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presented by

Jeffrey A. Dickinson

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Major professor
Kenneth L. Harding

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EXPERIENTIAL SOCIAL LEARNING AND MANAGEMENT FOR SOCIAL TRANSFORMATION: A CASE STUDY OF A COMMUNITY DEVELOPMENT PROJECT IN LIMA, PERU

VOLUME I

By

Jeffrey A. Dickinson

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ABSTRACT

EXPERIENTIAL SOCIAL LEARNING AND MANAGEMENT FOR SOCIAL TRANSFORMATION: A CASE STUDY OF A COMMUNITY DEVELOPMENT PROJECT IN LIMA, PERU

By

Jeffrey A. Dickinson

Many Private Voluntary Organizations (PVOs) advocate participative community development as a necessary strategy for facilitating social transformation. Many of these PVOs tend to rely on the rational-bureaucratic model for managing community development efforts. Development agencies, including PVOs, have largely subscribed to the conventional wisdom of this model, often transferring the assumptions and systems that guide management in the industrial workplace to efforts in the arena of social change. However, these approaches as applied to the management of social interventions are inadequate, even dysfunctional, to the actual accomplishment of social transformation. Alternatives to the rational-bureaucratic model are needed that enhance, rather than diminish, the capacity of program beneficiaries to undertake programs of social transformation.

This research endeavor attempts to identify and test the usefulness of an alternative conceptualization of development management that aims to enhance the capacity of program beneficiaries to assume control over their emancipation from situations of poverty and oppression. The alternative conceptualization proposed in this study is referred to as Experiential Social Learning (ESL) and is based on the precepts of the emerging Social Learning paradigm for managing social transformation.

Research involved a case study of a local organization engaged in urban community development in a poor sector of Lima, Perú. Through Participatory Action Research (PAR), three categories of data pertaining to the local organization were collected and analyzed, including: 1) learning style competencies; 2) maturation of ESL domains; and 3) organizational factors.

Analysis of the data by the author and a collaborating team of Peruvian researchers yielded the following findings: 1) the learning style of the local organization during the observed events was predominantly divergent; 2) the ESL domains of the group ranged in maturity from Reform stage (Collective Action and Political Strategy) to Transform stage (Social Values and Theory of Reality) during the observed events; and 3) the measured organizational factors were assessed as representative of a participatory management system.

The study asserts that strategic and participatory management is consistent with the emergent Social Learning paradigm and suggests its application as a more appropriate approach for managing social transformation. The ESL model and Participatory Action Research are theoretical and methodological manifestations of the Social Learning paradigm and were demonstrated to be useful tools for promoting transformative community or organization development. Interpretation of the findings led to numerous other assertions including: 1) high competency, high integration of learning styles is fundamental to effective social learning and transformation; 2) low competency in any of the learning styles or ESL domains has a detrimental impact on social learning and, thereby, on the capacity of groups to undertake and manage programs of social transformation; and 3) use of the ESL Model and PAR method allows for the systematic interpretation of the capacity of organizations to promote social transformation.

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1988

DEDICATION

To the precious memory of my mother

Grace D. Dickinson

Do not conform any longer to the pattern of this world,
but be *transformed* by the renewing of your mind.
(Romans 12: 2, New International Version of the Bible)

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In so many ways, this research endeavor has been a collective effort. Friends, family, colleagues, and academic mentors, all played key roles in supporting me throughout this process. Without their constant encouragement and assistance, this task would have been infinitely more difficult and far less satisfying.

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The academic guidance and support I have received at Michigan State University have been indispensable to me. I am deeply grateful to the wise and dedicated mentoring of Dr. Ted Ward whose impact on my life I will always value highly. I am also deeply grateful to the mentoring provided by my committee chairman, Dr. Kenneth Harding, whose encouragement and diligent assistance helped smooth-out many of the bumps in the road. Committee members Dr. Alemu Beeftu and Dr. Arden Moon have also been encouraging and helpful advisors and I am also very grateful to them. But the most important assistance has come from Dr. Frank Fear, who has consistently gone beyond his official obligations as the Director of my dissertation -- to guide me and advise me with obvious interest and dedication. I deeply appreciate his role as mentor and friend. His words of encouragement kept me going, especially when the going got tough.

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TABLE OF CONTENTS

List of Tables xv

List of Figures xvi

Chapter I: The Problem 1

The Emergent Social Learning Paradigm 2
Overview of Research Methodology 2
Background to the Problem 4
The Participation Theme 4
Management for Control or Learning? 6
The PVO and International Development 7
Research Questions 8
The Case Study Approach 12
Criteria for Selection of the Case Study 13
Research Participants 14
The Research Protocol: Participatory Action Research 15
The Synthesis of Action Research and Participatory Research Modes 15
The Participatory Action Research Methodology 16
Summary of Research Procedures 18
Potential Benefits 19
Ethical Parameters 20
Research Participant Consent 21
Overview of the Chapters 21

Chapter II: Foundations for an Alternative Approach to Development Management 24

The Paradigmatic Challenge: From Differentiation to Integration of Perspectives 25
Competing Paradigms 26
Modernization 26
Dependency/Neo-Marxism 29
Other Paradigms 31
Toward Eclectic Convergence 33
Social Science Trends 33
Paradigmatic Eurocentrism and Counter Movements 34
A Plethora of Anomalies 36
Elements of a Synthesis 37
Incrementalism or a New Paradigm? 38
A Social Learning Paradigm 39
Social Learning and the Experiential Learning Perspective 40
A Transactional View of Learning 43

The Isomorphism of Adaptive Learning Theories 44
Social Learning versus Social Engineering 47

The Convergent Foundations of Social Learning 48
Toward a Social Learning Epistemology 49
World Hypotheses and the Structure of Knowledge 49
Beyond Positivism 53
Action and Participatory Research 53
Action Research 53
Participatory Research 54
Toward a Synthesis of the Action and Participatory Research Modes 55
Organicist and Contextualist Contributions to Social Learning 59
Pragmatism, Progressive Education, and Experiential Learning 62
Therapeutic Psychologies and the Ascendence of Subjective Truth 64
Existentialism 64
Phenomenology 65
Humanism 65
Gestalt Theorists 65
Humanistic-existential perspectives 66
Neo-Freudian Psychoanalytic Tradition 67
Social-Behaviorist Perspective 69
Cognitive Development Psychological Perspectives: The Structure of Learning 69
The Radical Critique: From Domestication to Conscientization 70

Social Learning and Development Management 74
Toward a Social Learning Conception of Organization 75
The Vanguard of Social Learning Approaches to Development Management 79
People-Centered Community Development 80
Participatory Development: Hollow Ideology or Pragmatic Practice? 83
Social Experimentation: The Essence of Social Learning 84
Empowerment and Solidarity: From Naive to Critical Political Strategy 86
Expanding Consciousness: Toward Critical Awareness and Cultural Integrity 87
The Reorientation of Development Agencies: From Control Bias to Learning System 87
Management Reorientation: From Authoritative to Participatory Systems 89
Decentralization: The Structural Dimension of Participation 90
Policy Experimentation and Procedural Revisions 92
The Strategic Organization and Social Learning 94
Social Learning Curves 96

Chapter III: Experiential Social Learning and the Management of Social Transformation 98

Our Point of Departure 98
Toward Construction of a Theoretical Framework 99
David Kolb's Experiential Learning Theory 99
The Four Learning Styles 101
Experiential Learning and Development 104
The Experiential Learning Theory of Growth and Development 106
John Friedmann and Social Learning 107

The Social Learning Paradigm 108
Friedmann and Experiential Learning 110
Friedmann and Participatory Action Research (PAR) 111
David Korten and Social Learning 111
Covergence with Friedmann 112
Developmental Stages: A Synthesis 112
Adult Development 113
Stage Developmental Assumptions 114
Stage Development Theories 115
Personality Stage Theory 115
Cognitive Development Theories 116
Intellectual Development 117
Consciousness Theories 118
The Stage Synthesis 119

Theoretical Framework: Experiential Social Learning 124
Relationships among ESL Components 126
ESL Domains 134
Domain Definitions 135
ESL Dimensions 135
Dimension Definitions 136
ESL Styles 136
ESL Process Skills 137
ESL Stages 138

Experiential Social Learning and Organizational Factors 143
The ESL Group and the Environment 143
Understanding Organizational Factors 148
The Emergence of Holistic Perspectives 148
Toward Organizational Theory Integration 152
Organization Development Stages 156
Organization Development Stage Synthesis 158
Organization Development and ESL 158

Experiential Social Learning and Social Transformation 163
ESL, PAR, and Praxis 163
The Group, Local Organizations, and Experiential Social Learning 167
The Group as a Unit of Analysis 167
Values Development and Groups 168
Task and Maintenance Functions 168
Groups, Learning Styles, and Personality Types 169
Groups and Local Organizations 169
Strategies for Facilitating Social Transformation 170
Social Change Strategies 171
Organization Development Strategies 171
ESL, PAR, and Organization Development 173
Community Development Strategies 176
The Facilitator and Experiential Social Learning 181
The Facilitator and Learning Styles 183
Social Movements for Social Transformation 184
ESL, Networking, and Social Movements 184
From Living Cells to Networks 184
From Networks of Living Cells to Social Movements 185
Social Learning and Social Movements for Transformation 186
Social Transformation and Integrity 187

Chapter IV: The Context of the Case Study 192

The Private Voluntary Organization and Social Transformation 192
The Role of the PVO in International Development 193
Government Influence and PVOs 194
Praxis and the PVO 195
The PVO in Transition 196
Relief and Development: A False Dichotomy 198
Relief for Development: A Holistic Conception 198
Toward a Typology of PVOs 200
The Christian PVO and Social Transformation 200
Distinguishing PVO Rhetoric from Reality 202
Dispelling the Myths 203
The PVO as Facilitator of Social Transformation 204
The Search for Appropriate PVO Management Systems 204
World Vision International 206
Background to the International Organization 206
Visión Mundial Perú 207
The Peruvian Context 209
Socio-economic Indicators 212
The Urban Explosion 213
The Politico-Economic Context 214
Bottom-Up Social Experimentation 216
The Community: Villa El Angel 217
The Local Organization 218
The Participants in the Research Effort 219
The Partnership Role of Visión Mundial 221

Chapter V: Experiential Social Learning & Participatory Action Research: A Case Study Methodology 224

Research Questions 226
The Case Study Approach 229
Criteria for Selection of Case Study 229
The Research Protocol: Participatory Action Research 230
The Synthesis of Action Research and Participatory Research Modes 231
The Participatory Action Research Methodology 232
PAR Applications for the Development of Organizations and Communities 233
PAR and Conscientização 234
The Freirean Methodology 235
Extensions of Freire's Approach 236
Fotomontaje 236
Fotomontaje and the Conscientização Process 237
Research Participants 238
The Research Team Collaborators from Vision Mundial 238
Participants from the Local Organization 240
Research Procedures 240
PAR Mode I Chronology 240
Summary of Procedures 245
Research Procedures: Pre-Intervention 246
Detailed Description of the PAR Intervention 247
Preliminary Planning and Diagnosis 247
The Reflection and Planning Phases 249
The Implementation Phase 251
The Rediagnosis Phase 258

Evaluation Phase 260
Post-Intervention Stage 260
Technical Aspects of the Data Collection 261
Assembly and Presentation of the Data 262

Chapter VI: Analysis of the Findings 264

Stages of Maturation of the ESL Domains 264
Scoring Procedures 265
ESL Domain Scores 266
Social Values Domain: Findings 268
Theory of Reality Domain: Findings 270
Political Strategy Domain: Findings 272
Collective Action Domain: Findings 274
Interpretation of the Domain Findings 275
Learning Style Competencies 280
Analysis and Scoring Procedures 281
Learning Style Competency Scores 281
Diverger Style Competencies 283
Assimilator Style Competencies 284
Converger Style Competencies 284
Accommodator Style Competencies 285
Interpretations of the Learning Style Findings 286
Organizational Factors 294
Analysis Procedures 296
Scoring Procedures 296
The Organizational Factor Findings 297
Supplementary Data 301
Comparing the Findings 303

Chapter VII: Conclusions and Recommendations 308

The Theoretical and Methodological Backdrop to the Study 308
The Paradigm Used in this Study 309
Overview of Research Methodology 310
Overview of Each Chapter 311
Summary of Research Procedures 313
Research Questions and the Findings 315
Research Limitations 322
The Time Factor 323
The Scope Factor 324
The Generalizability Factor 325
The Group as Unit of Analysis 325
Recommendations 326
Recommendations to Researchers 326
Testing the Assumptions of this Study 326
Refining the Methodology for Replication and Adaptation 327
Shifting the Focus 328
Recommendations for Community Development Practitioners 329
Recommendations to World Vision Management 329
Recommendations to World Vision Peru 329
World Vision International Management 330
Final Comments 331
Social Transformation: A Movement Toward Integrity 331

Social Learning and the Management of Social Transformation 332
The ESL Model and the PAR Methodology 333
Social Transformation and the Role of PVOs and LOs 333
Moving from Abstractions to the Concrete: The Purpose of this Case Study 334
An Urgent Challenge 335

Appendices

Appendix A: Research Observation Tools 337

Domains (Spanish) 337
Learning Styles (Spanish) 340
Organizational Factors (Spanish) 344
Orientation Guide to Experiential Learning Styles 346

Appendix B: Data Analysis Instrumentation 349

Analysis of the Domains 349
Analysis of the Learning Style Competencies 353
Analysis of the Organizational Factors 359
Interview Schedule for Fotomontaje -- Domains (Spanish) 364
Análisis de las Categorias (Spanish version) 366
Análisis de los Estilos del Aprendizaje Experiencial (Spanish version) 372
Análisis de los Factores Organizativos (Spanish version) 378

Appendix C: Workshop Curriculum 386

Appendix D: Data Collection Sessions 390

Appendix E: Excerpts from Research Journal 393

Appendix F: Evaluation of the Research Experience 416

The Research Team Evaluation 416
Participative Evaluation of the Research Process with Members of the Local Organization 423

Bibliography of Citations and General References 425

List of Tables

Table 2.1	Comparison of Radical Practice and Social Planning	48
Table 3.1	Hall's Levels of Consciousness and Values Development	119
Table 3.2	Stage Development Synthesis	121
Table 3.3	Stage Characteristics	123
Table 3.4	Matrix of Developmental Stages and Experiential Social Learning Elements	130
Table 3.5	Functions and Stage Characteristics of ESL Domains	139
Table 3.6	Some Characteristics of Static versus Innovative Organizations	149
Table 3.7	A Comparison of Assumptions by Leaders in Management and Education	150
Table 3.8	Organizational Factors and Frame Interpretation	155
Table 3.9	Factors and Organization Stage Development	161
Table 5.1	Background on Research Team Members	239
Table 6.1	ESL Domain Scores	267
Table 6.2	Learning Style Competency Scores	282
Table 6.3	Organizational Factor Scores	298
Table 6.4	Corroboration of Findings	305

List of Figures

Figure 2.1 Kolb's Comparison of Adaptive Processes: Inquiry Research, Problem-Solving, Learning 44
Figure 2.2 Comparison of Learning Modes 46
Figure 2.3 The Structure of Knowledge, World Hypotheses, Fields of Inquiry and Development Paradigms 51
Figure 2.4 The Philosophical Foundations of the Participatory Action Research Synthesis 59
Figure 2.5 Organicist and Contextualist Contributions to Social Learning 61
Figure 2.6 Comparison of World Hypotheses, Organizational Frames, and Theories of Leadership, Management, and Organizational Behavior 77
Figure 2.7 Bureaucratic Reorientation for People-Centered Community Development 81
Figure 2.8 Korten's Model of Organization Development Learning Curves 97

Figure 3.1 Kolb's Experiential Learning Model 100
Figure 3.2 Dialectics and the Experiential Learning Process 101
Figure 3.3 The Experiential Learning Theory of Growth and Development 107
Figure 3.4 The Friedmann Social Learning Paradigm 108
Figure 3.5 The Experiential Social Learning Model 127
Figure 3.6 The Components of Experiential Social Learning Model 128
Figure 3.7 Social Learning Domains, Learning Styles, Modes, and Dimensions 129
Figure 3.8 Stage Development and Learning Dimension Integration 129
Figure 3.9 ESL and the Environment 145
Figure 3.10 Experiential Social Learning and Transactions with the Environment 146
Figure 3.11 Experiential Social Learning and Organization Development 160
Figure 3.12 Praxis and Participatory Action Research 164
Figure 3.13 Praxis and Experiential Social Learning 164
Figure 3.14 ESL and Management for Social Transformation 166
Figure 3.15 Force-Field Analysis 173
Figure 3.16 Facilitating Organization Transformation: Bottom-Up Mode 174
Figure 3.17 PAR, ESL, and Organization Maturation 176
Figure 3.18 Facilitating Community Tranformation 179
Figure 3.19 Force Field Analysis and Community Transformation 180
Figure 3.20 The Facilitator's Changing Role in Experiential Social Learning 183
Figure 3.21 Social Transformation, Social Learning, and Integrity 191

Figure 4.1 PVOs, Local Organizations, Relief Situations, and Social Transformation 199
Figure 4.2 ESL, PVOs, and Social Transformation 201
Figure 4.3 WVI Partnership Chart 208
Figure 4.4 Map of Peru 210
Figure 4.5 Villa El Angel Local Development Association 220

Figure 5.1 Participatory Action Research and ESL 232

Figure 5.2 Participatory Action Research, Organization Development, and Communities 234
Figure 5.3 Praxis and Conscientização 238
Figure 5.4 Participation in the PAR Process 243
Figure 5.5 Research Plan of Action 244
Figure 5.6 Participatory Action Research Process 246
Figure 5.7 The Research Procedures 248
Figure 5.8 Generative Themes, Conscientização, and PAR Mode I 250
Figure 5.9 Group Profiles 263

Figure 6.1 Scoring the ESL Domains 266
Figure 6.2 Domain Concept Scores 277
Figure 6.3 Composite Domain Scores 277
Figure 6.4 Profile of Learning Style Competencies 287
Figure 6.5 Learning Dimensions and Style Competencies 287
Figure 6.6 Learning Competency Scores 288
Figure 6.7 Learning Dimensions and Competency Scores 289
Figure 6.8 Style and Dimensions Composite Scores 291
Figure 6.9 Group Scores Relative to LSI Norms 293
Figure 6.10 Dominant Learning Style Tendency 293
Figure 6.11 Example of Factor Variable Scale Measurement 297
Figure 6.12 Profile of Organizational Factors 298
Figure 6.13 Organizational Factors Composite Score 301
Figure 6.14 The Findings and the ESL Model 304
Figure 6.15 Comparison of Learning Style Profile and Domains 306
Figure 6.16 Force-Field Analysis and the Findings 306

Chapter I
The Problem

Many Private Voluntary Organizations (PVOs) advocate participative/ grassroots community development as a necessary strategy for facilitating social transformation (Gorman, 1984; Minear, 1984; Myers, 1982). These PVOs, and the local community organizations they support, tend to rely on the rational-bureaucratic model of the corporate workplace for managing community development efforts (Korten, 1981, 1986c). Development agencies, including PVOs, have largely subscribed to the conventional wisdom of this model, often transferring the assumptions and systems that guide management in the corporate workplace to efforts in the arena of social change. However, many times these approaches as applied to the management of social interventions are inadequate, even dysfunctional, to the actual accomplishment of social transformation. An apparent contradiction exists between the PVO theory and rhetoric embracing citizen participation for social transformation and the realities of managerial/administrative practice. The incongruency between development theory and practice has contributed to the failure of many PVO development programs (Korten, 1986b; 1984b; 1980; 1986c; Thomas,1985; Rondinelli, 1982, 1983; Moris, 1981).

Alternatives to the rational-bureaucratic model of development management are needed that enhance, rather than diminish, the capacity of program beneficiaries to undertake programs of social transformation (de Jesus, 1986: 208-225; Korten, 1984b, 1986b). Indeed, the reorientation of the management systems of development organizations, including local community organizations and their private or governmental benefactors, is essential for effective social transformation efforts (Korten, 1984b: 341-352; Thomas, 1985: 13-27; Calavan, 1984: 215-250; Hope et al., 1984). This research endeavor attempts to identify and test the usefulness of an alternative conceptualization of development management. The aim is to enhance the capacity of program beneficiaries to assume control over their emancipation from situations of poverty and oppression. The alternative conceptualization proposed in this study is referred to as Experiential Social Learning and is based on the precepts of the emerging social learning paradigm for managing social transformation (Korten, 1984, 1986a, 1986b; Friedmann, 1984a; Dunn, 1971,

1984; Kolb, 1984; Thomas, 1985; Bryant and White, 1982, 1984; Toffler, 1980; Naisbitt, 1982; Stout, 1980; Soedjatmoko, 1986; Abrahamsson, 1977; Addo, 1985; Hope et al., 1984, etc.).

The Emergent Social Learning Paradigm

The emerging social learning paradigm provides the broad parameters for a more effective approach to the 'management' of social transformation (Korten, 1984b; 1986a; 1986b). The Experiential Social Learning (ESL) framework provides one possible manifestation of the applications of the social learning paradigm to development management. The ESL model is both a theoretical extension of the social learning paradigm and a practical tool for conceiving and implementing the managerial functions of problem diagnosis, planning, decision-making, and implementation. In essence, the social learning paradigm and the ESL model for managing social transformation are the object and the method of the research endeavor.

Understanding the emergence of the social learning paradigm (as an alternative worldview for construing development management) is fundamental to the purpose and design of this research effort. Exploratory research is thus needed: 1) to determine if there is evidence for the existence of an emergent social learning paradigm in the practice of community development organizations; 2) to identify those forces that inhibit or facilitate social learning in communities; and 3) to determine whether the ESL model, in combination with Participatory Action Research (PAR) methodologies, provides a useful framework for diagnosing and improving the effectiveness of PVO-assisted Community Development Programs and Local Development Organizations.

Overview of Research Methodology

This research effort involves a case study of a local organization engaged in urban community development in Villa El Angel -- a marginal and needy "pueblo joven" in Lima, Perú. The local organization is a neighborhood development association, composed of poor local residents and affiliated with a donor development agency -- a private, voluntary Christian relief and development agency, called

Visión Mundial. The research effort involved collaboration between the author and a team of local researchers from the staff of Visión Mundial, in Lima, Perú. The research team collectively designed and refined the research methodology, as well as collected and analyzed the data. A training workshop was designed to provide the theoretical backdrop and methodological skills needed by research team members. A series of planned activities and interactions with the community and local organization members provided the primary data sources for this study. Three categories of data pertaining to the local organization were collected and analyzed, including the learning style competencies, maturation of ESL domains (social values, theory of reality, political strategy, collective action), and organizational factors. Each data category represents an important element of the ESL framework.

The methodology for this case study is based on the epistemological framework of social learning -- referred to in this study as Participatory Action Research (PAR). PAR is also the research dimension of ESL. It involves a synthesis of key aspects of both the action and participatory research modes (Oquist, 1978; Brown and Tandon, 1983; Susman and Evered, 1978). This particular endeavor utilizes the Mode I version of PAR. Mode I is a participatory action-oriented research effort involving the primary participation of development agency staff members working in collaboration with an 'outside' researcher (or consultant). Mode I efforts are intended to help the research team reach a deeper understanding of local organizations and their capacity to undertake social transformation programs. In contrast, Mode II of PAR involves a much higher level of control over the research process by community and local organization members and typically is preceded by Mode I efforts. Thus, Mode I and Mode II can be construed as different phases of PAR. Mode I, as a participative research effort, helps development agency staff gain critical understanding of local organizations and their potential role in facilitating social transformation. Mode I experiences help to prepare development agency staff as facilitators of Mode II efforts. Each mode is intended to respond to practical problem-solving needs, as well as contribute to social consciousness and value development.

This study undertakes a Mode I effort and is expected to provide part of the foundation for eventual Mode II efforts in the community. In this sense, the effort can be construed as an organization development activity that uses social learning processes and models as a means of reorienting development agency staff for the tasks of facilitating people-centered development. The principles and

techniques of the PAR methodology are used in this study to analyze the various components of the ESL model -- including the domains and stages of social learning, the learning style profile of the local organization/group, and the organizational factors that impede or facilitate social learning. Insights into the local organization's capacity for managing social transformation will be revealed by this data and provide the foundation for eventual Mode II interventions.

Background to the Problem

Agencies committed to development in underdeveloped nations, whether governmental or private voluntary organizations (PVO's), have until recently overlooked the relationship between approaches to administering development programs and successful program outcome (Bryant and White, 1982; Thomas, 1985). The underlying assumption guiding most development programs has been that the Western rational-bureaucratic model for administering development programs is appropriate for effecting planned change in Third World communities (Korten, 1986a, 1986b, 1986c). This traditional approach to administration has relied on economic criteria for assessing program success and decision-making, and is based on centralized and top-down hierarchical structures. For the most part, despite vast investments, the programs implemented according to this model have been dismal failures (Adelman and Morris, 1973; E. Rogers, 1976; Caiden and Wildavsky, 1974).

The Participation Theme

In response to this record and in accordance with the demands of the critics, many development agencies began to reassert the importance of beneficiary participation in both the planning and implementation of community-centered projects. A growing body of literature in the fields of public administration, community development, adult education, international development, political science, and social work have emphasized the critical need for increasing citizen participation . Parallel to this, has been the continuing call for participative management as a more appropriate approach to administration in the corporate world (Anthony, 1978; Herbst, 1976; Landau and Stout, 1979, 1980; Peters and Waterman, 1982; Naisbitt, 1982; Huse, 1980; Williams, 1976; Likert, 1961, 1967). Leading the way in the call for participative management were the humanistic social-psychologists and their passion for organization development (Bolman and

Deal, 1984; Perrow, 1979; Katz and Kahn, 1978). Similar movements have been directed toward educational institutions in an effort to move the locus of curricular control closer to the learner (Rogers, C., 1983, 1980; Cross, 1983; Elias and Merriam, 1980; Boshier, 1980; Botkin et al., 1979; Hall and Kidd, 1978).

The intellectual ferment that surrounded the participation ideology had many spin-offs and a few common threads. From the field of management science emerged Theory Z (Ouchi, 1981), quality circles, and management by consensus. (Huse, 1980; Bolman and Deal, 1984). From the field of adult education emerged non-formal ed- ucation (LaBelle, 1976, 1986; Simkins, 1976; Ward et al., 1984; Coombs and Manzoor, 1980; Kindervatter, 1977; Srinivasan, 1977), participatory research (Brown and Tandon, 1983; Hall, B.L. et al., 1982; Kassam and Kemal, 1982; Tandon and Fernandez, 1982; Vio Grossi et al., 1981; Fals-Borda, 1984;) and educación popular (Haak et al., 1987; Jara, 1985; LaBelle, 1986; Puiggros, 1987; Freire, 1985; Espino, 1986). From the various practice-oriented sub-fields of the social sciences (community development, community organization, social work, urban planning, rural sociology) emerged a commitment to action research -- the notion that professional change agents and their clients should share responsibilities in social problem solving tasks (Brown and Tandon, 1983; Fear, et al, 1981; Clark, 1972; Voth, 1979). Scholars in the area of development administration, a sub-field of Public Administration, called for a "people centered" approach to development (Korten, 1984a). Radical political economists continued to challenge the developmental assumptions of neo-classical economists with a variety of neo-Marxist and "dependista" worldviews (Cardoso, 1981; Chilcote, 1984; Dos Santos, 1970; Freire, 1973a; Sunkel, 1984; Wallerstein, 1975; Furtado, 1970). From existentialist and phenomenological philosophers came the continuing challenges to the epistemological assumptions of positivism (Hampden-Turner, 1970; Shaffer, 1978; Habermas, 1973; Hamnett et al., 1984; Fay, 1975; Freire, 1973b; Foster-Carter, 1976; Gordon and Marks, 1981; Fromm, 1976; Goulet, 1978; Buber, 1958). Originating in Latin America, and spreading to the rest of the world emerged a variety of theologies for liberation, highlighting the fundamental Christian concern for social justice and the need for social transformation (Gutierrez, 1972).

Relatively few disciplines that concern themselves with the social dimension of man were left untouched from the growing clamor for participation. By the mid-80s, participation had become one of the essential doctrines in the social sciences. This intellectual ferment is providing growing evidence of an emergent paradigm that is producing an increasingly powerful challenge to the assumptions

implicit in the dominant paradigm. Clear delineation of the parameters of the paradigm, and even a clear definitional consensus, are non-existent. However, a common thread throughout many of the new theories focuses on a new understanding of knowledge creation and the essential participation of the clientele in the creation and use of knowledge for social interventions.

While all of the intellectual currents mentioned above are relevant to the focus of this study, those most pertinent are the theories of people-centered development from the field of development administration (Bryant and White, 1982, 1984; Korten, 1986a, 1986b,1986c, etc.; Chambers, 1983; Moris, 1981; Rondinelli, 1983); client-centered change strategies from the fields ofsocial-psychology/organizational development (C. Rogers, 1983; Bolman and Deal, 1984) and from the planned change literature in Development Communications (E. Rogers, 1983; Zaltman and Duncan, 1974; Schramm, 1973); from Adult Education the theories undergirding andragogy (Knowles, 1973, 1980), values research (Hall and Smith, 1973; Cross, 1983; Brundage and Macheracher, 1983; Kohlberg, 1969, 1981), participatory research (Hall and Kidd, 1978; Vio Grossi, et al, 1981; Brown and Tandon, 1983 Fals-Borda, 1984), and experiential learning (Kolb and Fry, 1975; Kolb, 1984; Torbert, 1972; Doherty, et al, 1978); and in the field of Community Development, the literature concerning citizen participation (Arnstein, 1977; Gow and Van Sant, 1983; Gran, 1983a; Hollensteiner, 1979; Koneya, 1978; Hirschman, 1984, Montgomery and Esman, 1971; Roberts, 1979; Cohen and Uphoff, 1980; Esman, 1971; Garcia-Zamor, 1985), planned change interventions, (Bennis, 1976; Edwards and Jones, 1977; E. Rogers, 1976, 1983; Christenson and Robinson, 1980; Honadle and Van Sant, 1985; Lassey and Sashkin, 1983; Zaltman and Duncan, 1974), local organizations (Esman and Uphoff, 1984;), and action research (Brown and Tandon, 1983; Fear, et al, 1981; Clark, 1972; Voth, 1979; Foster, 1972).

Management for Control or Learning?

Despite increasing levels of rhetoric and theory espousing the virtues of participation, most development agencies have been unable to match their apparent interest in bottom-up participative development with adequate administrative tools. Led by researchers, such as David Korten (1981) and Dennis Rondinelli (1982, 1983), a growing number of students of development administration are observing the emergence of an alternative to the traditional approach to development administration. This approach reflects the paradigmatic shift away from the

rational-bureaucratic model (what Korten calls the "blueprint approach") toward a "people-centered" approach to planning for social transformation, called "social learning" (Korten, 1986a, 1986b, 1984a, 1984b; Friedmann, 1979b, 1984a, 1984b; Thomas, 1985; Bryant and White, 1982, 1984). In its simplest terms, the shift in administrative paradigms involves a movement away from a control orientation toward a learning orientation (Landau and Stout, 1979, 1980). Fundamental shifts in assumptions regarding human learning, knowledge creation and planning are implicit. According to Freire (1973a, 1973b; Smith, 1976), knowledge is no longer a composite of facts deposited or withdrawn from the knowledge bank. Borrowing from Dewey (1935, 1938), it assumes that knowledge is created by the actions (learning by doing) of actors involved in a dynamic process of transforming reality. There is no pretense of scientific objectivity. The social learning paradigm is unabashedly value-laden and normative. Its starting point is social critique (Friedmann, 1979b). Its objectives are the identification of oppressive social systems and structures, emancipation of the oppressed, and social transformation (Friedmann, 1984a, 1984b).

Social learning is both paradigm and process. The change methodology is based on the collective social learning that takes place in small local organizations that are task-oriented to the resolution of social problems (Korten, 1980). The role of education is to liberate groups, organizations, and communities through an increasing level of critical consciousness (Riordan, 1976). From Freire (1973b), and others, we see that fundamental learning comes from experience that is critically reflected upon with subsequent adaptation in actions and values. Ultimately, theories of reality are transformed as social learning leads to critical consciousness. From Knowles (1980) and his methodological framework for adult learning, called andragogy, we see that for effective learning to take place, the locus of control over learning must shift to the learner along with increased contemplation of real-life situations. From Korten (Korten 1984b, 1986b), we see that social learning is the fundamental reason why some development programs are successful in accomplishing social transformation, while others are not. From John Friedmann (1979a, 1979b) we see that social learning as a process not only requires action and reflection, but also the dynamic and evolving integration and interaction of theories of reality, political strategies, collective action and social values. Social learning is both holistic theory and practice. Organizational psychologist, David Kolb (1984), provides the fundamental theoretical underpinnings of experiential learning and its potential for shedding light on the role of learning in human development.

However, all of these streams of critical thought contribute to the articulation of the social learning paradigm and to the elaboration of a theoretical model developed in this study and referred to as Experiential Social Learning (ESL).

The PVO and International Development

International development normally refers to the intent of affluent nations to transfer resources (financial, human, technological, ideological) to less affluent nations. International development as a human endeavor has many dimensions. There are a myriad of actors, including donor governments, recipient governments, local governments, corporations, foundations, local organizations, Private Voluntary Organizations (such as Red Cross, CARE, World Vision or local indigenous PVO's), Non-Governmental Organizations (such as the UN and its various entities and major universities), cross-national institutions such as the Roman Catholic Church and, of course, the beneficiaries. There are also a myriad of motivations for involvement in international development including political and economic self-interest, philanthropy, compassion, and organizational mission. There is an even greater diversity in the types of activities, philosophies, methodologies, and performance of these various actors.

