



018530 - SWITCH

Sustainable Water Management in the City of the Future

Integrated Project
Global Change and Ecosystems

D. 6.3.5 and 6.3.6 Methodologies for Socially Inclusive Urban Water Governance

Training and tools Package

SWITCH WORK PACKAGE 6.3

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Carol Howe
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CO	Confidential, only for members of the consortium (including the Commission Services)	

SWITCH Deliverable Briefing Note Template

SWITCH Document Social Inclusion Training and Assessment Tool Development
Audience The audience of the first two training programme were SWITCH partners that are involved in the social inclusion work package. The audience of the third and fourth training programmes were the Learning Alliance facilitators. The audience for the toolkit (D 3.6.6) is mostly internal as it has been used to carry out the assessments in Accra and Alexandria.
Purpose The purpose of the first two internal training programmes is to build the capacity of internal SWITCH partners, develop action plans, and a tool kit. The purpose of the third and fourth training programmes was to strengthen the capacity of the Learning Alliance facilitators. The purpose of the toolkit was to ensure the quality of the assessments that have been carried out in Alexandria and Accra.
Background Social inclusion is a complex topic as it departs from the more common view that poverty equals social exclusion. Hence, training was need to develop a common understanding of social inclusion amongst those people that were involved in the social inclusion work package. The Learning Alliances have an important role to play to ensure social inclusive strategic planning processes, research, and demonstration projects. For that reason, social inclusion was included in two of the Learning Alliance training programmes
Potential Impact The impact of the internal training programme was a clear alignment of SWITCH partners involved in the Social Inclusion Work Package. In relation to the Learning Alliance training the impact is the inclusion of formerly excluded groups in the Learning Alliance and as a result more inclusive strategic planning process, research, and demonstration programmes. The impact of the toolkit is high quality assessments of social inclusion related issues within demonstration projects.
Issues The main issue around social inclusion has been that only a few SWITCH partners had a budget for Social Inclusion activities. This has seriously hampered follow up and implementation of training. The unrest in Egypt made impossible to carry out a full fledge assessment of the impacts of the demonstration project.
Recommendations Social Inclusion should have been a cross-cutting issue in all SWITCH cities and Work Packages.

Methodologies for Socially Inclusive Urban Water Governance Training Package

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Preface

SWITCH

The SWITCH project - Sustainable Water Management Improves Tomorrow's Cities Health (www.switchurbanwater.eu), funded by the EC (Sixth Framework Programme Priority 1.1.6.3) was focused on innovation in the area of *integrated urban water management*. The project aimed to carry out demand-led, action-orientated research in its nine demonstration cities¹ and related study sites, in order to promote greater integration of urban water management, and ultimately more beneficial impacts. The project formed city 'learning alliances' to concentrate on putting research into use across different aspects of the urban water cycle to help improve integration.

The objective of the SWITCH social inclusion work package (6.3) was to “*effect improved access, affordability and use by urban and peri-urban end-users through the use of pro-poor, equity affirming, participatory approaches to planning and management of water and sanitation service provision*”.

Acknowledgement

This training package has been prepared within the framework of the European research project SWITCH. SWITCH is supported by the European Commission under the 6th Framework Programme and contributes to the thematic priority area of “Global Change and Ecosystems” [1.1.6.3] Contract no 018530-2.

¹ Accra, Alexandria, Beijing, Belo Horizonte, Birmingham, Hamburg, Lodz, Tel Aviv and Zaragoza

1. Introduction to the Social Inclusion Training package

1.1. Purpose and contents of the training package

The purpose of the training and awareness-raising in social inclusion was to promote more equitable and participatory approaches to planning and management of water and sanitation service provision. This covered both the understanding of concept of social inclusion and a practical introduction to the tools and participatory approaches needed to analyse the social situation and to identify how planning and management processes could become more socially inclusive.

Social inclusion describes the state of being included in a community and society as a whole; a condition in which individuals and groups can access the range of available opportunities, services and resources and contribute to planning and decision making. It also refers to the actions and processes needed to transform the situation of those who are socially excluded. As much of the published material refers to *social exclusion*, and the challenges are to transform instances of social exclusion into social inclusion, the two terms are both used throughout this document in the understanding that each is the converse of the other.

The training was intended for members of the SWITCH city teams and *Learning Alliances* in order to enhance the quality and relevance of the planning and action-research process through widening participation and listening to the less powerful. It was also intended to increase sensitivity to cultural and social aspects in integrated water-related planning and management. The training objectives were to develop a shared understanding of the concept of social inclusion; to define the scope of the research and demonstration activities and reach consensus on research methods, action plan and time frame.

This document presents the main tools and approaches tailored for the participatory analysis of the social situation and social inclusion relating to water and sanitation access and management in the local urban contexts of SWITCH cities. The materials were developed, shared and tested during two training courses; in Delft in April 2007 and in Accra in July 2007. The contents focus on the more generic aspects of the training, which are likely to be of wider interest; in particular, the underlying concepts of social inclusion, elements of a strategy for social inclusion, planning and conducting action research, including participatory data collection tools; analysis and reporting and process documentation. References and related reading are provided.

Each topic in the following sections is introduced, together with the learning objective. The concepts are explained and materials and exercises for use in training sessions are presented. Worked examples of the exercises and use of the social inclusion analysis tools are included, drawing on the training and the subsequent social analysis conducted for the demonstration sites in Accra and Alexandria.

2. What is social inclusion?

2.1. What is our understanding and experience of Social Inclusion?

Rationale: The session is designed to build awareness through discussion of personal experience and examples of social inclusion

Learning objective: For participants to share and reflect on their experience and ideas about social inclusion/exclusion and poverty.

Methods

➤ *An example from experience:* The facilitator interviews one of the resource persons on her ideas and experiences on urban social inclusion. The questions were;

- Can you share briefly your personal experience (positive or negative) or observations of social inclusion?
- What do you think are the most important elements in social inclusion?
- Could you describe some of the work that you have done in this field?
- Could you describe some good practices in this field?

(time: 15minutes)

➤ *Social inclusion in the cities:* working in 'city groups', participants are invited to share their ideas about the meaning of social inclusion or social exclusion drawing on their knowledge of their local city situations. They prepare posters illustrating these ideas structured around the following questions relating to their city:

- What are the key elements of social inclusion/exclusion?
- How have you been involved in social inclusion programmes?
- What are the most important lessons learned?
- Describe some positive experiences/good practices to enhance social inclusion.

(time: approx 45 minutes)

➤ *Sharing learning:* participants circulate round the room for presentation of the posters, followed by discussion;

- Where do we have consensus?
- What can we learn from within the team?
- What further knowledge is needed from outside the team?
- Are there good practices which can be replicated?

(time: approx 45 mins)

Learning points

From sharing ideas on social inclusion the main learning points were;

- *Invisibility of social exclusion* - it is often difficult to find out who the marginalised and excluded groups are. Sometimes disadvantaged groups are very visible, but others are hidden and it is therefore necessary to be part of the context, or closely interact with those who belong to it, to find out. Once the groups are identified, targeted efforts and actions have to be taken. Conflict and resistance to social inclusion might arise.
- *Time* - is needed to understand the local social context and to develop sensitive *approaches*, especially where there is potential for conflict. Time is needed to build changes, including changes in attitudes and ingrained beliefs, which can be difficult to modify.
- *Local context*: a contextual analysis is needed in order to understand the causes and character of social exclusion in the local context. This should be done by listening to and involving local people and adapting solutions to fit. It is a mix of political/cultural/technical aspects.
- *Linkages*: Social inclusion is not just a matter of representation, but it also means being able to take decisions that affect “me and my people”. Social inclusion needs to *come* from two directions: people to raise voices/people to listen; excluded groups should be brought together with decision-makers and linked to stakeholders.

Areas and experience which participants felt could be provided from within the team were;

- Socially differentiated design and survey skills
- Participatory assessment, planning processes and implementation, moving from survey to action research
- Documentation and sharing lessons on what worked, what didn't and why, and how obstacles were overcome
- Social impact assessment

Other important skills and approaches required include;

- Integrated approach (technical, political, institutional, socio-economic and cultural) in order to develop solutions that address all aspects.
- Make link to pro poor financing work (SWITCH work package 6.4)
- Understanding of the governmental viewpoint and approach
- Experience in actual implementation
- Social policy for water supply
- Experiences in overcoming challenges, particularly cultural and religious barriers.
- New, innovative means for involving marginalised groups and stakeholders
- Incentive mechanisms for all stakeholders to enhance social inclusion; and promote community animation

Good practices which can be replicated include;

- Include social inclusion from the beginning of integrated water management planning processes.
- The use of participatory processes and participatory planning to encourage social inclusion. Listen to the poor and believe in their capacity.
- Allow time for local people to identify their own representatives, and that they represent the excluded.
- Develop contacts and understanding with community leaders; find ambassadors and opinion leaders.
- Explore ways to facilitate communication between marginalised groups and other stakeholders, not just meetings. Flexibility and creativity is needed to support people participation. Involve schools and community groups, using creative methods such as songs, photo exhibition, theatre, sport, food etc.
- Participatory budgeting and resource allocation processes, Give priority to marginalised groups for services
- Adapt incentive structure to encourage more socially inclusive programme work
- Participatory process documentation

2.2. Conceptualising social inclusion

Rationale: Following exploration of participant's knowledge and experience of social inclusion, this session aims to provide a brief overview of the theoretical basis and origins of the concept of social inclusion and exclusion. This grounding will enable participants to use the concepts in analyzing the processes of social exclusion at work in their own cities and help in the identification and planning of strategies to respond to it where it occurs.

Learning objective: for participants to understand the conceptual underpinnings of social inclusion and poverty and experiences from elsewhere in the world and to apply these concepts through reflection on experience in their own cities.

Methods

➤ *Concept of social inclusion* - a powerpoint presentation and discussion.

- Definitions of the concepts of social exclusion together with an overview of their theoretical basis and origins
- Multi-dimensionality of social exclusion and underlying processes and institutions and how it relates to poverty
- Dimensions of exclusion and the different kinds of disadvantage that people can face
- Social capital and social exclusion

(time: 45 minutes)

Materials presented on Social Exclusion

1) Definitions

A number of definitions of social exclusion are available:

Social Exclusion is what can happen when –
“Areas suffer from a combination of linked problems such as unemployment, poor skills, low incomes, poor housing, high crime, bad health and family breakdown” (UK Social exclusion unit, 1998)

‘the process through which individuals and groups are wholly or partially excluded from full participation in the society in which they live’ (European Foundation Definition, 1995)

Complete social exclusion = *‘the final culmination of a series of specific exclusions from basic rights’* (EU Economic and Social Committee, 1998)

Definition of Social Exclusion:

‘A process by which certain groups are systematically disadvantaged because they are discriminated against on the basis of their ethnicity, race, religion, sexual orientation, caste, descent, gender, age, disability, HIV status, migrant status, or where they live. Discrimination occurs in public institutions, such as the legal system or education and health services, as well as social institutions like the

2) Origins:

- It emerged in the 1970s in France. (Rene Leclair, 1974, ‘Les Exclus: un Francais sur dix’)
- It became popular in 1980s with economic crisis and restructuring, plus the crisis of the welfare state
- It spread in Europe, promoted by EU. Uptake in UK under New Labour (new social policies emerging, beyond the welfare state)
- Becoming more commonplace in international development
- Debated term, different interpretations around world – partly depends on ideological position regarding the role of the state

3) Elements

2 main defining characteristics (de Haan, 1999)

- Multi-dimensionality - People can suffer from multiple, overlapping disadvantage and be excluded from different things simultaneously; e.g. as employment, earnings, livelihood opportunities, property, housing, minimum consumption levels, education, the welfare state, citizenship, personal contacts and respect (Silver, 1994). The different types of social exclusion can interact and reinforce each other, in particular, *gender discrimination* often articulates with these other forms of discrimination
- The processes, institutions and social relations underlying deprivation (economic, cultural, political).
 - Group formation is a fundamental characteristic of human society, and this can mean exclusion of others. Forms of social exclusion are specific to a particular society, place and time and social relationships. Examples of exclusion by different groups are:

- Landlords exclude people from access to land or housing
- Elite political groups exclude others from legal rights
- Priests in India may exclude scheduled castes from temples
- Minorities may be excluded from expressing their identity
- Labour markets (and some trade unions) may exclude people (non members) from jobs.
- Institutional rules and norms through which people access resources are subject to change
 - In Kumasi region, Ghana, chiefs have the traditional power and responsibility to allocate land for members of their community. In response to the emergence of a lucrative urban land market, some chiefs were selling land, sometimes without consulting women who were cultivating it.
- Disadvantages are often inter-related: it is important to explore the overlap and the most important drivers in each specific context:
 - in some places labour market participation
 - elsewhere ethnic or religious identity

4) Poverty and social inclusion

- Poverty analyses often count the poor and examine the ‘correlates’ of poverty status (e.g. education, labour market status, gender, location) rather than the processes leading to exclusion from access.
- Social exclusion is a bridge between the concept of poverty (which focuses on absolute levels of deprivation) and inequality (focuses on distributional issues)
 - There is increasing agreement on the meaning of social exclusion as the notion of poverty broadens beyond income poverty
 - Notions of vulnerability (and later livelihoods) emerge – not just relating to low income or consumption, but to insecurity, defencelessness, exposure to risks, shocks, and people’s own perceptions
 - The notion of ‘entitlements’ emphasises not just possession of goods, but RIGHTS – the command families have over goods, using political, economic and social opportunities
- Social exclusion is not the same as, but overlaps with poverty. Poverty is often a contributing factor to social marginalisation and socially excluded groups may become impoverished as a result of discrimination and lack of access to opportunities. Increasing social inclusion may be a precondition for poverty alleviation, not a secondary factor.

‘You can be poor without facing cultural devaluation and you can be discriminated against without being poor’

5) Dimensions of exclusion

- Multi-dimensional nature of exclusion. People can be excluded from different things simultaneously;
 - *Economic exclusion* – from labour markets, credit and other types of asset.
 - *Social and cultural exclusion* – discrimination along different dimensions (gender, ethnicity, age – which reduces opportunity to gain access to social services and participate in the labour market)
 - *Political exclusion* – exclusion from political communities, lack of citizenship status, denial of political rights (e.g. right to organise, personal security, rule of law, freedom of expression, equality of opportunity, etc)
- Social exclusion is a key cause of conflict when social groups feel unequal and suffer multiple disadvantages compared to others in society.

6) Different kinds of disadvantage

Four main dimensions of social exclusion are identified

- *What you have (economic deprivation)*.
Economic deprivation is traditionally measured by inequalities in income and health/education across the *hierarchy* of individuals or households in society (vertical inequality). Even if the economy grows, it is difficult for the socially excluded to escape poverty and this reduces the productive capacity/rate of poverty reduction of the whole society.
- *Who you are (discrimination because of identity)*: Who you are or who you are perceived to be can also be source of disadvantage. This might have little to do with what you earn or own.
 - Cultural devaluation: dominant sections of society view the identity and human status of a devalued group 'as being of lesser worth. The dominant group have beliefs, values, attitudes and behaviour which disparage, stigmatise, stereotype, make invisible, or discriminate. This may be justified by reference to religion, tradition or threat from the 'other' or the 'unknown'. It undermines the sense of self, social identity and capacity for self determined action of those defined in this way.
 - Group or identity based forms of disadvantage create horizontal inequality; some groups are unable to use their resources to move out of poverty because of additional discrimination faced, whereas others can, because they belong to the 'right' group.
 - The socially excluded may participate but on *unequal* terms. (e.g. labour markets exploit the powerlessness of excluded groups and reinforce disadvantage).
- *Where you live (spatial exclusion)*
 - Remoteness and isolation make it physically difficult for people to participate in national social, economic and political life.

