Community Partnerships for Sustainable Resource Management in Malawi

INTRODUCTION TO APPRECIATIVE INQUIRY: A MANUAL FOR TRAINING COMMUNITY DEVELOPMENT FACILITATORS

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<th>Full Form</th>
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<tr>
<td>AI</td>
<td>Appreciative Inquiry</td>
</tr>
<tr>
<td>CBNRM</td>
<td>Community Based Natural Resource management</td>
</tr>
<tr>
<td>CBO</td>
<td>Community Based organisation</td>
</tr>
<tr>
<td>COMPASS</td>
<td>Community Partnership for Sustainable Resource Management in</td>
</tr>
<tr>
<td>NGO</td>
<td>Non-governmental Organisation</td>
</tr>
<tr>
<td>PRA</td>
<td>Participatory Rural Appraisal</td>
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</table>
INTRODUCTION

This manual was developed for, and revised following, an 8-day introductory Appreciative Inquiry workshop conducted in Blantyre, Malawi, March 31-April 8, 2003. The COMPASS Project sponsored the workshop which 20 participants (2 women and 18 men), representing a range of NGOs and government departments, attended. See the next-to-the-last page of this manual for a list of workshop participants.

Purpose

This training manual provides facilitator guidelines and training activities related to the introduction to Appreciative Inquiry for community development workers. It is designed for train trainers and can be adapted for training end-users.

Background

Government and non-government organizations within Malawi have been using participatory approaches, specifically various versions of Participatory Rural Appraisal (PRA) for several years. While PRA has yielded some results in some communities such as Chiling’oma1, many are increasingly skeptical of the deficit-based focus of the approach.

Typically organizations have used PRA to identify and rank community problems and needs without critically looking at existing opportunities within the community itself. Such an approach raises community expectations and leaves them in despair, further strengthening the communities’ dependence on donor support. Intervening organisations also sometimes provide support to communities to address or partially address the problems of their interest or within their sectors, but leave communities stranded with many problems and issues they have identified, but feel they cannot address without outside assistance.

While PRA as an approach is still valid, experiences from COMPASS, and partners (departments and NGOs) reveal that many items on the PRA tool kit are not being used well in Malawi particularly in the natural resources sector. COMPASS encourages communities to focus on the human and natural resources they already possess and how these can be used to benefit the community as a whole.

Through the introduction of assets-based approaches to development, as opposed to deficit- and problem-focused approaches, COMPASS believes it can help to break the cycle of dependence on outside assistance, and strengthen community self-reliance and sustainability.

This manual, a product of COMPASS’s efforts to strengthen participatory approaches, results from:

- An assessment of the current participatory tools that NGOs and Government field workers in natural resource management are currently using.
- A training-of-trainers course for representatives of key COMPASS partner organizations.

Intended users

The manual is designed for use by mid-level government and NGO trainers to train government and NGO field workers working directly with communities. Users of this manual should have some experience using participatory, experiential training approaches.

Processes and tools

This manual includes over 15 participatory training sessions and handouts related to appreciative inquiry as an approach to sustainable community development. The workshop, and resulting materials, represents a hybrid approach that attempts to capture Malawi “best experiences with PRA,” by identifying those PRA tools that can be adapted to be more “appreciative” and less deficit-focused. The process described herein focuses on capturing the best of the past and present, incorporating that into a shared vision of the future, with a design for appreciative action guided by the shared vision.

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Gender and appreciative inquiry
Integrating gender into appreciative inquiry activities is essential. For this reason, the authors have included ideas for integrating gender awareness at every stage of appreciative inquiry.

Using appreciative inquiry

When to use
Appreciative inquiry can be used anytime a group seeks to “lead with the positive” to explore some aspect of itself in order to positively influence its future. It can be used to guide and positively influence practically any organization development intervention.

Group size
The group size is a function of the scope of the inquiry. If the inquiry is to address village-wide issues, then the inquiry should involve as much of the village as possible. On the other hand, the inquiry may have a more narrow focus that is of interest only to a small group. So the answer to the question of group size is, “It depends!”

Facilitator role
The facilitator is a guide. Initially groups may need assistance in conducting their own appreciative inquiry. After they’ve done it once or twice, they will likely be able to do it on their own. The facilitator must use care to insure that he or she does not overly influence the group’s process and try to direct it.

Time required, preparatory meeting, sample workshops
This manual outlines an 8-day workshop process that includes classroom demonstrations and village visits and demonstrations. Users of this manual may wish to adapt the workshop to fit their unique circumstances and schedule.

Resources
A short list of references related to appreciative inquiry is included at the back of this manual. Further materials are available on the Internet and through the bibliographies of the books listed.
Sample Daily Schedule

**Day One**
8:30-9:00
- Workshop Opening
- Comments and Mini-AI Introductions
- Overview of Workshop Purpose, Outcomes and Process
9:00-10:15
- Experience with Participatory Approaches
10:30-11:00
- Brief Introduction to AI and 4-D process
11:00-12:00
- Setting a Focus and Writing Appreciative Inquiry Questions
1:00-4:30
- DISCOVERY: Identifying and compiling themes and wishes
4:30-5:00
- Review of the Day
- Appreciative Feedback

**Day Two**
8:30-9:15
- Appreciative Opening and Overview of the Day
- AI Theory
9:15-10:00
- DISCOVERY: Other Helpful Tools:
10:15-12:00
- DREAM Phase: Envisioning the Future
1:00-4:30
- DREAM: (continued) Writing Provocative Propositions (Possibility Statements)
- DREAM: Other Helpful Tools:
4:30-5:00
- Review of the Day
- Appreciative Feedback

**Day Three**
8:30-8:45
- Appreciative Opening and Overview of the Day
8:45-12:00
- DESIGN: Designing systems and processes that will help to achieve dreams
1:00-3:00
- DESIGN: Set short-term objectives and long-term goals
- DESIGN: Other Helpful Tools:
3:15-4:30
- Planning for Classroom Demonstrations
4:30-5:00
- Sign up for Community Practice AI Sessions
- Appreciative Feedback

---

2 The schedule for each day should include a lunch break morning and afternoon break
Day Four
8:30-8:45
- Appreciative Opening and Overview of the Day
8:45-11:00
- DO: Group initiates action
- DO: Helpful Tools:
11-12:00
- Contrasting and Integrating AI with other Participatory Approaches
1:00-1:45
- Preparation for Demonstrations
1:45-4:45
- Participant Trainers’ Demonstrations and Feedback (3 1-hr sessions³)
4:45-5:00
- Appreciative Feedback

Day Five
8:30-8:45
- Appreciative Opening and Overview of the Day
8:45-12:00
- Participant Trainers’ Demonstrations and Feedback (3 1-hr. sessions)
1:00-4:45
- Participant Trainers’ Demonstrations (3 1-hr. Sessions)
4:45-5:00
- Appreciative Feedback

Day Six (1/2 day)
8:30-11:45
- Appreciative Opening and Overview of the Day
- Prepare for Community Practice Sessions
11:45-12:00
- Appreciative Feedback and closing for day

Day Seven
8:30-9:30
- Overview of day and travel to communities
9:30 – 12:00
- Community Practice Sessions
2:00-5:00
- Feedback/debrief community sessions
- Review program for Tuesday
- Appreciative Feedback

Day Eight
8:30-9:30
- Overview of day and travel to communities
9:30-12:00
- Community Practice Sessions
2:00-5:00
- Feedback/debrief community sessions
- Next Steps, Workshop “Valuation,” Adjourn, and Celebrate!

³ Each team session will include a 40-minute demonstration and 15-minutes for “appreciative feedback.”
Appreciative Introductions and Hopes

PURPOSE: To introduce each other while also identifying positive experiences from the past and the elements that contributed to the positive experiences.

MATERIALS: Pieces of paper (about 5X7 inches) or pieces of paper that size (About 5 pieces per participant.)
Tape

TIME: 1 hour

PROCESS:

1. Explain the purpose.
2. Put on flipchart and explain the task:
   - Ask participants to meet in 2’s.
   - Each person should describe a specific time when you felt especially good about working with communities -- a high point. A time when you felt your work with communities was being particularly successful.
   - Note what elements contributed to that success? (Put elements on pieces of paper described in Materials above. Put one element per post-it.)
   - A hope for the workshop. Put one hope on another piece of paper with an “H “ at the top. (20 minutes to complete)
   - After all have finished, they should introduce their partner by stating the following:
     - His or her name,
     - Organization,
     - Element that helped to make their experience working with communities a positive one, and
     - One hope for the workshop.
3. After all have finished, ask each pair to introduce his or her partner to the group.
4. Post elements on the wall (or on several pieces of flip chart paper taped together).
5. After all have introduced each other, ask for a few volunteers to cluster the elements. Suggest that they try to reach a “silent consensus”. No talking while they arrange the elements.
6. Come together as a large group to discuss. Begin discussion with the following points:
   - What can be said about the elements and clusters?
     - What stands out?
     - What’s missing?
   - What was the experience like?
     - In teams?
     - Reaching silent consensus?
   - What can we conclude from this activity?
   - Point out that if we were an organization or community, we would have just created a list of internal resources upon which to build in the future.
   - Ask: How do we know we can recreate these situations? (Have done it once, can do it again)
7. Review the Hopes. Indicate which ones will be addressed as well as any that may be outside the scope of this workshop.
Overview of Workshop

PURPOSE: To review the workshop purpose, expected outcomes, flow, norms, and process.

MATERIALS: Prepared flip chart
Handouts: Purpose and Outcomes

TIME: 30 minutes

PROCESS:

1. Before starting the Overview, post two pieces of flip chart in the front of the room containing the information from the following pages: “Capacity: Participatory Approaches,” and “Capacity: Appreciative Inquiry.” Using either colored dots (all the same color) or X’s made with markers (again, all the same color works best) ask participants to indicate where they would place themselves on the continuum for each of the flip charts. Ask them to remember where they put their marks, and we will come back to this at the end of the workshop.

2. Post and explain purpose and outcomes:

   Purpose
   To strengthen the capacity of participants to use participatory approaches in communities through the use of appreciative and assets-based approaches that encourage greater self-reliance, identification of local assets, and promotion of improved decision-making within groups and the community as a whole.

   Outcomes
   By the end of the 8-day workshop, participants will be able to:
   - Use appreciative and assets-based approaches to help communities more effectively generate and utilize local resources, and develop action plans for effectively using the resources they have.
   - Train others in appreciative processes using materials revised during workshop.
   - Adapt PRA tools making them more “assets-focused.”
   - Describe the benefits of using appreciative, assets-based approaches with communities.

3. Post and explain the Flow and Daily Agenda (the WHEN). Explain that the actual session times will be flexible in order to adapt to participant needs and interests. But starting and ending times and lunch should stay the same unless we, as a group, decide to change them.

4. Post and explain the Norms, Participatory Process, and Monitoring (the HOW)

   Norms
   Start and end on time
   Any question is a good question
   Treat each other respectfully
   Listen
   Everyone is a learner everyone is a teacher
   OTHER?

   Highlight aspects of a “participatory” workshop—
   Explain the seating arrangement (circle or tables vs. rows—demonstrates importance of equality and cross-communication). Explain the participatory nature of the Process (small group work vs. lectures; learning from each other instead of from one or two persons).
   - Explain the Experiential Learning (learning by Doing) process of this workshop. Describe how this will be a workshop within a workshop in that workshop participants will use an appreciative inquiry process to analyze the use of participatory approaches.

   Participatory Monitoring and Evaluation (M&E) of workshop
   Explain that the workshop will utilize several M&E methods:
   - Monitoring expectations
- Daily feedback
- Public analysis of feedback
- End of workshop evaluation

“Parking Lot” for ideas
Post a piece of flipchart paper and tell the group that this is a “Car Park” for ideas. In other words, when questions or comments come up that are beyond the scope of the workshop, you will put them here. That means you’ll deal with them later.