In the midst of this complexity, a high percentage of the transferred resources does relatively little to alleviate human suffering or to improve the human condition in concrete or visibly significant ways (Adelman and Morris, 1973; Lappé, et al., 1980). As a consequence, mountains of research is produced each year in an attempt to explain some facet of this monumental failure. However, only in recent years has the attention of researchers begun to focus on the role of the Private Voluntary Organization in International Development. The attention on the PVO is slowly increasing due to an apparent success rate at alleviating suffering and improving the quality of life of the poor. Individual, corporate and governmental donors are increasingly shifting the burden for the design and implementation of development programs onto the PVO (Tendler, 1982; Gorman, 1984).

A number of questions come to the mind of an interested observer. One, do these PVOs merit the good reputations they have fostered among donor publics? If so, according to what and whose criteria? Second, if PVO rhetoric, indicating a deep concern for participation and social transformation, is to be taken seriously, how is this concern reflected in the management/administration of their development programs? Third, is there consistency between development theory and practice

within the PVO or in its linkages with local organizations? Finally, do the development theory and practice of PVOs reflect the emerging Social Learning Paradigm? In what ways? According to whom? At what level of the organization? What applications do the Experiential Social Learning Model have for helping us to understand, and possibly enhance, the role of the Private Voluntary Organization in development work?

While this study does not pretend to provide in-depth answers to these questions, it does provide some important insights based on an in-depth study of one local organization that is supported by a large international PVO.

Research Questions

The research was guided by several key questions. Discovering the answers to the following questions constitute both the academic and practical purposes of this research endeavor. Contributing to the efforts of the development agency and the local organization to carry out effective programs for social transformation is the practical side of the research. However, good PAR should contribute to the theory, as well as the practice, of people-centered social transformation. Indeed, PAR should contribute to both basic and applied research domains. This research effort strives to fulfill this ideal, to the extent possible, given a number of constraints.

The following questions provide the parameters for this inquiry:

1) To what extent is the social learning paradigm manifested in the theory and practice of the case under study?

Of critical concern to this research project, is the degree to which the emergent social learning paradigm is: a) recognized conceptually by development practitioners; and b) used in their approach to managing and administering development activities/projects. In other words, does the case studied provide some preliminary evidence that the social learning paradigm has adherents (whether consciously or not) in the practice of community development? This question has the broadest scope, encompassing the other questions in many respects. The perspectives of both Visión Mundial development workers and local organization

members are of interest. Indicators of social learning at the local organization level were analyzed by the research team. Elements of the ESL model include: learning styles, social learning domains, and their stages of maturation and organizational factors/stages of organization development. Of interest, was the degree that the measured organizational factors (such as the management system and administrative procedures) were indicative of either the social learning paradigm or the rational-bureaucratic model of management.

2.0 To what extent is the Experiential Social Learning Model an appropriate measure of the social learning paradigm? What does the ESL Model reveal about the group?

The Experiential Social Learning Model was constructed to provide a holistic research framework for analyzing the various elements required for the effective management of social transformation. Of concern is the measurement of the local organization's characteristics, including: the group's learning style tendencies, the stages of maturation in each of the four domains of social learning, and the stage of organization development. Measurements of the learning styles and the stages/domains were based on the research team's observations of two planned events, including problem-posing and problem-solving exercises. Organizational factors were observed based on a group-focused interview about a past community development experience, as well as data obtained from a problem-solving exercise. Observational tools and analytical instruments for each ESL element helped the research team members to systematically collect and analyze data. Appendices A and B include the observation and analysis tools respectively. Several separate questions are pertinent to asking the broader question of #2:

2.1 Does the ESL model provide an appropriate measure of the collective learning style of the local organization? What is the group learning style profile?

Recorded observations of local organization members engaged in a problem-solving event constituted the data source for assessing the group's learning style profile. The collected data permitted the research team to determine the predominant learning styles and tendencies of the group as it wrestled with a real-life, problem-solving

situation. It should be emphasized that the group profile of learning style tendencies as depicted, with respect to that particular event, is not generalizable about the group or its individual members beyond the event. However, repeated observations during subsequent experiences might reveal certain patterns useful for curriculum design and organization development strategies. However, due to the nature of PAR, each research intervention will likely lead to participant behavioral changes.

> 2.2 Does the ESL Model provide an appropriate measure of group maturation in each of the social learning domains? What is the group's stage/domain profile?

The stages of maturation for each of several domains were assessed similarly to the learning styles. Systematic observations of the problem-solving event allowed the research team to determine the tendencies of the group on a wide variety of variables pertinent to the stages and domains of experiential social learning. A profile of the group's stage maturation for each of the four domains was based on the data collected in a problem-posing/fotomontaje exercise. The stages/domains group profile is not generalizable beyond the observed experience. However, subsequent repititions of similar experiences and observations might reveal patterns relevant to curricular and organization development concerns. Nevertheless, it should be noted that this type of research intervention is, by its very nature, obtrusive and tends to lead to group learning and change.

> 2.3 Does the ESL Model provide an appropriate measure of the local organization's stage of organization development? What stage is indicated based on the group-focused interviews?

The stages of organization development are indicative of the type of management system used by the local organization. A group-focused interview technique was used to probe the group's collective memory of a past experience. Of particular concern was how the experience was handled from a managerial and administrative point of view. A number of organizational factors were observed for their relevance as impeding or impelling forces for social learning. These include a variety of indicators pertaining to the leadership, motivation, communication, decision-making, goal-setting, control, and evaluation processes. While observations about the

development of the organizational factors cannot be generalized beyond the discussed historical events, the insights gained have the potential to stimulate increasing levels of critical reflection and might be useful for planning future organization development strategies.

3.0 Based on the findings, what propositions or hypotheses can be made for guiding further research?

The object of any research effort should be to contribute to the knowledge base, while providing subsequent researchers with ideas for further research. The generation of research hypotheses and propositions for extending theory beyond the parameters of the case study was therefore fundamental to an incremental increase in knowledge in the exploratory mode. Several key areas were explored.

3.1 What were the forces impeding or impelling social learning in this case study and can their influences be generalized to other situations?

Organizational factors are widely recognized as impediments to or as facilitators of learning. The stages of organization development can thus be construed variously as impeding or impelling forces for social learning. Likewise, the lower stages of social learning and domains can be seen as potential impeding forces, and the higher stages as impelling forces, for social learning. In addition, the group's learning style profile is potentially indicative of learning competencies, variously impeding or impelling transformative social learning. Thus, the influence of each of the ESL model elements is relevant to the identification of the obstacles to social learning and for charting strategies to overcome those obstacles. Identifying the impeding and impelling forces in this particular case study provided sufficient justification for elaborating hypotheses and propositions for guiding future research in this area.

3.2 Are the Experiential Social Learning Model and the Participatory Action Research Mode useful tools for facilitating the emergence of Social Learning as an alternative paradigm for managing social transformation?

This question relates to a broad set of concerns pertaining to the need for testing the relevance of the theoretical and methodological dimensions of this research

endeavor. Some of these concerns are addressed, at least partially, in prior questions. For example, of interest will be whether the Mode I PAR intervention was an effective methodology and, specifically, if it provided the foundation for a Mode II PAR intervention.

> 3.3 What role does the Private Voluntary Organization (as development catalyst) play in facilitating social transformation through social learning?

This final research question brings symmetrical balance to the endeavor by returning to the original interest in the role of the private voluntary organization as a potential facilitator of social transformation. The development agency can pursue its activities in ways that are either facilitative or restrictive to the emergence of social learning as an alternative approach to managing social transformation. The research findings allowed the research team to postulate certain hypotheses, assertions, and propositions that require further study but, in the interim, may prove useful to PVO policy-makers.

The Case Study Approach

The social learning paradigm emphasizes the dialectical (Kolb, 1984) and evolutionary nature (Dunn, 1971, 1984) of knowledge creation. Exploratory research is a generic category of social research that can lead to important insights needed for constructing more adequate theory (Babbie, 1983). Exploratory research frequently uses the case study approach due to inadequate knowledge and theory in the domain of interest and because of the complex nature of social phenomena. Case studies are particularly useful for exploratory research because they allow in-depth penetration of the realities of the particular case, and thereby reveal important insights pertinent to subsequent theory-building research. The case study approach does not contribute to the construction of theory through the generalizability of its findings but, rather, through its revelation of important hypotheses and propositions that otherwise might have remained undiscovered (Tripodi et al., 1983: 72-77; Glaser and Strauss, 1967, Babbie, 1983; Patton, 1978, 1980, 1982). Thus, the case study approach is particularly relevant for the exploration of an emergent paradigm and its manifestations in the practice of community development.

Criteria for Selection of the Case study.

The case studied is a local organization that has been closely associated with a large Private Voluntary Organization. The rationale for studying local organizations and PVOs as an appropriate avenue for understanding the social learning paradigm is described in Chapter III. The selection of the Private Voluntary Organization, and its partner local organization, as the focus of the case study was made on the basis of several criteria. The sponsoring Private Voluntary Organization, World Vision International, was selected for study based on researcher familiarity and employment with the agency. The Perú field office was selected for study based on staff receptiveness and overall appropriateness of Perú as a site. A number of trends related to social learning, such as the Educación Popular movement (Jara, 1985; LaBelle, 1986; Haak, et al, 1987; Matos Mar, 1985; Puiggros, 1987) and the use of Freirean techniques (such as fotomontaje, Barndt, 1980; Educación Popular en América Latina, 1975) have been highly influential in community development efforts in Lima, Perú, thus making it a logical place to conduct an inquiry about the emerging paradigm. And, most important, key staff members in Visión Mundial of Perú indicated an interest in the general research subject and a willingness to participate in the proposed methodology.

The local organization was chosen for study from a possible selection of several projects/local organizations located in the Lima metropolitan area. The urban setting was deemed to be the most approriate research context due to a number of practical considerations, including accessability by key members of the research team and the time constraints involved in travel to alternative projects in isolated mountain or jungle villages. The decision to study a poor barriada (or pueblo joven as they are referred to in Lima), as opposed to other kinds of poor communities, was based on the actual location of Vision Mundial's urban projects, as well as the concrete levels of deprivation found in these communities. One project and one local organization, rather than a comparative study of several local organizations, was also determined as appropriate due to time constraints. The local organization was selected based on the recommendations of Visión Mundial management and fieldworkers. The criteria for selection of the project/local organization included continuity and stability of leadership, an established three-year history of working with Visión Mundial, and an interest in participating throughout the process. In addition, the local organization was selected based on its history of community development activities and the perception by Visión Mundial staff that the research

experience would contribute to these efforts (Vision Mundial, Perú, 1985-1988). The context of the case study, including detailed descriptions of the Private Voluntary Organization, the local organization, and the realities of marginal communites in Lima, are presented in Chapter IV.

Research Participants

Two client groups were involved in this PAR Mode 1 intervention, including the research team members, composed primarily of development agency staff, and the participants from the local organization.

The research team was composed of nine members (one person dropped-out prior to the analysis phase due to illness). Three research team members also represented a sub-group, referred to as the facilitator group. The facilitator group included the author (as lead researcher), an outside consultant (with extensive experience working with the agency and as a social worker/adult educator in the pueblos jovenes of Lima), and the manager for training, research, and evaluation for Visión Mundial Perú. The facilitator team was responsible for facilitating the research process with the research team and the community participants, including the preparations for sessions with both groups. Team facilitators participated extensively during the first two weeks of orientation and training, and played key roles during the data collection and analysis processes.

The other research team members are employed by the agency in the operations department with varying levels of responsibility and experience as community development workers. A variety of other members of the Visión Mundial staff provided advice and support throughout the research process. In addition, a photographer was contracted to assist with the video taping and the thematic codification using slides. Visión Mundial Perú management also participated in the orientation, planning, decision-making, and recommendations sessions.

The unit of analysis in this research effort is the local organization. Data were collected with the group leaders' permission and participation. The participants from the community of Villa El Angel represented the local organization, and was in this case, a local development association. A diverse group, some participants had official positions of leadership in the community organization, others were informal leaders in the community, but most participated with some level of recognized leadership in the local organization's activities. The group was

fluid and the numbers of participants, as well as the composition of the group, fluctuated between the various data collection sessions. Approximately 40 persons participated in at least one of the five sessions. A relatively constant group of 15 leaders participated consistently and reliably throughout the five sessions. While the intent was to control the number and composition of participants, this turned out to be unacceptable within the context of this community and the experience had to be left open to all who wished to participate.

The group was not homogeneous. The participants had different levels of education, a few were university educated, others barely literate; some were senior citizens, many were middle-aged, several were still in their teens; some seemed to be more economically disadvantaged than others; about one third of the participants were women; some participated actively, some passively. The characteristics of the research participants are described in greater detail in Chapter V.

The Research Protocol: Participatory Action Research

The inquiries of this research effort were guided by an eclectic approach to community development research referred to in this study as Participatory Action Research (PAR). PAR is a methodology that borrows specific attributes from the action research (Huse, 1980; Brown and Tandon, 1983; Fear et al., 1981; Clark, 1972; Voth, 1979) and participatory research (Brown and Tandon, 1983; Hall, B.L. et al., 1982; Kassam and Kemal, 1982; Tandon and Fernandez, 1982; Vio Grossi et al., 1981; Fals-Borda, 1984;) traditions. PAR reflects the assumptions of the social learning paradigm. It is proposed as a more adequate epistemological system for social research efforts that are designed to contribute to both social transformation and the social science knowledge base.

The Synthesis of Action Research and Participatory Research Modes

There are many similarities and distinctions between the action research (AR) and the participatory research (PR) modes. Both describe many aspects of traditional conceptions of social science, as exemplified by logical-positivism, as "irrelevant" (Brown and Tandon, 1983). Both share a transactive view of how social knowledge is created, and both desire practical benefits and developmental changes as consequences of the inquiry. The differences between the two are also numerous, including their distinct political

economies and ideologies (Brown and Tandon, 1983). The argument has been made here that the conceptual merger of AR and PR is conceivable as a manifestation of social learning. The competition between the two modes is indicative of a dialectical tension between conflictual political ideals/strategies and pragmatic and realistic problem-solving efforts. The utilitarian focus of action research and the radical concerns of participatory research are not mutually exclusive. Indeed, their synthesis will produce a new and powerful epistemological framework that is indicative of, as well as a promotor of, social learning.

The PAR synthesis maintains the AR commitments to build the social science knowledge base and solve practical problems through experiential learning processes, as well as the PR commitment to use research as a means of empowering the powerless and achieving social transformation (Brown and Tandon, 1983). Thus, PAR is both pragmatic and idealistic -- being pragmatically grounded in reality and idealistically driven by higher principles. Practical problem-solving, building the knowledge base of the social sciences, and social transformation are interdependent goals and activities, and are given equal stature and attention under PAR.

A preliminary definition of the PAR approach is thus: social research that is conducted collaboratively by social scientists and members of communities and/or organizations for the co-equal purposes of: 1) contributing to the knowledge base; 2) responding to the felt needs and concerns of the client group(s) through practical problem-solving activities; and 3) simultaneously promoting processes of social transformation whose goals and methods are defined by the parameters of a mutually acceptable ethical framework (based on adaptations of AR and PR definitions in Brown and Tandon, 1983). PAR is both the product of social learning and a method through which social learning can lead to social transformation.

The Participatory Action Research Methodology

The process of PAR constitutes the methodological framework that will guide this research effort. The PAR process is consistent with experiential learning theory and, in many respects, is isomorphic with the iterative and cyclical process of experiential learning. The PAR process is also similar to the AR (Susman and Evered, 1978: 588) and PR research (Hall, et al, 1982) processes. PAR is a cyclical process of learning and action with five distinctive phases and a feedback evaluation loop that transacts with each phase and bridges between the phases. The five phases of collective activity are : 1) preliminary diagnosis; 2) reflection; 3) planning;

4) implementation; and 5) rediagnosis and the evaluation function which transacts with each phase (Susman and Evered, 1978; Huse, 1980: 88-91)

The social scientist or consultant (change agent or facilitator) is typically an outsider to the community and/or organization. He or she brings a repertoire of resources, including relevant theories and methodologies, to share with the client group for the purpose of being evaluated and adapted by the client group in the community and/or organization (Rogers, E, 1983; Zaltman and Duncan, 1974). The facilitator also potentially brings essential commitments to social learning and transformation, as well as PAR process knowledge. The theory and methods brought by the facilitator are resources to be used for the preliminary diagnosis of the need(s), problem(s), or opportunities that the community or organization is facing. The identification of social values (Friedmann, 1979b) is the key function of the preliminary diagnosis, and as such, *valuing* skills relevant to the affective and perceptual learning dimensions are crucial (Kolb, 1984).

In the reflection phase, the research group is concerned with reflecting on the values in terms of their worldview, i.e., theories of reality (Friedmann, 1979b) -- and thus *thinking* skills involving the perceptual and symbolic learning dimensions are key (Kolb, 1984). In the reflective phase, priorities are established according to theories of reality. The third phase involves the collective planning and decision-making activities needed for responding to the problems, needs, or opportunities identified and prioritized. Effective decision-making and planning requires the avoidance of "groupthink" tendencies characteristic of ineffective consensual decision-making processes (Janis, 1972). Challenging various perspectives through dialectical exchanges between various learning styles so that action-reflection and abstract-concrete dialectical poles are constantly in a process of transaction are, thus, essential to the PAR process. The planning phase constitutes the "nuts and bolts" of PAR in which strategies and plans of action(including political strategies) are produced (Friedmann, 1979b). *Deciding* skills involving the symbolic and behavioral learning dimensions are most useful to the planning phase (Kolb, 1984).

The implementation phase of PAR involves collective action and implementation of planned activities and strategies (Friedmann, 1979b). The implementation phase obviously requires *acting* skills that are developed through the behavioral and affective learning dimensions. The rediagnosis phase involves a reassessment of the preliminary diagnosis of problems, opportunities, and needs

through the use of valuing skills (Kolb, 1984).

Evaluation parallels the process of the five-stage cycle. At each phase -- preliminary diagnosis, reflection, planning, implementation, and rediagnosis -- evaluation is undertaken. Evaluation involves valuing, thinking, deciding, and acting skills tied together in a separate, but parallel, learning process that provides a feedback loop to each phase of PAR. Evaluation is thus an integral and critical function of the entire PAR process. The rediagnosis phase is the culmination of the evaluation process -- in which the whole experience is assessed against the backdrop of values and expectations. The process evaluations, occurring at each phase of PAR, provide the basis for evaluating the rediagnosis phase (Argyris and Schon, 1974, 1978; Patton, 1978; Weiss, 1972; Tandon and Fernandez, 1982).

Summary of Research Procedures

The research in this case study was conceptually based on the PAR protocol. A number of procedures borrowed from the Freirean methodology (Smith, 1976), and the fotomontaje technique (Barndt, 1980) were also incorporated into the design (as discussed in detail in Chapter V). The chronology of research activities followed the PAR process phases of preliminary planning/diagnosis, reflection, planning, implementation, rediagnosis, and ongoing evaluation. More broadly, the research effort included three stages: a pre-intervention stage, the PAR intervention, and the post-intervention stage.

The pre-intervention stage included the researcher's efforts to construct the theoretical and methodological frameworks, as well as ongoing interactions with the client group in Visión Mundial. The PAR intervention stage involved the actual PAR process with the five phases of preliminary planning/diagnosis, reflection, planning, implementation, and evaluation.

The preliminary planning/diagnosis phase included: 1) discussing the research proposal with client management and agreement to a general plan of action; 2) providing team members with a preliminary orientation to the study's theory and methodology; 3) making initial modifications in the methodology and then planning the research and training activities with the research team; 4) planning the activities to be undertaken at the community level with the active participation of representatives of the local organization; and 5) making a preliminary assessment of the community's problems and aspirations through a participative community

descriptor exercise and a series of informal interviews with Visión Mundial staff and community leaders.

The reflection phase included: 1) research team orientation to the theoretical and methodological frameworks, making necessary modifications; and 2) a training workshop for research team members. The planning phase involved the formulation of a plan of action for data collection activities by the research team. The implementation phase involved putting the plan of action for data collection into effect -- including the problem-posing/fotomontaje exercise, the problem-solving exercise, and the group-focused interview about a past community development activity. The rediagnosis phase involved: 1) the analysis and interpretation of the collected data by the research team; and 2) sharing the results with both the agency management and the participants from the community. The evaluation function was carried out participatively at each phase of the process and at the conclusion of the intervention. The evaluation function involved the participation of both research team members and local organization participants. The evaluation function is integrated into each phase of the research process.

The PAR intervention in this study involved an organization development technology aimed at both the Private Voluntary Organization and the Local Organization -- and as such, this case study can be considered as a Mode I version of PAR. The post-intervention stage involved management considerations of the research team's follow-up recommendations including: 1) a possible Mode II intervention as a broader strategy corresponding to community development criteria; 2) further agency support for the initiatives begun by the community during the research process; and 3) the possibility of continued testing of the methodologies for potential applications by agency field workers. In addition, the post-intervention phase included the documentation of the process through means of the author's dissertation and other reports or articles, with the implicit potential for sharing the research findings within the scholarly community, as well as with other community development practitioners.

Potential Benefits

Any research endeavor that seeks to respond to concrete social problems enters into a domain that is filled with potential risks and benefits to both the social sciences and to the research subjects. This project was no exception. The most probable risks were identified and minimized according to a framework of ethical

parameters. In balance, the risks were tolerable in relationship to the potential benefits of taking risks vs. not taking any risks. In this case study, the risks were deemed acceptable due to potential benefits of the research and a conscientious effort to maintain an ethically sound research design.

1. The Experiential Social Learning Model, used in conjunction with PAR, is potentially useful for several applications, including serving as an organizational or community diagnostic tool for development programs, as an alternative methodology for managing social transformation programs, and as a practical articulation and extension of the social learning paradigm. This case study provides some insights into the ESL Model's usefulness for each of these applications, as well as potentially providing evidence of the presence of the social learning paradigm in the practice of community development.

2. The theory and methods used in this research endeavor are potentially useful to World Vision in other countries and contexts both for organization and community development applications. Other development agencies, with similar needs and applications, might also wish to experiment with these models.

3. The findings, as well as the research process itself, are potentially useful to the ongoing activities of the local organization and contribute to the capacity of the community to undertake its own social transformation program.

4. The findings of the case study should allow for the formulation of a number of hypotheses and propositions about group learning styles, stages and domains of development, organizational factors, and the role of the development agency as an impeder or facilitator of social transformation.

5. The research process will ideally result in increased levels of research team member skill and knowledge relevant to the effective research pertinent to community development programs. Changed attitudes about social transformation and the role of the development agency is also a potential outcome.

6. The PAR Methodology was tested in this case study, providing the foundation for further testing and refinement.

Ethical Parameters

In general, the ethical parameters for this type of study must include a genuine humility about the ability of the research team to make generalizable conclusions about this group of people, let alone generalize the case observations beyond the boundaries of the case study. Therefore, the data must be interpreted

conservatively and critically.

Secondly, the interests of the research participants (including the local research subjects, as well as the members of the research team) must be understood at a profound level and vigilantly protected. For this reason, the research process (including the data collection, analysis, and reporting) must not impune the reputation of people individually or collectively. Thus, the anonymity of individuals is maintained in the reporting of research results. During the last session, the community members were asked whether they wished the identity of their community to remain anonymous. By unanimous vote, the participants indicated they wanted their community named in the documentation of this study.

Not only should the research process and findings respect the interests of research participants by not causing them harm, the research project should also endeavor to contribute to the solution of concrete problems identified by the participants. Social research, which requires substantial investments of time and which potentially causes participants to feel vulnerable, cannot be justified on ethical grounds unless it aims to contribute to participant needs as well as those of the researcher. This requires a commitment to avoid manipulation of the participants in order to achieve research goals. Research methods should respect the wishes and values of the participants. Manipulative research methods are not ethically sustainable. Ethical social research also requires a commitment by the researchers to assure that the benefits of research findings are provided to the research participants. Thus, follow-up by the researchers with the participants is essential in some form. Ethical social research must always contribute to the dignity of people and ideally involve the transfer of useful knowledge and skills to the participants (Babbie, 1983; Warwick and Kelman, 1973; Patton, 1982; Fear and Firestone, 1982).

Research Participant Consent

The sponsoring agency, World Vision Perú, agreed to fully participate in this research process. The members of the research team were invited to participate on a voluntary basis and needed to balance ongoing job responsibilities with research functions. Negotiations with the World Vision Perú management and exchange of ideas and information about the research design were ongoing for over a year. Dialogue with potential members of the research team was carried out in Lima, Perú in January 1986. In addition, criteria for selecting the case for study were discussed during that visit to Perú, and several possible research sites were visited.

The consent of the research subjects -- the participants from the local organization -- is fundamental and was based on an understanding and acceptance of the proposed process and how the findings would be used. A number of procedures for obtaining the consent of local organization members were followed. Participation was voluntary and without compensation except for the presentation of a symbolic gift of appreciation following the intervention. The local organization may indirectly benefit from the problem-solving process exercise, as there is a possibility of World Vision funding for the implementation of problem solutions.

Overview of the Chapters

Chapter II provides a broad exposition of the foundations for an alternative approach to development management. In the first section of Chapter II, competing development paradigms, as well as their eclectic convergence, are discussed as a manifestation of the emergent social learning paradigm. The roots of the social learning paradigm and its assumptions are explained and contrasted in the second section. In the third section the convergent foundations of social learning are described based on the world hypothesis analysis. The epistemology of social learning and the related synthesis of the participatory and action research methodologies into the participatory action research modes are also described in the third section. The fourth and final section of chapter II outlines the contemporary movements that are indicators of the social learning paradigm for development management and also describes some of the fundamental principles of a social learning approach to development management.

Chapter III describes the construction of the Experiential Social Learning (ESL) model for managing social transformation. The basic elements of the ESL model are described including David Kolb's experiential learning theory, John Friedmann's descriptions of social learning for social transformation, David Korten's interpretations of social learning as applied to development management, and the various stage developmental theories from which a stage theory synthesis was derived. The second major section of Chapter III describes the assembled ESL model, including discussions of the domains, developmental stages, learning styles, competencies, and dimensions. The third major section of Chapter III provides an overview of the key organizational factors that impact social learning as either impeding or impelling forces of social transformation. Management and organizational theory literature is

surveyed from this perspective and a stage conceptualization of management systems is proposed in conjunction with the ESL model. The fourth section discusses the expanded version of the ESL model as it relates to social transformation. The relation between groups, local organizations and Experiential Social Learning is discussed. Strategies for facilitating social transformation through Experiential Social Learning are proposed including the implications for social change strategies in the areas of organization and community development. The role of the facilitator, social movements for social transformation, and the potential role of the Private Voluntary Organization for social transformation are subsequently discussed. The final section of Chapter III provides some deeper insights into the meaning of social transformation, as used from this perspective, with its discussion of integrity -- or holism -- as the goal of development.

Chapter II and III provide the theoretical foundations on which the remainder of the study is built. Chapter IV places the study in context by providing: 1) a general discussion of the role of PVOs in social transformation; 2) background information on the Private Voluntary Organization studied; 3) a description of the Peruvian situation; and 4) a descriptions of the local organization. Following the general overview of PVOs, Chapter IV briefly discusses World Vision International, the sponsoring Private Voluntary Organization. A general orientation to the mission, history, and structure of the organization is given along with an overview of the agency's activities in Perú including a profile of its projects and staff. The next section provides some general background information for the reader about the contemporary situation in Perú, including a discussion of the realities of the 'pueblos jovenes' (young towns), located in the marginal areas of metropolitan Lima. Finally, Chapter IV examines some of the characteristics of the pueblo joven, Villa El Angel, and its local community development organization which is the object of the case study. Chapter V, discusses the methodology for the study with sections relating to the research questions, the case study approach, the PAR protocol, research participants, research procedures and chronology.

Chapter VI presents an analysis of the findings for each of the key elements of the ESL model including the stages of maturation for the ESL domains, learning style competencies, and organizational factors. The final section of Chapter VI compares the findings of each of these elements and assembles the findings graphically using the ESL model to assist in the interpretation. Chapter VII provides research conclusions, starting with sections that summarize the research theory and

methodology, as well as how the data responded to the research questions. Hypotheses and propositions requiring further research are also proposed. Subsequent sections outline the recommendations for future researchers, practitioners, and agency management; the research limitations, including the problem of generalizability; and a section with final comments, bring closure to the study.

Appendices A to E include: A) researcher observation tools; B) analysis instruments for each of the three elements (stages/domains, learning styles, and organizational factors); C) the curriculum for the researcher training workshop; D) plans of action for the data collection sessions in the community; E) excerpts from the author's daily journal; F) the evaluation results.

Chapter II
Foundations for an Alternative Approach to Development Management

An historical review of international development efforts since World War II reveals two great failures. The theory guiding development efforts -- commonly referred to as modernization -- makes a number of major erroneous assumptions about the Third World and how its problems can best be resolved (Addo, 1985; E. Rogers, 1976; Foster-Carter, 1976). The corrollary to this failure is a more recent discovery. Paralleling the use of inadequate theory, was the tendency to use inappropriate management systems and techniques for putting modernization theory into practice (Korten, 1986a, 1986b, 1984b). While adherents to modernization theory have clearly been put on the defensive by their critics, and the search for alternative theoretical frameworks has yielded many creative insights, the dominant mode for managing development efforts continues to follow the precepts of the modernization paradigm. In short, while development theory has matured, the practice of development "interventions" continue to follow an outmoded, indeed, counter-productive approach to management.

The "global problematique" inherent in the present world system confronts us with the urgent and critical need for social transformation (Addo, 1985). Transformation requires changes in both the theory and practice of development assistance. Searching for alternative approaches to management, which facilitate rather than inhibit social transformation, must be an urgent item on the social scientist's and development agency's agenda (Korten, 1981).

The foundations for an alternative approach to managing development is presented in this chapter. The first section of Chapter II includes an overview of the diversity of development paradigms. It is argued that the most promising theory for guiding social transformation efforts seems to be emerging from a pragmatic synthesis of several competing paradigms. The second section describes the social learning paradigm and is followed, in the third section, by an overview of the epistemological and methodological characteristics of Participatory Action Research (PAR). The third section also provides a review of the eclectic and convergent foundations of the emergent social learning paradigm. The fourth section outlines the general characteristics of a new and eclectic, social learning approach to management for social transformation, which will be thoroughly described in Chapter III. The fourth section also describes people-centered development movements and development agency reorientation as the vanguard of the social learning paradigm.

The Paradigmatic Challenge: From Differentiation to Integration of Perspectives

T. S. Kuhn's (1962) concepts of scientific revolution and shifting paradigms have had such a tremendous influence on the social sciences that serious discussions of inter-disciplinary topics, such as "development," are usually prefaced by a comparison of competing paradigms. There is no clear consensus about how the term "paradigm" should be defined or used but, in common with all usages, "paradigm" refers to "a pre-theoretical entity -- a set of domain assumptions -- which, in a very strong sense, serves to define the field of study." (Foster-Carter, 1976: 168) A paradigm is a worldview or general theory shared by a group of people working on, or thinking about, a particular topic such as development. Kuhn's brilliant review of the history of science demonstrates that 'anomalies' or contradictions in the dominant paradigm lead to paradigm changes -- comparable to a change of "Gestalt" -- or the total structural vision through which 'reality' is understood. In other words, a paradigm shift is a dramatic intellectual departure from the dominant paradigm guiding a field. Although acceptance of the emergent paradigm is gradual and resisted by the defenders of the old, the new paradigm is tantamount to a "scientific revolution"; it ultimately becomes the dominant paradigm for guiding research in the field (Kuhn, 1963; Foster-Carter, 1976; Wilber and Jameson; 1984: 5). The shift in paradigms

" ... involves a total change of world view: as such, while it ... better explain<s> the particular anomaly which led to the demise of the old paradigm, it simultaneously re-interprets previously 'known' phenomena ..." (Foster-Carter, 1976: 169).

Paradigm shifts in the social sciences follow a different pattern than those of the 'hard sciences' because complex social phenomena may not be reduced to the same rigorous hypothesis-testing procedures of experiment-oriented, positivist science. Thus, the struggle between competing paradigms is more protracted because it is more difficult to provide conclusive, empirical evidence of the challenging paradigm's superiority. As a consequence, a multi-disciplinary concern -- such as development, has multiple 'schools of thought' competing with the dominant paradigm in, what boils-down to, a protracted intellectual struggle for ideological preeminence (Foster-Carter, 1976).

A brief sketch of each of the major 'development' paradigms competing for influence follows. Each of the competing paradigms is faced with 'anomalies' and, while the dominant modernization paradigm has been vigorously challenged, it is not clear which, if any of these paradigms, is the heir-apparent as dominant paradigm. Indeed, a central thesis of this study is that serious anomalies inherent to these

paradigms are indicative of the urgent need to search for more adequate and pragmatic conceptualizations. In true dialectical fashion, a synthetic/eclectic framework appears to be emerging, which pragmatically selects from the other paradigms to form a distinctive worldview. As a result, an alternative paradigm is born for guiding transformational development efforts into the 1990s.