Different kinds of disadvantage

- What you have (economic deprivation)
- Who you are (discrimination because of identity)
- Where you live (spatial exclusion)
- Time (temporary or persistence over time)

- Some urban environments or neighbourhoods are associated with sub-cultures of violence, criminality, drug dependence or squalor and thus become territorially excluded. People suffer from the social stigma or bad reputation of a specific neighbourhood which can make it harder to create social contacts or get a job. Migrants – internal and international - who are living 'in the wrong place', may lack access to welfare/public services.
- Such locations may have independent effects on social exclusion, but they are often linked to cultural devaluation and/ or economic impoverishment
- *Time* (dynamics of exclusion) – social exclusion can change or endure over time. It can be temporary (during a lifetime) or long-term, persisting over generations. Sudden changes e.g. changes to physical body from illness or accident or a transgression of social norms can lead to sudden exclusion from community/family.

7) Social capital and social exclusion:

- Social capital is determined by relationships with others - networks and connectedness, membership of groups, relationships of trust, reciprocity and exchange.
- Connectedness may operate through ties based on kinship and neighbourhood, ('bonding',) or through relationships, networks and information sharing across social groupings and communities ('bridging') or through 'linking' to engage with external agencies to draw on resources or influence policies.
- Trust and solidarity affects willingness to share ideas and innovations and to take joint action, e.g. community natural resource management, management of water sources, etc. beyond the level of the individual household.
- Social capital can give access to opportunities – jobs and resources; social relations are often important in gaining access to land and housing.
- Negative social capital, e.g., exclusive groups of the rich, powerful closed groups – secret or criminal.
- Social capital is a foundation for participation in governance and policy making
- Groups can be:
 - Open to all (e.g. political parties, social movements) or closed with different rules for determining membership (e.g. trade unions, cartels, professional associations). The ease of joining or leaving varies which has consequences for mobility of excluded groups.
 - Distinct and bounded groups share distinct cultural practices or way of life. Their group identity is often based on caste, ethnicity or religion.
 - Unbounded categories or groupings are defined by single shared characteristic (e.g. gender, disability, HIV-positive status). Members may have little in common except the discrimination they face.

Points from the discussion

On the use of the concept:

Some people may be uncomfortable with, or resist the use of the terms social inclusion and social exclusion if they interpret them as implying that there is

intentional discrimination in a specific context. However, while the concepts draw attention to the relationships between different social groups, it is not necessarily the case that there is conscious imposition of social exclusion.

On the relationship between social exclusion and social inclusion – social exclusion is the problem, while social inclusion is more about finding the solution and applying different strategies. Exclusion has more a negative connotation, whereas inclusion takes account of all the processes to overcome exclusion.

There are internationally agreed standards to define poverty; the idea of social inclusion/exclusion focuses on the agents, the actors, and how to influence decisions taken. This concept is more suitable for SWITCH, rather than the broader definitions.

Implications for action:

It is important to look carefully at the empirical evidence, beyond the simple ‘who is in’ and ‘who is out’. People can be excluded and included in different ways at different times. Analysis should focus on mechanisms of exclusion and encourage targeted action.

Sometimes people choose not to be included, others maybe included against their will. The terms of inclusion are important; women may not be excluded, but may experience integration on unequal terms.

Social Inclusion and participation - in urban water management there is a lot of talk about participation, mainly used in the narrow sense of consultation and participation in decision-making. In terms of social inclusion, participation is used in a much broader sense; therefore it is necessary to be careful with wording. Take the example of setting prices for water. One viewpoint is that what people are really interested in is the price (affordability) of water; they are not interested in participating in decision making about the price, but in ensuring that the price levels do not exclude them. Is it then worth it to put so much effort in making people participate given that the social costs of participation for poor people are quite considerable? Conversely it could be argued that only by “including” these people in consultations can we know how much they are able pay.

Therefore the focus should be on broader mechanisms to ensure the needs of marginalised groups are considered in decision-making processes, depending on the context. Participation in the context of social inclusion means giving voice to people on issues which they prioritise.

References and further reading:

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3. Social Inclusion in SWITCH cities

3.1. Understanding social inclusion in SWITCH cities

Rationale: To understand social exclusion in the specific city contexts, identifying issues and obstacles to their solution.

Learning objective: To identify factors that reinforce social exclusion in each of the cities and explore approaches that inhibit or enhance social inclusion.

Methods:

- Role play on the position of a poor woman in the city seeking access to services.
 - Form city-based groups and identify which work packages will be working in a particular city. Select one single issue (for instance urban agriculture) and discuss the issue briefly (maximum 10 minutes) to ensure that you all understand the issue.
 - Form couples within the city teams. Suppose that you are a poor woman (household head) with three children living in one of the poorest areas of the city and you want to participate in and benefit from the particular SWITCH demonstration projects.
 - Identify the factors that would hamper your participation and you benefiting (think in terms of what you have, who you are, where you are from, and time).
 - Write these factors on a card/poster
 - In plenary, each couple will present the outcomes of their discussions in any way they want (role play/poster/story).
 - Presentations are discussed in a plenary(time: approx 1 hour)

- *Mapping social inclusion in SWITCH cities* – working in SWITCH 'city groups', participants produce a poster analysing social exclusion within their own cities according to different types of disadvantage that residents may face. The teams identify disadvantaged groups and their main locations. The posters address the following questions;
 - What you have (economic deprivation)?
 - Who you are (discrimination because of identity)?
 - Where you live (spatial exclusion)?
 - Time

(time: approx 1 hour)

Learning points

In all three cities, the role play exercise identified similar difficulties, such as the excluded having little faith in institutions responsible for service provision, lack of money and time and self-confidence that hinders participation at meetings and lack of basic education.

‘Ensuring the participation of the most deprived can be difficult because powerlessness can undermine people’s self-confidence and aspirations and their ability to challenge exclusion’ (DFID, 2005;4)

The mapping of social inclusion in SWITCH cities produced the following results;

Social exclusion in Accra

In Accra, certain areas are so-called “Zongos”: they are populated mainly by migrants from the North. The population is very large and there is a considerable percentage of Muslims. Generally, basic infrastructures are missing.

People with very low income live side-by-side with some very rich people. Other areas are mainly occupied by natives. Infrastructure and access to services are generally missing. Sometimes the owner of the land decides to sell it and then people living there have to face the problem of getting an income.

These areas are formally recognised, but slums are, on the contrary, informal areas, i.e. Sodom and Gomorra which originally was assigned to some people to live there on a temporary basis, but the population has been steadily growing. Income levels are usually very low and access to services very poor.

Squatters are an additional group present in the city. They consist mainly of migrants or very poor people living in uncompleted buildings, without water and electricity. Time-wise, the situation is compounding and the population is increasing in all these areas. Politicians get involved, but usually do it in order to win electors` votes.

Social Exclusion in Alexandria

Alexandria is a fairly accessible city; its population consists of 4 million people during the winter time, but goes up to approximately 6 million in the summer. The industrial sector is very relevant (40% of the Egyptian industry is located in the city) and employs a large part of the population.

Access to services is generally not a problem. There are some peripheral areas that can be called slums where poor people are usually concentrated. These are established settlements where, in some cases, homeless people were allocated by the city and helped to build houses; this was not meant to be a permanent solution. Water supply is not a problem, whereas sanitation is (insufficient coverage). Plans are in place to cover the slums in next 2-3 years and provide sanitation to the whole area. Other services, like schools and hospitals, are accessible in the city also from the slums.

Close to the city there is a lake with islands, inhabited by fishermen. The lake is polluted by sewerage but a project is currently running for its rehabilitation. The people on the islands do not have access to services. (More background information is needed on this matter - through baseline studies). Some areas have been identified as having the potential for pilot projects.

The population is mostly a coherent community, with the presence of some ethnic groups. The arrival of "summer people" has impacts on the water supply, leading occasionally to some friction. The goal is to bring together people from these different areas; however, bringing them into the Learning Alliance might be challenging, because the level of education is very different. Organising a separate workshop targeting these people could be a better idea.

Social Exclusion in Lodz

On the surface, poverty in Lodz is not so visible. In reality, it is a big issue that derives mainly from alcohol addiction and the presence of people with low or no income. People generally classified as poor are the ones who receive welfare; income is not taken into account for the classification. Poverty in Lodz can be described as follows:

Economic deprivation –shown in a high unemployment rate, low/no income, inability to access welfare; uneven healthcare (poor people officially are entitled to it but very rarely use it, because they do not believe in getting healthy again - a reason for depression). There is a lot of corruption in the sector, and thus little belief. Difficult choices about how to spend money - among food, medicine or better hygienic conditions - impact on people's well being. In some enclaves the quality of housing is very poor and there is no sewerage. People tend to support one another in the community, rather than rely on programmes; there is a lack of belief also in them.

Time - the major roots of current problems go back to the 80-90s when there was a sudden loss of jobs and therefore confidence and income; parallel to a de-industrialisation process, many people were fired without guaranteeing them economic support. Poverty is usually long-term.

Who you are and where you live - the ethnicity factor plays a role, but is not a prevailing one. There are some stereotypes about particular neighbourhoods. This usually depends on the level of education, which in Lodz is mainly primary, so people are often marginalised. Lodz has many old people, many of whom live on their own and the welfare system is not sufficient for them. There are 17 enclaves and people who live on some streets are labelled in a certain way. In some enclaves, the high percentage of alcoholics corresponds to a high crime rate.

In discussing what difficulties people could face in accessing SWITCH and possible solutions, the following points were made:

Potential difficulties in accessing SWITCH	Possible solutions
ACCRA	
<ul style="list-style-type: none"> • Need to buy water from vendors • Tenants' are prevented from taking part in decision making and their voices are unheard • Lack of time • Basic education • Low social status for single mothers • Little or no money available • Water sources far away and with long queues • Ignorance about who is responsible for different water activities • Reluctance in attending meetings • General mistrust 	<ul style="list-style-type: none"> • Training • Empowerment • Financial support (transport, lunch) • Good facilitation • Creating an environment that allows people to contribute and gives them voice in decision making
ALEXANDRIA	
<ul style="list-style-type: none"> • Lack of time • Lack of transportation • Feeling of intimidation • Unwanted attention 	<ul style="list-style-type: none"> • Communicating possibilities at people's houses or community centre • Offering babysitting services • Ensuring good facilitation • Providing encouragement /empowerment • Identifying a local community leader who can represent them
LODZ	
<ul style="list-style-type: none"> • Mistrust about government and external organisations • Sense of powerlessness • Lack of a network • No existing culture of meeting and achieving results • Little money • Reluctance and fear of speaking up • Problems in filling out forms • Difficulties in attending meetings (children, time, money) • Pessimism (things will not change) 	<ul style="list-style-type: none"> • Support people filling out forms • Appropriate communication (switch has to advocate for itself) • Guarantee quick and immediate results are needed • Build feeling of trust/safety • Offer a network • Sensitise community workers/switch staff • Capacity development

3.2. Responding to social exclusion

Rationale: This session aims to clarify what are the existing work package priorities and plans for each city and to identify how well these plans respond to social exclusion as analyzed by participants. The session will also focus on the

identification of new activities that might be required to better tackle social exclusion and to mainstream it within SWITCH.

Learning objectives: To examine existing plans for work on social exclusion and compare these with identified social exclusion issues to analyze gaps, identify mainstreaming activities for social inclusion in SWITCH and specific strategies for tackling social exclusion in each city.

Methods:

- Exercise - consider these questions in city groups:
 - What are the current work package priorities and plans for each city? (arising from the original proposal, scoping studies, city stories, and outcomes of the visioning process).
 - What are the social inclusion issues relating to these priorities? Are there important social inclusion issues not covered in the plans?
 - Is social inclusion mainstreamed in current work package plans? What is the connection between 6.3 and the other work packages?
 - Present on a poster(s) showing relationships between work packages, priorities and plans.

(Time: 1 ¾ hours)

Learning points

Responding to social inclusion – linkages among 6.3 and other WPs

The following table show which work packages were reported as active in each city and the suggested ways of mainstreaming social inclusion throughout.

Work Package	Accra	Alexandria	Lodz
1. Urban Water Paradigm Shift. Sustainability Indicators	✓	Develop an integrated urban water management plan for Alexandria that is owned by key stakeholders and implemented. Ensure the consultation is effective and the plan includes socially inclusive measures	✓
2.2/2.3 Stormwater management			Affordability of technological household-based solutions; selection of locations for neighbourhood
5.1 Urban Waterscapes			Careful selection of locations; access to areas (fees, distance); creation of jobs related to planning and

			maintenance
5.2 Urban Agriculture	Find link with 6.3 (up to now there were some discussion on livelihood, but a clear link has to be found)		
5.3 Use of Natural Systems	Pollution is the main problem, aggravated by the lack of information /infrastructure and poverty. Videos could also be used. LA will have the task of coordinating all the activities and find links among them (this is especially relevant in the visioning exercise)		Defining socio-economic aspects of natural system use research and determining to what extent SI applies as an issue
6.2 Learning Alliances	The Learning Alliance is also relevant to find different ways of doing science effectively. Stakeholders should come from regulators, utilities, researchers, NGOs and consumers to facilitate implementation on social/policy level✓	Establish an effective partnership for knowledge sharing in urban water management in Alexandria and Egypt. Partnership: representatives of slums to be included in access to knowledge	Broadening scope of people involved: emphasize socio-economic implications and include stakeholders into the LA;
6.3 Social Inclusion	Bring together stakeholders on drinking water supply and find link with 5.2	✓	✓
Demonstration	An idea is to have the demo in Kphesie sub metro and then see how SI can be included in the demonstration activity	Develop a sustainable neighbourhood-scale integrated urban water management demonstration projects (including slum areas)to include mixed redevelopment and upgrading of slums	Ensure flexibility of the demo: readapt original plan to SI challenges

It was noted by the Alexandria team that going through the “right people” is crucial in bringing together key persons and relevant stakeholders. It is important to show them that there is interest in the issue and you are willing to listen to them and carry on their messages.

4. Strategies for social inclusion

4.1. Elements of a strategy for social inclusion

Rationale: Building on previous analyses of social exclusion issues within each city and existing plans for tackling social exclusion, this session aims to move forward the strategic planning in each city in relation to 6.3, by working through some of the key elements of a social inclusion strategy (information needed, partners, objectives etc)

Learning objective City groups to go through the steps of developing a strategy by discussing critical issues such as the information gaps on social exclusion (patterns and causes), the objectives of future activities, possible tactics and strategies, potential partners for research and action, some of the possible risks and constraints that could be foreseen, approaches to monitoring and evaluation of activities, how realistic planned activities are in view of available resources, communication issues internally and externally to raise visibility of social exclusion priorities.

Methods

Powerpoint presentation of some ideas about strategy development with exercise. City teams are asked to consider the following questions and draft possible strategies to implement a SI plan, presenting the findings on a poster.