Be sure to come back to this list at the end of each day…and at the end of the workshop to make sure all things get addressed.

5. Questions?
FLIP CHART No. 1
CAPACITY: Participatory Approaches

I would rate my level of understanding, skill, and use of participatory approaches as…

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>very low (barely know what it is)</td>
<td>low (know a little)</td>
<td>OK (could use help)</td>
<td>quite high (use frequently)</td>
<td>very high (could train others)</td>
</tr>
</tbody>
</table>

FLIP CHART No. 2
CAPACITY: Appreciative Inquiry

I would rate my level of understanding, skill, and use of Appreciative Inquiry as…

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
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<td>very low (barely know what it is)</td>
<td>low (know a little)</td>
<td>OK (could use help)</td>
<td>quite high (use frequently)</td>
<td>very high (could train others)</td>
</tr>
</tbody>
</table>
**Introduction to Appreciative Inquiry**

(Date)

(Venue)

**Purpose**
To strengthen the capacity of participants to use participatory approaches in communities through the use of appreciative and assets-based approaches that encourage greater self-reliance, identification of local assets, and promotion of improved decision-making within groups and the community as a whole.

**Outcomes**
By the end of the 8-day workshop, participants will be able to:

- Use appreciative and assets-based approaches to help communities more effectively generate and utilize local resources, and develop action plans for effectively using the resources they have.
- Train others in appreciative processes using materials revised during workshop.
- Adapt PRA tools making them more “assets-focused.”
- Describe the benefits of using appreciative, assets-based approaches with communities.
Experience With Participatory Approaches

PURPOSE: To explore the concept of PARTICIPATORY APPROACHES.

MATERIALS: Handouts:
- Participation Continuum
- Highlights from COMPASS Study

TIME: 1 hour

PROCESS:

1. Explain the purpose of the activity. Explain that throughout the workshop we will be looking at ways to strengthen participatory approaches. So, it’s a good idea to pause and take a look at this concept we call participation.

2. Ask participants to think about what participation means to them. What images come into their minds when they hear this term? Note responses on flip chart.

3. After a list has developed, ask, “If this is what we mean by participation, what are we trying to achieve when we (as NGOs, governments, etc) use “participatory approaches” with communities? Note on flipchart.

   After all have contributed explain that you’d like them to hold onto these ideas as they move into small groups to think about their work with communities in relationship to the following “continuum of participation.”

4. POST and explain the following using points from the handout:

   A CONTINUUM OF PARTICIPATION

<table>
<thead>
<tr>
<th>Passive</th>
<th>Information Giving</th>
<th>Consultative</th>
<th>Functional</th>
<th>Interactive</th>
<th>Self-mobilizing</th>
</tr>
</thead>
</table>

5. Divide participants into groups and distribute Participation Handout. Explain the following group task and distribute the small handout containing group task instructions.

   Each group should spend 20 minutes discussing their work with communities in relationship to this continuum. In other words, each person in the group should comment on where most of their work with communities falls on the continuum. When they come back, each group should put X’s on the continuum to stand for group members (one X per group member). Ask each group to prepare to present back the highlights of their discussions.

6. After all have presented, ask, where most community work seems to fall on the continuum?

7. Explain and post highlights from the short COMPASS Study on the use of participatory approaches. Distribute handout.

8. Make the link between what people say at the workshop, the study, and AI. Stress that AI is not an attempt to replace PRA, but to strengthen participatory approaches in general.
A CONTINUUM OF PARTICIPATION

PASSIVE INFORMATION GIVING CONSULTATION FUNCTIONAL INTERACTIVE SELF-MOBILIZING

Passive Participation
Decisions made by powerful external stakeholders only; local communities participate by being told what is going to happen or has already happened.

Participation by Information Giving
Communities participate by answering questions posed by external stakeholders or project staff; they do not have opportunity to influence decision-making as information is not shared.

Participation by Consultation
Communities participate by being consulted, and external stakeholders consider their knowledge and interests; outsiders define both problems and solutions but may modify these based on local people’s responses; process does not concede any share in decision-making and outsiders are under no obligation to take on board local people’s views.

Functional Participation
Communities participate by forming groups to meet pre-determined objectives of a program driven by external stakeholders; such involvement does not tend to be at the planning stage, but after major decisions have been made; such institutions may be dependent on external initiators but can also become self-dependent.

Interactive Participation
Communities participate in joint analysis, leading to action and formation of new local groups or strengthening existing ones; local stakeholders take control over local decisions, giving them an incentive to maintain structures or practices.

Self-Mobilization
Communities participate by taking initiatives independent of external institutions to change systems; external agents may play a facilitating or catalytic role.

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GROUP TASK INSTRUCTIONS
1. Spend 20 minutes discussing your work with communities in relationship to this continuum.
2. Each person in the group should decide where most of your work with communities falls on the continuum, and be able to explain WHY.
3. When rejoining the larger group, each group should put X’s on the continuum to stand for group members (one X per group member).
4. Prepare to present back the highlights of your group’s discussions.
Brief Introduction to Appreciative Inquiry

PURPOSE: To introduce the basic concepts of Appreciative Inquiry.

MATERIALS:
- 4-D model on flip chart
- Handouts:
  - AI Approach to Development
  - AI Talking Points – Part I

TIME: 30 minutes

PROCESS:

1. Introduce the session by explaining the purpose. Appreciative Inquiry is a cutting edge theory of organization development management that focuses on the “best of what is” instead of focusing on problems.

2. Begin by posting and explaining the basic assumptions of Appreciative Inquiry (AI). (See attached handout).

3. Using the attached notes – give a brief (10 minutes!) “lecturette” in AI using visual aids. (points on overheads or flip chart).

4. Explain that we sampled AI, through out introductory interviews with each other.

5. Post and explain the 4-D model (in a circle)
   - **5th D – Defining the focus of the overall inquiry**
     - If outsiders are involved, they could work with the group (community, organization, etc. to identify the focus of the inquiry, but they should not choose the focus.
   - **Discover**
     - Searching for the best of what IS; appreciating that which gives life: Identifying strengths, resources, assets, values, and wishes for the future.
   - **Dream**
     - Envision the ideal of what might be; envision impact: Given the strengths, resources, assets, values and wishes identified in the previous stage, what is possible in the future?
   - **Design**
     - Co-construct the future; reach consensus on what should be. Designing the systems and processes that will carry the Dream forward to the future.
   - **Deliver or Do**
     - Experience what can be. Implement action that builds upon the strengths, resources, assets, and values of the past and present, and leads toward the wishes for the future.

6. Explain that there really is a fifth “D” in the model: Defining the focus.
   Explain the idea of a “workshop within a workshop.” We will be learning about AI, but doing AI. Explain that in the next session the group of participants will be choosing a **FOCUS**, or topic, for their inquiry.

7. Referring to the posted 4-D model, explain that together we will “Discover” the best of what is (in relationship to the focus they decide upon); strengths and resources; underlying values; what has given life; and wishes for the future.

Then we will “Dream” -- envision the positive shared future – and develop possibility statements related to the desired vision for future.

Next, based on our resources and vision, we will then “Design” the systems, processes, roles and responsibilities, etc. needed for our desired future.

Finally, we will look at what we must “Do” to move toward that future.

8. Post and explain the difference between problem-centered approaches and appreciative inquiry.
<table>
<thead>
<tr>
<th>Problem Focused Approach to Development</th>
<th>Appreciative Approach to Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identification of problem</td>
<td>Appreciating and valuing the best of “what is”</td>
</tr>
<tr>
<td>Analysis of causes</td>
<td>Envisioning “what might be”</td>
</tr>
<tr>
<td>Analysis of possible solutions</td>
<td>Dialoguing “what should be”</td>
</tr>
<tr>
<td>Action planning to treat problem</td>
<td>Innovating “what will be”</td>
</tr>
</tbody>
</table>

9. Questions? -- Close by pointing out that appreciative inquiry can be an ongoing process, continually discovering the life-giving forces in our work and lives.

10. Give the group 10-15 minutes to read through the initial handouts on AI.
ASSUMPTIONS of APPRECIATIVE INQUIRY

1. In every society, organization, or group, something works.

2. What we focus on becomes our reality.

3. Reality is created in the moment, and there are multiple realities.

4. The act of asking questions of an organization or group influences the group in some way.

5. People have more confidence and comfort to journey to the future (the unknown) when they carry forward parts of the past (the known)

6. If we carry parts of the past forward, they should be what is best about the past.

7. It is important to value differences.

8. The language we use creates our reality.

---

APPRECIATIVE INQUIRY TALKING POINTS

The crucial hypothesis in Appreciative Inquiry is: 
*Co-inquiry into the true, the good, the better, the possible will lead to faster, more democratic and energized change than will deficit-based inquiry into the broken and the problematic.*

The organizations and groups with which we work move in the directions we study and the questions we ask.

*Where do joy, inspiration, and hope lead us?*

*Where does the study of low moral, despair, and problems lead us?*

Appreciative Inquiry:
- Is the deliberate discovery of collectively combined capacities
- Seeks to create an alignment of strengths that make weaknesses irrelevant
- Is about the liberation of capacity
- Is more comfortable in settings that are comfortable with risk than with regulation
- Is based on reverence for life
- Is an inquiry process that tries to understand the factors that give life to a living system and seeks to articulate those possibilities that can lead to a better future.
- Is more than a technique or method. It is a way of living with, being with, and directly participating in the life of human systems – inquiring into the deeper life-generating essentials and potential. It is NOT another organization development (OD) intervention, but is a new approach to existing OD interventions such as team building, strategic planning, organizational restructuring, evaluation, coaching, etc.
- Invites us to choose the positive as the focus of inquiry. Most of us have been educated in deficit-oriented, problem-based approaches that emphasize looking for the obstacles or gaps – the dysfunctions in a situation. Therefore, we may meet disbelief, and even resistance, to the suggestion that we can more effectively “solve problems” by focusing on the positive as a core value.
- Is a strategy for purposeful change that identifies the best of “what is” to pursue dreams and possibilities of “what could be.”
- Is a cooperative search for strengths, passions, and life-giving forces that are found within every system – those factors that hold the potential for inspired, positive change.

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6 Adapted from Watkins and Mohr (2001) and Ashford and Patkar (2001)
An “Appreciative Approach” to Development

Appreciative Inquiry suggests that we look for, and focus on, “what works well” in a community, group, or organization. When we look for problems we find them. When we look for successes, we can find those, too. By studying the problems, we learn what “not to do.” By building on successes, we already know what works, and we need to learn how to build upon those successes for the future. The following points contrast Appreciative Inquiry with a typical problem-centered approach to development.

<table>
<thead>
<tr>
<th>Problem Focused Approach to Development</th>
<th>Appreciative Approach to Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identification of problem</td>
<td>Appreciating and valuing the best of “what is”</td>
</tr>
<tr>
<td>Analysis of causes</td>
<td>Envisioning “what might be”</td>
</tr>
<tr>
<td>Analysis of possible solutions</td>
<td>Dialoguing “what should be”</td>
</tr>
<tr>
<td>Action planning to treat problem</td>
<td>Innovating “what will be”</td>
</tr>
</tbody>
</table>

Choosing A Focus and Writing Appreciative Questions

PURPOSE: To work with the community group to help them choose a focus of their Appreciative Inquiry and to identify some questions.

MATERIALS: Handout:
• Writing Good Appreciative Questions
• Focus Choice Guidelines

TIME: 2 hours

PROCESS:

FACILITATOR NOTE: When working with communities, you should conduct this session in the community several days before beginning a possible AI. It may come quite naturally from work you are already doing within the community. Or, it may be a special meeting. But, you need to conduct this ahead of time so that the community or community group can choose the focus of its inquiry, and help to form its questions.

