This guide was developed with substantial support from PICOTEAM member Dr. Thomas Schwedersky who was the responsible GTZ-Manager of the NARMS project.

In-Process Consultancy
A Work Document to Consultants in Natural Resource Management Projects

Division 402
Environmental Protection, Conservation
of Natural Resources, Dissemination of
Appropriate Technologies (GATE)

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Natural Resource Management Projects

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Contents

Foreword

This NARMS Document - "In-Process Consultancy - a Work Document for Consultants to Natural Resource Management Projects" - is an enhanced and updated version of the Work Document on Process-Supportive Consultancy which we issued in 1994. Unlike the first version, it is intended primarily for consultants providing in-process consultancy support to projects or programmes of natural resource management, over a prolonged period. It is designed to assist consultants in establishing and further developing their consultancy approach, and in viewing their consultancy work as a learning process. It has been possible to enhance the Work Document by incorporating the growing body of experiences of the NARMS project with in-process consultancy. A three-day exchange of experiences among consultants, held last year in Bonn, was crucial in achieving this.

We are issuing the Work Document at a time when in-process consultancy is moving higher up the agenda, especially within the GTZ. Clearly, this is linked to the shift towards process-orientation within Technical Cooperation (TC). The Work Document deals with in-process consultancy as provided by external consultants mandated to facilitate TC projects of natural resource management. This is not to say that long-term experts in TC projects cannot also see themselves as in-process consultants. Thus in July 1996, for instance, a conference of specialists was held at the GTZ on the theme "Bridging the gap between in-process consultancy and technical consultancy", organized by Division 402. The key focus of the event was the self-conception and role of long-term experts. The present Work Document does not address this issue, however. Neither does it address issues of process monitoring. The monitoring of technical and social processes poses a constant challenge to natural resource management project teams. A situation-specific approach to process monitoring can be facilitated through in-process consultancy, as understood in the present Work Document. The task of process monitoring itself thus remains the responsibility of the respective project team. To support teams in that task, we recently issued a Process Monitoring Work Document. We consider it important that the distinction between roles and functions does not become lost, as discussion of strategies for and approaches to process management increases. Long-term experts and external consultants facilitate processes, but in so doing play quite different roles, and thus have quite different mandates, functions and potentials.

We hope that this Work Document will be of assistance to consultants in their learning processes, geared to greater process-orientation. Conversely, we would be grateful for any feedback and constructive criticism of this Work Document which will help us move forward in our in-process consultancy learning process.

Thomas Schwedersky   Oliver Karkoschka

Bonn, December 1996

Definitions

Natural resource management involves

1. access to data on the quantity, exhaustibility and potential uses of the natural resource base on which life depends, and deciding how to utilize - and protect - those resources;

2. implementing that decision, i.e. steering and effective monitoring of resource utilization.

Participatory and self-help approaches to natural resource management (NARMS) denotes an approach for developing and strengthening the capacities of resources users and other actors in natural resource management. By pursuing an approach geared to learning processes, the aim is to enable resource users and other actors to sustainably manage their natural resources on their own responsibility. NARMS is therefore not a new project type, but rather a range of instruments for planning and implementing natural resource management projects of German development cooperation. These instruments can be employed in all projects seeking dialogue with natural resource users.

Actors are all those individuals, groups, organizations and institutions which participate actively in a given project situation. Depending on the "lens" through which the actors are viewed, their spectrum will change, i.e. a distinction might become apparent between women and men, or autochthonous groups and migrants, or crop farmers, livestock farmers, charcoal burners etc.. The term "actors" sees the individuals and groups concerned as acting within a dynamic system, and thus goes beyond the distinction between "target groups" and "participants" derived from project logic.

Participation means that those affected by measures of natural resource management, or their representatives, are involved in the respective decision-making and implementation processes.

Self-help in the context of natural resource management denotes those efforts, on the part of (local) sections of the population themselves, to solve the problems which they have identified as being of top priority, or to develop and implement their own vision for a future of more sustainable natural resource management.

Capacity development comprises processes to empower people, and strengthen the functionality of institutions and organizations. Capacity development thus includes ***self-help promotion***.

***Capacity development* at the local level in natural resource management** refers to the development of resource users' capabilities to more soundly manage their natural resource base, and the development of organizations' and institutions' capabilities which might support resource users in that process.

A **project** should be understood as a process of limited duration, as a task which the project team tackles - and not as an organizational structure. The project is based on a cooperation agreement between various actors.

The **project team** comprises seconded and local experts, including the staff of the national project institution.

The Document:
Purpose and History

In development cooperation, new buzzwords are appearing all the time. "Process" and "process-orientation" have been common currency for a long time, and now along comes "in-process consultancy". What does it mean? The more these words are used, the more familiar and yet at the same time nebulous they become in terms of their meaning. - unless they are seen in the contexts in which they originally arose.

The present Document is designed to present the term "in-process consultancy" in context, thus illustrating its scope of reference. No attempt is made to provide a definition along the lines of: "in-process consultancy is X", nor is any abstract explanation of the term given. The Document rather offers an illustration of what the term means by presenting and synthesising experiences gathered since 1991, within the scope of the pilot project "Natural Resource Management by Self-Help Promotion" (NARMS) of the *Deutsche Gesellschaft für Technische Zusammenarbeit* (GTZ) *GmbH.*[1]

The result is a Work Document designed:

- to serve as a frame of reference for consultants facilitating or intending to facilitate learning processes within projects.
- to provide consultants with ideas on how to (help) steer and shape processes.
- to help consultants conceptualize and organize their consultancy work as a learning process.

It is aimed first and foremost at consultants in the field of natural resource management who, either through dissatisfaction with standard consultancy approaches, or as a result of their own positive consultancy experiences, wish to find out more about in-process consultancy. Having said that, you should not be reading this in the hope of training yourself to become an in-process consultant by this means alone. You will not find any blueprints or recipes here. Ultimately, you cannot decide what concrete action to take until you actually find yourself in the concrete consultancy situation. This Work Document can "only" provide you with suggestions and helpful tips.

The Document is also aimed at those who share responsibility for assigning consultants to natural resource management projects, and would like to know what to expect from a consultancy process of this type.

The task of the NARMS pilot project consists in fostering the use of methods and instruments to promote participation and self-help in natural resource management projects, and enhance their application. "Participatory and self-help approaches to natural resource management" thus does not denote either a new strategy for

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[1]   The pliot project has been operating since 1991, and is based in Bonn.

development, or a new project type, but rather a certain approach to the planning and implementation of sustainable natural resource management projects.

The personnel of the NARMS pilot project themselves carry out in-process consultancy assignments for selected natural resource management projects, or support such by assigning appropriate consultants. This approach to consultancy is especially suitable for initiating and supporting processes in which the actors themselves identify and solve problems, or learn to harness development potentials. In-process consultancy does not offer ready-made solutions to technical problems, but rather stimulates learning processes.

In October 1993, a three-day workshop was held near Bonn, attended by the personnel of the NARMS pilot project, other in-process consultants and a number of resource persons from GTZ Head Office.[2] Proceeding from an analysis of a number of case examples, the question was posed as to the commonalities and differences between selected examples of in-process consultancy. The aim was to identify the contours of this approach to consultancy in the field of natural resource management, without neglecting the broad spectrum of its diverse manifestations.

Within that framework, a draft version of the present Work Document was produced which elicited numerous comments from both within and outside of the GTZ. During a subsequent workshop attended by a similar group of participants and held in June 1995, further experiences were exchanged, and the draft version of the Document was discussed. The present publication, "In-Process Consultancy", was the result.

In-process consultancy can also be applied in projects outside the field of natural resource management. The interface with other consultancy approaches, developed in other multisectoral fields, is porous. One notable example is organization and management consultancy. Ultimately, wherever human capacities, and/or organizational and institutional capacities, are to be enhanced (capacity development), interrelated procedures and instruments are elaborated based on the same principles.

Nevertheless, in the interests of maintaining an inductive approach, the present Work Document has been restricted to the field of natural resource management. It is based essentially on the evaluation of experiences gained by the NARMS pilot project in cooperation with projects in Benin, Burkina Faso, Colombia, the Dominican Republic, Panama, Nepal, Pakistan and the Philippines[3].

Depending on the reader's particular field(s) of interest, this Work Document can be read selectively. It has therefore been structured accordingly:

Part I deals with the fundamentals of in-process consultancy.

1. Chapter 1 describes the general context of natural resource management projects, and the particular working principles of the NARMS pilot project. It does so because, firstly, the significance of in-process consultancy in natural resource management is founded upon this framework. Secondly, this framework defines the activity area within which in-process consultants operate, whose experiences form the basis of the present Document.

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[2]   Cf. Nikolaus Schall, Workshop on Process-Supportive Consultancy, Meckenheim, 20-22 October, 1993. Workshop Documentation for *NARMS Pilot Project,* Neu-Anspach, Oct. 1993 (hereinafter referred to as: Schall, Workshop Documentation).

[3]   Please refer to the bibliography for the titles of the projects and evaluated reports.

2. In the next Chapter, a profile of in-process consultancy in natural resource management is developed, identifying its characteristic features, on the basis of case examples.

3. The third Chapter deals with the tasks and roles of in-process consultants, which vary according to the current consultancy requirements of the clients, and the consultants' self-conception and mandate.

4. Next, the procedures of in-process consultants are explained. It becomes clear in this context that a situation-specific approach also means elaborating situation-specific instruments.

5. This Chapter draws conclusions from the previous four regarding the skills and expertise which in-process consultants should possess, and the question is raised as to potentials for training and coaching.

6. Chapters 2 to 5 are summarized in the form of a brief comparison between in-process consultancy, and self-contained technical consultancy.

7. A seventh Chapter offers practical advice on applying in-process consultancy in natural resource management projects of Technical Cooperation (TC).

Part II of the Document comprises two case examples which shed a little light on the broad spectrum of in-process consultancy, providing the reader with an impression of how a number of consultancy processes unfold in their overall context. The individual consultancy processes are located at intervals along a continuum, which at the same time is broken down into various strata of consultancy, all of which in their own way help develop the capacities of project personnel.

The Document thus provides an outline of the present state of in-process consultancy experiences acquired by the NARMS pilot project. The editors and author would like to thank those of their colleagues who made constructive criticisms on the draft version of the Document, and hope that this exchange of experiences can be continued with respect to the present Document and beyond:

Thank you in advance for your comments and suggested improvements.

Part I

In-Process Consultancy for
Natural Resource Management

1. The Activity Area: Participatory and Self-Help Approaches in Natural Resource Management (NARMS) [4]

1.1 The objective: improved natural resource management

Typically, natural resource management projects exist in an situation characterized by:

- an over-exploitation of natural resources, which can even lead to their destruction, and

- a lack at the same time of factors which might restore the equilibrium of the ecosystem.

Natural resource management projects are designed to help bring about a new systemic balance, within which the participating actors are enabled to manage their resources sustainably.

1.2 On the context of natural resource management projects

The situational context of these projects displays the following typical features:

- A large number of individuals, local and external groups, enterprises, organizations and institutions stake a broad diversity of claims on resource use. The resources are often scarce, which frequently leads to acute conflicts of interest.

- By its very nature, efficient natural resource management requires that a consensus be achieved among the various actors involved in resource management. Experience has shown that individuals and groups which are unwilling or unable to be involved in a natural resource management project can exert a negative affect on its implementation, and thus on the process of strengthening the sensitive ecological balance.

- Conflicts of interest between natural resource management projects, and groups and individuals affected by them, are also virtually inevitable. The medium- to long-term measures for sustainable natural resource management tend to conflict with short-term interests - such as ensuring survival, social prestige or material profit-making. This is one explanation for the often reserved or negative attitude of the local population to active participation in measures of natural resource management.

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[4] This Chapter is based essentially on the Position Paper of the GTZ pilot project, GTZ (eds.): Participatory and Self-Help Approaches in Natural Resource Management. A Position Paper from the Work of Division 402 Environmental Potection, Conservation of Natural Resources, 402/94 - 11 d RMSH.

- The framework conditions for improving natural resource management also leave something to be desired: only in exceptional cases - such as watersheds - are administrative units formed which take ecological systems into account. Governmental institutions - such as forestry or agricultural authorities - often have little scope to act. And the political culture in most countries is not geared to involving the local population in planning and decision-making processes.

However: in some cases, the restrictions mentioned also at the same time represent potentials which should be harnessed. For instance, weak governmental structures may under certain circumstances leave scope for self-initiative on the part of individuals or groups. Different views of a problem can - if discussed openly - lead to the development of improved solutions based on a broader consensus. And the pressure to solve problems generated by the unfavourable framework of governmental institutional structures can create scope for participatory and self-help-oriented initiatives.

1.3   Strategic elements of NARMS

The creation of scope for self-help-oriented initiatives is especially important for natural resource management projects, as a **participatory approach** to the planning and implementation of such measures entails obvious benefits[5]:

- Participation in both the planning and the anticipated benefits of a project increases the willingness of the local population to contribute their own resources - including immaterial resources - to the natural resource management project.

- Situation-specific information can usually only be obtained by involving the actors affected by the respective project. And only on the basis of this information can solutions and technologies appropriate to the conditions be developed - together with the users. A participatory approach enables all actors to share in joint learning processes.

- Obstacles created by individual actors which jeopardize the project can only be addressed by involving those very actors in the planning and implementation of measures. A participatory approach is thus an absolutely essential component of conflict management.

- Active participation is the only means by which the local population can develop the necessary understanding of and expertise in natural resource management which the local actors will need at a later date to self-reliantly continue the introduced measures. A participatory approach is absolutely essential for the sustainability of project measures.

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[5]   Cf the Position Paper of the NARMS pilot project.

Alongside the participatory approach, **process-orientation** is a further strategic element of NARMS[6]: natural resource management projects should be seen primarily as stimuli for processes of ecological, economic and social change, designed to carry a destabilized system through the transition to a new state of equilibrium. In this context, process-orientation does not mean abandoning the definition of targeted results, but it does mean taking the process leading up to those results every bit as seriously as the results themselves. The sustainability of project impacts is, after all, just as dependent on that process as it is on the results.

Given the diversity of actors involved in natural resource management, and their divergent interests, one important part of this process is **conflict management**.

Both mechanisms of conflict management, and the associated learning processes, need to be institutionalized in order to achieve sustainable and broadly-impacting natural resource management through self-help. And if the project team are to initiate, influence and "moderate" processes of change, then they will not only need to be institutionalized themselves, but will also require institutions and organizations as partners in dialogue who firstly embrace and represent the various interests in the region, and secondly can take on tasks of natural resource management at the various levels of action. Consequently, issues of **institutional and organization development** in the governmental and non-governmental sectors play a major role in natural resource management projects.

Practical work with NARMS in projects requires a **situation-specific approach**. This is the only way to ensure that socio-cultural conditions are taken into account, and that scope is created for a sense of project ownership to develop among the various actors. The development and ongoing elaboration of the situation-specific approach should be designed as a joint **learning process**.

1.4 In-process consultancy within the scope of NARMS: rationale

Working with these four strategic lines of approach of NARMS - participation, process-orientation, conflict management and organization development - requires project staff to see the technical dimension of their work, e.g. in forest management or erosion control, in interaction with social structures and processes. Questions and problems arising in this connection, e.g. "How can village organization processes be promoted with a view to joint forest management?" may call for in-process consultancy. Finding a solution to a specific technical problem will require a targeted short-term consultancy assignment, but not in-process consultancy.

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[6] NARMS is based on a total of six strategic elements (Cf. the Position Paper of the NARMS pilot project):
1. the participatory approach;
2. promoting motivation to participate, and self-help potentials;
3. process-orientation;
4. combination of measures producing short- and medium-term impacts;
5. development of local organizations and institutions;
6. negtiation-orientation and conflict management.

Only those elements are emphasized here which are relevant to in-process consultancy.

NARMS aims primarily to initiate and foster **learning processes,** leading to changes in behaviour on the part of resource users - as well as the staff of relevant GOs and NGOs - and thus to improved natural resource management.

This task requires a strong willingness of the project staff to engage in dialogue and cooperate with the actors involved in natural resource management: users, those "opposed" to the measures, and "willing" and "unwilling" staff of relevant institutions and organizations in the governmental and non-governmental sectors. Working with NARMS triggers learning processes within the project team regarding their capacities for communication and cooperation - learning processes which need to be intensified and systematized by an in-process consultant.

Moreover, experience has shown that, even though natural resource management project staff may possess adequate technical qualifications, they do have a restricted view of their own integration into social structures and processes. In such cases, the task of external consultants is to strengthen the project team in their perception of social structures and processes, in their capacities for dialogue and cooperation, and in shaping their approach in line with the learning process.

A cooperation of this kind between the project team and consultant presupposes that the team accept the consultant - not in terms of his/her technical qualifications, but also in terms of his/her personal skills in dealing with social processes, as well as the learning processes of the individual team members. Building a corresponding relationship of trust takes time; and since learning processes cannot be planned in detail, their steering requires a high degree of flexibility.

An in-process consultant who deploys his or her social skills[7] on repeated occasions at the particular request of the project team, is more likely to be able to meet these requirements of acceptance and flexibility, than an consultant who appears in a project usually only once to solve a specific technical problem.

In-process consultancy within NARMS is based on the following premise:

> **The staff of natural resource management projects are consultants for capacity development - for processes to empower people, and strengthen the functionality of institutions or organizations. The role of the project team vis-à-vis the other actors in natural resource management, mirrors the role played by the in-process consultant vis-à-vis the project team: S/he could be described as the "consultant's consultant".**

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[7]   Cf. Section 5.1.2 for an explanation of this term.

The difference is that the work of the project team is geared to natural resource management, whilst that of the in-process consultant is geared to the strategic approach and modus operandi of the project team.

Although in-process consultancy did emerge from the work of the NARMS project, it is linked to other related consultancy approaches:

- intermittent consultancy, as developed and practised by the GTZ Division for Organization, Communication and Management Consultancy (403)[8];

- in-project socio-cultural consultancy, as developed within the project of the same name[9];

- team coaching, which has become increasingly important in organization development.[10]

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[8]   Cf. Reineke/Sülzer (Hrsg.): Organisationsberatung in Entwicklungsländern - Konzepte und Fallstudien, Wiesbaden 1995.

