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**FIRST ANNUAL REPORT: ANNEX 4**  
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**Title : Annex 4 to First Annual Report: Examples of Project Correspondence**

**Project homepage : <http://www.ruaf.org/papussa>**

**Keywords : peri-urban; aquatic food; south east Asia**

## **Draft Letter to be sent to 4 Partners City Teams.**

Dear .....,

Hope this finds you all keeping well. We are presently drafting a protocol for you to help with the PCA – Participatory Community Analysis – which will be given to you during a 2-3 days training workshop on PCA methods carried out by Albert and Hall in September.

In the meantime as we previously discussed you should have been thinking by now of choosing the four communities which you wish to do your PCA's with. It is advisable to choose an extra two (making 6 in total) just in case you encounter any problems and need to change communities at short notice. Below are some points and possible criteria to help you with your choices.

### **Identification of Communities**

- It will vary between cities depending on different systems of peri-urban/urban aquaculture eg HCMCity has significant waste water (ww) fish and plant culture – therefore could choose 3 ww dependent communities, perhaps 2 fish and one plant or could be vice versa, then fourth community using freshwater (fw) – thus comparison for health and other factors possible. In Bangkok there appears to be less ww aquaculture so there could chose 1 ww fish producer, 1 ww aquatic plant producer, and two others using different type of water supply.
- Other factors to be taken into account when choosing communities could be ethnicity, gender balance, migrant status, income levels, urban vs peri-urban, (imminent?) threat from urbanisation – developers - leading to compulsory re-location, - there are many more. Try to get a good balance/cross section between 4 communities of all aquatic production systems in and around your city.
- Be aware of possibility of community having previous interaction with similar research based project – could lead to problems, bias and false expectations. This can be verified by earlier introductory visits.
- Ensure that communities you choose can be defined and delineated geographically ie there is no uncertainty as to their physical boundaries - where they actually start and finish.
- Also take into account later stages of project – Years 2 and 3 when possible intervention measures beneficial to those communities will be identified and trialed – think of possible interventions for communities chosen.

It would be beneficial for us to know when you have chosen or have a good idea of the communities you have decided to work with and then very simply list them as in a format below with their key characteristics:-

PTO

e.g.

<b>Community Location</b>	<b>Type of Aquatic Production System</b>	<b>Water Source</b>	<b>Approximate size of community (population or land area)</b>	<b>Comments</b>
Tay Ninh	Tilapia production/ waste water Lake	Pumped from ww canal	Approx 300 households Approx area 4km"	Reports of health related problems
Bin Chanh	Morning glory produced in converted rice fields	ww gravity fed channels	Approx 50 households Approx area 6km"	Producers lease land from District Committee
Ben Tre	Mimosa produced in fields	ww from factory mixed with fresh water (fw) from stream	Approx 25 households Land area unknown	2 new factories built in area. Mainly women involved in production of mimosa
Long An	Polyculture of common carp with silver carp in ponds	fw from stream and rainfed	Number of households unknown Land area 10km"	Developers building new road and plans for building residential housing.

+ **Two others**

**Please note this is just an example – don't spend long beforehand researching facts and figures**

If you could then email this (in September – the earlier the better) to myself, Hall, Dr Siriluck, Albert, Dave Little and Stuart. Remember that this will only be a draft list so you will have every opportunity to change it if you find that one or more of the communities might not co-operate.

Please feel welcome to email us (please always copy your emails to all of the people mentioned above) if you have any queries or suggestions. Hopefully it should be beneficial for you to have a good idea of the communities you will be working with so that you can make good preparations and begin contacts in September to be ready to begin the PCA's in October.