Also, we have already learned a little about AI from the previous activity. If you were doing this session in the community, prior to beginning their AI, plan to spend at least two hours on this, and begin by talking with communities about focusing on their successes rather than their problems as a way to recognize a good foundation upon which to build the future.

1. Explain the purpose. Point out that many AI practitioners believe that choosing the focus of an appreciative inquiry is the most critical step because what we study becomes reality. The following guidelines might help facilitators work with groups to initially choose a focus:

   • Begin with what the group would like to explore and learn about itself.
   • Encourage the group to choose its own focus, not what they think someone else wants them to do.
   • Remember that it’s difficult, if not impossible, to remove a topic from a group’s agenda once an inquiry has begun so encourage them to choose carefully.
   • Since what groups focus on becomes magnified, help the group make sure that they will be “magnifying” something of importance to them.
   • Encourage the group to “take on” a reasonable load.
   • A clear topic is important, because out of it will come the questions that will guide the inquiry.
   • It may take a day or two to choose a topic for a large-scale inquiry. For a community, perhaps meetings with a group of women, youth, and men, might reveal a topic of interest.
   • If the topic is general, e.g. “cooperation,” encourage the group to focus in a bit more.
   • Exploring the topic choice in itself can be an intervention.
   • The “focus” or topic can have more than one part, but even in a large-scale inquiry, the group should tackle no more than 5 “sub-topics.”

2. Once the group has narrowed the possibilities to 3 or 4, ask the following questions:

   • Who could be a part of such an inquiry (who has experience with this topic)?
   • What could we learn from such an inquiry?
   • What could be our inquiry questions (related to experience, strength, resources, values, and wishes)?

Perhaps the group can answer these questions satisfactorily as a large group, or you may want them to meet in small groups to discuss and report back. If so, allow 30 minutes in the small groups and encourage them to report back with their responses, including potential questions, on flip chart.
3. By the end of this session, whether completed in large or small groups, the group should have a focus of inquiry and a list of key questions. This means they are ready for the Discover Stage.

**FACILITATOR NOTE:** At the end of this session, you should fill in the questions in the last part of the "Conducting Appreciative Interviews" handout, included with the next activity.
AI CHOICE OF FOCUS GUIDELINES

- Begin with what the group would like to explore and learn about itself.
- Encourage the group to choose its own focus, not what they think someone else wants them to do.
- Remember that it’s difficult, if not impossible, to remove a topic from a group’s agenda once an inquiry has begun so encourage them to choose carefully.
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- If the topic is general, e.g. “cooperation,” encourage the group to focus in a bit more.
- Exploring the topic choice in itself can be an intervention.
- The “focus” or topic can have more than one part, but even in a large-scale inquiry, the group should tackle no more than 5 “sub-topics.”
In part, the strength of your appreciative inquiry process will depend on the quality of the questions asked. Practitioners of AI often say that our questions are “fateful.” Questions lead us in directions. So, make sure your interview process contains questions that help move the group in a positive, life-giving direction.

WHAT QUESTIONS SHOULD WE ASK?
The following four generic questions provide the basic foundation for an appreciative inquiry. You can modify and add to these questions to fit your topic focus and situation. (Adapted from Watkins and Mohr)

1. **Best Experience**: Tell me about the best times that you have had with your community (or group, or organization). Looking at your entire experience, recall a time when you felt most alive, most involved, or most excited about your involvement. What made it an exciting experience? Who was involved? Describe the event in detail.

2. **Values**: What are the things you value deeply -- specifically, the things you value about yourself, your family, your work, and your community (or group, or organization)?

3. **Core Life-Giving Factor or Value**: What do you think is the core life-giving factor or value of your community? What is it that, if it did not exist, would make your community (or group or organization) totally different than it currently is?

4. **Three Wishes**: If you had three wishes for this community (or group or organization), what would they be?

- When developing questions related to your group’s focus, start with the above generic questions.
- Add additional “probing” questions that help get more detail – such as who, what, when, why, and how related to the story.
- Start with stories of group’s success – then stories of individual success
- Since story telling is central to appreciative inquiry, develop open-ended questions that encourage stories, conversation and dialogue.
- Avoid “yes” and “no” questions because of their “dead end” nature.
- Use questions that will help to strengthen the group. For example, “Tell a story about a time when the group worked together to achieve something that benefited all.” Or, “Tell a story about a time when the group worked together to help you achieve something that was important to you.”
- Encourage personal accounts, rather than stories about others.

EXAMPLES OF QUESTIONS

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**Personal Questions**

- Recall a story about an exceptional empowering experience in your life. What made it remarkable?
- Tell a story about a time when you felt you overcame a significant challenge to achieve something remarkable. How did you feel?

**Internally-looking Questions**

- Tell a story about a time when you were really excited to be a part of the group.
- Tell a story about a time when a new way of doing things helped your group to achieve something important. Describe what happened specifically.

---


Tell about a time when you felt the group was at its best – when energy and enthusiasm were particularly high.

Tell about a time when you felt decisions were made in a participatory way. What was happening? How did this make people feel?

**Externally-looking Questions**

Tell about a time when the group did something exciting with others in the community or outside the community. How did people feel? What was happening?

Tell about a time when others in the community showed particular interest in or respect for your group. How did this happen? How did it make people feel?

**Follow-up Questions**

These are questions the facilitator can ask, or group members can ask each other to reveal more detail.

Examples:

- What happened specifically?
- How did it make you feel?
- How do you feel now as you recall it?
- What would it feel like to have such moments on a deeper and more frequent level?
DISCOVERY: Exploring The Best Of What Is
-Part One-

PURPOSE: To provide the opportunity for participants to interview each other to identify: The best of what is (best experiences, strengths and resources, values, core life-giving factors) and wishes for the future.

MATERIALS: Handouts:
- Conducting Appreciative Interviews
- Analyzing Stories

Pieces of paper (squares, circles and rectangles, approximately 6”X 6” each). Approximately 3 pieces of each per participant.

TIME: Approximately 3 hours

PROCESS:

1. Explain purpose. Explain that this session will have two parts.

2. Explain that, “The very action of asking people to reflect on and tell stories about exceptional moments in the present or past of their organization and to identify how they hope things will be different in the future (the wish question) is a powerful intervention that begins to move groups in directions that are positive and life-giving. -----It is the combination of positively focused inquiry, positively focused dialogue, and the resultant influence on the collective imagination that propels forward movement.” (Watkins and Mohr, 2001)

3. Explain that during this step participants will be interviewing each other then collectively analyzing their own data. The session will have the following 3 parts:
   A. Preparing to Interview (10 min)
   B. Conducting Interviews (1 hour 20 min)
   C. Compiling Results (Analyzing Stories) (60 min)

4. Explain the importance of stories based on people’s experiences using the following points and attached handout:
   - People are able to provide rich answers to questions seeking information about success in their own lives, groups, organizations, etc.
   - Information that comes through personal narratives and stories is generally richer, and more accurate than merely listing strengths, for example.
   - Through stories, strengths, values, and resources emerge, but more naturally.
   - Story telling is part of most cultures. People are usually comfortable with stories.
   - The very act of asking and answering questions begins to shift energy in the direction of the questions being asked – our questions are “fateful”
   - Stories engage the imagination in ways analytical discussions cannot.
   - Stories stimulate excitement and delight!

5. Distribute handout with Questions.

6. TELLING STORIES. Explain, again, that we will be learning about this beginning step of AI by doing it. Review the process and ask participants to find a partner. Ask them to come back after about 80 minutes. The time may vary, but they should take their time, explore the interviews in depth. Check on participants, though, and they may be ready to come back to the large group before 80 minutes.

7. When the group comes back, ask if each is willing to share a bit of his or her story, or a “quotable quote”

8. ANALYZING STORIES. After all have finished, ask them to begin analyzing their stories in pairs, according to the following guidelines. Distribute the handout, “Analyzing Stories,” and go through with participants. Point out that typically stories, if probed, reveal individual and group resources, values, strengths, achievements, aspirations.
Distribute pieces of paper (squares, circles and rectangles, approximately 6”x6” each). Ask them to write strengths (from their stories) on the squares (one strength per square), values on triangles (one value per triangle), and wishes on circles (one wish per circle), 2 pieces of flip chart paper, and tape or glue to each pair.

9. By the end of this part of the session, each pair should have a poster with words or a poster with pictures illustrating their high points and underlying factors. Ask each team to post and briefly explain their results.

Discuss after each pair. Ask if others have any comments or questions related to the strengths, values, and wishes they are hearing. NOTE: This is not a time for others to challenge what people are saying, but to ask questions. The facilitator could also ask if others related to the strengths, values and wishes that are surfacing – are they effected by these, too?

Make sure all strengths, assets, resources; values; and wishes link back to the stories.

10. Remind the group of the importance of documenting strengths, values, and other underlying elements is VERY IMPORTANT because group members will refer back to, and build upon, this information during the DREAM stage.

11. Explain that the next step is to further analyze the strengths, values, and wishes in small groups.
FACILITATOR NOTE:

Teams can use drawings to illustrate their high points and contributing factors.

Options for one-on-one interviews:

- Train a small team of community facilitators who then interview. Community should still analyze data.
- Small groups meet and discuss then bring data forward.
- Individual story telling in a facilitator-led group.
CONDUCTING APPRECIATIVE INTERVIEWS

WHY STORY-TELLING?
- People are able to provide rich answers to questions seeking “data” about success in their own “systems” (lives, groups, organizations, etc).
- Information that comes through personal narratives and stories is generally richer, and more accurate, than merely listing strengths, for example.
- Through stories, strengths, values, and resources emerge, but more naturally. Most people in most cultures are also comfortable with stories – story telling is part of most cultures.
- The very act of asking and answering questions begins to shift the system in the direction of the questions being asked – our questions are “fateful”.
- Collective surfacing of memory invites multiple forms or innovation, not necessary possible with more linear thinking.
- Stories have depth and breadth that allows more to be conveyed than just a list or key points.
- Engage the imagination in ways analytical discussions cannot.
- Telling and listening to stories stimulates excitement and delight!

INTERVIEW GUIDELINES
- Choose someone you do not know or someone you would like to know better.
- Use the interview guide as your “script,” to interview each other for 45 minutes each. Choose a location where you both feel comfortable.
- Capture key words and phrases.
- Introduce and ask the questions as they are written.
- If necessary, use additional questions to encourage the interviewee.
- Let the interviewee tell his or her story. Try to refrain from giving yours. You will be next.
- Listen attentively. Be curious about the experience, the feelings, and the thoughts. Allow for silence. If your partner does not want to or cannot answer a question, it is OK.
- Allow Enough Time and Watch Your Time – If there is a set time limit for the interview, be aware of it and stick to it. If you need more time, ask if this is possible.
- Focus on incident itself and not unnecessary background information.
- Seek firsthand experience rather than stories about others (stories about group of which interviewee is a member OK).
- Deal constructively with negative comments or a tendency to focus on problems.

Postponing –
Acknowledge what the person says and comment that you’d like to come back to it later. Then, when you reach the “wishes” part, mention that this is where commenter can turn his/her “negative data” into a wish.

Listening and Acknowledge Feelings –
Listen carefully, keeping an affirmative spirit. People may need to express their feelings before they can move on to thinking more appreciatively. Recognize that some people may feel discouraged and have difficulty initially focusing on the positive. Acknowledge these feelings, and try to steer them back to the more positive question.

Encourage
Help people see what they have overcome. They may still be dwelling on the negativity of a particular situation. Help them to see (and celebrate!) the fact that they have moved on.

Redirecting –

Encourage trying to think even of small moments of success. If they insist this has never happened, ask them to think of a similar success in another context.