Some key questions:

1. Is there sufficient understanding of causes and patterns of social inclusion?
2. Do you need further social analysis. What do you already have information on and what is missing? (especially who)
3. What are the preliminary objectives of social inclusion work? Who has formulated these so far, and in the future?
4. What are the main entry points, opportunities, and approaches?
5. Who should we work with? Partners?
6. What are the main constraints to tackling social exclusion? Risks
7. Who monitors and judges success?
8. Resources and timescale?
9. How are the SI issues and objectives going to be shared with the learning alliance? What is the communication strategy?

(Time: 1 ½ hours)

Guidance on strategy development

- Principles to follow – partnership, territoriality, integration, participation
- Adapt principles to specific situation and build into a strategy for specific action
- Begin with a diagnosis looking at the context, specific conditions of social exclusion, and the will to take action
- Involve different stakeholders in development of a clear strategy so they can endorse and join the partnership
- When applied to address social exclusion at the local level, strategy becomes defined as the *‘ability of groups affected by social exclusion to undertake and carry out with other stakeholders, actions to tackle the problem in a specific territorial location and time frame’*. (ILO STEP programme)

Accra - Elements of a strategy for social inclusion

1. There is still insufficient understanding about social inclusion.
2. More info on indigenous people is needed (this group is usually left out). Information could be obtained from social mapping and poverty profiles from the districts
3. Preliminary objectives: to build on a previous work on drinking water supply (accessible, affordable, sustainable). Water-Aid is trying to pilot some initiatives, thus some information could be obtained from that source. The objective is to include marginalised urban agriculturists in city planning and implementation processes through the Learning Alliance.
4. Entry points and partners could be: Aqua Vitens; Coniwas (already working on the issue); RUAF. The plans are to have smaller platforms for ensuring drinking water supply to the urban poor. A way of linking with other WPs has to be found. The approach to follow is to first find out who the vulnerable people are, select some, enter the community, explore what the situation is and then act upon these findings.

Alexandria - Elements of a strategy for Social Inclusion

1. In the city there is sufficient understanding of social inclusion.
2. More information is needed on the nature of exclusion: who, where, priorities, resources, needs, NGOs, CBOs, who is already doing what there (e.g. how many fishermen are still unserved?). Causes and patterns are already known.
3. All sectors of the society receive sufficient services, especially vulnerable people. Marginalised groups' voices are heard in terms of improved WASH services under IUWM. The SWITCH team is consulting with political and implementing stakeholders to set objectives. The aim is to bring together households with LA and other city stakeholders and seek cooperation with city organisations. Some engagements already exist (water and sanitation companies, city planners, CBOs/NGOs, champions).
4. Entry point: 3 project reports with opportunities/approaches: task to study reports and prepare baseline on IUWM.
5. The Learning Alliance will be the main partner.
6. The risk is that officials will say there is no exclusion, there are already plans and no help is needed to fix something that is not seen as a burning problem. A solution could be to speak to their current plans: how to include poor and unserved in tariff-setting for upgrading on services.
7. Results will be presented to LA and to officials by resource person (LA facilitator).
8. 1-2 months, resources are already there.

Lodz - Elements of a strategy for Social Inclusion

1. There is still insufficient understanding for time being, especially of causes and patterns;.
2. Further info needed on "who".
3. There are no preliminary objectives defined. The LA facilitator is now thinking about the possibility of linking a case study on the area to redevelopment work, but it has to be discussed with the rest of the team and other stakeholders.
4. The entry points could be: University of Lodz (Sociology department); development of a case study/research; Sharing the case study with LA and decision-makers.
Opportunities: Interest building; deepen understanding of the social dimension opportunity to research implementation. Approaches: Case study; Households interviews (personal stories); Process documentation (photography before/after)
5. Potential partners are the University (Sociology department); city departments (infrastructure, social dept, housing, welfare); relevant LA stakeholders
6. Constraints include a missing or superficial understanding of SI & not seen as a priority.
7. Monitoring entities could be specific people at the university and IRC and the LA members.
8. Resources and timescale: the development of the case study will require approx. 50 days.

Background Reading: ILO Step Programme Paper – ‘Strategies and Tools Against Social Exclusion and Poverty. Programme Strategy’. January 2003.

5. Tools for exploring social exclusion in urban areas.

5.1. Participatory research and action approaches and tools

Rationale: This session aims to explore participants’ experience of and interest in participatory research and action and explore the toolbox that can be drawn upon as required. The session aims to look at tools, but more importantly to review some of the key principles underpinning such approaches (e.g. reversing expert-learner roles, respect for indigenous and local knowledge, visual communication etc). Since many participatory approaches and tools emerged from rural contexts, it is also useful to explore some of the differences that are to be found in urban contexts in using these tools and in conducting research and planning action.

(note that it is only possible within one session to provide an introduction to some of the tools and why they are useful)

Learning objectives: To introduce participatory approaches, principles and tools and to explore participants’ experiences of using them. To explore the specific issues arising in urban research.

Methods

- Exercise on participatory tools used or known:
 - Individuals were asked to write down the participatory tools they have used or are known to them on cards and place on posters. These cards are then grouped and participants ask each other for explanation of the ones they are interested in and may not have heard of.
 - Individuals or pairs then discuss some of the do’s and don’ts in carrying out such tools – as a way of highlighting some of the principles underpinning participatory approaches – and write these on cards. The cards are then placed on the posters next to the specific tool that they relate to or on one side on another poster if they are generic.
 - The whole group again discuss the cards that have emerged and then discuss how such tools might need to be used differently in urban areas and issues that might limit their use in urban situations.

The questions guiding each section of the exercise are:

- Which tools do you have experience with?
- Do’s and Don’t’s
- Specific issues in applying tools in urban research?

(Time 1 ¼ hr)

- Powerpoint presentation on participatory research methods.

Learning points

Participatory tools used or known: The exercise generated a long list of tools and comments on their application in an urban context and for exploring social inclusion.

- 100 seeds
- Rating scales
- Pocket voting
- 24 hour clock
- Journals/diaries
- Drama
- Story with a gap
- Life histories
- Scoring of mini scenarios in Focus Group Discussion settings: don't mix scenarios with alternative solutions, avoid redundancy, use sensitivity analysis, clearly identify the objective of the analysis and types of decisions to be made
- Participatory monitoring: identify indicators
- Wealth ranking: informants must know community well
- Interviews/surveys/questionnaires: avoid leading questions; don't waste time, don't assume you know the answers
- Transect walks: don't arrive unannounced, ensure local representative is present, be aware of local perceptions (about project, 'outsiders', etc)
- Participatory mapping: include women
- Role plays: avoid putting people in embarrassing situations
- Wearing other people's hats: encourage people to wear different hats including one from an opposite role to that of their 'normal' hat (e.g. manager/project staff; services provider/end user)
- Focus group discussions: assure representation; divide groups by gender, age...; Think about who comes to the focus group, encourage participation of everyone in focus group discussion
- Video/photography: never take pictures without permission

General recommendations for research on Social Inclusion were to:

- Not waste too much of people's time
- Disaggregate data by gender/class/ethnicity or other relevant diversity indicators significant to local patterns of exclusion
- Choose appropriate timing for people's participation
- Prepare well
- Pre-test
- Feedback in interesting and accessible ways
- Go through local leaders & (in)formal institutions
- Create space for people to openly talk

Materials from the powerpoint presentation

Develop a menu of methods

- Find and *critically* review secondary data as it can mislead. It can show information gaps and guide where to start.
- Observe directly: (see for yourself), try to avoid personal biases
- Seek local 'experts' on local realities, needs and priorities: outsiders often assume they don't exist (e.g. in conflict management)
- Case studies, stories: e.g. household histories and profiles, coping in a crisis etc.
- Participatory learning methods used in combination.

Examples of participatory methods for exploring social exclusion:

Group discussions: are often neglected because of the common focus on individual questionnaire-based interviews, but they can be a powerful tool for reflection, shared learning and action planning. They can be casual or random; representative or structured for diversity; community; neighbourhood or a specific social group.

Do-it-Yourself: participate in the daily activities of the group or community and develop more 'insider' knowledge, especially of hidden social exclusion.

Mapping and modelling: people's mapping, drawing or colouring on the ground, with sticks, stones etc. to make social, health or demographic maps (of a residential area), resource maps, topic maps (e.g. water points, environmental conditions etc), service or opportunity maps, three dimensional models. These can be combined with household listing, wellbeing ranking, transects and linkage diagrams.

Social Mapping – a form of participatory mapping which identifies different social and spatial areas of a town or community, linked with different social groups.

Participatory analysis of secondary sources : (e.g. aerial photos, to identify residence patterns; existing reports and data)

Transect walks: systematically walk through an area, observing, asking, listening, discussing, learning about different zones, local and introduced technologies, seeking problems, solutions, opportunities, and mapping resources

Timelines and trend and change analysis: chronologies of events, listing major local events with approximate dates; peoples' accounts of the past, of how customs, practices and things have changed; diagrams of ecological histories, land use change, migration, etc and causes of trends and changes with estimation of relative magnitude.

Gender analysis – explores the different roles and responsibilities, access to and control of assets of men and women. Involves a range of tools, for example, calendars, asset analysis, preference ranking.

Seasonal calendars - Distributions of income, expenditure, labour, migration etc.

Daily time use – to show the allocation of time within the day. Useful to differentiate roles and work patterns of men and women and different age groups.

Institutional or venn diagramming – for identifying important organisations, individuals/groups and the closeness/distance of their *interrelationships*.

Linkage diagrams - Flows or connections or causality (e.g. social contacts, migration, impacts of interventions, trends)

Well-being grouping or wealth ranking - grouping or ranking households re local criteria, including poorest and worst off. This can identify households in different social categories for detailed discussion on livelihoods and coping strategies.

Matrix scoring and ranking: to compare options and preferences through scoring e.g. different methods of soil and water conservation, varieties of crop,

Shared presentation and analysis: sharing of maps, models and diagrams by local people especially at community meetings and debated. Sometimes with outsiders input – important to analyse who speaks and who controls.

Contrast comparisons: Asking group a to analyse group b and visa versa (e.g. asking men to analyse how women spend their time).

Network analysis – maps interlinkages between individuals and groups. Can cross urban – rural linkages.

Adapting tools for urban use

There is a wide range of participatory tools for social analysis, but they need adaptation for urban use. Not all stakeholder participatory approaches are sufficiently exclusion aware, e.g. gender sensitive etc

- Social diversity and mobility in urban areas may limit techniques dependent on community knowledge, e.g. wealth ranking.
- *Sampling*: high density population, high mobility and less established social relations makes sampling of respondents complicated. Population census is often unavailable and/or outdated.
- Sensitivities (illegal activities) may make direct questioning difficult. *participant observation* is an alternative. Exploring social exclusion often challenges local culture where power relationships and stratification have created inequality.
- Defining the *household* can be complex in urban areas – because of the dynamic and complex character of urban households.
 - often multi-locational with household members in different places in different seasons; households divided across rural and urban locations; reciprocity and remittances
 - multiple occupancy of houses. In high density areas several households may live in one house or plot.
 - Sharing of space, but not necessarily joint economic decision making. Spatial separation of household members, but economic and social support.
 - Changes in gender roles with urbanisation and female wage employment
- *Building trust*: time needed to build trust for more detailed exploration of livelihood activities.
- *Focus group discussions* – may be difficult to mobilise if there are no local organisations. Socially excluded are not usually members of established groups. Neighbourhood approaches possible.
- *Case studies*: can generate a wealth of detailed information in a short period, but not necessarily representative of a larger population.
- *Semi structured interviews*- is a flexible method.
- A large scale *questionnaire survey*: requires a lot of human resources, funds and time.

- *Access*: Interviews carried out in urban areas during weekdays risk the bias of overrepresentation of unemployed or home-based workers, and excluding the fully employed
- *Understanding diversity* in urban livelihood strategies. The sustainable livelihoods framework facilitates thinking about the different dimensions of livelihoods and the interrelationships between them.
- Use of *visual tools*, e.g. photographs to stimulate discussion or to explore local perceptions of urban development. Mapping and diagrams.
- Complementary *qualitative and quantitative* methods needed.
- Engage assistance of experienced social scientists in a multi-disciplinary team. Participatory and listening skills are essential.

There is an important distinction between using tools and methods as a pragmatic means of gathering information or as part of an empowering approach to actively involve people in decision making that affects their lives and strengths their ability to communicate. A participatory action and learning approach rather than more mechanistic, passive approaches to participation is more likely to be useful in tackling social exclusion.

All participatory tools can be distorted, manipulated or used in exploitative ways if not linked to an awareness of power relationships. There should be respect and value for people's existing knowledge and experience. However, this does not mean accepting people's opinions or prejudices without challenge.

Facilitation skills are extremely important in participatory action research. They ideally should be from a similar background as participants, share their identity and status, be respected and respectful, aware of and interested in power issues, open to new ideas etc...

Background Reading: ActionAid Resource Manual on Communication and Power – REFLECT

6. Planning for social inclusion Action Research

Rationale: The concept of social exclusion has come to prominence because it focuses attention on the multi-dimensional nature of deprivation and of the processes and social relations that cause it. Understanding these dynamics and the trajectories of change in urban areas requires a flexible approach to research – one that will enable not only description of deprivation and poverty, but of the processes driving social exclusion.

Learning Points: Understanding of the different types of study and the use of qualitative and quantitative methods. Develop preliminary plans for baseline studies and situational analysis.

Methods

- Powerpoint presentations on different research approaches and options and the Qualitative Information System (QIS).
- Exercise to develop the objectives for situational analysis, baseline studies and action research in each city. City Teams assess their current knowledge about the situation regarding Social Inclusion in their city.
 - Map current knowledge within and from outside SWITCH and from available literature on social inclusion/exclusion in the cities.
 - What gaps are there to fill? What are the priorities?
 - How and who will fill these gaps
 - How will this link with other parts of SWITCH?