[9]   For more information on this project, contact Reiner Forster at the GTZ (Unit 04).

[10] The reader is referred in particular to the publications on organization development issued by the Management Center Vorarlberg.

2. The Contours of In-Process Consultancy

The procedures of in-process consultancy for natural resource management are determined firstly by the particular consultancy requirements of the partners in cooperation, and secondly by the personalities of the consultants. Nevertheless, there are a number of distinct characteristic features common to all measures of in-process consultancy for natural resource management. The following discussion of those characteristics is based on a evaluation of experiences gained by consultants, in the course of providing consultancy support to cooperation partners of the NARMS pilot project, between early 1991 and mid-1995.

2.1 Trajectory of the consultancy intervention

2.1.1 The objective: capacity development - empowering the project team

Natural resource management projects are designed to empower people, and improve the functionality of organizations and institutions, through capacity development.

To sustainably manage their natural resources, resource users require a diversity of skills: They must be able to organize themselves, mobilize resources, analyze and reflect, negotiate and take decisions, exert pressure on institutions, manage conflicts, plan and implement measures, develop and apply techniques of appropriate land use, evaluate their own actions and the actions of others, and adapt their actions in the light of results. All this requires creativity, courage to experiment, communicative and negotiating skills, strength of purpose and a willingness to learn.

Staff of institutions and organizations are required in turn to support resource users in their efforts to improve management of their natural resources. These staff themselves require skills of dialogue- and process-orientation, interdisciplinary cooperation, negotiation, conflict management, organizational development and consultancy, and training.
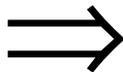
The aim of the in-process consultant is to support the project team of natural resource management projects in developing their skills for dialogue and cooperation, thus enabling them to empower resource users and other actors.

Capacity development in this context relates to the planning, implementation, monitoring, evaluation and replanning of the actors' own natural resource

management activities - designed to strengthen self-organization and increase empowerment.

The key question for in-process consultants is therefore:
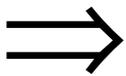
➡ **What can we do to initiate, intensify and systematize the project team members' processes of learning to communicate and cooperate with actors?**

Capacity Development

I want to help the people I work with on two levels:
    Firstly, in their capacity to think, act, experiment and learn, thus enabling them to
- develop a better understanding of their real, changing environment;
- achieve improved self-organization and instruments to steer their actions;
- develop enhanced cognitive skills, so as to be able to argue convincingly in support of their own actions;
- identify more potentials for learning from experience.

Secondly, I want to help them in their personal development, by guiding them through a process of self-analysis designed to enable them to bring their behaviour and habits more closely into line with their social and cultural setting, as well as their own personal goals.

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What I aim to achieve in initiating these processes is simple: To develop those capacities of the project staff which they need in order to empower farmers to openly address their problems, and value their available resources.

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Philippe De Leener on his consultancy objectives.[11]

In-process consultants thus stimulate learning processes designed on the one hand to develop the skills and capacities of the project staff, and on the other hand to bring about changes or even a reversal in personal attitudes and behaviours[12] towards people with whom the project cooperates.

The consultant's work in-project touches two worlds

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[11]   Philippe De Leener, "Working Paper designed to be discussed during the workshop on *process-supportive consultancy*". In: Schall, Workshop Documentation, Annex 4, pp. 2 and 3.

[12]   Cf. Robert Chambers' call for a reversal in the priorities, attitudes and behaviours of the "experts": "The new professionalism: putting the last first", in: Rural Development. Putting the Last First. London, Lagos, New York: Longman 1983, pp. 168-189. - Whilst Chambers' comments relate to a reversal of attitudes and behaviours towards the rural poor, they also apply in principle to all interactions with "target groups", i.e. people with whom one wishes to communicate.

> The first of these is the world inside the project, the "black box" of the project, whilst the second is the world of the farmers which the project is designed to support, the "black box" of the village. In practice, this means that the consultant is constantly working on two levels: ...
>
> On the first level, I help project staff to organize themselves, enabling them to work more interactively within the project setting. In other words, I think, develop ideas, act and evaluate jointly with the actors at the respective working level - this being a precondition for them to achieve their aims.
>
> On the second level, I help the project team identify, and anticipate the results of, promising alternative strategies.
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> _____
>
> Philippe De Leener on the two levels of action of in-process consultancy. [13]

2.1.2 Partners in the consultancy process: the consultant and the project team

Whereas natural resource management project teams cooperate directly with the actors on the ground, i.e. with user groups and the staff of relevant governmental and non-governmental organizations and institutions, the in-process consultant works predominantly with the project team, even through s/he may periodically involve other actors. The partners in the consultancy process are thus the consultant, and the project team - just as, in the ideal-case scenario, the partners in the natural resource management development process are the project team, and the so-called target groups.

Consequently, in-process consultancy establishes a parallel between those situations which the consultant experiences and reflects upon together with the project team, and those which the project team experience together with the local population in the course of their work in the villages or with staff of relevant organizations.[14] The consultants as it were simulate a process of capacity development, a process which the project team themselves might help initiate with respect to the various actors. Thus within the consultancy process, the consultants for instance attempt, as and where possible, to tap the existing potentials of the project team - just as the project team should be attempting to do in their cooperation with resource users and other actors. In this sense, the in-process consultant is a living example of the approach which s/he he wishes to suggest to the project team.[15]

In addition, in line with the process monitoring approach[16] the consultants initiate learning situations, in order to help the project team organize their own learning

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[13] De Leneer, "Working Paper" in: Schall, Workshop Documentation, Annex 4, p. 2.

[14] Cf. Section 4. The Procedures of In-Process Consultants, especially the box "The conceptual framework of *Consultation Interne*" in Section. 4.1. Fundamentals.

[15] Cf. De Leener on the parallel consultancy interventions consultant - project team and project team - target groups with reference to the PATECORE example, (Première) Mission d'appui du PGRNAP au PATECORE. GT et Organsations paysannes. Ottignies, Septembre 1992, p. 6.

[16] Cf. the "Process Monitoring" Work Document published by the NARMS project.

process. For instance, a process of critical but constructive self-analysis on a sequence of activities, e.g. on the question "What can we learn from our experiences with the introduction of fodder cultivation in villages X, Y and Z?", can yield sudden key insights, and provide pointers as to how process monitoring can be integrated into the everyday working environment.

2.2   Five principles

The procedure employed by in-process consultants is based on the following principles:

2.2.1   A people-centred - not a problem-centred - approach

With in-process consultancy, it is people, individuals and groups, and their interactions, which are the focus of interest - together with their respective problem contexts. This is only logical, since problems do not exist per se out of context, but always need to seen in relation to the people concerned. Different people have different perspectives on the same problem(s), and different potentials for solving them.[17]

In virtually all societies, men's and women's perspectives on things differ fundamentally. Consequently the gender-specific perception of people, i.e. an awareness of the distinctions between the different perspectives of men and women, is an integral aspect of any in-process consultancy activity.[18]

In-process consultancy is both a cause and an effect of willingness on the part of actors to reconsider and possibly change their perspectives, which are shaped by both age and personal experiences, as well as social structures. This willingness to reflect upon one's own behaviour is necessary, because all those involved - both the in-process consultants and the project team - wish to bring about changes in other people's behaviour, and thus play the part of change agents. However, this only becomes possible once they have experienced how difficult it is to change themselves.

"Change people if you want to change situations"

An ongoing and radical change in project structures can only take place if and when the project staff change themselves: indeed this is the goal of any people-centred process, and that is the basis of my work as a consultant. Once people have internalized

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[17]   Concerning the difficulties created by a predominantly problem-centred perspective on a situation, cf. for instance De Leener, "Le mythe du problème ou comment les développeurs jouent les saveurs ...", Troisième mission d'appui du PGRNAP à UP 10. Ottignies, Juin/Juillet 1993, vol. 1, p. 28-29; or Robert Chambers, Challenging the Professions. Frontiers for Rural Development. London: Intermediate Technology Publications, 1993, p. 19.

[18]   The term "gender" is used here not to denote the (unchangeable) biological or sex-specific characteristics of men and women, but the socially-induced characteristics expressed in the different (changeable) roles of men and women in a given society.

change, i.e. once they have changed their behaviour and view of their setting, then any project strategy can also change. Change within the project team is a precondition for change within the project. Otherwise, the only thing that changes is what people say about the project strategy, but this does not change the way in which the actors behave, act and react in given working situations.........

This could all be summed-up by the slogan: "Change people if you want to change situations". And one might add: "Change yourself as well as others, because others will not change unless you change yourself, body and soul."

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Philippe De Leener on the basic principles of his consultancy work.[19]

2.2.2 Socio-cultural orientation

People's relationships and behaviours, as well as the way they deal with problems, are influenced by socio-cultural factors. Hence the major importance attached to socio-cultural factors in the consultancy process - in two respects: The project team who are to receive the consultancy support are just as much influenced by their own culture[20] as the local actors; neither can the in-process consultants disregard their own socio-cultural influences.[21] It is especially important for the latter to be aware of their own socio-cultural influences, and attempt to understand and respect the cultural identity of their partners in cooperation, always bearing in mind the gender-specific division of labour and the resulting social status of women and men.[22] Corresponding phenomena are also found in organizational cultures.

If the slogan "people first", and the people to whom it refers, are taken seriously in terms of their particular socio-cultural identity, an inductive approach on the part of the in-process consultants becomes imperative.

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[19] De Leener, "The Consultancy as a Process. (Updated) Working Paper designed to be discussed during the workshop on *process-supportive consultancy*". Bonn, June 1995, pp. 2 and 15.

[20] People's "culture" includes their perception and cognition, their individual and group behaviour, their world view, their environmental consciousness, their values and norms, and their learning behaviour.

[21] Peter Blunt, "Die kulturellen Grenzen der prozeßbegleitenden Beratung in der Entwicklungszusammenarbeit". In: Reineke, Sülzer (Hrsg.), Organisationsberatung, pp. 49-67.

[22] In all societies, as well as looking after their families, an activity often devalued and seen as mere "social work", women perform numerous economic activites which are generally largely underestimated. For various reasons, however, these activities are often not considered or acknowledged as being "part of the economy", because they are usually not remunerated in monetary terms and - similar to housework in Europe - are taken for granted; because they are often "invisible", i.e. are performed within the narrow confines of the household, and are less public than men's work; because women's work often does not supplement family income, but saves additional expenditure. - These activities also constitute "invisible" results; because, where women's and men's work are complementary, the finished product is often seen as the result of the mens' work, whilst the women's contribution is considered as merely secondary. Gender-specific perspectives play an especially major role in the improvement of natural resource management, since women are often responsible for activities to conserve and maintain those natural resources (e.g. storing seed and crops, planting and weeding).

Taking individuals, groups and organizations in their respective context as a starting point, each consultancy intervention must be geared to the specific case in hand, and determined by the respective problems and potentials of the project team. In other words, there can be no blueprint for the design of a consultancy process.

Consequently, the methods employed by the in-process consultant must, "take into account different perceptions (of all actors - ed.), and facilitate their presentation, so that a communicative process of negotiation (between the actors, with their various interests - ed.) can emerge. In other words, the methods must facilitate the separation of different perspectives and intentions."[23]

Obviously, socio-cultural orientation also means that methods and instruments applicable for instance in the Latin American context might be out of place in Asian countries. Conversely, local procedures, methods and instruments might be examined and possibly transferred.

2.2.3 Process-orientation

The term "process-orientation" has gained currency as a slogan, yet remains an empty formula unless and until it is made clear towards which processes the consultancy is oriented. Natural resource management in particular rests on complex interactions between different interest groups; so how is the consultancy intervention actually oriented in the concrete case?

In-process consultancy for natural resource management is designed to initiate or foster learning processes to engender capacity development, and thus indirectly to promote interaction between the project team, and other individuals, groups and organizations involved in natural resource management.

The consultancy thus aims primarily to promote processes of communication, cooperation and organizational development at the interface between project team and resource users/staff of institutions and organizations of the governmental and non-governmental sectors.

So which processes do we mean ...?

In our context in Panama, the key processes are:

- strengthening the cultural identity of the Ngobe Indians;
- increased involvement of the Ngobe in the activities and decisions of the project;
- stepping-up dialogue and interaction between the Ngobe population and the project team
- enhancing respect for and integrating existing Indian knowledge when elaborating extension messages;
- strengthening exchange and self-organization among Ngobe families and the village population;

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[23] Arthur Zimmermann, "Intermittierende Prozeßberatung für eine Nichtregierungsorganisation - Fallbeispiel Westafrika". In: Reineke, Sülzer (Hrsg.), Organisationsberatung, p. 153.

> - developing the project team's capacities for learning and teamwork;
> - elaboration of concepts and subsequent influencing of donors/project institutions, and projects of similar design.
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> _____
>
> Hermann J. Tillmann on his consultancy work in the agroforestry project, Panama

Secondly, in-process consultancy relates to intra-organizational processes within the national project institution.

In methodological terms, process-orientation means that the methods are employed or developed to match the situation - in consultation with the participating actors - and that there can be neither any logically compelling scheme for the application of certain instruments, nor any blueprints.

Above all, process-orientation and the participatory approach require methods with which the consultants can mirror events for the actors on a continuous basis.[24]

2.2.4 Participatory approach

If the goal of in-process consultancy is to develop the project team's capacities for dialogue and cooperation, then it must be in the consultant's interest to work with as many of the project staff as possible - and if possible with the entire project team.

The questions the consultant will inevitably ask are designed less to obtain information which s/he would need to prepare a consultancy product, and more as an instrument to open up a new frame of mind among the clients. The consultant does not require passive recipients for know-how transfer, but rather an active group of project staff who are willing to take a fresh look at their work from new angles, develop new perspectives, put insights into practice, and try out new behaviours which might benefit the project. In-process consultants will therefore apply methods and instruments which on the one hand make it possible for the project staff to participate, so that their expertise and experiences can be harnessed, and which on the other hand create scope for development of their capacities

The involvement in the consultancy process of as many project staff as possible also has the advantage that changes to established procedures and behaviours will be carried not only by individual persons or organizational units, but also - in the ideal-case scenario - by the entire project team.

Thus insofar as in-process consultancy is to focus on the interaction of various actors of a project, those very actors should also be involved in the consultancy process. However, practice has shown that, during different phases of the consultancy process, the consultancy activities may relate to different actors and levels of intervention - and thus to different issues.

> **When factions form within the project team...**
>
> Limitations to the consultancy process existed mainly in the fact that the consultant was

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[24]   Cf. in its entirety Chapter 4 The Procedures of In-Process Consultants.

seen primarily as the sociologist's discussion and cooperation partner. When the BMZ evaluation of the NARMS project took place, the foresters in the Bassila team clearly identified one deficiency of the consultancy process as being the fact that forestry aspects were too much neglected. However, given the situation which prevailed in the team, it would have been difficult - regardless of a consultant's skills - to be a discussion and cooperation partner for the whole team. Yet one forester as discussion partner representing all the foresters would have been too privileged a position. The second mission in October 1992 was at least a step towards integrating the whole team into the consultancy process.

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Thomas Schwedersky on the limitations of his consultancy assignment in the forest resource rehabilitation project in Bassila, Benin.[25]

2.2.5 Demand-orientation

"Demand-orientation" means that the project team themselves articulate their consultancy needs. This as opposed to for instance an individual coming from outside the project per se, such as a staff member from GTZ Head Office, member of a project progress review or evaluation mission, identifying weak points in project implementation, and then deciding to assign a consultant. This aspect is of strategic significance, since the overriding goal of the consultancy is to develop the clients' capacities for dialogue and cooperation.

Logically, the project team is then responsible for drawing-up the terms of reference and mandate for the consultant, and discussing them with him/her. In this sense, demand-orientation means that the project team specifies its present "co-ordinates", which the consultant then has to locate before "picking up" the project team there.[26]

Demand-orientation of this kind also offers one approach to overcome the classic paradox of consultancy: The consultant is supposed to enable the clients to solve their problems self-reliantly, and shape their own future, thus making the consultant superfluous. Yet the consultant also has a vested interest in securing further commissions. To a certain extent, the consultant is relieved of this conflict of interests, if and when it becomes clear that s/he will only be acting at the request of the clients, who can best judge the benefit to be derived from the consultant's work.

Furthermore, demand-orientation also means a situation-specific approach: There are no models for in-process consultancy which can be transferred from one situation to another simply by carrying out minor adjustments.

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[25]   Thomas Schwedersky, "Process-supportive consultancy to the project *Rehabiliatation of Forest Resources in the Region of Bassila, Benin*". in: Schall, Workshop Documentation, Annex 5, p. 6.

[26]   Cf. Section 3.1 Terms of Reference. Practical examples of this type of demand-orientation in in-process consultancy can be found in Part II From the Spectrum of In-Process Consultancy: Two Case Examples.

2.3 The recurrent consultancy intervention

The basic reason for a repeated consultancy intervention by one and the same consultant in a specific project is to be found in the nature of learning processes: human capacities for communication and cooperation can only be improved gradually, step-by-step - in a process which requires, if not continuous support, then at least periodic support.[27]

- The advantages of recurrent consultancy interventions are self-evident: By repeatedly agreeing afresh on each follow-up assignment and its initial design with the project team, the consultants can maintain the flexibility required by the changing circumstances of the development process. They are thus able to guarantee a strong demand- and process-orientation.

- The consultants can thus harmonize their interventions more closely with current problems and potentials of the project and the team, and run a lesser risk than consultants permanently present of dominating developments, or even de facto taking on a line function in the project.

- In line with the principle of demand-orientation, the intervals between the consultancy interventions can be determined to suit the particular phase in which the project team find themselves. There is thus an opportunity for the project team to define, and undertake to perform before the next consultancy intervention, working steps on whose results the subsequent intervention will then be able to build.

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[27] Within the NARMS pilot project, we speak exclusively of intermittent consultancy processes. An in-process consultancy could possibly be performed on a long-term basis by a permanently assigned expert. This would, however, be different in character from intermittent consultancy: the long-term consultant participates to a greater degree in the life of the project, and tends to have an insider's rather than an outsider's view of it. S/he does not have the same degree of opportunity to view the project team and its work objectively, and thus hold a mirror up to it. S/he is subject to a greater degree of role fixation, etc.. Cf. Enda Graf Sahel / RMSH (eds.), *Pratiques de la Consultation interne. Compte rendu des traveaux de l'atelier de Kongoussi du 15 janvier au 22 janvier 1995*. Dakar, Bonn 1995, p. 52.