**Using Negative Data/Reframing** –
Invite them to turn the negative data around. In other words, if they were saying, “people in this community aren’t willing to do anything on their own.” Ask, “Your saying this suggests that you have an image in your mind of what the community would look like if it did work on its own. Could you describe that for me?” (Watkins and Mohr suggest that all negative data be conditioned by affirmative images.) If the person has difficulty reframing, do it for him/her and then confirm your restatement with the interviewee.

- Have fun.
- At the end of the two interviews, take some time to talk with your partner about what the interview was like for each of you.

**INTERVIEW QUESTIONS**

<table>
<thead>
<tr>
<th>1. Best Experiences:</th>
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<tbody>
<tr>
<td>2. Values:</td>
</tr>
<tr>
<td>3. Core Life-Giving Factor or Value:</td>
</tr>
<tr>
<td>4. Wishes:</td>
</tr>
</tbody>
</table>

*Facilitator Note: Complete this section after you have worked with the group to develop the focus of the inquiry and questions.*
ANALYZING STORIES

Accept all stories for what they are and try to find strengths in them. Encourage and validate what people offer. You and your partner have 30 minutes to complete the following task.

1. Identify strengths and enabling conditions for each person’s story
   
   *ASK:* What strengths, assets, or resources made the achievements/best moments possible?

2. Deepen the analysis by asking probing questions to reveal underlying values, strengths, factors, and elements that led to the success. Typically stories, if probed, reveal individual and group resources, values, strengths, achievements, and aspirations.
   
   *ASK:* What values do the stories reflect?
   
   *ASK:* What external conditions existed that contributed to the peak experiences?

3. Explore deep values that the stories might reflect.
   
   *ASK:* What is it that, if it did not exist, would have made the situations totally different from what they were?

4. Explore what is behind individual wishes.
   
   *ASK:* What will change if the wish comes true? What is behind the wish?

5. Using the pieces of paper distributed to your group, write *strengths* (from your stories) on the squares (one strength per square); values on triangles (one value per triangle); and wishes on circles (one wish per circle).

6. Make one large poster for your pair combining the strengths, values, and wishes of both persons. This is the beginning of analyzing your data.

7. Prepare to report back
DISCOVERY: Exploring The Best Of What Is  
-Part Two-

PURPOSE: To identify themes from information generated during part one.

MATERIALS: Handouts:
- Identifying and Analyzing Themes.
- Examples of themes.

TIME: PROCESS:

1. Explain the purpose.

2. Ask pairs to form groups of 6 (3 pairs per group). The groups should work through the following process to help each other draw out themes from their posters.

   Explain that a **theme** is those elements that appear in stories and **give life** to an organization. Sometimes they may seem like “main connecting ideas.”

   “Themes become the basis for collectively imagining what the organization would be like if the exceptional moments that we have uncovered in the interviews became the norm in the organization.” (Watkins and Mohr, 2001)

   Themes are those ideas or concepts that are present in the stories when people report their moments of greatest excitement, achievement, joy, etc.

3. Explain and give out handouts. Remind them that it is especially important to identify underlying conditions or elements that contributed to success. Allow 30-40 minutes for identifying themes.
   - Look for themes of “life-giving” forces in the stories.
   - Decide on 3-5 themes that seem to capture the life-giving forces in your group’s stories. But you should be expansive and inclusive at this point, so don’t let the numbers constrain you. More is OK.
   - Each group should also post their themes on a Scattergram like this:

<table>
<thead>
<tr>
<th>THEMES</th>
<th>**’s</th>
</tr>
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<tbody>
<tr>
<td>1</td>
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<tr>
<td>2</td>
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<td>3</td>
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<td>4</td>
<td></td>
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<tr>
<td>5</td>
<td></td>
</tr>
</tbody>
</table>

4. Once all have finished, ask them to post their scattergrams close together. Don’t, at this point, put together similar themes or combine the charts in any way. Later the group can note similar themes that will emphasize their importance.

5. Next, give each person 4-5 dots of the same color (NOTE: People can also use markers and make a certain number of check marks. The scattergram is more vivid when only one color is used). Give people 5 minutes to carefully read the themes from all charts. They should put their dots on the charts – only one dot per theme from each person.

6. By this point participants will be able to see areas of strongest general interest. The themes provide insight into the life-giving forces in the stories. They provide a foundation for building a positive future.

   The group can move on to writing provocative propositions (possibility statements) for these themes at this point. Or, the facilitator could lead them through a visioning process as described in the next activity.
7. Ask them how they can know that the Discovery Step was “successful?” – Add the following if no one mentions.

- Stories were factual.
- We feel we know more about the community/group; new strengths revealed.
- Stories were inspiring and energizing.
- See links between strengths, values, wishes, and themes.
- Stories reflect some of what is already known about group.
- Relationships within group strengthened.
- Stories and enabling factors were adequately documented.
- Group understood process.

**FACILITATOR NOTE:**
Encourage group to start a process where they open each meetings with a story reflecting success, assets, high point, etc. This will help to continue the discovery process.

Options in addition to scattergrams for presenting themes:

- Pictures
- Posters
- Songs
- Symbols
IDENTIFYING AND ANALYZING THEMES

- Look for those elements that “give life” in the individual group members’ stories.
- Document the “themes” – in writing, pictures, symbols, drawings, etc.
- Prepare to present your themes back to the groups in symbols or words, as well as an explanation of how you came up with them.
Examples of Themes

The following are examples of “themes,” or life giving forces, identified by participants in appreciative inquiries. Themes can be thought of as those parts of collective stories that give life; those parts that relate to participants “feelings of success,” those parts that help to identify” clarity and purpose. ”

“There is no prescription for a theme. It is entirely up to the group to decide on the life-giving forces of its own system. The challenge for the AI facilitator is to let the group go where it needs to go with as little constraining structure as it is possible to have and still maintain enough order to get the work done. There are no right or wrong answers, only answers that have meaning to the group itself.”

Focus: Experience using participatory approaches with communities
Cooperation.
Interaction.
Transparency.
Desire to improve situation.
Commitment to Development.
Collaboration.

Focus: Team Strengthening
Relaxed atmosphere.
Checking in with each other.
Shared roles.
Feelings of being liked.

Focus: Transfer of AI to workplace
Rigorous in planning research.
Effective and timely decision-making.
Have taken opportunities to develop leadership styles.
Using collective experience more effectively to make decisions and make progress in research.

Focus: Experience of working lives in an organization
Doing things collectively.
Commitment to appreciating each other.
Transitioning from prosperity to austerity can lead to innovation and creativity.

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DISCOVERY: Other Helpful Tools

PURPOSE: To engage participants in identifying other tools with which they are familiar, or already using, that can also be useful during this phase of AI.

MATERIALS: Handouts
- Adapting Participatory Tools for Gender Analysis

TIME: 1 hour

PROCESS:

1. Explain the purpose. **Emphasize the importance of starting with the interviews.** It’s only through the interview process that individuals can express their high points/successful times. It is also essential to integrate some form of gender analysis into the AI process at each phase.

   And, through using additional tools, assuming time and resources permit, the community should be able to develop more in-depth information.

2. Divide participants into groups of 5-6. Ask each group to reflect on the Discovery Phase and discuss what other participatory tools and techniques could enhance this step. How can existing tools be adapted to contribute to the AI step of Discovery? Ask each group to list tools and also be prepared to explain how they would use them during this phase.

   (20 minutes)

3. After all have finished, ask each group to present. After each presentation, ask for comments from the others.

4. Point out the following tools if not already mentioned.
   - Social Mapping.
   - Assets Mapping.
   - Gender Analysis.
   - Transect “Opportunities” Walk.
   - Skills Inventory.

5. Close by reminding the group of the importance of conducting the interviews first. And that using other tools will help to make the data richer. But, if time or resources are constraints, stick to the interviews and some form of gender analysis.

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**A group of African trainers felt that the following participatory activities might be helpful in the Discovery Stage:**

- **Brainstorming strengths, values and wishes in combination with story telling.**
- **Resource mapping or strengths, values, and wishes.**
- **Role plays demonstrating strengths, values, and wishes.**
- **SWOT analysis – but focusing on strengths and turning weaknesses into Wishes.**
- **Trend analysis – focusing on positives and turning negatives into Wishes.**
Many participatory tools can be adapted for gender analysis, particularly at a community level. Information generated by these tools is useful in creating a vision, design and action plan for the desired future. On the website listed below, a table illustrates adaptations of some PRA methods used by FAO for gender analysis in agricultural development planning in Nepal. The table below reflects modification of some items from the website table to make them less problem-focused and more “appreciative.” Several of these tools might be useful at various points during the AI Process.

<table>
<thead>
<tr>
<th>Name of Tool</th>
<th>Purpose</th>
</tr>
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<tbody>
<tr>
<td>Social and resource mapping</td>
<td>- Indicate spatial distribution of roads, forests, water resources, institutions, and other socio-economic characteristics/variables.</td>
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<tr>
<td></td>
<td>- Identify households, their ethnic composition and other socio-economic characteristics/variables.</td>
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<tr>
<td>Seasonal calendar</td>
<td>- Assess workload of women and men by seasonality.</td>
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<td></td>
<td>- Learn cropping patterns, farming systems, gender division of labour, food scarcity, climatic conditions and so forth.</td>
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<tr>
<td>Economic well being ranking</td>
<td>- Understand local people's criteria of wealth.</td>
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<td></td>
<td>- Identify relative wealth and the different socio-economic characteristics of households and classes.</td>
</tr>
<tr>
<td>Daily activity schedule</td>
<td>- Identify daily patterns of activity based on gender division of labour on an hourly basis and understand how busy women and men are in a day, how long they work and when they have spare time for social and development activities.</td>
</tr>
<tr>
<td>Resources analyses</td>
<td>- Indicate access to and control over private, community and public resources by gender.</td>
</tr>
<tr>
<td>Mobility mapping</td>
<td>- Understand gender equities/inequities in terms of contact of men and women with the outside world.</td>
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<td></td>
<td>- Plotting the frequency, distance, and purposes of mobility.</td>
</tr>
<tr>
<td>Decision making matrix</td>
<td>- Understand decision making on farming practices by gender.</td>
</tr>
<tr>
<td>Venn diagram</td>
<td>- Identify key actors and establishing their relationships between the village and local people.</td>
</tr>
<tr>
<td>Community action plan</td>
<td>- Assess the extent to which women's voices are respected when men and women sit together to work on aspects of action plans important to women</td>
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<tr>
<td></td>
<td>- Understand development alternatives and options, and give opportunity to men and women to learn from each other's experiences and knowledge.</td>
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Appreciative Inquiry – A Bit of Theory

PURPOSE: To develop a better understanding of the theory underlying AI.

MATERIALS: Handouts:
- The Structure of Appreciative Inquiry.
- AI Theory Talking Points.

TIME: 30 minutes

PROCESS:
1. Explain the purpose. Point out that although AI is practical and experiential, some theory and background can also be helpful in understanding its underpinnings.

2. Using the attached, “Structure of AI,” describe the foundational pieces of AI.

3. If you are working with a group particularly interested in theory, you may also use the “AI Talking Points” handout to discuss the following:
   - The power of image.
   - The placebo effect: The power of our own images of ourselves.
   - The Pygmalion Studies: The Impact of Another’s Image of Us.
   - Positive Thinking Meta-Cognition: Using our internal dialogue for positive impact.

3. Discuss Shifting Frameworks: (put both on FC)
   - What’s keeping the community from working together to improve our situation?
   OR
   - During our exceptional moments as a community, when we care about each other and work together on a common goal, what conditions, factors, or contributing dynamics are present?

   Our choice of frameworks is “fateful” because either will lead us down a path of questions and dialogues. AI suggests that all efforts related to change should shift to focus on health rather than pathology; shift from analysis of malfunction to a better holistic understanding of moments of optimal performance.

   The choice to focus on moments of optimal performance and our conscious use of inquiry are powerful interventions in and of themselves.

