope of extension**: (see above, p. 111).

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6.2 Demand-driven service provision: Turning clients into customers

Picturing a flow chart of supply-driven service provision.

Willy Ehret now compared the essences of earlier forms of "supply-driven service provision" with systems of "demand-driven service provision" as they are preferred today.

In the old system, the country's government supplied extension funds to service providers to deliver the services to the clients (*left*). In terms of quality and sustainability, however, the system failed. With an adoption rate of around 5 %, livelihood improvement, if at all, was short-termed. And "concerning the money, it was sometimes like going to the well with a basket to fetch water": Without good governance, delivery was in danger.

Altogether there were risks in terms of **accountability**, **governance** and **quality and delivery of services**. Mr. Ehret: "I know of countries where there are no services any more, extension staff paid low, no allowances, no operational funds."

In the demand-driven system, on the other hand, international organizations put funds not to the government, but to the clients who look for service providers on their own. Farmer-to-farmer extension is a trend.

Chart 52: Flow chart of demand-driven service provision systems.

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The clients enter contractual arrangements (e.g. memorandum of understanding) with the providers and pay the Extension Organization.

The source of finance, on the other hand, may want to check which extension organizations are capable (financial integrity, service capacity) and certify suitable extension providers. The clients, when demanding services, often add own finances (cost-sharing) and value (validation that services are not randomly supplied) As such, the government is circumvented.

In cases where it is felt to be too early to entrust funds to farmers directly, there are voucher systems in place which work on the same conceptual background - with clients, extension organization and source of funding as major players. Here, vouchers are provided for a specific extension service. The client hands them on to the extension organization and might add own money to it. Finally funding source refunds the extension organization's vouchers for money. In this kind of arrangement, transparency and accountability are improved.
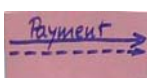
With time, the flow of subsidies could be decreased, and the own input increased, Willy Ehret pointed out.

Mr. Ehret pointed at new ways of donors in approaching public service delivery.

In demand-driven systems, clients are directly targeted by the financing source.

"Governments, donors, and clients are tired of the old system. Only parts of governments may still be fond of it."

Willy Ehret

A comment was made about the *voucher system:* It puts community ownership at risk if ready-made vouchers are distributed. Mr. Ehret confirmed that "in such a system farmer organization development is one of the key areas. And much more has to be done on the side of the clients: They need the capability to articulate demand, to get into an agreement with service providers, and the readiness to raise some of their own money to top up."

Farmer organization might actually be one of next year's workshop's focal areas, he added.

Asked whether funding farmers directly was not too prone to abuse, Willy Ehret said: "It depends how you deal with it. In *every* system there are a lot of possibilities to bypass it. At the end it's the question if there is a real need. *If* there is a real need you can do it either with payment or with vouchers. But if it's all about putting the money into our pockets you can beat everything. It's up to you to judge your clients: How sincere are they? How accountable? How trustworthy? How homogeneous? Do they stick together? Do they have a good organization? Who are your service organizations?

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6.3   Public and/or private? Financing options and mechanisms

Paolo Ficarelli now introduced a management tool by which managers could demonstrate to others the various arrangements between public sector and service providers. By this tool it could also be clearly understood "how we can move from public sector delivery and funding towards a process in which agricultural extension for certain issues is completely in the hands of the private sector."

In a situation when managers needed to explain the terms of "alternative funding" and "financing mechanisms", the two matrixes (see Annex 1) would help. The first one in fact condensed the contents of the previous presentation, pointing out the different degree of involvement, roles and functions of stakeholders in either the "support-driven" or the "demand-driven" extension delivery system.

The second slide (*below*) illustrated the available options how to go about financing and service delivery. The matrix compares eight possible combinations - public delivery and public funding, public delivery and private funding, private delivery and public funding, and private delivery and private funding - as to their respective strategies, and provides examples.

"In implementing a voucher system we will fail if we don't increase accountability up to when communities are self-organized, emancipated. This is why we need to move towards approaches which have a core in local organizational development, community emancipation, making decisive choices. And you may have realized: The umbrella organizations you have seen in Spitzkop or Mbahlela are more likely to succeed."

Paolo Ficarelli

"The move to making services more efficient in this way is an agenda that probably keeps you busy over the next five to ten years of your work. In some countries it will come faster, in others slower, but you will not be able to avoid it. Therefore one advice from my side: Start to get engaged with it. If you want to improve services you have to think about these things as well. "

Willy Ehret

At a glance: Eight ways of channelling service delivery and finances.

6.4 *Case study* 1: How to take support to decentral district services (Malawi)

In search of answers to the question: "How can we guide ourselves within the jungle of rural service delivery?", the "map of the provision of service delivery systems" had become more and more detailed. It was now up to Willy Ehret to introduce the last piece of the mosaic: the *Support*.
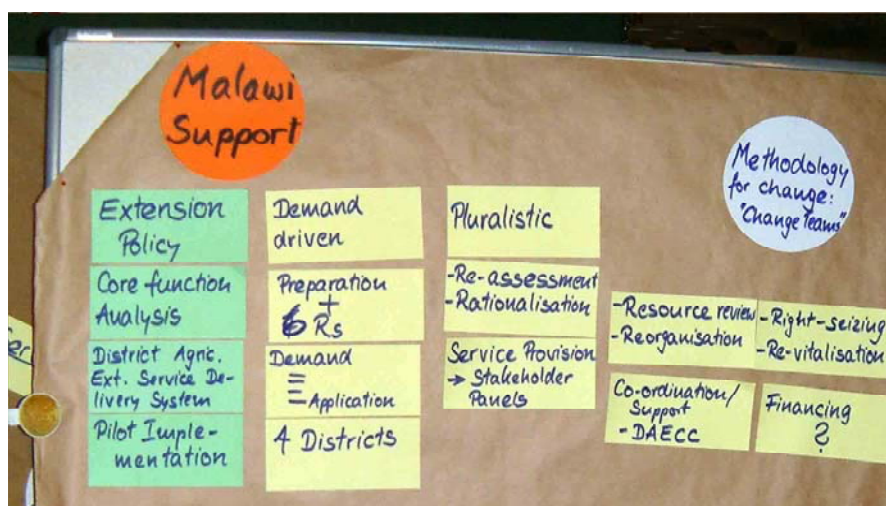
Chart 53: Case study on support: Malawi.

Once again the workshop proceeded from actual experience to analyzing it, conceptualizing it, generalizing it, and finding operational cornerstones/ directives to bear in mind. In Malawi, as Willy Ehret showed, there had been a precise idea of how to support response to the demand – resulting in a "methodology of change". (*The country had its first democratic elections in 1994, after 30 years of autocracy and a one-party system.*)

Although it made the chapter rather lengthy it was decided to intersperse quotes – for better understanding, but also to show that the facilitator not only pictured the ideal but also indicated where potential resistance and conflicts might be faced, and by which arguments to counter it. For a better overview the key words on Chart 53 are in bold.

1. Policy as a cover

Confronted with a variety of extension approaches, each praised by another international donor, in 1990, a district government official (District Director) decided not to blindly adhere to any of the, what he felt, "ready-made" approaches. Instead, he intended to define "what we Malawians specifically need". And then develop an **extension policy** from the Malawian point of view. The policy was to have two major features: It was to be **demand-driven**, and **pluralistic**. The process that followed was an important prerequisite for donors to grant further financial assistance.

"This policy welcomed the ideas we are developing in this workshop. The ideas will in fact help us tremendously to put the policy into practice. If we talk about 'demand-driven' we must of course organize demand and response to the demand – and for this, you have the policy as a cover. But if you have more than one (government) service provider you must go through a process of clarification of: 'who is going to do what'?".

2. Sorting out the *new* demand in seven steps

With such clarification, the process was initiated in Malawi. A **core function analysis** laid the basis for "6R's" (cf 3R's: role, responsibility, relationship). Willy Ehret:

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"It is not like some people might assume: 'We don't need the core function analysis. If you just give us more money we will have better services.' It is a long and difficult process of reconsidering the crucial question: 'Is it the *government's* task to ensure wealth, or should other players in a new differentiation furnish services?' There we do not have the central government as the major player, but a pluralistic structure. The government orients itself towards democratisation, decentraliza-tion, deregulation, liberalization. These tendencies are around everywhere, but too few people really think them through. Understanding the *core functions* of future government is important."

After the necessary **preparation** phase ("It may take half a year of intensive awareness creation and discussions about the shift of government and what this implies for the executive."), the process of the **six R's** started: In the Department of Extension public functions were **re-assessed**. Then **rationalization** came into play: Having new players involved, the core business of the government and public responsibility in service provision was reconsidered.

Three areas of government tasks were determined:

- the non-core services: government has no role to play, and other service providers are already in place (private sector, NGO, farmer organizations).

- the core functions of the government; and

- marginal areas: The kind of services in which government should actually not intervene, but as long as there are no alternatives in place government keeps them up, with the intention that, in five years, other service providers take them over. In the meantime, a partial commercialization concept would be elaborated on a cost sharing basis for these areas.

Willy Ehret, emphasizing the role of policy.

Then **Resources** (staff and finances) were **reviewed** to implement the core functions. Some departments now were **reorganized** and, in the form of "**right-sizing**" staff adapted to the new departments and their functions.

"Some may say: 'This is just another way of chasing people out of the service and downscaling, cutting the number of staff.' But you probably need less people here and more people there,…-and overall probably the numbers will get a little bit smaller. This is why we chose to say 'right-sizing'".

This led to the an exercise of **revitalisation** with an adequate regulatory framework to establish the new system.

"The Department only went through the rationalization phase to go into a resource review. For reorganization and right-sizing, the whole Ministry is needed. But after two years, the entire Ministry was getting interested to enter the process, and all donors demanded a core function analysis, a review of roles of the government and Ministry, before granting funds."