Best wishes

Will

July 2003

Dear Albert, Hall, and Dr Siriluck,

**For discussion**

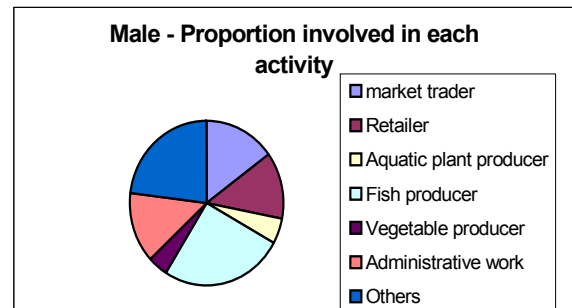
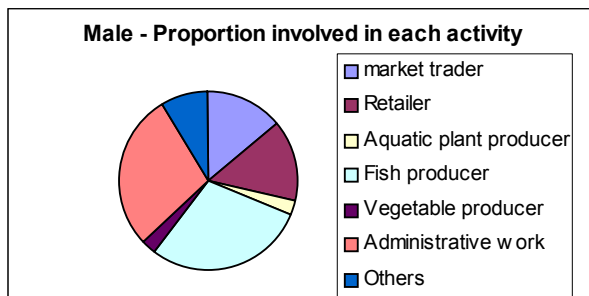
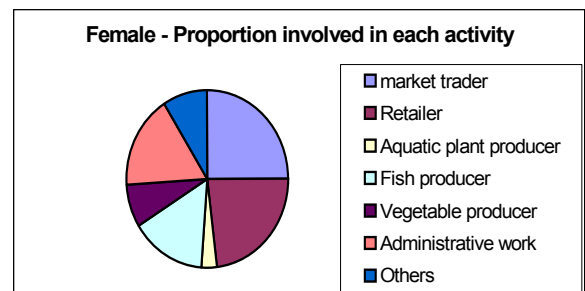
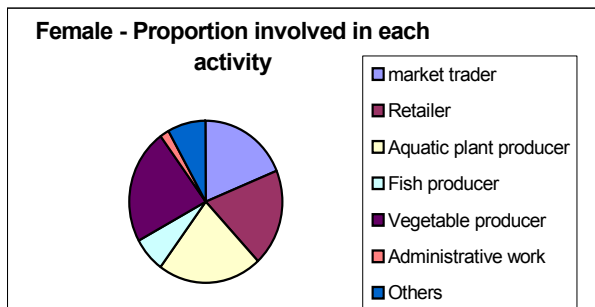
Thanks for your email about the PCA – I think you are right and it is the correct approach to initially concentrate on the questions we want to ask and in relation to this how the answers and data collected will be formatted and presented for the SOS report in December. We are limited in this initial (rapid) PCA by time constraints – maximum of 5 days for each community- in reality 2-3 days maximum with each in the field - therefore initially for each community (4 X 4 cities) our aim should be :-

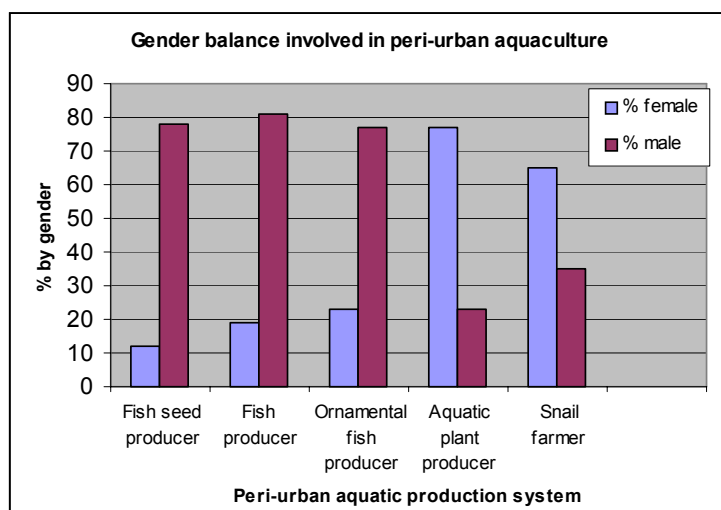
- to identify individual, relatively well defined “groups” within each community and get an overall picture of the livelihoods, environment and socio- economic structure and how each of them relates to or is impacted by peri-urban aquatic production.
- the main categories for the groups should initially be based on male/female, poor/better off so that for example we should aim to end up with data for the report/workshop in a format something like below:-

***\*\*Please note these are just examples\*\****

**POOR**

**BETTER OFF**





Activity	%Believed they had health problems related to their activity	% who had had diarrhoea	% who had had itching skin	% who had skin rash
Waste Water (ww) fish producers	23	42	31	37
Fresh water (fw) fish producers	2	21	19	23
Waste Water (ww) aquatic plant producer	10	23	49	32
Fresh water (fw) aquatic plant producer	10	12	7	21

This could be repeated to produce pie charts/bar graphs, tables using age, ethnic background or migrant worker/status (or in fact any other glaringly obvious trend that is identified during the PCA) as the primary variables against activity/livelihood .

As the PCA progresses into Day 3 (see below) we should be looking for answers to questions about make up, gender, wealth, age, etc within specific aquatic system production groups – eg seed producers, aquatic plants etc – however other related groups such as collectors, fish/plant market traders and consumers should not be ignored. Moving on to questions about their future expectations - SWOT analysis – possible alternative/strategies options for income generation if aquatic production systems removed/relocated by urbanisation.