4. In small groups, invite participants to discuss Q&A related to AI. They should bring remaining questions back to the larger group for discussion.

5. Close by reminding the group that experiential learning is often most effective – and that’s what we’ll be doing for the rest of the workshop.
THE PRACTICE OF APPRECIATIVE INQUIRY

The many activities, steps, and applications of AI that are uniquely different in each situation.

THE “DNA” of AI

THE FIVE CORE PRINCIPLES

The constructionist principle.
The principle of simultaneity.
The anticipatory principle.
The poetic principle.
The positive principle.

FIVE GENERIC PROCESSES for AI

1. Choose the positive as the focus of inquiry.
2. Inquire into stories of life-giving focus.
3. Locate themes that appear in the stories and select topics for further inquiry.
4. Create shared images for a preferred future; and
5. Find innovative ways to create that future.

THE “SOIL” OF AI

- Sociology of knowledge (Social Constructionism).
- New Sciences (Chaos theory, Complexity Theory), Self-organizing Systems, and Quantum Physics).

\[12\] Watkins and Mohr (2001). Appreciative Inquiry: Change at the speed of Imagination. San Francisco: Jossey-Bass. And from original research by David Cooperrider at Case Western Reserve Univ. Weatherhead School of Management and many other AI researchers and practitioners.
AI TALKING POINTS\textsuperscript{13}

AI assumes a link between a positive image and positive action. In the field of medicine, there is increasing evidence of the power of the mind to contribute to the healing of the body. The images we hold influence the actions we take.

- **The Placebo Effect: The Power Of Our Own Images Of Ourselves**
  Based on studies started in the 1950s, 1/3 to 2/3 of all patients show marked physiological and emotional improvement in symptoms simply by believing that they are being given effective treatment. Further enhanced if the doctor prescribing treatment also believes he or she is helping. Many books and studies exist today on the mind’s power to heal. Role of attitude all contribute to healing (Implications for OD: What happens if we hold images of excellence?)

- **The Pygmalion Studies: The Impact Of Another's Image Of Us**
  (1970s and 1980s) Teachers were told that some students were not very intelligent, did poorly, and were not well behaved – while others were bright, promising, hard working and successful. While the teachers thought these descriptions were true, the students were actually randomly chosen. Within a very short time, almost without exception, those labeled poor students performed poorly, and those labeled as high potential excelled. Teachers responded to students according to what they expected from the students. Long-term follow-up said the image followed students far into the future. The image the teacher held was a stronger predictor of future performance than IQ, home environment or past performance. These studies were found to be so damaging that the scientists stopped them. Expectations that we have of communities, each other, employees, colleagues, etc. can have a similar profound effect. (Implications for OD: These studies suggest that employee reviews that focus on things a person does wrong are likely to help insure that the person will perform poorly.)

- **Positive Thinking**
  Other studies looked at ratio of positive thoughts as opposed to negative thought patterns in people facing major heart surgery. Those with positive thought ratio (2:1) recovered at a much greater rate than those with feelings dominated by fear and concern.

- **Using Our Internal Dialogue For Positive Impact**
  Evidence suggests, especially in sports, that we can learn how to create positive images for ourselves that will impact our performance, health, sense of well being, even relationships with others. Examples from sports indicate that “I’m going to make that basket” rather than, “Don’t miss the basket” or “I’m going to hit the golf ball straight down the middle of the fairway,” rather than, ”Don’t hit the ball into the woods!” causes the whole body to respond to what the mind imagines is possible. Paradoxically most of us believe that elimination of failures and negative self-monitoring (“No, not the woods) will improve performance, when exactly the opposite appears to be true. – For similar reasons, many trainers are reluctant to use “negative” examples – what one shouldn’t do – when training trainers.

DREAM: Envisioning What Might Be

PURPOSE: To provide the opportunity for participants to create shared images for a preferred future, based on the “best of what is” identified during the DISCOVERY Phase.

MATERIALS: Copy of Guided visualization.
Paper and pens.
Long pieces of paper and markers.

TIME: 5 hours (including the optional session on writing Provocative Propositions).

PROCESS:

1. Explain the purpose.

2. Remind participants that this phase builds upon what was “discovered” during the first stage of AI. So, it is important at this point to review strengths and themes from the DISCOVERY Stage. This is especially important if a significant amount of time has elapsed between the Discovery and Dream phases.

3. This is a time to articulate dreams and their purpose. It is also a time to recall the strengths and values behind each dream.

   Our dreams, collectively help to form a vision related to what we are inquiring about. Many people believe that having a shared vision of a desired future situation helps to reach that desired positive end. Athletes often envision themselves succeeding before competitions. Leaders in government and business participate in visioning exercises to help them imagine positive futures for their companies or organizations or governments. Explain that a tangible vision that describes the future can actually give shape and direction to the future. Such a vision ultimately helps to guide and develop actions that can move us closer to realizing the desired vision. But a vision is only helpful when it’s POSITIVE. Even though every situation has its difficulties, the vision must be positive. Who wants to work towards a negative future?

4. Invite the participants to join you on a journey to the future – to a time when the group has successfully built upon the strengths and resources identified in their stories.

   Use a guided visualization like the following to help participants enter into the future. Adapt the “visualization” to make it fit, and reflect, the focus of the inquiry.

   It is 2010. You have been gone from Malawi for several years. When you return, you see that many of your dreams for organizations working with communities have been realized. As you visit some communities. What do you see? What are people talking about? Who are the decision-makers? What are the achievements? What has pleased you most about what you have seen and heard? (Adapt this to fit, and reflect, the focus of inquiry)

5. Allow 5-10 minutes for writing out individual dreams.

6. Then post and explain the following group task (flip chart): (could also hand out to participants)

   - Participants meet in groups of 5-6 persons.
   - In the small groups, all should LISTEN as each person describes his/her vision.
   - Discuss similarities and differences – also note unique or unusual points.
   - Using symbols, drawings, and words, each group should make a composite picture of their shared vision. Try to capture as many ideas in your picture as possible.
   - Prepare to present back to the larger group.
   - 1 hour for small group discussion and development of composite vision; 10 minutes to present; 10 minutes for questions and answers regarding the vision.
7. Divide participants into groups and ask them to begin.

8. After all have completed their visions, ask each group to present its vision. Ask the others to listen for commonalities, differences, and unique elements.

9. Ask if there are clarifying questions after each presentation. Explain that there will be a longer discussion after all have presented. Encourage anyone from the group to respond, not just the presenter.

10. After all have presented, begin a discussion with the following questions.

   • What main ideas emerge from the visions?
   • Do they reinforce existing strengths?
   • How do the visions differ?
   • Who are the stakeholders?
   • Are significant aspects missing?
   • Are the visions challenging, yet realistic?
   • Achievable?
   • Heavily dependent on outsiders?
   • Does a shared “vision” emerge?

11. Some groups may stop here. Or, if there’s time and sufficient literacy level, engage the group in writing Provocative Propositions (Possibility Statements). (See next page) This session will take about an hour.

12. Close by summarizing and re-stating the high points. Link back to DISCOVERY.

**TRAINER NOTE:**

Many things can emerge through visions. Sometimes groups begin to think about changes that need to occur to reach the vision. Visions also help groups develop over-arching mission statements.

**TRAINER NOTE:**

Writing provocative propositions (possibility statements) based on the dreams is a useful activity, but works best with literate groups. But if even a few members are literate, they might want to tackle it. See attached notes.
SMALL GROUP TASK FOR CREATING A VISION

1. In small groups, all should LISTEN as each person describes his/her vision.
2. Discuss similarities and differences – also note unique or unusual points.
3. Using symbols, drawings, and words, each group should make a composite picture of its shared vision. Try to capture as many ideas in your picture as possible.
4. Prepare to present back to the larger group.
5. 1 hour for small group discussion and development of composite vision; 10 minutes to present; 10 minutes for questions and answers regarding the vision.
DREAM: Writing Provocative Propositions/Possibility Statements

PURPOSE: To provide the opportunity for participants to articulate the “dream” picture.

MATERIALS: Handouts

- Writing Provocative Propositions (Options One and Two).
- Small group task assignments (Option One).
- The pictorial “visions” created in previous session (Option Two).
- Examples of Provocative Propositions.

TIME: 1 hour

PROCESS:

**OPTION ONE**

1. Explain the purpose. Remind the group that provocative propositions describe the group “when it is at its best.”

2. Ask participants to imagine being several years in the future, after they have accomplished many of their dreams. Their group has just been nominated for a prestigious award for organizational excellence. The award recognizes outstanding groups that should serve as a model for the entire country. Assign participants to groups and give each group a copy of the assignment (note that assignments vary from group to group).

   Ask each group to read and discuss their assignment. (See following pages) They should then prepare to demonstrate or act out their task. For example, if it is a radio broadcast, they should make it sound like one. If it is a TV spot, it should look like a TV spot.

   Allow 15 minutes for the group activity.

3. After all have finished, ask the following:

   - Do all of these statements describe the group at its future best?
   - Do the statements challenge?
   - Inspire?
   - Are they shared?
   - Do they help to connect the group’s resources and dreams?
   - Are we ready to move on to designing a future that will achieve this?

4. Explain Provocative Propositions using the attached handout. Distribute handout.

   Be sure to mention that “provocative Propositions” bridge the best of “what is” with the best of “what might be.”

5. Ask if they think what they have written are their provocative propositions? If so, then move ahead. If not, ask: What needs to change in order to turn them into good provocative propositions.

   Point out that provocative propositions help to clarify shared visions – they create a set of unique statements that paint a picture of the desired future.
6. We do not need to consolidate these statements. They will help provide direction needed as we move to the next stage of DESIGN.


OPTION TWO

1. Explain the purpose.

2. Ask the group to describe what the pictures are saying in their vision. Listen carefully. Capture the words on flip chart. Many times the descriptions of the pictures are, in fact, provocative propositions.

3. After they have finished describing the pictures and the facilitator has captured their descriptions on flip chart, ask the following:
   - Do all of these statements describe the group at its future best?
   - Do the statements challenge?
   - Inspire?
   - Are they shared?
   - Do they help to connect the group’s resources and dreams?
   - Are we ready to move on to designing a future that will achieve this?

4. Explain Provocative Propositions using the attached handout. Distribute handout.

   Be sure to mention that “provocative Propositions” bridge the best of “what is” with the best of “what might be.”

5. Ask if they think what they have written are their provocative propositions? If so, then move ahead. If not, ask: What needs to change to turn them into good provocative propositions?

   Point out that provocative propositions help to clarify shared visions – they create a set of unique statements that paint a picture of the desired future.

6. We do not need to consolidate these statements. They will help provide direction needed as we move to the next stage of DESIGN.

   --Idea for Option Two was “discovered” by a group of Malawian Trainers as they were asking community members to describe the pictures and symbols in their visions. They realized that the descriptions were actually Provocative Propositions.
Writing Provocative Propositions – or Possibility Statements

Writing “provocative propositions” – or possibility statements—is another way to record and further digest the output of the Dream State.

A Provocative Proposition is a statement that bridges the best of “What is” with your own speculation or intuition of “What might be.” It stretches the status quo, challenges common assumptions or routines, and helps suggest real possibilities that represent a desired image for the organization and its people.14

A good provocative proposition should meet the following criteria15:

It is provocative. It stretches and challenges the group, forcing it to move beyond the parameters of its normal routines.

It is grounded. Similar challenges have been met in the past and, as such, the vision represents a compelling possibility.

It is desired. All group members would like to be a part of the group as it is described in the statement.

It is stated in the present tense and in affirmative language. This helps the group project a positive self-image of itself.

It is highly participative. Achieving the statement will require effort and input from all group members.

It stimulates organizational learning. The statement directs group members to be more attentive to those qualities that exist when the group is at its best.

It addresses multiple aspects of the group's structure and activities. This could include such things as leadership, societal purpose, communication, staff, structures, business practices, community relations, etc.