3. The Role of In-Process Consultants

3.1 Terms of Reference

3.1.1 The first consultancy mission

Normally, an in-process consultant is assigned at the request of the project team; as already mentioned, though, the first consultancy mission can also be initiated at the project steering level. This initial contact serves above all to enable the consultant and clients to assess the overall situation. Initially, the task of the consultant is to

- establish the framework of the consultancy commission;
- reach agreement with the project team on initial working steps;
- identify ways to initiate learning processes;
- counter and if necessary disappoint expectations, e.g. where a project team expects quick solutions (What should we do in this or that situation?);
- make clear and demonstrate through his or her behaviour the consultancy concept and role of the consultant.

The first encounter between the consultant and project team is intended primarily for elaboration of a common understanding of the aim, purpose and potentials of the consultancy process, and role of the consultant. During this encounter the consultant will attempt to build a relationship of trust with the project team, explore the problems and potentials of the project situation, and assess the scope for action and the will of the project team to utilize it. Consultants should be prepared for the fact that the initial reaction of the project team may be **disconcertion**, especially if their only experiences to date have been with traditional consultants. As a rule, a project team will for instance be disconcerted when in-process consultants respond to an urgent question regarding quick solutions with another question, e.g. "What have you tried to do or done so far to address or solve problem X?" A project team may also be disconcerted if consultants introduce a participatory style of discussion into a hierarchically-structured organizational culture. It is inconceivable that human beings could become open to processes of change without first going through a phase of feeling disconcerted or unsure of themselves. Experience has shown that, the less a project team is willing to accept these feelings, the more improbable it is that the in-process consultancy will be continued.

If the consultant and project team are unable to develop a common understanding of the consultancy process, then one basic prerequisite for in-process consultancy will be missing. In such cases, a discontinuation of the consultancy should be considered..[28]

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[28] Cf. Section. 7.1 Preconditions for the assignment of in-process consultants.

Disconcertion and Change

An Example of a First Consultancy Mission

Preparation of the consultancy mission in the project

At the beginning of the orientation phase of the agricultural project in Korhogo, a number of farmers expressed a desire to cooperate with the project in the marketing sector. The suggestion put forward by the German team leader of calling in an external consultant at the beginning of the activities in this sector, met with a positive response from the project team. The Terms of Reference (ToR) for the consultant, proposed by the team leader and discussed and agreed upon with the project team, contained both aspects of a traditional consultancy mission for the marketing sector, and elements of in-process consultancy.

The first meeting between the consultant and the project team

In spite of the fact that all participants were present, the first meeting between the consultant and the project team began with a delay, as it was not clear who was supposed to open it. To the project team's amazement, the consultant initially did not say a word, but left the initiative to them.

In the course of the meeting he then explained his understanding of his role as in-process consultant: that of resource person, co-initiator of a process of reflection, devil's advocate, non-conformist, companion... He also expressed the view that the ToR applied not only to himself, and urged the team to accept as their own the tasks described therein, for the duration of his assignment.

He explained the premise that changes within groups or institutions always need to be preceded by changes within their members; and that changes in the village target groups of the project would not take place independently of changes within the project organization, in other words within the team members, since there can be no unilateral processes of change.

His methodology, he went on to explain, was to hold up a "mirror" to the participants in the consultancy process, thus enabling them to access opportunities for personal development, to reconsider their attitudes and behaviours, and to undergo a process of (self-)reflection. The product of his work, he explained, would therefore not be a report presented for discussion (and agreement), but development of the team members' capacities.

These comments caused considerable disconcertion among the project team - although nobody contradicted the consultant at that point. Thus once we, the twelve team members, had accepted his role definitions, we found ourselves in an unfamiliar situation - which came as a complete surprise to most of us. We had rather been expecting a traditional short-term expert who would provide marketing consultancy. We had thought that the consultant would seize the initiative and present his work proposal; that the outcome of the first meeting would be a programme of work for the duration of the mission; that we would be provided with a clear picture of the content and procedure of the mission, as well as instructions on how to improve our extension work with the farmers.

Disconcertion

Our original expectations were thus not fulfilled. Nevertheless, our consultant seemed to consider his definition of roles sufficient. At any rate, he did not take any further initiative. A "yawning gap" thus emerged which we felt we had to fill ourselves - after all, we had accepted the consultant's ToR as applying to the entire project team. If we were going to profit from the two to three weeks together, we would have to seize the initiative, draw up a programme for the mission, and agree on a procedure. In line with the principle of "participation", we set about organizing a meeting with the farmers of a village who had expressed an interest in cooperating with the project in the marketing sector. We refrained from any further planning activities, because we first wanted to await the outcome of the village assembly.

We also felt disconcerted by the fact that we had actually expected a response to the question of how we could improve our extension work in the villages. However, in the course of the first discussion on this issue it emerged that we were moving further and further away from addressing it, as new questions kept on arising. We were no longer able to see the question: "What can we achieve and what do we want to achieve through our extension work with the target groups in the village?" in isolation from the role and modus operandi of our own consultant in the project. He forced us to call into question ourselves and our own roles towards him as our consultant, but also our own roles as extension workers towards the village population. As a result, the mirror-image relationship on which the entire consultancy approach was based became clear: The relationship of our consultant to us mirrored our relationship to the village population.

Consultancy and extension processes: in-process consultant and project team, project team and farmers

Several visits to the village followed, involving intensive preparation and follow-up work, which we planned in small steps, from one meeting to the next. The discussion of roles initiated by the consultant at the first meeting ran like a red thread through the consultancy assignment, and continued beyond it:

- What role do we adopt? How do we see ourselves, and how do we explain this role to the farmers?

- How do the farmers see us?

- What do we have to "give" to the farmers?

- What do we expect of the farmers?

- What do the farmers expect of us?

As a result, on our visits to the village we were less concerned with suggesting and promoting the establishment of a grain bank, as most of us had initially thought, and more concerned with addressing the above questions. A further end per se of the visits to the village was to activate the farmers, as opposed to seizing the initiative ourselves. This approach was taken not only with respect to marketing activities still to be planned, but also to cooperation between the project and farmers' groups, to other planning activities and to the necessary studies.

This approach was entirely new to most team members: Our main task was no longer to define the problem and propose appropriate solutions and activities, but to develop our relationship with the farmers and support their initiatives. These aims - which we had elaborated ourselves - ultimately called into question the traditional view of the "consultant's role" widely held among the team members, and helped cause further disconcertion.

This became particularly evident when we visited the village. Whereas previously we had always come to the farmers with answers or advice, now we had to face them not with ready-made proposals, but with questions, offering to "make ourselves available". Then we had to wait for the farmers' proposals as to how we could support them in their efforts.

Our disconcertion was also compounded by the expectations of most of the farmers. Just as we team members had expected a greater degree of initiative by the consultant during our first meeting, the farmers were expecting us to take the initiative during our first meetings in the village. The difference between the two events was that most team leaders did not find it so easy to slip out of their old roles, and were not able to put across the new role definitions as radically as our in-process consultant had done with us.

To prepare for follow-up activities and reflection upon our work, whilst we were in the village we made a point of observing more consciously and closely both the individual groups in the village and their inter-relationships, and ourselves and our relationships with the village groups.

Insights and results

A critical analysis of our communication and cooperation with the farmers revealed that our extension methods and our behaviour in the village had in most cases been inconsistent with

our declared aims. Thus a large number of new question arose - which we needed to address:

- How, using which methods, can we achieve our aim of "merely" supporting the farmers?

- It is not our intention nor are we able to solve the problems of the farmers' groups. Consequently, we do not need all the information and data from the various surveys. Shouldn't the farmers be in possession of this information? What kind of information, and how much of it, do we really need?

- Can we really leave all the initiative to the farmers?

- Will we not then become dependent on the farmers?

- Is it possible to plan an iterative procedure? If so, how?

- Who should plan what, for which period, with or for whom?

The consultant's input consisted in presenting a number of methods chiefly for reflection on communicative processes, in critically mirroring our observations and analyses, and in reporting on a number of examples of methods practised in cooperation with farmers at other locations. The work itself was actually performed by us within the team, even though the consultant steered our discussions with his questions.

The results and conclusions, and the intensity and sustainability of the initiated processes, grew out of the fact that our discussion was not based on any externally prescribed insights, but on the insights we ourselves had gained within the team. This not only made it possible to hold a discussion within the team based on the concrete reality of our work, but also triggered serious discussion of the new questions among most members, which continued long after the consultant's departure.

In other words, learning processes within and among the team members were triggered not only by the consultant introducing a number of methods. They were also triggered by the team members' own processes of disconcertion, being confronted with unfamiliar situations, critical reflection, and questioning of their own roles and behaviours.

Impacts

Having said that, the team members' willingness to undergo these processes varied from individual to individual. The fact that solutions to marketing problems had actually been expected also led some team members to show only a low level of willingness to address the new questions, especially the methodological ones. This the more so as it became increasingly clear that this new approach ran counter to the "extension work" as practised to date by most team members.

Other team members were motivated to address the new questions, although they were not always able to adopt a different role straight away. Radical departure from behaviour practised for years takes time.

Nevertheless, the in-process consultant had stimulated fresh thinking, and triggered changes in the cooperation with the farmers. In the long term, this led to the different roles of the various members within the team becoming more distinct. Even those who during the consultancy assignment had shown little willingness to question their own role as extension worker, came to perform their role with greater awareness.

Oliver Karkoschka on his personal impressions of a first in-process consultancy mission, from the perspective of a project team member.

3.1.2 Further missions

During the first and each subsequent consultancy mission, the consultant and project team define potential ToR of the consultant for a possible further assignment - even though any consultancy assignment may be the last. The project team thus defines its own consultancy requirement and therefore the ToR of the consultant. At the

beginning and end of each consultancy, it has to be established who will do what, and who will perform which tasks and take on which responsibilities, during the impending or subsequent consultancy intervention.

The time and labour associated with that is an investment made by the consultant and project team in developing a relationship of mutual trust, and a common basic understanding of the aims of the project, tasks of its personnel and role of the consultant.

Learning areas, which develop on the basis of the project team's needs, might be:

- the transfer of participatory methods of situation analysis and action research;

- support in the development and application of instruments for participatory planning (at village level) and process-oriented (self-)evaluation;

- management of conflicts between various project factions, or between the project and institutions in the project environment;

- support in the institutional strengthening of natural resource management projects.

Clearly, these learning areas are located within the socio-organizational and institutional domain.[29] The learning areas which might be promising for simulation of the "what?" and "how?" of capacity development cannot be foreseen at the outset, nor can the interfaces with other learning areas which might emerge. Thus the initial learning field might for instance be "participatory land-use planning", which might then in the second or third consultancy mission be overlaid by the learning area "relations of cooperation between project team <=> village self-help organizations". It would then be conceivable that the initial learning area might regain primacy in the fourth or fifth consultancy mission, if the relations of cooperation between the project team and village self-help organizations have become clearer. Alternatively, it would also be possible that a third learning area might become especially important.

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[29] This is the reason why in-process consultancy for natural resource management is closely related to strategies and case studies of organizational consultancy in developing countries, as for instance becomes evident in the publication "Organisationsberatung in Entwicklungsländern" by Rolf-Dieter Reineke and Rolf Sülzer. - Monika Theisen-Mittmann also defines the subject matter of process consultancy in organizational development as "the relations among group members and between groups (communication, roles and functions, leadership and authority) and/or the observation and analysis of problem-solving and decision-making processes, and the examination of group norms and group development." Theisen-Mittmann, "Prozeßberatung". Entwurf, Eschborn, Sept. 1994, p. 2 .

3.2   The diverse roles of in-process consultants

The premise on which in-process consultancy is based was mentioned at the outset: The work of the in-process consultant with the project team is a mirror image of the work of the project team with the other actors in natural resource management. S/he is the "consultants' consultant" for capacity development processes in which people are empowered, and the functionality of institutions and organizations is strengthened.

In-process consultants strengthen actors in their capacity for dialogue and cooperation, for instance by

- facilitating a systematization of action learning;

- helping address various perceptions of a situation based on different interests, primarily with a view to identifying inconsistencies and conflicting interests;

- facilitating the elaboration of fresh ideas and visions;

- fostering the self-critical observation and re-thinking of established attitudes and behaviours;

- motivating the team to try out participatory procedures and instruments.

This is all based on the assumption that the consultant succeeds in creating a positive learning atmosphere in which the consultant and the project team can learn from each other. Interaction between participants in a spirit of partnership is characteristic of a learning environment geared to the development and testing of solutions to problems.

Within that environment, participants should be allowed to try out new approaches and behaviours, and to make mistakes, as mistakes can be a rich source of learning. Even unexpected results, which are often unwelcome at first, and are often seen by conventional project planners as "problematic", should be utilized positively to trigger learning processes.

Attitudes and behaviours - at least those of the consultants, and in the ideal-case scenario those of all participants - are of a democratic nature: Listening and sharing ideas are more important than enhancing one's image or teaching others a lesson.[30]

In complex learning processes of this kind, the consultant will need to play any one of a variety of roles, depending on the particular situation and the clients' needs. S/he might be resource person and facilitator, mediator and arbitrator, devil's advocate mirroring the attitudes and behaviours of others, or trainer coaching his/her partners in the development and application of new methods and instruments.

The consultant's roles gradually become apparent during the course of the consultancy assignment, and may change from one interaction to the next. These role changes often occur without any explicit negotiation, although they can be discussed openly. Having said that, there are certain roles which the consultant should not take on under any circumstances: those of inspector, judge or know-it-all expert.

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[30]   This description of the learning environment is based on the corresponding comments made by Pretty, Jules N. und Chambers, Robert, "Turning the New Leaf: New Professionalism, Institutions and Policies for Agriculture". Overview Paper for IIED / IDS Beyond Farmer First Conference, 27-29 Oct 1992, p. 11.

Using the Johari window model[31] the consultant's roles can be differentiated into public roles, e.g. those of devil's advocate and trainer, and hidden roles, such as facilitator or steerer of learning situations. A further distinction can be drawn between consciously adopted roles, such as mediator or arbitrator, and unconscious roles, such as judge or know-it-all expert.

Although they do not hold any line function or perform any project tasks, but act indirectly through their clients, consultants can exert considerable influence on project events. That influence, however, stands or falls with the willingness of the project team to assume responsibility for their learning processes. The consultant does not exert influence by producing his or her own ready-made "consultancy products", but by formulating hypotheses and operational results of the consultancy process, which s/he discusses with the team.

The Outsider Inside or the Insider Outside

As a consultant, I am a kind of "in-outsider", which means I am both inside and outside the project at the same time. Basically, and in formal terms, I am an outsider, because I am neither a staff member nor a decision-maker, and neither do I identify myself with the project. At the same time, however, my indirect involvement in and influence on project events make me an insider, a de facto "accomplice" to whatever takes place in the wake of my initiatives. In this role of outsider inside, or insider outside, I see my contribution on five levels:

- As resource person, I should be knowledgeable on the theme of the consultancy (introducing ideas and approaches, methods and instruments, strategies, comparable experiences, and having some idea of how one might proceed...).

- As co-initiator or facilitator, I attempt to initiate and facilitate thought and communication processes, by seeking to increase the value attached to interactions between people, and thus to the people themselves.

- As devil's advocate, I help people I work with to deepen their position or vision, by expressing doubt, pretending not to understand them or by arguing from a contrary standpoint.

- As a non-conformist, I am the one who starts shouting "I'm singing in the rain", when all the others are singing "God save the Queen".

As companion, "accomplice" and partner, I offer where necessary a minimum level of security and structure along the way. This is because the unpredictability of the process sometimes confuses or disconcerts the people I work with, and gives rise to feelings of malaise or even anxiety.

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Philippe De Leener on his role as in-process consultant.[32]

3.3 The self-conception of consultants and their mandate

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[31] Cf. "Process Monitoring: A Work Document for Project Staff", GTZ/NARMS, Bonn, April 1996.

[32] De Leener, "Working Paper", in: Schall, Workshop Documentation, Annex 4, p. 1; and (Première) Mission d'appui du PGRNAP au PATECORE, p. 5.

The self-conception of in-process consultants is based on the following characteristics:

1. As a rule, they derive their mandate from the project team, to whom they are accountable for their interventions. Precisely who that is will depend on the project situation. For instance, the client might be a project department or section, and not necessarily the entire team. There might also be a formal obligation to report to the respective team leader, even though his/her involvement in the consultancy process might have been limited. Hence it may be important during the first consultancy mission in particular to establish more precisely the responsibilities of the consultant.

2. Consultants seek positive points of departure, always first tapping the existing potentials of the project team, and do not introduce external expertise into the project work without forethought.[33]

3. They approach the consultancy process as individuals with their own particular life experience, with all the limitations of subjectivity which that entails. In other words, they say "In my experience...." as opposed to "It is the case that....", making their procedure transparent, and their consultancy approach comprehensible to others.

Only when in-process consultants observe these principles in carrying out their interventions will the consultancy be a transparent one, in the course of which the project team will be able to gain fresh perspectives and become empowered. This as opposed to a more or less surreptitious manipulation in which the project team are induced into pursuing certain project goals - in accordance with the consultant's own ideas, or to comply with the wishes of an external commissioning or financing party.

Ultimately, the issue at stake here is ethics, the norms which the consultants apply in their decision-making and behaviour in the event of a conflict between their own interests, the interests of third parties and the interests of their clients. The consultant is thus often in the predicament of having to manage the various expectations others place in his/her work, and the concept s/he has of his/her own consultancy work. There can be no universally applicable norms governing the consultant's decision-making in the concrete case; responsibility rests with the consultant.[34]

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[33]   This also applies to the use of methods and instruments by the in-process consultant. During one of his consultancy assignments, Philippe De Leener suggested to the project team that an inventory be drawn up of all the methods known to or invented by the team members, which they had also used in their work with the village population. The result was a matrix containing over 30 instruments - which not only surpised the team members, but also begged the question of whether, in view of the experience on hand, an additional input by the consultant was really still necessary, and whether what was really needed might not rather be a more intensive exchange of expertise and experiences among the team. Cf. Deuxième Mission d'appui du PGRNAP à UP 10, Janvier 1993, p. 30 ff. - Just how difficult it can be for the consultant to carefully "dose" the input of his/her own experiences is described by Thomas Schwedersky in his report on his in-process consultancy assignment to the Siran Forest Development Project, Pakistan; cf. Part II, Case Example 2.