(time:1 ½ hrs)

Materials from powerpoint presentations

Types of poverty oriented research

- Situation analysis – to understand processes in context, avoiding pre-conceived notions,
- Needs assessment - explores needs of a community, usually in a specific sector
- Feasibility study – to assess whether a specific intervention is likely to reach a specific goal – in terms of stakeholder resources, skills etc.
- Baseline Study - To develop a set of indicators from which to monitor change after an intervention or policy-change. Often quantitative in nature and often focused on specific outcomes.
- Monitoring, evaluation, impact assessment -During and after intervention to track and assess change
- Pilot project - To test an intervention on a small scale
- Policy research - How decisions are made and implemented, exploring links between specific policy and outcomes..
- Organisational research - Exploring norms, processes and organisational culture

Basics of a Qualitative Information System (QIS):

QIS is a flexible system to capture and manage qualitative information which can be tailored to suit local conditions and needs and yet generates uniform and comparable qualitative information that can link assessment and action for project management and communities. Translating qualitative information into numbers can help use stakeholder perceptions effectively in overall project management. It can help communities and project field staff have an effective voice in improving implementation

Features of a QIS:

- Measures qualitative issues often missed in usual management information and M&E data collection
- Uses standard PRA tools for community assessment

- Converts qualitative information into different kinds of numbers (ordinal scores, percentages, indexes) reliably
- Collects qualitative information to explain scores
- Stores information using an existing/off-the-shelf computer database programme
- Enables communities to generate and manage information for action planning
- Facilitates adaptive management and action planning, through stakeholder meetings and action planning reports, right along the project management cycle
- Generates data that can be combined with MIS and GIS

Main Areas of Enquiry:

Implementation & Operations, Gender, Poverty & Community Perception, Behaviour Changes (e.g. hygiene), Nature of User's Participation, Sustainability of Systems, Institutional Sustainability, Policy & Strategy Environment

The Purpose of using Numbers:

- Can represent large amounts of (qualitative) data on a single spreadsheet (instead of large numbers of printed pages!)
- Can integrate qualitative data with other kind of quantitative data (financial, physical, etc.)
- Can compare performance over time and space

Different Types Of Numbers:

Can use several kinds of numbers to collect qualitative information: e.g. categories – Yes = 1, No = 0, etc., Cardinal numbers – percentages, index numbers and Ordinal numbers – scores representing an ordering (with descriptive categories to explain the scores)

Qualitative Information Appraisal: 12 Steps

- 1 Forming assessment teams
- 2 Training the assessment teams
- 3 Selecting the sample of villages/communities
- 4 Deciding the issues to be assessed
- 5 Determining indicators and tools to be used
- 6 Developing the QPA formats (scoring options)
- 7 Pre-testing and finalising the formats
- Steps 1-7 14 days approx*
- 8 Carrying out the assessment *1-2 days/settlement approx.*
- 9 Entering and checking the data (validation) *1 day/settlement approx.*
- 10 Analysing the data *10 days approx.*
- 11 Presenting in stakeholder meetings and discussing results & action *2 days approx.*
- 12 Writing an action planning report for further and corrective action *3 days approx*

Learning points and discussion

- The type of research chosen depends on the reason behind it, and on the ambitions of the research team and what we want to achieve.
- Most people are familiar with all the mentioned types of research. Additional options arising from participants' own experiences include: in-depth studies (usually longer than situation analysis), literature reviews, livelihood analysis, academic research, field experiments, participatory adaptive research. However, it is challenging to decide what method to choose, for someone not very familiar with them
- Action research could be seen as the overarching concept including all the activities; then, selected according to level of ambition are Situation Analysis to help identify gaps, and then research will focus on filling those gaps. Needs assessment can use SWOT analysis as a tool.
- However, it remains important to understand how the research translates into people, rather than numbers.
- QIS system: could be used as an option when trying to cooperate with other WP in terms of social inclusion and to keep track of progress achieved
- Institutional arrangements should also be analysed, because they influence social inclusion. This could be a link with WP 6.1. on governance.
- It is difficult to link context-specific research with other cities. However, some overarching elements can be found.

The city teams output on mapping current knowledge, gap filling and linkages were completed for Accra, Alexandria and Lodz.

Accra identified sources of information outside SWITCH on access to water supply in a poor neighbourhood in Kumasi and policies on drinking water, sanitation and social policies. There are other projects involved with water issues with whom SWITCH can link. (water for African cities/ Aqua Vitens Rand/ WaterAid PURC/Coniwas + WaterAid/IRC) and other literature sources on Social mapping ISODEC and PRPS. There is a need to confirm who are the socially excluded and where they are.

The next steps identified by Alexandria were situation analysis: at city scale (also providing input to the IUWM plan on social inclusion issues) and assessment of current knowledge and literature review including CEDARE reports on the EC-project "Watershed Basin Management in Alexandria"; the SMAP-project on "Environmental Management of Lake Maryut"; the World Bank socio-economic reports on "Alexandria as a Growth Pole" project; Basic Urban Services Project on low cost sanitation (UN Habitat); NGO reports (e.g. Friends of the Earth, Egyptian Water Partnership NGOs and individual members); and information from Water Supply and Sanitation Companies activities on service coverage and its relation to socio-economic parameters. They will summarize main findings on social inclusion in a report and plan baseline studies on social exclusion/inclusion in the demo project sites. Social inclusion work will link to the learning alliance in Alexandria to share work on social inclusion and promote awareness and uptake within city institutions. Priority is given to the identification of a person who will be in charge of these tasks and become the social inclusion research leader.

In Lodz, there are plans for a stakeholders meeting and questionnaire and collection of documents/ data that stakeholders already have (from service providers, municipality, university/institute of sociology, sample household, interviews plus personal stories, NGOs, society, investors, SWITCH WPs) and other

7. Case study from Belo Horizonte

Rationale: To provide case study example of citizen's participation

Learning objective: To share experience of Belo Horizonte with urban and environmental policies based upon citizens' participation, and participatory budgeting in particular

Method: A powerpoint presentation (via Skype) gave a brief overview of the experience of Belo Horizonte with urban and environmental policies based upon citizens' participation, and participatory budgeting in particular.

Materials presented

The presentation covered

- the path Brazil took towards the establishment of policy-making and budgeting processes based upon citizen's participation
- the reform process, the legislation changes and their outcomes including adoption of environmental goals and participation and social inclusion as general strategies
- the slum upgrading and property 'regularisation' process, noting the political strength of homeless and housing social movements and the creation of a popular housing policy.
- the participatory budgeting mechanism for urban infrastructure financing and development: how the mechanism works, arising problems and mitigating solutions developed.
- Strengths and weaknesses of the participatory budgeting in Brazil. It changed urban landscape of informal areas/slums, reduced social and spatial inequality of resources distribution. But there is a risk of excessive regulation and bureaucracy and increasing resource demands.

Group discussion following the presentation:-

- *How does awareness raising for different issues work? Are different current issues around priorities for various services introduced in the agenda and if so by whom?* - Maintenance is a problem, it is difficult to convince people to vote for maintenance. Sometimes you vote for a project that requires a lot of work to accomplish it and money does not cover it. People know it will be difficult to vote for that project again. They use participatory budget mechanism as argument to obtain financing: they go to funders and say "Look what we have started with that money, now we can't finish it and risk losing it all: can you finance it?"
- *What were the main unforeseen challenges that came up?* One main challenges is the continuity of a project and that although it is a very successful process, the attitude is that, since poor areas already have the

participatory budget, there may be little political will or motivation to fight for resources somewhere else. Again, people frequently only see the immediate problems affecting them, so for instance ongoing operations and maintenance costs don't get attention.

A final major risk of the participatory budgeting process is that the tool can be captured and subverted. This is an issue to keep in mind and be aware of when working on SI.

8. Action plans and expectations

Rationale: To plan and develop a vision of the next steps in developing social inclusion activities.

Learning objective: to produce action plans for the short term and a vision of 'success' for the longer term.

Methods

- City groups and IRC write on flash cards the activities and time frame for follow up until the second Social Inclusion Training Workshop.
- They then considered how they would expect the situation to change in their city after the SWITCH project has ended and presented through role play, noting comments on cards on the following:
 - How is SI 'done' in the role play?
 - What did Social Inclusion mean within the SWITCH project activities in that city?
 - What was the impact of the SI approach?

In plenary, participants and facilitators share their action plans and results of the role play, clustering the cards according to the main emerging themes of the workshop.

Learning points

How it's done:

- understand local situation (e.g. gender, exclusion, age, ethnicity)
- through participation
- advocacy & information sharing
- voice / listening
- integration of work package 6.3 within the project in other work packages
- facilitation

What does Social Inclusion mean within the SWITCH project?

- integration of work package 6.3 within the project in other work packages
- learning & sharing within the project

Impact/Results

- improved network and interaction with other wp's
- capacity development
- actual results & keeping promises

- application of tools – these are integrated
- Other benefits / services beyond water
- Intrinsic benefits:
 - Feeling important
 - Part of society, included
 - Joy
 - Empowerment
 - Confidence
 - Respect
 - Elimination of fear
 - Ownership

Integration emerged as the common thread of the course:

- integration of needs and priorities of excluded groups into urban water management processes
- integration of Social Inclusion in other SWITCH Work Packages

9. Introduction to the methodology for the city baseline studies.

The following sections were included in the second training workshop held in Accra. The main objective was to detail a methodology for the baseline study on social inclusion and to get some hands-on experience; to discuss and agree upon the case studies on good practices in the field of social inclusion; to plan for the coming 6 months of social inclusion work.

Rationale: Recap of the first training on social inclusion, including the re-visiting of the concept of social inclusion.

Learning objective: to remind participants of the concept of social inclusion, and the range of approaches to exploring it in the city context.

Method – power point presentations summarising previous training material

Learning points.

There is an issue of who is to decide who excluded groups are; their nature represents another difficulty, since they usually have no resources/time/capacity to organise themselves. How do you define criteria of exclusion?

Often excluded people are invisible, so it's even more difficult to find them.

It is crucial to start a capacity building process as soon as possible to make sure people know how to work on SI, also to inviting people beyond the SWITCH partners.

First it is necessary to harmonise within the team, and only then reach out to other people.

A common feeling was the importance of getting WP leaders and engineers to follow on the results/outcomes of WP6, to better carry out their research.

10. Framework for baseline study

Rationale: Familiarisation with the nature and purpose of baseline studies.

Learning objective: to introduce baseline studies.

Method – Power point presentations and discussion

Materials presented

Why do we need baseline information?

- Baselines make it possible to assess change by establishing the initial conditions against which subsequent comparisons are made.
- They help set levels for indicators against which change is measured and help to refine the project at start up.

Baselines help to give us a clear idea of the situation at the beginning of a project/work; it serves for monitoring purposes and to better understand changes happening.

Baseline data collection:

- Needs to be timely, collected at the beginning, not well into implementation.
- Information collected should relate to the objectives and the different intended participating groups – what is it that we expect to change and for whom? How will this change come about (theory of change)
- Make optimal use of existing documentation (including validation study)
- Comparisons to assess change – these can be:
 - Before and after; changes over time in project area.
 - With and without intervention (different locations)
 - With and without participation (groups working with/not working with the project).

If we only compare “before and after”, this doesn’t really tell us whether the results have been a consequence of the activity, if we do it only in one area. A solution is to instead compare “with or without intervention”: the downside is that in this case we ask people to put work in something and then get nothing back, because at the end we will not work in that area. Another parameter is “with and without participation”.

The baseline should be done before we really start engaging; it is important to know what we expect and for whom, even before designing the baseline. How do we think the change will come about?

Need to consider:

- What data (technical, social and institutional, environmental, economic etc.) is required to provide evidence of each indicator (quantitative and qualitative)?
- What are the main comparisons to assess outcomes and impacts of project activities and outputs? (before/after; with/without)?
- What is the scope and coverage of data collection
- What are the methods of data collection?

- What and where are the sources of data? (e.g. literature, government statistics, surveys and special studies, reports on processes, records of meetings etc.)
- What is the time scale and start date for data collection?
- Can data be obtained at reasonable cost and effort and with existing capacity?
- Who is responsible and who participates?
- Who will use the information?

Different levels of analysis:

Social inclusion in decision making processes.

- The primary SWITCH entry point are the Learning Alliances.
 - a) Representation of excluded groups during visioning workshop, communication, process documentation
 - b) Communication with Accra Learning Alliance.
 - Process documentation

Social inclusion at the ground level

- Situational analysis and baseline study. The situational analysis has to be related to IUWM, to get a basic picture of what's happening in SWITCH cities
 - a) Identify socially excluded groups (or areas) and map mechanisms of social exclusion.
 - b) Identify good practices for social inclusion.
 - c) Demonstrate social inclusion through demo project – link with existing interventions.
 - d) Communicate findings, experiences, etc. with city Learning Alliances.

The baseline study has two parts:

- Situation analysis – creating an understanding of ground realities of IUWM.
- Baseline study – in depth understanding of social exclusion in one or two selected locations in the city.
 - The entire IUWM cycle in that location will be studied.
 - The baseline study will be participatory in nature.
 - The baseline study needs to be linked to SWITCH demonstration project.

11. Integrated Urban Water Management and livelihoods

Materials presented

Exploring IUWM social inclusion and urban livelihoods

- There are different aspects of IUWM which we need to include in the baseline studies (physical and infrastructural; social, governance and institutions; knowledge, representation, power etc.)

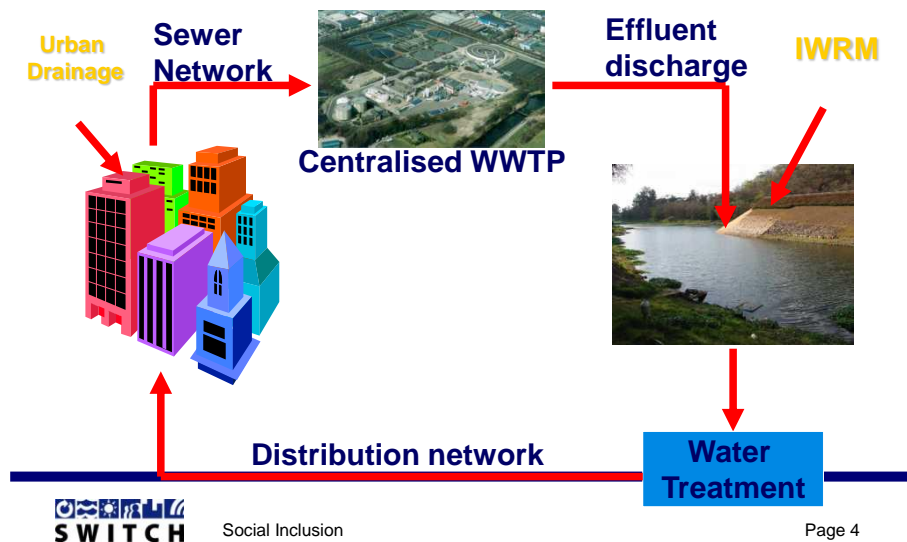
- The livelihoods framework – a people centred, conceptual framework, can help thinking about the different aspects of IUWM and their relationship to social exclusion in an interconnected way

Integrated Urban Water Management

What is IUWM?

- Water Supply & Sanitation Services
- Public Health
- Urban Drainage
- Water for Industries
- Water for tourism
- Water to support the catchment ecosystem

The Conventional Municipal Water Cycle



Integrated urban water management

- Provide good services to people and industries, improve public health in a sustainable manner
- Technical solutions
- Institutional arrangements
- Governance

Aspects:

- Eco sanitation, urban agriculture, natural systems, decentralised treatment, waste water reuse, etc.

What are good services?

MDG - sanitation

- Access to adequate sanitation facilities is the percentage of the population using 'improved' sanitation.

- connection to a public sewer; connection to a septic system; pour-flush latrine; simple pit latrine; ventilated improved pit latrine. Unimproved facilities are described as: public or shared latrine; open pit latrine; and bucket latrines. In practice, the distinction between the “improved” simple pit latrine and the “unimproved” open pit latrine remains somewhat contentious.