It is important that all of these groups are well represented (Days 2, 3 and 5) in our participants and will depend on them being correctly identified and informed to come to the meeting.

## ***Participatory Community Appraisal – Draft 5 Day Protocol***

### **Day 1**

- **Initial introduction** (aims of the time spent with the community), contact and interviews with 3 Key Informants (Head Person, Better off and Poorer Representative) – try to get some sort of gender balance. Each then involved with the following:-
- **Well -Being Ranking** of community . Depending on size of the community in urban/peri-urban area very impractical and time consuming to list all households – rather better to concentrate on identifying representative groups and ensuring representatives from all are present on Day 2. *Aim – to collect data on social and income status of community*
- **Community Mapping** – Different ways but be prepared to use existing map rather than Key Informant making drawing – might be particularly relevant if community is spread over a large area with much urban infrastructure involved – roads, factories etc. *Aim – to identify*
- **Community Time-Line**,–
- Get wider groups informed and prepared to come for Day 2.
- Note initial contact with the community headperson and key informants could be informally started during September if partner city teams have time and fluidity whilst working on their Institutional and Market Analysis – this might only involve one morning visit to pave the way thereby giving the community (Headperson) plenty of time to decide and plan on the most convenient date/days for a wide range of his community members to be present

### **Day 2**

- Introduction of project to new persons/groups present – Focus groups from throughout the community – divide into at least 4 focus groups based on initial variables above – gender, income/well-being – later on perhaps age, migrant status, ethnicity etc.
- Show maps and time-lines from Day 1 – facilitator should allow and encourage discussion and if necessary modification of the maps throughout the groups – make modifications if necessary.
- Seasonal calendars –start with blank calendar or if groups wish draw their own in format they are happy with – good to start with the weather to provide backdrop to more agricultural activities. Be aware of different ethnic/religious calendars

**Day 3** – From findings and impressions of Day 2 narrow down, identify and choose persons and groups who have more direct connection with and impact from aquatic production systems – not necessarily just producers- could be health related issues, market traders, local regulatory officials, extension officers etc. This choice realistically should be decided by the afternoon of Day 2 previously so that they can be invited and given enough time and warning to come to Day 3. More in depth analysis of make up (incomes, gender,

migrant workers etc of within groups eg seed producers, aquatic plant producers, collectors etc – moving on towards the afternoon with more SWOT type activities, future aspirations, possible (alternative) strategies for coping, recommendations from each of the groups.

**Day 4** – Analysis of Data – away from community – previous encouragement in Day 3 for groups to go away and talk and interact over previous 2 days discussions.

**Day 5** – Back to community to present and summarise findings of analysis – triangulate and check findings. Finish day open ended to allow for further interactions and possible interventions within the community for subsequent work packages.

### **Other related issues which Dave, Stuart and myself discussed included:-**

- Being careful not to present the PCA to the community initially on Days 1 and 2 being solely concerned with aquatic production. Much merit in keeping background objectives of our research fairly innocuous at these stages so that we can get “wider picture” and lack of bias from within the communities.
- There appears to be a danger in the past of trying to attempt too many tools/appraisal methods in too short a time resulting in groups and facilitators being rushed and by Day 5 community members not attending the final dissemination of findings back Realistically with two (full) days with the community a total of 8 appraisal tools should prove more than enough.
- In Hanoi (RIA1) avoiding using communities and groups which are already been used in NIHE Hanoi’s health related studies on ww – again due to previous bias and perhaps different community view of objectives and incentives of our research project.
- As we mentioned before whilst giving a structured approach to the PCA for the benefit of each of the partners involved, also stressing the importance of fluidity within the process to go along with the findings or effectiveness of the tools and methods used – this could be alterations /modifications after the first community PCA or being prepared to modify/change during a PCA depending on the nature and reaction of the groups involved – this will come down to the skill and insight of the facilitator(s).
- During October partners in each city location being willing and able to share and pass on (fairly quickly) useful and constructive information/feedback which has come up during their individual PCA’s to the other city partners for their benefit.
- The suggestion that when this PCA draft proposal is finalised between us – hopefully by the end of this week that it is disseminated to each of the partner groups during the proposed subsequent PCA trainings rather than initially just by email – this should prevent further misunderstandings and allow them to clarify any questions or apprehensions they may have.