It balances existing activities with future goals through a strategic transition.

Because of the verbal nature of provocative propositions, they work best with groups having some level of literacy.

14 Watkins and Mohr (2001)
GROUP TASK for Provocative Propositions

(Cut these into four pieces and give one to each of 4 groups).

GROUP ONE
Imagine being several years in the future, after your group has accomplished many of its dreams. Your group has just been nominated for a prestigious award for organizational excellence. The award recognizes outstanding groups that should serve as a model for the entire country.

A national television station is sending a camera crew to interview your group. You will have 30 seconds of airtime to describe why your group is so exceptional, where it finds its energy, and what it contributes to the sustainable development of Malawi.

GROUP TWO
Imagine being several years in the future, after your group has accomplished many of its dreams. Your group has just been nominated for a prestigious award for organizational excellence. The award recognizes outstanding groups that should serve as a model for the entire country.

The Daily Times has set aside two inches column of space to cover the story. They would like to know what makes the group perform so well, why it makes the country a better place, and how it maintains such a high level of enthusiasm. Develop a short newspaper item.

GROUP THREE
Imagine being several years in the future, after your group has accomplished many of its dreams. Your group has just been nominated for a prestigious award for organizational excellence. The award recognizes outstanding groups that should serve as a model for the entire country.

The secretary General of the United Nations is phoning to congratulate your group and hold your group up as an example to the rest of the world. You have 30 seconds to describe the qualities and values that contributed to your group’s success and your mission in the world. Develop a 30-second statement.

GROUP FOUR
Imagine being several years in the future, after your group has accomplished many of its dreams. Your group has just been nominated for a prestigious award for organizational excellence. The award recognizes outstanding groups that should serve as a model for the entire country.

The Prime Minister wants to know why you deserve this prestigious award. He can only be reached by telegram. In 60 words or less, describe why the group is so exceptional, what gives it life, and why the country should be proud of you. Develop a 60-word telegram.
EXAMPLES OF PROVOCATIVE PROPOSITIONS
(POSSIBILITY STATEMENTS)¹⁶

Following are examples of Provocative Propositions. These statements should grow out of/reflect the vision. Then should stretch the group beyond the “status quo” or current norm. These should be “fundamental statements about human potential and organizing – how we want to relate to each other and pursue our dreams”¹⁷

Provocative propositions are the group’s “best attempts” to put the dream picture into inspiring challenging action. The provocative propositions should describe how the organization/group/community/ would feel and look when all chosen themes are “at their best.”

FOCUS: Community Management of HIV/AIDS

• Well-educated and highly skilled orphans that are either self-employed or on good jobs and are fully independent.
• The old people in the village are staying in very good and clean houses with nice pit latrines and have enough food from properly managed gardens of their own.
• The village drug-box has a wide variety of drugs, which are replenished and managed by the village community.
• The entire village community is united and committed to fight the HIV/AIDS pandemic.

FOCUS: Using Participatory Approaches with NRM activities

• We function as a well-connected network of professional trainers.
• We use innovative and creative approaches effectively with communities.
• We actively collaborate with each other whenever possible.

OTHER EXAMPLES:

• We build on each other’s strengths.
• We respond to the unpredictable with balance and passion.
• We step out of defined roles to pursue the extraordinary.

• WE have passion for our work!
• WE are creative!
• WE are appreciated!
• WE make a difference!

DREAM: Other Helpful Tools

PURPOSE: To engage participants in identifying other tools with which they are familiar, or already using, that can also be useful during this phase of AI.

MATERIALS: Handouts:
- Gender Analysis Matrix.

TIME: 1 hour

PROCESS:

1. Explain the purpose. Emphasize the importance of starting with the visualization. It is also essential to integrate some form of gender analysis into the AI process at each phase.

   And, through using additional tools, assuming time and resources permit, the community should be able to develop more in-depth information related to the desired future.

2. Divide participants into groups of 5-6. Ask each group to reflect on the DREAM Phase and discuss what other participatory tools and techniques could enhance this step. How can existing tools be adapted to contribute to the AI step of envisioning a desired future, building upon what was learned through DISCOVERY? Ask each group to list tools and also be prepared to explain how they would use them during this phase. (20 minutes)

3. After all have finished, ask each group to present. After each presentation, ask for comments from the others.

4. Point out the following tools if not already mentioned.
   - Song/Dance/Drama.
   - Stories.
   - Goal tree.
   - Collage.
   - Gender Analysis Matrix.

5. Close by reminding the group of the importance of using an activity that results in a vision. And, that using other tools will help to make the data richer. But, if time or resources are constraints, stick to the initial visioning activity and some form of gender analysis.

A group of African trainers identified the following participatory tools as being helpful in the Dream Stage:
- Resource Mapping: Pictures and symbols to show future use.
- "Future" (as opposed to historical) Trend Lines to show future possibilities.
Gender Analysis Matrix

Parker’s Gender Analysis Matrix 18 remains one of the most user-friendly and effective gender analysis tools for use with communities. This tool can be used effectively at the DREAM stage – and at other stages as well (see below) to determine the potential impact of Dreams on men and women and other groups within the community.

The What, Why, Who and When of the Gender Analysis Matrix:

- **WHAT**  A tool for gender analysis of development projects at the community level.
- **WHY**  To determine the different impacts of development interventions on women and men19.
- **WHO**  Analysis is done by a group within the community which, preferably, should include women and men in equal numbers.
- **WHEN**  At the planning stage to determine whether potential gender effects are desirable and consistent with programme goals; at the design stage where gender considerations may change the design of activities; and during monitoring and evaluation to address progress and impacts.

**The Matrix**

A matrix, such as the following one, can stimulate discussion around impacts of the DREAM stage on women and men. For example, what impact might elements of the DREAM have on women’s work? The response would go next to WOMEN and under LABOUR. What impact might outcomes of the DREAM stage have on women’s resources?

**EXAMPLE:**

<table>
<thead>
<tr>
<th>ACTIVITY: Bringing piped water to homes in a village</th>
<th>LABOUR</th>
<th>TIME</th>
<th>RESOURCES</th>
<th>CULTURE</th>
</tr>
</thead>
<tbody>
<tr>
<td>WOMEN</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>+Women no longer need to transport water</td>
<td>+Saves time</td>
<td>+Time to do other things</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MEN</td>
<td></td>
<td>? Training, building, and maintenance take time from other work</td>
<td>-Uneasy about women having free time</td>
<td></td>
</tr>
<tr>
<td>HOUSEHOLD20</td>
<td></td>
<td></td>
<td>+Better health +More water</td>
<td></td>
</tr>
<tr>
<td>COMMUNITY</td>
<td>+Trained persons for water system maintenance</td>
<td></td>
<td></td>
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</tbody>
</table>

**Guidelines for Use**

Developers of the GAM suggest the following guidelines for use of the process:

19 The tool can easily be adapted to determine impacts on other groups in the community as well.
20 In addition to categories of men and women, one could add or substitute other categories, such as youth.
• Initially a facilitator should introduce the use of the GAM to community groups. Eventually, community groups can facilitate this process for themselves.
• Where possible, women and men in equal, or close to equal, numbers should complete the GAM.
• The group should review and revise the GAM once a month for the first three months and once every three months thereafter.
• Group members should verify each box on the GAM each time they review it.
• Group members should add unexpected results to the Matrix.
• Groups should use the GAM in combination with other standard analysis tools such as monitoring.
DAY TWO: End-Of-Day Activities
1 hour

TOT PROCESS DIALOGUE and FACILITATION HINTS
Time for facilitators and participants to raise questions, explore ideas, and exchange suggestions for improved facilitation skills. (45 min)

APPRECIATIVE FEEDBACK SESSION
(15 minutes)
DESIGN: Finding Innovative Ways To Create The Desired Future

PURPOSE: Designing systems and processes that will help to achieve dreams (may mean redefining approaches to leadership, governance, participation, capacity building, roles and responsibilities, institutional relationships, mobilizing resources.)

MATERIALS: Materials related to dreams/visions from the previous session
(Stories, drawings, songs, etc.)

Handouts—(Optional)
- Appreciative Action Planning Form.
- Appreciative Action Monitoring Form.

TIME: 2 hours

PROCESS:

1. Explain the purpose. Post and explain the following points: Explain that during this session participants will be working with the issues from their visions to design actions, and needed systems and processes, that will help to lead to the desired future.

2. Post and review elements generated during the Dream stage (10 minutes). Explain that now we will begin planning how we can begin to make changes needed to help us realize our dreams.

3. One of the first things we need to do is sort out elements of the DREAM into short-range, medium-range, and long-range goals and objectives. Ask the group to define short, medium, and long-range accomplishments. Write out these definitions. (The definitions don’t matter as much as the fact that all three groups are sharing definitions. In other words, what does the group mean by “short-term objectives,” “medium-term,” and “long-term?”)

4. After 30 minutes, ask each group to report back. Allow ample time for discussion because there may not be agreement.

5. Once the group has more or less agreed on these, ask the small groups to

A. (Distribute Appreciative Action Forms.) Begin working on changes that would need to occur to support the various elements of the dream or vision.

B. Identify potential needed changes in roles and responsibilities, structures, approaches to leadership, governance, participation, capacity building, institutional relationships, mobilizing resources, systems etc. (30 minutes)

7. When groups are finished, ask them to report back. Discuss their results. Draw conclusions.

8. The small groups’ last task is to decide how to monitor – how will they know they are making progress. Explain and distribute the Appreciative Action Monitoring Form. Give the groups 30 minutes to work out a monitoring plan for one of their proposed actions. They should think about the who, what, when, why, and how of monitoring. (20 minutes in small groups)

8. Group report back. Help them consolidate their thinking into a unified monitoring plan.

FACILITATOR NOTE:
AI does not necessarily have to culminate in an Action Plan. In fact, many AI practitioners would argue that it should NOT. We have included this session and Action Planning template as an option for those individuals and groups who feel the process must culminate in a structured activity.
9. As a final step in this activity, ask participants, working again in small groups, to verify links between group strengths/resources, vision, and proposed action. Ask them to be specific.

10. Ask participants what will help to make their action plans effective? List responses.

Add the following if people don’t mention:

- Clear vision, goals, and results.
- Clear roles and responsibilities.
- Stakeholder ownership.
- Resources (human, financial, social, physical, natural).
- Systems.
- Capacity/skills.
- Internally focused (as opposed to relying too heavily on outsiders).
APPRECIATIVE INQUIRY ACTION PLANNING FORMAT\textsuperscript{21, 22}

<table>
<thead>
<tr>
<th>DESIRED RESULT (What do we hope to achieve through our action?)</th>
<th>ACTION NEEDED</th>
<th>RESOURCES NEEDED</th>
<th>SOURCE OF RESOURCES</th>
<th>RESPONSIBILITY (Who will do what? Indicate men and women’s roles)</th>
<th>TIME STARTED AND COMPLETED</th>
<th>CAPACITY/SKILLS NEEDED</th>
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</tbody>
</table>

\textsuperscript{21} Adapt this planning form to make it suitable to your situation. Keep it as simple and user-friendly as possible.

\textsuperscript{22} IMPORTANT NOTE: AI does not necessarily have to culminate in an Action Plan. In fact, many AI practitioners would argue that it should NOT. We have included this template as an option for those individuals and groups who feel the process must culminate in a more structured planning process.
### APPRECIATIVE INQUIRY ACTION MONITORING FORMAT

<table>
<thead>
<tr>
<th>DESIRED RESULT (What do we hope to achieve through our action?)</th>
<th>INDICATORS OF SUCCESS (How will we know we are making progress? That we have succeeded?)</th>
<th>WHAT MONITORING DATA WILL WE NEED?</th>
<th>WHERE IS/WHO HAS /HOW CAN WE GET THIS MONITORING DATA?</th>
<th>RESPONSIBILITY (Who will do what in terms of monitoring? Indicate men’s and women’s roles)</th>
<th>TIME STARTED AND COMPLETED</th>
<th>CAPACITY/SKILLS NEEDED</th>
</tr>
</thead>
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</tbody>
</table>

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23 Adapt this planning form to make it suitable to your situation. Keep it as simple and user-friendly as possible.
DESIGN: Other Helpful Tools

PURPOSE: To engage participants in identifying other participatory tools with which they are familiar, or already using, that they can also use during this phase of AI.