MDG – water supply

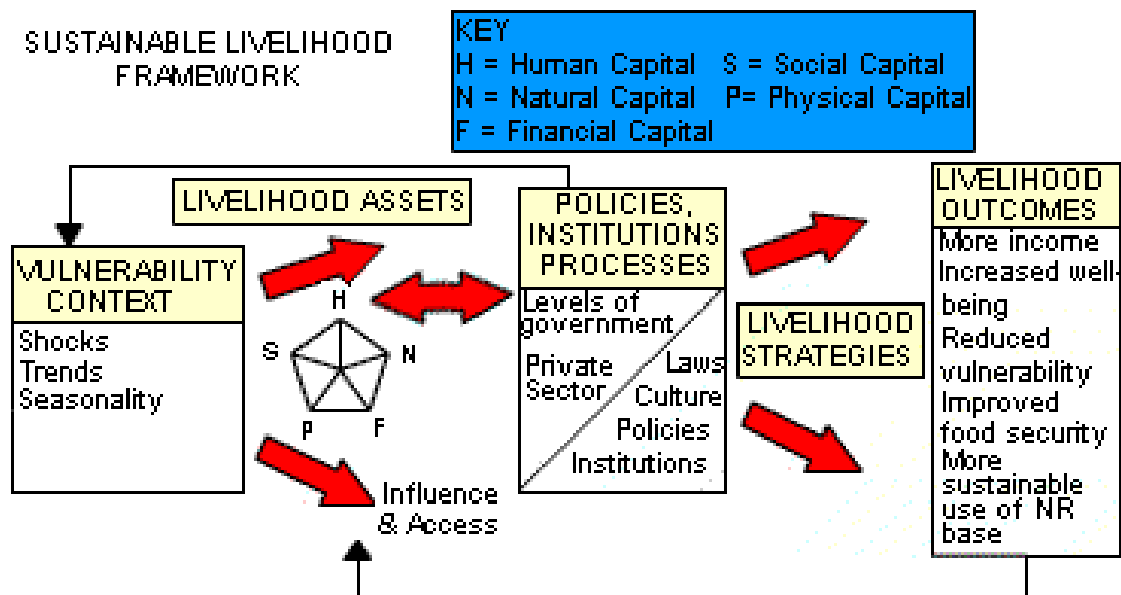
- Access to safe drinking-water is the percentage of the population using "improved" water sources.
- Access is defined as: the availability of 20 litres per capita per day at a distance no longer than 1,000 metres .
- Improved sources: household connection, public standpipe, borehole, protected dug well, protected spring, rainwater collection

Issues discussed

- The management of water along the complete water cycle must be done in an integrated way, with the involvement of different stakeholders and with particular attention to transparency, communication and coordination
- Urban water is made of different components: water supply and sanitation, public health, water for tourism.
- The conventional municipal water cycle is about providing good water to everybody, which is used in different ways and is returns into the water system; this system was conceived 150 years ago, when there were fewer people and is now not sustainable. There are different possible ways of making this more efficient.
- IUWM wants to provide good services to people in a sustainable manner. It's about technical solutions, but also institutional arrangements and governance.
- What does good services mean? It has to do with different things, among which water supply and sanitation. It cannot be based on, for example, the number of constructed latrines, since in some countries these are not used as such but as storage. People have to be convinced to use latrines (some arguments are that it is safer for women, it enhances the social status, allows privacy, improves health..). Health reasons alone don't usually sell. The idea of improved latrines is to break the contamination cycle (touching faeces directly, flies, faeces straight in eco-system..).

Livelihood definitions:

- A livelihood comprises the capabilities, assets and activities required for a means of living
- It is more than just income or occupation
- A livelihood is sustainable when it can cope with and recover from shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base



Core principles of Livelihood approaches

People centred participatory and responsive

Linking local, regional, global levels (micro-macro policy influencing)

Holistic and dynamic

Conducted in partnership

Building on strengths. Starting with positives (what people have) and opportunities (what they can make of this).

Sustainable

Encourages cross-sectoral and interdisciplinary thinking needed for understanding complex systems

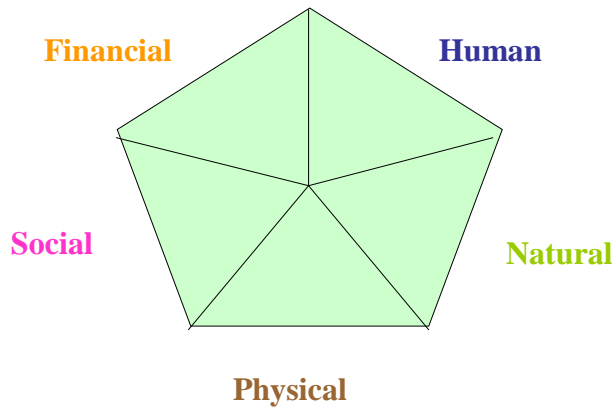
Looks at interactions among the different livelihood components

Looks at different patterns of access, control and decision making over assets (gender, age and wealth). Highlights the multi-faceted nature of poverty

Helps in thinking about impact and change in people's lives (livelihood outcomes) particularly of the poor and vulnerable

LIVELIHOOD ASSETS – are the resources which people combine and use in their livelihood strategies

LIVELIHOOD ASSETS PENTAGON- showing resources which people use in their livelihood strategies



CAPITAL ASSETS

What people have and can use to survive and make a living.

HUMAN - Skills, knowledge, ability to work, health status - necessary to make use of any other types of capital.

SOCIAL - Social resources determined by relationships with others. Networks and connectedness, membership of groups, relationships of trust, reciprocity and exchange. Based on kinship and neighbourhood or broader across social groups and communities. Can be positive or negative.

FINANCIAL - Sources of income. Availability of cash, savings, credit, regular remittances.

NATURAL - Quantity and quality of the natural resource base available to people - land, forests, water, aquatic resources, biodiversity, air quality etc.

PHYSICAL - Basic infrastructure, tools and equipment, transport, shelter, water supply and sanitation, energy and communications.

Vulnerability

What makes people vulnerable?

External factors influence levels of assets and how assets can be used.

- Trends
- Shocks
- Seasonality

Policies, institutions and processes

- Institutions, organisations (gov., NGO, CBO, private sector) policies and legislation influence people's access to assets and their livelihood options.
- Processes include cultural practices, power relations and belief systems.
- Changes in policies & institutions can help to create assets and affect livelihoods eg. Policies on water resources, environment, legislation on tenure, land use, markets, employment and enterprise development.
- The two way influence between assets and policies can affect trends and the impact of shocks and seasonality.

Livelihood strategies

- Livelihood Strategies - how people combine and use assets to make a living
- Diversity of strategies between individuals and households, different social groups, & regions.
- Range of livelihood choices are more restricted for the "asset" poor. It is important to understand the range of constraints to achieving livelihood objectives of the poor.
- Choice of livelihood strategies affected by culture and beliefs e.g. appropriateness according to gender, age, status.
- The livelihoods approach - seeks to develop an understanding of the factors behind people's choice of livelihood strategy, to reinforce the positive aspects and to alleviate the constraints or negative influences..

Livelihoods outcomes

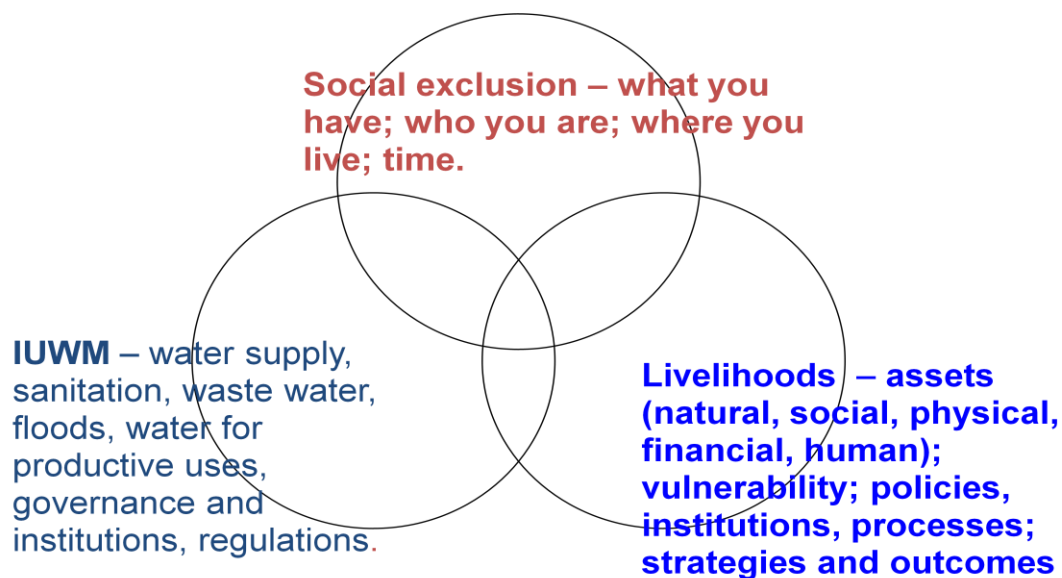
- are the results of livelihood strategies & their effects on the different dimensions of poverty e.g. wellbeing, vulnerability, food security, income, sustainable natural resource use, other outcomes.
- Trade offs between immediate livelihood gains and longer term disbenefits? Particularly environmental impacts. Important to explore people's livelihood goals and preferred outcomes
- Are benefits to one group at the expense of another?

The livelihoods approach encourages a broad understanding to better contextualise *specific* interventions

IT DOES NOT MEAN YOU TRY AND FOCUS ON EVERYTHING!

- Make a realistic argument with evidence grounded in knowledge of the area. Use the validation exercise.
- Explain how the project outputs will fit with and enhance the livelihoods of different groups of people – e.g., men, women, youth, traders, etc.

Interrelationship of social exclusion with IUWM and livelihoods issues



Contribution to livelihoods:

Using the dimensions of social exclusion and the concepts in the livelihoods framework, discuss what SWITCH will contribute to changing the livelihoods of the socially excluded.

1. **VULNERABILITY** - At your sites, what are the sources of vulnerability? How will the project contribute to reducing vulnerability for the socially excluded?
2. How will **ACCESS TO ASSETS** (natural, human, social, physical, financial) by different groups of the socially excluded be affected by the project results?
3. How will the project contribute to expanding choices in **LIVELIHOOD STRATEGIES** and improving livelihood **OUTCOMES** for the socially excluded?

Discussion

There are different aspects we need to cover, such as clusters around IUWM cycle and institutions. The livelihoods framework can help think about the different aspects of IUWM and the relationship to SI. When talking about livelihoods we are not only talking about income or occupation, but in a much broader sense.

There is a strong interrelationship of social exclusion with IUWM and livelihoods issues: if we take all these elements we will have a more complete picture on the social inclusion issue in the area.

SI and livelihoods can be seen as spotlights shining on IUWM and actual access to water and sanitation.

HOW TO:

Finding socially excluded people	Where is the Cut-off part? Who is excluded?	How to deal with attitudes such as "I don't want to be involved".	How to overcome legal barriers and traditions?
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Minimum quality of services	Research methodology: making assumptions and reasons for choices explicit; room for adjustment or learning?	Make <u>explicit</u> your reasons for selecting areas for study. What is your expectation or "theory" of change that be brought about through SWITCH?	What don't we know (yet)? Who might help us find out?
For scaling up/uptake: clear description of situation/context helps understand; How is this area different of representative for others?	Social exclusion happens in most societies and at all kind of levels at various degrees → so what we could work on is how to mitigate extreme forms of social exclusion (in IUWM context)	How to overcome legal barriers/ traditions?	

LINKING WITH CITY STAKEHOLDERS

Baseline study also focus on current awareness buy-in and practices in the city UWM	Fieldwork: can we involve higher level UWM decision makers or planners?	Potential to involve higher Accra stakeholders in this workshop? (e.g this institute?)
Methods/tools also for awareness + advocacy	Tools to increase awareness? Starting learning alliances, use case studies photos/visual results of other projects, role play, audio brainstorm	Influence of informal institutional arrangements on social inclusion
The reasons for the "invisibility" of Social Exclusion? "international" and "non-international"		

MECHANISM OF SOCIAL IN/EXCLUSION

Social mobilization of communities	Landlords - tenants	Traditional governance structures effectiveness	Strong bonding
Social networks "opinion leaders"	Migrants - indigenous groups	Govt devt policy (Privatization)	Social inclusion <u>in</u> research areas

IUWM

Governance & social	Institutional	Physical sanitation, water drainage, etc
Exclusion from decision making	Demolition of houses	Exclusion from what? → decision making on

		participation issue (in this case IUWM)
Social in/exclusion Differences have, are, live, time supplies, floods, policies	← IUWM →	Livelihoods assets, vulnerabilities, policies, Institutions, strategies, outcomes

12. *Situational analysis of Accra*

The situation in Accra was presented, giving some figures on the main issues. Water supply, drainage, solid waste and flooding are among the main concerns related to UWM. There are relevant differences among social classes.

Up to now, there has been no interaction with the local people. Usually the available literature is on people living in the Zongos, because of the assumption that indigenous people living in the urban area are served. There are many problems that keep people trapped in their situation and it is difficult to change these processes. There is certainly a need for social inclusion activities.

Larbi adds that structures are not very effective or articulated, and therefore people have problems in speaking up.

Social exclusion is not only not having access or losing a job, it is more than that, it has to do with being socially connected; SI is related to good governance.

13. *Defining research questions for a baseline study*

Methods – powerpoint presentation and discussion in working groups

- Working in groups, define the issues where change is intended in the situation of the socially excluded. These should cover the multi dimensional aspects of SI and livelihoods and link social inclusion to IUWM.
- Working as city groups, further explore the issues identified and turn them into **questions** for the baseline study.
 - Use WHO, HOW, WHY, WHAT, WHERE, WHEN?
 - The sequence of inquiry is important – move from the broad to specific; contextual to focused.
 - Address different tiers of analysis
 - Understand dynamics – not just snap shot of current livelihoods. History and change.

The research questions should be developed combining elements from SI, livelihoods and IUWM: what do we want to know about IUWM and SI and why, in the cities?

Material from presentation

Research questions on social inclusion

- Research questions are the starting point for baseline design. Combining elements below.
 - Social exclusion – what you have; who you are; where you live; time.
 - Livelihoods - assets (natural, social, physical, financial, human); vulnerability; policies, institutions, processes; strategies and outcomes
 - IUWM – water supply, sanitation, waste water, floods, water for productive uses etc., governance and institutions, regulations

Focus and coverage

- Social inclusion of disadvantaged urban communities
- Social inclusion of disadvantaged clusters/ categories/individuals within urban communities and urban households. Inter and intra household differences and inequalities
- Social inclusion in services (passive)
- Social inclusion through information and consultation
- Social inclusion through participation in planning (active influence)

What do we want to know about IUWM and social inclusion and why?

Physical and Natural assets (What)

- Access and ownership of housing and land
- Type of housing
- Access to water related assets (drinking water, sewerage, water storage, toilet facilities, groundwater etc.) Include existing water related practices – rainwater collection, waste water use etc.
- Access to water for enterprises – industrial, craft, livestock and crops. Disposal of wastes from enterprises
- Access to other services – rubbish disposal.
- Roads, transport, power, media (radio/TV)

Who, when	where,
--------------	--------

Human assets (what)

- Population size and growth.
- Household types and size. Density of inhabitation
- Education levels
- Knowledge on water safety issues?
- Health conditions
- Skills and employment
- Access to information

Who, when	where,
--------------	--------

Financial (what)

- Incomes

Who, when, what	where,
--------------------	--------

- Current payment and ability to pay for services
- Access to credit. Levels of debt

Social (who)

Who, where,
when, what

- Local leadership
- Social networks, membership of CBOs, kinship and cultural associations, youth, women groups, religious groups etc.
- Occupational groups, ethnic groups, migrants etc.
- 'Bridging' social capital – projects, NGOs active, links outside.