Then, to establish a **District agricultural extension service delivery system** it was all transferred to the district - with district services and decentralization a) political , b) fiscal, and c) for other stakeholders (e.g. line ministries). *Rural development projects* (RDP) were realigned to the districts, and their leaders turned into *District Agricultural Development Officers.*

The idea was: „If we have the policies and the indications of what are the core functions, we should develop a district concept which nicely fits within the framework of organizing the demand." This followed the usual steps from **demand** to **application**:

Situation analysis in agriculture: need assessment – prioritization of needs – analysis of causes and consequences. **Problem solving**: generation of options – facilitators to help develop options – measures put on a seasonal calendar – invite service providers to carry out – progress in it for some time. **Knowledge management and capacity building**: feedback by service providers – self-reflection – teaching – field visits – reporting. "In the end, the village writes an application."

In Malawi, the re-thinking led to a service-oriented system of decentral, integrated services. Service provision at area and district level was facilitated by the stakeholder panel, in which complementarity, synergies, and comparative advantages of existing service providers were explored. **Coordination** and integration of stakeholders into the district system was achieved by the District Agricultural Extension Coordination Committee (**DAECC**). **Financing** issues were just started be thought about in Malawi.

After four years, with the district concept put in place, the next layer of the support strategy was **pilot implementation** in **four districts** (staff from three of the districts were present in the course), with the different strategies on how to implement the policy at district level, taking the core functions into analysis. – "And now we are exploring, experimenting, and piloting how to implement."

"In Malawi, the process started from the top, with policy changes on the initiative of the director. As a negotiation basis, the policy ensured that support to was taken to this or that area. The implementation will teach us how to modify the district concept."

The original policy papers and the district concept were displayed in the lecture room.

Part of the "Methodology of change" were **change teams** ("change from within"). Started by the Director, their composition became by now a standard procedure: six members from the Department of Extension, three members from other departments of the Ministry of Agriculture, and three members from outside (NGO, university, private sector). The team of twelve got the task to draft a new policy within two months, as a self-organized group, receiving support where needed. In a first round they divided their tasks, so everybody wrote one part; the parts were then pasted into one. That draft, the Director rejected. But in a second three-weeks round, a consultant experienced in the Neufchatel thinking and in consultation and negotiation processes helped the change team to develop on the paper until it was adopted.

Talking stratgegy: Malawi's Paul Whiteson Kabuluzi, Jessie Lonnie Zgambo (*centre, background*) and C.L.Z. Nkkhode Kondwani (*right*).

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A change team was also used for the core function analysis: Here, eight members analysed the functions of future public extension and created awareness in the district. The team was composed from within the department and supported from outsiders. It was important to notice, said Mr. Ehret, that change teams - since they acquired competence and experience in the process – provided some guarantee for continuation and sustainability of change within the administration. Also, being part of the department, they ensured ownership. For pilot implementation at district level, eight-person district change teams were employed (five officials and three outsiders). Three members from the four districts met in a national change team to review and coordinate. The attempt to integrate many stakeholders' knowledge into the formulation and negotiation also served the purpose to avoid opposition and resistance.

In the following short discussion the problem of "right sizing" was raised. It gave Mr. Ehret occasion to point at the importance of right-sizing in an *organic* and *long-termed* manner. By two examples he illustrated the serious problems of a lack of concept:

In the first case, extension staff was initially reduced by two thirds. Years later, when a significant lack of service delivery was recognized - and much later voiced by beneficiaries - it had to be gradually stocked up again. In the other case, extension staff had been reduced from 3,600 to 1,200 in eleven years by not replacing cases of retirements and the high number of AIDS victims. Then, confronted with a food crisis, a new minister acting from the perspective of the old central paradigm, instantaneously took to employing around 600 school leavers with a brush-up of three months, in the belief of getting "back on track" this way. – "And then you have to buy a chair for them to sit somewhere", Willy Ehret subsumed: "You keep fighting with your history – and with short-sighted measures to attract an electorate."

Mathias Braun added: "Since we have overriding policies, the strength of the policy partly depends on whether it is a *participatory and negotiated policy*: If you have already arrived at a consensus with stakeholders about certain critical issues you have a much broader basis and better bargaining position."

Kofi Biney remarked that downsizing of staff needed to go along with competency development on the ground. If the policy of core functions and right-sizing was not communicated to people on the grassroots level who pick up the challenge, communities only see the obvious reductions, and lose confidence.

Willy Ehret: "What is the strategy for right-sizing? There is no *one* answer to it. So essentially this is where *you* can put in *your* footmark!"

Third book by the Neuchâtel Initiative, a group of European and North American/ Canadian donors, who first met in the Swiss town of Neuchâtel to find alternatives to World Bank agricultural extension policy. Willy Ehret passed it around in plenary.
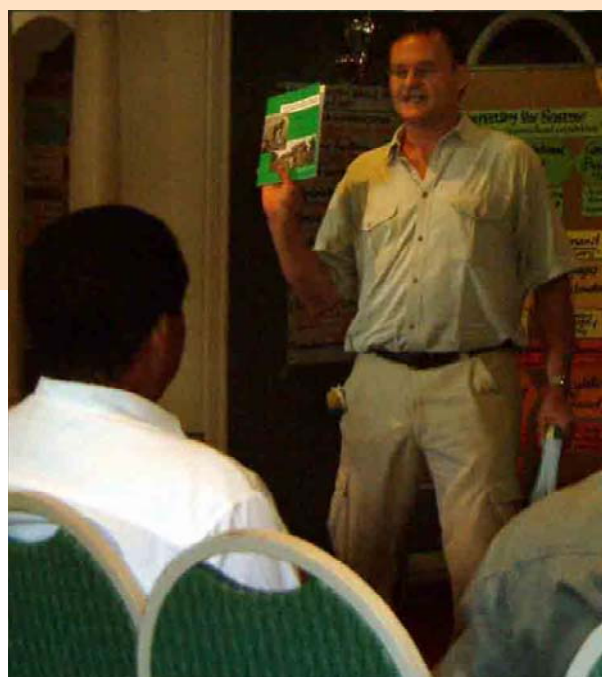
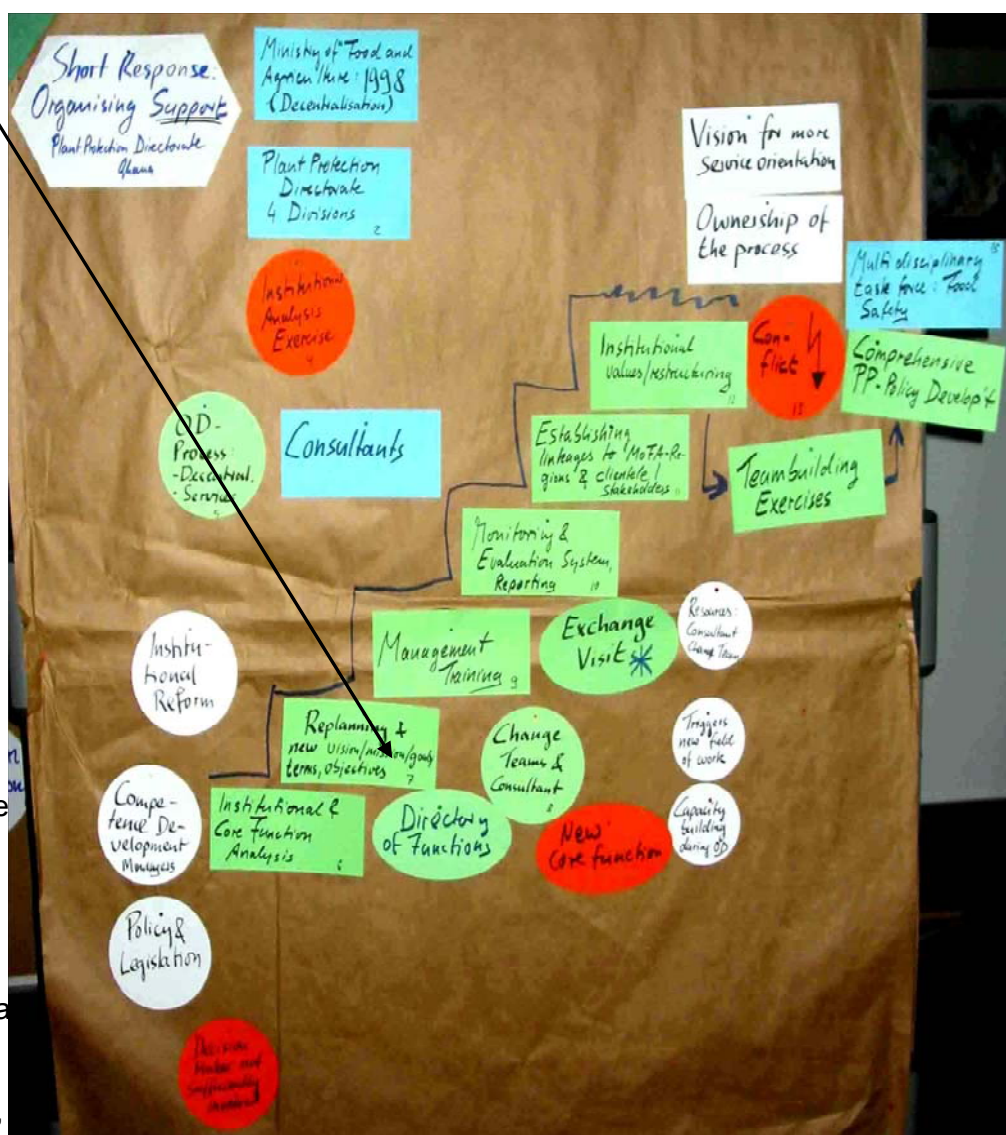## 6.5 *Case study 2*: How a negotiated policy helps occupy new ground (Ghana)

Now the GTZ's link person to the Neuchâtel Group, Mathias Braun, presented the organizational development process of the Ghanaian Plant protection Directorate (again, key words from the cards are in bold, for a better overview): After decentralization of Ghana's **Ministry of Food and Agriculture** (MoFA) in 1997, the **Plant Protection Directorate** (PPD) was asked in 1998 for an **institutional analysis** of its own functions (with its **divisions** of Plant quarantine, Seed certification, Pest and disease management and Pesticide management). While other directorates practically "filled in forms", the PPD drew analysis that was to kick off an **organizational development** (OP) process on decentralization of services. The project employed **consultants** to moderate it. The core function analysis was to reveal which services to keep as a national directorate, and which to hand over, under decentralized conditions or which were not a task at all (providing credits for farmers, e.g. was not in the PPD mandate).