Competing Paradigms

Modernization

The dominant paradigm guiding international development efforts during the post- World War II era has been variously labelled "modernization" (Klaren and Bossert, 1986; Valenzuela and Valenzuela, 1981), "the orthodox paradigm" (Wilber and Jameson, 1984),"developmentalism" (Nisbet, 1969; Aseniero, 1985; Goulet, 1978), the "Equilibrium Paradigm" (LaBelle, 1986). Each refers to the paradigm or philosophical framework which has been providing the Eurocentric "West" with a set of assumptions for interpreting economic/social/political life, culture, and history. While its roots can be traced to several intellectual currents of seventeenth and eighteenth century Europe (with their own ancient antecedents in classical Greece), the dominant paradigm has been significantly influenced by the ideas of two nineteenth century fathers of sociology, Max Weber and Auguste Compte. Weber's primary contributions included his conceptualization of the modern vs. the traditional and the evolutionary concept of man moving to higher forms of achievement through the application of rationality in bureaucratic institutions. Compte's contributions included his philosophical system of Positivism and his theory of social evolution in which the modern (industrial and scientific) society was the culmination of a series of developmental stages proceeding from a traditional (theological and military) society.

The optimistic notion that human society is evolving through a series of increasingly complex and qualitatively superior stages became the centerpiece of the contemporary version of "modernization" in Rostow's (1960) stage theory of economic growth. Modernization theory assumes that all societies are essentially the same at the "traditional stage" and will eventually experience the same kinds of changes leading to the modern stage that is currently enjoyed by the Eurocentric West. Rostow's theory was based on an analysis of the British industrial revolution. It assumed that its experience could be replicated if Third World countries were to pursue economic policies that induce capital accumulation and investment. Entrepreneurial values and activity would also need to be developed (Klaren and Bossert, 1986: 9). The weaknesses of Rostow's modernization theory are now legendary. In particular, the frequently

criticized notion that all countries should (or, given unique historical realities, could) follow the same growth stages as the "developed" capitalist societies. Aseniero acidly declares that "the absurdity of Rostow's stages of economic growth is matched only by the utter poverty of his down-to-earth teleological vision: for him, universal history is the passage from the initial stage of traditional society to the fifth and final stage of mass consumption..." (Aseniero, 1985: 71). Because the "high mass consumption" society is the goal for modernization theorists, such as Rostow, it is not surprising that the level of economic development of the nation-state is evaluated by such quantitative measures as the gross national product or per capita income (Wilber and Jameson, 1984: 7).

Others, such as the preeminent sociologist Talcott Parsons (1951), viewed modernization as being impeded by values, institutions, and societal patterns endemic to the traditional society. For progress to occur "traditional society had to give way to sweeping innovations. New ideas, values, techniques and organizations had to be introduced into the old social order." (Klaren and Bossert, 1986: 11) The necessary innovations would be diffused from the "modern" West according to political scientist, David Lerner (1958). By adopting the proven social and economic patterns of the West, the Third World would have the capacity to move quickly along the path of development. Others, such as sociologist Seymour Martin Lipset (1967), argue that westernization, industrialization, and economic growth would provide the foundations needed for the evolution of stable democratic institutions, necessary for an accelerated modernization process (Klaren and Bossert, 1986: 11). The need for new technologies to diffuse innovations in traditional societies led to the emergence of the field of Development Communications with its important research on the diffusion of innovations (Everett Rogers, 1976, 1983; Schramm 1973).

Modernization, or for some, the philosophy of "developmentalism," continues as the dominant paradigm of the modern world system. Even those states claiming to be "socialist" are "fully integrated in the world-system and do everything they can to participate in the global capital accumulation process." (Aseniero, 1985: 51) Indeed, the processes of modernization -- which include economic growth and industrialization, the rationalization and quantification tendencies of positivist science, the goal of a bureaucratized nation-state, and the materialistic conceptions of man and society -- are as vigorously pursued by the "socialist" versions of modernization as the capitalist.

The modernization paradigm explains underdevelopment (or the failure to develop/modernize) as a consequence of interferences with automatic developmental processes. The barriers to progress are variously seen as caused by cultural factors of

the traditional society: excessive government interference with the "laissez-faire" competitive systems of market capitalism, insufficient state planning to encourage development, and a failure to balance growth policies with concerns for equity. Thus, underdevelopment can be explained from diverse perspectives while remaining true to the fundamental assumptions of the modernization paradigm. From the modernization perspective, the cause for underdevelopment is considered a consequence of the inadequacies of the nation-states' policies or of the hindrances of traditional society, but not by the systemic and structural realities of the world system.

Nevertheless, reformers of the modernization paradigm have advocated equity-based development strategies in the hope of remedying patterns of growth occurring without the promised "trickle-down" side-effect. The "growth with equity" critics advocate development strategies in the underdeveloped countries including employment generation, redirecting investments, the meeting of "basic needs," human-resource development, agriculture-first development, and integrated rural development. Some of the more radical reformers call for a "New International Economic Order" in which major international institutions, such as the international monetary system, tariffs, and multinational corporations, would be restructured to insure the delivery of greater benefits to the "bottom half" of the world's population. However, the reformers have won very few major victories and apparently have failed to persuade the traditionalists of the merits of major structural reform of the world system (Wilber and Jameson, 1984: 12).

Semantically, "development" has a multitude of meanings, but seems to be used most frequently as a synonym for modernization. Thus, those who refer to the modernization paradigm as "the philosophy of developmentalism" are, to a large extent, accurate. For this reason, Goulet asked the question whether "development" or "liberation" (Goulet, 1978) should be central to the lexicon of those desiring radical social transformation. Development (as synonym to modernization) is, afterall, used to reinforce the status quo of the world system by attempting to replicate the values and norms of the dominant "modern" states. It is no wonder why many who criticize modernization, such as Gustavo Gutierrez (1972) or Denis Goulet, prefer the term "liberation" as a more accurate connotation of "true" development than its pejorative counterpart, "development" (Goulet, 1978: xii). Nevertheless, development as a term that recognizes both the developmental nature and transformative potential of man is gaining increasing usage. "Development" is thus part of the lexicon of competing paradigms as well as the dominant -- but fading -- paradigm of modernization. In this study, "development" is used to connotate the maturation process followed for achieving the goal of social transformation.

Dependency/Neo-Marxism.

The most forceful paradigmatic challenge to modernization since Karl Marx's nineteenth century critique of capitalism has been variously labelled "dependency theory" (Klaren and Bossert, 1986; Valenzuela and Valenzuela, 1981; Hamnett, et al, 1984), the "political-economy paradigm" (Wilber and Jameson, 1984), and "neo-Marxism" (Klaren and Bossert, 1986; Foster-Carter, 1976). Dependency theory originated out of an extensive debate about Latin American underdevelopment during the 1960s. Andre Gunder Frank (1969), Samir Amin (1976), Gustavo Gutierrez (1972), among other Latin American scholars led the way by criticizing the assumptions of the modernization paradigm. These critics argued that modernization theorists assume, perhaps unconsciously, that development is not hindered by the "irreconcilable conflicts of interest between developed and underdeveloped countries or between different social groups within the latter; that there was no structural connection between development and underdevelopment; that what was 'modern' was good and what was 'traditional' was bad, and that the two were unconnected (dualism); that development meant becoming more like the West." (Foster-Carter, 1976: 172)

In contrast, the dependency theorists argued that development and underdevelopment are interconnected. The dependency paradigm emphatically points out that clashes of interest occur in the development process, between nations and social classes, including the 'development of underdevelopment' by the stronger center to the disadvantage of the weaker periphery. The path out of underdevelopment lays not with gradual and incremental reforms but with a revolutionary liberation from the oppressive structures of the world system and the creation of a socialist society.

The theory is highly influenced by neo-Marxist thinkers and, thus, uses Marxist vocabulary, including terms such as 'imperialism', 'capitalism', 'social formation', 'class', 'mode of production' (Foster-Carter, 1976). However, despite the apparent affinity with Marxism, the dependency paradigm finds some of its severest critics among the more orthodox Marxists who view dependency as a conceptually weak aberration of Marxist theory. Dependency theory's failure to give sufficient attention to the role of internal class structures on the control of economic surplus becomes a case in point (Wilber and Jameson, 1984: 14).

Dependency theorists focus on the historical factors of the world system which led to the underdevelopment of Latin America. Patterns of domination by the Spanish and Portuguese, initiated in the colonial era, were reformulated starting in the nineteenth century and manifested through a series of waves of capitalist ventures. In effect, western imperialism stunted the growth of capitalism in Latin America by draining off capital and disrupting native industry through unequal

competition (Baran, 1957; Frank, 1967; Sunkel, 1970; Cardoso, 1972, 1981; Cardoso and Faletto, 1979; dos Santos, 1970). Dependency theorists refute the modernizationist argument that underdevelopment is the consequence of Latin American cultural and institutional features. Latin America's failure to develop was the consequence of a subordinate role in the world system from the sixteenth to the twentieth centuries.

> The global politico-economic system was characterized by the unequal development of its component parts. In this configuration , the center, drawing first upon its own resources, began to industrialize and later colonized the periphery to provide the primary goods (mainly agricultural and mineral) that would sustain the process of metropolitan development. This international division of labor imposed by the West did not lead, as the neo-classical economists predicted, to comparative advantage. Rather, the center gained at the expense of the periphery by relegating the Third World to an inferior position in the global system as solely a producer of primary goods. This imposed division of labor constrained the economic potential of the Third World and contributed to its underdevelopment. (Klaren and Bossert, 1986: 18)

As with the modernization paradigm, diverse schools of thought have emerged under the dependency pardigm. For example, the ideas of Furtado (1970), Cardoso (1972, 1981) and Cardoso and Faletto (1979), led to a distinct branch, within dependency called the historical-structural approach, which emphasized the unique conditions of each nation and the consequent uniqueness of their developmental paths. Others concentrate on the more recent phenomenon of the multinational corporation (Barnet and Muller, 1974). Basically, dependency is a theory of underdevelopment and offers few concrete prescriptions for resolving the global problematique. Reformers within the dependency paradigm have formed an alliance of convenience with modernization reformers, with their common call for a "new international economic order". However, as noted previously, this has yielded only marginal concessions from the dominant world system. And, on the other hand, dependency theorists with revolutionary tendencies would be hard pressed to produce historical evidence of any revolutionary societies that have become independent of the world system. The socialist countries of the world are, in the final analysis, tied as tightly into the world system as others.

From a pragmatic perspective, the major anomaly inherent in dependency theory is its apparent inability to provide practical solutions to complement its diagnosis of underdevelopment. We are left with not much more than the promises of utopian visionaries. And, while the dependency paradigm has contributed to the field of development with its successful challenge to the modernizationist's arguably shallow and deterministic view of underdevelopment, there is something simplistic about the dependency analysis, as well. Unfortunately, where the modernizationists

have erred by attributing underdevelopment strictly to internal causes, many dependency theorists have taken an equally limited view by asserting that underdevelopment is essentially caused by external factors. The truth, no doubt, lies somewhere in between.

Other Paradigms.

In addition to Modernization, Dependency/Neo-Marxism, and Orthodox Marxism, there are two other paradigms with particular relevance to the Latin American context, and will be briefly mentioned.

Corporatism as a paradigm for Latin American underdevelopment/ development has its origins in Aristotle's notion of the organic-state and refers to the central role of the state in achieving the common good. The long organic-state tradition has roots in Aristotelian thought, Roman law, the Thomistic natural law of the medieval era, and in contemporary Catholic social philosophy. At the time of the Iberian conquests in the new world, corporatism formed the dominant paradigm of the Iberian peninsula and was thus planted in the New World where it has since endured.

According to the corporatist paradigm, underdevelopment in Latin America is a consequence of the insularity of the corporatist tradition, and its tendency to reject the revolutionary trends of capitalism and modernity occurring in Europe from the sixteenth century onward. The corporatist tradition is both anti-capitalist and anti-Marxist. According to this view, if modernization and development are to be adopted, it will happen only following scrupulous adaptations to assure that the unique structures and traditions of Latin America are respected. The key to understanding corporatism lies in the dogma that the state has a responsibility to use its authority to assure a harmonious political community. Accordingly, the class conflicts promoted by Marxists are unacceptable, as are the liberalist priorities of individual self-interest and the diminished role of the state -- because private interests must be subservient to the collective interests, and this can only be assured through a powerful state:

> Corporatism provides an indigenous (Iberian) alternative to Western liberal capitalism and Marxist socialism, both of which are viewed by certain Latin American elites as disruptive and as alien threats to the traditional fabric of Latin American society. For its practitioners who reject both modernization and dependency theory, corporatism provides a model of development that is genuinely Latin American. It is also a means of providing social solidarity and avoiding unrestrained individualism or class conflict in the face of the dislocations of modernity... Above all it stand as a nationalist bulwark to prevent a revolution from below (popular) by initiating a process of controlled development from above (the state) that is at once nationalist and consistent with Latin America's monistic and authoritarian traditions. (Klaren et al., 1986: 28)

Some have criticized the corporatist tradition for providing the fascist state with a moral pretense for the repression of dissent, conflict, tensions, and brutal responses to other sociopolitical crises that are caused by class conflict or 'modernizing' trends. Others do not see a substantial difference between corporatism and modernization; both stress the importance of cultural values to underdevelopment/ development (Valenzuela and Valenzuela, 1981; Klaren and Bossert, 1986: 28).

Bureaucratic-Authoritarianism. An Argentine political scientist, Guillermo O'Donnell (1973, 1986), is the primary contributor to this paradigm. Central to this conceptualization is the notion that advanced levels of industrialization and modernization in late-developing countries actually coincide with a collapse of democracy and an increase in inequality. In fact, this is what occurred with the emergence of authoritarian-military governments in Brazil in 1964, Argentina in 1966 and, subsequently, in the other "cone" countries. These regimes attempted to accelerate industrial growth through massive foreign investments and instigated numerous repressive measures in the process, including the control or elimination of elections, restricting labor unions, and the implementation of economic austerity policies that seriously impacted the poor.

O'Donnell argued that modernization in the forms of increasing industrialization, bureaucratization, and rationalization did not produce the increasing levels of democracy and social equality predicted by the modernization theorists. Instead, an alliance between the industrialists, bureaucrats and technocrats with the military establishment led to the imposition of a bureaucratic-authoritarian system. While the O'Donnell theory of Bureaucratic-Authoritarianism has been criticized from many angles, its greatest strength remains an eclectic merger of key elements from the modernization, dependency, and corporatist paradigms (Klaren et al., 1986: 29-30).

Humanism. The final development paradigm to be mentioned has looser parameters than the others and is not grounded in economic theory. This paradigm encompasses a varied group of perspectives, derived from multiple disciplines, but all view economic growth as a lower priority than the development of more 'humane' values. For lack of a better term, and due to its strong roots in humanistic philosophy, this perspective is called humanism. The roots of humanism are varied but the legacy of the Judeo-Christian tradition's ethical system are among its deepest. Adherents to the humanistic paradigm concentrate on the human and ethical dimensions of development (Bryant and White, 1982: 13). Important contributions have been made by the humanistic and existentialist psychologists/philosophers, such as Maslow (1970), C. Rogers (1961, 1980, 1983), Fromm (1964, 1976), May (1953), de Chardin (1964), and Goulet (1974, 1977, 1978); progressive and radical educators such as Dewey (1935, 1938),

Freire (1970, 1973a, 1973b, 1983, 1985), Illich (1970), and Knowles (1972, 1975, 1980); and cognitive developmentalists such as Piaget (1932, 1970), Kohlberg (1969, 1972, 1981), and Loevinger (1976). This rich intellectual tradition provides an important foundation for the emerging paradigm and will be discussed in greater depth in later sections.

Toward Eclectic Convergence

The diversity of development paradigms, and their apparent irreconcilable conceptualizations of 'developmental' realities, seems to make the idea of their theoretical synthesis an absurd, if not, impossible proposition. One may ask: How is it possible to reconcile such contradictory and conflicting worldviews? Indeed, from a critical perspective, it is difficult to see why the intellectual guardians of a paradigm would make concessions that ultimately undermine the paradigm and its beneficiaries (including the guardians!). And yet, there are a number of contemporary trends indicative of a growing convergence of perspectives. An eclectic paradigm appears to be emerging that distinguishes the anomalies from the proven virtues of each of the mature paradigms. Eclectic and pragmatic, the new paradigm is rising from the dialectic ashes of several sophisticated, but inadequate, conceptualizations.

Social Science Trends

Two general trends in the social sciences are indicative of fertile ground for paradigmatic synthesis. Significantly, the stridency of the ongoing debate between behaviorist and humanist approaches to the social sciences has subsided and a more congenial attitude to the others' perspective is evident. For example, the behaviorist and positivist social scientist increasingly uses qualitative methods, in conjunction with quantified measures, and attempts to interpret observations through broader historical constructs. "There is growing awareness that neither of the methodologies alone is sufficient for understanding the complex processes of social change, and analysts are expressing less confidence in one or the other methodologies." (Bossert, 1986: 320)

A second important trend involves the increasing convergence between Marxist and non-Marxist perspectives on key social issues. Many Marxists have become more eclectic and less doctrinaire about the tenets of economic determinism. Dialogue with non-Marxists has been stimulated by such neo-Marxist/humanistic thinkers as Antonio Gramsci (1971), who laid much of the intellectual groundwork for eventual synthesis with some neo-Weberian ideas. Likewise, liberal social scientists have

borrowed many Marxist concepts to enrich their analyses. For example, non-Marxists, in the emerging field of political-economy, rely heavily on the contributions of Marxist concepts (Bossert, 1986: 321).

Thus, there is an increasing cross-fertilization between perspectives, including the combination of holistic conceptual frameworks with traditional empirical methods, and the convergence between Marxists and non-Marxists on some issues. In reference to the emerging synthesis of development perspectives, Bossert states:

> Predicting the future is risky business, but it is unlikely that the simplistic divisions generated by the early approaches of the overly optimistic modernizationists or dependency analysts will gain adherents in an academic world that has tired of simple solutions to complex problems. It is also unlikely that the empiricist observation will replace the fascination with theory. Indeed, it is impossible for empirical research to proceed without considerable theoretical guidance to define the areas for examination and to help interpret conflicting results. (Bossert, 1986: 322)

Or, as Goran Hyden, an expert on African development put it, "The present crisis is an unpleasant reminder of the need to review these paradigms by transcending the present boundaries of disciplinary inquiry and immediate history." (Hyden, 1983: 193)

Paradigmatic Eurocentrism and Counter Movements

Some have argued that synthesis is facilitated by the common European historical-cultural origins of the major paradigms. Some critics declare that the major paradigms are all Eurocentic and thus share a fundamental set of assumptions common to the European world-view (Addo, 1985: 16). This "Eurocentric" philosophy is called 'developmentalism' by some and represents the essentially unified world-view of the world system (Addo, 1985; Aseniero, 1985). The central doctrine of developmentalism is a deterministic view of historical progress (evolutionism) bounded by the three core principles of modernization, economic growth, and nation-state building (Aseniero, 1985,: 51; Friberg and Hettne, 1985; Wilber and Jameson, 1984). These core principles have been central to the praxis of Socialist, as well as Capitalist, nations. Those countries, which have advanced to the highest degree of modernity and economic/material growth and which also exhibit stable and integrated nation-states, have felt the moral responsibility to lead the lagging countries along similar paths. Thus, central to Eurocentric 'developmentalism' are its tendencies to make derogatory or paternalistic comparisons with non-European cultures and to expand a European world-view to the rest of the world through domination and exploitation (Addo, 1985:22)

Friberg and Hettne (1985) advocate "a non-deterministic model of global processes" that is informed by the mainstream varieties of the Western development paradigm. They reject the underlying assumption of development as a predetermined evolutionary process. Calling their alternative the 'Green' model, they "claim that the 'Blue'(market, liberal, capitalist) and 'Red' (state, socialism, planning) options can be seen as varieties of a dominant Western development paradigm, whereas the Green development thinking represents a fundamental opposition against this paradigm" (265). Incorporating many elements from humanism, and concerned primarily with the core social values of cultural identity, self-reliance, social justice, and ecological balance, the Greens argue that the future is a product of our own choices, not the product of economic determinism. In contrast with orthodox Marxists, whose road to a post-capitalist world calls for continued modernization, the Greens advocate "demodernization" or the gradual withdrawal from the world-economy and the initiation of "non-modern, non-capitalist development projects based on the progressive elements of pre-capitalist social orders and later innovations" (235). The Green strategy calls for mass withdrawal from the dominant system to achieve autonomy (Friberg and Hettne, 1985: 259).

The Green movement makes important criticisms of the dominant Eurocentric ideologies by identifying many of the anomalies inherent to deterministic development conceptualizations. However, the Green movement's success will ultimately depend on major structural transformations of the world system in addition to counter-culture movements at the base of society.

History is littered with utopian movements that withdrew from the mainstream and ultimately failed to change the course of history. Meaningful social transformation, on a global scale, will require a transforming paradigm adequate to the task. New paradigms in the social sciences do not emerge from "thin air," but are the consequence of dramatic reconceptualizations of existing theory. The anomalies and inconsistencies of existing paradigms need to be distinguished from their redeemable features. A more adequate paradigm will emerge from a dialectical synthesis of the redeemable and complementary features of Eurocentric politico-economic models, as well as the Oriental and Western versions of humanism. As Korten points-out, "the orientation of the industrial era paradigm has been largely a product of Western thought and experience. The new orientations are likely to be more consonant with the traditions of Eastern thought and experience which tend toward a more holistic view of life and a search for a harmonious relationship between man and nature" (Korten, 1981: 611).

The synthesis will produce a new set of synergistic domain assumptions to guide social research and action. The synthesis will not be constrained by the tendencies of modernization, or dependency theory, but will instead provide an holistic framework for the management of social transformation. Eurocentric 'developmentalism,' for all its weaknesses and limitations, has been "an important driving force in the advancement of human society. But the very progress it spawned has resulted in important changes in the human reality such that the paradigm itself has become a threat rather than a guide to further human advancement" (Korten, 1981: 610). Continued human advancement is contingent on the emergence of a more adequate paradigm. Its emergence is essential, not inevitable.

A Plethora of Anomalies

As the dependency critics point out, the modernization paradigm failed to give sufficient attention to the external economic constraints on development and thus failed to explain underdevelopment or the inequitable distribution of the benefits of growth (Bryant and White, 1982). Modernization also erred by assuming a unilinear progression from traditional to modern society. Huntington (1968), a progressive within the modernization school, notes that this was not true in the history of Western Europe and was even less true in contemporary Third World history. Neo-Weberian thinkers, such as Lipset (in Klaren and Bossert, 1986), suggest that modernization would follow the diffusion of 'modern' values and discounted the importance and inherent rationality of 'traditional' value systems. Further, the modernizationists predict that the growing middle sectors of developing societies would provide a 'democratizing' effect. In point of fact, however, the middle sectors formed alliances with the military to create bureaucratic-authoritarian regimes. On the other hand, the modernizationist (and Marxist) prediction that the traditional and feudal latifundia systems of Latin America would be replaced by modern forms of captital land tenure and capital diffusion has, in fact, occurred (Bossert, 1986: 308).

One of the initial propositions of dependency theory asserts that the economic center's domination of the periphery precludes growth and development within the periphery. However, since World War II, many Latin American nations have experienced growth rates that exceeded those of the center. Although the economic benefits of growth were distributed very inequitably, growth, nonetheless, has occurred. This anomaly gave rise to a more sophisticated version of dependency theory and is exemplified best by Cardoso's historical-structural approach (1972) and Sunkel (1970).

Dependency analysis also fails to provide acceptable alternatives to the capitalist versions of growth. While many dependency theorists advocate self-reliance strategies through socialist and broadly based participative efforts, it is not clear whether the autonomy achieved through the painful severing of external linkages and funding was worth resulting deprivations. Further, some dependency theorists can be criticized for making a simplistic assumption that U.S. policies are dictated by U.S. business interests, and that these interests are largely responsible for the development of underdevelopment. This should be countered with a more balanced perspective that considers U.S. policies as influenced highly by strategic/geo-political concerns as well as economic interests (Bossert, 1986: 307-320).

The bureaucratic-authoritarian view assumes that an increase in modernization leads to a parallel rise in military and authoritarian regimes. However, in view of the recent Latin American debt crisis and democratic trends away from military regimes, this argument is also difficult to sustain. A more credible proposition is that economic crisis destabilizes any regime and the middle sectors will make pragmatic alliances according to perceived self-interests. This may explain the recent swing toward democracy. Corporatism has been criticized as a conservative ideology -- created to sustain traditional (and sometimes outmoded) forms of social and political organization. Some have suggested that corporatism is used to provide legitimacy for fascism (Bossert, 1986). Finally, humanism is criticized as being overly optimistic -- even naive -- about human nature. While the values espoused are generally considered admirable, humanism is widely considered as utopian and impractical.

Elements of a Synthesis

The inadequacies of existing paradigms leads us to search for more adequate conceptualizations. The competing paradigms provide a number of important elements for a synthetic perspective. The following are some of the key conceptual elements that are derived from the other paradigms and could be used for the creation of a synthesis:

1. In contrast with the Modernization or Orthodox Marxist views, development is not a deterministic process. Development and underdevelopment are the consequences of complex and dialectically conflicting historical forces. The outcomes of the dialectic conflicts cannot be objectively predicted and are not universal to all contexts *but* can be influenced by willful and collective social action. This view of history merges the dependency with the 'Green' and humanistic perspectives.

2. The potential for democracy is not an inevitable outcome of modernization, as claimed. Rather, it must be struggled for and vigilantly defended.

3. The middle social sectors will play a key, but not central role, in development. They are potential allies to both the upper and lower ends of the class hierarchy. The effective use of political strategies will allow the marginalized masses at the lower end to play the most significant role. However, the dominant classes will sometimes include or exclude the emerging classes due to their close ties with the external center. Diverse historical and cultural patterns makes general predictions of class behavior difficult.

4. Capitalism, as the major thrust of modernization, will deepen its control of the world system in the immediate future, -- especially in the traditional rural and urban sectors of the Third World. This will result in increasing levels of materialism and the neglect of human and social development, but will also lead to the emergence of a larger bourgeousie.

5. The world system is characterized by economic, political, and ecological interdependencies. Multiple paths to development and underdevelopment will occur within this context.

6. Values development at the individual and collectively at the local organization and community levels are essential to a transforming consciousness. The new consciousness will be a popular manifestation of the emergent paradigm, offering a possible alternative to the post-Capitalist world. The humanist and Green visions for the future are merged and the fundamental values of cultural integrity, communal self-reliance, social justice and ecological balance become the core values of a transformed consciousness (Bossert, 1986; and various others).

Incrementalism or a New Paradigm?

Identifying the potential elements of a synthetic paradigm does not constitute the actual paradigm, but provides a glimpse of some of the contributing assumptions that are converging into a new worldview. Some, such as Klaren and Bossert (1986), argue that this emerging synthesis does not meet the revolutionary criteria of a Kuhnian paradigm shift. Rather than a leap from one worldview to another, they view the synthesis as a gradual, evolving process of cross-fertilization between distinct, but related, schools of thought. As such, they argue, what is emerging is actually the incremental maturation of development theory, not a dramatic departure to a new paradigm. However, because logical-positivism (the dominant epistemology of nineteenth and twentieth century research) views scientific progress as the gradual and linear cumulation of tested ideas, it is not surprising that the paradigm-shift concept is difficult for some to accept. Indeed, the paradigm-shift concept "flies in the face" of the core epistemological assumptions of the dominant paradigm (Dunn, 1971: 268).

Increasing evidence demonstrates that this synthesis constitutes more than an incremental shift. Truman's (1985) research on changing development paradigms (modernization versus dependency/people-centered) and the perceptions of development workers, "indicates that although a conceptual shift has occurred, there

has not been a total break with the old paradigm of development. Instead a synthesis of both the old and the new seems to occur... a movement back and forth between the two paradigms can be interpreted as a third approach or a blending of the first two paradigms." The synergy of combining diverse elements into a holistic conceptualization provides new philosophical assumptions, new epistemology, new methodologies. In short, a distinctively new worldview, composed of a rich heritage of convergent sources.

A Social Learning Paradigm

The intellectual roots of this emergent paradigm have ancient precedents. Theoretical forerunners have occurred frequently in democratic/liberal thought since the Enlightenment in diverse fields of inquiry. Social learning signifies different things to different people. For some, it is interpreted as the process of socialization. In the field of psychology, Albert Bandura (1977) developed the social learning approach to understanding human behavior called the Social Learning Theory. While Bandura's intellectual foundations were inspired in part by socio-behavioristic perspectives, Bandura and his "Social Learning Theory" are far from Skinnerian (Ryckman, 1982: 330). The key to Bandura's "Social Learning Theory" is the concept of reciprocal determinism, or, simply put: cognitive and environmental factors affect each other. In contrast to a purely behavioristic perspective, behavior is much more than conditioned responses to environmental events. According to Bandura, people are actively creating their environments and acting to change them. Cognitive factors are key in determining which events will be perceived and how they will be interpreted, organized, and acted upon (Ryckman, 1982: 330; Bandura, 1977).

However, of more relevance to this study is the thinking on Social Learning emerging in the field of planning, as exemplified by John Friedmann (1978, 1979b, 1981, 1984a, 1984b) and Edgar Dunn (1971, 1984); and from the field of development administration as represented by David Korten (1981, 1986a, 1986b), Dennis Rondinelli (1982, 1983), Robert Chambers (1983, 1985), Guy Gran (1983), Coralie Bryant/Louise White 1982, 1984), and Theodore Thomas (1985). The fields of organization and community development, with their action and participatory research modes, have also been fundamental to the evolution of the social learning paradigm (Hall et al., 1982; Vandenberg and Fear, 1983; Tandon and Fernandez, 1982; Kassam and Kamal, 1982; Wasserstrom, 1985; Roberts, 1979) In addition, the fields of education and psychology have made many important contributions to the emerging paradigm (Smith, 1982; Rogers, C, 1983; Freire, 1983; Knowles, 1980; Botkin et al., 1979; Illich, 1970; Kidd and Hall

1978; Boshier, 1980; O'Gorman, 1983; Riordan, 1976; Kindervatter, 1977; Srinivasan, 1977; Ward et al., 1984). However, a more complete examination of the roots of social learning will follow.

Social Learning and the Experiential Learning Perspective

Putting the diverse pieces of the human puzzle together into a rational and empirical framework is the essence of holistic theory-building. The social sciences have traditionally approached research as an incremental and highly specialized function, and have only in recent years begun to make serious efforts to integrate and synthesize their efforts and findings. In addition, the synthesis of objective knowledge with the subjective has been deterred by the dominant epistemological philosophy of the social sciences -- logical positivism. Logical positivism gave birth to behaviorist theories and methodologies and "sought to affirm that all knowledge must ultimately be based on empirical or logical data "(Kolb, 1984: 108). In response to the positivist's dogmatic views of knowledge, many took the opposite position and put complete faith in subjective knowledge and viewed positivist's objective knowledge skeptically. Kolb asserts that a perspective is emerging that moves away from the dogmatism of the positivists and the pure skepticism of its phenomenological critics toward a view that values personal experience and knowledge but maintains "partial skepticism," rather than pure skepticism, toward objective-social knowledge:

> Because we can still learn from our own experience, because we can subject the abstract symbols of the social-knowledge system to the rigors of our own inquiry about these symbols and our personal experience with them, we are free. This process of choosing to believe is what we feel when we know that we are free to chart the course of our own destiny (Kolb, 1984: 109).

Edgar Dunn (1971) in his seminal and eclectic book, Economic and Social Development: A Process of Social Learning, persuasively argues for the substitution of mechanistic for biological-holistic development metaphors. The traditional and conventional development metaphors/paradigms, as we have already seen, have tended to portray the complexities of social change as if they were reducible to the mechanical functions of a machine and bound by a deterministic sequence of developmental stages. Indeed, contemporary paradigms, which are based on economic determinism and unilinear stage progression, fail to come to grips with what Dunn calls the fundamental character of development -- *social learning* (287). Social learning, as a metaphor with roots in biology (as well as sociology and psychology), allows us to shift attention to a unique aspect of social 'evolution' -- that man, individually and collectively -- is capable of behavior directed to changing,

evaluating, and organizing human behavior. Human history reveals that behavior changing behavior "can best be characterized as evolutionary experimentation -- the process of social learning"... a metaphor distinctive from its counterpart -- biological evolution -- but nonetheless, retaining important process similarities (238). The social learning metaphor is emerging as a paradigm for the social sciences, and is gaining increasing numbers of adherents from diverse fields of inquiry due to inadequate results under mechanistic and organic metaphors. As a more general and holistic paradigm, social learning, through evolutionary social experimentation, is emerging as *the paradigm* to encompass all of the social sciences, and thus has special relevance to development theory (238).

Evolutionary experimentation manifests itself in two modes. Usually, it involves normal problem-solving through the reorganization of subsystem boundaries without threatening the overall goals or context of the system. However, repeated failures and anomalies in the normal problem-solving mode, result in evolutionary experimentation of a different sort. Social learning, in this mode, leads to paradigm shifts in which system goals and context are displaced and reformulated (242). Thus, the social learning paradigm incorporates both the process and the structure of knowledge and, therefore, though usually ineffectually used, has produced all paradigms -- including the social learning paradigm. Since a paradigm shift is an inherently normative process, it always involves the evolution of social values. The resulting social values have often produced undesired and unanticipated consequences due to a poor understanding of this mode of the social learning process:

> Throughout social history the operation of this process of social learning has been hazardous and haphazard ... and, in effect ... has not understood itself sufficiently well to rationalize itself as an efficent process with a coherent purpose. Because the process has not been understood and consciously applied, social change has frequently been dominated by an attempt to implement change by processes incompatible with the reality of social evolution. Acting on the basis of inadequate paradigms and metaphors, we have been inclined to practice a form of social engineering. It is presupposed that the change agents can act as though they are external to the process and have the knowledge and power to design a terminal state that will bring about consistent goals and controls in a deterministic fashion. Also acting on the basis of an inadequate paradigm of the social process, an attempt to freeze the status quo -- to create and maintain static social system boundaries -- is frequently evident. Both of these impractical modes are clearly impossible, but the attempt to impose them on social change has a tendency to exacerbate the traumatic and unpredictable consequences of the process (Dunn, 1971: 242-243).