[34]   Cf Rolf Dieter Reineke, "Beraterethik im internationalen Kontext". In: Reineke, Sülzer (Hrsg.), Organisationsberatung, p.140 . - Salas und Tillmann list as elements of consultant ethics in Participatory Rural Appraisals (PRA) for instance the creation of transparency, respect for indigenous knowledge, respectful dealings with others, careful listening, the sharing of results among all participants, and dialogue as a basis for joint action. Cf. "*nuestro congreso*". Manual de Diagnóstico Rural Participativo para la

A further factor is that, in the cooperation between consultant and project team, the ethical principles of the consultant cannot apply unilaterally; those of the project team also count - and that team comprises individuals of different background, nationality and culture.

Cooperation between the project team and consultants in a spirit of trust requires mutual acknowledgement. Consequently, consultants endeavour to achieve personal acceptance - for instance by demonstrating integrity, reliability and sincerity - and professional acceptance, by showing a sound grasp of the problems in hand. The following points are conducive to the achievement of personal and professional acceptance[35]

- emphasis on the mutuality of the learning process - each side has something to contribute. Whereas the consultant for instance possesses methodological knowledge, sectoral expertise and above all experience in the shaping of learning processes, the clients are familiar with the socio-cultural and ecological conditions prevailing in the region.

- the consultant's enhancement of his/her credibility by explaining his/her own behaviour, abiding by his/her own rules, avoiding inconsistent behaviour, revealing the criteria behind his/her own thoughts and deeds, and remaining neutral.

- continuous feedback from the consultant to the project team concerning his/her perception of their behaviour and tasks, and the creation of transparency in the consultancy process. This can take place through discussion meetings with the project team at which the consultant feeds back his/her perceptions for discussion. By continuously feeding back his/her perceptions during the consultancy process, the air of mystery surrounding the consultant is removed, and the relationship of trust between the partners is strengthened.

Extensión Campesina. Santiago de Puriscal, Costa Rica: PRODAF - GTZ, 1994, pp. 59 - 60.

[35] For more detailed treatment of this issue cf. Rainer Müller-Glodde, "Prozeßberatung in Unternehmensverbänden - Fallbeispiel Brasilien". In: Reineke, Sülzer (Hrsg.), Organisationsberatung, pp. 201-204 .

4. The Procedures of In-Process Consultants

4.1 Fundamentals

In-process consultancy proceeds in cycles of

- *Research*: observation and discussion, analysis of problems and potentials, hypothesization[36], elaboration of a project vision[37], role definitions and relations of cooperation. Diagnosis above all means working jointly with the project team; the "diagnosis" which consultants require for their own orientation is secondary to that.

- *Action*: creation of real and/or simulated learning situations, e.g. village meeting, trial of a particular tool etc..

- *Learning*: systematic evaluation of action(s) in light of the question: "What are the new learning experiences, and what practical conclusions can we draw from them?"

In this process, in which research, action and learning[38] are intertwined, the principles of participation-, process- and demand-orientation apply. As shown by the comments of two process-consultants below, however, the precise procedure employed varies widely, depending on the situational context in the project, the consultancy requirement of its staff, and the personalities of the consultants.[39]

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[36] Since the human individual - in this case the consultant - can only ever acquire a partial knowledge and understanding of "reality", and yet in spite of his/her inadequate information and perception still has to act, s/he forms hypotheses to bridge the gaps. S/he acts on the basis of these assumptions, but is repeatedly forced to test the strength of these "bridges" and if necessary "rebuild" them.

[37] The consultant's project vision - understood as **one** option for the development of project work - can serve as his/her guideline for thought and argument, as a frame of reference, on the basis of which s/he can develop questions and proposals for further procedure. Cf. Rainer Müller-Glodde, "Prozeßberatung in Unternehmensverbänden - Fallbeispiel Brasilien". In: Reineke, Sülzer (Hrsg.), Organisationsberatung, pp. 188-192 .

[38] In-process consultancy has close affinities with other *Research-Action-Learning* approaches, as discussed by O. Fals Borda (*Participatory Action Research*), Robert Chambers (*Participatory Learning and Action)* and ENDA/GRAF (cf.: The Future of Community Lands, London 1995).

[39] Cf. Part II From the Spectrum of In-Process Consultancy: Two Case Examples.

My Conceptual Framework: Observation, Action, Learning
by Philippe De Leener[40]

I help the project team inter alia to identify promising alternative strategies, and anticipate their outcomes. This is only possible through lived events. Consequently, my consultancy interventions must be tied into actual activities in the field in which project staff interact directly with farmers. I use what actually happens when they interact with farmers as the starting point for my consultancy work. My intervention is underpinned by real working life, and not by discourse on real life. ...

The table below illustrates my conceptual framework. Three dimensions need to be emphasized: observation, action and learning.

Observation	Action	Learning
actors' insider view: how do they see processes and structures, and their own role?	**form hypotheses** as a basis for decision-making and acting	with regard to the choice of **activities** **objectives** **actors**
consultant's outsider view: how does the consultant, being an outsider, see situations which arise as a result of the project team's actions?	**act** on the basis of those hypotheses	**attitudes** and **behaviours** of project team and farmers foreseen and unforeseen **impacts** or results
	evaluate	

This conceptual framework implies several practical consequences:

- A close functional relationship between **action and reflection**; i.e. reflection cannot take place outside real working life situations. Ideas are fuelled by intensive interaction with farmers.

- All is **hypothesis**: objectives, methods and instruments - anything can be called into question in the course of acting, or later. There is no absolute truth, only provisional certainties which need to be further elaborated or radically modified.

- **Observation** is the first step in any process: we need to observe, in order to question what we or others - colleagues or farmers - do, in order to feed our thought processes on the work and its outcomes.

- **Lessons learned** are drawn directly from the action process; these are the key outcomes for all actors on their respective levels - farmers, the project team and field workers.

My task was basically that of a facilitator ...

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[40]   De Leener, "Working Paper", in: Schall, Workshop Documentation, Annex 4, p. 2 f.

by Thomas Schwedersky[41]

... whose aim was to develop and strengthen the capacities of the social forestry team for cooperation with actors in the pilot villages. In this context, acting as a facilitator meant:

- building on the team's experience and expertise wherever possible;

- constantly asking open, constructive questions as opposed to offering "ready-made" solutions;

- developing and supporting the team's capacity for action learning;

- developing appropriate instruments for the work of the social forestry team with actors in the pilot villages;

- developing the team's capacities for communication and cooperation with the village actors in a spirit of trust, including the joint planning and implementation of measures.

The challenge I faced, which was to develop the team's capacities, mirrored the challenge faced by the team of developing the village actors' capacities. In practical terms, this meant that the project team were not supposed to offer solutions where the village actors might be able to find their own. And since it is not clear in most cases whether they will be able to find a solution or not, the first step should always be to ask a constructive question.

Should the team then find that the village actors - for whatever reasons - do not find a solution to their problem, the team's task is then to act as facilitator. Facilitation means searching jointly for a solution, and not acting in the usual directive way of saying: "OK, we'll show you how to do it!" Seeking a solution jointly implicitly acknowledges the fact that the village actors are much more familiar with their natural and social environment than an outsider.

4.2 Against standardization: on developing situation-specific instruments

The selection of instruments for the consultancy process is always situation-specific. It is geared primarily to the experiences, knowledge and creativity of the consultants, the problems, potentials and goals of the clients, and the demands of the situation in which the instrument is to be applied.

The more experienced an in-process consultant is, the larger his or her repertoire of instruments will be. But more important than having a "toolbox to hand" is the consultant's flexibility and creativity, which enables him/her to elaborate instruments within the process. This need not always mean inventing a new instrument. It might for instance involve adapting a visualization instrument such that it can be used in a certain situation to systematize and structure that situation. Hence there can be no

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[41]   Thomas Schwedersky on the methodology of a consultancy assignment in Pakistan, (Third) Report of the Consultancy to the Siran Forest Development Project, 7.-26. April 1995, p. 2. - For further details on this consultancy process, cf. Part II, Case Example 2.

ready-made recipes for in-process consultancy, either for the procedure employed by the consultants, or the use of instruments in the process.[42].

4.3   On documenting the consultancy process

The basis of any in-process consultancy documentation is the chronology, which records events through time. To this end, many consultants keep a daily journal in which they record project events, and add their own comments.

A journal of this kind can be used as a basis for so-called "*feuilles de route"* ("descriptions of the routes taken"), through which the consultant describes to the participants the events of the consultancy as viewed from his/her perspective. The consultant does this during the consultancy itself, by presenting ideas, questions and reflections as they occurred to him/her during various interactions, encounters and visits. The aim here is not only to elaborate (interim) syntheses, but also to present different positions, designed to further the discussion and stimulate the work process. In this sense, the "*feuilles de route*", which are made available to and discussed with the project team immediately, are not simply a means of reporting, but are also an instrument to promote discussion and reflection.[43]

Consultancy process documentation can serve either as a basis for continuous feedback from the consultant to the project team, or as a report to the organization which assigned the consultant. That organization will often have a less clear picture of the in-process consultancy than is the case with a technical consultancy with previously defined and possibly more measurable results. Consequently, in their reports in-process consultants will always

- explain their consultancy approach and methodological procedure;
- systematize events by describing the various stages of the consultancy process;
- re-present the work process such that, by reading it, each member of the project team is able to re-live the consultancy, thus reinforcing learning experiences;
- mark correspondingly the comments and questions inserted.

It is crucially important that the clients see themselves in the representation of the process. The quality of the process documentation is not measured by the "recommendations" elaborated by the consultant, but by the reaction of the team concerned to the report, i.e. ultimately the continuation of their learning process, which remains their responsibility.

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[42]   Consequently, the instruments cannot be selected without regard for the contexts of persons and situation. The two case examples of in-process consultancy (Part II) do, however, provide an overview of the procedure and tools employed by various in-process consultants. The "Process Monitoring" Work Document (GTZ/NARMS, Bonn, 1996) provides a detailed explanation of the various tools.

[43]   Cf. De Leener, (Première) Mission d'appui du PGRNAP au PATECORE, Sept. 1992, p. 8.

5. The Profile and Training/Coaching of In-Process Consultants

The skills and expertise required of in-process consultants are dependent on the concrete requirements of the project team. Nevertheless, there are a number of personal, methodological and technical requirements which may be used as criteria for the selection of appropriate personnel. Overall, in-process consultants should possess a high standard of social and socio-cultural skills, as well as corresponding methodological and instrumental expertise.

5.1 On the skills and expertise required

5.1.1 Willingness to learn and capacity for dialogue

More important than any specific expertise is the attitude with which in-process consultants approach their task: "With participatory approaches, the quality and sensitivity of personal interaction are of key significance. It has been established in PRA training courses that an ability to listen, a willingness to learn and an ability to control the input of one's own experiences and expertise are more important that the actual methods used".[44]

In other words, consultants must be capable of engaging in dialogue and be willing to learn, i.e. they must be able to put aside their own assessment of a situation. They should be capable of listening, and of raising pertinent and constructive questions which stimulate further reflection. By putting forward their own assumptions, impressions and assessments with restraint, they should be able to create a relationship of trust. This will serve as a basis for a process of constructive dialogue, within which to assess situations and jointly address problems.[45] An ability to view one's own role with detachment is of outstanding importance, especially when the consultant is working alone and is unable to rely on a colleague to carefully observe the process and the consultant's role in it.

It is only logical that the consultants themselves must possess communicative skills of a high standard, if they are to promote these very skills in other individuals, as well as doing justice to the intercultural dimension of their work. To be able to stimulate and steer learning processes, they must be able to convey the fact that they are also learners in every situation within the consultancy process.

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[44] Pretty, Chambers, "Turning the New Leaf", p. 29.

[45] For further explanation of the term "dialogue" cf. for instance Edgar H. Schein, "On Dialogue, Culture, and Organizational Learning". In: Organizational Dynamics, Volume 22, 2/1993, pp. 40-51, especially "Exhibit 1: Ways of talking together", p. 46.

5.1.2 Social skills

As well as the basic willingness to learn and capacity for dialogue, the term social skills also denotes those personal qualities of an individual which determine his/her interactions with other individuals. For in-process consultancy, the following skills are important:

- an ability to ask questions and listen,

- an aptitude for observation, and an ability to view a situation holistically (changing perspectives),

- an ability to reflect critically on one's own approach, and value the attitudes and behaviours of others,

- an ability to work within an interdisciplinary team,

- an ability to cooperate with women and men,

- creativity, an ability to innovate, and (role) flexibility,

- a feeling for group processes and potential conflicts,

- trust, patience and an ability to withstand stresses and strains,

- composure when faced with conflict-laden situations, and an ability to mediate diplomatically when interests diverge.

Consultants are not born with these skills; neither can those skills be acquired quickly and inexpensively in corresponding training courses.[46] Each consultant is continuously undergoing his/her personal learning process, and possesses an individual blend of the above-mentioned skills. One might be working on his ability to take a detached view of his own work, whilst another might be working less on that, and more on her ability to deal with conflict situations. Even when the learner has achieved a certain degree of confidence and experience, the learning process does not come to a halt. Consultants are always faced with the challenge of fostering their own capacity development.

A further element of consultants' social skills is their sensitivity to socio-cultural and political issues. These merit special emphasis, given their extraordinary significance in the context of international development cooperation.

5.1.3 Socio-cultural skills

Human beings, and their relationships and behaviours, as well as the way they approach problems, are always shaped by socio-cultural factors. Hence the major significance of socio-cultural factors in the consultancy process. The consultants themselves are just as much subject to their own socio-cultural influences as their clients are. The consultant should be capable of becoming aware of his/her own socio-cultural influences, and understanding and respecting those of his/her partners in the consultancy process.[47]

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[46] Cf. Section 5.2 for further discussion of this issue.

[47] Just how difficult this can be is described by Rainer Müller-Glodde, with reference to his consultancy work in Brazil: "Prozeßberatung in Unternehmensverbänden - Fallbeispiel Brasilien". In: Reineke, Sülzer (Hrsg.), Organisationsberatung, especially pp. 215-218 .

The "socio-cultural skills" required here involve

- accessing the frame of reference of individuals and social groups, by entering into dialogue with them. This frame of reference is shaped by forms of social organization and cultural interpretations which are alien to the consultants.

- becoming aware of the relativity of one's own perceptions and cognitive structures, thus enabling the consultant to perceive and come to understand the respective action patterns and social processes of his/her partners, from their life perspective.

- on the basis of this understanding, discussing with the participating actors their problems and possible solutions, and assessing their visions and potentials.

Consultants with good socio-cultural skills are sensitive individuals, who are aware of the fact that options for action, and the organization of human co-existence, are shaped by social and cultural factors. They know from experience that there is never only one solution to a problem, that each approach to solving a problem is tied to organic socio-cultural structures, and that therefore there cannot be any universally applicable procedure or methods. This understanding, and the experiences they have acquired in other socio-cultural contexts, sharpen their powers of analysis and reflection in a given situation, and strengthen their flexibility of reaction.

Having said that, in-process consultants may be unable to resist the temptation of penetrating more deeply into the understanding of another culture than would be productive for the consultancy process. They are then faced with a situation in which they believe they have acquired a more elaborate understanding of the socio-cultural conditions than the project team themselves. On that basis, they then believe themselves capable of stimulating socio-culturally appropriate action. Exactly why in-process consultancy transgresses the boundary of social anthropological research at this point becomes clear when one recalls the notion of parallelism. If, when cooperating with village actors, a project team is to acknowledge them as "experts" on village conditions, then in-process consultants should not attempt to claim the role of "experts" on socio-cultural issues vis-à-vis the project team. This is not to say that in-process consultants should not, where appropriate, support the project team's learning process with a view to fostering their understanding and consideration of socio-cultural conditions.

5.1.4 Technical expertise

In-process consultants' expertise and experiences in certain areas of natural resource management are helpful for the consultancy process. But more important is their expertise in the dynamics of human behaviour, and their repertoire of methodological skills. This includes for instance

- a networked (systemic) mode of thought and action,

- techniques of moderation, training and visualization,

- a command of participatory appraisal and planning techniques,

- expertise in methods and instruments for
  - ° situational diagnosis and analysis of (village) structures,
  - ° identifying solutions to problems,
  - ° analyzing processes of communication, interaction and decision-making,
  - ° negotiation and conflict management,
  - ° participatory planning and evaluation,
  - ° participatory technology development,
  - ° information processing and transfer.

Once again: ***More important than specific methodological expertise is having the experience, flexibility and creativity to develop instruments within the process***.[48]

5.2 On the (self-)training of in-process consultants

What does all this mean for the training of in-process consultants?

There are no clearly definable training steps or units, at the end of which a "graduate" in-process consultant would emerge to proceed fully-qualified into consultancy practice. Neither does an individual "become" an in-process consultant, i.e. it is not possible to say as of a given point in time: "Now I've made it!". In other words, it is also not possible simply to say "She's an in-process consultant and he isn't!" Anyone considering themselves a consultant must reach an assessment, through a process of self-reflection or feedback from other consultants, and constantly review that assessment and ask themselves to what extent their own consultancy work is "in-process". In other words, it is more a question of being qualitatively "less" or "more" of an in-process consultant, rather than a case of "either - or".

The "training" which an in-process consultant undergoes is thus primarily an ***ongoing, self-organized learning process***, in which the consultant's own consultancy work is subjected to continuous scrutiny by the consultant. This learning process can be fostered through training activities such as workshops and/or seminars. The more crucial input, however, is the learning which takes place "in-process"! Just as in-process consultants create learning situations for the clients,[49] those situations are at the same time learning situations for the consultants.

Learning situations - so the theory goes - are all around us all of the time. The crucial thing is to perceive them as such. This means departing from supposed certainties and, in the apparent confusing complexity of events, discovering and utilizing the opportunities for change. The greater the number of different actors with whom consultants (or a project team - parallelism!) cooperate, the more complex events become, and the more open the actors need to be for the potentials in learning situations. This also means welcoming mistakes and "failure", problems, unforeseen

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[48] Cf. Section 4.2 Against standardization: on developing situation-specific instruments.