Outcome was a **Directory of Functions**, with plans and ToR.

For continuing, **replanning** on this basis, **change teams** were set up.

The establishment of "vision, missions and goals" for the department was the next step.

In the process, it was discovered that in the four core functions the ministry had ordered before, the regulatory function was missing. This is a core function "which can never be decentralized" (Mathias Braun).

Chart 54: Organizing support in the Ghana „pineapple case".

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So regulation of *pesticide management*, *plant quarantine* and *seed certification* were added to the core functions.

Next steps on the ladder of the OD process were capacity building (**management training** for staff) and development of **monitoring and evaluation** and a new **reporting system**. Also, links between technical departments and the clients in the region needed to be re-installed to regain functioning access to information and efficient information flows. This was done by "touring, and talking" with regional directors for new **links between MoFA regions and clientele/stakeholders**.

To improve service provision, the "personnel side" of the directorate also had to be addressed - by installing **institutional values** (such as reliability). The steps were agreed on with the change management team and practically also the director. But, as Mr. Braun warned, it was too late to force the decision-makers finally on board on the *last* steps of the ladder: When personally present at a workshop, an high-ranking official sensed that the process was not going the way he had intended. He withdrew consent and stopped the process.

Having gone back to the step of establishing linkages, the process stalled until a new director came in. The process was re-started with team **building measures**.

A **plant protection policy** was developed then on the basis of the previous steps (much in line with the Malawian example, as Mr. Braun said). After stakeholder workshops, the change team developed a drafted negotiated policy. This finally was the framework for plant protection, in line with demands of international conventions and the need of the clients. Integrated pest management became the technological approach, and it was to be extended to farmers through participatory measures, PTD+E among others.

The policy determined regulatory services such as toll services, which was to be achieved step-wise. The ad-hoc demand for food safety measures was taken up by the directorate and was channelled to a **multidisciplinary task force** in the Ministry.

Explaining the restructuring of the PPRSD.
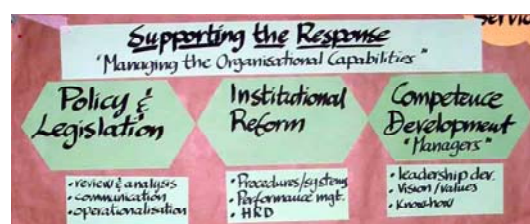
"If we look at the cornerstones, we had:

- institutional reform
- competence development of managers (not technical how to kill more insects but on becoming better service providers)
- and we also worked in the field of policy and legislation."

"The directorate has now a strong position within the Ministry because it is the only one who has a *negotiated policy*. It's also a starting point to say to donors: 'Please support us within this policy.'"

"For plant protection we were early enough to occupy the stage. Because who is fast, in a new field, can take much ground. If you are handicapped because you have no policy, and new challenges are appearing, it is difficult to occupy promising new ground."   Mathias Braun

6.6 What it takes to be a manager: Skills and crucial factors for *Support*

After a short entertaining 'shoe-size-number and additions' energizer, which kept the participants busy counting for a while, Joe (like he had already done a couple of times with late arrivals) invited a participant who had arrived late due to passport problems to introduce himself.

Then he presented the first group work of the day (Chart 55, *rig*ht):

The participants were asked to brainstorm in groups and then write cards – an unlimited number of cards this time, as not to "cut off some thoughts". In each group, one colleague from Malawi and one colleague from Ghana participated, in order to facilitate transfer of experience from the case studies.

Time was 40 minutes. The results were agreed to be presented after lunch.
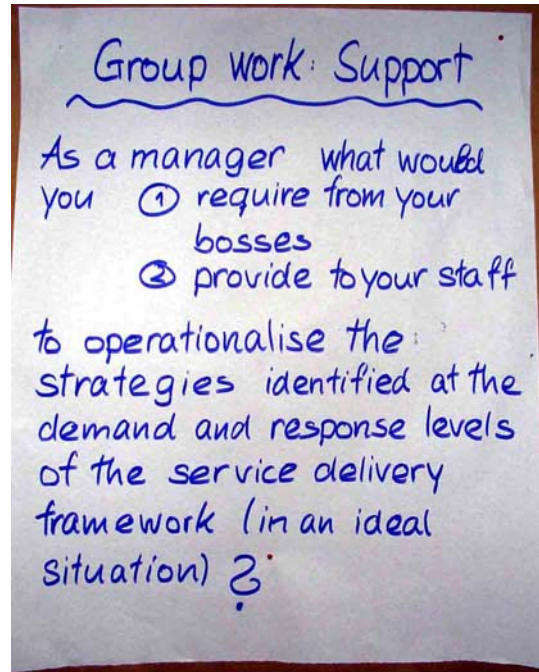
Chart 55: Group work on *Support*.

Between sessions the facilitators agreed on potential programme modifications

Plenary discussion. One major issue was "standing between two powers", as a govern-ment official (speaker not in the picture).

In the afternoon, a thunderstorm caused a power failure. Hotel staff quickly installed a generator. Its tremendous sound accompanied the sessions for some while. Yet, the groups' presentation and the clustering of cards were very attentive and vivid, with much involvement from everybody. These were the results:

No rescue from getting wet: In the afternoon heavy rain set in. Hotel staff took care of the garden facilities.

Chart 56: Synthesis board with all contributions from the group work on *Support*.

The groups used flipcharts first to summarize their findings (the corresponding texts are provided in the table below) and additionally condensed the key word on cards. The cards were then presented and explained by the groups. After short discussions in plenary they were first pinned on two boards: *Bosses' provisions* and *Managers' provisions*. The cards turned out to be very similar. So it was possible to cluster them on one common board right away (Chart 56).

Group 1:

- As a manager what would you need from your bosses -

- **Policy framework**
- **Competency development** (e.g. managerial capacity)
- **Establish linkages** (e.g. vertical and horizontal)
- **Platform for services contracts (**"At the end of the year it is evaluated whether she or he achieved the assignment for the year. The same procedure at higher levels - with the chief director and so on. This is something that adds to quality of service delivery."
- **Defining clear roles and responsibilities**
- **Feedback, effective M+E system**
- **Knowledge/information management system in place**
- **Human and material resources**
- **Innovation, accessibility**
- **Integrating policies**
- **Effective supervision**
- **Transparency/accountability**
- **Identification of potentials and delegation of responsibilities**

- Provision to our staff –

- **Capacitation of policies**
- **Staff motivation**
- **Effective preparation and coordination**
- **Transparency and accountability**
- **Identification of potentials and delegation of responsibilities** ("In the balloon exercise there were so many balloons for one manager, so he or she had to struggle to keep everything going. So on that level it's good to look at yourself and see the potentials you have and then delegate, so that the work load can be shared."
- **Delegation of responsibilities**
- **Identification of potentials**
- **Performance management**

Group 2:

- support from boss -

- **Clear-cut policy**
- **Logistical support** (funding, human recruitment & capacitated, physical)
- **Exposure visits for managers**
- **Sectoral coordination (relevant departments, institutions and agencies)**
- **Effective channels of communication**
- **Moral support** (good interpersonal relationship)
- **Motivation** (salary, scholarships, promotions, rewards)

- what to provide as managers -

- **Accessibility and interpretation of policies**
- **Logistical support** (Funding, human resources capacitation: technical, managerial, facilitation, commercial, business management)
- **Moral support** (good interpersonal relationship)
- **Motivation** (rewards for good performance, scholarships, allowances)
- **Better linkages with service providers, departments, NGOs**
- **Facilitate exposure visits**
- **Clear and flexible job description**
- **Performance standards**
- **Performance appraisal**

"Decentralize: yes. But decentralize resources, not problems!"

Participant

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Group 3:

- as a manager, you require from your boss -

- **Personal commitment**
- **Clear agricultural policy and guidelines** (multidisciplinary, participatory and demand-driven)
- **Financial and material support** (transport, personnel, funds, infrastructure, equipment)
- **Competency development of managers**
- **Cooperation and two-way communica-tion linkages**

- provisions to your staff -

- **Conduct training needs assessment of staff**
- **Capacity building of staff**
- **Provision of working guidelines, roles, responsibilities, relationships**
- **Provide motivation** (promotion, salary increases, provision of accommodation, means of transport, stationery, protective clothing, show personal appreciation)
- **Objective supervision**
- **Subsistence and travel allowances**
- **Management meetings with staff**
- **Transparency on financial issues**

Group 4:

- Requirements from Bosses -

- **Demand-oriented policy developed on wider consultation**
- **Support on capacity building**
- **The resources and specific budgets**
- **Professional advisory assistance and guidance**
- **Commitment and will to support plura-lism approaches and decentralization**
- **The bosses should be part of the process**
- **Develop mechanism for giving feedback** (e.g. sharing sessions)
- **Orientation on good performance system**
- **High performance should be rewarded or incentive given**
- **There should be organizational structures for better performance**
- **Good remuneration packages for good performers**
- **Clear roles, responsibilities and relations**
- **Provision of policy regulations and guidelines**
- **Delegation of responsibility and authority to the subordinates**

- What we can provide staff -

- **Provide technical support to address the demand**
- **Decentralization of budget to operational level**
- **Provide training materials**
- **Emphasis on performance management and procedures**
- **Motivate people under our responsibility**
- **Provide mechanisms of control and equip staff with facilitation skills**
- **Implement mechanisms of feedback**
- **Dissemination of information and interpretation of policies and programs**

Advised by the audience, Willy Ehret arranged each card on one of the boards.