Please feel welcome to suggest or feed back anything about the above - I will email you separately concerning the IA analysis and protocol

Best wishes

will

August 2003

## PAPUSSA

Draft Protocols for State of System (SOS) meetings in Bangkok ( ), Phnom Phen ( ), Ho Chi Minh City and Hanoi ( ).

### *Why do we need a protocol ?*

Over the last few weeks in discussion it has become clear that everyone currently has a different idea about what a 'State of the System' workshop is and the objectives and style of the report.

This protocol is to explain how we hope to plan for and implement the workshop and then produce the report but firstly a brief explanation of 'why?'

We all understand by now that the PAPUSSA project is attempting an interdisciplinary approach-involving various types of technical and social scientists together trying to understand complex situations. Greater interdisciplinarity, it has been suggested, could improve our ability to understand and solve complex real world problems. In practice it is rare-partly because it is difficult, and it remains more of a theory than a reality in most cases.

The most we usually achieve is a level of multidisciplinary –in which people of different disciplines work towards the same problem but not usually in an integrated way. 'Cross disciplinarity' is a vaguer term often used for both 'multi and inter'. The fact that my spell-check doesn't accept these spellings suggest that they are not widely understood phenomenon (either that or I'm a bad speller...or both!). Anyway we don't have to get bogged down in definitions-the proof will be the nature and quality of the outputs the project produces.

The fact that we have all struggled to understand what peri-urban 'means' in the context of aquatic food production systems, and everyone has made meaningful contributions suggest that we have started on the right foot and that our attempts at interdisciplinarity in the context of our project is progressing. At the first Project inception meeting, and subsequently, it has become clear that none of us has 'all the answers'. As we now work towards completing the three parts of the initial field work-developing an overview of markets, institutions and the communities in which aquatic production systems are located, lets remind ourselves that working together was always going to be a challenge.

Understanding urban aquatic production systems in a holistic way is a major part of this project and WP1 is designed to deliver a good general overview from which we can then plan more detailed, prioritised work in year 2. It was also designed to ensure that as we began to learn about the people involved and the nature of the systems that we interact closely with various stakeholders. This is to ensure that the information developed has been checked with them from different perspectives but also to keep them informed and involved. A major aspect of this project is that it is about producing results of practical use to the aquatic producers themselves, local communities in which they are located and other affected by, or responsible for, them. Of course we expect that high quality 'science' will also be produced-and a challenge is to produce both.



The SOS- State of the System workshop is therefore about producing a good, well-structured and easily understood overview for a whole range of stakeholders. It is not a ‘scientific’ meeting but rather a workshop in which we can check the quality and meaning of our findings and make an important step in engaging with a range of stakeholders. It should be conducted primarily, or totally, in the local language to ensure local stakeholders can participate fully.

The report reflects the meeting. ie it is produced not for a scientific audience but rather a general, informed readership of no particular discipline. We hope a range of people will find it useful and in the protocol these are listed.

The fact that our primary objective until December is to collect, interpret and present information for the SOS does not mean that the quality should be inferior or cannot later be used for a more scientific audience –either within any of our disciplines or across disciplines. More detailed comprehensive reports will need to be produced on the institutional and market surveys for example.

The draft SOS reports will be critical documents to planning the follow-on work packages in detail on December 14-15<sup>th</sup> at the progress and planning meeting in Hanoi that we will all be involved at after the last SOS workshop.

They are an important output of the first stage of the project and are the outcome of an interdisciplinary approach. How will we know this? Once finished it should be difficult for any one of us to read it and to think ‘We could have produced this on our own’.

## Objectives

The State of the Systems workshops are now located within both WP1 and WP 8 of our proposal. They represent an opportunity to produce an overview of project outcomes so far for a variety of stakeholders, and in the process, to seek clarifications and inputs for the future.

We now have to consider;

- How to prepare for the workshops
- How the workshops will be structured and implemented
- Follow-up

### (1) Preparations:

In order to plan and implement the SOS workshops and report production we have decided that coordination needs to be tighter between Stirling and AIT and have formed a committee to oversee the work until December. Members of the committee include staff on the AIT and Stirling teams (i.e. Siriluck, Wanwisa, Albert, Will, Stuart and Dave). We expect that Arlene (from AIT), who has experience of the SOS process will join this team in November at the beginning of the SOS workshop period. Our contacts with the main partners are expecting to intensify as we prepare for the meetings in early December.