Social learning subsumes both personal and social knowledge and therefore produces transformations at both the individual and group levels. Human adaptation and transformation is the essence of learning. And, *social learning* as the collective manifestation of adaptation and transformation, provides the essential epistemological

foundation upon which an holistic and more adequate development paradigm must be built. And, it is the social learning paradigm that begins to provide us with a broader framework for understanding the relationships between the competing development paradigms and allows for the discernment of their essential interconnectedness and transcendent contributions to the emergent paradigm.

David Kolb's (1984) analysis of experiential learning theory, and his articulation of the dialectical and holistic nature of experiential learning, contributes to our understanding of the emerging social learning paradigm. According to this view, the process of learning requires the resolution of conflict between dialectically opposed modes of adaptation to the world. Key experiential learning theorists, especially Kurt Lewin (Lewin et al., 1939; Lewin, 1951), Jean Piaget (1932, 1970), John Dewey (1935, 1938), Carl Jung (1960), and Paulo Freire (1970, 1973a, 1973b, 1983, 1985) have emphasized this dimension of learning. Kolb (1984) suggests that:

> The Lewinian model emphasizes two such dialectics - the conflict between concrete experience and abstract concepts and the conflict between observation and action. For Dewey, the dialectic is between the impulse that gives ideas their 'moving force' and the reason that gives desire its direction. In Piaget's framework, the twin processes of accommodation of ideas to the external world and assimilation of experience into existing conceptual structures are the moving forces of cognitive development. In Paulo Freire's work, the dialectic nature of learning and adaptation is encompassed in his concept of praxis, which he defines as "reflection and action upon the world in order to transform it" (1973b, p.36). Central to the concept of praxis is the process of "naming the world," which is both active -- in the sense that naming something transforms it -- and -- reflective -- in that our choice of words gives meaning to the world around us. The process of naming the world is accomplished through dialogue among equals, a joint process of inquiry and learning that Freire sets against the banking concept of education... (1984: 29) ... the Jungian theory of psychological types ... seeks to describe basic life orientations as a function of dialectic tensions between the basic modes of relating to the world" with potential for the "integrated functioning of the total organism -- thinking, feeling, perceiving, and behaving" (1984: 31).

Kolb's conceptualization of the dialectical nature of learning borrows from all of these traditions. For Kolb, there are two fundamental dimensions to the learning process. One dimension involves the dialectic tension between <u>concrete experience of events and abstract conceptualization</u>; the second involves the tension between <u>active experimentation and reflective observation</u>. More concisely, learning involves the resolution of conflict between the abstract-concrete and the active-reflective modes of learning. For Kolb, how these conflicts are resolved determines the level of learning that results. "If conflicts are resolved by suppression of one mode and/or dominance by another, learning tends to be specialized around the dominant mode and limited in areas controlled by the dominated mode... complexity and the integration of dialectic conflicts among the adaptive modes are the hallmarks of true creativity and growth.

(Kolb, 1984: 31) Interestingly, brain hemisphere-dominance research is yielding "compelling evidence for the theory that there are two distinct, coequal, and dialectically opposed ways of understanding the world" (Kolb, 1984: 49).

In the experiential learning tradition, learning is conceived as a continuous process, not an end-product. In contrast to the behaviorist perspective and the idealist approaches to traditional education, learning is not determined by outcomes but emerges from a process of testing ideas continually through experience. Knowledge is not a set of immutable, fixed ideas, but rather the result of an ongoing synthetic transformation of ideas in the crucible of experience.

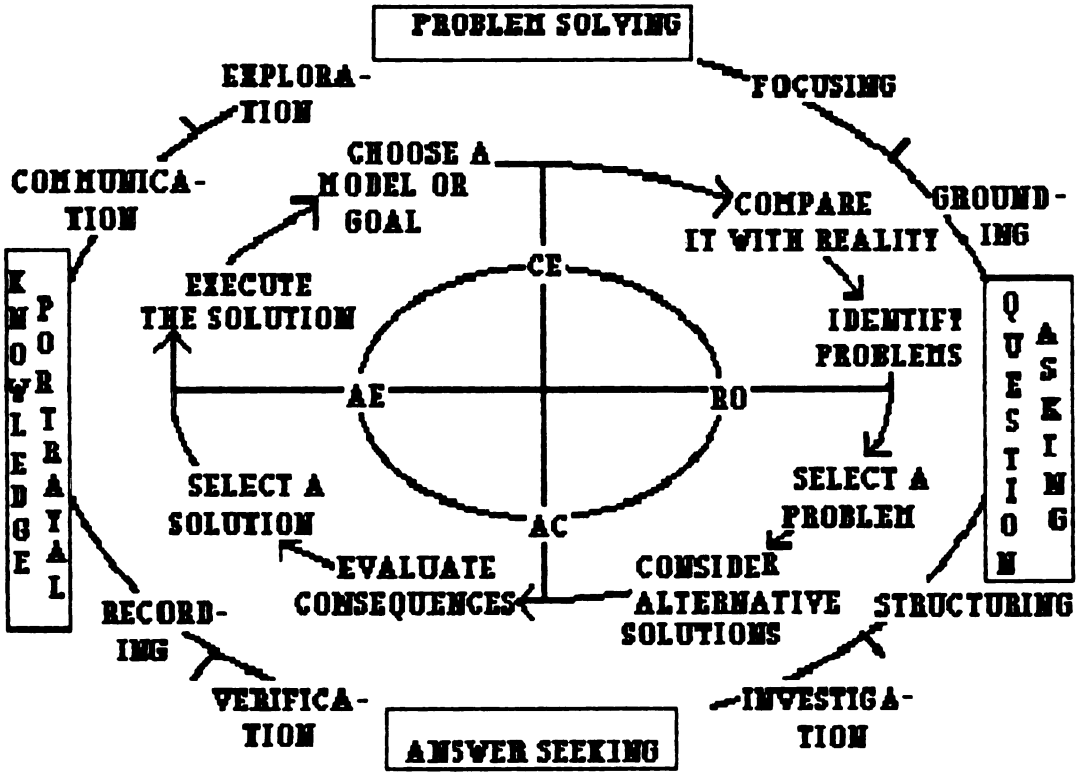
A Transactional View of Learning. Two kinds of knowledge are discernible and interact as part of the dialectic of social learning: personal knowledge and social knowledge. Social knowledge refers to the objective accumulation of social and cultural experience transmitted through a framework of words, symbols, and images; it can be variously construed as a theory of reality, a worldview, or, -- *a paradigm*. Personal knowledge refers to the existential, subjective conclusions reached by an individual based on the resolution of conflicts between the insights of accumulated experience and the socio-cultural expectations of social knowledge.

"Social knowledge, however, cannot exist independently of the knower but must be continuously recreated in the knower's personal experience , whether that experience be through concrete interaction with the physical and social world or through the media of symbols and language" (Kolb, 1984: 105).

Put another way, learning involves the transactions between the person and the environment. Neither the behaviorist views of stimulus-response learning nor the person-centered psychological view of learning as an internal process, provides a complete picture. And yet, learning is more than an *interaction* between the subjective and objective, the personal and the social, the concrete and abstract, or the active and the reflective. Genuine learning involves a *transaction* in which objective conditions and subjective experience become so interconnected and interpenetrating, that the essence of both are transformed. Transaction implies not just a relationship between dialectic opposites but, more significantly, a synergistic transformation of the interacting elements. Consistent with the Hegelian philosophical concept, dialectic conflict produces a synthesis of higher truth that both encompasses and transcends its component parts (Kolb, 1984: 107; Friedmann, 1979b, 1979). Bandura, in Social Learning Theory (1977), supports this philosophical construct with empirical research on social learning in which "personal characteristics, environmental influences, and behavior all operate in reciprocal determination, each factor influencing the others in an interlocking fashion" (Kolb, 1984: 36).

In the practice of social research, transactive learning involves a collaborative process between professional social scientists and those involved in a process of social change. This transactive approach is usually referred to as participatory or action research and is the key to producing critically needed knowledge about social problems and their solutions. Transactive social practice, thus, involves a process of social learning through participative research, planning, and evaluation. Effective transactive social practice requires social learning for the "formulation of a theory of reality, the articulation of social values, the selection of an appropriate political strategy, and the implementation of practical measures or social action" (Friedmann and Abonyi, 1976: 929).

The Isomorphism of Adaptive Learning Theories. Kolb's experiential learning theory is illustrated as a cyclical process and as compared, in Figure 2.1, with other theories of adaptive learning processes including inquiry/research and problem-solving. Each of these theories is depicted as a cyclical learning process.



CE = Concrete Experience
RO = Reflective Observation
AC = Abstract Conceptualization
AE = Active Experimentation

Inner Circle = Experiential Learning
Middle Circle = Problem-Solving Cycle
Outer Circle = Inquiry Research Cycle

Figure 2.1
Kolb's Comparison of Adaptive Processes: Inquiry Research, Problem-Solving, Learning (Kolb, 1984)

Kolb suggests that these theories overlap and reinforce each other to such an extent that a synthetic theory of adaptive learning is warranted (Kolb, 1984: 33). In Figure 2.1 the center circle represents the experiential learning model. Moving outward, the concentric circles represent, respectively, the problem-solving process and scientific inquiry. Consistent perspectives arising from multiple disciplines and inquiries lends credence to the core theses of experiential learning theory.

The transactions that occur between an individual(s) and the objectified socio-cultural context takes place through a dialectical and cyclical learning process. Figure 2.2 applies another approach to comparing theories of adaptive learning and draws from various sources (including Jarvis, 1983: 73, 97, 103; Torbert, 1972; Dunn, 1971; Hampden-Turner, 1970). Similar to Figure 2.1, this model depicts the theories through a series of circles but, in Figure 2.2, represent distinctive types of learning processes. Figure 2.2, extends Kolb's comparison by relating learning processes within the Social Learning conceptualization. Accordingly, the relationships between learner and socio-cultural context varies from dependent-reaction in the Conform Cycle, to semi-independent interaction in the Reform Cycle, to one of interdependent transaction in the Transform Learning Cycle. According to the model portrayed in Figure 2.2, learning includes the socially relevant process of receiving and evaluating the transmissions of culture by individuals or groups. This model complements the social learning perspectives on dialectical transactions between social and personal knowledge and evolutionary experimentation.

The inner circles of Figure 2.2 illustrate Kolb's experiential learning construct as the general process of social learning. The first circle represents a behaviorist view of learning and is variously referred to as stimulus-response learning, external conditioning, socialization, Model I learning (Torbert, 1972; Skinner, 1974, 1978; Argyris and Schon, 1974: 68) or *conform* learning. It involves unilateral transmissions of socio-cultural inputs to which the individual is conditioned to respond in certain ways. The next circle represents the problem-solving mode of social learning which Dunn (1971) refers to as one of the two modes of experimental social evolution, Torbert refers to as problem-solving through goal-setting and achievement, or as maintenance learning (Botkin, et al, 1979) or as Model II learning (Argyris and Schon, 1978). It is referred to here as *reform* learning. The bottom circle represents Dunn's second mode of social learning involving paradigmatic shifts and social transformation. Dunn refers to this as the most mature mode of social learning that occurs through experimental social evolution. It has also been referred to as innovative learning (Botkin, et al, 1979), learning for critical consciousness and as cultural action for freedom (Freire, 1983, 1970), existential "self-recognition learning"

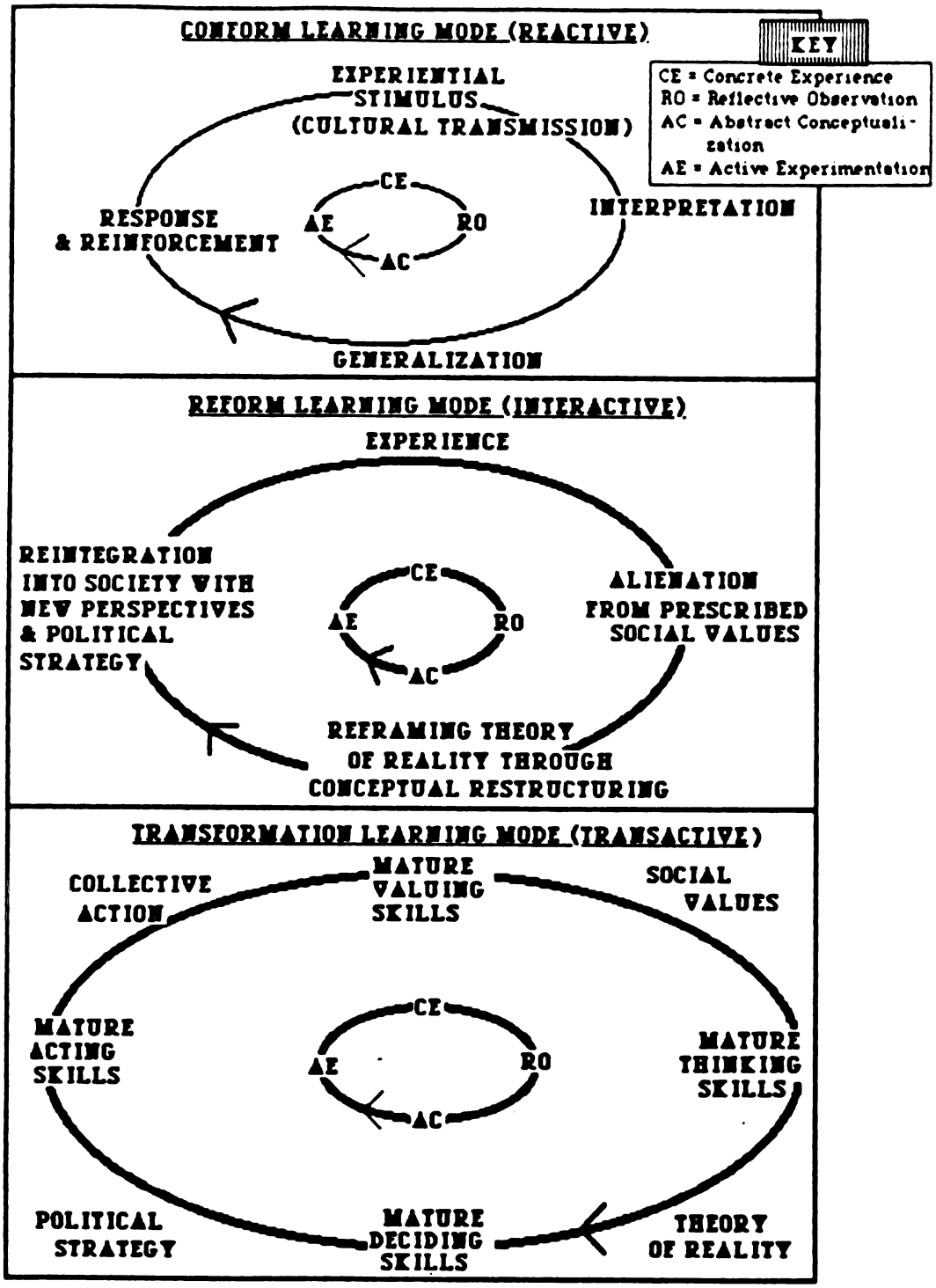


FIGURE 2.2
COMPARISON OF LEARNING MODES
(KOLB, 1984; MEZIROW, 1981; JARVIS 1983)

(Torbert, 1921), and in Hampden-Turner's (1970) Radical Man: The Process of Psycho-Social Development, as an existential and holistic learning process in which learning modes of "radical" versus "conservative" man are contrasted (Hampden-Turner, 1970: 31). In this study, it is referred to as *transformational* learning.

Social Learning vs. Social Engineering

Despite the intellectual ferment surrounding the paradigmatic shift, the social engineering or -- blueprint model -- continues to be the dominant planning mode within most bureaucracies. Primary value commitments undergirding the blueprint approach to planning for social change include: centralization, comprehensiveness, quantifiable measurements, and functional rationality. Under this model, planning is separated from action or practice and plans tend to be binding standards of success. Planning is accomplished by technocratic experts in a top-down manner. The policy makers (at the top) impose activities on the policy implementers (at the bottom). Social learning is a model that challenges the blueprint model and the existing system, providing a means for innovation from below. As social learning cells interact to form networks, social movements and coalitions, they become a potent force for social transformation (Friedmann, 1984a: 194). As Friedmann puts it:

> The social learning approach to planning can make its greatest contribution... as it works toward the transformation of the structures of political governance. The ultimate terms of this struggle would be this: that planning 'from below' might accurately reflect the genuine interests of the people engaged in the social production of their lives. (Friedmann, 1984a: 194)

Further, Friedmann asserts that innovative, as opposed to traditional social practice, is essential to the initiation of an effective social learning process. Political struggle is also linked to the social learning process as opposition to innovative practice is encountered. "Social learning, then, is the consequence of an innovative practice that characteristically takes the form of a political struggle to overcome the status quo." (Friedmann, 1984a: 192). Friedmann compares the social learning approach with the blueprint social planning model in Table 3.1. In this comparison, Friedmann refers to social learning as "radical practice".

Table 2.1 Comparison of Radical Practice and Social Planning

Radical Practice	Social Planning
small- scale/ interpersonal	Large Scale/Impersonal
group structure: equality	bureaucratic structure: hierarchy
dialogue and dialectics	command/indirect controls
task-oriented	design-oriented
particularizing	totalizing
multiple points of origin	single point of origin
informal horizontal linkages	formal vertical linkages
liberation: leading from weakness	domination: from strength
explicit values	hidden agenda
immanence of valued ends	means/ends dichotomy
social learning: openness	social amnesia: closure
self-reproduction	self-maintenance

Source: Friedmann, 1984b

The Convergent Foundations of Social Learning

The Social Learning paradigm challenges the assumptions of the dominant development paradigm and its epistemological foundations. Social learning does not, however, throw the proverbial "baby out with the bath water". Rather, the contributions of modernization and positivist science, as well as the competing conceptualizations, are profoundly appreciated and integrated into an holistic conception of man, knowledge, and social change. This conception views development as a transactive, dialectical process -- with integration of the subjective, internal realities of man with the external and objective, the analytic with the synthetic, and the physical and material with the social and spiritual dimensions of human need.

The history of development assistance is replete with examples of approaches to management that are as uni-dimensional as the dominant paradigmatic frameworks. Development management has been dominated by:

> linear reductionist approaches to problem-solving. Thus, we see development professionals boxed intellectually into disciplines, organizationally into sectors, and programmatically into time-bounded and inflexible projects to such an extent that it has come to require near heroic effort to think or act holistically in relation to development needs. (Korten, 1983: 218)

This section will provide an overview of many of the intellectual currents that are converging into the social learning paradigm. The epistemological foundations of social learning and the diverse contributions from synthetic worldviews are discussed as the catalysts for emergent frameworks that will improve and integrate the theory and practice of development management.

Toward a Social Learning Epistemology

World Hypotheses and the Structure of Knowledge

Stephen Pepper (1942) proposed a four category system for classifying different approaches to social knowledge, which he called "world hypotheses." Kolb applies the theory of experiential learning to Pepper's system and concludes that the different world hypotheses are a consequence of distinctive approaches to resolving dialectic conflicts between the adaptive modes of concrete experience, reflective observation, abstract conceptualization, and active experimentation. This conceptualization provides coherence to our thesis that social learning provides an overarching framework for both a synthetic approach to the social sciences and, therefore, to the integration of development paradigms.

Pepper (1942) in World Hypotheses viewed all the major world philosophies as derivatives and elaborations of "root metaphors" that have, in turn, emerged from the common sense interpretations of our collective human experiences. From a possible eight metaphors, Pepper deduced that only four provide sufficiently credible depictions of reality and the breadth of scope to meet the status of world hypothesis. Pepper, identified them as formism (realism) which metaphorically relies on the observed similarity between objects and events and traces its origins to Socrates, Plato, and Aristotle; mechanism (also called naturalism or materialism) guided by the machine metaphor originally articulated in the works of Democritus, Lucretius, and Galileo; contextualism (or pragmatism) with the root metaphor to the changing historical event with important modern foundations in the works of Dewey, James, Peirce, and Mead; and organicism (absolute idealism) metaphorically directed by the pursuit of harmonious unity and manifested most clearly by Hegel and Royce. (Kolb, 1984: 111).

According to the social learning perspective, social learning is the root metaphor for all human adaptation and learning and, thus, through the process of experimental social evolution, all philosophies and epistemologies have been derived. Kolb takes this analysis much further by pointing out the essential isomorphism between the structure of the experiential learning theory process and Pepper's

system of world hypotheses. This implies that human advancement and essential knowledge creation requires dialectic transaction between all the world hypotheses.

Figure 2.3 illustrates their relationship by comparing the structural dimensions of: 1) social knowledge and the learning process; 2) world hypotheses and their predominant fields of inquiry; and 3) the corresponding types of knowledge according to Kolb's learning style concept (Kolb, 1984: 112). Figure 2.3 also suggests how the competing development paradigms can be classified according to this model. Each of the development paradigms borrow from multiple world hypotheses, but tend to be dominated by the assumptions of one or the other world hypotheses. According to the social learning conceptualization, each of the world hypotheses is important to the advancement of social knowledge and, hence, each of the competing development paradigms contributes to the dialectical synthesis needed for undertaking social transformation in the post-industrial era:

> Formism and mechanism, the two world hypotheses underlying modern science, are primarily analytic in nature, wherein elements and factors are the basic facts from which any synthesis is derivative. Contextualism and Organicism on the other hand , are synthetic, wherein the basic facts are contexts and complexes such that analysis of components is a derivative of the synthetic whole. Within both the analytic and synthetic world hypotheses there is further polarity between dispersive and integrative strategies of inquiry. Formism and contextualism are both dispersive in their plan, explaining facts one by one without systematic relationship to one another. Indeed, both formism and contextualism see the world as indeterminate and unpredictable. Organicism and mechanism are integrative in their plan, believing in an integrated world order where indeterminance is simply a reflection of inadequate knowledge. Because they seek integrative determinant explanantions, the strength of the integrative world hypotheses (organicism and mechanism) is precision and predictability; their weakness is lack of scope, their inability to achieve an integrated explanation of all things. The dispersive world hypotheses, on the other hand, are weak in precision, offering several possible interpretations for many events, but strong in scope, since their explanatory range is not restricted by any integrative principle. (Kolb, 1984: 111)

The epistemology of the social learning paradigm, is holistic and dialectical: opposites are complementary. Thus, both the dispersive and the integrative, and the synthetic and the analytic dimensions of these worldviews are important to human advancement through social learning. Each of the world hypotheses encompasses major philosophical systems wherein basic inquiry questions, units of knowledge, dominant methods of portraying knowledge, and fields of inquiry are shared. While none of the philosophical systems meets such strict boundaries as implied here, the world hypotheses are indicative of the predominant tendencies of each worldview.

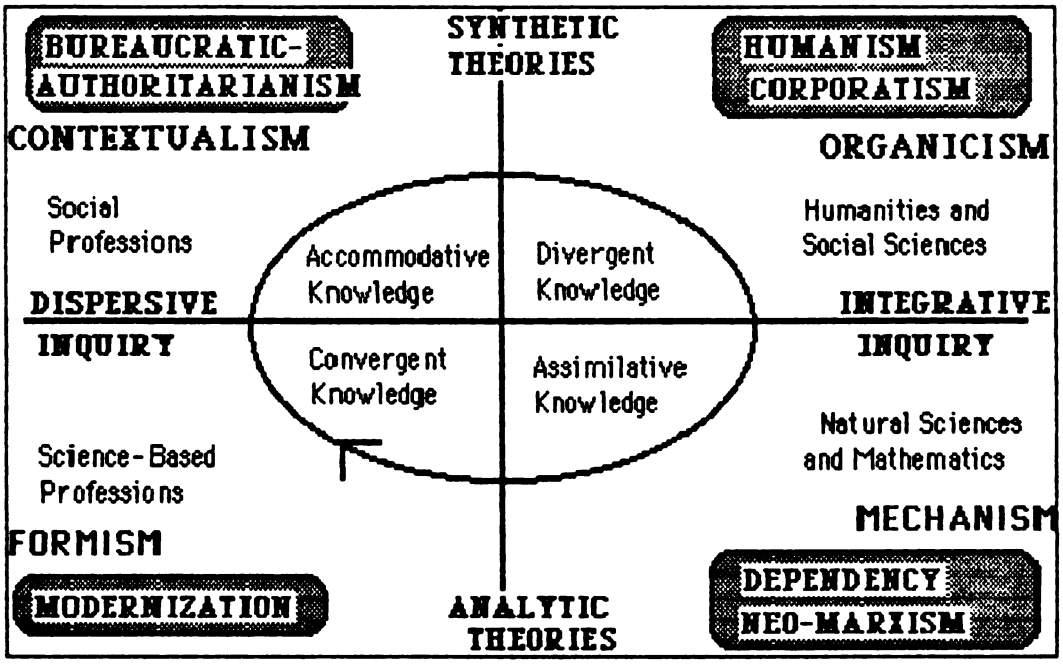


FIGURE 2.3
The Structure of Knowledge, World Hypotheses, Fields of Inquiry and Development Paradigms (Kolb, 1984)

Contextualism incorporates philosophical systems such as pragmatism, phenomenology, and existentialism. Using a *discrete synthesis* inquiry strategy it asks the central inquiry question *how*. Events constitute the units of knowledge and *actions* are how knowledge is portrayed -- actions are true if their consequences correspond to desired outcome. As a synthetic world hypothesis, Contextualism is concerned with "the concrete event as experienced in all its complexity" (119). Contextualism is the dominant world hypothesis for the social professions and such practical affairs as business and politics (Kolb, 1984: 120) and has had a profound influence on progressive education movements, Gestalt, humanistic psychologies, the critical theory of the Frankfurt Institute for Social Research, organization development and community development. The synthetic approach of the authoritarian-bureaucratic paradigm is derivative of a Contextualist world hypothesis. Indeed, the social learning paradigm itself could be considered derivative of the Contextualist world hypothesis.

Formism is the dominant world hypothesis of our world system and includes the philosophical systems of realism, scientific empiricism, and logical postivism. *Discrete analysis* guides inquiries which are primarily concerned with time/space issues corresponding to the *when/where* inquiry questions; its unit of knowledge is natural law and empirical uniformity. Formism portrays knowledge through *things* and is the dominant world hypothesis of the science-based professions (Kolb, 1984: 120). The metaphors of the modernization paradigm are derivatives of the formist and mechanical world hypotheses. As such, many of the products of modernization, such as contemporary management science, with its emphasis on the rational-bureaucracy, the positivistic social sciences, and traditional education reflect the forms of these general philosophical constructs.

The Mechanistic world hypothesis encompasses the philosophical systems of structuralism, naturalism, and materialism. Similar to formism in many important respects, Mechanism uses an *integrative-analytic* inquiry strategy, asks the question *what*, views structures as the dominant method of portraying knowledge, and portrays knowledge through *symbols*. Mechanism is often the field of inquiry of those pursuing careers in the natural sciences and mathematics (Kolb, 1984: 120). Several development paradigms are inspired by this philosophical construct including certain aspects of modernization (including the bureaucratization of society), historical materialism, neo-Marxism, and dependency.

Finally, Organicism as a world hypothesis provides the framework for the philosophies of idealism and absolute idealism. Its inquiry of *integrative synthesis* resembles that of Contextualism but focuses on the *why* of things rather than the how. Its core concerns are with values and ideals. Organicism is concerned primarily with *processes* as the unit of knowledge and prefers to portray knowledge through the use of images. Organicism is the dominant world hypothesis for the humanities as well as important streams within the social sciences (Kolb, 1984: 120). It has given way to the humanist and corporatist development paradigms. Of concern to this study, is the tremendous influence Organicism has had on the fields of cognitive adult development, radical education, humanistic psychology, participative management/organization development, and theology. Many important movements -- in effect, the vanguard of the emerging paradigm -- have been influenced by this world hypothesis. These movements hold in common a profound commitment to social transformation. These movements include the grassroots efforts by Christians in the area of social transformation, people-centered community development efforts, "consciousness-raising" efforts, Educación Popular, and the Green Movement.

Beyond Positivism

The Modernization paradigm, using its predominant epistemology of logical-positivism, has led to a conception of knowledge as an accumulated body of research findings that the development practitioner can apply to real-world problems (Susman and Evered, 1978). However, because much of the research has been conducted without the participation of practitioners and without the essential grounding of their experience, it has often been perceived as irrelevant. Consequently, an increasing alienation between development theory and practice has emerged. Kurt Lewin is reported to have remarked, "there is nothing so practical as a good theory." The corrollary might be that 'there is nothing so impractical as irrelevant theory.' The failure to synthesize theory with practice -- the failure to allow the action-reflection and concrete-abstract dialectics to produce good praxis -- has produced research irrelevancy and epistemological crisis.

In depth critiques of logical-positivism have been undertaken from a variety of perspectives, but most persuasively by the critical theory of the Frankfurt Institute of Social research (see, especially, Habermas, 1973; Dunn, 1971; Fay 1975; Hamnett et al., 1984;) Some (for example, Keat, 1981), dispute many of the critics' conclusions. However, in light of experience and history, a number of the positivist assumptions seem deficient and, thus, justify the search for a more adequate epistemological framework. The following positivist assumptions are suspect: 1) social scientists and their methods can and should be objective and value neutral; 2) research subjects are objects of inquiry "even though they are subjects or initiators of action in their own right" (Susman and Evered, 1978: 586); 3) the study of history is not essential for the production of knowledge; 4) social knowledge produced through positivistic science forms the basis for a "social engineering conception of political practice" (Fay, 1975: 30); and 5) the rationalization and bureaucratization of institutions is essential for modernization and progress (Korten, 1981).

Action and Participatory Research

Action research. In 1946, Kurt Lewin pioneered an approach to social research that merged the researcher's need to generate knowledge with a deliberate effort to change the social context in which the researcher was acting (Susman and Evered, 1978; Lewin, 1946). This important innovation was termed Action Research (AR) and became the foundation for the emergence of a distinctive alternative to positivistic epistemology. The philosophical heritage, antecedent to AR, includes existentialism, phenomenology, hermeneutics, pragmatism, and certain Marxist concepts, such as praxis (Susman and Evered, 1978) AR has become one of the major

epistemological and methodological frameworks for progressives in the practice-oriented fields of organization development and community development (Fear, et al., 1981; Voth, 1979), as well as a key contributor to the social sciences of organizational behavior and social psychology. Action Research has also become a tool for the diffusion of development innovations and has been used as a managerial problem-solving method (Huse, 1980).

In essence, AR involves a collaborative endeavor between a client system (the practitioners) and the researchers (the theorists) to simultaneously solve practical problems and advance the body of social knowledge. Rapaport (1970: 499) provides this definition: "action research aims to contribute both to the practical concerns of people in an immediate problematic situation and to the goals of social science by joint collaboration within a mutually acceptable ethical framework".

AR typically involves a collaborative and cyclical learning process between researcher and client system that parallels the experiential learning process. The cyclical process of action research involves problem diagnosis (concrete experience/reflective observation), action planning (abstract conceptualization), implementation (active experimentation), evaluation (reflective observation and abstract conceptualization). The theory that is produced is thus grounded in action and experience. The researcher brings significant knowledge and expertise, but adopts an attitude of partial skepticism about the theories/methods that will be infused into each new action research experience. In AR, the client group offers *practical* knowledge and *experience* relevant to the problem. Collaboratively, action research allows for synthesis through transactive planning (Friedmann et al., 1976; Friedmann, 1978, 1979a) and the production of relevant social knowledge. This knowledge is not assessed (as under positivism) solely on logical consistency, prediction and control, but, rather on whether the actions produce the intended results and provide the basis for practical guidelines for the future (Susman and Evered, 1978).

Participatory Research. A second epistemological tradition that is critical of positivism, has been termed Participatory Research (PR). Similar to AR, in some important respects (such as values and methods), PR operates from a very different set of ideological assumptions. Rather than serving the needs of corporate management through such AR methods as organization development, PR is typically applied in Third World community development contexts in the hope of facilitating the "liberation" of their clients from oppression. In short, AR tends to pragmatically serve the interests of the dominant Modernization paradigm, (despite its basic disagreements with the tenets of positivism) and, in contrast, PR corresponds to the dependency and the radical humanist views proclaimed by movements such as Educación Popular or the

Greens.

The PR tradition has been influenced by diverse sources including its common antecedents with AR. However, the thoughts of Paulo Freire (1973a, 1973b), the radical Brazilian educator, and those of dependency theorists have made the greatest direct impact on the philosophical grounding for PR. PR has been construed as an integrated activity that combines social investigation, adult educational work, and action (Hall, B.L. et al., 1982; Brown and Tandon, 1983) and is less concerned with the expansion of the knowledge base than it is with solving the concrete, practical problems afflicting the poor and oppressed. The PR process, at times, resembles the conflict approach to community development (Robinson, 1980) because it shifts blame for poverty from the individual to the system and strives for systemic transformation. PR emphasizes the need for consciousness-raising so that the oppressed become more critically aware of their oppression and its causes. The researchers and the community members (or workers) are co-learners in a learning process that resembles AR without PR's radical overtones. PR theorists tend to reject surveys, and other rigorous quantitative techniques occasionally used in AR, as implicitly conservative in orientation and irrelevant, if not biased, in the kind of findings produced. PR researchers are more concerned with the need to empower clients and build their capacity to achieve self-sufficiency than with traditional concerns for scientific rigor. (Hall, 1982; Brown and Tandon, 1983). Accordingly, PR researchers tend to yield control over many of the decisions usually reserved as the exclusive domain of the researcher to members of the community. PR is conceived as a dialectic, iterative learning process involving transactive client-researcher participation in all phases of the research effort, with the immediate goals of increasing local capacity and making concrete improvements in the community and the ultimate goal of social transformation.