Paolo Ficarelli and the group that had provided the card agreed to split up the card "accessibility and a interpretation of policies" under a separate cluster: **Policies on trade and international agreements**. Overnight the facilitators distilled the cornerstones from the clusters so that the next morning, three boards of cornerstones emerged from the group work, presentations and discussions: each one for *Demand – Response –* and *Support*.

7 Synthesis: Prepared for interlocking action on all levels

7.1 Avoiding the 'balloon effect': Exploration of own capacities and limits

Paolo Ficarelli introduced the second group work of the day (Chart 57, right):

He proposed a country-wise division of groups, according to the "different realities". The time was 50 min.

The facilitators wanted to hand out sheets which depicted the two already finished cornerstones charts. But the power failure endured. So, turning a challenge into an opportunity, Paolo Ficarelli drafted an overview of all *three levels'* cornerstones by hand (with provisional ones for *Support*) – *below*, Chart 58.

At last, the facilitators asked the groups not to write "shopping inventories of all that's lacking" on client level, but to concentrate on structural deficits. They should also already indicate parts of their management duties and leadership competencies.

The participants prepared "market stands" on flipchart to make their insights available to other groups who might pop in and take a look. First, there was some organized group-wise exchange (Namibians explaining their charts to Mozambiqueans, etc.), but later a given group also intensely discussed particular issues with single colleagues. As such, the working day was prolonged until 6 p.m., when a hungry pack of extension managers set out for the Braai tables (typical South African barbecue). Entertainingly, with a traditional introduction, music and dancing the night was spent – not to mention the interesting talks and professional relations that evolved out of the venue.

The following tables show the market stands of the five groups in text.
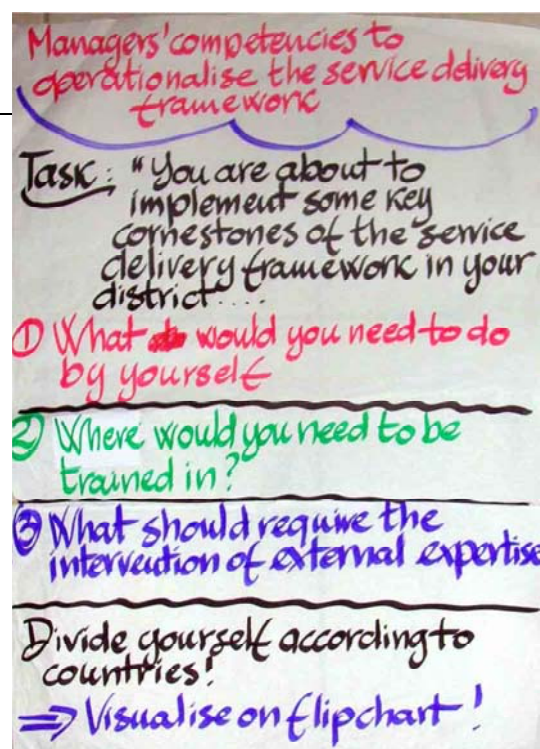
Chart 57: Task for group work.
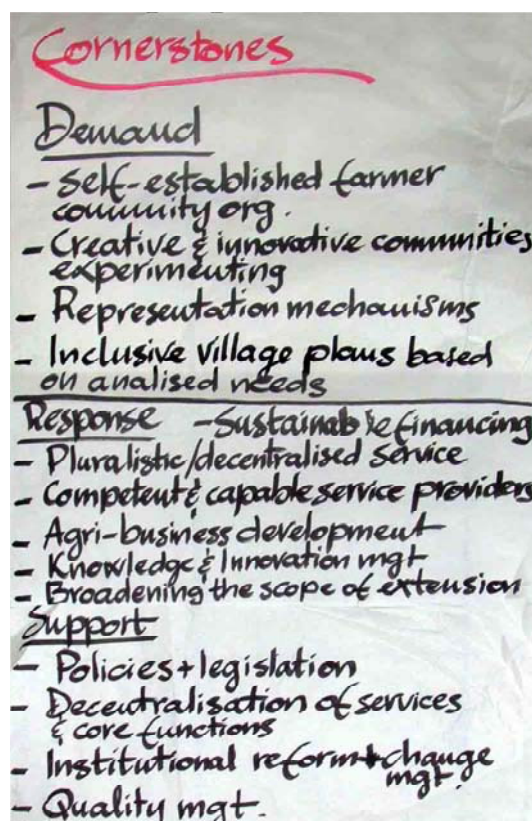
Chart 58: Cornerstones of the Service Delivery Framework.

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Malawi

- Own practice -

Demand

- Facilitate formation of effective and innovative farmer organizations
- Capacitating already existing community organisations
- Facilitate and encourage on-farm demonstrations and trials for farmers to experiment
- Communities to be grouped and represented in large umbrella bodies
- Farmers organisations to be commodity specific
- Facilitate development of action plans based on demand
- Assist farmers organisations in articulation of demand

Response

- Sensitizing other service providers on decent-ralized and pluralistic services
- Aggregating the emerging farmer demands
- Create forum for discussion on sustainable financing of programmes or projects
- Formation of special district agriculture revolv-ing fund
- Capacitate farmer organisations with agribusi-ness skills
- Facilitate farmer organisations to access mar-kets and marketing information
- Link farmer organisations with lending institu-tions
- Facilitate farmer organisation networking
- Document and aggregate farmer knowledge and innovations in experimentation
- Facilitate farmer organisations review meet-ings
- Sensitisation meetings with farmer groups on HIV/AIDS
- HIV/AIDS mainstreaming in extension projects or programmes
- Developing tailor-made youth agriculture pro-grammes

The Malawi country team at work.

Support
- Interpret and clarify the policy
- Identify functions that have been devolved

- Training needs -

Demand
- Training on facilitation skills

Response
- Agribusiness skills and management
- HIV/AIDS mainstreaming in agricultural development programmes
- Project proposal formulation and micro financing
- Exchange learning visit to Ghana, Uganda and Germany
- Training on management skills

- External interventions -

- Expertise for training
- Funds
- Mobility facilities e.g. car
- Communication facilities such as computers, e-mail, phones, stationery

Ghana

- Own practice -

Demand
- Training on farmer organizations and sustain-ability strategies

Ghana (contd.)

Expectation

- IKS and some new options can be expected at community level

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Response

- Identification and profiling of existing organizations
- Training in facilitation and leadership skills
- Train service providers to improve competence

Planning

- Identify, analyse and prioritise needs during village planning

Demand

- In farmer organisations (new districts/ out and up scaling)

Response

- Pluralistic/ decentralised service delivery
- Agribusiness development
- Knowledge and innovation management
- Broadening the scope of extension
- Training in proposal writing

Support

- Interpretation of policies and legislation
- Training in change – management, decentralisation and core functions analysis
- Quality management

- External expertise -

Demand
Self organisation:

- Cooperative departments for farmer organisation training
- Consultants/ master trainers

Expectations

- New options to be researched

Response

- Pluralistic/ decentralised services
- Agribusiness development
- Knowledge and development
- Knowledge and innovation management
- Broadening the scope of extension
- Training in proposal writing

Support

- Interpretation of policies and legislations
- Training in change
- Management, decentralization process and core functions
- Quality management

Kofi Biney, introducing the results for 'Ghana'.

South Africa

- What we need to do -

- Scaling out of the PEA/PDA
  Limpopo: In five districts, but to be done in 6 districts (1 more)
  Mpumalanga: In one region, to be done in three regions (2 more)
  Eastern Cape: No scaling out but revitalising the existing 2 pilot areas

South Africa (contd.)

- Support to managers in internalising the concept
- Establish linkages with district and local municipalities
- Create a platform to involve all relevant service providers at each district
- Introduce the concept to district management and operational staff
- Identify possible training providers
- Develop training process plans
  Identification of change teams (coordinator, trainers)
  - *Budgeting for training*
  - *Logistic arrangements (venue, transport, materials, catering etc.)*
  - *Identification of pilot villages*
- Relieving coordinators from other extension duties and let them concentrate on the concept
- Experienced backstoppers to help in the training and coaching of other districts/ regions

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Late that evening, the South African group drafted on the verandah.

- Organize exposure visits for managers from all implementing regions/districts

- Getting a mandate to implement the process from the top management of the department

- Where would you need to be trained in? -

- Facilitation skills

- Change management/ organizational development

- Best ways of dealing with client demands - developing systematic ways of identifying and aggregating demand

- How to integrate PEA with the existing programmes

- Leadership skills

- External expertise -

- Facilitation and backstopping
- Training in change management skills
- Training in organizational development
- Training in systems of dealing with aggregating demands
- Programme monitoring and evaluation by external people

Namibia

Demand

- Self-established farmer community organizations
  1. Facilitation 80%
  2. Facilitation skills 20%

- Creative and innovative communities – experimenting
  Facilitation of exposure visits, training in experimental procedures

- Representation mechanisms
  Training in leadership skills

- Inclusive village plans based on analyzed needs
  1. Training on gender, book-keeping, action plan, market analysis, project proposal
  2. project proposal

Response
- Pluralistic/decentralized services
1. Implementation of FSRE approach within extension (logframe, AWP+B, reporting format)
2. Complementary participatory extension tools
3. Decentralization issues

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Response (contd.)