[49] Cf. Section 3.2 The diverse roles of in-proess consultants.

(and unwelcome) events and developments, and conflict-laden situations, as fertile learning opportunities.[50]

Activities to support consultants' learning processes can for instance include workshops at which consultants reflect on their own experiences, and condense them with a view to developing a procedure and instruments for in-process consultancy. Together with ENDA/GRAF, the NARMS project organized a workshop of this kind for consultants from Francophone West Africa[51]. To most participants' surprise, the workshop did not begin with the presentation of a detailed programme, and the prospect of ready-to-consume training units. It was rather the case that, right from the outset, a learning situation arose in which the participants elaborated their programme of work on the basis of their own resources. Through intensive analysis of their own consultancy experiences - not everyone had to present a case study, for instance, but those who were interested in receiving critical feedback from the others were given an opportunity to present their experiences - core elements of in-process consultancy were identified inductively under certain key headings: hypotheses, questions, practices, instruments. One especially intensive learning situation arose as a result of the fact that, during the actual workshop, one of the participants (Philippe De Leener) continued working "in-process" with the PATECORE project,[52] together with a group of workshop participants.

The consensus among the participants was that this workshop should mark the beginning of a joint learning process, first of all within the group as a whole, but also within the sub-groups, e.g. those living and working in the same country. This was not just a well-meant declaration of intent, but also a genuine desire, as demonstrated at a follow-up workshop in Abidjan in May 1996. The mutual exchange, also between the workshops, supported the participants' own processes of reflection and ongoing development of their own work, as reflected in the numerous contacts maintained among the participants.

After the experiences of the first workshop, it then no longer came as a surprise when the next one was started without moderation, and with the participants themselves having to elaborate the programme. Alongside the main activity of participants working on their individual learning processes with respect to practical consultancy and mutual exchange, the situation of the workshop itself was also utilized as an opportunity for learning. At the end, the participants judged the workshop to have been so profitable that they offered there and then to contribute to the (self-)organization of the next workshop in 1997.

The GTZ has also had other positive experiences with consultants' networks, e.g. in the Organization, Communication and Management Consultancy Division (403)[53]. Depending on the particular requirements, there are a range of possibilities for initiatives by consultants to form networks. For instance, a group of three to four

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[50] Cf. Ndione, Emmanuel, Philippe De Leener et al., The Future of Community Lands. Human Resources. Intermediate Technology Publications, London: Enda Graf 1995, especially pp. 203-225.

[51] Cf. NARMS//ENDA/GRAF (Philippe De Leener/Jean Pierre Pérrier): Pratiques de la Consultation Interne, report and documentation on a workshop in cooperation with the PATECORE project in Kongoussi, Burkina Faso (15-22/01/1995)

[52] Cf. the case example in Part II of this Work Document.

[53] Cf. GTZ Division 403 (Marlies Kees): Champ de travail: "Appui aux organisations de base". Rencontre du "cercle de consultants" (Oberursel, 25./26.01.1996). Compte Rendu. This meeting took place in cooperation with the NARMS project.

consultants can meet at regular intervals for joint reflection, without ever advertising their existence as a group to the outside world. They may, however, wish to publicly announce their existence - as was the case with the consultants' network in West Africa - to make it easier for potential clients to establish the initial contact with in-process consultants.

A further element to support consultants' learning processes is individual **coaching**. The term is used here to mean that experienced consultants systematically act as facilitators for less experienced consultants, providing them with critical feedback and thus fostering their capacity development. In terms of learning intensity, in-process coaching is optimal. Having said that, coaching can also be appropriate whereby the coach provides preparatory or follow-up support for a consultancy assignment, without actually being present during the consultancy process him-/herself. The NARMS project has already gained its own experiences with both forms of coaching, which it plans to analyze systematically at a later date.

6. A Comparison Between In-Process Consultancy and Self-Contained, Technical Consultancy

There are various types of consultancy intervention, depending on the concrete goal and commission.[54] For instance, the need to solve a clearly defined problem calls for a short-term technical consultancy geared to the transfer of specific expertise. By contrast, support to a natural resource management project in the elaboration of a situation-specific strategy to promote participation and self-help, will more effectively be provided in the form of a consultancy which facilitates, on an intermittent basis, the actors' changing their attitudes and behaviours. Attitudes and behaviours are not altered by taking a qualitative leap, but only by undergoing a more extended and increasingly self-sustaining learning process.

Clearly, in Technical Cooperation to date the former type of consultancy has been predominant. It has its place in solving clearly defined, technical problems by transferring expertise. However, attempts are frequently made to disseminate participatory approaches according to the following formula: An experienced consultant develops a participatory strategy with a corresponding curriculum, all project staff are trained accordingly, yet in direct cooperation with the "target groups" barely anything changes. Following the same pattern, the same staff after a certain time allow themselves to become "retro-trained", and readopt a directive approach, the practical consequences of which are once again minimal.

To make consultancy work more effective, in-process consultancy goes beyond providing self-contained, technical consultancy inputs, by focusing on strengthening the capacities of the actors on the ground - true to the principle: "Don't give me fish to eat - teach me how to catch them". In-process consultants thus do not become involved in order to compensate certain technical deficits on the part of long-term consultants or counterparts, but rather in order to support these individuals in a systematic process of action learning and, building on that, changing and improving their own actions.

The following Table summarizes the differences between in-process consultancy, and self-contained, technical consultancy.

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[54] Cf. Helmut Müller-Glodde, Der Runde Tisch als Programm? Möglichkeiten und Grenzen der Institutionenförderung im Spannungsfeld von Umwelt und Entwicklung. Eschborn: GTZ, Abteilung 402, 1994, p. 28 f.

**Characteristics of in-process consultancy within NARMS
as compared with self-contained, technical consultancy in TC [55]**

Consultancy approach	In-process consultancy	Self-contained, technical consultancy
Basic orientation	actor-orientation: people-centred approach, geared to developing their problem-solving capacities. process-orientation and participatory approach: how something is done and who does it are just as important as what is done	problem-orientation: focus on problems, which are to be solved as effectively and quickly as possible. objectives- and results-orientation: objectives and results are more important than the path leading up to them
Objective	consultant facilitates *capacity development* of people, and organizations and institutions, empowering those people and organizations to further develop and fully utilize those potentials themselves	consultant compensates certain technical deficits, to help overcome specifically defined problems
Frequency of consultancy interventions	periodic interventions as part of an ongoing process	one-off intervention
Terms of Reference	The ToR are jointly elaborated by the project team and consultant at the beginning of the assignment (ongoing design), even where written ToR have already been prepared in advance (specification of mandate and commission).	The consultant's ToR are drawn up in detail in writing beforehand. They are binding for conduct of the assignment and evaluation of its results (static design).
Consultant's skills and expertise	capacity for dialogue and learning; high level of social and socio-cultural skills; knowledge and experience of NRM, and participatory and self-help approaches	specialist expertise and experience in a given technical field
Role of consultant	companion, facilitator, observer, arbitrator, devil's advocate, learner, resource person	expert, teacher

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[55]   The following table is based both on the comments contained in the presnt Document on in-process consultancy, and on the copmparison drawn between the "old and new professionalisms" in agricultural research and extension by Pretty and Chambers, "Turning the New Leaf", pp. 5ff.

	In-process consultancy	Self-contained, technical consultancy
Procedure	creation of learning situations; use of participatory approaches and methods support of clients in elaborating strategies for change scope allowed for "mistakes", to be used as opportunities to learn	transfer of expertise avoidance of mistakes
Under-pinnings of consultancy	elaboration of situation-specific working hypotheses, concepts, methods, instruments - together with local actors (research action learning)	transfer and adaptation of generally established concepts, methods, instruments - predominantly by consultant for local actors
Role of clients	partners, resource persons, learners	"pupils", recipients
Contact persons	the entire project team or teams of individual organizational units	individuals, technical sections
Outcome	consultant has supported clients in developing their own expertise, and has learned from them him-/herself	consultant has transferred his/her expertise to the project

Depending on the needs of the project, it may also be appropriate to have complementary inputs of in-process consultancy and self-contained, technical consultancy, provided by different consultants and coordinated by the project team. Under this arrangement, the specialist expertise of experts from different disciplines - including local consultants - can be integrated into the consultancy process.

Backstopping, whereby one consultant is assigned repeatedly to deliver consultancy interventions to a project, is located somewhere between technical and in-process consultancy, depending on the mode of implementation. The term remains somewhat imprecise, in that backstopping can involve either a repeated technical consultancy, or may resemble an in-process consultancy. Having said that, it nevertheless remains different from in-process consultancy in several ways: With backstopping, consultants may also receive their mandate from the project steering level, and not from the project team themselves. Following-on from that, with backstopping there is not always a clear dividing line between the consultancy function, and a control or monitoring function. This can lead to role conflicts within the backstoppers themselves, which often are not addressed openly.

7. Some Practical Thoughts on In-Process Consultancy

7.1 Preconditions for the assignment of in-process consultants

Experience has shown that in-process consultancy is most in demand among projects pursuing a process-oriented approach. Projects with rigorously planned results and activities, and strong pressure to implement those activities, are rather unlikely to request in-process consultancy. Nevertheless, the road to in-process consultancy can be successfully reached through an initial request for technical consultancy, for instance to promote self-help. In such cases, the first mission will determine the further course of events: either the project team will become open to a (learning-) process-oriented approach, or it will not renew the consultancy mandate, because the quick solutions it had hoped for have not been achieved. As a rule, the request for in-process consultancy is not made explicitly; at the beginning there is rather a consultancy requirement with respect to certain issues or questions. In-process consultancy is requested explicitly only by projects in which the team or individual members thereof have had previous experience with in-process consultancy or similar approaches.

With the exception of formal (contractual) and logistical conditions, there are no preconditions which a project team would have to meet as a "conditio sine qua non". "Time", an especially precious resource from the point of view of consultants, cannot be made a precondition on the basis of the maxim: "The consultancy will only take place if the project team makes a certain amount of time available for it". Similarly, it is equally impossible to make "flexibility" or "openness" preconditions in the strict sense of the word. The three aforementioned "preconditions" are rather a matter for negotiation upon the consultant's arrival, i.e. they need to be continuously reviewed and re-negotiated by the consultant and project team.

Preconditions do exist on the part of the consultant in that s/he needs to bear in mind the possibility of the consultancy being discontinued after the first mission - i.e. a second consultancy assignment may not take place. The consultant should possess the flexibility and openness necessary to deal with this situation. Possibly the project team may not wish to commit itself to any date or duration of a further consultancy assignment, even though it might wish to continue the in-process consultancy. In this case too, flexibility and openness will be required of consultants. Given the process-oriented trajectory of the consultancy, there may be shifts in thematic focus, and new questions may emerge as key issues for discussion. Here too, consultants' flexibility will assist them to identify and help steer such shifts early on.

7.2 In-process consultancy in procedures of Technical Cooperation

GTZ project management procedures are described in PCM (Project Cycle Management), the GTZ guidelines for management of projects within their "life cycle". In-process consultancy can be integrated smoothly and appropriately into the application of PCM, as PCM aims to achieve a process-oriented and participatory approach to project management. This can be actively promoted through in-process consultancy.

Seen from the perspective of in-process consultancy, it is especially significant that PCM replaced what had been the prevailing linear understanding of planning and implementation, with a process-oriented iterative approach: "The entire process is not linear but has many feedback loops in which to review the analyses, planning and decisions made or re-examine them in more detail, in line with the experience gained. All in all, hard and fast decisions should be kept to a minimum expedient for a given situation, and plans only be held valid until new findings make it necessary to revise them."[56] In-process consultancy helps initiate those "feedback loops" and associated learning processes. It thus fosters capacity development within the team, geared to flexible and situation-specific steering of planning and implementation.

Given the need to separate consultancy from monitoring functions, in-process consultants should leave the project progress review (PPR) in their client project to external independent consultants. Almost more important than that is the fact that consultants normally become so involved in the project that they probably lack the necessary detachment from project events which a PPR requires. However, there may be constellations in which the project team wish the consultant to be involved in a PPR, in whatever form. In such situations, consultants themselves must ultimately decide whether they can define a form of involvement in a PPR which would be compatible with their consultancy mandate, or whether that might not lead to a conflict of roles which they would not feel able to take on.

7.3 Impact analyses: What are the likely impacts - what were the impacts?

When a project team receive in-process consultancy support for their learning process, which in some cases takes a number of years, then, in view of the expenditure of resources involved, the question of actual impacts must be examined very closely. In this connection, any hope of objective impact measurement must be abandoned in favour of an *analysis and evaluation of subjective assessments made by all actors.* Given such a complex matrix of cause-and-effect as that of the learning processes of a project team over a prolonged period, there is no methodology available to completely isolate consultancy inputs from other factors. Ultimately, the crucial factor is how the clients rate the impacts of the in-process consultancy in retrospect. The project progress reviews standard in TC are one possible framework within which to evaluate such assessments, which can be

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[56]   GTZ: Project Cycle Management (PCM) and Objectives-Oriented Project Planning (ZOPP) - Guidelines: Eschborn 1995, p. 5.

supplemented by the observations of external consultants to gain a more comprehensive view of the status of capacity development.

In the consultancy work of the NARMS project, PPRs have taken place in two cases on the basis of which it has been possible to assess the impacts of in-process consultancy assignments: in the GTZ-supported VARENA project in Burkina Faso, and in the GTZ- and KfW-supported SFDP project. A brief outline will now be provided of the essential findings of the two PPRs in terms of impact analysis, along with the results of a discussion with staff of the GTZ-supported PAN project in Panama on the impacts of a sequence of consultancy assignments. This will also be combined with assessments of the **problems and limitations of in-process consultancy.**

In the **VARENA-project in Burkina Faso** (*Valorisation des Ressources Naturelles par l'Autopromotion*), a PPR took place in February 1996, following seven consultancy assignments performed by Philippe De Leener between September 1992 and November 1995. Impacts were observed there chiefly in **three areas**:

- clarification of the consultancy role of the project team in cooperation with village and inter-village actors;
- further development of the project strategy, including methods and tools;
- flexible approach to the promotion of village natural resource management.

The team had learned to become more aware and constructively critical of its own **role in cooperation with individuals, groups and organizations at village level**. In this context, the crucial question is "Who takes on what responsibility?" Whereas earlier the project had on many occasions taken on too much responsibility, and thus unintentionally become the "owner" of activities and measures, now more targeted and deliberate emphasis is being placed on the self-responsibility of actors at village level. This learning process also means learning to accept the principle of demand-orientation. In cases where support, e.g. consultancy, is only to be provided on request, then it also has to be accepted if the demand is less than expected. This then creates opportunities for learning on both sides, which were previously obscured by a pure supply-orientation.

The project team had applied the **Research-Action-Learning** principle to **further development of the project strategy**, as well as to certain instruments, e.g. planning and evaluation instruments. This resulted in deviations from the plans specified in the project planning matrix, although these were documented accordingly. The project team were thus able to explain convincingly to the PPR team which learning experiences had necessitated which changes to the results and activities. The team had undergone the positive experience of deliberately tracing the feedback loops and taking advantage of the learning opportunities there.

The changed perception of roles and application of the "Research-Action-Learning" principle to the project strategy changed the **project approach to promoting village natural resource management.** Whereas earlier, i.e. in 1992, a more pronounced zoning approach had been pursued for entire village areas, the project now reacts flexibly to problems and initiatives in or from the villages, without turning zoning into a "conditio sine qua non" for project support. This creates more scope for self-responsibility in the villages; secondly, the villages are also better able to determine the rhythm at which zoning is agreed on for given areas. Gradually - depending on how pressing the problems are - this can lead to zoning of the entire village area.

Furthermore, the consultant and project team did not wait for the PPR, but during the seventh consultancy mission addressed the issue of the impacts of the previous consultancy work by Philippe de Leener. He initiated the discussion by expressing a firmly critical assessment of his own work, after the assessments initially put to him by the project team had seemed too flattering and lacking in self-criticism. In the course of the discussion, central problems of integrating learning experiences from the consultancy into everyday work were addressed, the significance of which goes beyond the VARENA "case".

Developing a "culture of learning" within a team, i.e. making Research-Action-Learning into a guiding principle of one's work, might sound easy. The purely practical consequences are another matter: Who is to document the meetings in villages A+B?, or in other words: Who is able to? When is the team going to take the time to discuss the learning experiences gained from the two meetings? Who is going to moderate this discussion - once again the question arises: Who is able to? - and: How will the results be documented and processed? When and how will the team make preparations for methodological support of a self-evaluation which the committee in village Q would like to carry out? The VARENA team noted, self-critically, that it had not given due consideration to these very practical questions, and the consultant added, self-critically, that he had also not addressed these questions sufficiently. In its own estimation, the team had not found it easy to make the transition from the consultancy situation, a time of intense discussion and reflection, to everyday work, weighed down by the monotony of routine and force of habit, effectively. Thus, depending on the particular consultancy mission, learning experiences from the consultancy were integrated into the team's everyday work more or less, although as time went on this tended to be more rather than less. In addition, development of the team's own capacities, e.g. in relation to "process monitoring", "moderation" or "self-reflection in the team", in practice, i.e. outside of learning situations created by the consultant, proved to be more difficult than expected.

In the **SFDP (Siran Forest Development Project) in Pakistan**, a PPR was held in October 1995, following three consultancy assignments carried out by Thomas Schwedersky between April 1994 and April 1995. The review identified positive impacts on capacity development within the social forestry team, primarily with respect to the following capacities[57]:

- establishing dialogue with village communities which were suspicious of the Forest Department;

- developing dialogue with village actors in a highly differentiated socio-cultural setting (landowners, tenants, landless, men/women, residents, migrants, nomads);

- promoting village organization development with a view to joint forest management;

- organization by the team of their own work: preparation and follow-up of individual working steps, systematization of their own learning experiences.

Limitations to practical work with these capacities arose as a result of the open and hidden resistance within the Forest Department, i.e. the partner organization, to social forestry in general and joint forest management (JFM) in particular. For instance, it took over one and a half years until the first JFM agreement was approved by the Forest Department. Clearly, this also implies limitations for in-process consultancy

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[57]   Cf. the case study in Part II on ths structure and content of the consultancy process.

when working with a client in an unfavourable institutional and organizational setting. In this instance, "unfavourable" means that the capacity development of the client, in this case the social forestry team, will constantly come up against extraneous limits. An extension of the consultancy mandate would not have been a promising prospect, as there would not have been any explicit demand from other organizational units within the Forestry Department.