Vulnerability

- Perceptions of vulnerability and causes.

Policies, institutions, processes

- Legal status and entitlements
- Planning processes
- Existing by-laws and enforcement
- Contact with decision makers, feedback
- Mechanisms of representation and consultation with communities.

Learning points

1. Issues

Group 1

Using the livelihoods assets

Social inclusion in / exclusion from

Who, What, Where, When?

What does it mean in terms of?

Define: governance Define: institutions

IUWM processes: typical governance institutions

Social inclusion/exclusion in/from IUWM was analysed. The main question is: what is the link between the SI characteristics and IUWM? To answer we can use the livelihoods assets and link it to the questions "why/when/where/what". The next step is for us to define clear questions and to understand what it means in practical terms.

Group 2

The group started from the assumption that SI will be addressed in Teshie community. What IUWM sub-sectors are relevant there? Some were identified (access, sanitation, environment). Then it is necessary to find out what has been done there already, and get these data or contact the key persons.

It is important to know at what level it is better to work (community, smaller groups) and understand if and how Teshie is different from other parts of Accra; only afterwards, move towards the who and develop a sort of profile.

To understand how people feel, the researchers can come up with a random sample based on the initial profile and then crosscheck the outcomes/impression with some focus group/discussion in community. Make that realistic and feasible is crucial.

Group 2

<u>Teshie community</u> ±12.000 old indigenous fishermen
1. Which UWM topics are relevant?
2. A. access water B. Sanitation C. Hazards D. Environment E. external influences
4. General idea of Teshie: homogenous? - what was done? - data? - key resource persons? Address "assets" list
5. Teshie different from other parts of Accra? In what way?
6. Who: profiles?
7. Random representative sample?
8. Questionnaire/structured interviews - address IUWM issues Who details list?
9. Cross check impressions in focus group discussion
10. Major exercise! -> be realistic in design of baseline study

Group 3

The questions the group focused on were:

- Physical assets: how are they distributed?
- Infrastructure: who provides it, what quality is it?
- What are the inter/intra-relationships within households units, if are there any?
Are there problems, are there groups really excluded?

The group then looked then at the history and background of service provision and went through different assets, trying to formulate questions. In some cases the link to water was direct, in some others more mediated.

Group 3.

(Social) Infrastructure Water, Sanitation and drainage Productive use Provision? Distribution? Quality?
Intra & inter relationship with "Compound House" "Invisible" Social Exclusion
Distribution of HH Asset (radio, tv, phone etc), Wealth & Communication
History and background of service provision Changing Access over time
Land ownership & Access & Use change over time distribution
Housing X'tics materials walls, roof - wealth distribution
Bank A/C, Susu Groups, Employment - daily, regular
Health & Awareness
Educational level, skills and employment
Old men Old women Young men Young women

The research questions we want to develop are around the issues of UWM but allow us to explore the dimension of SI within that.

The baseline study should cover the whole thing and link with other WPs,

An interesting point raised by the Accra group is that of legal/illegal exclusion: for example, people are excluded from flooding protection because they are living in an area illegally: are they to be considered excluded? Some people might not be aware that those are flood plains. On the other side, for many poor that is the only option they can afford, where other people don't want or can't live.

2. Developing questions

Lodz

Physical assets	Human assets	Social capital	Financial assets	Vulnerability
→ ownership of houses → responsibility for maintenance → space/state of house	→ level of education → single parent households/ size of households →addictions in households	→ attitude towards outsiders → social cohesion within community → social status (perception by others judgement)	→ source of income/how many people + source → level of income → distribution of expenses	Who? → Why? → Duration of unemployed/ How long have you been ill?
Shared assets (physical)- municipal networks (water,sewerage-storm water drainage		→familiarity with institutional set-up → social networks within community	Savings/debts	Risks → social rejection → crime → loss of income /home
<u>Sanitation</u> → availability of water in/or near latrine → cleanliness → maintenance (municipal) - privacy - access to: how many share		→social networks between community & rest of city		
<u>Water</u> - costs; time, energy, finance - functional; quality, quantity - access				
<u>Storm water</u> - what kind of systems? - are there problems with floods? Stagnant water, mud				

Governance	Institutions
Any mechanism through which they (could) participate in decision making	→ Who provides services? water, housing, sanitation, school, unemployment office → Links with public(complaint offices, application offices, telephone numbers, etc
Did people file a complaint and what is their experience	→ openness/attitude → Who are the most vulnerable/ poorest groups

Alexandria

<p>Headline questions: Differentiate: who, what, when. Patterns/change over time</p>	<p>* What is the extent of social cohesiveness and conflict → examples & potential for collective action</p>	<p>*What is the use of water by enterprises → (including disposal)</p>
<p>* What have been the main changes in livelihoods over the last x years → in assets, in institutions, policies; and affecting from whom?</p>	<p>* What is the relationship between community & service providers (Orgs, individuals, gov, private) who, what, when - sewage, water, rubbish, health, costs; Influence of community? Who? - Perception of levels of services; demand and ability& willingness to pay, communication & integration</p>	
<p>* What is the composition of households/hh clusters and their social links within & outside → bonding/bridging social capital</p>	<p>* What are the structures of governance * What community groups → From neighbourhood to governorate level, formal and informal, incl. women, youth, religion groups; Extent of involvement in planning processes?</p>	
<p>* What are the current patterns of access and use of assets → physical, natural, water related, access by different categories; - toilets, sewage, water, drains - housing conditions/type - land ownership & use fishing rights</p>	<p>*What are visions & strategies for the future → by different social groups</p>	
<p>* What are the sources of vulnerability → natural hazards, planning decisions (environmental, industrial, etc)</p>	<p>*What are channels of access (formal & informal) to information & communication → IN - OUT</p>	
<p>* What is awareness of water -health linkages <u>and</u> water related behaviors</p>	<p>*Composition, distribution & levels of finance & income → remittances, employment savings, etc.</p>	

Accra

<u>ISSUES</u>	<u>WHO</u>	<u>WHAT</u>	<u>WHERE</u>	<u>WHEN</u>	<u>Vulnerability</u>	<u>ASSETS(Physical, Human)</u>	<u>Policies programs</u>
Access to water	Who? Demographic	Type Sources → Quantity	Rain Streams rivers lagoon? Sea water Distance Reliability. Quality	Time? How does the issue of access change over time? Time → Availability → Time spent		Financial Remittance to buy polytanks Social capital → Relations with neighbours → networks, clubs → resident association	Privatisation
Access to Sanitation	Who has demographic access	→ Type of sanitation facility → shared/individual	Where do people have access to facilities or otherwise Location: areas without sewers	When? Evening? Seasons?	Technology (suitability for kids, elderly disability) Exposure to PH diseases	Social capital → networks → access to facilities from neighbours Communal Arrangements/Activities Employment - regular - irregular Invisible Social Exclusion	Policy - does it include or exclude

<u>ISSUE</u>	<u>WHERE</u>	<u>ASSETS(Physical, Human)</u>	<u>Policies programs</u>
Flooding Storm water management	Location – areas with no drainage, low-lying areas	Communication Awareness Information - exclusion due to the fact that they don't know something	Legal/non-legal exclusion Involvement in decision making Politics of land issues Investigate → Inst. Frag & Coord → HSD, DUR, AMA

<u>ISSUES</u>	<u>WHO</u>	<u>Vulnerability</u>	<u>ASSETS(Physical, Human)</u>
Urban agriculture	Who are involved in UA?	Change in Land use Public Health risk Ejection Salt water intrusion	Access to credit Presence of opinion leaders in community Associations, Societies, Cooperatives, networks Land ownership/ Time Land tenure Access to land - changing with time? men/women/migrants Full time/ part time Educational background → skills Household assets
Solid Waste Management/ Liquid Waste Management			

14. Planning for Social inclusion field research

Methods

- Powerpoint presentation
- Group work according to field trip to Teshie or to urban farmers' area.

Materials presented

- Team formation and roles
- Introduction to community
- Sequence of tools and time frame
- Transport and equipment
- Reporting back

- Team formation and roles
 - facilitate discussion
 - Note taking
 - Observing process
 - Translation?
 - Data storage
 -
- RESPECT FOR EACH OTHERS ROLES
- RESPECT AND ENCOURAGE PARTICIPATION OF DIFFERENT GROUPS AND INDIVIDUALS IN COMMUNITY
- LISTEN and OBSERVE!
- WHAT ARE THE HIDDEN MESSAGES?

When planning around SI it is important to start by building up a rapport with the people we work with, who might have been disappointed before, and we could thus touch upon sensitive issues. After that, we can start understanding what is happening and then plan with the people concerned and assess what kind of support we can provide. The monitoring is necessary to see if we need to change direction; it is important also to document throughout the whole process. The intervention could be anything, from something physical to capacity building. The baseline study is a part of developing the understanding.

- Introduction and explanation
 - Personal introductions all round
 - Context and reasons for visit
 - What we would like to do (with whom, what, where, how much time required).
 - Fit with their timetable
 - How information will be used
 - Questions

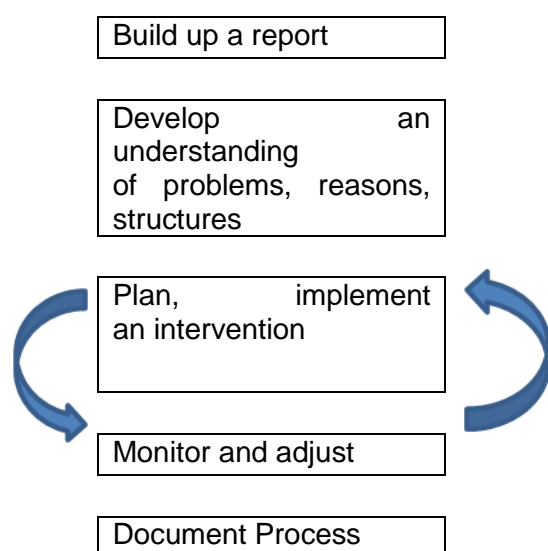
- Sequence of tools
 - Make arrangements for different tasks with different groups/places. Agree time allocation
 - Move from the general to specific, e.g. broad introductions with leaders, to more specific discussions with selected groups (keep social exclusion factors in mind) in selected locations.
- Transport and equipment
 - Who is going where, vehicle, times, distances etc
 - Maps
 - Flip charts, pens etc.
 - Camera (but no pictures without permission)
 - REFRESHMENTS?
 - Provision of transport for participants?.....
- Reporting back
 - Analysis and reporting in team. Challenges of combining data from multiple sources and to present data to illuminate social inclusion issues – disaggregation important
 - Share findings and prepare presentation of content
 - Use diagrams, text and table formats.
 - Feedback on PROCESS – what worked and what did not.
 - Reporting back to community?
- Data storage
 - Responsibility for managing flip charts, notes, summaries etc.

Discussion

As we want integration into the urban water cycle and we want to scale up, so we need to get LAs involved. SWITCH aims is to replicate, therefore the LA's engagement is key, so that the cities can continue on their own beyond the SWITCH project. The idea was that after the workshop in Accra and the development of the plans for the baseline study, there would be a city workshop to talk to LA members and further detail the baseline study. After that, the baseline study will be implemented and in parallel, small case studies will be written. The outputs will be presented in the third workshop. The baseline study should then be an input for the demo-projects and we should make sure that during their implementation marginalised people are listened to.

Field work: When going to the field, it is very important not to raise false expectations and to be able to offer something back, because people are using their free time to talk to us. It's important to introduce the team properly, explain the context and reasons for the visit, what we would like to do and how the information will be used; this all has to fit with their timetable. Respecting each other roles, listening and observing, encourage everybody's participation are other important aspects of field work. It is key to say from the beginning that we are interested in different people's

experiences in group, including women. In this case, the broader objectives of LA and IUWM should also be presented. Communication is two-ways, they can ask us questions as well



Plans for UA Field Trip – tools to explore issues identified Teshie Group

<u>Water</u>			<u>Transect walk</u>	Costs quality	Reliability	<u>Team roles</u>	<u>Issues</u>
	Other than household - schools - industry - hospitals	Who is using ?	*water sources *availability				Changes over time
			Productive use/small industry				Were people listening ? What was the result?
<u>Sanitation</u>			sanitation facilities *type *private/public				Major differences within community in levels of services
			Solid waste issue				
			Storage, sewerage, drainage				
			*availability soap + water * costs				
<u>Bathing facilities</u>			Facilities, who, what, costs				

Urban Agriculture Group

ISSUES

TOOLS

*Rights & access to water - within the group (issues/conflicts) in relation to upstream seasonal variation; EPA, GWCL (Ghana Water Company)- standpipe, borehole, willingness to pay		① Transect walk	② Focus group discussion <u>intro</u>
*Right & access to land - volta river auth (vra) - accra metrop auth (ama) - distribution of land among group members issues(/conflicts)	*Relations with city authority – AMA - Policy + decision making - issues(/conflicts)		③ Timeline
*Interaction ↔ group with Dzorwulu - solid waste - perception - issues(/conflicts)		④ Venn Diagramm	⑤ Activity tool ♂ / ♀
*Characteristics of the group - Origin - age - gender - religion - history + dev. Of the group	*Functions of association - organisational structure - services to members - objectives - membership, changes in membership /problem solving conflict		⑥ FG continue Other issues
*Other occupations (of members & within their households)	*Livelihoods strategies & investment decisions		
*Access to information - technologies/innovation - marketing - seeds - NGOs → training	*Value chain - marketing - relations ppl marketing & farmers		⑦ Closure and Thanks
*Vulnerability - floods failed crops - attitudes - market price	*Credit		

15. Field trip and evaluation

Rationale

Learning objectives

Methodology

The group was split into two for the field visits: one group went to Teshie and the other one to see an urban farmers' group.

Learning points

Findings from the urban farmers' group:

- Cooperative of vegetable farmers
- Formed: 2001
- Members: 26, 23 men 3 women
- Consists of chairman, secretary, vice chair, treasurer, 2 executive members (one woman) and members
- Registered with cooperative society of Ghana
- Entrance membership fee: 20,000 Cedis
- Monthly payment: 10,000 Cedis
- 6 months probation
- Waiting list: 10 people

Conditions of membership:

- Farmers from locality, 3-5km radius
 - Regular at meetings
 - Regular with payment
-
- They did not see fees as barrier to entry by the poor; if someone cannot pay one month, they would pay the following one.
 - Members support each other in time of bereavement, marriage, birth.
 - Initiative to combine with adjacent agriculture group for greater influence, with support of agricultural extension, but an agreement could not be reached.
 - Contributions used for buying spray machines. The money is in a bank account
 - Price of crops is the same whether irrigated from drain/stream or from the tap.
 - Rate paid for tap water is commercial, bit "informal" adjustment with people who come to read the meter.