- Competent and capable service providers
  1. ID, analyze competences, facilitatelinkage

- Sustainable financing
  1. Accountability and transparency

- Agribusiness Development
  1. Facilitation, training and marketing
  2. Small and medium enterprise development

- Knowledge and innovation management
  1. MIS
  2. Training mass media
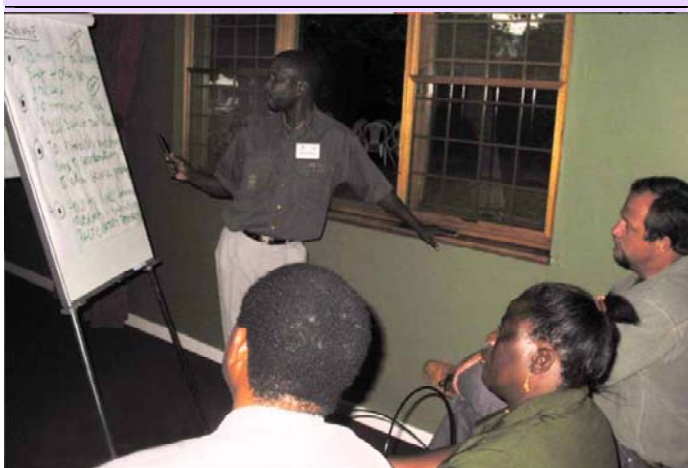
Domingos Mandane presented the Mozambique results to a mixed audience.

Mozambique

- What to do by myself -

Demand

- Select three districts to concentrate on: Buzi- PACDIB, Maringwe-Basilio, Goronbosa experiences
- Strengthen existing farmers organisations/ groups, associations
- Facilitate the operationalization of law 08/2001
- To facilitate sharing of experiences among the groups
- Experimentation
- Field days
- To proceed the facilitation of village plans based on needs
- To facilitate the operationalization of villages resource management committees

Response

- Training of extension staff and other service providers

- Broadening the scope of extension
1. ID, coordination, livelihood issues, HIV
2. HIV/AIDS

Support

- Policies
1. Interpretation, implementation, propose change
2. Policy analysis

- Decentralization of services and core functions
1. Implementation of FSRE within extension
3. Decentralization issues

- Institutional reform and change management
1. Restructuring process ongoing, flexible management style (regular meetings)

- Quality management
1. Reporting system, AWP+B, logframe, M+E
2. Change management skills

- To implement the PDDs (District development plans)

- To establish mechanism of coordination with other service providers

- How to link farmers and research-extension (participatory research)

- Study on agricultural market and processing (small scale industries)

- How to establish sustainable credit (and saving) schemes for farmer groups

- Training on management skills (extension management team)

- Training extension staff on commercialization and processing

- Proceed with decentralisation of resources up to administrative posts

- Training of extension staff on participatory approaches

- Establish performance management system

- Update manual of technologies

Support

- Agree to concentrate efforts only on three districts

- Agree to contact external experts for consultancies and training of staff

- To create multi-disciplinary team (province) to give technical support to extension staff

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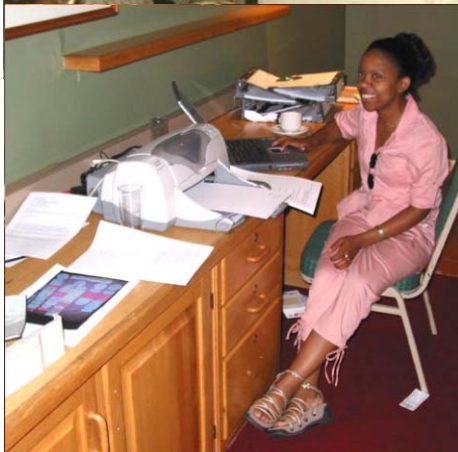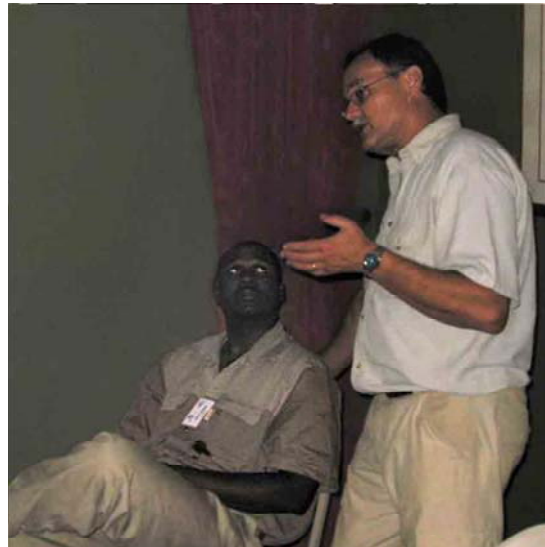
**Impressions
of the day**
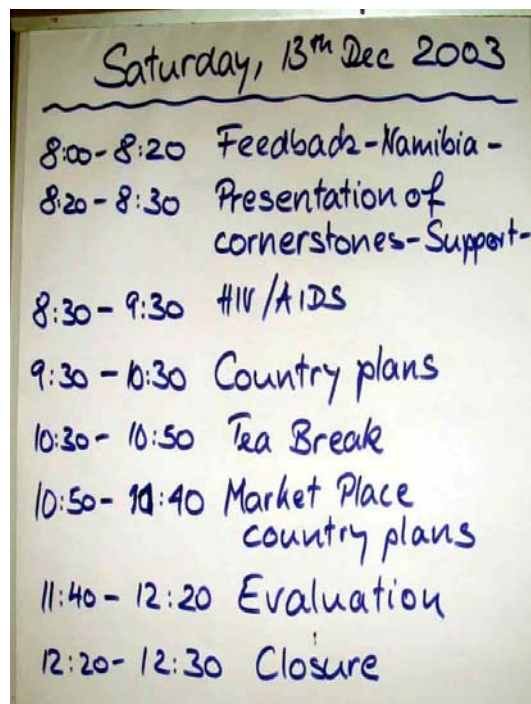
N.B.: The poor light must be attributed
to the afternoon's electricity conditions.
No midnight overtime is documented here…

Saturday, 13th December, 2003

7.2 Introduction to the day's programme/ Cornerstones *Support*

After starting the day with a prayer, the plenary listened to Joe wo introduced the programme of the concluding day of the workshop. Befor the evaluation and closure around midday, he announced another 'market place' session: The country groups would present their back-home action plans, one of the highlights of the workshop. The same morning, there would be a session on HIV/AIDS. But first the clusters and cornerstones of the *Support* level of the service delivery framework were presented.

Chart 59: Day's Programme Saturady, 13th December.

Paolo Ficarelli started by summarizing the results of the group work on managerial capacities. He reminded the audience that the two provisional boards on *What bosses must provide* and *What we provide as managers* had been very similar: "The lesson we learnt yesterday, was that you will give to your staff what you get. It's important to understand the role of leadership and of role modelling: A good manager will breed other good managers."

By putting together what was needed on the institutional level to ensure a functioning service chain, the four teams made up their minds about key necessities of the top level of *Support* – just as they had done before with the *Demand* and *Response* levels. The clustering provided more clarity to it.

Then Mr. Ficarelli introduced a reshuffled Chart 60:

Chart 60: Clustered issues and cornerstones of *Supprting the Response*.

The key elements of the cornerstones:

Policy development and legislation:

- Policy clarification, interpretation and communication

- Policies on trade and international agreements (analysis)

Linkages with decentralization processes:

- Forstering decentralization within the department – re-allocation of human, logistical and financial resources, role clarification

- Maintenance of information flows between national and district (ensuring mechanisms)

Institutional reform and change management:

- Competence development of managers (from administrators to facilitators)

- Commitment: "Leaders must walk their talk"

- Performance management: core of intervention (human resources management)

> **N.B.: To view all cornerstone boards of the framework at a glance, cf. Charts 35, 49, 60.**

Quality management of service provison:

- "Quality management criteria must affect the performance management chain from the field staff up to the top manager."

- "Information and knowledge management are not the heart of the organization, where skills, experience and lessons learnt are gathered and made availabe so you can build on them over time."

7.3 Broadening the scope: How to tackle HIV along the service chain

A new addition, in this year's programme, was a session on HIV/AIDS. "**How to integrate HIV/AIDS into service provision**" had already been listed on the very first Challenges board in the workshop (Chart 17). It was a common understanding that in each of the countries represented, AIDS posed an increasing threat to the agricultural development. While the death toll in sub-Saharan Africa keeps rising, the pandemic inhibits the upkeeping and proliferation of agricultural traditions on village level, and, through casualties among extensionists and target groups, endangers programme efficiency and sustainability.

Of course, as participants kept reminding, AIDS was generally a burning issue, not only in urban but also in rural societies. In southern Africa it is not only a situation of emergency for the victims of the disease themselves, their families and professional environment but also for seemingly uninvolved third parties, as show frequent cases of young women who fall victim to HIV-related rape.

The day before, the team from Namibia had already listed HIV among "Broadening the scope of extension": There was consensus among all the country representatives that HIV/AIDS had to be addressed by extension work even where agriculture was not immediately concerned, and that a seperate session should be dedicated to this challenge.

"Everything we do should also have an HIV/AIDS component."

Willy Ehret

Actually, another resource person had been planned to introduce participants into the matter and share some field experience. Due to her short-termed unavailibility, however, the session took place without external inputs. As Willy Ehret put it, everybody had been in a lot of workshops, consultations, work-place interventions, or rural aid pro-grammes, anyway. So this probably would be a quite sufficient starting point to share experience.

Mr. Ehret offered a group work task on HIV/AIDS.

A plenary discussion followed the group work. This time, the groups were com-posed according to the three levels of the SDF: One for *Demand*, one for *Response*, and one for *Support*. Partici-pants were free to chose their groups

This was the task (*right*):

The facilitators assisted each group by inter-preting the task and sharing their own field experience.

"As a manager what would you do to integrate HIV activities for aware-ness creation, prevention and mitiga-tion into the service delivery frame-work:

- **on the demand level**
- **on the response level**
- **on the support level?"**

Discuss and present on flipchart.

Time: 30 min.

Mathias Braun in back position, leaving the driver's seat to participants.

„We have many people who discover they are positive, at all ages."

Participant

„It's a behavioural thing. In all as-pects. At least we are aware it is there."