Outside the scope of a PPR, it was possible to hold a discussion with the team of the **"Proyecto Agroforestal Ngobe" in Panama**, on the impacts of a sequence of consultancy assignments. Maria Salas and Hermann Tillmann carried out work there, mostly jointly, in six stages from February 1994 to October 1995. The activities were financed initially by the sectoral project "In-project socio-cultural consultancy", and from the third stage onwards by NARMS. Later on, the PAN project also participated in the costs.

The project team see key positive impacts in the following fields:

- command of PRA methods by the team members
- greater consideration of the population's needs in consultancy work
- greater participation by women in village discussions

The in-project socio-cultural consultancy began with the aim of bringing the work of the project more closely into line with the specific socio-cultural conditions of the target group, the Ngobe Indians. In pursuit of this aim, the consultants made significant contributions to the discovery and analysis of the Indians' culture and philosophy, and the indigenous knowledge of the local population. Although these activities were carried out jointly with a small number of team members, difficulties did arise later on in conveying the results to the majority of the team. Alongside the issue of the extent to which consultants themselves should become involved in exploring the culture of the actors (see Section 5.1.3), it did prove necessary here to aim at achieving a *joint* learning process, as opposed to learning *on behalf of others* as would be dictated by the logic of traditional short-term consultancies.

Further key inputs of the consultants were training activities, primarily involving PRA, village planning and M&E. The project team reached a joint positive assessment of the training provided on those instruments, through which communication with the village population could be enhanced considerably, as a result of which the work of the project could give far greater consideration to the village population's concerns. At the same time, however, whilst the team did enhance its methodological repertoire within the two year period, a process in which training played a major role, limits to the team's capacity to absorb further expertise did become apparent. The capacity to employ instruments flexibly, and further develop them self-reliantly, is acquired in learning processes which cannot be replaced by repeated training activities. It became apparent, for instance, that understanding and applying participatory methods does not automatically entail changes in attitudes and behaviours. Whilst participatory methods were used in work with village actors, for instance, this did not lead to changes in the working practices or culture of participation within the project team, which one would have expected from a joint learning process. A situation in which participation within the team was also made a subject of discussion among the team themselves was created by the criticism expressed by a PPR.

7.4   Time frame, inputs and costs

A consultancy approach which makes "process-orientation" its guiding principle will inevitably create situations in which the time frame, inputs and costs cannot be planned on as rigorous a linear basis as a self-contained technical consultancy, i.e. a traditional consultancy commission. What is ultimately crucial are the agreements reached between consultant and client, i.e. project team, in the concrete case, which do of course have to take into account the dynamic nature of the process, i.e. may have to be re-negotiated. Bearing this in mind, it is only possible here to present a number of experiences which can serve as a frame of reference for the re-negotiation of agreements in the consultancy process.

An *in-process-consultancy has* a clear beginning, but *no end which can be clearly determined in advance*. The consultancy process reaches its conclusion once the project team are convinced that they can continue their own learning process without consultancy support. It is not possible to forecast whether this point will be reached after one, two or three years. Sometimes an attempt is made to infer from the relative significance of the initial theme, e.g. participatory planning or village organization development, the respective duration and frequency of the consultancy assignments. This fails to take into account the high probability of one or more shifts in thematic focus within the consultancy process. The first time the initial theme is addressed can often create an awareness of the forms and structures of cooperation and communication within the project team, and above all in relation to other actors, from which new themes and issues may arise.

Experience has shown that one consultancy assignment takes between 10 and 30 days. The interval between consultancy assignments should be long enough to give the project team time to integrate into its work the learning experiences from the consultancy process to date, and at the same time gather so much fresh experience that a further stage of discussion and reflection of these learning experiences within the consultancy process is worthwhile. If the interval is rather short, around two to three months, a situation can arise in day-to-day work where requirements for change are circumvented with the argument "It's not long until the next consultancy mission, then we can look at it more closely!" The interval between consultancy assignments is also important because it gives the project team an opportunity to test their own capabilities in the absence of support from the consultant.

The term *time frame* relates to the individual in-process consultancy mission. The latter is highly time-intensive for the project team and/or staff of individual organization units. This is noticed most by individuals whose previous experience is confined to traditional consultancy assignments. A traditional consultant holds discussions, analyzes documents, makes field trips, and then drafts his report or a certain working document for subsequent discussion with the project team or responsible person. With this procedure, the time input required of the project team is relatively low.

In-process consultancy requires much more time for discussion and reflection, for joint work in real or simulated learning situations, and for identifying practical potentials for change. In-process consultants constantly have to negotiate for time, i.e. they must make clear how much time would be appropriate for a working step agreed on with the project team, and who should be involved. This will be necessary chiefly during the first two consultancy assignments. The making available of time thus becomes a key indicator of the impetus of learning within the project team. If at the beginning of a mission the team members point out how full their schedules are, but later make considerably more time available than expected, then something has changed for the

good. If clients continue to "take refuge" behind their schedules, then this should be frankly addressed by the consultant. This is much better than the consultant reaching into the "bag of tricks" to make what "s/he" is offering more attractive.

The *costs* of in-process consultancy are dependent on the one hand on the number and duration of consultancy assignments. Another important factor is whether consultants are flown in from the North, or whether the work is done by local consultants. The costs need to be met by the project concerned. As a pilot project, NARMS was able during its first phase (1991-93) to provide 100% financing for in-process consultancy. During the second project phase (1994-96), co-financing was provided as required; whilst is some cases projects - e.g. VARENA and PATECORE in Burkina Faso or NAWACOP in Laos - met 100% of costs. Since TC projects initially cannot assume that sectoral projects will provide corresponding co-financing, budgetary planning for a project phase should earmark short-term consultancy funds on a scale offering sufficient flexibility.

Part II

From the Spectrum of In-Process Consultancy:

Two Case Examples

1. *Consultation Interne*[58] in the PATECORE project, Burkina Faso.

Report by Philippe De Leener[59]

Overview

PATECORE is a GTZ-supported project concerned with participatory land use in the Central Plateau region of Burkina Faso, a typical Sahelian zone with 600 mm precipitation, 150 km north of Ouagadougou. The region is populated predominantly by Mossis, noted for their hierarchical social structures. Resources are also utilized by Fulani herdsmen, who are settling increasingly in a number of villages.

Self-help promotion, village natural resource management, and conservation of natural resources are three key areas within the field of action of PATECORE. Since 1988, the project has been operating on the following levels:

- support to public and private regional actors organizing training in land-use-related fields, and/or supplying implements and other supplies. The project initiated and in part financed a committee known as CPCPAT (French: *Cadre Provincial de Concertation pour les Problèmes d'Aménagement des Terroirs*), which brings together the government services, and the NGOs operating in their respective areas.

- direct support to farmers in around 300 villages by supplying wheelbarrows and tools for collection of laterite rock, and the transport thereof in trucks. The laterite rock is used for marking out contour lines to protect fields.

- Since April 1994, the beginning of the third phase of PATECORE, a further focal area of activity has been support to pilot villages in organization development for land use. The aim is to develop approaches, with the assistance of field personnel, suitable for further dissemination.

In 1992, PATECORE requested the support of the NARMS pilot project. The issue to be addressed was, how the project might support the farmers' natural resource management by promoting village organization development. By November 1995, seven ten- to twenty-day consultancy assignments had taken place. Each one had been a step in a process designed to develop the capacities of the project team, which the team needed for activities of organization consultancy and development in relation to village land use.

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[58] The French term *Consultation Interne* is more or less equivalent in meaning to "in-process consultancy".

[59] Slightly abridged version of De Leener, "The Consultancy as a Process. (Updated) Working Paper designed to be discussed during the workshop on Process-Supportive Consultancy to Natural Resource Management Projects, Bonn, June 1995"; plus extracts from De Leener, Troisième Mission d'appui du PGRNAP au PATECORE. The report on the 8th mission was added by O. Karkoschka, who carried out the mission jointly with Philippe De Leener.

1 The first consultancy mission (September 1992)

Key activities

- The fundamentals of the new consultancy approach *consultation interne,* as distinct from the traditional, external short-term consultancy assignment, were applied and explained. An external expert or consultant normally works alone and usually produces a report containing recommendations. By contrast, the "internal consultant" works primarily with the project team, in order to initiate a process of self-analysis which is directly linked to project activities.

- Events and processes in PATECORE and CPCPAT, the key partner in cooperation, were analyzed.

Methods, instruments

- Participatory observation of project activities, formal and informal meetings with staff of PATECORE, and extension staff of CPCPAT partners;

- Elaboration of a programme for the project team's further procedure, involving identification of tasks to be performed with a view to the next consultancy mission;

- The key instrument were the *feuilles de route*, a journal-type record of events containing observations, questions, ideas, suggestions, drawn-up and discussed twice weekly as a basis for joint reflection.

Results during the consultancy mission

A joint finding was that each of the five divisions of PATECORE, and each of the CPCPAT partners, had a different view of what the term land use meant, both in theory and in practise. The same thing applied to village organization development. There was not even a common understanding as to where the real problem was - or indeed who's problem it was.

Activities which took place after the consultancy mission, and results

- Close cooperation between PATECORE and the CPCPAT partners, in order to elaborate a common understanding of what land use actually meant in practical terms with regard to coordinated action (differences of opinion were addressed frankly, to avoid later misunderstandings during work in the field or in the villages);

- The same cooperation took place between the relatively sharply divided divisions of PATECORE, to elaborate a joint perspective on land use at village level;

- Formation of an interdisciplinary team to improve coordination and exchange of information between the five operational units of PATECORE.

Problems

- The staff were surprised by - and relatively concerned about - the fact that they had to participate in the work, and were not simply able to consume an immediately

available product. They noticed that the consultant's ToR were identical to those which they had drawn up for themselves as PATECORE consultants.

- Acceptance of the psycho-sociological approach. The PATECORE team were accustomed to the customary technical style of consultancy.

2 The second consultancy mission (November 1992)

Key activities

A workshop with delegates representing the farmers from four trial villages on the theme: *"What is to be done in consultation with all village structures and organizations, and how should those structures organize themselves, to initiate a process of improved land use at village level?"*

Follow-up visits to three trial villages in which several planning instruments had been introduced (seasonal calendar, planning board).

Results during the consultancy mission

- One result of the workshop analysis was that obstacles to communication with the farmers were identified;

- Joint analysis and drawing-up of a list of points to be taken into account in deciding to launch and in launching activities of village organization development;

- Elaboration of a clear strategic framework for intervention at village level, in order to effectively help farmers better organize themselves for the purpose of natural resource management;

- Reflection on planning instruments, and identification of alternative approaches with the aim of adapting the instruments, bringing them more closely into line with the village conditions induced by processes of change.

Activities which took place after the consultancy mission, and results

A PATECORE study to identify possible strategies for activities to improve land use: On the basis of various internal workshops, a total of four working papers had been produced, one of which constituted an inventory of all the instruments used by the project since 1988.

The PATECORE team gained a better understanding of the goal and tasks of the consultancy process, and their significance for the project team. Gradually the project team began to change their view of their work and their role of extension workers, coming to see themselves as facilitators there to empower farmers.

Problem

Low availability of the project team during the consultancy mission: The project team were overstretched, and not really free to devote sufficient time to the process of reflection.

3 The third consultancy mission (May 1993)

Key activity

A two-week workshop with CPCPAT partners, in which potentials for and limitations to supporting village communities in organization development for natural resource management were identified.

Methods, instruments[60]

- A balanced combination of activities in the workshop and in the field;

- Co-moderation of the workshop (the consultant plus staff of PATECORE);

- Open planning of the workshop. There was no precise programme nor any defined goals at the beginning of the workshop. The programme was developed day-by-day within the process as a result of the work, and the interactions among the participants, but also as a result of their interactions with villagers.

Results during the consultancy mission

- A new perspective on the problem of village organization development.

- Elaboration of a range of instruments for work with farmers, in particular instruments for organization diagnosis, to characterize the current social dynamics in the villages, to identify the structures of power between the various categories of actor etc..

- Development of an open approach for practical procedure in organization consultancy in villages where PATECORE wishes to intervene with its partners.

Activities which took place after the consultancy mission, and results

- A brochure was produced describing the new PATECORE approach, containing corresponding guidelines.

- A workshop was held with regional decision-makers for presentation and discussion of the new approach.

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[60]   For a detailed description of the instruments used, cf. De Leener, Troisième Mission d'appui du PGRNAP au PATECORE, Vol. 1, partie ii: Atelier "Appui à l'organisation villageoise pour la gestion des terroirs" - présentation des outils utilisés, p. 27-39; sowie Vol. 2, partie iv: Boîtes à outils, p. 54-69.

Two approaches to conflict management: "law" or "harmony"? [61]

	LEGALLY-BASED APPROACH	"HARMONIZING" APPROACH
KEY ISSUES	*"Who is in the right who is in the wrong?"*	*"How can harmony be re-established?"*
SOURCES OF LEGALITY	Legislation or the rules as they stand *"The law is above the individual"*	The symbolic or actual state of actors who embody harmony *"Harmony within and between people must be re-established"*
OBJECTIVE	Respect for the law	Re-establishing the "natural" order of things

Problems

- The high level of conceptual work, and the new way of seeing and doing things (the transition from linear to iterative planning);

- The poor availability of representatives of the partner organizations: several consultants participated as representatives of their institutions, but were not authorized to take decisions, and were therefore not sure whether their institutions and decision-makers would agree to the new options.

4 The fourth consultancy mission (September 1993)

Key activities

- Participation in two workshops which PATECORE conducted together with CPCPAT partners: the first on land use and village organization, the second on the planning of natural resource management activities. Both were design to identify a practical approach (*"How can we[62] turn our ideas into actions? In which villages, and where would we start? Which actors would need to be involved, and how would we steer the ongoing process? What's our strategy, how do we plan activities ... ?"*).

- A one-day discussion of the practical impacts of our work on the planning and design of the next project phase.

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[61] De Leener, Troisième Mission d'appui du PGRNAP au PATECORE, Vol. 2, p. 65, Tableau 19.

[62] In this case example, by "we" and "us" we mean all participants in the missions, the project team and the external consultant.

Methods, instruments

Co-moderation of the workshop (the consultant plus staff of PATECORE)

Results during the consultancy mission

- Planning of organization development activities in three pilot villages;

- Initiation of a "Research-Action-Learning" process on planning procedures and methods of the village population, and organizations, in villages where CPCPAT partners operate;

- Drawing-up of principles and guidelines for the planning and design of the third project phase, with a view to the third ZOPP workshop taking place in October 1993.

Analysis of scope for negotiation[63]

Example of an instrument
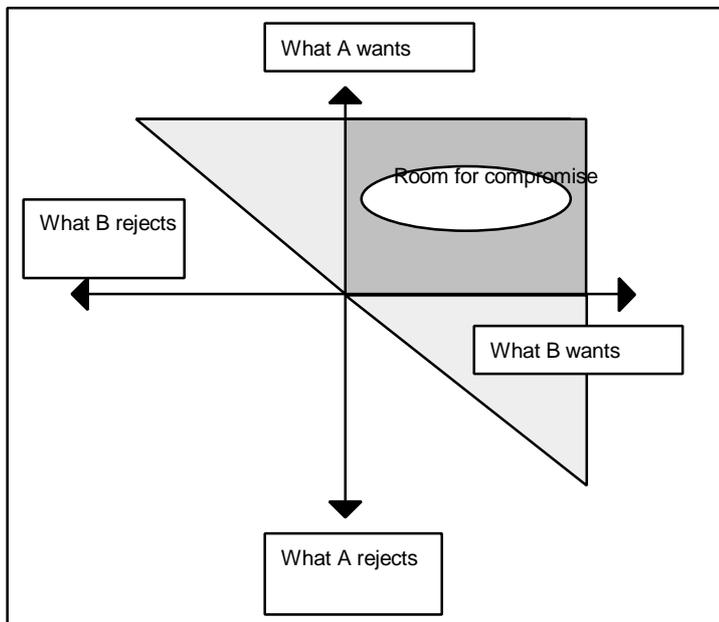
5 The fifth consultancy mission (December 1993)

This consultancy mission was a direct continuation of the fourth, held in September. On that occasion, various activities had been identified as necessary which by December had been carried out. The one-week mission was designed exclusively to evaluate the work carried out in four villages since September.

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[63] De Leener, Troisième Mission d'appui du PROGERNAP au PATECORE, Vol. 2, p. 68, Tableau 22.

Key activities

A workshop to evaluate the activities of the land use team, with reference to the following points:

- results and successes
- experiences and difficulties at various levels (approach, procedure, instruments, communication within and outside the project, and at the project/village interface)
- questions, ideas, assumptions, conclusions...
- prospects for continuation of the process.

The analyses were conducted with respect to two villages selected as examples.

Methods and instruments

- "Research - Action - Learning": This means that we formulate hypotheses and other questions on the basis of our observations and experiences, and as a result of that determine our further action. Here, the emphasis is on systematically analyzing our observations and experiences relating to interaction with the village population, and drawing conclusions for our future work.

- Creation of a real learning situation in the village in order to employ several instruments for communication analysis (cf. model of the five classic forms of interaction), to ensure that our discourse is actually founded in reality, i.e. *"living and experiencing what we're talking about".*

Results during the consultancy mission

- The discovery that different realities exist in parallel, or that different perceptions of the same situation exist not only among the project staff, but also among the villagers *("People do not sing the same song at the same time"*);

- It became clear that it is difficult to formulate good and relevant questions in the "Research-Action-Learning" process. This also applies to hypotheses;

- The insight that it is not easy to think strategically - and that it is even more difficult to empathize with the strategic thought processes of the village population;

- Development of an approach which could serve as a frame of reference at the level of the project as a whole, containing the following elements:

  - Steps to be taken at village level (more precisely: who does what, how, and why so?)
  - In which domains do we wish to cooperate with the farmers?
  - Involving which concrete activities (extension, support)?
  - Definition of the term "supporting the village population"
  - Potentials and limitations of the approach.