Important organisational relationships:

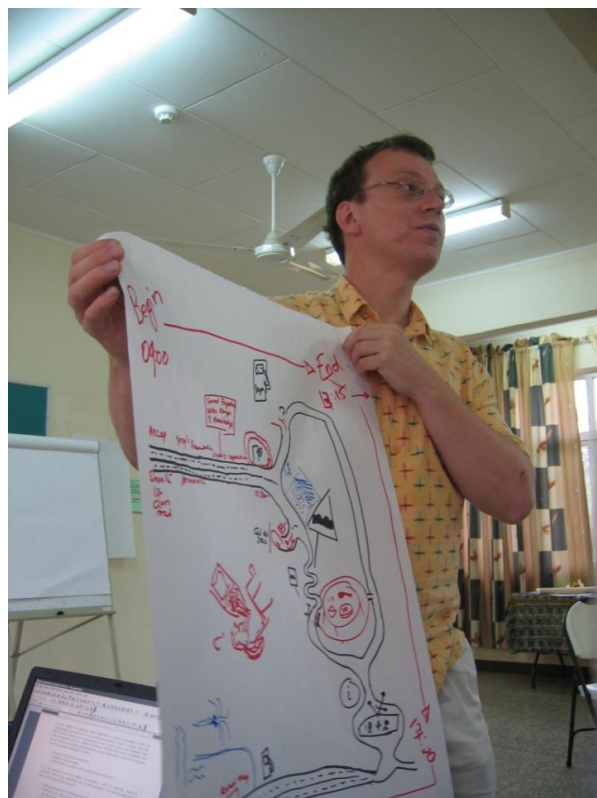
1. MoFA
 2. IWMI
 3. Department of cooperatives
 4. University of Ghana
- No relations with: VRA, GWCL, EPA, AMA

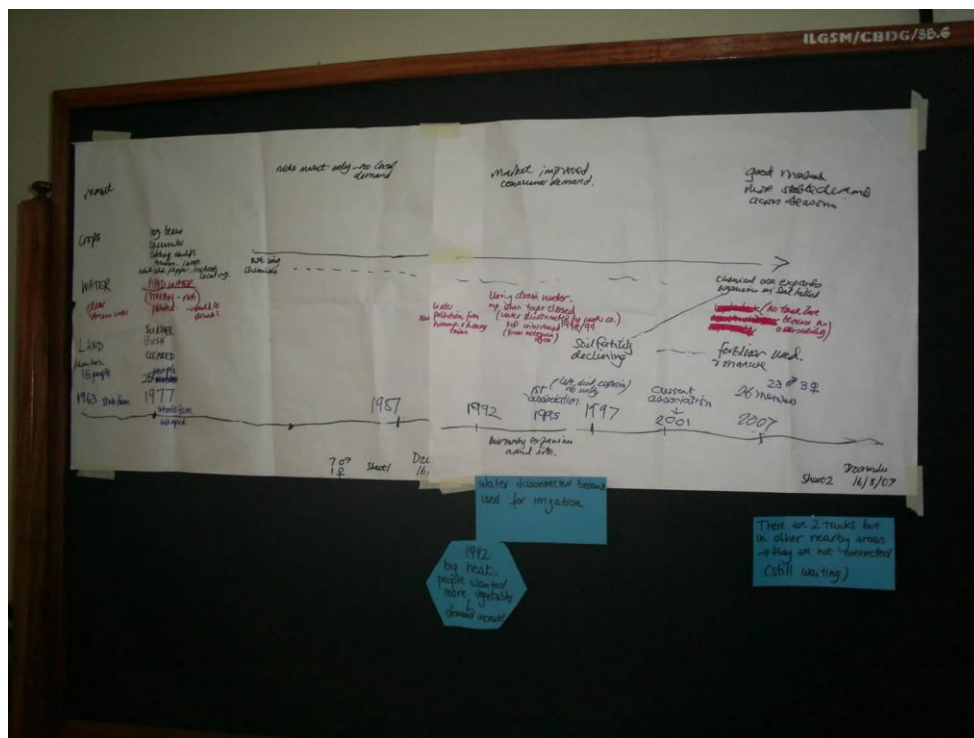
Future visions:

- "Feed myself and my family, income for hospital bills, build a house"
- "To work to look after my children so they will be employed and look after me"
- Expand area in new district

Comments on use of the tools:

<u>FGD</u>	<u>Transect walk</u>	<u>Quotes</u>
"Cold" focus group discussion very difficult	Was good!	"The schools in Teshie are more than the schools in Ghana"
FGD- difficult/impossible - spontaneous fgd not possible FGD needs preparation (trust!) and timing adjusted to their preference	Even without questioning excellent informative/impression tool Splitting up in smaller groups is useful Physical inspection/observation important ~ well for storage tank	"We want money not help"

Transect walk – urban farmers' group**Time line diagram – urban farmer's group**



Findings from Teshie:

Water for livelihood	Water
<p>① Hot Bar (local restaurant) → spends C30.000/3 GHC on water → sometimes > 50% of profit</p> <p>② Sale of water → buys 1.500 gallon @ 300.000 → sells on bucket for 1,500 → one trip lasts for at least 2 days → also offers free bathhouse services</p> <p>③ Fishmongers (smoking of fish) - fetch water from the sea</p>	<p>Supply by tanker trucks: - takes 3-4 days to come - not reliable - supply to tanks and concrete tanks</p> <p><u>Location on hill</u> → water from piped system does not reach</p> <p>Exception: less densely populated areas with higher educated people → sometimes piped water</p> <p>Old pipe city water supply does not work anymore</p> <p>Officially (management contract?) water company has to provide water service to Teshie → future?</p> <p>Water distribution network/system more or less the same throughout Teshie</p>

Water for livelihood	Water
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<p>④ Public bathhouse → sells water @ 1000 per bucket → free bathhouse service</p> <p>⑤ Food vendors - gari and beans - kenky - pancake - tea + bread and eggs</p> <p>Gari and beans → 5 buckets a day @ C 1000 per bucket; average profit = C 10.000</p> <p>⑥ Block making → use 3 buckets for 1 bag → 1 bucket = C 1.200</p>	<p>Sources: → sea water: bathing → (poly)tanks → sachet water</p> <p>Household storage → buckets → jerrycan/gallons → small drums</p> <p>Supply big tanker: 300.000 C will last ± 2 days Pay-as-you-fetch C 1000 (10p) - C 1500 (15p) In extreme cases: C 2000 (20p)-C 2500 (25p)</p>	<p>Bulk water supply by tank trucks (private, on demand) not always coming immediately</p> <p>Local water distribution by private vendors from big cement tanks or PVC "Rambo tanks" C 500-1200 / bucket</p> <p>Plans to influence water price downwards by stimulating additional (subsidised) NGO tanks Price of water: 1000-1500 C/ bucket Water supply</p>
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<u>Sanitation</u>		
-		
Private toilets - very few	Septic tanks - empty private AMA	Pan latrine
Public toilets - C 700 per visit	Good drainage system/no blockage	- frequency of collection - final disposal?
No major differences without community observed in transect regarding sanitation	6 Public toilets C 600 (20 latrines for €€ ₪ / ₪ each)	Solid waste dumping areas/community initiatives to clean
Woman - safety&privacy??	Rather unclean (caretakers badly paid)	Open defecation on the beach ₪ / ₪
Schools - no latrine	Indoors disposal in black polybags	Some urinals (private initiative)
No provision for kids	No water - soap??	Streets are also used for sanitation needs
Children everywhere	3-dump site	Grey water from bathhouse collected manually into drain

Bathing facilities

Each compound has a bath house, each person brings their water obtained from a reservoir and brings their own cloth for privacy
After bathing the water is disposed of onto the street/road or goes into the gutter
Babies & little children bathed by mothers in bathing bowls outside/in houses - water disposed or onto the street or into a gutter
Public bath houses available @ C 1000-C1500 per visit. Haven't seen them however

<u>Eastside</u>	Social Amenities
- fisherfolk	- 1 community clinic, - 6 public schools, - 3 major private schools + others
- about 2% petty trading + others	
<u>Westside</u>	
- higher levels of education	A number of social clubs
- concerned more about education	membership → 100-150
Power structures	Compound house
	- 25 HH tenant
	- 1 hh is a family member

Comments on use of tools:

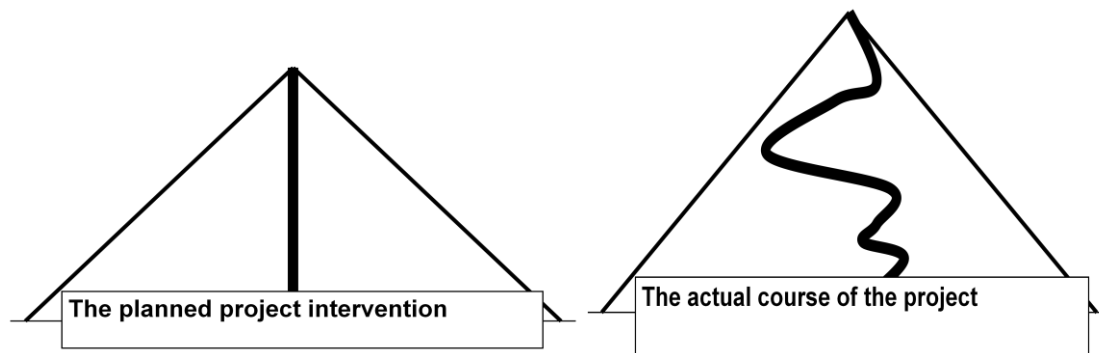
Very useful applying tools during field trip
Using the tools: was generally helpful
Need more focus on participatory tools to dig deeper into SI. Challenge to develop new tools?
'Gap' between development practitioners and social analyses
Little difficulty in using tools
Tool use - good as a learning experience. More time needed for internalising & critical reflection on tools & use - before & after the field visit
Using the tools: interesting; need more work on them
Still a lot to learn about how
Using the tools experiential - have opportunity to evaluate its applications
Some tools can only be used with more preparation (of the participants)
Great practice and fine tuning needed
However little sharing on experiences of using tools during field trip
Missed: key causes for water/sanitation related morbidity info: important for prioritizing
People were apprehensive: who does it bring us? Complicated power structure
A good mix of various types of key resource persons very useful (triangulation)

16. *Process documentation*

Methods: A power point presentation giving an introduction to process documentation for learning alliances and action research. (Based on SWITCH Briefing Nos 3 and 6)

Materials presented

A bendy, bumpy road.



Process documentation is - A tool that helps project staff and stakeholders to carefully track **meaningful events** in their project.

PD enables **reflection and analysis** of these events in order to understand better *what* is happening, *how* it is happening and *why* it is happening.

PD feeds into the broader M&E framework and communication strategy

What are we trying to do?

- to connect project intervention with the continuous flow of social life and ongoing relations
- try to understand the context outside project objectives and make it a factor in the project

Look behind the surface, the obvious:

- Understand power relations, culture, traditions, attitudes, social relationships, politics, dependency
- Understand resistance to change / understand dynamics for change
- How and why ?
- Stimulate debate about these processes and factors

Key actions

- Capturing the change process – the stumbling blocks, the acceleration, the dynamics (social relationships, power, politics, resistance to change etc)
- Organising the captured information to reflect and learn
- Analysing the information: trends, patterns
- Disseminating the information in a way that is useful for your audience

What to document

- What is the theory of change in the project , for example:
 - joint decision making will result in better services for the poor
 - community participation will result in more sustainable services

Principles

- Go to the stakeholders, let them speak
- Go to the events where there is tension and conflict
- Study and describe the context
- Organise stepping back: reflection and analysis
- Use observations for internal learning
- Disseminate and share, stimulate debate

Tools

Tools for capturing: interviews, focus group discussions, observation, diaries, anecdotes, songs, cartoons, other visuals (photo stories, video)

Tools for organising, filing and compiling: articles, case studies, photo books, video films, written portraits etc

Tools for analysing: time, methods and structures

Tools for disseminating: internal meetings, channels (radio, TV, Newsletters, website), presentations, meetings)

Who documents?

Insiders – the project team Good for internal learning, but is there enough distance (in parallel to and as part of the project)

Direct stakeholders Stimulates learning and reflection, gives a voice to groups (participatory video)

Outsiders There is (independent and critical) distance, there is experience in looking behind the scene

PD can serve different purposes

- Internal (project) learning: joint learning with direct stakeholders
- External Communication : Stimulate reflection and debate, advocate, inform etc.
- Building capacities of stakeholders: participatory approach can also stimulate participation and exchange among stakeholders

Process documentation planning:

- Purpose of the process documentation – whether for internal project learning or communication to the outside world?
- Which processes will be traced, who, where and when?
- Which tools are needed for capturing the process, organising the information, analysing the findings and disseminating the information?
- Who will document the processes (project team, a process documentation specialist, direct stakeholders, outsiders)?
- Is skill development needed in process documentation (writing, video, photography, editing, website development)?
- What will the outputs be, the products – both for the internal learning and the communication strategy? For each output a short synopsis should be written –

what is the content of the case study, video byte, photo album etc. and which specific objectives does it serve?

- How to monitor if the process documentation yielded success?

Politics of PD:

People may feel threatened by documenting. How you portray the people and the issues may affect the outcomes and process. You cannot always share what you have captured. Sometimes the real insights are given when the camera is off or the notepad stowed away

Discussion

In many cases, what is important to capture is the unexpected, the unplanned, because it might reveal much more.

Process documentation is also a costly process, in terms of money or time and it might therefore sometimes be a challenge for cities.

There might be capacity building needs in terms of the theory of change, to define what needs to be documented and how. It is also important to have outputs not only in e-format, for people without internet access.

Since scaling up is another key point of SWITCH, we need to have well documented processes in order to be able to replicate them.

Process documentation will be included in social inclusion activities in Lodz. M&E is also very important and it is necessary to find a balance between the two.

17. Analysis and reporting

Method – Powerpoint presentation and discussion

Materials presented

Analysis and reporting

- Aggregating and using information effectively from participatory processes poses a real challenge
- 3 stage process preparing for analysis - issues at design stage, issues at summary stage and at analysis stage

Design

- Relate tools of enquiry to the research questions
- In selecting and designing tools, think about the relationship between information collection, summary and presentation.
- Sampling decisions are important – coverage, representativeness affect ability to generalise
- Use diagrams, tables, scoring systems in the field help to present information in a form which can be compared and summarised across cases.
- Plan summary formats as part of the field work design – don't leave until later!

- Think about how multiple examples of use of tools will be combined into evidenced based conclusions.

Initial summary

- Notes from semi structured discussions need to be written up (and translated where necessary) under the main headings of the discussion
- Include details of location, date, names / roles/ gender of people providing information.
- Transform scoring exercises into frequency histograms, pie diagrams etc
- Photos are part of the record – treat as data and keep with other information
- Must be done as soon as possible after return from the field.

Synthesis and analysis

- Plan the overall structure of the report
- The analysis relates to the research questions underlying the baseline study
- Presentation of data to answer questions posed and illuminate social inclusion issues
- Analysis to show the ‘who, what, when, where’.
- Challenges of consolidating findings and drawing conclusions across multiple cases.

Discussion

It is extremely important to link up with other WPs!

The resources available are going to impact on the methodology used. In the planned city workshops, research questions will have to be addressed, then research tools have to be decided, methodology agreed upon and the planning finalised.

The composition of the team has to be established and training needs assessed and met. Methods have to be sampled and selected. Timing, the storage of data, the quality control are all relevant elements. How and when the SI team can support the city teams should be defined.

A lot of these activities require capacity-building therefore further materials and training will be needed.