Toward a Synthesis of the Action and Participatory Research Modes.

The two modes of inquiry share many values, including: 1) a common rejection of the irrelevant aspects of traditional conceptions of social science; 2) a transactive view of the creation of social knowledge; 3) a desire to produce developmental change as a consequence of the inquiry; and 4) a view that problem-solving is as important as advancing the knowledge base.

Are the differences between AR and PR simply a matter of degree or one of kind? Vandenberg and Fear (1983) view the two modes as related, but distinct, kinds of inquiries, which they refer to as Utilitarian and Radical. The utilitarian mode (AR) is essentially a pragmatic orientation to problem-solving and pursues a strategy of social reform. In contrast, the radical mode (PR) follows a combined educational and political

strategy intended to facilitate the conscientization of the underprivileged about the realities of oppressive social structures and to help bring about radical social transformation by confronting these structures. Similarly, Brown and Tandon (1983) believe that while AR and PR share a distaste for many aspects of traditional positivism, and have a comparable set of value assumptions, their political economies/ideologies are very distinctive. In short, the political economy of AR calls for the researcher to work with the system; the political economy of PR calls for the researcher to work against it (Brown and Tandon, 1983: 288). This translates into distinctive approaches to defining problems, collecting and analyzing the data, and using the results. Action researchers define the problem in collaboration with the client system, the benefits are provided to the whole system, and the resources and approval is obtained from system leaders. Participatory researchers, on the other hand, allow the client group to control the problem definition, the benefits of the research are provided to the client group, and the resources are provided by the clients or extracted from the system. AR data collection and its diagnosis involve collaboration with the whole system, including system elites. PR data collection and diagnosis involves collaboration with the clients, but an adversarial relation with the authorities is not uncommon. Under AR the goals for the research and its uses are determined by a system-wide consensus-making process and are tied to system-wide problem-solving needs. In contrast, PR involves goal-setting exclusively by the client groups. The results are used for "clout" in negotiating improvements in the client situation (Brown and Tandon, 1983: 288). In short, the AR practitioners are utilitarian reformers and the PR practitioners are radical reformers (or revolutionaries).

While the two modes of inquiry can be distinguished as separate types, their merger is conceivable as a manifestation of the Social Learning paradigm. Indeed, from the social learning perspective, the competition between the two modes is indicative of a dialectical tension between conflicting political ideals/strategies and pragmatic problem-solving realism. In essence, the AR/PR modes are metaphors of the paradoxical nature of social practice: the need to find balance between the ideal and the real -- the iterative discovery of appropriate synthesis of idealistic theory grounded in the realities restrictive to practice. Authentic social transformation will not occur without recognition of the paradoxical nature of the theory/practice dichotomy and the resolution of their dialectic through praxis. AR will need to discover more idealistic theories of reality and practice; likewise, PR will need to learn to be more realistic in its theory/practice and more committed to building the knowledge base. Closing their respective theory/practice gaps, will require AR and PR to meet on the common ground of a powerful synthesis: social learning.

Therefore, the serious use of AR's iterative experiential learning cycle will result in critical reflective/observation on the concrete experiences of AR, and ultimately lead to adaptations of the abstract conceptualizations that constitute their theories of reality and the subsequent experimentation that results in new theoretical formulations. Action and reflection will produce a more critical AR view of social structures, impeding development and a growing recognition of the need to confront those structures. Pragmatic problem-solving realism will be tempered by the need to strive, sometimes conflictually, for ideals. Similarly, as PR seriously adopts an iterative experiential learning model (as it purports to do), the hard realites of experience will result in a more pragmatic problem-solving approach whose theory and political strategies are grounded in realism, as well as idealism. In addition, PR will grow in its appreciation of the need to build theory for the common good, as well as the local good.

In many respects, despite distinct political-economies, the end to which both inquiry modes strive is, generically, social change. Their divergence is based mostly on the different means to achieving the social transformation or reform that each advocates: pragmatic problem-solving reform for AR and radical problem-solving reform for PR. The AR mode of reformist problem solving is "utilitarian". The PR mode, in its practice, is different from AR, but only as a matter of degree. PR is, thus, referred to here as "radical problem-solving", but in its essence is also reformist. PR claims to be a transformational epistemology and, by its own definitions, it is. However, in some cases, PR imposes its political economy perspective on the client in order to achieve a neo-Marxist agenda for structural 'transformation' and thereby, in its practice, the PR epistemology is bound by a deterministic view of history and material progress. While many humanistic ideals have made important contributions to PR, they are often subsumed to a revolutionary political-economy, which advocates a change in the structure of social life without adequate provision for its form or content. The historical record of the 'revolutionary' practice of this political-economy is not consistent, except that it is seldom encouraging.

In contrast, *holistic transformation*, according to the social learning perspective, involves a synthesizing change in the conception of humanity, its past, present, and future; a change that involves a fundamental reconceptualization of the qualitative content, as well as the structure, of social life. PR calls for structural transformation that will permit the emergence of self-sufficiency and autonomy in a world system that is, indeed, filled with dependencies and injustice. But more important, it is fundamentally interdependent in its form and structure. PR implicitly advocates an essentially materialist and deterministic neo-Marxist framework, and while this makes a necessary contribution to the social learning synthesis it is, in the

end, insufficient for authentic and holistic social transformation. For this reason, PR is viewed here as "revolutionary" in its ideology and rhetoric but, in its content, as only partially transformative. Therefore, PR is referred to here as an epistemology/methodology of radical reform, not, in its essence, transformative.

In contrast, a transformative epistemology will be non-deterministic, non-dogmatic, and critically aware of the paradigmatic spectacles through which the world is viewed. A transformative epistemology recognizes the iterative and dialectic nature of experiential social learning and is constantly engaged in a dynamic theory-building process. As such, research should be directed toward meeting concrete problems but also, ultimately, aimed at generalizability and extension. A transformative epistemology is: 1) historically grounded in the evolution of social experimentation; 2) eclectic and experimental as it sifts through the redeemable aspects of diverse paradigms and worldviews; 3) recognizes the essential transactions between social values, theories of reality, political strategy, and action; and 4) results in a synthetic worldview that uses contributions from the various world hypotheses, and, 5) that ultimately provides humanity with the capacity to undertake transformations in both the content as well as the structure of social life.

The evolution of AR and PR epistemological modes is toward an holistic synthesis, to be referred to as *Participatory Action Research* (PAR). The epistemological foundations that are emerging from this merger will provide the foundations for new methodological tools needed for social transformation as envisioned by the Social Learning paradigm. These tools will make catalytic contributions to the development of alternative managerial approaches for social transformation programs. Social scientists and managers of social transformation will need to be vigilant evaluators of the validity of social experiments, and will need to be committed to the iterative expansion of our understanding of the social learning process itself. Personal, as well as different types of, social knowledge will need to be eclectically merged in important new ways.

> When social learning theory is applied to international development work, the development agent, ... is no longer the deliverer of development to the poor recipient. The agent, rather is the possessor of professional expert knowledge which requires joining, in a collaborative planning process, with social expert knowledge in the possession of the so-called clients of development. Both types of knowledge are valid ... and required for effective social change (Thomas, 1985: 16). [This is not a role that can be played by managers and researchers] on the sidelines of the political process that carries out evolutionary experimentation. The contribution to ... the process of social learning cannot be fully carried out without becoming an actor in the process itself. The emerging paradigm seems to require that we develop a new breed of politically oriented scientists and scientifically oriented politicians -- that social action and social analysis be merged (Dunn, 1971: 252).

Figure 2.4 illustrates the emergence of the PR/AR (PAR) synthesis within the context of the Social Learning framework. This illustrates the philosophical antecedents to both AR and PR and the dialectical emergence of their synthesis. The PAR synthesis is presented as part of a typology of epistemological modes with their respective philosophical antecedents postulated. In addition, Figure 2.4 depicts the contemporary social movements that best exemplify social learning.

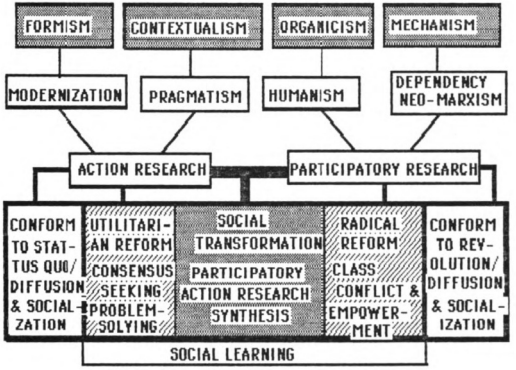


FIGURE 2.4
THE PHILOSOPHICAL FOUNDATIONS OF THE
PARTICIPATORY ACTION RESEARCH SYNTHESIS

Organicist and Contextualist Contributions to Social Learning

The Contextualist and Organicist world hypotheses have produced numerous philosophical systems which in turn, have yielded many fields of social science inquiry -- inclusive of, and beyond, the traditional domains. Figure 2.5 extends Figure 2.4 by drawing some tentative relationships between the world hypotheses, derivative philosophical systems, and certain fields of inquiry, with special relevance to the Social Learning paradigm. Obviously, the derivative philosophical systems and their corresponding fields of inquiry are much more eclectic than depicted here. Indeed,

most have emerged from multiple syntheses from within and in between philosophical systems/world hypotheses. Nevertheless, they are classified as such based on the predominance with which the root metaphors fit their inquiries. The connecting lines attempt to show some of the cross-fertilization that has occurred between fields as part of the evolutionary social experimentation process.

As in Figure 2.4, social movements as the vanguard of social learning and the emerging synthesis of AR and PR are depicted. The PAR synthesis represents an emergent epistemology, with contributions from each of the world hypotheses, and informed by the practice of several contemporary social movements. The PAR synthesis (as the transformative mode of social learning epistemology) is contrasted with the two versions of reformist problem-solving -- the utilitarian and the radical -- (Vandenberg and Fear, 1983) -- and the two versions of conformist productions of social knowledge, which involve behaviorist versions of learning through diffusion and socialization (for example, Torbert, 1972; Dunn, 1971; Freire, 1983; Botkin, et al., 1979; Fay, 1975; Argyris and Schon, 1974). Inferences about the influence of development paradigms on each of these epistemologies are implied in Figure 2.5.

All theories presuppose a more general metaphysical framework, or worldview, from which the assumptions and concepts of the theory find logical coherence. Pepper's world hypotheses provide this important logical backdrop to these discussions. In Figure 2.5, the major modern philosophical systems are illustrated as derivative of Pepper's four world hypotheses. The analytic world hypotheses of mechanism and formism, as the dominant contemporary metaphysical systems, have produced the dominant epistemological and ontological foundations upon which the Eurocentric development paradigms of modernization, historical materialism, and neo-Marxist dependency political economy have been built.

Analytical metaphysics have produced awe-inspiring material, technological, and scientific progress in the last three centuries. However, the same metaphysical worldviews that spawned such incredible human advancement have yielded: 1) behaviorist psychology and its reduction of man to a reactive machine; 2) a social science tendency to reduce social life to a set of compartmentalized and reductionistic cause-effect equations; 3) economic systems that have turned man into a productive but dehumanized unit through the rationalization and bureaucratization of the workplace; 4) competing ideologies that have produced monolithic dichotomies between the needs of social man and the individual, emphasizing one over the other, with the inevitable results of social alienation or the denial of human dignity; 5) ideologically dogmatic systems of thought, that justify the aggressive pursuit of materialistic progress, though morally and historically insupportable, and with

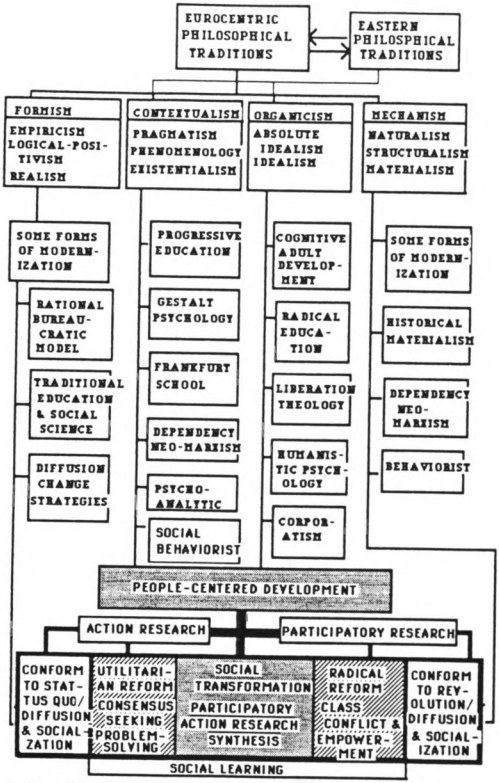


Figure 2.5 -- Organicist and Contextualist Contributions to Social Learning

self-righteous disregard for its devastations on the environment that sustains us; 6) value systems that have blinded us to the roots of human need and injustice; 7) a view of knowledge as an incrementally expanding, but immutable set of facts, that are given legitimacy only by the technocratic and political elite within the social hierarchy; 8) blueprint social engineering approaches to social change and the subsequent widening gap between social theory and effective social practice; 9) educative systems designed to conserve the status quo and to assure the progressive extension of the system through socialization and modern diffusion techniques; and, 10) most distressingly, a world that daily exists on the brink of nuclear holocaust.

Analytical metaphysics emphasize the material aspects of human advancement at the expense of the social. In contrast, organicism and contextualism (the synthetic world hypotheses/metaphyics), challenge many of the ontological and epistemological foundations of the contemproary world system. Building on traditions with roots in classical Rome, Greece, and China, the synthetic worldviews have called for the renaissance of different metaphors for the guidance of human advancement. The synthetic metaphors emphasize the importance of experience and historical events and the ideals of harmonious and holistic unity. Their conception of man is as a free and responsible agent; as an active, indeed, potentially transactive organism, in a world system that can and must be defined by normative and ethical decisions, that are determined collectively in the pursuit of social transformation.

The Organicist and Contextualist worldviews have begun to provide balance to our perspectives on social life and, through their dialectic encounter with the analytic worldviews, are ushering in a new era of evolutionary social experimentation under the guidance of the social learning paradigm. The following section briefly highlights some of the major contemporary contributors to the Contextualist and Organicist traditions with special reference to how they have contributed to the experiential learning theory and the emergent social learning paradigm.

Pragmatism, Progressive Education, and Experiential Learning.

John Dewey (1935, 1938) articulated a pragmatic, experience-focused theory of education that conflicted sharply with traditional approaches and, in so doing became the most influential educational theorist in the twentieth century. Dewey's ideas have been the inspiration and the foundation for many subsequent elaborations of progressive education, including the evolution of competency-based education, lifelong learning and career development, community education, experiential education, curriculum development, social policy and action.

Dewey's ideas also continue to provoke the central controversies dividing educators in America. The central focus of his pragmatic educational philosophy revolves around experience. "All genuine education comes about through experience," Dewey proclaimed. (1938: 13). His emphasis on the concept of the continuity of experience layed the groundwork for a developmental view of lifelong experiential learning. Dewey criticized traditional education for failing to sufficiently consider the internal/ subjective aspects of the learner and for exclusively relying on the objective conditions of institutions and teachers for transmitting information. Dewey argued for a more balanced perspective, that learning and teaching require an interaction of both the objective and the subjective factors. And, from this notion, came the key principle that education should be practical to the learner -- grounded in his experience -- and contribute to his growth and development. Dewey also advocated democratic values and practice based on their practical value in enhancing learning as well as societal well-being and, thus, argued for cooperative leadership, dialogue, and 'scientific humanism' in schools and in the workplace. The highest ideal for Dewey was a system of education for democracy in which people join together in collaboration to solve their common problems in an ongoing process of experimental social reform. Dewey was a firm believer in empirically-produced knowledge, but felt strongly that the social scientist was an actor within the world and not simply a spectator (Dewey, 1938; Knowles, 1973: 86; Kolb, 1984: 17; Elias and Merriam, 1980; Susman & Evered, 1978).

Dewey's philosophy germinated into an adult education movement and gradually led to advocacy of a broader view of education and the nature of learning (Lindemann, 1926; Bergevin, 1967; Houle, 1961; Knowles, 1973, 1975, 1980; Rogers, 1961, 1983; Tough, 1971; Freire, 1973a, 1973b; Kidd, 1978). Eventually, one of the more radical streams of the progressive education movement culminated into an articulate protest against the predominance of behaviorist learning perspectives and an advocacy of a learner-centered approach to education, social experimentation, and social activism.

One of the leaders of this movement, Malcolm Knowles (1973, 1980), elaborated a theory of teaching referred to as andragogy, which re-articulated many of Dewey's criticisms of traditional education (which Knowles refers to as pedagogy). Knowles argues that curriculum, should be practical and problem-centered, particularly for adults. Curriculum for adult education needs to consider the adult tendencies for self-directed learning, the adult's self-concept, and the importance of existing reservoirs of experience. For Knowles, andragogy is a humanistic educational philosophy that places tremendous value on experience as a resource for learning and advocates experiential and participatory learning methods (Elias and Merriam, 1980: 133; Jarvis, 1983: 98; Knowles, 1984).

Therapeutic Psychologies and the Ascendence of Subjective Truth

Several contemporary philosophical systems have provided fertile ground for the development of Contextualist and Organicist psychological theories of human behavior and learning. The philosophical systems of existentialism, its cousin phenomenology, and diverse branches of humanism have merged to allow for the creation of four relevant streams of psychological therapy. Numerous theories are incorporated under the general rubrics of: gestalt theories (such as Perls, et. al., 1965; Lewin, 1951); humanistic-existential theories of client-centered therapy as exemplified by Carl Rogers (1961), Maslow's self-actualization theory (1970), and May's existential-analytic position (1953); the neo-Freudian psychoanalytic tradition, including Jung's analytical psychology (1960), Fromm's humanistic psychoanalysis (1964), and Erickson's Psychoanalytic Ego Psychology (1950); and the interactional social behavioristic perspective of Bandura (1977) in his social learning theory and the eclectic model of Mischel (1973). Common to all of these streams is an attempt to understand behavior and personality as a holistic phenomenon, and to move beyond the simplistic conceptualizations of orthodox behaviorism (and the uni-dimensional determinism of Freud), to a deeper appreciation for the uniqueness and dignity of the individual.

Existentialism is a diverse and complex philosophical position that, in essence, calls for introspection and attention to the subjective nature of reality. Since Kierkegaard (1843/1959) first articulated the Existential position in the nineteenth century, many have engaged in its adaptation and refinement (most notably: Heidegger, 1949; Marcel, 1961; Camus, 1965; Sartre, 1957; Tillich, 1952; Buber, 1958; Fromm, 1964; Kaufmann, 1975). Existentialism challenges the Formist and Mechanistic metaphors in profound ways. In its simplest form, Existentialism, postulates that authentic humanity is only possible for those who choose to be aware of their freedom and responsibility to create their own values and reality. It is the dialectical opposite of the empiricist/ rationalist tradition. The dualistic Cartesian dictum -- "I think, therefore, I am" (meaning the rational capacity of man defines his essence), is replaced by --'I exist, therefore, I can become.' In other words, existence precedes essence -- an important distinction from which all else follows in Existentialism. Authentic learning, for the Existentialist, requires that the learner be awakened -- "to an existential awareness of himself as a single subjectivity present in the world" (Morris, 1966: 110). Authentic learning stimulates critical awareness and provides the learner with painful "existential moments" in which the learner's self-concept is defined largely by whether one chooses to accept the freedom and responsibility of being authentically human. "Central to the existential position is the theme that

behind every action, individual choice is based on human interest. The possibility of choice is central to taking action and the necessity to choose is central to human development"... the existential man..."must exercise his freedom and act authentically. To be authentic the person must be who he is. He acts inauthentically when he lets other people define his goals and tell him how he should behave."(Susman and Evered, 1978: 596, 419; Morris, 1966; Sartre, 1957; Kaufmann, 1975).

Phenomenology, as a philosophic movement, was founded by Edmund Husserl (1931) and is closely related to Existentialism. It involves a belief in the primacy of immediate subjective experience as the basis for knowledge, and the need for self-awareness as the antecedent to any philosophical endeavor and as the basis for the study of the development of human consciousness. Lewin (1946), Carl Rogers (1961), Merleau-Ponty (1963), Perls (1965), Schutz (1967) have used this approach in their social science research. The person and his/her experiential frame of reference is the starting point for any inquiry into human existence. The subjective focus of phenomenological research stands in stark contrast with positivistic concerns for objectivity (Susman and Evered, 1978).

Humanism, the third philosophic stream of concern here, is a general rubric of philosophical thought and tradition and refers to a set of values about the essential dignity and worth of man and his capacity for self-realization through reason and action. The roots of humanism are deeply engrained in Western and Eastern civilizations (Brinton, 1956; Gay, 1973; de Chardin, 1964; Bronkowski, 1973, Schumacher, 1973; Gross, 1982).

The gestalt theorists were highly influenced by phenomenology, humanism, and existentialism. Taking issue with the stimulus-response behaviorists, the 'gestalt' theorists argued that learners perceive stimuli in organized patterns or wholes, not in their disconnected parts. Lewin (1951), perhaps the best known of gestalt psychologists, developed the notion of a "field theory" according to which learning is the consequence of a total pattern of interacting forces or stimuli, especially those involving changes in cognitive structure of the field or in the internal needs/motivations of the individual. Behavior is the consequence of the interaction between a complex array of external and internal factors in the field of forces. The Existential/Phenomenological perspective of gestalt psychology claims that "the whole must be grasped in order to comprehend the function of the parts." (Hampden-Turner, 1971: 25) Lewin's work, especially his innovative research with T-groups, has had a tremendous influence on the fields of adult development, organization development, social psychology, and the creation of the action research mode (not to mention experiential learning theory itself, e.g., the Kolb learning cycle

model is the same as Lewin's with minor adaptations; Knowles, 1984: 22; Kolb, 1984: 17).

The Humanistic-Existential perspectives, in general, share the gestalt view that integration of the affective aspects of experience with the cognitive aspects is essential for healthy adaptative learning to occur. In addition, they share a conception of socioemotional development throughout the life cycle. However, Carl Rogers' therapy emphasizes the affective dimension over the cognitive, i.e., the subjective experiences of the individual have primacy. For Rogers, "learning is a completely internal process controlled by the learner and engaging his whole being in interaction with his environment as he perceives it." (Knowles, 1984: 42) An individual's judgments and behavior are all dependent on the subjective experiencing of reality. "It is this phenomenological, inner reality rather than external, objective reality that plays the key role in determining the person's behavior." (Ryckman, 1982,: 389).

Rogers views client-centered therapy as a learning process and thus easily extends his concepts to educational applications. Learner-centered education parallels client-centered therapy and Rogers's ideas have been highly influential in the field of education as well. Encouraging the human tendencies of self-actualization, either as facilitators of learning in educational settings or in therapy situations, may help people become "fully functioning persons" (Knowles, 1984: 41; Ryckman, 1982: 389; Jarvis, 1983: 108; Rogers, 1961, 1983).

Abraham Maslow's Theory of Self Actualization (1962, 1970) is widely considered to be one of the most influential psychological theories of the twentieth century. His optimistic theory of human nature and development emphasized two basic kinds of human needs -- deficiency, or basic needs, and growth needs, or meta-needs -- that are typically presented as a needs hierarchy pyramid. The essential hypothesis underlying Maslow's theory emphasizes that lower-order needs (physiological, safety, belongingness and love, and esteem needs) must be sequentially met before the meta needs of self-actualization can be met. The process of self-actualization leads to the gratification of basic needs and the eventual development of individual potentialities required for the achievement of psychologically healthy, fully functioning human beings. Maslow's theory has been an inspiration for many other humanistically - oriented development theories (Ryckman, 1982: 365).

A profound influence by the existentialist thinking of Kierkegaard, Heidegger, and Tillich, in combination with his psychoanalytic orientation, led Rollo May (1953, 1967) to integrate the Freudian with the existentialist positions. May's existential- analytic perspective takes issue with those (such as Skinner or Rogers) who become dogmatic in their use of either objective or subjective views of reality at

the basis for their theoretical formulations. For May, either perspective narrowly dissects human experience, thereby trivializing and distorting it. Instead, an interactional perspective is needed which recognizes the existential dilemma of simultaneous existence with both subjective and objective realities. "The human dilemma is that which arises out of man's capacity to experience himself as both a subject and an object at the same time" (May: 1967: 8; Ryckman, 1982: 418)

The neo-Freudian psychoanalytic tradition provides another therapeutic stream that contributed to the Organicist and Contextualist worldviews. Carl Jung's theory of psychological types (1960) made a tremendous contribution to Experiential Learning theory and to the development of the Social Learning paradigm. Carl Jung's theory develops an holistic conception of human consciousness, postulating that the psyche has four adaptive functions -- sensation, thought, emotion, and intuition -- and each function is employed, in variable combinations with the others, to form predominant modes with which an individual interprets experience and achieves internalized understanding. Using this framework, Jung was able to devise a typology of human personality which distinguished between the introvert -- the person oriented to the internal subjective world and the extravert -- the person oriented to the external, objective world. Jung believed that the realities of the internal world had been suppressed by the church and modern science, in favor of the objective, observable external world of events and objects. Jung also believed that the development, or individuation, of the potential of each distinct and unique personality requires a fully functioning, dialectical interaction between the internal-subjective dimension (through the realization of genetic "archetypes") and the external circumstances of life. Jung's concept of individuation is a process involving the maturation of the subordinate adapative modes for the purpose of complementing the dominant adaptive modes. This interaction results in an holistic adapative process and the achievement of integrity (Kolb, 1984: 54; Ryckman, 1982: 77; Knowles, 1984: 38). The dialectic and holistic focus of Jung's theory, and the adaptive modes he identifies, is isomorphic with Experiential Learning theory and learning styles (see research findings comparing Myers-Briggs personality test scores with the learning style inventory instrument test scores for experiential learning styles: in Kolb, 1984: 80-97) and is an important avenue for future research.

Erik Erikson (1950), another important innovator in the psychoanalytic tradition, contributed to the Organicist challenge with his eight stage theory of personality development. Integrating the socioemotional and cognitive aspects of personality with a traditional Freudian ego psychoanalytic perspective led to an important and influential view of human development. Erikson's theory is holistic,

but his framework presents development as a deterministic and universal process. Erikson believed that developmental stages are followed by all people in an invariable and sequential manner, and that some persons regress rather than progress when confronted with inevitable turning points, or psycho-social crises. From this conception, developmental progression is understood as a natural human process that is sometimes impeded by obstacles, such as the inadequate resolution of the normal psycho-social crises of life. This is an important insight about the challenges of adult development and is built on by many subsequent theorists. (Knowles, 1984: 38; Ryckman, 1982: 143; Kolb, 1984: 15).

Another significant contribution to the psychoanalytic tradition, and to the organicist worldview, is provided by Erich Fromm's theory of humanistic psychoanalysis (1941, 1964, 1976). Fromm constructed a theory of personality types that is based on an interactional perspective, by combining Freudian perspectives about the biological determinants of behavior with a dedicated consideration of the unique cultural and social conditions that affect the development of character and the meeting of basic existential needs. Fromm believed that the central force influencing human behavior is the need to find a reason for existence. This translates into various categories of existential needs, including the need for relatedness which is only met through "mature love"; the need for transcendence over the limitations put on us by our circumstances, the environment, and by the human condition itself, and which can only be met through creativity and love (or negatively through destruction); the need for rootedness which is met by standing in solidarity with others; the need for identity which involves the development of a self-concept that is aware of and that values personal capabilities, uses them productively, without being bound by the expectations of others; and, finally, the need for a frame of reference or a "devotion" for making sense out of the chaos of life's varied and perplexing experiences.

Fromm believed that the modern world system, with its emphasis on "having" material things, rational order, and control; and its capitalist/modernization orientation, has prevented many of these basic needs from being met and, thus has prevented people from being "fully" human. Alienation and "non-productive" character types have resulted. In sum, Fromm believed that "having and being are two fundamental modes of experience, the respective strengths of which determine the differences between the characters and various types of social character" (Fromm, 1976: 4). Fromm calls for drastic social transformation through the creation of a "humanistic communitarian socialism" system in which spiritual and cultural renewal would lead to a reemphasis on the dignity of man and the supremacy of spiritual over material values; and in which the institutions of society would be decentralized and

managed participatively (Ryckman, 1982: 117-131).

The Social-Behaviorist Perspective moves closest to a pure interactional perspective with the integration of the cognitive and socioemotional dimensions of the internal world with the environmental events of the external world in a process of "reciprocal-determinism." In Bandura's Social Learning theory, behavior is not simply a reaction to environmental events but, rather, the product of individuals engaged in a process of actively creating and changing their environment according to their subjective cognition (Ryckman, 1982: 330; Bandura, 1977: 345). Walter Mischel (1973) also offers a model of interactional personality development that draws from the strengths of various theoretical perspectives to form an holistic approach to explaining learning and behavior. While Mischel's theory of "cognitive social learning" builds on some of Bandura's contributions, it provides a more mature perspective by counter-balancing neo-behaviorist tendencies with a greater appreciation for cognitive constructs (Ryckman, 1982: 463-483).

Cognitive Development Psychological Perspectives: The Structure of Learning.

Many of the previously discussed psychologists -- from the gestalt, existential-humanist, social behaviorist interactionists, and psychoanalytic schools -- are highly concerned with the structural, cognitive aspects of learning. However, a number of theorists can be distinguished as having significantly extended the study of cognition with their empirical research on the evolutionary nature of cognitive development. These theorists have produced a series of stage theories of cognitive development that focus on the structural aspects of the intellect (Piaget, 1932, 1970; Perry, 1968; Bruner, 1961, 1966), moral judgment (Kohlberg, 1969, 1972, 1981), and the ego (Loevinger, 1976; Erikson, 1950). Many have been highly influenced by Erikson's pyschoanalytic stage theory, others by the life-cycle phase development theorists (Levinson, 1978; Gould, 1972; Havighurst, 1970; Sheehy, 1974), but all share a common intellectual debt to the pioneering efforts of Jean Piaget, the French psychologist and philosopher. Piaget's theory of cognitive development (1932, 1970), provides a description of how experience shapes intelligence. In essence, intelligence is produced by the interactions of the person with the environment. The dialectical exchanges between concrete and abstract levels of thought and the active and reflective modes are the foundation for human learning and development:

> The learning process whereby this development takes place is a cycle of interaction between the individual and the environment that is similar to the learning models of Dewey and Lewin. In Piaget's terms the key to learning lies in the mutual interaction of the process of accomodation of concepts or schemas to experience in the world and the process of assimilation of events and experiences from the world into existing concepts and schemas. Learning, or in Piaget's term, intelligent adaptation results from a balanced tension between these two processes... The process of cognitive growth from concrete to abstract and from active to reflective is based on this continual transaction between assimilation and accomodation, occurring in successive stages, each of which incorporates what has gone on before into a new, higher level of cognitive functioning (Kolb, 1984: 23).

While Piaget's cognitive development theory was limited to identifying the stages of child development, it provided the catalyst for important extensions of the theory. Bruner (1961) adapted the findings to correspond to the more practical concerns of curriculum design (Knowles, 1984: 25). Lawrence Kohlberg (1969, 1972) extended the cognitive development conception to adults as well, concentrating on the cognitive aspects of how moral judgments/ethical decisions are made, and elaborating an influential stage theory based on cross-national, longitudinal research. Complementing Kohlberg's findings, William Perry's (1968) research concentrated on the stages of intellectual development exemplified by university students and discovered definite patterns of attitudinal changes from dogmatic, authority-centered views of the lower stages to views demonstrating personal commitment to principles within a general framework of relativism of higher stages. Finally, Jane Loevinger (1976) produced a synthetic and eclectic theory, drawing from Erikson's socioemotional theory of ego development, various cognitive theorists, and the existentialist-humanists. Loevinger's theory of ego development articulates learning and development as a lifelong process (Kolb, 1984: 14-15; Cross, 1983).

The Radical Critique: From Domestication to Conscientization.

A number of educators have, not surprisingly, joined the ranks of those calling for a rejection of Modernization approaches to development and the Mechanistic and Formist worldviews that spawned them. Each of these educators calls for social transformation and a profoundly different conception of what constitutes human advancement.