Can we suggest that any contact between any of the partners regarding preparations for the workshops is sent to each person in this committee rather than the PAPUSSA list. This should allow

us to maintain transparency and avoid missed communications while ensuring that the PAPUSSA list is not clogged with detail about workshop preparations. If the local PI has given responsibility to a full-time PAPUSSA staff to liaise with Stirling/AIT then this person should be the main contact and keep the PI informed as required. Any issues of wider importance will be sent to the list as well.

Between now and December there are a number of important tasks;

1. Improving communications (see above)
2. Initial preparations for workshops
3. Marketing work entered, processed and analysed
4. Institutional analysis finalised
5. Finalise design of participatory community appraisal
6. Training of partners in PCA
7. Carry out PCAs in at least 4 communities
8. Overall synthesis of information; structuring of SOS workshop presentations
9. Produce presentations
10. Training/orientation of workshop facilitators
11. Develop list of (a) information requiring verification/validation; (b) 'holes' in our knowledge
- 12 Define question/issues for discussion in stakeholder sessions

The current idea is that Albert and Wanwisa will visit HCM City, PP and BKK in the next 3 weeks (i.e. September) to orientate and train these teams in the PCA. After orientation ideally they will stay with partner through the first complete cycle. Albert, Wanwisa and Will then meet in Hanoi in early October to train and work with the team there before then re-visiting the other partners to assist in progressing the PCAs and their analysis. The idea is that the same basic approach to PCA is used at each site, whilst making modifications required.

## *2. Initial preparations for workshops*

### *The venue*

The workshop requires the right place and location to be successful. We will need to invite a range of stakeholder. Some will be well-off and/or powerful but others much poorer and less used to 'grand' meetings. We should therefore seek to identify a meeting place that considers

- Making all the stakeholders feel comfortable to encourage their full participation- without being too expensive
- travelling time and convenience of all the stakeholder groups.
- Ideally it should have 4 small rooms suitable for 8-12 people situated close to a
- larger plenary room used for introduction and wrap up sessions.

Ideally each room would have AV equipment suitable for Powerpoint presentations and at least one large white board+ flip charts

This needs to be identified and reserved asap.....ACTION

### **The stakeholders**

We are already in contact with many of the stakeholders that we might want to invite as participants of the workshop. Some will need an early invitation to ensure that they can join the meeting and

formal, carefully worded invitations (we will produce a draft). But everyone needs to know well in advance of the dates, what the objectives of the meeting and expectations of them as participant. Otherwise people can be frustrated and disappointed at the end of the day. A major point of the workshop is to enhance our knowledge of, and contacts with, relevant stakeholders so we want them to have a very positive experience.

#### Key points

- types of stakeholder will vary with research location but will probably include (1) representatives of producers and their communities (2) local officials responsible for life in these communities (e.g. sanitation/housing, health, planning etc) (3) representatives of the marketing chain (e.g. local traders, market representatives, market vendors) and (4) senior policy makers (representatives of key institutions associated with locations and/or production. This last group could include a few academics if they conducted research in the area but they should not dominate
- Stakeholders should be identified and invited with a view to their availability for a full day: It will probably be necessary to offer per diems and/or travelling expenses for people to commit this time, as well as normal hospitality. The invitation should be clear of the starting and finishing times. It is estimated that a minimum of 5 hours is required in addition to the time required for opening wrap-up ceremonies to ensure adequate discussion and report back. If possible opening and closing sessions should be kept as informal and brief as is possible
- Additionally representatives of the media should be invited to ensure broader dissemination of our initial findings to the general public
  - This can be encouraged if
  - a press release is sent to print, TV and radio stations one month prior to the meeting.
  - Invitation to a selected group of, or individual, journalists to the meeting-a briefing can be produced about the objectives and structure of the meeting if there is interest in attendance
  - A post workshop briefing of the major outcomes together with an announcement of publication date for the SOS report.

All invitations, press releases etc should be from the institutions involved in each country with the names of all project institutions also mentioned in an appropriate footnote/explanation together with PAPASSA logo and EC project number.