Participant

Demand level:

Awareness creation

- Awareness creation of key community members
- Understanding culture, values and beliefs of the people
- Social mobilization and formation of HIV/AIDS clubs
- Develop training contents
- Sensitization on stigmatization
- Identification of people living with AIDS

Prevention

- Awareness of risk causes and factors
- Awareness creation on behavioural change
- Presentation of preventive options or measures e.g. ABC concept

Mitigation

- Councelling for voluntary testing
- Capacitate HIV/AIDS clubs to provide support:
  - moral support
  - education on nutrition/production
  - medication (linkage with other institutions and orgnaizations)
- Monitoring and follow-up programme

Support level:

- Clear policy on HIV
- Policy should be supported by:

Structure
  - *Funding- logistics*
  - *Competency development*
  - *Services*
  - *Mindset changes*
- Intersectoral coordination ("collaboration with other departments")
- Mechanisms for reporting and M&E for proper response "to continue the upgrade"
- Information management

Response level:

Sensitization (for staff):

  - Meetings
  - Mass media
  - Workshops
  - Reading materials, posters
  - Video shows

- Competence development of staff to facilitate HIV/AIDS issues
- Interpretation of HIV/AIDS policies to staff
- Facilitate establishment of HIV/AIDS Coordinating Committees from various service providers
- Implementation of workplace HIV/AIDS policies/programmes
- Demonstration on the use of condoms and other preventative measures
- Facilitate voluntary councilling and testing of staff
- Educate staff to avoid stigmatization
- Plan and budget for HIV/AIDS activities
- Spiritual messages to staff
- Encourage wellness programmes, e.g. exercising good diets

"You must be able to talk about it. But often it's still a taboo. It's not a medical issue; it's an issue of behaviour and the like."

Willy Ehret

7.4   Try and test the compass: Development of country plans

After the formal brainstorming the day before, the participants were now provided with a task that enabled them to return back home with a clear idea of what to do in their specific environment, - and helped them "not to end up with a balloon situation" (Paolo Ficarelli).

With this session, the participants completed the week's working/learning cycle: the clarification of specific challenges had led to the deepening of major intervention areas relevant for managers, and to the formulation of precise actions (down to the level of "Facilitate the operationalization of law 08/2001" – see Mozambique, p. 129) to deal with these challenges in a proactive way.

When the country teams had developed their matrixes (cf. above right, Chart 61). Willy Ehret and Paolo Ficarelli invited the audience to visit one chart after the other, and hear what their colleagues presented on the spot.

Chart 61: Taks for country plans.

„You cannot plan for the future tomorrow. We have to plan today."

Paolo Ficarelli

The time for questions was limited to 5 minutes for each chart.

From left: Silas Sitholimela, Mathias Braun, Emily Handunge, Jan Schutte, Mario Norman.

Chart 62: Country plan Namibia.

The following three priorities will be addressed on the work desks of SARDEP team, according to the presentation:

1. **Change management**

2. **Decentralization of sevices**

3. **Facilitation skills** ("In our planning yesterday we have said that our staff should be trained in facilitation")

CAEO: Chief Agricultural Extension Officer

The chart was considered to be self-explaining; there were no questions to the group's presentation.

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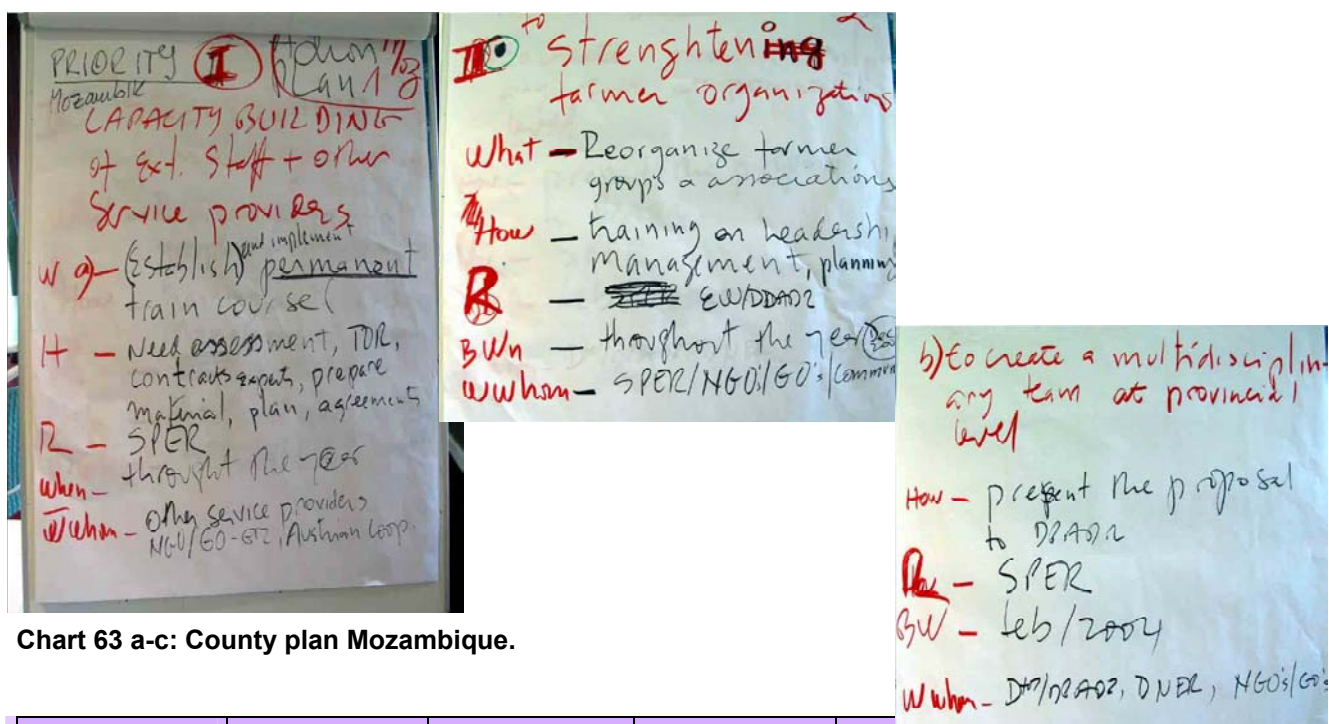
Chart 63 a-c: County plan Mozambique.

Priority	What	How	Who's responsible	By when	With whom
Capacity building of extension staff and other service providers	Establish and implement *permanent* training couses	Need assessment, ToR, contract experts, prepare material, plan agreements	SPER (Provincial Services of Rural Extension, Madane)	throughout the year	Other service providers, NGO/GO (GTZ, Austrian cooperation)
Strenghten farmer organizations	Reorganize farmer groups and associations	Training on leadership, management, planning	EW/DDAD2*) (extension workers)	throughout the year – Dec. 2004	SPER/NGOs/ GOs/ Communities
To create a multidisciplinary team at provincial level		Present the proposal to DDAD2	SPER	Feb. 2004	Dtor/DDAD2, DNER**), NGOs/GOs

SPER: Provincial Services of Rural Extension

*) District Directorate of Agriculture and Rural Development

**) National Department of Extension

There were no questions to the group's explanations.

Chart 64: Country plan South Africa.

The South Africans went a little more into detail. For an identification of country-specific challenges, they took advantage from the visit at the local Polokwane municipality. Their first priority resulted from the obvious 'duplicity' of municipalities and Department, "each doing their own activities", as they had captured during the stay.

1. **Establish linkages with districts and local municipalities**

The time schedule was corrected from April to August in order to allow the other tasks to be completed first.

2. **Support to managers in internalizing the process**

The "strategically best area" was to be chosen for the exposure visit. The provincial coordinator was to be responsible for the intervention. Apart form BASED, an NGO was chosen for assistance.

3. **Develop training process plans**

"From the lessons we have learnt, it has become clear that there are people who come and go in the programme. We need to look at people who are committed on the top, who have interests and are competent so that the programme can move on with positive results."

There were no questions to the group's explanations.

Chart 65: Malawi country plan.

Malawi had identified the following three priorities:

➢ **Development of effective and innovative farmer organizations**

➢ **Competence development for service providers**
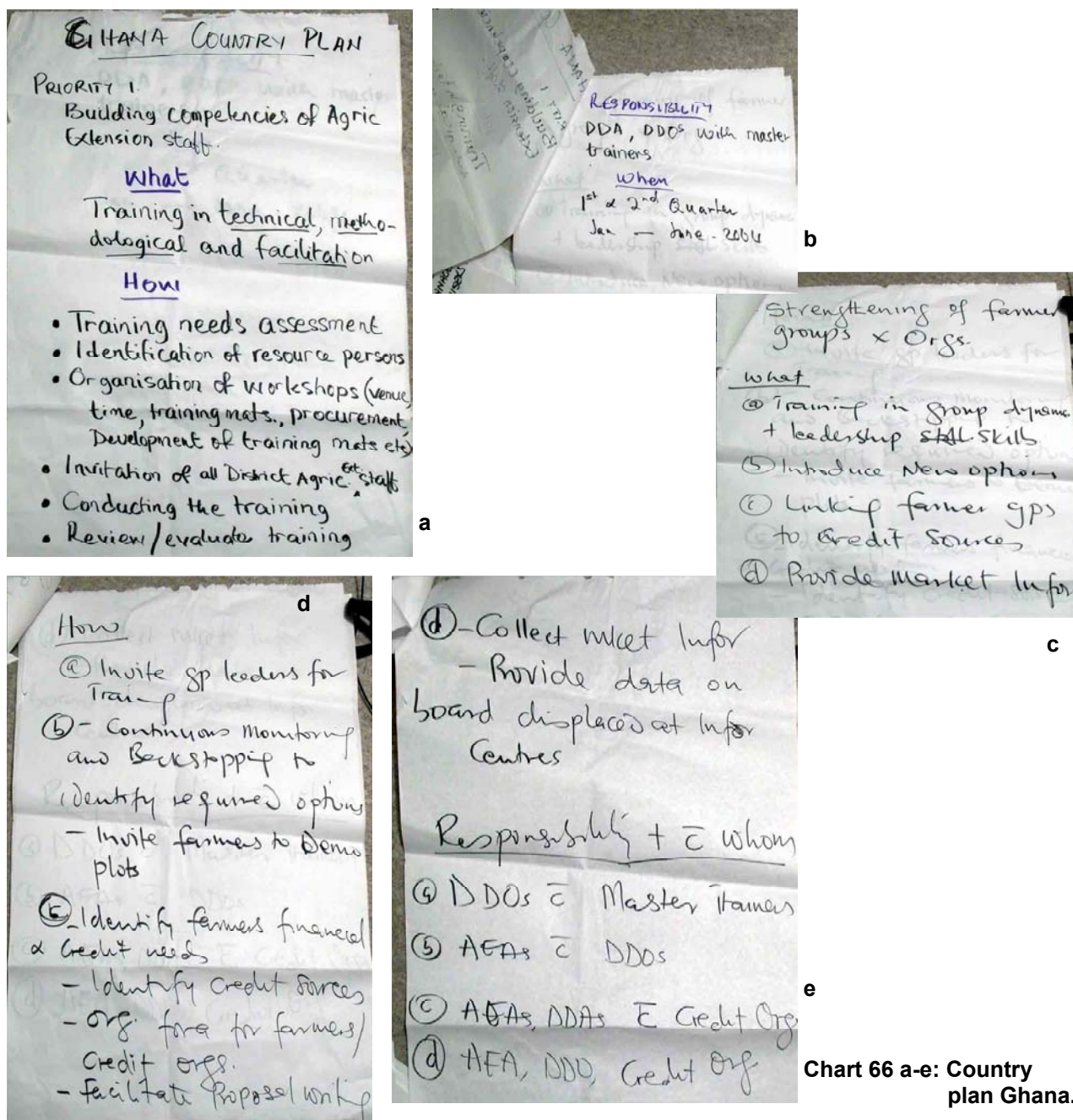
➢ **Strenghtening and empowering co-ordinating structures**

DADO: District Agriculture Development Officer
DAECC: District Agricultural Extension Coordination Committee
DAsub-Committee: District Agricultural Sub-committee

In Malawi, further use should be made of the concept of change teams which had proved so profitable in the case studies.

The chart was considered to be self-explaining; there were no questions to the group's presentation.

Chart 66 a-e: Country plan Ghana.

DDO: District Development Officers (for crops, fisheries, veterinary, livestock etc.)
AEA: Agricultural Extension Agents (frontline staff), supervised by District Development Officer
DDA: District Director of Agriculture

The Ghana team had taken considerable effort to detail their plans. With the apology that "time was not on our side" they introduced their non-matrix contribution, first pointing at the three priorities, and then describing how and why they had arrived at the separate steps of their implementation planning. In many points they were able to draw on existing structures:

"Demonstration plots are spots where farmers are periodically invited to meet and exchange, on district level" (Chart 66d). "We have information centres near the marketing centres where farmers come and sell their goods" (Chart 66e).

The Ghana priorities in overview:

> ➢ **Bulding capacities of agricultural extension staff**
>
> ➢ **Strenghtening of farmer groups and organizations**
>
> ➢ **Quality management of service providers** (details to this priority listed in the following):
>
> **What**: Identify resources of the service providers, build their competences to deliver
> **How**: Offices and frontline staff collect information, compose profiles, process information
> **Responsible**: Identify resource person, procure it, develop & organize training for providers
> **Time**: 2nd quarter 2004
> **Assistance**: DDA and DDO and service providers

Now, having led the workshop participants into the next learning cycle, as it were, Willy Ehret congratulating everybody for their achievement (threatening to ask for the progress made in 2004). It was time now for the final evaluation of the workshop.

The facilitators had already prepared the 'points board' with space for everybody to cast their red-point-votes on **Facilitation**, **Content/ discussion**, **Atmosphere**, **Material/ handouts** and **Venue/ accomodation/ food** on a continuum from "substandard" to "excellent".

"Whenever you are working on the levels of demand, response, or support, the documentation of this workshop will be a reference for you by which you can check: 'Am I observing everything that is needed according to the cornerstones of this level?'"
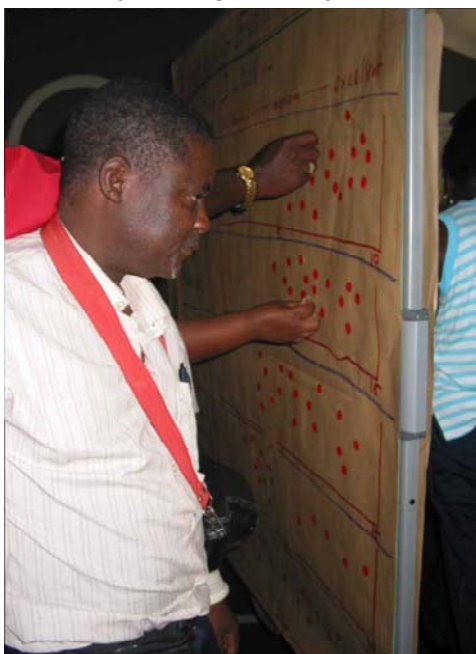
Willy Ehret

8   Evaluation and closure
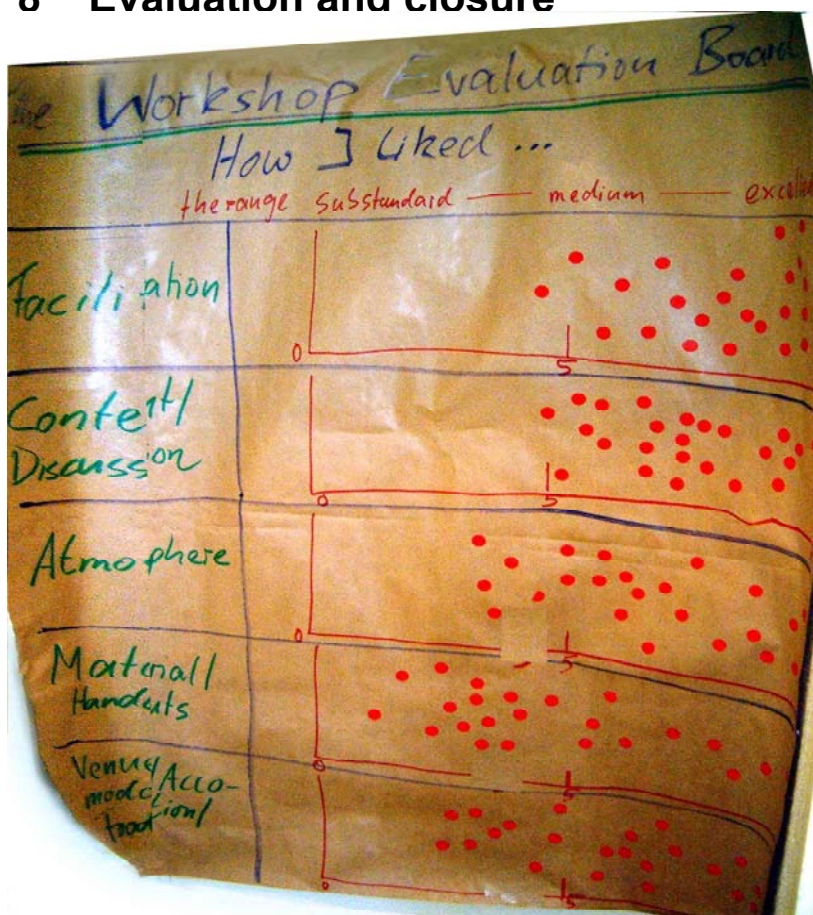
Ladies' choice.

**Chart 67:
Substandard – medium – excellent:
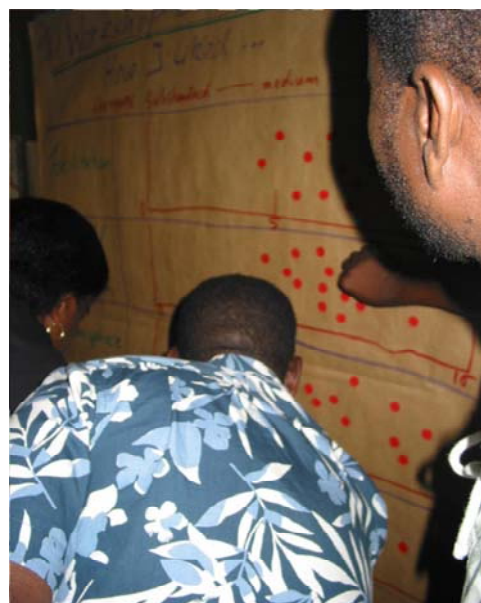Ranking the workshop.**

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Willy Ehret observed that "Material / handout" was ranked comparatively low. "We did not have many handouts", he admitted, but referred to the workshop documentation. He invited further comments; but the plenary was already prepared to enter the second step of evaluating the course. In this, they were guided by Joe Ramaru.

Every point counts: Aaron and Domingos casting their votes.

Opper Ng'oma, studying the outcome.

In groups of three colleagues each, the participants took yellow, red and green cards and started brainstorming. As Mr. Ehret explained, only the first question requested all five cards: "For the others just take as many cards as you come up with."