By far, the most influential of these is the Brazilian educator and philosopher, Paulo Freire (1973a, 1973b). Freire's educational theory of conscientização was derived from an eclectic synthesis of disparate influences including: the democratic ideals of liberalism (with indebtedness to the ideas of John Dewey, 1935, 1938; Seymour Lipset, 1967; Karl Popper, 1959; Alfred Whitehead, 1929; and Karl Mannheim, 1949; -- and Brazilian social scientists -- Francisco Weffert, 1967;

Gilberto Freyre, 1963; Fernando de Azeveda, 1950; Alvara Viera Pinto, 1961); contemporary Christian theology and Catholic radicalism from which Freire's ideas of critical consciousness and grassroots social movements were largely derived (including, among others, Teilard de Chardin, 1964; Reinhold Niebuhr, 1960; Gustavo Gutierrez, 1972); revolutionary socialism with its contributions to Freire's understanding of praxis, class conflict and consciousness and the cultural dimensions of revolution (including Karl Marx, 1965; E. Guevara, 1969; Mao-Tse-Tung, 1968; Amilcar Cabral, 1964; A. Gramsci, 1971; Frank, 1967); radical social psychology/socialist humanism from which Freire constructs his social-psychological theory of oppression(Erich Fromm, 1976); and Existentialism and Phenomenology with their numerous contributions to Freire's ideas on the oppressive pedagogy of the 'banking' educational method vs. the dialogical problem-posing approach to education as a liberating process (Martin Buber, 1958; Karl Jaspers, 1957; Jean-Paul Sartre, 1974; Gabriel Marcel, 1962) -- [Mackie, 1981: 93-119; Elias and Merriam, 1980: 148].

Freire's theory of conscientização is, thus, an eclectic merger of diverse intellectual streams that together constitute a philosophy of man. Freire's view assumes that the essence of being human is a unique capacity for transformative reflection and action or praxis. In sum, it is an ability to change material and social conditions to meet human need. This human potential for transformation depends on the achievement of higher levels of consciousness in which persons become increasingly aware (conscientization) of their role as dynamic subjects rather than passive objects in their environments. For Freire, persons have the freedom and autonomy to become creators of both history and culture.

> True humanization takes place in the world only when each person becomes conscious of the social process working upon him or her, reflects upon these forces, and becomes capable of transforming the world. To be human is to be an actor in the world and to seek to guide one's own destiny. To be free, to be an actor in the world, means knowing one's identity and realizing how one has been shaped in one's social world and environment. (Elias and Merriam, 1980: 149)

Drawing on Marxist and phenomenological concepts, Freire sees social reality as a dialectical historical process which can be influenced through the exercise of praxis -- the epistemological unification of action and reflection -- producing knowledge for the purpose of social transformation. Transformative praxis leads to increasing awareness of social realities and their historical and cultural origins. For Freire, praxis is the means of producing the dialectical unity of subjective and objective realities and leads to higher levels of social consciousness.

The liberation of individuals that occurs through the praxis of conscientization is the foundation upon which societal transformation must take place.

Thus, grassroots educational efforts are essential to the promotion of human liberation. Upon these philosophical foundations, Freire constructed a well-known literacy training methodology in which the conscientization of the oppressed is the main goal and the key to effective learning. Freire's literacy program and his revolutionary pedagogy have inspired community development workers and educators throughout the world, influencing the development of the base community movement in Latin America, participatory research, educación popular, and other contempory social movements (Jarvis, 1983; Hamnett, et al, 1984; Elias and Merriam, 1980: 151; LaBelle, 1986; Freire, 1970, 1973a).

Jack Mezirow (1978, 1981) is another educational theorist who has produced a transactional learning theory, which parallels and builds upon some of Freire's contributions. Mezirow 's theory makes the central assumption that everyone has constructions of reality -- or 'perspectives' for interpreting reality -- which are formed and reinforced based on a person's interactions with the external socio-cultural world. When a person's perspectives are confronted by the anomalous experiences of life crises, a transformative/transactive learning process is possible. When an individual attempts to reconcile the anomalies of a new situation, an action-reflection learning cycle congruent with both the Kolb and Freirean conceptualizations, occurs. Mazirow views these sequential transformations as emancipatory learning -- in which perspectives (constructions of reality) -- gradually mature and become more capable of integrating diverse experiences. Both Freire and Mazirow view education as a liberating process. However, Freire emphasizes the cultural and political dimensions while Mazirow concentrates on the psychological. (Jarvis, 1983: 104).

Ivan Illich is the radical educator who initiated the Deschooling Movement, which called for the rejection of conventional and traditional education. Illich advocated that schools be replaced with creative approaches to education for liberation, all of which involve transforming "learning networks" (Elias and Merriam, 1980: 166). Myles Horton, was another profound critic of America's institutions and founded the Highlander Research and Education Center. Horton, has been one of the most influential radical educators in America. His organizing skills and participatory, learner-centered approach to education were instrumental to the consciousness raising efforts inspiring the labor and civil rights movements. (Adams, 1976: 96)

A final radical educator/philosopher deserves mention for his influential critique of the institutions of Modernization and his call for a new ethics to guide development assistance. Denis Goulet (1971) articulates an ethical stance that is highly consistent with the other critics of Formist and Mechanistic worldviews. He raises two core questions: What kind of development is human? How must such development be

obtained? Goulet's systematically answers these questions and builds a persuasive, ethical stance that draws from Christian theology, Existentialism, Phenomenology, Humanism, and from many of the ideas of the aforementioned critics. Answering the first question, Goulet concludes that:

> Authentic development aims at the full realization of human capabilities: men and women become makers of their own histories, personal and societal. They free themselves from every servitude imposed by nature or oppressive systems, they achieve wisdom in their mastery over nature and their own wants, they create new webs of solidarity based not on domination but on reciprocity among themselves, they achieve a rich symbiosis between contemplation and transforming action, between efficiency and free expression. (Goulet, 1977: 36) The major task of developers everywhere is to fashion institutions which allow men to transform their drive for economic and social development into a liberating enterprise ... [because too often] ... the benefits of development are obtained in a manner which is alienating rather than liberating. (1971: 327)

In answering the question of how a liberating approach to development should be obtained, Goulet establishes three strategic principles. The first principle states that:

> The good life is not defined by the abundance of goods, although men must surely 'have' enough goods if they are 'to be' good men. The second principle asserts the need for global solidarity in development. It views development as the integral ascent of all men and all societies: the quintessence of cultural, spiritual, and esthetic maturation, as well as of economic and social improvement. But development's benefits must extend to all societies and to every person in society; solidarity is meaningless if it is restricted. A third principle postulates optimum participation in decision-making as desirable. Development must be pursued in such a way that all men become agents of their own social destiny. (Goulet, 1971: 123)

Social Learning and Development Management

The social learning paradigm provides a holistic framework for the development of an alternative conceptualization of human advancement. Eclectic synthesis of important contributions from the various world hypotheses (Organicism, Contextualism, as well as Mechanism, and Formism) and borrowing from their various derivative development paradigms (Modernization, Dependency, Corporatism, Bureaucratic-Authoritarianism, Humanism) allows for the creation of a paradigm that is both pragmatic and idealistic, empirical and normative, as well as objective and subjective. The social learning paradigm interprets history and culture as the products of man's creative, dialectical, and ever evolving experimentation with social life. Social learning is both the theoretical and methodological instrument for man's potential ascendence to a more humane and just world. Through a merger of social and scientific knowledge, the epistemology of social learning provides the basis for defining the essential goals and parameters of development, as well as suggesting the means of their achievement through Participatory Action Research.

The Social Learning paradigm also provides the theoretical foundation upon which alternative methods and approaches to development management are being built. The failure of the conventional rational-bureaucratic approaches to development management, as conceived by the Modernization paradigm, makes the task of discovering alternative approaches to managing social transformation all the more urgent (Gran, 1983: 15; Hyden, 1983: 137-149; Bryant and White, 1984). Korten notes that the search for alternatives has led to the social learning approach:

> Critical progress has been made toward the withdrawal of intellectual legitimacy from the obsolete frameworks on which prevailing practice is based ... and attention has become directed to more powerful strategic frameworks for managing programs, systems, and institutions. Advocacy of rigid, blueprinted, planning methodologies and control systems had given way to a search for methodologies which facilitate social learning processes. (Korten, 1984b: 346)

Thus, management alternatives (as construed by the social learning paradigm) are appealing for their potential practical value, as well as for their alluring idealism. However, alternative appoaches to managing social transformation will require new conceptualizations of both the nature of organizations as social entities and the essence of social interaction itself:

> When one begins to operate under the control of a social learning paradigm the role of organization and the nature of its study are extended in important ways. Then social reorganization becomes revealed as both the target and the instrument of social change ... [for, it is] ... the anomalies of social organization in a changing

> world that constitute the motive and object of social learning. The anomalies are manifest in the discrepancies between social system goals and the operation of social system controls. The formulation of evolutionary hypotheses is the visualization and choice of a procedure ... presumed to ... improve the consonance between goals and controls. The evolutionary experiment is an experiment in social reorganization ... [making the organization] ... the instrument of social change. [Therefore], social learning needs to become more concerned with the role of organization in providing goals and controls for the process of social learning itself, and with the forms that it might take in performing the role. (Dunn, 1971: 246)

Toward a Social Learning Conception of Organization

A myriad of contemporary theories attempt to describe the nature of organizations and the appropriate managerial/leadership principles needed for their effective operation. In the field of organizational theory, Bolman and Deal (1984) have analyzed various management and organizational theories and categorized them into four "frames" for understanding organizations: the human resource, symbolic, political, and structural frames. Each of these frames encompasses numerous theories about organizations, all of which share common frames of reference and similar sets of assumptions. Bolman and Deal assert that each of the diverse organizational frames is valid and critically needed for an holistic understanding of organizations.

> Each frame has its own vision of reality. Only when managers can look through the four are they likely to appreciate the depth and complexity of organizational life. Successful managers rely intuitively on the different frames, blending them into a coherent, pragmatic, personal theory of organizations... an explicit introduction to and grounding in all four frames can enrich any manager's native intuition. Success becomes possible for even the great majority of us who were not born with the ability to understand and act effectively in such a complicated and ambiguous world. (1984: 6)

A similar argument is made by Fear, et. al. (1985) in their extensive review of leadership/managerial literature in terms of its significance to the curricular needs of community leadership development programs. They conclude that the holistic review and integration of the various theories of leadership effectiveness (trait/behavior, situational/contingency, transactional, and attributional approaches) will produce the most appropriate curriculum for enhancing community leadership effectiveness. Likewise, Bryant and White -- in their discussion of various models of administrative behavior -- conclude that:

> The task is to incorporate the strengths of each and to avoid their limitations ... using the rational model to explore the extent to which people are able to make choices and pursue goals, the social-psychological model to sensitize us to ways in

> which peoples' choices are formed, and the humanist model to consider the possibilities of value change and development within the context of organizations. (Bryant and White, 1982: 101)

Once again, the social learning paradigm can be used to interpret the tendency to synthesize diverse perspectives into more complete, and thereby, powerful theory. In the Bolman and Deal organizational frame conceptualization, the Fear, et. al. leadership curricular synthesis and the Bryant and White synthesis of organizational behavior theories, pragmatic combinations have been made to extract the more relevant and valid features of each theory into more useful and holistic meta-theory. This is not to suggest that all knowledge is reducible to meta-theory. Indeed, some theories are simply not amenable to synthesis; combination sometimes reduces a theory's original coherence to an absurd or distorted set of propositions. Certainly many diverse theoretical propositions are irreconcilable from both logical, as well as, empirical perspectives.

The argument made here is that social learning, as a process of dialectical social experimentation, will gradually lead -- when functioning freely and effectively -- to new, transformative paradigms that draw from diverse antecedents. Each of the major world hypotheses has produced philosophical systems and development paradigms that have been, and will continue to make, important contributions to social experimentation. The isomorphism of world hypotheses and experiential learning theory leads one to extend the analysis to an examination of the potential for synthesis between various derivative paradigms -- whether the focus is socio-economic development, epistemology, organization theory, or leadership research. In social learning, synthetic mergers (particularly meta-theories) are made as experiments -- as hypotheses to be tested -- through the praxis of experiential learning. One of the primary obstacles to social learning experimentation is dogmatic adherence to particular analytic worldviews without an appreciation for the potential contributions of synthesis.

Recent brain research on the distinct functions of right and left hemispheres is yielding substantial evidence of the existence of two modes of thought, the analytical of the left hemisphere and the intuitive-synthetic of the right (Edwards, 1979; Zajonc, 1980). The left brain normally specializes in analytic-linear thought -- the skills to classify, generalize, compare, use symbolic language. In contrast, the right hemisphere specializes in synthetic thought -- with skills that allow for holistic, spontaneous, visual, intuitive, and spatial interpretations of reality. Both modes are critically important to learning. Indeed, without transactions between the analytic and synthetic modes, distortions are inevitable. The culture of the Modernization paradigm

and its positivistic epistemology place high value on the left brain functions and "degenerate the right brain functions as non-rigorous and fuzzy minded" (Korten, 1983: 218; Kolb, 1984: 46-51). Development management for social learning requires transactions between both modes:

> The task requirements of social development call for development managers proficient in using both sides of the brain. They need a capacity to not only break a problem down into its components, but also to view it in context -- to examine the characeristics of the system in which it is embedded; to be comfortable with diversity, multiplicity, simultaneity, uncertainty, and paradox; to pursue complex strategies involving multiple outcomes and simultaneous facilitating actions; to sense where there is 'fit' between two or more elements of a system and where there is discord; and to identify where, when, and how to intervene to improve the fit or to generate a desired tension ... Tough minded analytic thought is required, but so are intuition and a 'feel' for the situation. (Korten, 1983: 218-219)

Bolman and Deal's organizational frames and theories of leadership effectiveness are isomorphous with the analytic/synthetic world hypothesis conceptualization. As such, each of these perspectives can be logically related to one or more of the world hypotheses. Figure 2.6 makes some preliminary associations between the world hypotheses, the organizational frames, and leadership theories.

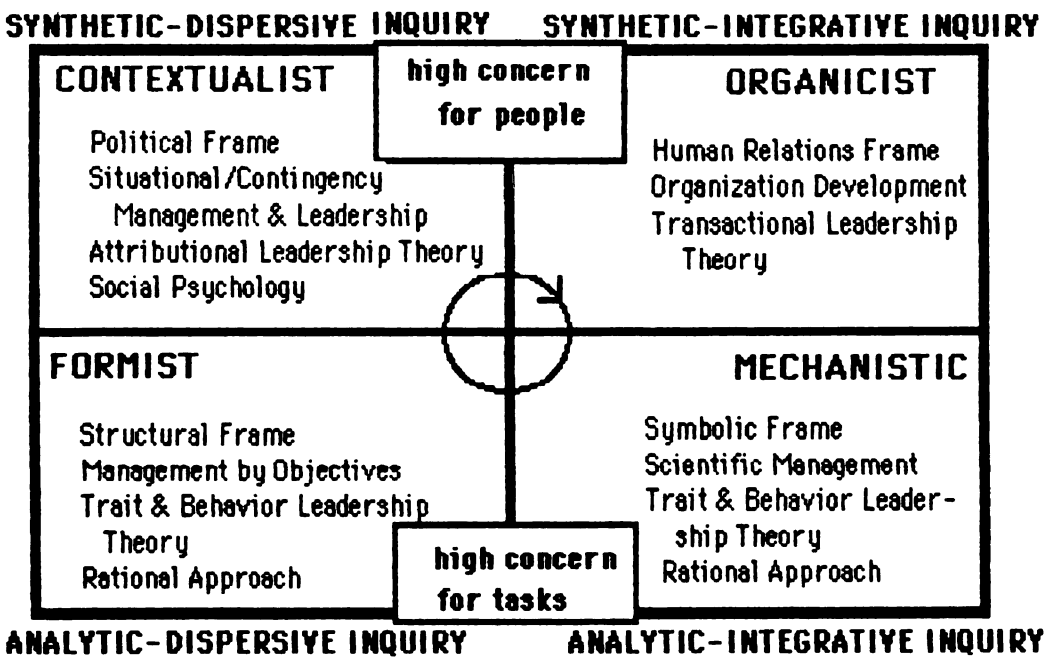


Figure 2.6
Comparison of World Hypotheses, Organizational Frames, and Theories of Leadership, Management, and Organizational Behavior

To be consistent with the Social Learning paradigm, and to meet the need for eclectic and holistic management theory to guide development assistance, each perspective should be reviewed for its relevance and usefulness as potential components of a synthetic theory of management. Systematic use of Bolman and Deal's organizational frame analytic technique would be a useful tool in this process. The Social Learning approach to development management involves eclectic integration of diverse organizational perspectives and their systematic interpretation within normative frameworks established collaboratively between development agencies and their clientele. Eclectic management theory will be experimental and dynamic -- tied to practice in praxis -- involving iterative experiential learning processes.

Appropriate management systems for development will not be imports from the West but, rather, will be derived from innovative social learning experimentation with contributions from both the West and the East (reference to Ghandi in Schumacher, 1971; Myrdal, 1971). Indeed, "the new orientations are likely to be consonant with the traditions of Eastern thought and experience which tend toward a more holistic view of life and a search for a harmonious relationship between man and nature." (Korten, 1981: 611) These management innovations will require a commitment to experiential learning processes by Third World institutions and their First World donors. Institutions and organizations capable of effective development management will require a keen ability to learn from their environments. To do so, organizations must be open systems in which environmental pressures, resources, and information are received through transactive learning (Bryant and White, 1984, 1982; Katz and Kahn, 1978; Landau and Stout, 1979; Thompson, 1967). The institutionalization of open systems for development agencies is best facilitated through the adoption of social learning. This will include:

> Discovering relationships within communities, how information is shared, decisions made, and thus how learning occurs within the community. Such learning is not apt to occur unless organizations develop incentives for officials to undertake it as part of their job. In practice this means that not only must officials at different levels within the organization have incentives for their own social learning, but the organization itself must perceive the intrinsic value of social learning for its own corporate life. (Bryant and White, 1984: 17)

The Vanguard of Social Learning Approaches to Development Management

Numerous development scholars and practitioners have been searching for the right fit between development theory and practice, particularly as it relates to appropriate administrative/management systems for participatory development. While development theory has shifted from focusing exclusively on economic growth and modernization toward a perspective that also considers the need for equity and grassroots participation, the practice of development management continues to be guided by the rational-bureaucratic models. The analytic bias of these Western models have been found to be dysfunctional to the task of implementing participatory and holistic forms of development (see especially: Gran, 1983; Goran, 1983; Rondinelli, 1983; Chambers, 1983, 1985; D. Korten, 1981, 1984b; F. Korten, 1983; Moris, 1981; Bryant and White, 1982, 1984; Thomas, 1985; Morss and Gow, 1985).

Many development management theorists are convinced that development theory needs to be complemented by more appropriate management practice. Alternative approaches to managing social transformation have been called for that are truly participatory. For development agencies, a commitment to participatory management systems will require *bureaucratic reorientation*, including experimental shifts away from centralized, control-oriented hierarchies toward decentralized, learning-oriented organisms. Nothing less than the transformed social consciousness of the managerial/administrative layers of bureaucratic institutions can infuse the kinds of servant leaders needed for facilitating the processes of social transformation.

Paralleling this, many theorists have insisted on the need for *people-centered* development management at the community level. The management of social transformation cannot be accomplished through the reification of rational management systems (such as Management by Objectives, or through training local leaders in the virtues of control-oriented planning), but rather through the effective implementation of social learning processes by capable local organizations. People-centered development involves: 1) complete participation by the so-called "beneficiaries" in the functions of problem identification, planning and decision-making, implementation, and evaluation; 2) the empowerment and solidarity of local organizations; 3) social experimentation through experiential learning; and 4) an expansion of social consciousness through the transformation of social values. These four themes: participation, empowerment and solidarity, social experimentation, and expanded social consciousness provide the foundations for people-centered approaches to managing social transformation at the community level.

However, for people-centered community development to reach full fruition -- and for social transformation to occur expediently -- bureaucratic reorientations are requisites. Indeed, development agencies have an important facilitating role to play if people-centered community development programs are to reach full maturity. In addition, both the development agency and the local organization will need to institute social learning as their overall management framework. An effective Social Learning approach to management will require commitments by development agencies and their local organization counterparts to four distinct and evolving learning domains: social values, theory of reality, political strategy, and collective action (Friedmann, 1984a). As mentioned previously, there is essential isomorphism between these domains of social learning and the adaptive processes of the experiential learning cycle. Likewise, the thematic universe of people-centered development -- participation, empowerment and solidarity, social experimentation, and expanded social consciousness -- are closely related to the social learning domains of collective action, political strategy, theory of reality, and social values. Each blends into, and enhances, the others as the dialectical transactions between the concrete-abstract and action-reflection learning tensions are resolved.

Figure 2.7 illustrates the relationships between bureaucratic reorientation and people-centered development concepts. The themes of people-centered development and the social learning domains are presented as important aspects of a general social learning framework for managing social transformation. In short, the principles of people-centered community development and those of participatory management constitute the vanguard of a social learning approach to development management and the foundations for further elaboration and innovation.

People-Centered Community Development

Authentic community development has been described by some as a process of experiential learning (Roberts, 1979). However, effective experiential learning processes in communities require a people-centered development approach, in which local persons are respected for their existing knowledge, as well as by their capacity to learn, and for their right to set their own goals according to their values, solve their own problems, and to assume control over their own destinies (Korten, 1980, 1984a; Bryant and White, 1982, 1984; Roberts, 1979; Gran, 1983). Shifting the development focus away from economic output and the allocation of financial resources, "people-centered development places substantial value on local initiative and diversity. It thus favors self-organizing systems developed around human-scale organizational units and self-reliant communities." (Korten, 1984a: 300)

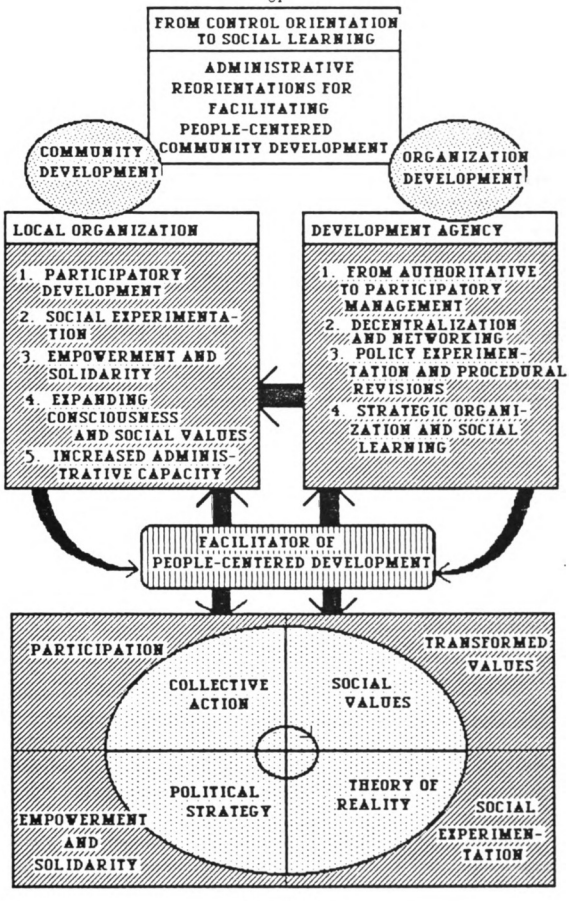


FIGURE 2.7
BUREAUCRATIC REORIENTATION FOR PEOPLE-CENTERED COMMUNITY DEVELOPMENT

Measurements for success during the industrial era have consisted of economic criteria and its underlying values have been predominantly production-centered. Industrialization required the emergence of bureaucratic organizations in order to control and guide the industrial endeavor toward greater efficiency. Development assistance in the 1950s through the 1960s attempted to apply these economic criteria and production values to the tasks of moving "underdeveloped" nations toward a status of industrialization. This assumed that the Western model of modernization could and should be followed, and that the adoption of technologies, institutions, and values would lead to general prosperity as wealth "trickled down" to even the poorest sectors of society. However, as Korten points out:

> By the mid 1960's it was already evident that transplanting institutions, technologies, and capital to these countries was leading not to universal prosperity, but rather in many instances to a worsening economic dualism. Those who found a place in the modern sector benefitted enormously -- the majority were seldom so lucky... It seems evident in retrospect that the values, institutional systems and management methods of the industrial era were geared to producing an ever increasing flow of standardized goods and services, and to the creation of a massified society to consume them. Efficiency was associated with size and reliability. These purposes were deeply embedded in the theory and practice of management, as well as in its dominant methodologies ... in the interests of efficiency, the individual was subordinated to the requirements of the system. (Korten, 1984b: 342)

As the inadequacies of the modernization paradigm were recognized, people -oriented perspectives became more prevalent by the mid 1970s. These perspectives attempted to correct the inequities of the modernization model by designing programs to directly benefit the poor and to include their active participation in program implementation. However, the development agencies which assumed the mandate for implementing these people-oriented programs continued to operate according to the bureaucratic standards of a "production orientation". Managerial practice and administrative systems as determined by the rational/bureaucratic model proved inadequate to the tasks of participatory and equitable development programs. Programs under this model were expensive, inappropriate, and dependency-creating.

For the benefits of developmental assistance to have a more meaningful impact on the lives of the poor, Korten argues that development programs must be more than "people oriented". They must be <u>people centered</u>. A people-centered approach transfers the locus of control to the beneficiaries where decisions about development activities come from the peoples' initiative and are based on resources which <u>they</u> control. "Development performance would be judged by its direct contributions to the enhancement of human well-being in its social and psychic , as

well as its physical and economic dimensions" (Korten, 1984b: 342).

Participatory Development: Hollow Ideology or Pragmatic Practice? The intent of participatory development goes beyond token representations of local community members in project planning and evaluation cycles. More importantly, participation in community development efforts is the avenue for providing meaning and integrity to the entire process of planned social change. Participation is the method by which community members may assert control over the processes that, in many respects, will determine their futures.

Participation comes in many shades and colors and is defined and used to serve many different ends. Different approaches to participation can be used either as liberating or domesticating methodologies (Dickinson et al., 1985). For example, participatory community development programs, carried-out under the Modernization paradigm, tends to use popular participation as an instrument for the diffusion of the value changes desired by the change agent and for the implementation of 'blueprint' plans prepared by social engineers. Or, more sinister yet, participation is commonly used by local elites or others who wish to manipulate, co-opt, and subvert the 'will' of the people. Despite the participation rhetoric, many so-called participatory development programs were designed according to top-down planning processes with little reflection on the nature of bottom-up participation. "There is a critical difference between going through the empty ritual of participation and having the real power needed to affect the outcome of the process" (Arnstein, 1977). Domesticating forms of participation have also been used as alternatives to revolutionary movements and serious social reform. Ultimately, the critical issue of: "who benefits" from participation must always be considered. (Holdcroftand Jones, 1982: 221; Bryant and White, 1982; Arnstein, 1977; Pigozzi, 1982; Koneya, 1978).

On the other hand, participation, when used in liberating ways, can lead to increased social consciousness, empowerment, collaborative solidarity, and effective problem resolution. As a principle of development management, liberating forms of participation have been demonstrated as crucial to effective problem diagnosis, reflection, planning/decision-making, implementation, and evaluation (Bryant and White, 1982, 1984; Montgomery and Esman, 1971; Esman and Uphoff, 1984; Cohen and Uphoff, 1980; Gran, 1983; Ickis, 1983, etc.). Participation, as an instrument of development management, has produced many practical administrative benefits including: higher productivity/lower cost for development activities; diminishing feelings of powerlessness and alienation and subsequent increases in participant motivation; an organizational infrastructure capable of sustaining the activities and benefits of development; a sense of mutual responsibility for accountability and

quality controls. Participation has also assured that felt needs are addressed, local norms and culture respected, and that indigenous knowledge and expertise are used. Dependency is simultaneously diminished (White, 1982).

The nature of the relationships between popular participation and socio-political development has been one of the fundamental philosophical questions since Aristotle first articulated his social theory. While more empirical research on these relationships is needed, several generalizations about participation and development can be made. First, participation is not an end in itself, it is a means to an end. In short, participation is one dimension of the development process -- it is one of the ways we achieve maturation; in itself, it does not constitute maturity. Second, participation is not a panacea for the problems of underdevelopment -- participatory processes do not, in themselves, lead to social transformation. Third, while participation, as an instrument of development management, is distinct from partisan political participation, it is nonetheless political in nature; it potentially challenges the status quo through grassrooots empowerment. Finally, participation is not a single entity but an overarching concept that includes distinct, but interdependent and interconnected, processes of collective problem identification, planning, decision-making, implementation, and evaluation (Dickinson, et al., 1985; Cohen and Uphoff, 1980; Bryant and White, 1982). Ulitmately, participation's utility for development management requires that development administrators move beyond empty rhetoric and hollow ideology toward a more serious perspective:

> Participation can easily turn into a cliche for those administering development: it is all too easy to affirm its value, while doing little to make it a reality ... No matter how committed they are to participation, it will always be tempting to co-opt the participants to meet the needs of administrators ... And yet it remains true that the very process of development requires involvement by people in shaping their future, and thus it is worth continuing to wrestle with the dilemmas that participation presents. (Bryant and White, 1982: 224)

Social Experimentation: the Essence of Social Learning. Due to the uncertainty and complexity of the contexts in which development projects are carried-out, they need to be managed as social experiments by testing the validity of development theory and management policy as part of an ongoing learning process. Indeed, at a more generic level, some view management itself as an experimental process in which the task of the manager or administrator is to manage, not to control. "The real art of management ... requires the highest degree of creativity and sensitivity; it is not planning and control. It is to keep an organization functioning reasonably well in its continuous battle with uncertainty, as well as the unintended consequences of politics" (Landau and Stout, 1980: 53-54; Bryant and White, 1982: 69).

Effective management requires that both the artistic and scientific dimensions of management be wed in the same way that the analytic and synthetic modes of thinking must be transacted. Only through their union can learning be holistic. Transactive social experimentation is one expression of people-centered development and the very essence of social learning -- and as an essential mode of experiential learning, it leads to dialectical transitions in the theories of reality. Social experimentation values the experience and knowledge of the local populace, views development policies and activities as hypotheses to be tested, and perceives failure as a learning resource (Friedmann, 1979a, 1984a; Bryant and White, 1982; Korten, 1980).

Social experimentation requires that the management functions of problem identification/planning and implementation need to be structured integratively so that the plans are prepared by the same persons as those responsible for their implementation. Thus, planning and implementation (reflection and action) should be "mutually dependent activities that refine and improve each other over time, rather than as separate functions" (Rondinelli, 1983: 15). Emphasis should be placed, in order of priority, on the need to develop an effective program design, to make the design efficient in the local context, and to find ways to expand successful models to other communities (Korten, 1981: 214-16; Rondinelli, 1983: 89; Moris, 1981: 21).

Social experimentation does not follow the same rigors of classical scientific or behavioral experimentation in which "populations are divided into test and control groups, baseline measures are taken, 'treatments' are administered, and the differences due to treatment are determined" (Rondinelli, 1983: 92). The complexity of variables inherent to social phenomena renders the cause-effect reasoning implicit in the before and after comparisons of the traditional experiment unreliable. Action research and participatory research are more adequate modes for undertaking social experimentation. The AR/PR modes (and their PAR synthesis) appreciate and utilize local knowledge and recognize the nature of its experimental origins (Rondinelli, 1983; Chambers, 1983: 91). In many respects, control-oriented planning and management techniques mimic the traditional experiment and tend to assume simple cause-effect relationships and the ability of expert planners and social engineers to manipulate social settings through rational interventions. In fact, the control-oriented approach to development management actually impedes the learning that takes place through social experimentation (Moris, 1981: 21). Learning from social experimentation requires management systems that are flexible and responsive to environmental changes -- not those which emphasize efficiency and control. Ironically, the tendency in development management is to continue emphasizing the value of control-orientations despite the fact that they have proven to be "incapable of

reducing uncertainty at a time when the recognition that development was an uncertain process was becoming widespread" (Rondinelli, 1983: 5).

Empowerment and Solidarity: From Naive to Critical Political Strategy. The production-centered modes of development under the modernization paradigm have served powerful international political interests and local elites at the community level and have also reinforced structural dependencies in the world system. The benefits of modernization development programs, while consolidating powerful elites, have rarely trickled-down to the poorer sectors of society. Those caught in the 'poverty trap' have been unable to tap into existing resources or to benefit from development programs due to their powerlessness and the exploitation of local elites.

Empowerment has thus become one of the key strategies of people-centered development. Because social change is always a political process, political power is essential for increasing the leverage of the poor to escape the poverty trap. Political power must be grasped at multiple levels, including the local -- sometimes conflictually -- by critical recognition of political realities and the development of political strategies.

Power is manifested and obtained in many different ways. Development agencies have the capacity to empower their community-level 'beneficiaries' through the devolution of their administrative power over resources and training. Empowerment is also obtained by increasing levels of local administrative capacity in such key functions of problem diagnosis, reflection, planning/decision-making, implementation, evaluation. Development agency workers can facilitate empowerment through educative strategies that lead to increasing and liberating levels of social consciousness (Kindervatter, 1977; Gran ,1983; Bryant and White, 1982; Chambers, 1983; Nesman, 1981).

Ultimately, for empowerment to be fully-realized, local organizations will need to develop political strategies that go far beyond the boundaries of local political environments and begin collaborating with other local organizations. Only through the creation of networks of social learning cells bound together in solidarity will people-centered development be able to advance the cause of the powerless and the exploited. Social movements for people-centered development are necessary for social transformation and their confrontation with existing structures is nearly inevitable. However, as Korten sagely points out:

> It is important to bear in mind that conflict and confrontation do not themselves create the new. Indeed in their more extreme forms, such as armed revolution, they can be highly destructive of many of the very values, skills, and leaders needed to create the new society they claim to seek ... the objective of building power for people-centered development is best served through action to hasten

> creation of the new rather than through political confrontation to hasten the passing of the old. (Korten, 1984a: 308)

Expanding Consciousness: Toward Critical Awareness and Cultural Integrity.