ANNEX 1 Development of social inclusion methodology for the feasibility study in Ma'wa El Sayadeen

1) Developing a common understanding of the study

Aim: To assess the community's preference and interest in alternative water management, their willingness to manage and/or invest in these options

The specific objectives are

- To understand the past and current situation as regards community development and water and sanitation provision.
- To explore the social and institutional structure of the community, particularly issues of social inclusion, and relations with outside organisations
- To understand the livelihood strategies of different sections of the population with particular reference to water access and use.
- To identify perceptions, needs and priorities by different stakeholder groups/gender, relating to water and sanitation, water related infrastructure and service provision.
- To identify together with the community, potential options relating to water supply and sanitation and the role and willingness to contribute of different stakeholders.

Outcomes

- Identification of the patterns of access to water and sanitation facilities by different sections of the community.
- An understanding of community organisation and decision making processes relating to infrastructural development.
- A livelihood analysis of different social groups and problems and priorities for water related improvement identified
- Community priorities for interventions identified and their willingness to support assessed.
- Capacity of CEDARE staff for community level interaction and learning strengthened

2) Principles and approaches

- ***Introduction to concept of social inclusion (ppt presentation)***

- *Consider who might be the different social groups in the community. What is the basis of these differences? How are they affected by water and sanitation provision and quality? What might be the particular issues for each group? Are all groups affected equally?*

- *How would you go about finding out what people think about their water and sanitation provision – what problems do you foresee?*

Note that different categories of people have different perspectives and different experiences and needs. Information must come separately from different categories of people

- ***Introduction to concept of participatory methods*** – people centred approaches

- *What different types of participation can you think of?*

- What strategies could you use to encourage broad participation, especially of women?

It is important to understand people's own interpretation of their circumstances and to learn from them. We should consider how far we are using participatory methods to help empower people and how much we are using them just to find out information. Information is needed to feed into project and programme design, but in project implementation, empowerment objectives are very important. To encourage participation an exchange of information is needed – the people you are talking to must know who you are and the purpose of the questions and what the study will be used for. This helps to manage expectations. Allow people the time to introduce themselves and take time to answer questions.

- How would you introduce yourself and the purpose of the study?

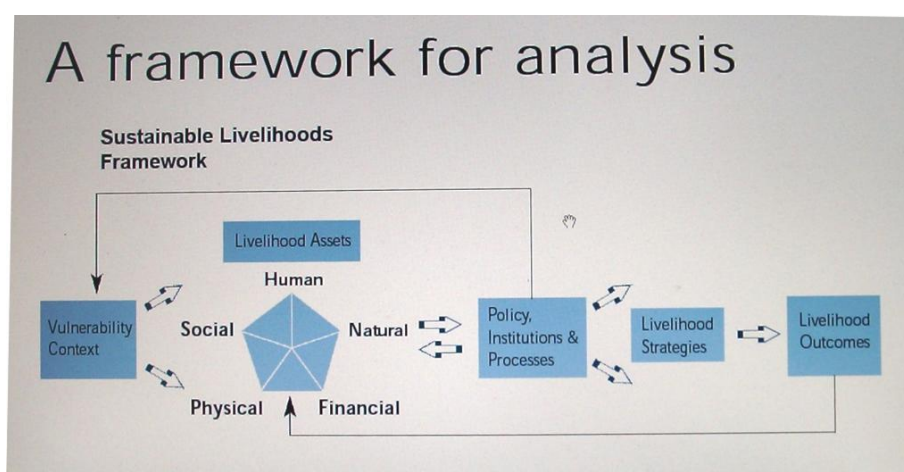
Note that we must ask people what they think and know and experience. We must listen to the answers and write down what they say, whether positive or negative and whether we agree or not. Wherever possible, leave copies of the information generated with the community, or make sure copies are provided and the results fed back. On NO account openly disagree or argue with a community member or a team member. Always show respect and don't interrupt someone speaking. Be flexible in guiding the discussions.

- **Introduction to Livelihoods Framework (ppt presentation)**

“A livelihood comprises the capabilities, assets and activities required for a means of living.”

Elements of the framework:

- Assets – physical, human, natural, social and financial
- Vulnerability context
- Policies, institutions and processes
- Livelihood strategies
- Livelihood outcomes



Different factors influence assets, for example;

- the **vulnerability context** – the external shocks and trends that make the community vulnerable – global economic change, oil prices, conflict etc.
- **Institutions policies, legal, culture, religion** influence livelihood assets.

Livelihood strategies are the decisions (short/medium or long term) about use of assets. Livelihood strategies lead to livelihood outcomes or what is actually realised from the strategies. Examples of strategies are, a) migration to earn money (financial asset) to invest in housing (physical asset) and education (human asset) etc. The livelihoods framework can be used at different levels – household, community, district, country. Strategies differ among households and at an individual level, for men and women. Our study is particularly concerned with aspects of physical and natural capital (water and sanitation) but will focus on how these interrelate with the other assets – financial, social and human.

3) Methods and Tools

These tools are designed to be used in combination, to gradually build a picture of the community and the issues relating to water. Each exercise provides opportunities for cross checking and refining the information and exploring differences and consensus. This is the principle of triangulation - obtaining and comparing information from different sources and from different groups.

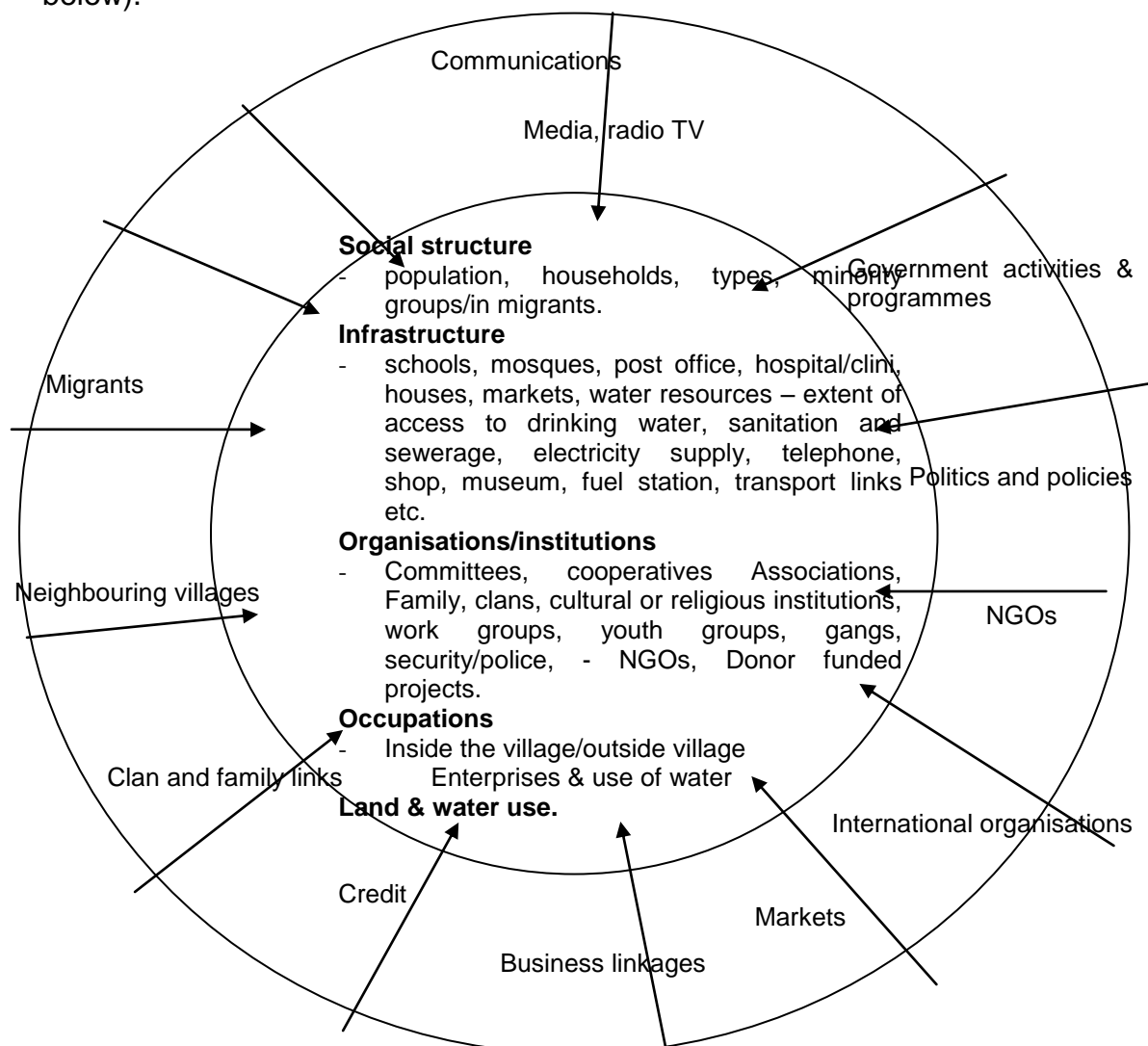
- **Introductory meeting** – introduces and provides information on the team, gives an opportunity for community members to introduce themselves; explains the objectives of the feasibility study, how the information will be used and the potential (realistic) benefits that might come to the community. Explain the methods and sequence to be used and with which groups or individuals in the community. It is important to introduce ourselves and the study very carefully – not only for the initial meeting, but also at the start of every subsequent meeting with a different group or individual. Be prepared to repeat the explanations many times!



Discussing the time line

- A **“Time line”** to understand how the community has grown and changed, including changes to social composition, livelihoods and the physical environment. The time line is a kind of history or story of the village. Its purpose is to help identify significant events and changes in the history of the community. It can be used specifically to ask about changes and problems over time connected with water and sanitation, livelihoods, population and migration, housing etc. It could also introduce a discussion on future trends, e.g. climate change and implications for water use and management.

- **A participatory map of the area** A social and spatial mapping tool for discussion of different sections of the village and community – e.g. older and newer areas, clan affiliation, recent in-migrants, occupations, housing, water, sewage and sanitation conditions, water bodies, flood prone and contaminated areas etc. Participants to agree on characteristics of different areas and mark these on the map. The map discussion can be supplement by a **transect walk** – with reference to the map, a route is defined to walk across the community covering the main differences and transitions, and for participants to discuss their observations.
- A **Community profile** to list the social, financial, physical, natural and human assets inside the community, and the relationship between the community and external bodies. Start with a blank sheet on the flip chart and draw a large circle and a smaller circle inside it. The purpose is to learn something about the community as a whole and its external relations and interactions (see diagram below).



- Ask about the households, infrastructure, organisations and institutions, occupations and land and water use inside and around the village

- Ask about the linkages with outside. For outside organisations, the distance from the centre can show the perceived 'distance' from the community. Note the distinction between organizations and institutions – organizations are formally constituted, officially recognized, while institutions are often informal, or part of local culture and social life, e.g. lineage groups, religious affiliations etc
- **Focus group discussions** with community leaders, community members working in the village, employed outside village, fishermen, women (young and older), young men etc.



Men's focus group discussion

The point is to cover as many different social categories as possible, discussing their particular issues and perspectives in relation to water and sanitation.

- Prepare **checklists** of questions for community leaders, women, etc.
- Other tools can be used during focus group discussions, e.g. force field diagrams, problem trees and ranking, stakeholder and gender analysis tools.

For each discussion – either use the summary table in the field, or fill it in at the end of the meeting, listing the most important problems and issues that have been raised; who is most affected and how? List the most important opportunities for improvement each group has identified, and how the community could support these. Ask what the expected benefits would be and for whom? (justification).

SUMMARY TABLE

1. What are the main problems and issues in relation to water and sanitation	2. Which sections of the community do these particularly affect and how?	3. Suggested options for improvement	4. How could the community support this? How could it be sustained?	5. What would be the expected benefits and for whom? How would you measure or assess these?

- **Household interviews**. Checklist and livelihood system diagrams/questionnaire?
- **Key informant interviews**
- **Observation** of environment and infrastructure in the community
- **Photographs** of the flip charts, diagrams etc and specific areas of the village which have been discussed. .

REMEMBER THE PRINCIPLES

- Listening and learning
- Participation of people with different perspectives
- Expectations
- Triangulation
- Flexibility
- People centred and holistic.

4) Sequence of tools.

START BROAD and GENERAL and move to the SPECIFIC

Context	Participants	Purpose	Methods/tools	Outcome
Introductory meeting	Community leaders	<ul style="list-style-type: none"> ▪ Introductions of SWITCH aims and objectives and reasons for working in the village - social, economic and institutional issues as well as technical. ▪ Principle of participation and social inclusion. ▪ If leaders willing, discuss timetable for further visits, and the participants, timing and location of meetings. 	<p>Verbal introductions</p> <p>Time line of community history and development</p> <p>Discussion around village map showing different areas re. social composition, livelihood activities and water and sanitation services.</p>	<p>Understanding of community history and change</p> <p>Social groups identified for focus group interviews</p> <p>Mapping of social and infrastructural patterns in village for further investigation.</p> <p>Community expectations managed</p>
Focus	Leaders plus	<ul style="list-style-type: none"> ▪ Description of 	Village profile	Understanding of

group	others – with age range.	community (livelihood analysis at community level)		community characteristics and infrastructure, institutions and external relations.
Focus group	Older women and younger women	▪ Discussion of specific issues around water & sanitation	Semi structured interview	Understanding of problems and priorities
Focus group	Older men and Young men	▪ Discussion of specific issues around water & sanitation	Semi structured interview	Understanding of problems and priorities

5) Preparation

Guidelines and preparation of checklists

Decide on who is doing which task.

Communicate with village prior to meeting

Equipment - Notebooks, Pens for flipcharts, Flipcharts, Camera, Tape/pins, Maps

Transport arrangements

6) Documentation and reporting

- Taking notes in the field - one team member to ask questions and another to write. Listen and write down **what the people say** using their language - local Arabic. Record but do not interpret at this stage.
- For each meeting, remember to record the date, location, team, number of people (men /women) present. Take photographs of the activity, but only with permission.
- Discuss together and consolidate all the notes and compare the summary tables and findings from different discussion groups. Translate.
- Make sure all the original materials are labelled and stored safely.

7) Feedback to community – workshop

Session:	3. Social inclusion	Day:	Thursday 27 November
Topic:	Reaching the poor and their representatives within learning alliance processes		
Rationale:	Social inclusion is a key focus of SWITCH's work, to make sure that water research and interventions benefits reach the poor. This has implications for the way in which research is undertaken, but also for how learning alliance processes are organized and facilitated. Specific attention needs to be given to ensure that the poorest groups are represented in these processes and that they have the capacity to participate in a meaningful way.		
Duration:	210 mins (including 30 mins break)		
Objectives:	To introduce tools and methods to facilitate social inclusion of the poor and their representatives within learning alliance processes		
Course Material:	<p>Presentation: An introduction to social inclusion and implications for learning alliance processes (John Butterworth) followed by discussion</p> <p>Presentation: SWITCH case studies: best practices in social inclusion (Stef Smits) followed by discussion</p> <p>Exercise on power and negotiations between stakeholders: tanneries in Bogota (Monica Sanz) (70 mins)</p> <p>Workgroups and discussion: Addressing social inclusion in your own city and learning alliance process</p>		
Resource Person:	John Butterworth/ Stef Smits		
Learning Methods:	Presentations, role-play and discussions		
Background Reading:	<p>SWITCH Briefing Note 10 on social inclusion: www.switch.watsan.net/page/1805</p> <p>Case studies from EMPOWERS and Hamburg: www.switch.watsan.net/page/2450</p>		
References:			