MATERIALS: Handouts:
- Gender Analysis Framework for Use During the Design Phase.

TIME: 1 hour

PROCESS:

1. Explain the purpose. Emphasize the importance of starting by sorting the issues in the visions, prioritizing wishes and other elements of the vision, then setting goals and objectives. It is also important to look at needed structural changes to the group and how it functions. This will involve integrating AI into existing process, in some cases, or changing those processes in others. As with previous steps, it is essential to integrate some form of gender analysis into the AI process into this phase, too.

2. As with previous phases, the community may find additional tools useful in working through the DESIGN phase.

3. Divide participants into groups of 5-6. Ask each group to reflect on the DESIGN Phase and discuss what other participatory tools and techniques could enhance this step. How can existing tools be adapted to contribute to the AI step of DESIGNING an action plan leading to the desired future – building upon what was envisioned during the DREAM stage? Ask each group to list tools and also be prepared to explain how they would use them during this phase. (20 minutes)

4. After all have finished, ask each group to present. After each presentation, ask for comments from the others.

5. Point out the following tools if not already mentioned.
   - Gender analysis tools.
   - Tree of Life.
   - Developing an Appreciative Eye.
   - Team strengthening.
   - Planning and budgeting

6. Close by reminding the group of the importance of conducting the interviews first. And that using other tools will help to make the data richer. But, if time or resources are constraints, stick to the interviews and some form of gender analysis.
## Gender Analysis Framework for Use During the Design Phase

<table>
<thead>
<tr>
<th>Category Of Enquiry</th>
<th>Issues To Consider</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Roles and responsibilities</strong></td>
<td><strong>Productive roles (paid work, self-employment, and subsistence production)</strong></td>
</tr>
<tr>
<td>What do men and women do?</td>
<td><strong>Reproductive roles (domestic work, child care and care of the sick and elderly)</strong></td>
</tr>
<tr>
<td>Where (location/patterns of mobility)</td>
<td><strong>Community participation/self-help (voluntary work for the benefit of the community as a whole)</strong></td>
</tr>
<tr>
<td>When (daily and seasonal patterns)?</td>
<td><strong>Community politics (decision-making/representation on behalf of the community as a whole)</strong></td>
</tr>
<tr>
<td><strong>Assets</strong></td>
<td><strong>Human assets (e.g. health services, education)</strong></td>
</tr>
<tr>
<td>What livelihood assets/opportunities do men and women have access to?</td>
<td><strong>Natural assets (e.g. land, labour)</strong></td>
</tr>
<tr>
<td>What constraints do they face?</td>
<td><strong>Social assets (e.g. social networks)</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Physical assets (e.g. IMTs, ICTs)</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Financial assets (e.g. capital/income, credit)</strong></td>
</tr>
<tr>
<td><strong>Power and decision-making</strong></td>
<td><strong>Household level (e.g. decisions over household expenditure)</strong></td>
</tr>
<tr>
<td>What decision-making do men and/or women participate in?</td>
<td><strong>Community level (e.g. decisions on the management of community water supplies)</strong></td>
</tr>
<tr>
<td>What decision-making do men and/or women usually control?</td>
<td></td>
</tr>
<tr>
<td>What constraints do they face?</td>
<td></td>
</tr>
<tr>
<td><strong>Needs, priorities and perspectives</strong></td>
<td><strong>Needs and priorities</strong></td>
</tr>
<tr>
<td>What are women’s and men’s needs and priorities?</td>
<td>&quot;Practical&quot; gender needs (i.e. in the context of the existing gender roles and resources e.g. more convenient water point to save women time and energy)</td>
</tr>
<tr>
<td>What perspectives do they have on appropriate and sustainable ways of addressing their needs?</td>
<td>&quot;Strategic&quot; gender needs (i.e. requiring changes to existing gender roles and resources to create greater equality of opportunity and benefit e.g. increasing women’s access to employment on roads).</td>
</tr>
<tr>
<td></td>
<td>Perspectives.</td>
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<td></td>
<td>Perspectives on delivery systems – choice of technology, location, cost of services, systems of operation, management and maintenance.</td>
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</table>

Source: [http://www.genie.ids.ac.uk/gem/index_sectors/infrastructure/in_tools1.htm](http://www.genie.ids.ac.uk/gem/index_sectors/infrastructure/in_tools1.htm)

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24 Developed by DFID Infrastructure Department
Planning For “Classroom” Demonstrations

PURPOSE: To enable teams to prepare for their demonstration sessions related to some aspect of AI.

MATERIALS: Flip chart and markers

TIME: 1.5 hours

PROCESS:

1. Explain the purpose. Remind groups that we often learn most by DOING. So far in the workshop we have been DOING AI. But since this workshop is a Training-of-Trainers workshop, so we also need to develop skills through training AI.

   So this workshop is providing an opportunity to practice training AI. Explain that participants will work in 9 teams of 2 (there may be some teams with 3) to design and facilitate a 40-minute session related to some aspect of AI prior to going out to the communities. Explain that the teams will have 1.5 hours to prepare – probably in two sessions (45 minutes Wednesday and 45 minutes Thursday).

2. Explain that teams will need to do the following during preparation for their practice sessions:
   - Decide what you will do during the 40-minute practice session – what do you hope to accomplish?
   - Decide who will be responsible for what?
   - Design sessions.
   - Make visual aids.
   - Practice.

3. Questions?

4. Ask the group to divide into teams and choose a time slot from the chart below (posted in the room). Strive for gender balance. Allow those from the same organization to work together if they want. Ask participants if there are any other factors that should be considered. (1.5 - 2 hours for preparation – half of this may be today and half the next day)

5. After all have finished, ask if any of the teams have questions they wish to ask of the facilitators or other participants, or are they ready to go?

6. Close by explaining that the demonstrations will provide teams the opportunity to practice AI in a “safe” environment and receive constructive feedback from each other before going out to the community.

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25 To be filled in once teams have completed their planning sessions.
Day Three: End-Of-Day Activities

1 hour

TOT PROCESS DIALOGUE and FACILITATION HINTS
Time for facilitators and participants to raise questions, explore ideas, and exchange suggestions for improved facilitation skills. (35 min)

**FACILITATOR NOTE:**

If you decide to provide practical training opportunities in communities for workshop participants, you should make arrangements with appropriate community groups before the training workshop starts.

SIGN UP FOR PRACTICE SESSIONS IN COMMUNITIES
This is a time to decide how the group will divide into teams to facilitate their practice sessions in communities (10 min).

<table>
<thead>
<tr>
<th>Community</th>
<th>Team Members</th>
<th>Facilitator</th>
</tr>
</thead>
<tbody>
<tr>
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APPRECIATIVE FEEDBACK SESSION
(15 minutes)
DELIVER or DO: Implementing the Action Plan

PURPOSE: To explore ways for collective vision can lead to collective action.

MATERIALS: Cards or 3” x 5” pieces of paper (one per participant)
           Planning and Monitoring sheets from earlier activity.

TIME: 1 hour

PROCESS:

1. Explain purpose. Explain that this is the state of AI in which group members mobilize resources, form new relationships, acquire new skills, and implement action plan.

2. Ask participants, working in small groups to identify ways the group can strengthen the Deliver/DO (or implementation) Stage. Post and explain the following points on flip chart:

   Ask them to imagine that they have finished planning and have begun implementing.
   - What are some of the things they should be doing?
   - What decisions might they be making?
   - What contingencies – or unexpected happenings should they be planning for?
   - They will work in small groups for 20 minutes on this.

3. Report back. Record their ideas on flip chart. Mention the following if they do not:
   - Make sure roles and responsibilities are clear.
   - Monitoring plan in place.
   - Strive for transparency. Make sure systems and processes are as clear and transparent as possible.
   - Reward personal commitment and effort.
   - Celebrate successes and achievements.
   - Internalize AI – let it become a way of life.

4. Close by distributing cards and asking individuals to write down what they will personally commit to doing to help ensure that they reach their goals. Then ask each to read what they have written.
DELIVER or DO: Other Helpful Tools

PURPOSE: To engage participants in identifying other tools with which they are familiar, or already using, that can also be useful during this phase of AI.

MATERIALS: Handouts:
- Gender Analysis: Access to Resources – A Tool for Use During the Deliver or DO State of AI.

TIME: 45 min.

PROCESS:

1. Explain the purpose. Emphasize the importance of starting with analysis of resources, skills, and relationships needed to implement action plans. And, as with other phases, gender analysis is crucial here, too. M&E is also essential. The community may also find additional tools useful in working through the DELIVER/DO phase.

2. Divide participants into groups of 5-6. Ask each group to reflect on the DELIVER/DO Phase and discuss what other participatory tools and techniques could enhance this step. How can existing tools be adapted to contribute to the AI step of implementing an action plan leading to the desired future outlined in the DESIGN phase. Ask each group to list tools and also be prepared to explain how they would use them during this phase. (20 minutes)

3. After all have finished, ask each group to present. After each presentation, ask for comments from the others.

4. Point out the following tools if not already mentioned.
   - Monitoring and Evaluation.
   - Gender analysis tools.

5. Close by reminding the group of the importance of monitoring and evaluation during this phase, and that using other tools may help to ease implementation.
Gender Analysis: Access to Resources –
A Tool for Use During the DO Phase

Gender analysis concepts tend to be abstract and can often be controversial because they raise sensitive issues. Visual tools have been found to be very effective in getting both men and women to focus on gender concerns without feeling threatened.

Gender analysis of access to resources is a technique that can provide insights into whether a development intervention has had a gender-differentiated impact on the access to and control of domestic and community resources. The process of conducting the exercise with community members also helps to raise their awareness about these issues. The technique can be used as part of a group discussion involving both men and women. If the women are to feel comfortable and express themselves freely, however, in many cultures it will be preferable, and perhaps even necessary, to meet separately with the women and men.

The technique uses three large drawings of a man, a woman, and a couple as well as a set of cards showing different resources and possessions owned by people in the community, including, for example, cattle, currency, furniture, radio, food, animals, huts, jewelry, water pots and so on. Participants then assign the resources to the man, woman, or couple, depending on who works with particular physical and community resources and who owns or makes decisions about them.

Contrasting AI with Deficit-Focused Approaches to Development

PURPOSE: To reflect on the differences between AI and problem-focused or deficit-focused approaches to development.

MATERIALS: Handouts:
- Approaches Contrasted

TIME: 1 hour

PROCESS:

1. Explain the purpose.

2. Ask participants to go into groups and discuss the following questions:
   - What are differences and similarities with participatory approaches you have been using?
   - How might AI help your work?
   - What challenges might it present?
   - How will you attempt to integrate AI into your work? (prepare to present back)

3. After 20 minutes, distribute the handout, Approaches Contrasted” which reflects thinking from several assets-based documents. Ask participants to read and discuss these points in their groups. (for another 20 minutes)

4. After 20 minutes, ask groups to report back with any comments or questions.
   - Discuss after all have presented.
   - Ask the group what conclusions they draw?
   - Ask what more they feel they need before they can use AI effectively with others?