Since introducing new topics which should be treated in following workshops was a very important part of the schedule, the results of the last question (Chart 68) are presented at first:
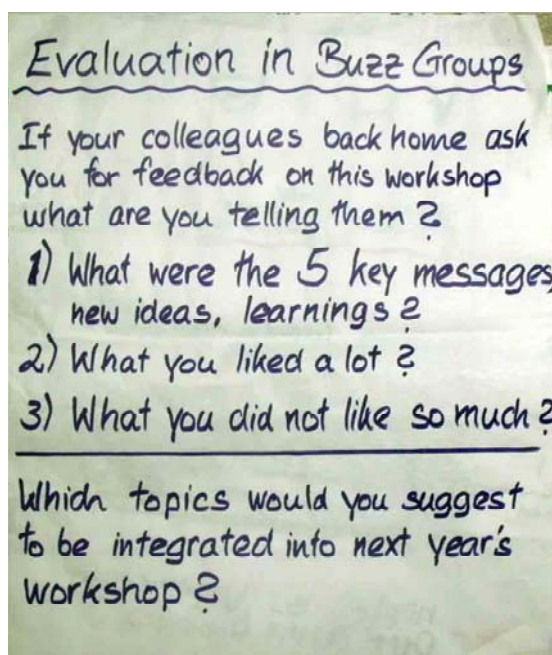

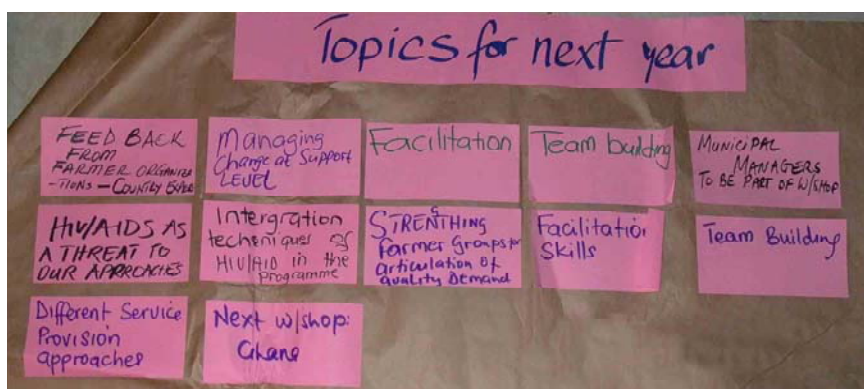**Chart 68: Task for evaluating the workshop.**

Chart 69: Suggested topics for next year.

Among the plenary's suggestions, "team building" and "facilitation skills" were mentioned twice. HIV/AIDS remained one of the major issues to be addressed. Concerning participants, it was suggested that more municipal managers take part in the workshop.

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Joe Ramaru arranged the evaluation cards on the boards:

"We are now working on pink. If you are still in green you are clearly behind!"

Willy Ehret

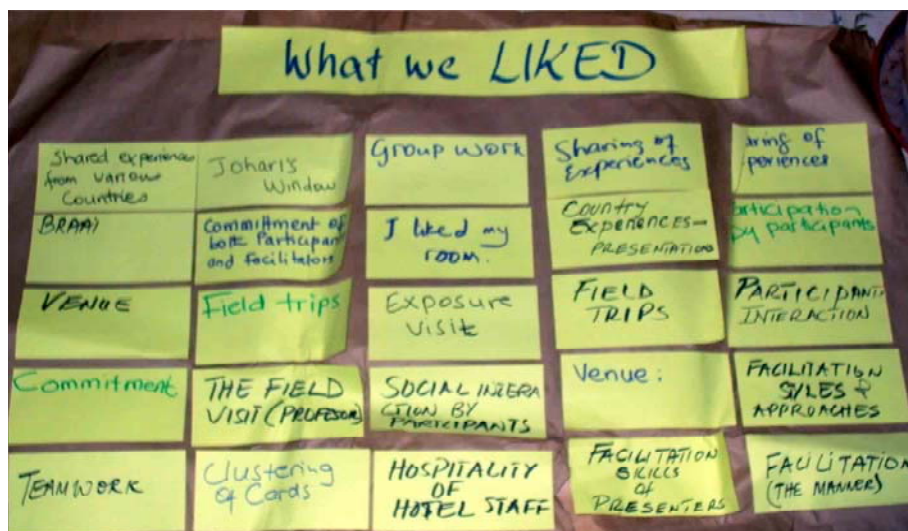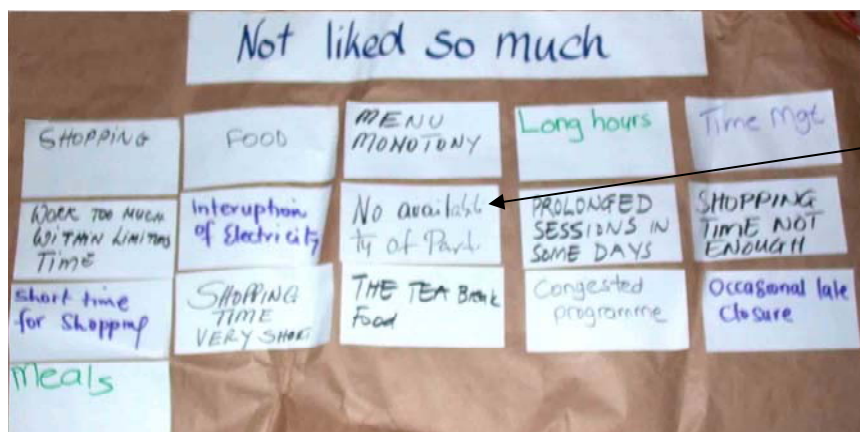**Chart 70: Five key learning fields from the workshop.**

Chart 71: What participants liked in the workshop.

Was it incident or the routine of the long-standing facilitator that made Joe put the "Unavailability of participants" under "Menu monotony?" ☺

Chart 72: What participants liked less.

In the hustle and bustle of pre-departure excitement the plenary's input went largely uncommented. At the end of this morning, with only a few minutes left to lunch and to take their shuttles to the borders, the participants received their certificates and took a last chance to exchange words and addresses.

Senior Manager Ephenia Kanyago officially closed the workshop, reviewing that "each and everyone has learned something very valuable from this workshop to implement in their countries and districts. Let's take the lessons and go implement them, improving not only our own levels as service providers but also the livelihoods and conditions of the people we are training."

Once more, she thanked SNRD and GTZ for finance and logistics to the course, and the facilitating team and support staff to have "helped the workshop flow that easily." As Spitzkop villagers had remarked: "Teams are more than the individual."

Ms. Kanyago made a last professional appeal "to bring the municipalities on board: They organize the overall service delivery. If we isolate them we will find it difficult to organize demand." Then she ished everybody a safe trip back home and a merry Christmas: "Next time when we come we will share what we have implemented and see how we can further improve on it."

Finally, Mr. Ficarelli expressed his gratitude to the participants for their commitment and energy, to his co-facilitators Joe - "always ready to take new facilitation challenges" -, Mr. Ehret and Mr. Braun for "accompanying us in this journey", Ms. Kanyago for her commitment and time, Vera Greiner-Mann for documenting the proceedings, and the support staff for their helpful assistance.

Wishing a Merry Christmas and a challenging New Year, he closed with some final considerations, which he had written on flipchart (Chart 73, below).

"Our new challenges must be addressed by new ideas."

"If we do not manage change change will manage us."

Chart 73: Final considerations to take home (red outline).
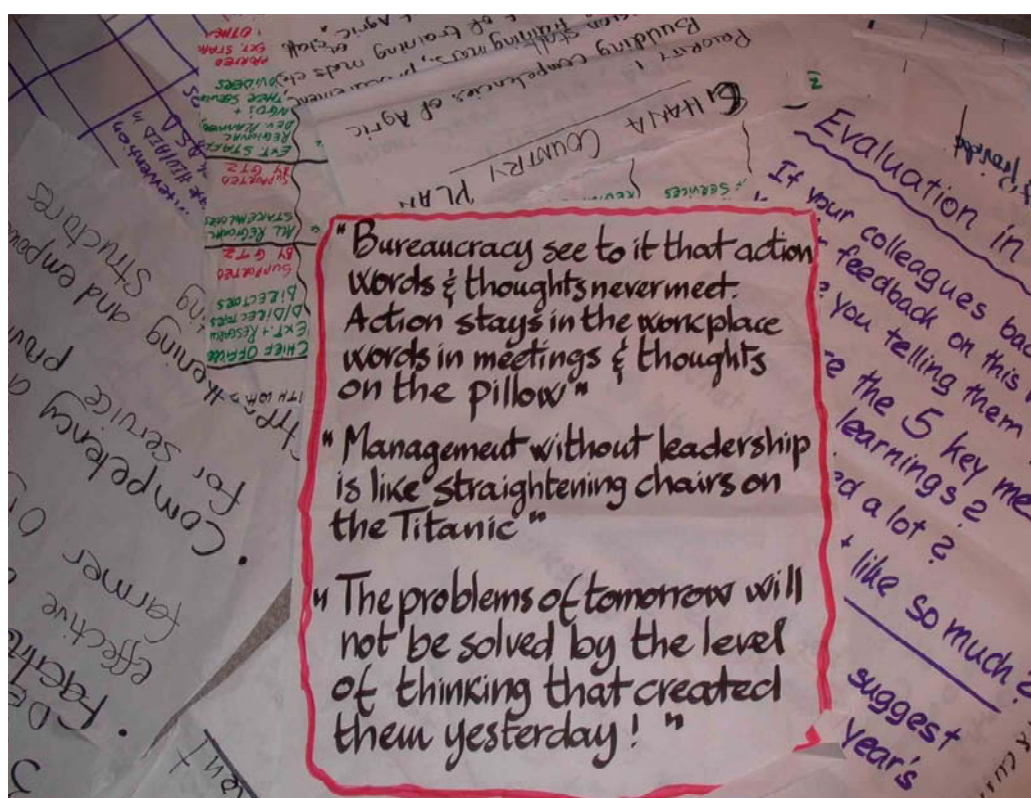
Farewell from Namibia's SARDEP colleagues.

Linkages

Looking back

Leaving

Annex

Annex 1:
Powerpoint presentations

Annex 2
List of participants and facilitators

Annex 3
Participants' profiles

Annex 4
Workshop announcement

Annex 5
Information about SNRD