Five classic forms of interaction

Five classic forms of interaction

Activities which took place after the consultancy mission, and results

The work carried out during this week was taken as a point of reference for the methodological procedure of the next project phase from March 1994 onwards.

Problems

- The heterogeneity of the project team.

- Not all workshop participants were ready or able to effectively cooperate with the village population (institutional limitations, mainly on the part of staff of NGOs or partner structures not pursuing the same approach);

- Feelings of uncertainty in the face of the end of the current project phase (*"Who is going to become a member of the new project team? Who is going to make up the new GTZ team?"*).

6 The sixth consultancy mission (June 1994)

The sixth consultancy mission took place under entirely new conditions. There was

- a new project team: new field staff, a new GTZ team leader, a new national project director;

- a new dynamism in the project: three multidisciplinary teams were now cooperating directly with the village population;

- a new concept, i.e. new objectives and a new approach: the project now aimed primarily to support the village population and their organizations in managing their natural resources. The development approach was moving away from technical interventions in the village, and towards the promotion of social processes;

- a new network with other actors (NGOs, public sector, technical services etc.): PATECORE no longer simply supported other services, but now also operated directly at village level (multidisciplinary teams, EMP), testing new concepts and instruments jointly with village organizations;

My consultancy approach had also developed further: I was now emphasizing more strongly the development of personal skills and capacities as prerequisites for improving project work and institutional capacities (by including life plans, previous professional and personal experiences etc.).

Key activities

- One-on-one meetings with the new project team members, and members of the multidisciplinary team (EMP, équipe mobile de planification) to prepare them mentally and psychologically. In view of the strong feelings of insecurity engendered by the new situation, it was also necessary to the remove the air of mystery surrounding the consultancy mission.

- A six-day workshop led solely by the project team served as a learning situation for teamwork. The themes were identified during the course of the one-on-one

meetings, in the form of 71 questions covering six broad areas. Four key themes were:

- ❍ greater involvement of the village population,

- ❍ better understanding of the world within the village (diagnosis of organizational and social structures),

- ❍ support for village conflict management,

- ❍ better moderation of village meetings.

- A process of self-analysis was initiated, involving elaboration of the corresponding instruments. The participants were involved in all areas of this process: selection of themes, linking of situations in the workshop and in the village, design, moderation, documentation and evaluation of the workshop.

Methods and instruments

During the workshop, the participants elaborated an entire range of diverse instruments to:

- ❍ promote the participation of the village population in measures,

- ❍ evaluate the level of their participation,

- ❍ assess their sense of "ownership"

- ❍ characterize their organizational capacities,

- ❍ perform conflict analysis, conflict management etc..

Furthermore, the participants also identified over 50 methods and instruments to improve communication with the village population.

In this context, we did not attach so much value to the instruments per se, but to the capacity of the project team in a given situation to elaborate new instruments, or adapt existing ones to the new situation.

The procedure during this consultancy assignment was determined by three principles:

1. Inductive approach: The project staff, their expertise, their life experience, their perceptions were our greatest resource (*"Start with what people know and who they are - not with who or what they ought to be"*).

2. "Research-Action-Learning": the systematic linking of observation, hypotheses, questions and the resultant actions and their evaluation permit conclusions and insights on three levels:

    - with regard to one's own *person,*
    - one's *relations* with others and
    - to *situations* experienced.

3. Parallelism: i.e. the close link between situations at project and village level. The processes initiated during the consultancy at project level are of the same nature as those which the project team should be initiating and facilitating at village level.

Results during the consultancy mission

- A practice-oriented approach to initiating natural resource management processes at village level. We called this the "discovery" approach (*"We must find out how we think and act"*) as opposed to the "truth" approach (*"They know what you have to and they'll tell you"*). This means an inductive and iterative approach ("*We learn by living and experiencing*") instead of a deductive approach (*They'll teach us what to do, and we'll have to listen"*);

- A broad spectrum of instruments for reflection, teamwork and extension at village level;

- Further instruments for improved cooperation with the village population within the framework of their own strategies.

Activities which took place after the consultancy mission, and results

The methods and instruments were applied and adapted, and new instruments were developed. In 24 villages, activities were launched in the form of first contacts and diagnoses.

Problems

- Inconsistencies between "top-down" project planning ("*We must implement what the planners told us to implement in the project agreement*") and "bottom-up" planning, resulting from interaction between the project team and village population ("*We'll plan and implement what the village population jointly agreed with us*");

- Establishment of a team spirit and effective links between the three multidisciplinary teams (EMPs);

- Dealing with the burdensome expectation to have to produce quick and visible results;

- The staff of the EMPs felt deserted when implementing the tasks identified during the workshop in the villages (communication deficits between project personnel at division level and the EMPs).

7 The seventh consultancy mission (January 1995)

This 18-day mission began with a thorough analysis of the ToR proposed by the project team. What they wanted from me as a consultant was not clear, and also changed from one interaction to the next. The German consultant became concerned about the further continuation of the programme: *"The project team in the field know all about talking, but not much about doing."* They, however, saw the situation differently: *"We initiated processes with the village population, but the results of those processes are not necessarily in line with the project management's decisions. There are communication deficits between the EMPs and the decision-makers at project level. They don't take their decisions on the basis of what's happening in the villages, they take too little account of our experiences in the villages."*

In view of this situation at the beginning of the assignment, I proposed a joint analysis with the entire project team. I drew a distinction between three levels:

- ❍ what happens at the interface between villages and project,
- ❍ what happens within the project universe,
- ❍ what happens during interactions of the project with other institutions.

We decided to base the analysis on real situations.

The basis of the consultancy assignment was clear: the multidisciplinary teams were doing what they had planned, and we were utilizing these work situations as an "open window" through which to view the project and life in the villages..

Key activities

- Two-day self-analysis on three levels:
  - ❍ Each multidisciplinary team (EMP) on its own: half-day open discussion on activities since June 1994, methods and instruments, problems, questions, personal concerns, concerns of the team etc.;
  - ❍ At division level: exchange of ideas between the head of division and the German consultant;
  - ❍ The project leader: What does he "think" of situations and trends within and outside of the project?

- Meeting to design and plan the two-week consultancy mission on the basis of the preceding self-analysis;

- Selection of four learning activities in villages, with four specific problem areas being selected:
  - ❍ a village dominated by a strong leader: "*Is that an advantage or a disadvantage? To what extent? How to deal with it?"*
  - ❍ a village whose land use has led to conflict with other villages: "*How can the conflict be turned into a learning process for all villages involved?"*
  - ❍ a community of 18 hamlets with an acute conflict between various hamlets and rival leaders; the project had also been seen as a "privilege" of the chief community leader: "*How can the communication gap between the project and the village population be closed?"*
  - ❍ a village in which the multidisciplinary team has "the feeling" that nothing is happening: "*What is to be done? How can we initiate a process?"*

In each of the four villages, we pursued the same plan of work:

1. A half-day preparation on the following issues:

- ❍ What activities were there in the village?
- ❍ The key results and insights;
- ❍ Open questions of the multidisciplinary team, assumptions regarding the situation of the village and its dynamics;
- ❍ General goals of cooperation and specific goals of the next meeting;

❍ Hypotheses on the strategy to be pursued in cooperation with the village;

❍ Elaboration of a scenario for the next visit, selection of instruments for trial, definition of roles: who will do what?

2. Visit to village

3. Analysis of the visit with respect to the level of staff of the EMP: *(When we went into the village, we wanted to this, we thought that the situation was like that. And now, after the work, what is the situation like and how should we continue?")*

- Four-day workshop on forming syntheses. ...

  ❍ Detailed report by the multidisciplinary team and its activity in the village: what was it like and why?

  ❍ Joint discussion of the results;

  ❍ Diagnosis of village social and organizational structures;

  ❍ Questions and hypotheses as a basis for further activities (frame of reference for action within the Research-Action-Learning approach);

  ❍ Practical planning of the next steps in the four villages: *("What should we do concretely in the village? In the short and in the long term?")*

- Reflection with the project leadership on communication within the project, and above all on potentials for its improvement: *("How can we proceed within the project and between all levels with the same participatory approach we pursue outside of the project with the village population?")*

Methods and instruments

- Initiation of interactions on several complementary levels: within and between the EMPs, between EMPs and project leadership etc.;

- Organization and planning by the project team of activities within the scope of the consultancy assignment;
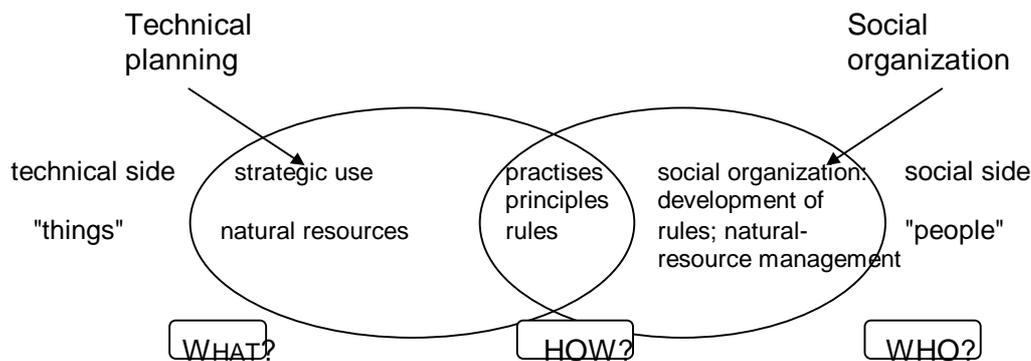
- Work on three levels:

Outside world
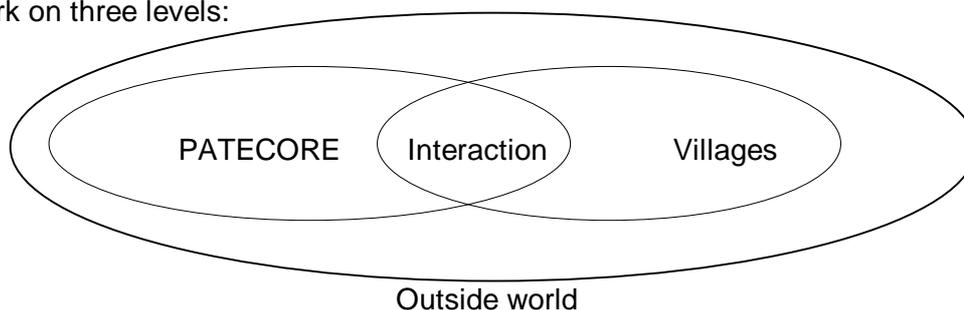
- Utilization of real work situations and planned activities as a framework and basis for work during the assignment;

- "Research-Action-Learning": the systematic linking of observation, hypotheses and questions as a basis for action, and the evaluation, adjustment and change of action on the basis of further observation;

- Creation of various communication situations: formal and informal communication, within and outside of the project, on the same and between different levels of the hierarchy...

Results during the mission

- Improvement of the internal "climate": better relations between the project team, better communication

- Clarification of conceptual issues:
  - ○ What exactly does "Management of the resource land" mean?
  - ○ What exactly does "Supporting improved management of farmers' natural resources" mean?
  - ○ Setting of priorities: which natural resources are *strategic* natural resources?
  - ○ What exactly does "Improving village organization" mean?

Conceptual framework for work in natural resource management

Technical planning

Social organization

technical side   strategic use   practises principles rules   social organization: development of   social side

"things"   natural resources   rules; natural-resource management   "people"

WHAT?   HOW?   WHO?

Philippe De Leener, PATECORE, Jan. 1995

- Strategic considerations:

  It is important to support the village population in improved management of *certain strategic* natural resources. The strategic aspect is emphasized here, i.e. support for those resources consciously selected by the village population because they play an important role in their lives.

  Support of the village population not only in comprehensively strengthening their forms of organization in the village, but also with respect to the specific social management of the strategically important natural resources. This means strengthening their expertise and capacities in several, complementary fields: in the *technical* management of natural resources; in the *social rules* and *practises* of utilization and management of strategically important resources; in the *processes of social organization* for management of these resources; and in the social organization between the different villages.

- Clarification of issues of methodological procedure:

- How are activities at village level to be prepared, implemented, documented and evaluated?

- The categories applied by the project team should be examined (they show what is important from the project's point of view, but not necessarily from the point of view of the village population);

- Should the project carry out a *Participatory Rural Appraisal (PRA)* or support the village population in the conduct of their own *PRA*?

- Analysis of history and processes of change;

- A set of "ad hoc questions" (what to think and about what in the village ad hoc?);

- Identification of appropriate instruments and methods for further activities.

- Precise analysis of what happens during interactions with farmers;

- Focus on the interface between the project and other intervening structures and, from a general point of view, on project/outside world interaction.

8 The eighth consultancy mission (November 1995)

The major change was that there were two new GTZ consultants in the "village land use" division. To become acquainted with these individuals, to pick up on developments since the last assignment, to assess the expectations of the project team members, and thus to prepare for the work, the consultancy began with preparatory one-on-one meetings. Since the expectations regarding the consultancy assignment proved to be somewhat diverse, emphasis was placed on elaborating a joint Terms of Reference during the first plenary session. The following themes were identified:

Key activities

- Evaluation of the previous season's activities on four levels:
  - the activities carried out per se,
  - the strategies pursued,
  - the methods employed and
  - the development of relations, i.e. the team/village interface.

- Discussion in the workshop of the contribution and nature of project support for village organization development;

- Discussion and working groups to identify possible improvements in working methods and organization within the division "village land use" and the individual EMPs;

- Workshop for reflection on cooperation and communication within the project (within the division, between the division, and between the EMPs, the other divisions and the management).

Methods and instruments

- Work and discussion in the workshop and working groups;

- Preparation, leadership, interim evaluation ... by the project team themselves;

- Formal and informal one-on-one meetings by way of preparation and follow-up of work in the workshop;

- Learning situation based on a real, concrete work setting in a village described as "difficult".

Results during the mission

Evaluation of the previous season's activities (level of relations) revealed that it will be necessary in future to involve the farmers, i.e. to discuss the project's analyses with them, and establish their perspective/analysis.

The significance of organization development developed from a view of it purely as a means to achieve project ends, to one of organization development as an end in itself. From this point on, in organization development it is no longer just the structures which are important, but also and above all the social mechanisms and dynamics.

Addressing issues of organization development at the inter-village level is a key factor in ensuring the sustainability of project work.

Improved work organization: The work of the EMPs comprises two main fields: interaction with the farmers, and the more intellectual work which takes place mainly in the office: analysis, documentation, elaboration of hypotheses and questions to prepare further steps in cooperation with the farmers. For the latter we developed a "orientation board" which can be used for any village, and which facilitates understanding of village processes.

On evaluating the previous season's activities we found virtually across the board that: *"The more the project does, contributes, proposes ... the less active the farmers are, and the more they expect from the project"*. On the basis of that finding, new views emerged regarding roles and the procedures of the EMPs. Up until that point the EMPs had made the arrangements for the next meeting in the villages. They were thus the "clients" (*"We PATECORE extension workers need you farmers because you make it possible for us to work..."*). In the new role, the farmers make the arrangements and assume responsibility for the meeting and the activities *It's your job to tell us what kind of support you require from us, what we're supposed to do, with whom in the village, and where exactly...")*. The farmers' "line" thus became the line of the project work. The EMPs now no longer have the problem of having to play the "locomotive" and hoping that the farmers will follow. They rather support the "locomotive" in the village.

There were four basic results in the field of communication/cooperation:

- At the level of the village land use division, it was possible to define the role of the new GTZ consultants, with emphasis being on methodological support to the EMPs.

- Numerous ways were developed to improve intra-division communication and cooperation.

- It is planned to broaden the scope for formal exchange between the EMPs and project management. The simple fact that the project manager participated in the workshops virtually throughout the entire mission made it possible to close gaps in communication. Further proposals will need to be discussed with the GTZ team leader, who was absent during the mission.

- To improve cooperation between the project divisions, a programme of work was drawn up for this very purpose and agreed on with representatives of all divisions.

2. In-Process Consultancy in the "Siran Forest Development Project" (SFDP) in Pakistan. Report by Thomas Schwedersky[64]

Preliminary remarks

The following report will present the course of events, and results, of three consultancy assignments. With regard to the consultancy process per se, it will only be possible to provide a brief outline. Beyond that, the questions "What did I achieve?" and "What particular challenges did I face?" will be addressed at the relevant junctures. It should be noted that the first question does not relate to the achievement of goals set at the beginning of the consultancy, but addresses retrospectively the question "What positive learning experiences was I able to facilitate for the team?" The second questions focuses intentionally on the "challenges" as opposed to the "problems/difficulties". Focusing on the latter would still create the impression that those problems/difficulties could be solved or eliminated, whereas identifying and addressing the challenges implies more than anything else, opportunities for learning and change.

Overview

The project

The "Siran Forest Development Project" (SFDP) in Pakistan's North-West Frontier Province, supported by the KfW and GTZ, underwent an orientation phase from 1992 to 1996, during which the participating actors were supposed to reach agreement on a joint understanding of the project and a common strategy. These actors were: the state Forest Department in Mansehra District, staff of the Social Forestry Department - my clients in the consultancy - landowners, tenants, rural labourers, semi-sedentary nomads, seasonal migrants, timber merchants, gradually emerging interest groups and joint forest management (JFM) committees, as well as village welfare organizations.

What had the project achieved to date? (as at June 1995)

- A flexible approach to organizational development at village level was being developed in two key areas.
- An approach to improved natural resource management (forest, water and soil conservation, agriculture, grazing management) was being elaborated in both key areas.

- A multidisciplinary team was operational, and had established good relations of cooperation with selected villages in the key areas.
- A joint forest management system was being developed involving joint management of certain state forests by the Forest Department and adjacent villages.
- The GTZ project team was successfully acting as a catalyst in achieving the acceptance and dissemination of "social forestry" within the Forest Department and the forestry ministry responsible at the provincial level.

What challenges did the project team face?

- bridging marked socio-economic disparities;
- overcoming the considerable resistance to social forestry within the Forest Department;
- reducing mistrust of the Forest Department among the local population.