People-centered development is also profoundly committed to the transformation of social values. Due largely to the influence of Paulo Freire and other radical educators, philosophers, and psychologists, people-centered development emphasizes the need for expanded awareness -- or conscientizacione -- involving changing self-concept from 'object' to one of 'subject' in the world (Freire, 1970; 1983; Bryant and White, 1982; Gran, 1983; Kindervatter, 1977). Consciousness-raising involves educational programs that help the oppressed to see the causes of their oppression, to find dignity in their capacity as human beings as creators of their culture, history, and their futures. Domesticated consciousness prevents the oppressed from perceiving the objective realities of their situations and, only through critical consciousness, do they become empowered to challenge them. Consciousness-raising efforts are only authentically liberating, as opposed to manipulative and domesticating, (Berger, 1975: 111-127), when they are grounded by experience, respect the cultural and historical realities of the local context, and are controlled by the learners. Consciousness-raising -- expanded awareness -- is a natural outcome of experiential learning processes in which action/reflection and concrete/abstract dialectical tensions are resolved through praxis (Smith, 1976; Beveridge, 1984; Hart, 1984; Center for International Education, U. of Massachusetts, 1973; Hope et al., 1984; LaBelle, 1986). People-centered development emphasizes the need for expanded awareness of oppression and injustice, and the essential freedom and dignity of man. Thus, people-centered development is associated with social values that enhance cultural integrity, communal self-reliance, social justice, and ecological harmony (Friberg and Hettne, 1985).

The Reorientation of Development Agencies: From Control Bias to Learning System

People-centered community development depends, to a large extent, on the actions taken by the development agencies that design and fund community development programs. The typical development agency is a product of its societal and cultural context. It is not surprising that Western development agencies, whether governmental or private, tend to model the assumptions of the dominant paradigm with its centralized, control-oriented, rational-bureaucratic approaches to management. The tendency of these agencies has been to use development management methodologies that attempt to respond to social problems through the meticulous preparation of blueprint plans by social engineers (Korten, 1981: 612; Gran, 1983: 275). Accordingly, it is believed that social problems can be fixed by the calculated

manipulation of experts.

Control orientations assume that there are no mysteries, doubts, or anomalies to interfere with the managerial task of determining (controlling) certain outcomes through the rational and systematic application of necessary inputs. To control is a causal construct:

> Every 'controlled' situation turns on the interaction of a causal factor and a dependent parameter such that any change in the former produces a predetermined change in the latter. The extent of our ability to control is, accordingly, a function of our knowledge. An understanding of cause-effect relationships in a specified domain permits us either to produce or to prevent some stipulated outcome. If our knowlege is complete, we can do so unerringly. (Landau and Stout, 1979: 149)

However, in the real world of management, especially when pertaining to the uncertain, unstable, and complex socio-political environments of community development, knowlege is never complete. In fact, some have called management the art of making decisions with insufficient information. Indeed:

> contrary to the proverbs of the day there is an inverse relationship between the ability to control and the ability to manage ... a controlled situation is one in which there exists both well defined objectives and a technology capable of achieving them ... But management is informed by a task environment that is unregulated, risk-bearing, and problematical ... management is, thus, an experimental process, the point of which is to discover that body of knowledge that eventually permits control." (Landau and Stout, 1979: 149)

Control-oriented Weberian models of organization, and the derivative management theories, have proven inadequate to the challenges of uncertain, unstable, and complex environments (Herbst, 1976: 20). To control, in contexts of rapid change and complexity, one must have knowledge. And to have knowledge, one must learn. The most auspicious lesson of the so-called 'development era' has been the failure (despite billions in expenditures) of uni-dimensional, production-centered development strategies to resolve social problems. The corrollary lesson has been the failure of control-oriented management strategies (used for production-centered development) to meet the administrative needs of people-centered development. Indeed, the blueprint, control-oriented planning methods have often excluded those responsible for implementation from participating in the decision-making (Korten, 1981: 612). These approaches have also lead to costly and ineffective analyses, inflexible and unnecessary constraints on managers, a reluctance to engage in critical evaluation or to recognize errors as learning resources, and inadequate management understanding of social and cultural realites (Rondinelli, 1983: 116-128):

> Effective development administration is unlikely to emerge from conventional principles, which emphasize comprehensive, detailed and control-oriented planning and management. In an uncertain and complex world, planning and administration must be adaptive. They require managers who can facilitate rather than control ... Adaptive administration requires skilled people who can act as catalysts ... It demands administrators who can respond creatively and quickly to changes, who are willing and able to seek out mistakes as they are discovered, and who can plan and manage simultaneously ... It calls for managerial systems ... that train administrators to join action with learning, to experiment, to test new ways of doing things and to be sensitive and responsive to the people they serve... (Rondinelli, 1983: 148).

The prospects for people-centered development and social transformation will be greatly enhanced as development agencies reorient their bureaucracies from management systems based on control toward adaptive-learning based orientations. Development agencies will also need to become enablers and facilitators of social learning at the local level (Bryant and White, 1984: 50; Rondinelli, 1983: 116). And, ultimately, social transformation will require commitments by development agencies to embark on strategies that lead to the increased capacity of local community organizations to manage their own destinies. The impetus for development agency reorientations will arise from the external pressures of community workers and beneficiaries combined with internal staff pressures as they network together in social learning coalitions (Bryant and White, 1984: 51; Korten, 1981: 614). Reorientation will need to include: 1) shifts from authoritarian, control-centered to participatory management systems; 2) decentralization and the devolution of administrative authority; 3) an experimental approach to policy-making and revisions in procedures in ways that will enhance participation and local capacity; and 4) strategic organization.

Management Reorientation: From Authoritative to Participatory Systems. Bureaucratric reorientation within development agencies will not only require changed attitudes and values regarding development, but will also require transformations in the paradigms that guide management practice. Such elements as job definitions, incentives, procedures, organizational procedures, etc. will all have to be scrutinized for their impact on the agency's ability to facilitate people-centered development (Morss and Gow, 1985: 121). In short, management systems will need to move away from reliance on control-oriented and authoritative bureaucracies toward participatory management systems that incorporate many of the ideals of self-management.

Chambers (1983: 211) notes that successful development programs have been based on participative learning approaches rather than through the efforts of hierarchical organizations. The traditional development agency approves blueprints

for social change by passing them through the checkpoints of the hierarchy. In contrast, the more successful learning approaches have relied on bottom-up decision-making systems (Korten, 1980; Moris, 1981). Hierarchical rational bureaucracies were developed for the needs of industrialization -- in particular the need for specialists. Unfortunately, because the specialist's expertise is in using analytical, not synthetic, skills, there is a tendency to "block out other relevant or even crucial information" (Bryant and White, 1982: 45). To correct this imbalance, Korten has argued that development management must be based on social learning rather than control-oriented scientific management:

> The key to social learning is not analytical method, but organizational process; and the central methodological concern is not with the isolation of variables or the control of bureaucratic deviations from centrally-designed blueprints, but with effectively engaging the necessary participation of system members in contributing to the collective knowledge of the system. (Korten, 1981: 613)

A bottom-up approach to creating knowledge and making decisions is the preferred approach for people-centered development. To become effective facilitators of people-centered development requires development agencies to practice participatory management within their own ranks, as well as to preach its virtues to the members of associated local organizations. Bureaucratic hierarchies are often assumed to be without alternatives. However, many have challenged this presumption:

> The central concept that hierarchy is inevitable and brings about the potential for greater efficiency, and thus that organizations must perforce be hierarchical warrants the most rethinking. If social learning and adaptation are important in order to improve the quality of information processed by the organization, then participatory processes are essential for greater effectiveness. If that is true for rural development organizations, then it may well be true for larger donor organizations as well. If it is most true under conditions of variability, then it is more likely to be true for donor development organizations which work with extraordinarily diverse recipient countries. (Bryant and White, 1984: 68)

Decentralization: The Structural Dimension of Participation. Related to the need for participatory management systems is its structural counterpart -- decentralization. Decentralization has been a major theme undergirding the movement to make development agencies more responsive to local needs and the distribution of program benefits more equitable. Through a process called devolution, many governmental and non-governmental development agencies, have decentralized authority to local branches and thus brought project planning and operations closer to the benefitting communities. The results have been generally very positive, usually produing a higher quality service and occasionally increasing local capacity for self-management (Rondinelli, 1983: 133-137).

Comparing the relative merits of centralized versus decentralized development agency structures, Honadle and Van Sant (1985) conclude that decentralized structures: 1) increase the speed of non-routine decisions and uncertain technologies; 2) are more productive, efficient, and satisfying; 3) increase the levels of communication between political authorities and local communities; 4) enhances the level of morale and contributes to initiative; and 5) facilitates client participation. However, on the other hand, decentralized structures have a number of potential weaknesses: 1) they require highly developed informal communications channels; 2) without financial discretion and efficient disbursement systems at lower levels, decentralization will not work; 3) they must consider the deficiencies in administrative knowledge and skills at the local level, requiring training programs in these skills prior to decentralizing management responsibilities; and 4) they sometimes produce hostile resistance from local level elites (p.16). One could add to the Honadle and Van Sant list the potential risk that the decentralization of authority will lead to either the creation of a new elite or to co-optation by the existing elite, rather than a more genuine empowerment of the poor.

However, many of the problems associated with decentralization can be minimized if the links between the agency and the local levels remain strong. Decentralization, when structured to facilitate learning, avoids both the inability of top-down centralized structures to process information from local units and the parochialism of purely bottom-up systems. Korten argues that decentralization should not lead to local autonomous functioning, but rather an interdependent linking between the development agency and the local community organizations. In this way, through feedback loops, each learns from the other (Korten, 1980: 480-511; Bryant and White, 1982: 169). The key to effective decentralization lies in the ability of development agency field workers to mediate between the needs of both the agency and the local organization, and to facilitate increases in the administrative capacity of the local organization.

No doubt, the appropriate structural form to meet the special needs of any particular development agency can only be discovered through experimentation -- and experiential learning. And, while decentralization is not an end in itself, it is an important method for increasing local capacity for social transformation. Some forms of central control will continue to be needed to assure the survival of the development agency and there will probably always be a need for some forms of both vertical and horizontal coordination (Bryant and White, 1982: 173). However, without coordination and effective two-way feedback channels, learning will not be dispersed mutually and all will lose. Thus the operating procedures of an effective development agency will

need to be built around social learning processes (Bryant and White, 1984: 68).

Herbst (1976) proposes several structural alternatives to hierarchical systems that have been proven effective and will likewise increase the effectiveness of decentralization strategies. Two of the more promising structures for decentralizing development agencies are the matrix and the network. In the matrix organization, each member has a specialization, but also has overlapping competencies with other members -- the structure integrates these overlaps. The matrix organization may serve as a good intermediary and consultative approach to structural decentralization. However, the most promising structural alternative for people-centered development and the most consonant with participative management systems is the network structure. A network structure is well suited for engaging in collaborative efforts to achieve common goals and is relatively fluid, creatively adapting the composition of groups to meet the specific needs of tasks or projects, and thus particularly appropriate for turbulent, fast changing environments. Networks are also appropriate for long term commitments to social change processes around which various organizations coalesce in solidarity.

> The primary function of the network is the development and maintenance of a joint learning process, and its productivity depends on the actual or evolving complementary skills of its members. Both in the nature of its task, its mode of organization and its process of functioning, a network is possibly as far removed from a bureaucratic hierarchical organization as it is possible to get. (Herbst, 1976: 34)

Learning is central to the network structure and the production of knowledge, through research, is a collaborative process of all organizational members. Korten emphasizes that in the strategic organizations of the future, lines of accountability will "look more like networks than hierarchies, and link the organization to its environment at many points and levels ... a concept ultimately more consistent with the concepts of a democratic society than that of the impermeable hierarchy" (Korten, 1984b: 349).

Policy Experimentation and Procedural Revisions. The implementation of participatory management and decentralization have been constrained by many factors including the lack of political will, bureaucratic resistance, poorly designed strategies, inadequate resources, socio-cultural values, lack of administrative infrastructures at the local level, and opposition from national and local elites (Morss and Gow, 1985: 107-137; Bryant and White, 1982: 35). These constraints have made the reorientation efforts of development agencies particularly challenging. However, coalitions of pressures external and internal to the organization, are capable of gradually overcoming these obstacles through incremental changes in the policies and procedures of the agency.

An experimental approach to testing potential policy builds knowledge and provides credible evidence to the policy-makers for whether a new policy should be adopted, or an old one dropped. Rondinelli (1983: 19-25) argues persuasively that an experimental approach to testing policy proposals is an essential method of social experimentation. He suggests the systematic use of pilot projects that focus on effectiveness, demonstration projects that are concerned with making effective practice more efficient, and replication projects that are concerned with expanding and adapting an effective and efficient concept to other contexts. Policies that are grounded in the lessons of experience are likely to be more appropriate. For Rondinelli the adoption of learning-based approaches to planning and administration:

> requires planners and administrators to view social problem-solving as an incremental process of social interaction, trial and error, successive approximation and social learning. Such an approach requires an institutional context quite different from that of Weberian bureaucracies. (1983: 128)

Some of the policies needed for authentic participatory management and decentralization could "prove themselves" through experimentation.

A number of procedural and policy issues need to be revised in order to facilitate participation and decentralization. For many of these, experimentation is not needed, as there is sufficient existing evidence justifying their implementation. For example, incentives should be given to managers who are willing to engage in participative management experiments, to identify errors associated with its practice, and to document important lessons learned. Specific procedures are needed to link the participatory learning that takes place at local levels with the development agency. Training programs should emphasize new styles of problem solving -- ones that integrate analytic and synthetic learning styles and that are concretely grounded in actual problems or projects. The management functions of project design, implementation, and evaluation also need to be unified into a single process and involve the same persons throughout (Bryant and White: 1984: 52-58; Rondinelli, 1983).

Guy Gran (1983: 274-289) has also identified some procedural issues that must be addressed. Gran points out the incompatibility between grassroots participative administration and large-scale development. The powerless are not prepared to handle the scale of these efforts and may become dependent on outsiders. Large-scale projects tend to receive high visibility and high donor expectations but, in the long-run, the benefits are not sustainable because the local populace was not involved in the project's inception or management. For people-centered development, small is definitely "beautiful." Big merely satisfies the needs of outsiders. Likewise, Rondinelli, Gran, and others have pointed out the need to keep administrative

procedures simple and practical for the local organization members. Gran also argues that people-centered management systems must be flexible in how goals are determined and changed, and that project cycles, funding arrangements, and reporting requirements should consider the needs of local organizations, as well as those of the donors.

For Gran, First World development consultants have traditionally failed in many respects, including their lack of follow-up with their Third World clients, the enormous socio-cultural gap it manifests, and its intellectual subservience to the power-brokers. Chambers has echoed these complaints by arguing for a new professionalism in which the values of development agency professionals are transformed. Chambers believes that development professionals need to become more holistic, less analyical and narrowly bound to particular departments or disciplines. Development agency visitors must learn to sit more with the poor, ask more questions, and listen more intently in order to learn from them and to begin to grasp the richness of indigenous knowledge. In short, outside consultants and agency personnel need to continually search for deeper levels of understanding about the realities of the poor and to become their advocates.

Both Chambers (1983) and Gran (1983) believe that participatory research and evaluation are essential, and interconnected, dimensions of management practice, as well as being important avenues for empowerment. Evaluative standards and indicators should be established by the clientele according to their values, be applicable to their realities, and include socio-cultural considerations such as levels of consciousness and values (Gran, 1983).

The Strategic Organization and Social Learning. In the corporate world, those enterprises which have excelled since the '60s have developed "strategic behavior," the ability to "establish and maintain new relationships to their environment...and address changing social values, not as a threat, but as a challenge to redefine their roles in more humanly satisfying ways." (Korten, 1984b: 343) Similarly, development agency bureaucracies must be reoriented to become "strategic organizations" that are capable of implementing "people-centered" development programs.

Many firms began to experiment with strategic planning as a deliberate attempt to anticipate the demands of the future in a rapidly changing, turbulent environment. Assuming that careful and precient analysis could anticipate the future and avoid inefficient trial and error learning, many firms implemented long-range planning processes. However, strategic planning produced plans, not action. Gradually, structural and procedural impediments to change were recognized,

along with a growing appreciation for the experimental trial and error approach to learning and change. Eventually, management theory produced a conceptualization referred to as the "strategic organization" which recognized the need for the integration of social and analytic processes within the organization, along with a proactive and adaptive interaction with the environment. The strategic organization develops strategy based on the participation and interaction of all organizational members. The strategic organization learns from experience and responds to the changing demands of the environment by either adapting to or changing the environment (Ansoff, et al., 1976; Naisbett, 1982; Peters and Waterman, 1982; Ouchi, 1981; Zaltman and Duncan, 1974; Thompson, 1967, Korten, 1984b; Rondinelli, 1983: 140).

Korten (1984b) suggests that there are several levels of strategic competence. Under Level 0, the organization uses bureaucratic management and has virtually no strategic competence. It is compliancy and control-oriented and functionally organized. Meeting the budget is the priority in the organizational culture. Under Level 1, the organization uses forecast-based planning and has developed the ability to budget and anticipate the future based on historical trends. "Its strategic stance is predominantly reactive. Problem solving action is generally triggered by an unsatisfactory performance history--a substantial gap between actual and desired outcomes." (1984b: 343). The dominant value in the organizational culture of level 1 is the accurate prediction of strategic implementation, i.e., meeting goals as originally forecast. At Level 2, the operating mode is strategic management. At Level 2, top management has strategic planning staff to assist in the identification and evaluation of strategic options and to assist in the application of an analytical problem solving process. At Level 2, strategic thinking is an important virtue in the organizational culture. However, strategic thinking is the domain of the top management and is not a concern of middle management or operational levels.

Organizations at levels 0, 1, and 2 are bureaucratic in structure and orientation. In contrast, at Level 3, the Strategic Organization is the result of a complete transformation in the organizational culture. The key managerial concern for the Strategic Organization is not the strategic decision-making process. Instead, the essence of a functioning strategic organization is its capacity for strategic action. The strategic organization has moved out of a reactive mode and is proactively "engaging in the creation of its own future." (Korten, 1984b: 344).

People-oriented development programs focus on concerns for participation and equity. However, the relationship between administrative systems and the effectiveness of participatory development programs was given little attention until the mid 70s. It became increasingly apparent that the bureaucratic administration

model (the blueprint approach) simply did not fit the needs of people-centered development. By the mid 1980s, many in the field of development administration were calling for radical reconceptualizations in order to produce more appropriate approaches to managing social change. Eventually, the notion of the strategic organization was applied to the development administration field with the consequent emphasis on experiential organizational learning. Some, with Korten at the forefront, called for the management of social transformation through a social learning process:

> Advocacy of rigid, blueprinted planning methodologies and control systems had given way to...social learning processes ... and the significance of social interaction as the basis of evolving new policy directions has been demonstrated ... Empowerment of the people and the reorientation or de-bureaucratization of development bureaucracies to support that empowerment have become central themes.
>
> Social learning theory provides the theoretical foundation on which the approaches and methods of the new development management are being built. Thus rather than seeking to transplant the institutions of industrial society, the focus of this theory is on facilitating institutional learning processes by which ... institutions can use their own experience to drive a capacity building process involving iterative cycles of action and reflection. Community management and local self-reliance are key ... recognizing that development is ultimately achieved by individuals, families and communities that have the freedom and the opportunity to create a new future of their own choosing through a melding of local and external knowledge and resources. (Korten, 1984b: 346-7)

Social Learning Curves. Korten's study of successful Asian development projects (1980) revealed that common to each was the use of a learning process as opposed to a bureaucratic-blueprint approach to management. Each of the successful projects had developed unique "fits" between beneficiaries, the program, and the assisting organization:

> Each emerged out of a long-term learning process in which villages and program personnel shared their knowledge and resources to create a fit between needs, actions and the capacities of the assisting organization. Each had a leader who spent time in the villages with an idea, tried it, accepted and corrected his errors, and built a large organization around the requirement of what he learned. (Korten, 1984a: 182)

Each managed to avoid the pitfalls of blueprint planning in which, the development-assisting organization "moves too much money too quickly in time bounded, pre-planned projects in pursuit of short-term results..."(1984a: 177) Each followed a process that was flexible, sustainable, experimental, capacity -building, action-oriented. Program planners were also involved in program implementation. The process each followed can be broken down into three stages. Stage 1, learning to be effective, is action-oriented and experimental. Development efforts emphasize

learning through trial and error in the search for the most effective approach to solving the particular problem. Stage 2, learning to be efficient, is normally the first concern of a bureaucratic orientation. In this conceptualization, it follows the concern for effectiveness. Stage 2 includes the elimination of non-productive activities and the simplification of problem-solving processes. In Stage 3, learning to expand, the main concern involves transferring what has been learned in the first two stages to a broader context. Stage 3 involves increasing the capacity of the local organization as it focuses on developing skills, management systems, structures and values (1984a, p. 184). Figure 2.8 illustrates the learning curves indicating the path for successful project maturation according to the social learning paradigm.

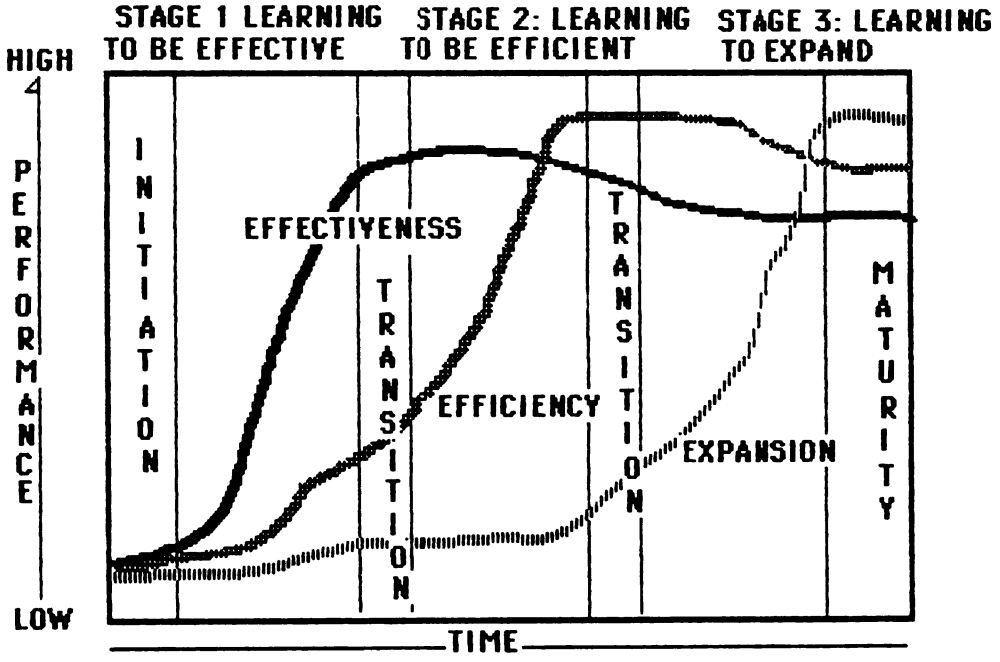


FIGURE 2.8

KORTEN'S MODEL OF ORGANIZATION DEVELOPMENT LEARNING CURVES (1984A: 183)

Chapter III
Experiential Social Learning and the Management of Social Transformation

The foundations for a new approach to development management have been described in Chapter II, including the contemporary trends in development theory, the emergence of the social learning paradigm, its intellectual heritage and epistemological foundations, and the concurrent development of new approaches to management. Chapter III proposes to extend the arguments made in Chapter II by defining the parameters of a new approach to development management. The proposed Experiential Social Learning Framework is derived from the social learning paradigm and incorporates the experiential learning theory of David Kolb, the social learning conceptualizations of John Friedmann and David Korten, and a synthesis of stage development theories.

The first major section of Chapter III describes the conceptual components used for the construction of the model. The second section describes the synthesis of the various components into an holistic framework. The relationship between organizational factors and the Experiential Social Learning model are decribed in the third section. In the fourth section, the potential relationships between Experiential Social Learning and social transformation are described. And, in the last section, the major points of Chapters II and III are reviewed with some concluding remarks.

Our Point of Departure

Experiential Social Learning, as an holistic framework, is a process for effecting social change in organizations, communities and, ultimately, the world system. Its parameters, as management theory, are far from conventional. Indeed, the Experiential Social Learning framework not only proposes a set of principles for managing social transformation, but also provides the methodology needed for implementation. As an eclectic theory of the social learning paradigm, its practice-oriented applications are also eclectically diverse. Communities, organizations, and institutions will find this model potentially useful. Thus, educators, managers, and community development workers will be interested in testing the usefulness and validity of this theoretical construct. Much more research than what is proposed here will be needed to fully test these propositions.

Toward Construction of a Theoretical Framework

An extensive survey of the literature led to the selection of several key components used for the development of a synthetic model of the emergent social learning paradigm. The primary contribution to the construction of this model is derived from the experiential learning theory of growth and development as postulated by David Kolb, [see: Kolb and Ronald Fry (1975), and Kolb (1984)]. With this theory providing the foundation, the model is elaborated with the addition of several key concepts from the emergent paradigm of social learning as conceptualized by John Friedmann and David Korten. Friedmann's (1979b; 1984b) primary contribution is his development of a social learning model that considers the four key concerns of a social learning group. Korten's (1984a, 1984b) theory, which associates social learning with successful development projects is another contribution to the model. Finally, the model applies a synthesis of stage developmental theories. The synthesis proposes a three-stage developmental process is drawn from a variety of complex and influential theories in the cognitive, intellectual/ethical, personality, and consciousness domains of learning.

Kolb's Experiential Learning Theory

David Kolb, together with Ronald Fry, produced a seminal conceptualization of experience as the source of learning and development in a 1975 article entitled "Towards an Applied Theory of Experiential Learning". In this article, Kolb and Fry outlined a theory that extended contemporary understanding of group processes and experiential learning . Contributions included: 1) an integration of cognitive and socio-emotional perspectives on human learning and development ; 2) consideration of the role of individual learning styles; 3) the inclusion of the concept of growth and development in the experiential learning model; and 4) some preliminary propositions on the creation of a model of learning environments commensurate with the experiential learning process (Kolb and Fry, 1975: 34). Their experiential learning model (Figure 3.1) was developed by borrowing from disparate sources. Preeminent among them were John Dewey's thoughts on experience and education and Kurt Lewin's pioneering studies of human learning and development. Figure 3.1 illustrates the foundation for the experiential learning theory of growth and development, which is subsequently depicted in Figure 3.3.

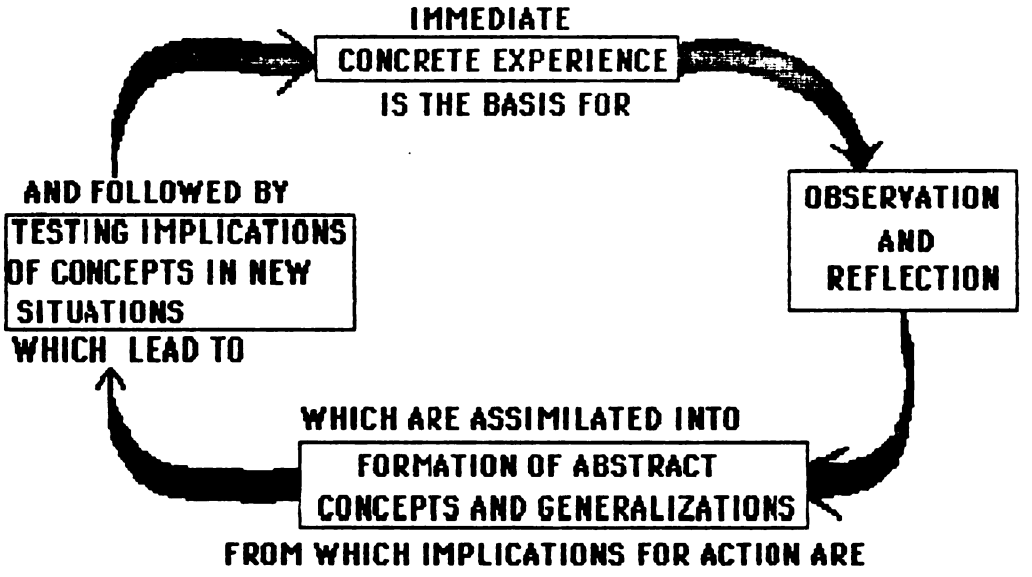


Figure 3.1

Kolb's experiential learning model (Doherty, et al., 1978, p. 24)

In this model, learning is conceptualized as a four-stage process in which concrete existential experience is followed by collection of data and observations of the experience, which is used for analysis of the data. Conclusions then form the basis for behavioral modification and selection of new experiences.

Central to the Kolb and Fry theory is the concept that learning and change result from an integration of concrete emotional experience with cognitive processes. Kurt Lewin and his colleagues (Lewin, et al., 1939; Lippitt, 1949) had previously demonstrated that effective learning takes place in an environment which fosters "dialectic tension and conflict between immediate and concrete experience and analytic detachment." Consistent with Lewin and other learning theorists, Kolb and Fry conclude that "learning is by its very nature a tension and conflict-filled process" (Kolb and Fry, 1975: 35). Effective learners need to develop learning abilities applicable to each of the four stages of the learning process. Accordingly, the effective learner (or learning group) requires abilities appropriate to the tasks of Concrete Experience (CE), Reflective Observation (RO), Abstract Conceptualization (AC), and Active Experimentation (AE).

However, Kolb and Fry indicate that most individuals have a dominant learning style that is weak in certain stages and stronger in others. In order to improve learning abilities, the learner is confronted with the tension between trying to be active and reflective, on the one hand, and between trying to be concrete and abstract, on the other. Hence, the essence of the dialectical tension inherent to

experiential learning has two basic dimensions (depicted in Figure 3.2) in the concrete/abstract continuum and the active/reflective continuum. The effective learner acquires the increasing ability to assume the opposite roles of actor/observer and the opposite tasks related to existential involvement and analytic detachment (Kolb and Fry, 1975: 36).

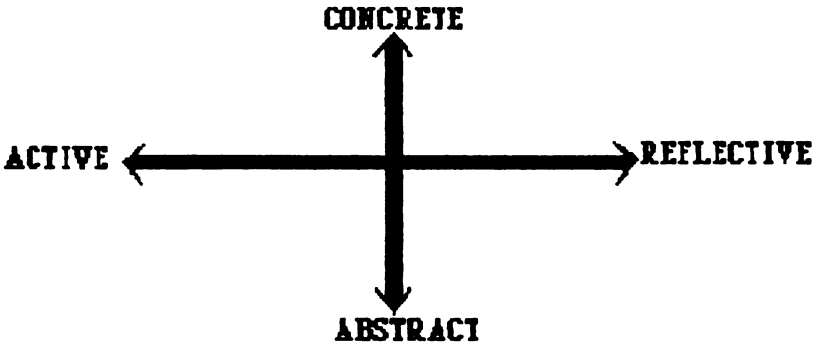


Figure 3.2
Dialectics and the Experiential Learning Process

A varied combination of genetic and environmental factors, together with past life experiences, result in the development of learning styles that emphasize some learning abilities over others. As a result of socialization, most people tend to resolve the dialectic tension between active/reflective, and between being immediate and analytic. People select those activities, academic disciplines, and careers that more closely match the favored learning style. Kolb and Fry (1975) created a method for coding individuals according to their learning style, called the Learning Style Inventory. They discovered four statistically prevalent types of learning styles, which they labelled: the Converger, the Diverger, the Assimilator and the Accommodator.

The Four Learning Styles

The Converger's dominant learning abilities are Abstract Conceptualization (AC) and Active Experimentation (AE). The Converger has significant abilities in the practical application of ideas to problem solving and decision-making situations. Convergers are relatively unemotional and more task-oriented than people-oriented. Persons with this learning style excel in the discovery of practical uses for ideas and theories. The Converger tends to select careers that allow use of these skills. The Converger is often a technical specialist in technical fields such as engineering, medicine, computer science, or physical science (Kolb, 1984, 127).

A group which operates with a predominant convergent style prefers technical tasks and problems rather than social and interpersonal issues. This converger group will demonstrate remarkable ability to find practical solutions to complex problems. Convergent skills are particularly useful for developing political strategies for overcoming opposition and for building powerful coalitions. However, a converger group, with its problem-solving zeal, will solve the wrong problem or make overly hasty, non-reflective decisions. Such patterns often lead to short-sighted vision and emphasis on the symptoms to problems rather than their causes. A group with weak converger skills will lack focus and fail to experiment with, and test, new ideas. A converger group with optimal effectiveness demonstrates creative ways of thinking and doing, experimentation with new ideas, and rational goal-setting/decision-making (Kolb, 1981; Smith and Kolb, 1986).

The Diverger's dominant learning abilities are opposite to those of the Converger and tend toward Concrete Experience (CE) and Reflective Observation (RO). The diverger has significant abilities in creative imagination, such as brainstorming. The diverger is able to "view concrete situations from a variety of perspectives and to organize many perspectives into a meaningful 'gestalt'" (1975, 38). The diverger is usually 'people oriented' and emotional. Many divergers in the Kolb study of university students had backgrounds in the liberal arts or humanities. The Diverger prefers to pursue careers in the arts or entertainment or with service organizations with jobs such as counsellors, social workers, personnel managers, planners, and management consultants (Kolb, 1984: 127).