5. Ask the group to close with concluding comments.
**APPROACHES CONTRASTED\(^{26}\)**

<table>
<thead>
<tr>
<th>PROBLEM-FOCUSED COMMUNITY DEVELOPMENT APPROACHES</th>
<th>ASSETS-BASED COMMUNITY DEVELOPMENT APPROACHES(^{27})</th>
</tr>
</thead>
<tbody>
<tr>
<td>Focuses on what is wrong or broken</td>
<td>Focuses on what is strong and working</td>
</tr>
<tr>
<td>Is problem or deficiency-focused; builds on needs</td>
<td>Is assets focused; builds on strengths</td>
</tr>
<tr>
<td>Is externally focused – looks to outsiders</td>
<td>Is internally focused – looks to own resources</td>
</tr>
<tr>
<td>Looks backward to what went wrong in order to fix it</td>
<td>Looks for what is going right and in order to move forward toward a more positive future</td>
</tr>
<tr>
<td>Can isolate groups or individuals and weaken or destroy relationships</td>
<td>Is relationship driven</td>
</tr>
<tr>
<td>By paying attention to problems, we may amplify them</td>
<td>By paying attention to strengths, we may amplify them</td>
</tr>
<tr>
<td>Can discourage, demoralize, and decrease confidence</td>
<td>Builds commitment, confidence, and affirmation that success is possible</td>
</tr>
<tr>
<td>“Solutions” to problems may be little more than guesses</td>
<td>“Direction” growing out of past success is grounded in reality, experience and history – thus people can repeat successes</td>
</tr>
<tr>
<td>Viewing a community as an endless list of problems and needs can lead to the fragmentation of efforts needed to provide solutions</td>
<td>Reliance on internal assets encourages connecting and reinforcing these assets, leading to sustainable actions.</td>
</tr>
<tr>
<td>Making resources available based on needs, implies help can only come from outside</td>
<td>Looking internally for resources reinforces idea that change can come from within</td>
</tr>
<tr>
<td>Reliance on needs to get resources, encourages making problems seem worse – worse than last year, worse than someone else’s, etc.</td>
<td>Significant development can occur when people commit to investing themselves and their resources in the effort.</td>
</tr>
</tbody>
</table>

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\(^{26}\) These points reflect thinking from the following resources:
- Kretzmann, J.P. & McKnight, J.L. (1993). Building communities from the inside out: A path toward finding and mobilizing a community’s assets. Chicago: ACTA Publications.

\(^{27}\) These approaches are also sometimes called capacity-focused approaches. Appreciative Inquiry, an approach to organization development that focuses on “what works,” also provides useful insights and methods for building sustainable communities. Sustainable Livelihoods materials from DFID also emphasize an approach that builds upon assets rather than needs.
AI Training Demonstrations

PURPOSE: To provide participant trainers experience designing and facilitating appreciative inquiry sessions prior to working in communities.

MATERIALS: Copies of feedback forms (9 per participant)

TIME: Nine 1-hour sessions (40-minute session and 20-minute review and feedback)

PROCESS:

1. Participants, working in teams, will facilitate their sessions, then participate in a semi-structured constructive review and feedback process.

2. Prior to each session, ask participants to be looking for “what works well” in the sessions they observe, and what could make them “even stronger.” Distribute feedback sheets prior to each presentation. They should be completed for the team, although comments re: individuals may be made on the sheets, if appropriate.

3. After each presentation, the team should first respond to the following questions about their own demonstration (Should be posted on flipchart in the room)
   - What went especially well in the session?
   - What contributed to these times of success?
   - If you could facilitate the session over again, what might you change and why?

4. After the presenters have had a few minutes to comment, open the dialogue to the others. Encourage the group to be “appreciative” and constructive. Intervene if the dialogue becomes negative or critical. Help participants rephrase their comments.

5. Follow the same procedure for all teams.

6. After all have finished, ask the group what conclusions we can draw. Record. Decide what action steps should be taken regarding revising materials, etc.
PARTICIPANT TRAINER FEEDBACK
Trainer’s Name ____________________________________________
Date ______________________________________________________

Assume the trainer you just observed did the best that he or she could under the circumstances. Please let that person know what you especially liked about his or her session, and what wishes you have for his or her improvement of the session.

WHAT I MOST LIKED!

HOW THE SESSION MIGHT HAVE BEEN EVEN BETTER!

PARTICIPANT TRAINER FEEDBACK
Trainer’s Name ____________________________________________
Date ______________________________________________________

Assume the trainer you just observed did the best that he or she could under the circumstances. Please let that person know what you especially liked about his or her session, and what wishes you have for his or her improvement of the session.

WHAT I MOST LIKED!

HOW THE SESSION MIGHT HAVE BEEN EVEN BETTER!
Planning for Community Practice AI Sessions

PURPOSE: To enable the groups to prepare for community practice sessions.

MATERIALS: Flip chart and markers.

TIME: 2-3 hours

PROCESS:

1. Explain the purpose. Explain that we will be working in 3 teams, each team having a COMPASS facilitator, but the sessions are to be actually facilitated by the workshop participants – probably working as team on most community sessions. The COMPASS facilitator will explain the overall purpose of the activity.

2. Explain that each or the three groups needs to do the following during this preparation session:
   - Decide what they will do during the field practice sessions (you need to plan for two 2.5-hour sessions).
   - Decide who will be responsible for what.
   - Design sessions.
   - Make visual aids.
   - Practice.
   - Explain your plans to the rest of the group.

3. Remind participants that they will have a total of 5 hours with their community group. During that time they will have to introduce their sessions, conduct them, and close things off. They may wish to work in teams. But in any case, all should have some opportunity to facilitate some parts of the whole process. All should be actively involved.

4. Questions?

5. Divide participants into groups, strive for a gender balance. Allow those from the same organization to work together if they want. (1.5 - 2 hours for preparation)

6. After all have finished, ask each group to report back on their plans. Allow time for questions from others.
Debriefing Community Practice AI Sessions

PURPOSE: To provide the opportunity to give and receive constructive feedback on the community practice sessions.

MATERIALS: Paper and pens

TIME: 2 hours

PROCESS:
1. Following each half-day community practice experience, workshop participants will return to the training site. Following lunch, the participants will have the opportunity to exchange constructive feedback to each other on the community sessions.

2. Arrange the chairs in two concentric circles. Ask one group to begin. Ask this group to sit in the inner circle (fishbowl), and the others to sit in the outside. Post and explain the following “Fishbowl Guidelines.”

   - Only those seated in the inner circle can talk, initially. Those in the outer circle listen.
   - For 15 minutes, those in the inner circle should discuss the following points:
     - What went especially well in the session?
     - What contributed to these times of success?
     - If you could facilitate the session over again, what might you change and why?
   - Then, for 10 minutes, those in the outer circle may join the inner circle to ask questions and offer constructive feedback to the group in the inner circle.
   - Before beginning, those in the inner circle will have a few minutes to think about and write down their responses to the first two questions.

3. Ask the group in the inner circle to begin their discussion. Let them know when they have 5 minutes left. Record their comments on flip chart.

4. After they finish, place an empty chair in the inner circle and allow participants from the outer circle to take that seat to ask their question or make their comment.

5. Close off the group by asking for closing on concluding comments. Note on flip chart.

6. Then, follow the same procedure for each of the other two groups.

7. After all have finished, ask the group what conclusions we can draw. Record. Decide what action steps should be taken regarding revising materials, etc.
Next Steps and Workshop Evaluation

Next Steps
Time for the workshop participants to decide what next steps they might take as individuals and as a group to further their capacity, networking, and collaboration in this area.

Revisit the Capacity Flip charts
On the first day, facilitators asked participants to indicate their capacity – understanding and use – related to participatory approaches and appreciative inquiry, on a continuum of 1-5. Before participants leave, ask them to once again rate themselves so that they can see what progress they have made. Discuss with participants.

Workshop Evaluation
Using an appreciative process, encourage participants to identify high points of the workshop; what contributed to those, and their visions for future such activities. The evaluation could consist of interviews with each other (Discover), followed by collectively creating a vision of future possibilities (Dream) and a plan for strengthening the process (Design).

**Workshop Participants**

<table>
<thead>
<tr>
<th>Name</th>
<th>Organisation</th>
<th>Post</th>
<th>Address</th>
</tr>
</thead>
<tbody>
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<tr>
<td>Name</td>
<td>Organization</td>
<td>Position</td>
<td>Contact Information</td>
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</tr>
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Useful References


Kretzmann, J.P. & McKnight, J.L. (1993). Building communities from the inside out: A path toward finding and mobilizing a community’s assets. Chicago: ACTA Publications.


<table>
<thead>
<tr>
<th>Document Number</th>
<th>Title</th>
<th>Author(s)</th>
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<td>COMPASS Year 1 Work Plan</td>
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<td>Document 8</td>
<td>Performance Monitoring for COMPASS and for CBNRM in Malawi</td>
<td>Zador, M.</td>
<td>Feb-00</td>
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<td>October 1 - December 31, 1999: Quarterly Report</td>
<td>COMPASS</td>
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<td>Document 10</td>
<td>Workshop on Principles and Approaches for CBNRM in Malawi: An assessment of needs for effective implementation of CBNRM</td>
<td>Watson, A.</td>
<td>Mar-00</td>
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<td>Document 12</td>
<td>Thandizo la Ndalama za Kasamalidwe ka Zachilengedwe (Small Grants</td>
<td>Mphaka, P.</td>
<td>Apr-00</td>
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<td></td>
<td>Manual in Chichewa)</td>
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<td>Document 15</td>
<td>A Strategic Framework for CBNRM Media Campaigns in Malawi</td>
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<td>Document 16</td>
<td>Training Activities for Community-based Monitoring</td>
<td>Svendsen, D.</td>
<td>Jul-00</td>
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<td>Document 17</td>
<td>April 1 - June 30, 2000: Quarterly Report</td>
<td>COMPASS</td>
<td>Jul-00</td>
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<td>Document 18</td>
<td>Crocodile and Hippopotamus Management in the Lower Shire</td>
<td>Kalowekamo, F.</td>
<td>Sep-00</td>
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<td>Document 19</td>
<td>Cost-Sharing Principles and Guidelines for CBNRM Activities</td>
<td>Moyo, N.</td>
<td>Sep-00</td>
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<td>Document 20</td>
<td>Workplan: 2001</td>
<td>COMPASS</td>
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<tr>
<td>Document 22</td>
<td>Opportunities for Sustainable Financing of CBNRM in Malawi: A Discussion</td>
<td>Watson, A.</td>
<td>Nov-00</td>
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<tr>
<td>Document 23</td>
<td>Framework for Strategic Planning for CBNRM in Malawi</td>
<td>Simons, G.</td>
<td>Nov-00</td>
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<tr>
<td>Document 24</td>
<td>Kabuku Kakwandula Ndondomeko ya Thumba Lapadera la Wupu wa COMPASS (Chitumbuka version of the COMPASS Small-grant Manual)</td>
<td>Umphawi, A., Clausen, R. &amp; Watson, A. Translated by Chirwa, T.H. &amp; Kapila, M.</td>
<td>Dec-00</td>
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<td>Document 26</td>
<td>October 1 - December 31, 2000: Quarterly Report</td>
<td>COMPASS</td>
<td>Jan-01</td>
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<td>Document 27</td>
<td>COMPASS Grantee Performance Report</td>
<td>Umphawi, A.</td>
<td>Mar-01</td>
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<td>Document 29</td>
<td>Natural Resource Based Enterprises in Malawi: Study on the contribution of NRBEs to economic development and community-based natural resource management in Machinga District</td>
<td>Lowore, J.</td>
<td>Apr-01</td>
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<td>Document 32</td>
<td>Examples of CBNRM Best Practices in Malawi</td>
<td>Moyo, N. &amp; Epulani, F.</td>
<td>Jun-01</td>
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- **Author:** Nyirenda, K.
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- **Author:** Sambo, E.Y.
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- **Author:** Betha, M.R.B.
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- **Author:** Page, S.
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- **Author:** Omambia, D.
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