#### Nature of invitations to stakeholders

##### Invitations should include

- Objectives of the meeting and why they have been invited to participate
- A brief statement about the PAPUSSA project and its objectives
- Information that it will not be a listening only meeting but rather their active participation will be required
- The need for participants to attend for a full-day for which they will receive per diem, travel allowance in line with local norms and lunch
- A statement that their name and institution will be included in the SOS report, produced for dissemination locally and internationally

## **The presentations (3-9)**

In the past we have produced two different types of presentation

- (a) An overview for the complete group of stakeholders to understand common issues and findings and
- (b) Presentations produced for each stakeholder group that focuses in on key issues of most relevance for each group

Content will depend on the information collected but should include

- Main characteristics of the sites, including aquatic food production
- General features of importance-infrastructure, institutions, index/criteria of development/well-being
- Typical livelihood strategies for different groups of people in both aquatic food producers and in the community more widely
- Markets and market development-how important is aquatic food produced in urban areas for peoples nutrition
- Institutions of importance and their relationships
- Summary of major areas of risks and opportunities and researchable issues

In the presentation-key aspects of variation within sites and people involved should be highlighted (-these could be the major point of comparison) as well as characteristics that are common to all sites.

Simple graphics should be used wherever possible and the presentation structured to encourage the understanding of non-scientists. A core presentation may need to be modified (sometimes completely) to ensure that less literate people can understand content and fully participate.

### **(2) Structure of workshops**

Key characteristics of the workshop process include

- A total of three days is required for the workshop, of which stakeholders are invited to attend for the second full day. The day prior to this is required for orientating the group facilitators and final preparations and the day after for producing the draft report.

#### **Day 1 (Steps 10-12) pre-workshop**

- Orientation of facilitators. Ideally the project staff can take on this role although it is possible that they are too inexperienced for leading report back/.discussion sessions. In this case other people will need to be identified to lead sessions and then carefully briefed on the workshop process. Project staff can then take on the important tasks of recording views and perceptions of the participants
- Final checking of logic and clarity of presentations. These must have been finalised and circulated for comments by mid-November.
- Final checking of introductions/opening ceremony
- Registration process and housekeeping
- Development of press release
- Development of key outstanding issue, inconsistencies etc for asking stakeholders in small group sessions

## Day 2 Workshop

### AM

- Introductions, plenary session and overview presentation to all
- Break into 4 smaller groups. Presentations are prepared for up to 4 groups of stakeholders at each site to inform the groups of the current 'state of the system' regarding the urban aquatic food production
- The presentations are made to the groups separately in a format that will encourage maximum understanding and participation; language used, format, etc are all-important for effective communication. The meeting therefore needs to be located where there is a minimum of 4 separate rooms with appropriate AV support. Each group will require one facilitator and one reporter to moderate and write up group outcomes respectively. All outcomes need to be firstly written on large white boards before writing up on computer or freehand.
- Separate presentation to small groups is critical to ensure feedback is candid and to encourage full participation of all present
- Stakeholders should be as representative as possible of the key groups.
- After the presentations feedback and clarifications are invited through a series of questions to each group. The groups that may be further subdivided for greater efficiency then respond after informal facilitated discussion. Is the presentation an accurate overview of the situation as each group perceives it? What did they find that was novel, unusual or inaccurate? To what extent is the situation representative of a larger area (if at all?) Who else would find the information presented interesting and in what form (printed media, radio, TV)?

### PM

- Each group is then invited to comment and prioritise on issues for action in two categories; (1) actions that can be taken now provided key stakeholders have access to the information (ie they do not require further research) and (2) key issues that require further research. Of these both those that are beyond the scope and resources of the project and those that can be tackled within the project should be identified and prioritised. Some level of preparation to ensure appropriate wording of policy and research action points is advantageous to ensure these tasks are completed in a reasonable time and to avoid confusion.
- Overall synopsis of outcomes, general Q&A (time dependent), review of workshop press release drafted by journalist, closing comments

## Day 3

- All the facilitators and project staff convene to discuss the feedback received from the presentations
- Using the presentations as a base, a report is drafted simultaneously in two languages on two white boards. Care is taken to consider and modify accordingly the inputs from the previous days feedback and to use accessible, non-technical language. The report is typed up in Word, with imported graphics from Excel at the same time. Ideally a local journalist is involved in drafting the local language text.
- The reports should be drafted to as final a form possible during the workshop. Final layout should be discussed and agreed, but normally English and local language text should alternate within the same report. The report should also include; a preface explaining the project objectives and role of the SOS workshop and report and an appendix explaining in brief the methods and scope of the research used to produce the report, institutions and individuals involved, acknowledgements etc.
- Production in a format allowing downloadable .PDF pages and a printed paper version is ideal. The latter will depend on available budget and local printing costs.

### (3) Follow-up

A registration process that ensures names, contacts and institutions of all participants is recorded is useful so that everyone involved receives a copy of the finished report.

The SOS report should become the entry point for continued involvement of the same stakeholders and others identified during the process.

DCL 3<sup>rd</sup> September 2003