Brief chronology of the consultancy process

May 1991	First contact with the NARMS project, initiated by the responsible Head of Country Section at GTZ
August 1992	First meeting with the contact person and the social forestry advisor
Sept. 1992 to June 1993	Preparation of working papers on participatory and self-help-based approaches to natural resource management
July 1993	Preparation of the first project visit, involving the social forestry advisor
Oct. 1993	Fact-finding mission to the project (7 days)
April 1994	First in-process consultancy mission (16 days)
Oct. 1994	Second in-process consultancy mission (18 days)
April 1995	Third in-process consultancy mission (19 days)

The first consultancy mission (April 1994)

What were the steps in the process?

1. I accompanied two key area teams,[65] observing them at work in a number of villages.
2. Discussion and reflection with the respective teams on the basis of my observations.

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[65]   Within the Social Forestry Department there are two teams, each operating in a key area.

3. Preparation of a working paper on the "interfaces" between forest planning and social forestry, in cooperation with a consultant.

4. Discussion of that working paper within the GTZ team, and revision of the paper.

5. Working sessions with the social forestry advisor.

6. Two-day workshop with the entire social forestry team.

7. Presentation of conclusions.

What did I achieve?

<u>Refusal to accept the role of a consultant offering ready-made solutions</u>

Initially I was expected to provide answers in the form of ready-made solutions which could be directly applied. This was clearly illustrated by the list of questions which the social forestry team had prepared in advance, and which I was confronted with on the first day of the consultancy assignment. To avoid a confrontation, I threw some questions back to the team, and answered others. But in doing so, I avoided presenting the answers as cut-and-dried solutions.

<u>Introduction of new instruments during the process of reflection</u>

During the second step, "Discussion and reflection on the basis of my observations", I presented tools for analysis and planning which the key area teams could use in their work in the villages. For example, one tool involved drawing-up a reconstruction of events in the cooperation with a village:

When?	What? (working steps)	With whom in the village?	Observations
9-12/93	introduction of the goals of SFDP	village meeting <u>whole</u> village	landowners were greedy and still expected gifts (cash-funds, employment)
11/12/93	in-depth study: case studies on tenants, landowners	with individual households	reluctance on landowners' side for team to approach tenants
01/94	preparation of pruning demonstration	ex-chairman of Union Council plus 2/3 persons	confidence gained by offering something practical
01/94	demonstration of pruning	5 landowners (orchards) + 2 owners + 2 tenants	people were enthusiastic
01/94	follow-up and continuation of training	¾ orchard owners	people were well trained
01/94	formation of interest group for afforestation: information on package, selection of IG-members	village meeting only landowners	common interest: provision of fuelwood and protection of land, benefits from the incentive package, tenants not interested in afforestation
02/94	formation of IG on fruit trees	village meeting	result was nil, although people did show some prior interest, except in walnut trials
02/03/94	afforestation activities continued	IG afforestation	information provided will be communicated to other villagers

12/04/94	preparation of demonstration plots for maize, potatoes and fodder	IG (aff.) members	IG-members accepted to prepare the demonstrations

Source: Dr. Thomas Schwedersky: Report of the consultancy to SFDP, 10-26/04/94

This was designed to turn the participants' attention to the stages in the process of cooperation with a village, and on that basis get them to ask the questions: What did we achieve with this approach? What can we learn from that? How would we approach such situations in future?

With regard to possible future action, the application of a tool was simulated in order for the team to plan how they would proceed with respect to a certain activity, and establish responsibilities and the division of tasks with farmers. Unfortunately, it was not possible during this consultancy assignment to create a situation in which application of the tool could be demonstrated under practical conditions.

The selection of new tools introduced was not based on any systematic inventory of those already in use by the social forestry team, but on my observation of the team's working and planning procedures.

Questioning the way the team worked

During step two, the process of reflection was not confined to the question of how to promote village-level interest groups.[66] I had observed that the teams appeared in the villages unannounced. It therefore seemed a good idea to address the issue of organization of work within the team, and within the Social Forestry Department. It emerged that the key area teams were often confronted with directives issued at short notice by senior personnel within the Department, and thus did not make appointments with the farmers. In the discussion, however, it then became clear that they could only cooperate closely and in a spirit of trust with the interest groups, if and when the two sides agreed on when they wanted to carry out joint work.

Removing the air of mystery surrounding the consultant

After the first two steps of the consultancy assignment, it was no longer possible to work with the entire social forestry team (see steps 3 and 4) until the final two-day workshop. I assumed that the team would be expecting my initial input to be a standard presentation of conclusions and recommendations. To counterbalance that, I presented my conclusions in the form of questions, which I hoped the team would then discuss. My conclusions were based on the questions raised by the team members during the discussion and reflection phase, and on the questions arising in my own mind whilst preparing for the workshop. During my presentation, however, I gave no clear indication of which questions were theirs and which were mine.

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[66] This term was used by the team to denote informal associations of several farmers interested in a particular activity, e.g. fruit cultivation or improved fodder cultivation.

What particular challenges did I face?

Dealing with the list of questions prepared in advance

The list contained various questions, all of them relating to natural resource management. They included questions of a more technical nature, illustrating the fact that the team also saw me as an expert on technical issues, and not only on participatory and self-help approaches. I declared myself incapable of answering the technical questions. As regards the other questions, I passed many of them back to the team, and answered some myself.

During the phase of discussion and reflection in the second step, I had attached priority to receiving feedback on my observations, as opposed to "working through" the list of questions. I had also asked the team to select key questions from the list.

The fact that I was asked some of these questions again during the final workshop demonstrated that I was still being expected to provide ready-made solutions.

Presenting observations in the form of questions

During step two of the mission, I found that it was not easy to phrase my observations as questions (e.g. "To what extent do you reach prior agreement with an interest group on joint working steps?" as opposed to "I can't quite understand why you drive into a village without letting them know you're coming beforehand!"). Sometimes I even involuntarily phrased my observations as value-judgements, which elicited an immediate defensive response on the part of the team, instead of paving the way for constructive discussion and reflection. I needed an especially large measure of self-control and self-awareness to keep up my questioning approach. Questions such as "Haven't you tried ...?", which clearly suggested a particular line of action or solution, proved to be a trap.

Correctly "dosing" my input of technical expertise and my own experience

I found it a constant challenge to feed into the consultancy process the correct "dose" of technical expertise. During discussions with the team, and on the basis of my own experience, certain lines of action or solutions appeared appropriate - to me. In situations like this it was important to remind myself that I only had access to a subjective perspective, and that my "solution" need not necessarily fit the situation in which the social forestry team were working. This did not mean that I had to keep my experiences to myself, but rather that I should feed them into the process in such a way as to support the team in elaborating their own situation-specific solution.

The second consultancy mission (October 1994)

What were the steps in the process?

1. Two-day workshop with the social forestry team and members of the Forestry Planning Unit

2. Drawing-up of a tentative sequence of working steps for participatory JFM planning

3. Analysis of the key area teams' prior experiences with JFM

4. Elaboration of scenarios for meetings in four villages to be involved in JFM on a pilot basis

5. Meetings in these villages (four days), with discussions in the evenings

6. One-day workshop with the social forestry team: analysis of the meetings in the four villages and discussion of further procedure

7. Two-day workshop on JFM with territorial forestry staff

8. One-day workshop with the social forestry team: conclusions from the previous workshop (7.)

9. Modification of the sequence of working steps (cf. 2.)

What did I achieve?

Marked reduction in expectations vis-à-vis the consultant as "expert"

For this second consultancy assignment I had no Terms of Reference, merely a provisional plan of work which I had prepared in advance in response to a request made by the social forestry advisor. This time I was not confronted with a list of questions. The only express request for a consultancy input involved an input to the workshop for territorial forestry staff (step 7): "experiences with social forestry and joint forest management in other Asian countries" - and I was glad to meet this request.

Initiating a learning process on the JFM strategy

To launch an iterative loop for reflection, I had initially suggested that the team reconsider its strategy for JFM planning in the pilot villages - working on the assumption that such a strategy had already been developed prior to my second consultancy mission. However, it quickly became apparent that the social forestry team did not have any common understanding of such a strategy, even though some team members - mainly the team leader and head of department - had contributed firm views of their own to the discussion. Thus the workshop, surprisingly, had led to a situation in which the team had entered into a process of clarifying the JFM strategy, and was also visualizing core elements of this strategy.

The learning process was then further enhanced as the team members, after several days' intensive work in the pilot villages, were able to utilize the experiences gained there by modifying and thus further elaborating their JFM strategy. The modifications in question might appear minor to the uninvolved observer. However, the outcome of intensive discussion was that e.g. steps 4 + 5 should be switched or, in the case of step 8, that the team should not speak of a JFM plan but a "resource management plan". Here, the discussion played a key role in the process of mutual learning within the team.

My role during the design and modification of this strategy was confined to one of asking questions and facilitating the process. This was at its most pronounced and significant when steering the final situation, i.e. review of the JFM strategy in the light of new learning experiences from the villages.

Table 1: Tentative sequence of working steps for joint forest management planning

What are the working steps?	How should the working steps be realized?	Who is involved?
1. Selection of villages for joint forest management activities	• Vicinity to reserved forest • Homogeneity • No major conflict • Interest shown by villagers	Villagers, KA-team, FD-staff + senior officers
2. Introductory meeting with the villagers	• Identify appropriate time and place for meetings • Invite people through suitable communication channels • Prepare and plan meeting • Clarify further action together with villagers at the end of meeting	Villagers, KA-teams, FD-staff when needed
3. Socio-economic survey (in depth) - assessment of present land use - identification of user groups	• Counter-check village inventory • Complement village inventory • Case studies, household studies (including user group identification) • Assess present land use (maps, statistics) • Involvement of women in joint forest management activities	Villagers, KA-teams, FD-staff when needed
4. Forest boundary delineation for user groups - forest resource inventory	a) Identification of forest areas used by villagers b) Discussions with users on forest allocation/delineation c) Assessment of user demands and forest capacity	V, SF, FP, FD V, SF, FP, FD SF, FP, V
5. Formation of interest groups	a) Present joint forest management concept in detail to user group b) Identify interest group(s) c) Facilitate formation of interest group(s)	V, SF, FP V, SF, FP V, SF
6. Identification of solutions with interest groups - land use planning including forest management planning	a) Discussion of problem areas b) Identify constraints and opportunities c) Reach agreement through mutual discussion	V, SF, FP, FD V, SF, FP V, SF, FP, FD
7. Clarification of responsibilities of FD and IG	a) Elaboration of responsibilities b) Bilateral and joint meetings	IG, FD, SF
8. Resource management plan elaborated by FD and IG	Joint meetings and joint inspection of areas	FP, IG, SF
9. Agreement between FD and IG	Bilateral and joint meetings	IG, FD, SF
10. Regular adjustment/revision of plans (cyclic planning)	Monitoring and identification of difficulties, joint venture to identify solutions to those difficulties, incorporation of those solutions into plan	FD, IG, SF jointly

Table 2: Tentative sequence of working steps for joint forest management planning

What are the working steps?	How should the working steps be realized?	Who is involved?
1. Selection of villages for joint forest management activities	• Vicinity to reserved forest • Homogeneity • No major conflict • Interest shown by villagers	Villagers, KA-team, FD-staff + senior officers
2. Introductory meeting with the villagers	• Identify appropriate time and place for meetings • Invite people through suitable communication channels • Prepare and plan meeting • Clarify further action together with villagers at the end of meeting	Villagers, KA-teams, FD-staff when needed
3. Socio-economic survey (in depth) - assessment of present land use - identification of user groups	• Counter-check village inventory • Complement village inventory • Case studies, household studies (including user group identification) • Assess present land use (maps, statistics) • Involvement of women in joint forest management activities	Villagers, KA-teams, FD-staff when needed
4. Formation of a JFM committee	a) Present JFM concept in detail to user group b) Facilitate formation of committees c) Identify committee members and representatives	V, SF, FP, FD V, SF, FP, FD SF, FP, V
5. Forest boundary delineation for user groups	a) Identification of forest areas used by villagers b) Discussions with users on forest allocation/delineation c) Assessment of user demands and forest capacity	V, SF, FP, FD V, SF, FP, FD SF, FP, V
6. Identification of solutions with JFMC	a) Identify constraints and opportunities b) Discussion of problem areas c) Reach agreement through mutual discussion	V, SF, FP, FD V, SF, FP V, SF, FP, FD
7. Clarification of responsibilities of FD and committee	a) Collection of proposals from FD and JFMC b) Elaboration of responsibilities c) Bilateral and joint meetings	IG, FD, SF
8. Elaboration of JFM plan incl. complementary measures	Joint meetings and joint inspection of areas	FP, IG, SF
9. Agreement between FD and JFMC	Bilateral and joint meetings	IG, FD, SF
10. Plan revision and adjustment whenever needed	Monitoring and identification of difficulties, joint venture to identify solutions to those difficulties, incorporation of those solutions into plan	FD, IG, SF jointly

What particular challenges did I face?

Coming to terms with my role

During the first workshop with the social forestry team, I had not always found it easy to consistently stick to my role of facilitator of the learning process. The difficulties I experienced arose from the fact that the urge, associated with the role of expert/consultant, to repeatedly demonstrate my own professional expertise, was still virulent in me. Although I did not make any suggestions of my own on the team's JFM strategy during the workshop itself, I did make proposals on how the workshop should be structured, and what tools might be used during its various stages. In doing so, I failed overall to adequately harness the existing potentials within the team; I thus deviated from the role of facilitator and slipped into the role of moderation expert.

Using tools in the work of the team

For all the tools used in workshop situations at my suggestion, the question arose as to how useful they were for the work of the team. Overall, I did not succeed in addressing adequately this issue of the utility of the individual tools, or formulating proposals for possible modifications or alternatives. The difficulty I had in addressing this issue lay in the risk of eliciting answers designed to please, or in my having made a well-intended appeal to leaders and other team members which blocked any open and constructively critical discussion of the utility of the tools. Unfortunately, due to time constraints it was not possible to pursue the alternative approach of initiating learning situations in which the proposed tools might have been used.

The third consultancy mission (April 1995)

What were the steps in the process?

1. Two-day workshop with the social forestry team
2. Discussion of the draft JFM agreement (between the JFM committee and Forest Department) and the corresponding management plan
3. Elaboration of the further programme for my consultancy
4. Preparation for the meeting with the JFM committee in Maithal
5. Discussion with the JFM committee in Maithal
6. Meeting with territorial forestry staff
7. Discussion with the JFM committee in Takra
8. Summary workshop with the social forestry team
9. Workshop with the Forestry Extension Coordinators Network on JFM

What did I achieve?

Joint elaboration of the consultancy programme

My consultancy programme was not defined in advance, as had still been the case with the second assignment, but during a two-day workshop at the beginning of the mission. This made it possible to plan joint working steps, in line with priorities defined by the team. It thus became clear in my programme of work how the team wished to make use of my resources as a consultant.

<u>The team's top priority: developing a situation-specific strategy</u>

Prior to the third consultancy mission I had an opportunity, within the scope of a one-week fact-finding trip, to gain an insight into work with JFM in India. As India is considerably more experienced in JFM than Pakistan, the social forestry team were also hoping that my trip would provide inputs for the strategic development of JFM in the SFDP. Having said that, the team did not use the information and experiences which I had to offer as transferable "blueprints", but as stimuli to develop a situation-specific strategy for JFM in the Siran valley. In my view, this reflected the success of the learning process which took place during the first two consultancy missions.

<u>Strengthened dialogue between the social forestry team and the territorial forestry staff</u>

In the opinion of the social forestry team, closer dialogue with the territorial forestry staff was needed in order to be able to collect first practical experiences with JFM. A first step in this direction was the workshop conducted at the end of the second consultancy mission. The aim was, through a process of dialogue and involvement of the territorial forestry staff in JFM field activities, to dissuade the latter from distancing themselves from JFM with the argument: "JFM is the social forestry team's business; it's nothing to do with us!"

In other words, to make JFM a joint enterprise, it was necessary to involve the territorial forestry staff in both strategy development, and the corresponding measures in the pilot villages. During my consultancy assignment, the dialogue between the "social foresters" and the "territorial foresters" was continued on various occasions. The draft JFM agreement and the management plan were discussed during step 6 (see above).

What particular challenges did I face?

<u>Strengthening the key area teams' communicative and cooperative capacities</u>

The consultant can only foster the development of communicative and cooperative capacities in interaction with JFM committee members if and when a systematic link is established between workshop discussions and real learning situations. The two village assemblies, which offered only few team members an opportunity to test and enhance their communicative capacities, were too limited as a learning situation. I did not succeed in reaching agreement with the team on creating further learning situations. This was due to the firm priorities set. The team's discussions on the draft JFM agreement and management plan were time-consuming and - at that point in time - more important.

Initiating "Research-Action-Learning"

On the whole, the team saw the development of its JFM strategy as a learning process. But how can that process be organized systematically and transparently? During the discussions, it was noted - in passing - that whilst each team member was undergoing his or her own individual learning process, the various insights gained were barely being discussed within the team. A systematic exchange of experiences often falls victim to the pressure of day-to-day work. During my consultancy assignment I succeeded only to a limited extent in addressing the potentials for change to systematize the learning process in work on JFM. To make further progress on this point, time would have been needed for further learning processes.

Fostering a gender-specific approach in a difficult socio-cultural setting

The project team includes five female members: one social organizer, three foresters of Pakistan and one Australian forester as coordinator. All the women took part in the discussions in the workshops, which was not the case with the work in the villages. At present, joint assemblies of women and men are inconceivable, in the light of religious conventions. The female team members attempt to organize women's meetings at hamlet level, in order to discuss women's affairs and concerns regarding natural resource management, and in particular JFM. Mechanisms to introduce women's issues into the male-dominated JFM committee need to be developed carefully. For the members of the social forestry team, achieving internal discussions with an open exchange of views and experiences of men and women, and joint decision-making, pose a constant challenge. In the joint workshops, I was able to facilitate a process in which the female team members made an active and vigorous contribution to the discussion. At village level, however, there was no scope whatsoever for joint work in learning situations.

Postscript (September 1996)

In October 1995, a project progress review took place in the SFDP. The PPR team passed a positive overall verdict on the impacts of the in-process consultancy, although it did not go into any specific detail (cf. Section 7.3). Since then, there has still been no final agreement reached between German development cooperation (BMZ, GTZ, KfW) and the Pakistan side concerning the trajectory and design of the next project phase. It has therefore not been possible to date to continue the in-process consultancy.

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