A group with a dominant divergent style will demonstrate a tolerance for many different points of view. The group will enjoy and effectively use brainstorming sessions as a means for recognizing problems and gathering information. Effective problem-solving by a divergent group requires imaginative ability and sensitivity to individual feelings and cultural diversity. The divergent group encourages the articulation and the development of social values. A group with a predominant divergent style risks being paralyzed by alternatives and an ability to make decisions without complete consensus. On the other hand, a group without divergent skills risks being unable to extract the creative input of its members and the subsequent incapacity to recognize problems and opportunities. An effective divergent group will demonstrate a high degree of sensitivity to people's feelings and values -- manifested by open-minded listening and non-dogmatic attitudes. The divergent group will also effectively gather information and creatively imagine the implications of ambiguous situations (Kolb, 1981; Smith and Kolb, 1986).

The Assimilator's dominant learning abilities are Abstract Conceptualization (AC) and Reflective Observation (RO). The most significant ability of the Assimilator is the capacity for theory construction, which is related to excellent inductive reasoning skills. As such, the Assimilator is able to take a wide range of information and put it into a concise, logical form. Similar to the Converger, the Assimilator is less inclined toward people and tends to be committed to the practical application of theoretical constructs. Many Assimilators pursue careers in the fields of education, the ministry, sociology, the law -- with jobs such as teachers, writers, librarians, ministers, or college professors. Others become researchers and planners, with special expertise in the sciences (Kolb, 1984, 127).

A group with a predominant assimilative style tends to focus more on abstract ideas and concepts than on the feelings and values of people. Generally, a group with this learning tendency will emphasize the logical soundness of a theory, rather than its practical value. This learning style is critical for the group to be able to articulate and eventually improve theories of reality (or those ways which the group tends to explain the world in symbolic terms using religious, philosophical or ideological systems of thought). The Assimilative group excels at planning, creating models, defining problems, and developing theories. Predominant assimilator tendencies leave the group at risk for being too abstract and unrealistic, with few practical applications to problems or opportunities. On the other hand, a group without assimilator competencies risks an inbility to learn from mistakes, with no sound or systematic approach to its tasks or problem-solving needs (Kolb, 1981; Smith and Kolb, 1986).

The Accommodator's dominant learning abilities are opposite to those of the Assimilator and tend toward Concrete Experience (CE) and Active Experimentation (AE). The Accommodator is a 'doer' and excels at implementing plans, experimenting, and becoming immersed in new kinds of experiences. The Accommodator is a risk-taker and is at ease when accomodating to unique and immediate circumstances. The Accommodator is more inclined to use an intuitive and trial and error approach to problem solving, and will rely on people rather than analytical skills for information. The Accommodator prefers to learn through hands-on experience. Accommodators tend to pursue administrative or managerial roles in organizations and businesses. They specialize in fields such as management, educational administration, public administration, banking, government, marketing, sales.

An Accommodating group will enjoy carrying out plans and becoming involved in new and challenging experiences. The Accommodator group will tend to act on "gut" feeling rather than on logical analysis. Problem-solving by an

accommodative group will demonstrate a reliance on people rather than technical analyses. The skills of this learning style are critical for effective action and implementation, especially when the plans and strategies call for collective action. Accommodator strengths include an ability to get things done, leadership, and risk-taking. An inherent risk to this style is for the group to concentrate its energies on trivial or meaningless activities. However, a group that fails to employ Accommodator skills will risk the creation of impractical plans, activities that do not contribute to meeting goals, and an inability to complete or implement planned activity. A group that effectively employs the accommodator style will be 1) committed to objectives; 2) seek new opportunities; 3) influence and lead others; 4) be involved on a personal level; and 4) lead and inspire others (Kolb, 1981; Smith and Kolb, 1986).

Experiential Learning and Development

The Kolb and Fry model also includes a normative consideration of human development that is divided into three broad developmental stages. The experiential learning theory is an attempt to describe the "process of human adaptation to the social and physical environment." It is an holistic theory in which the "emergence of basic life orientations is a function of dialectic tensions between basic modes of relating to the world" (p. 40). From this perspective, learning is the central life task and how one goes about learning will impact the stage development of individuals.

The three stages include Acquisition, Specialization and Integration. Sequential development is partially correlated with age. However, age does not determine stage progression. In the Acquisition stage, which extends from birth to adolescence, the learner acquires basic learning skills and cognitive structures. In the Specialization stage, which extends through early adulthood, the learner is highly influenced by various socializing forces. Development during this stage focuses on a particular learning style as individuals specialize in those skills needed for particular life tasks. In the third stage, Integration, the individual reasserts and utilizes the non-dominant learning styles, which were de-emphasized during the specialization stage. While other learning styles are equally important to an effective experiential learning process, the dominant adaptive mode is more highly rewarded in the individual's area of specialization and, consequently, other modes are given low priority. In the Integration stage, the non-dominant styles are given more attention and become more highly integrated as significant parts of an interdependent and holistic learning process. Individuals at this stage cannot be correlated with precision to age groups, but tend to be those people who have entered a period of dramatic increases in creativity, greater risk-taking and innovation, career and lifestyle

changes, and shifts in theories of reality and social values.

There are barriers to developmental stage progression. Kolb and Fry refer to various theories that discuss these developmental obstacles and cite interpretations from Paulo Freire (1973b), Chris Argyris (1962), Carl Jung (1923), and Carl Rogers (1961). In essence, the fundamental obstacle to development from Stage 2 to Stage 3 is a consequence of socialization pressures on the individual and their impinging effects on the natural tendency of individuals to move toward self-actualiztion. Kolb and Fry explain that:

> It is the personal experience of this conflict between social demands and personal fulfilment and the corresponding recognition of self-as-object that precipitates the individual's transition into the integrative stages of development. The experience can develop as a gradual process of awakening that parallels specialized development in stage two or it can occur dramatically as a result of a life crisis such as a divorce or losing one's job. Some may never have this experience, so immersed are they in the societal reward system for performing their differentiated specialized function.
>
> With this new awareness the individual experiences a shift in the frame of reference he uses to experience life, evaluate activities and make choices. The nature of this shift depends upon the specifics of the individual's dominant and non-expressed adaptive modes. For the reflective person the awakening of the active mode brings a new sense of risk to his life. Rather than being influenced he now sees opportunities to influence. He can shape his own experience rather than observing and accepting experiences as they happen to him. For the person who has specialized in the active mode the emergence of his reflective side broadens his range of choice and deepens his ability to sense implications of his actions. For the specialist in the concrete mode the abstract experience gives new continuity and direction to his experience. The abstract specialist with his new sense of immediate experience finds new life and meaning in his constructions of reality.
>
> The net effect of these shifts in perspective is an increasing awareness of self as *process*. A learning process that has previously been blocked by the repression of the non-specialized adaptive modes is now experienced deeply to be the essence of self. (Kolb and Fry, 1975: 30-31)

This stage growth theory parallels Maslow's (1962) hierarchy of needs pyramid in which movement to higher stages exemplifies a progression from dependency to greater independence and interdependence -- from passivity and defensiveness to greater levels of activism, self-direction, and self-actualization. Stage growth also leads to highers levels of complexity and relativism in interpreting experience. At the integration stage, the dialectic conflicts between the four primary adaptive modes -- Concrete Experience, Reflective Observation, Abstract Conceptualization and Active Experimentation -- are more closely integrated and the learning process is transformative.

Adapative modes are associated with four key dimensions of human growth and development. As developmental progression takes place in the Concrete Experience Mode, it is accompanied by increases in affective complexity. Development in the Reflective Observation mode leads to greater perceptual complexity, whereas comparable development in the Abstract Conceptualization mode is associated with increasing symbolic complexity. Finally, increases in the Active Experimentation mode lead to higher levels of behavioral complexity.

In early stages, increases in the skills related to the affective, perceptual, behavioral and symbolic dimensions can occur independently. Thus, a person might be sophisticated at the symbolic level of moral judgments, but be immature when it comes to moral behavior. Or, likewise, a child or young adult may have highly sophisticated symbolic skills but be naive at the emotional level. At the higher levels, there is a yearning for more creativity and positive change, resulting in experimentation with other adaptive modes. As the four adaptive modes become more highly integrated, the four dimensions of growth also have the opportunity for greater maturation and integration, which may enrich the learning process. Although increasing maturity in one dimension may advance at a faster rate than other dimensions, there tends to be spillover. For example, increasing symbolic complexity is associated with subsequent increases in perceptual, behavioral, or affective possibilities.

The Experiential Learning Theory of Growth and Development

Figure 3.3 illustrates the complete Kolb and Fry model of the experiential learning theory of growth and development. The four dimensions of growth are represented by the conical shape , the lower portions of which represent the early developmental stages. The apex of the cone represents the stage of development in which the four dimensions are well integrated and in which the experiential learning process is functioning optimally with ongoing dialectic conflicts between the adaptive modes (CE, RO, AC, AE). Figure 3.3 also illustrates the relationships among learning styles, adaptive modes, and developmental dimensions within the context of the three-stage model.

An individual with a particular learning style could be represented by this model using the four data points marked onto the vertical developmental dimensions. An individual with a dominant learning mode will tend to mature more rapidly in those developmental dimensions associated most closely with that particular style. The other dimensions will tend to lag behind until their more complete integration in Stage Three.

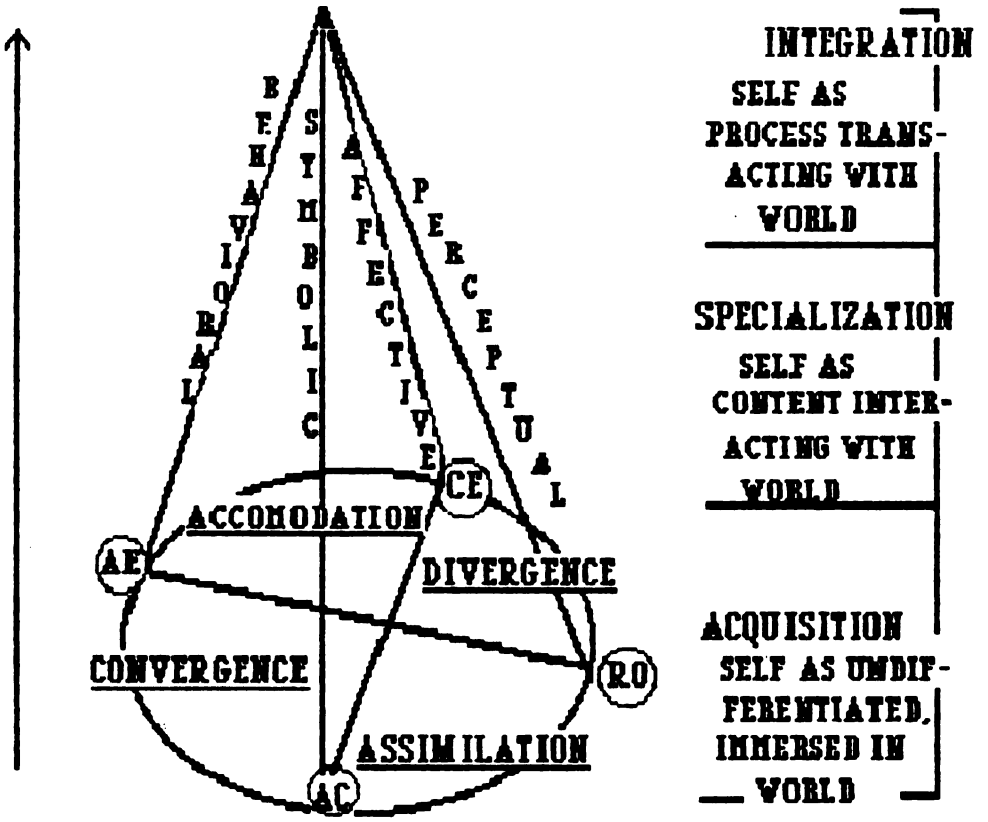


Figure 3.3
The Experiential Learning Theory of Growth and Development

In this model, regression from one stage to another is possible. Furthermore, multiple and incremental advances toward the Integration Stage are possible, and, indeed, probable prior to a more complete integration of developmental dimensions and adaptive modes (Kolb and Fry, 1975; Kolb 1984). While this model of development oversimplifies a myriad of complex phenomena related to human development, it does provide a significant basis for drawing hypotheses regarding the relationships between experience, learning, and development. Its power lies in its ability to provide a relatively simple framework for understanding a complex array of developmental theories. Consequently, the Kolb and Fry model is a significant contribution to the creation of the theoretical framework of this study.

John Friedmann and Social Learning

Friedmann, a visionary urban planner, has argued that shifting theoretical perspectives regarding planned social change are foreshadows of an emergent paradigm. This emergent paradigm challenges the positivistic assumptions that have guided "technocratic" planners during most of this century. In essence, the

shift moved the locus of intellectual thought away from a "blueprint" approach and toward a social learning approach. The "blueprint" model relied on the wisdom and training of the qualified technocrat -- the social engineer -- for resolving complex social problems and designing a better society. The "social learning" model, in contrast, emphasizes planning with people rather than for people (Friedmann, 1981: 190-191).

The Social Learning Paradigm

Contrasting social learning with technocratic/blueprint social planning, Friedmann describes social learning as an approach to planning in which "practice would be joined to theory within a single movement involving four intersecting dimensions" (1984b: 191). Figure 3.4 illustrates the social learning paradigm as envisioned by Friedmann. According to this conceptualization, Collective Action refers to a stream of ongoing events to change reality; Political Strategy refers to how a group plans to overcome resistance; Theories of Reality refer to how the world is explained; and Social Values are those priorities which inspire and direct group action. Theories of reality change as experiential learning demonstrates the inadequacy of existing theories of reality. In this model, the four dimensions are presented as conceptually distinct. However, in actual practice, they are interconnected and overlapping. The model is iterative and involves an evolving interaction between the four interdependent dimensions.

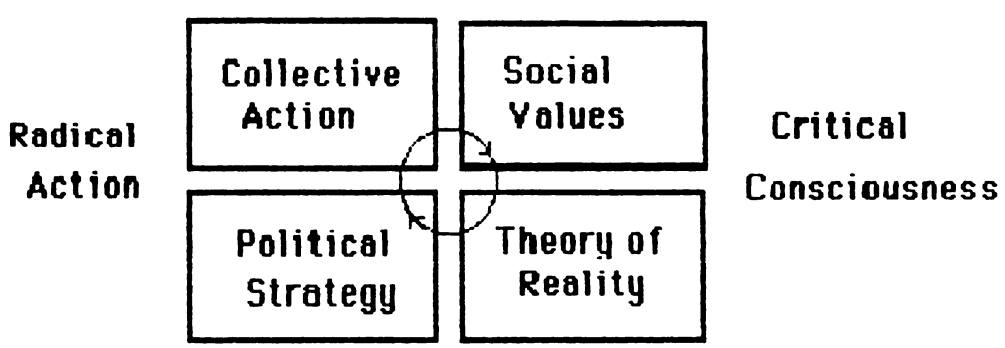


Figure 3.4
The Friedmann Social Learning Paradigm (1979b)

Friedmann provides various definitions for the four dimensions of the social learning process (1979b: 52; Friedmann and Abonyi, 1976: 933)[1]. Each definition is then followed by additional insights from Friedmann (1979b: 53-75):

1. Theory of Reality: a symbolic representation and explanation of the environment confronting an actor. It defines the actor's situation and his role in it.

*a theory of reality is an attempt to interpret the world. It gains validity only as it is tested in practice. A theory of reality is a working hypothesis.

*Theory is correct (as opposed to good or bad) when it leads to successful strategies and actions. It is incorrect when it does not. Incorrect theories are replaced with more correct theories; i.e., subjective theory is tested by objective experience and the dialectic conflict between the two results in a more adequate theory.

*Theory applied to social practice provides insights for both task specific experimentation and how the environment relates to the task.

*"All statements about reality are theories that go beyond mere observation of isolated phenomena to the construction of meanings. Our realities are images of the interpreted world that, in the final analysis, rest on metaphysical assumptions." (1979b: 60) To choose a theory is an act of faith.

2. Social Values: can be described as an holistic image of a desired future or a set of discrete decision criteria. "In the first, more comprehensive sense, the actor will seek to actualize his values and so transform present reality in accord with his image of what the world should be. In the second, narrower meaning, norms are used to make valuations that lead to the selection of appropriate strategies for action."

*Social values are a point of origin for action and a point of reference for reflecting on action, they lead into dialogue and the dialectics of practice.

*Practice is guided by social values that are in a continual process of becoming. Social values change as they are impacted by two sources: an aspiration for a better world -- in effect a utopian vision-- which Friedmann calls the "Good Society"; and the refining and reshaping of values that comes from practice.

*the essence of being human is, in part, social -- we cannot live in isolation-- in our interaction we influence each others' values.

*all human beings are inborn with a capacity for moral judgments and through dialogue and the dialectics of practice all can move to higher levels of moral judgment.

3. Political Strategy: A course of action chosen as the one most likely to lead to the desired outcome.

*Political strategems provide the guidelines for the political struggle against oppression and opposition. At the same time they provide a basis for dialogue.

[1] The 1976 definitions are cited due to greater conceptual clarity

*Social transformation requires the acquisition and use of power in order to implement the goals of the "Good Society". However, this power must be based on non-violence, otherwise it contradicts dialogue as the chosen method for change. When dialogue falters, strategies should be expanded to include civil disobedience and other forms of non-violent social protest.

4. Collective (social) Action: The practical measures that are taken to implement the preferred strategy.

*"All radical practice starts with action and returns again to action" (p. 72)

*When the experiences of collective action lead to a divergence between expectation and realization, then the political strategy, theory of reality , social values and collective action are examined for congruency and subsequently the possibilities of revision, redirection or maintenance are considered. The more that must be changed, the more traumatic the experience.

* The group engaged in collective action is held together by dialogue among its members as well as the solidarity that ensues from a common struggle.

*Collective action takes place in the micro-environment as an experimental endeavor.

*When social learning groups join together to form a social movement, the diversity and the uniqueness of the individual groups are preserved and in this diversity the movement achieves greater strength. Consensus will be sought by participating groups through a process of consultation and dialogue.

*Social learning proceeds from collective action.

Friedmann and Experiential Learning

The essence of this model parallels the experiential learning theorists in its central assumption that all effective learning comes from the experience of changing reality (Friedmann, 1984b: 349). Citing the concept of "double loop" learning (Argyris and Schon, 1974; 1978; Argyris, 1982), Friedmann asserts that social learning will result in changes in the actor's theory of reality, values, and beliefs. These changes will involve major cognitive restructuring that impacts the self-concept, human relations, perspectives on formal authority, and how social costs and benefits are distributed (Friedmann, 1984b: 310).

Similar to Dewey's and Kolb's emphasis on experiential learning, social practice is the fundamental and guiding element in this conceptualization. Friedmann sees theory as a response to practice (or in Kolb's model, reflective observation and subsequent abstract conceptualization follow concrete experience). Theory is thus shaped by practice, even as theory informs practice. With practice or experience providing the preliminary impetus for the social learning process, the validity of existing theory is subsequently evaluated:

> If the currently held images of the world support success, then all is well. But if the results are negative and unexpected, as they often are, further inquiry must be conducted. Initially, this may lead only to questions about strategy, but eventually the theory itself will have to be examined. And finally, it may even become necessary to question the actor's operative values in the situation ... in this model ... the process of 'planning' comes to be embedded in the undifferentiated process of the action itself. (Friedmann, 1984a: 192)

Friedmann and Participatory Action Research (PAR)

The Friedmann conceptualization of social learning parallels key elements of the PAR mode of knowledge creation. For example, Friedmann indicates that social learning requires an interactive and "transactive planning" process in which the researchers or professional planners collaborate in mutual learning with the local organization. In addition, mutual learning should be guided by "dialogue" conducted in an atmosphere of trust. Small group learning cells (optimally seven to nine members) is the recommended approach to implementing an effective social learning process. Each members' participation contributes to group synergy, the whole group being greater than the sum of its parts. The professional planner or researcher becomes a co-learner with the client group and a facilitator of learning processes rather than the disseminator or collector of information. Under the social learning model, dialogue would result in an exchange of "personal" and experiential knowledge with "processed"/theoretical knowledge between the client group and consultant.

Similar to the adherents of participatory research, Friedmann criticizes the epistemological assumptions of positivistic science and , in particular, the notion that the social scientist can or should be "objective" or value-free. Value commitments are implicitly present in any human endeavor. The social scientist has a responsibility not only for recognizing underlying values and to explicitly state them, but also to unapologetically embrace value commitments (Friedmann, 1978, 1979b, 1984a).

An adaptation of the Friedmann conceptualization forms an important component of the theoretical framework of this study. David Korten's understanding of the relationship between social learning and development project success is the next component to the framework.

David Korten and Social Learning

In the field of development administration, David Korten has been an influential voice in calling for the reorientation of development agency bureaucracies in order to facilitate social learning processes. Based on his case studies of numerous Asian development projects, Korten concludes that the common factor leading to successful project outcome is the learning process approach to project administration

and management (1980). Korten challenges the notion that conventional and bureaucratic/rational approaches to managing development are adequate for the tasks of participative community development. He argues that a process of "social learning" provides a more appropriate model for accomplishing the management of social transformation (1980, 1981).

Convergences with Friedmann

Both Korten and Friedmann see social learning as the emergent paradigm for people-centered development strategies in the post-industrial era. The key to social learning is not rational analysis and bureaucratic planning and control as it is for the blueprint approach, but rather the organized learning process in which system members actively participate in the production of collective knowledge and decision-making. The obstacles to applying social learning are enormous. The industrial, production-oriented paradigm continues to be the dominant guide for the management of development programs. The priorities of large bureaucracies and monolithic institutions are on pre-planning, order, quantification, and external control. For the most part, these institutions have been unresponsive to the call for their reorientation and fundamentally unsympathetic to the objectives of social transformation. Nevertheless, social learning can begin to make inroads if organizational stakeholders begin to see the practical advantages of innovative vs. maintenance learning modes. (Botkin et al., 1979; Korten, 1981, 1984a, 1984b; 1986a, 1986b; Friedmann, 1984a, 1984b).

Developmental Stages: A Synthesis

In this section, a three-stage conception of development is proposed. The conception is based on a synthesis of various theoretical perspectives. There is both inherent weakness and strength in this approach. The strength lies in the greater holism that the framework provides and the consequent capacity to capture a "gestalt" of human experience. Inclusion of the cognitive, personality, intellectual, and consciousness learning domains provides the model with synergistic, as well as holistic, strength. The common denominators of these learning theories have been examined, condensed, and synthesized into broad developmental categories that are hopefully comprehensible and comprehensive. Implicit in this approach is the recognition of the reductionistic tendency of social science research that is conducted under the positivistic paradigm. Synthetic, as well as analytic, study is required to advance the knowledge base of "developmentalism". However, the inherent pitfalls of this

synthetic approach are also recognized, including the possible distortion and oversimplification of some of the finer points of each of these theories. Nevertheless, the study of human development is the most complex, challenging and urgent task of our day. Increasing our understanding of human development will continue to require creative, explorative, and synthetic research that integrates and builds on existing theory.

Adult Development

A survey of current theories of adult development reveals two basic schools of thought, which are referred to as the phasic and stage approaches. Both approaches assume that adults develop in sequential and progressive patterns and that change is inherent to being human.

The phasic approach explains the various sequences of development in terms of biological and chronological maturation and correlates age with common transition points. Also referred to as "life cycle" theories, the phasic approach emphasizes how people respond similarly to central learning tasks that occur at certain periods in life. Exemplary life cycle theorists include Jung (1923), Havighurst (1973), Erikson (1950), Gould (1972), and Levinson, (1978).

In contrast, the stage developmentalist construes sequential stage development as a function of the psychological development of the persons involved, rather than a function of chronologically correlated life tasks. In other words, individuals respond to similar circumstances in vastly different ways depending on maturation in various psychological domains (Lasker et al., 1980; Cross, 1983):

> A plant grows from a seed to a seedling to maturity. Similarly the patterns of development highlighted by stage theories are an ordered sequence of complex forms and capacities. Further, the structure and sequence of stage development appear to be determined by the intrinsic organization of that which is developing--rather than by the environmental conditions in which growth occurs. Like a growing plant, the rate of development and the mature stature achieved depend on external conditions; yet, the essential structure that develops is intrinsically organized and emerges according to its own rules. (Lasker et al, 1980: 4).

Despite important distinctions between phasic and stage developmentalists, the two approaches are complementary. A more complete understanding of human development would require their merger:

> Stage theories construe development in terms of increasing flexibility and comprehensiveness in thinking of solutions. While phasic theorists have discovered patterning in the emerging demands of adult life, stage theorists have found developmental patterning in the ways adults respond to life's

> demands. A person's stage of development is likely to shape how each phase task is understood and dealt with, how dreams are negotiated and illusions abandoned, how life structures are invented and refashioned. [In effect], the intersection of stage and phase define unique existential positions [and] in observing how adults move from one existential point to another-- from one intersection of stage and phase to another -- we can see clearly how each life has a unique trajectory. We can understand how each adult travels a special existential path defined by how he/she experiences and copes with a compounding life situation. (Lasker, et al., 1980: 34).

The concerns of the phase theorist is likewise a concern in the theoretical framework of this study. The demands of particular learning tasks (the transition points for phasic theorists) are the catalysts for passing from one stage to the next in this model. However, at this point, the fundamental concern is not the merger of stage and phasic theories but rather to clarify areas of congruence between diverse stage developmental theories and to propose a stage synthesis. Binding the stage developmentalists together is a set of common assumptions about human development.

Stage Developmental Assumptions. Ted Ward (1976) suggests some of the unifying assumptions of the developmentalist:

1) In essential attributes, human beings are more similar than dissimilar;

2) the essence of humanness is carried in genetic structure and is in every respect inherent;

3) the patterns of development are in the nature of man;

4) patterns of development cannot be significantly altered;

5) development can be seen in several aspects-- physical, mental, emotional, social and moral-- but these aspects are interwoven;

6) development must be understood holistically;

7) environment facilitates (stimulates, enhances) or represses (inhibits) development. (environment does not control development or determine outcomes);

8) development is a matter of losing limitations. (development involves but is not essentially a matter of acquiring abilities);

9) development can be stalemated by adverse conditions (not to develop is pathological);

10) fulfilling the continuing pattern of development throughout life is a requisite of fulfilling humanness (stalemated development is a denial of fullness of human nature.)

Assumptions specific to stage development are largely drawn from biological metaphors. Lasker et al. (1980: 15) cite Kitchener (1978):

> 1) Development is internally organized. Environmental factors influence the rate and direction of development, but essential developmental form and sequence remains the same.
>
> 2) Development involves identifiable stages with each stage representing discrete and relatively stable developmental plateaus.
>
> 3) "The direction of development is toward increasing complexity of form and increasing differentiation of parts ... in psychological life, relatively undifferentiated processes of knowing develop into complex and highly subtle modes of understanding.
>
> 4) At each stage of development, the organism displays emergent qualities that were not present at the previous stage ... higher stages of psychological development enable persons to function in ways that cannot be anticipated at earlier stages."

Stage Development Theories

Most of the stage developmental theories examined here have emerged from the field of psychology and its sub-fields. From the many studies of personality development, Jane Loevinger's theory of ego development will be briefly reviewed. Included in the category of personality theory is the Kolb theory of growth and development. From the many cognitive development theorists only Jean Piaget and Lawrence Kohlberg are considered because they have made the most significant contributions to this domain. From the area of intellectual and ethical development, the theory of William Perry will be reviewed for relevance to the stage synthesis. In addition, the consciousness stage theories of Paulo Freire and Brian Hall are particularly relevant to this study.

Personality Stage Theory. Jane Loevinger suggests a theory of ego development. For Loevinger, "ego" refers to a person's frame of reference that is used for understanding interpersonal and intrapersonal domains; in short, how one makes sense out of the world. Ego development refers to the growth of the core personality. It is a more holistic conception than either theories of moral or intellectual development, (Cross, 1983: 176; Lasker et al., 1980: 17). Loevinger's theory is a synthesis that draws from both psychological and sociological perspectives of personality development.

Loevinger's research focuses on ten measurable levels for "making sense out of the world" and includes seven major stages and three transitional stages. Each ego stage represents the central organizing principle of personality (Lasker et al., 1980: 18). Similar to other developmental stage theories, ego development can be reduced to a movement from "simple stereotyped thinking and perceptions, through an

awareness of multiple possibilities and differentiated views of oneself and society, to conceptual complexity, tolerance of ambiguity, objectivity and broadened vision." (Cross, 1983: 177). In essence, a condensation of Loevinger's theory into its lowest common denominators, reveals three essential modes for understanding oneself in relationship to the world.

The previous discussion of David Kolb's theory of growth and development describes a three-stage conceptualization which includes acquisition, specialization, and integration stages. During the acquisition stage, the learner is concerned with acquiring basic learning skills and cognitive structures. It is a mode in which the self is undifferentiated, or immersed, in the world. During the specialization stage, the learner is subsumed by socializing forces and focuses on those skills that have provided the most rewards. The specialization stage leads to "self" conceived as content -- a mode of interacting with the world. In the third stage, dormant learning styles are given new focus and self is conceived as holistic process -- a mode of transacting with the world (Kolb and Fry, 1975: 43).

Cognitive Development Theories. Jean Piaget (1932, 1970) developed a stage theory of cognitive development that is based on the study of learning in children. Piaget identified three developmental stages in children from the ages of two to adolescence: 1) the imitative; 2) the concrete operational ; and 3) the formal operational. Piaget also identified a number of sub-stages associated with each of these stages (the first stage --Era 1 sensory-motor, is concerned with an infant's active learning mode -- touching, feeling, and handling).

The imitative stage (or symbolic-intuitive thought mode) is dominated by 'magical thinking' in which the child confuses apparent or imagined events with reality and perceptions of qualitative/quantitative change with actual change. The child is able to use a divergent learning style and, based on experience, is able to view the world from divergent perspectives.

In the concrete operational stage, the child has learned to classify, quantify, and understand relationships -- the child is learning with an assimilative style -- able to form concepts and theories which lend meaning to experience. In Piaget's third stage, the adolescent moves from"symbolic processes based on concrete operations to the symbolic processes of representational logic." In the third phase the learner is still in an active mode but has added reflective and abstractive dimensions. The dominant learning style tends to be convergent. Theories are tested using hypothetical-deductive reasoning (Kolb and Fry, 1975: 45). Kolb and Fry view these three stages in the Piaget theory as representative of the acquisition stage of their model. Others, such as Kohlberg (1969, 1981), have insightfully seen certain parallels

between Piaget's theory of cognitive development in children and the developmental stages of adults.

Lawrence Kohlberg's Theory of Cognitive Development. Lawrence Kohlberg (1969, 1972, 1981) based much of his theory of cognitive moral development on the insights he gained from John Dewey, as well as from Jean Piaget. Kohlberg's theory of cognitive development has made a tremendous contribution to the field of cognitive development. Kohlberg was primarily concerned with conceptions of justice and human rights among his subjects. He was able to derive his theory using an instrument that measures how subjects would resolve hypothetical moral dilemmas. He compared the responses of his subjects over time. His research resulted in the identification of three major levels of moral reasoning in which six substages also were possible.

The three levels of moral development include the Pre-Conventional, the Conventional, and the Post-Conventional. The Pre-Conventional Level involves an "obedience and punishment orientation" and an egocentric deference to superior power or prestige. The moral act is that which is self-satisfying and occasionally meets others' needs. There is a naive commitment to egalitarianism oriented to exhange and reciprocity. The Conventional Level involves a conforming attitude to the conventional order and to others' expectations related to what is good and bad. Stages at this level include "the good boy" orientation to approval and the authority/social order maintenance orientation. Finally, the post-Conventional Level involves an understanding of universal moral and social principles and a valuing of principled action over conformity (Lasker et al., 1980: 24).

Kohlberg's research suggests that stage advancement to the Post-Conventional Level is not common. In fact, a majority of Americans would be located in the Conventional Level. Moral stage development is facilitated as the learner is exposed to the moral reasoning of higher stages through a process of Socratic dialogue. Movement is normally forward. It is unusual for individuals to regress to lower levels (Kohlberg, 1980: 15-90).

Intellectual Development. William Perry (1968) studied the intellectual and ethical development of University students. Research findings allowed Perry to identify a number of trends from which a nine-stage developmental theory was derived. The nine stages or positions are divided into three stage groups: lower, middle and upper. The lower, or pre-relativistic positions, focus on an intolerance for ambiguity. The middle range, ("relativistic" positions) focus on the inability to see any authoritatively correct answers except to limited technical areas. The higher developmental positions -- the post-relativistic positions -- focus on the need for

personal commitment, possibly even without clear answers to fundamental questions. In fact, personal commitments provide meaning to otherwise ambiguous areas (Lasker, et al, 1980: 22-24; Perry, 1968).

Consciousness Theories. The ideas of Brazilian educator, Paulo Freire (1973a, 1973b) have had a tremendous impact on development thinkers world wide. Freire's view of learning starts from the assumption that people, as creative and critical beings, are capable of knowing and transforming their environments. A process of praxis undergirds the Freirean view of education as a potentially dialectic and liberating phenomenon. Similar to Kolb's conceptualization of experiential education, praxis is the act of knowledge creation in which human beings engage in an integrated and creative action/reflection process of learning and transforming. Freire's theory of conscientization provides the framework for understanding the stage development of praxis. Freire identifies three stages of consciousness which he refers to as the Magical, Naive, and Critical stages. Similar to other stage developmental theorists, Freire sees growth as a progression through a hierarchy of stages as interaction takes place between the external world and the inner self. This interaction produces dialectical tension which, in turn, produces learning and stage growth. Similar to Kohlberg, the method for facilitating stage growth is through liberating dialogue. The goal of education is the production of a more just world (Smith,W., 1976: 76-86).

Brian P. Hall (1982a, 1982b) has been a significant contributor to the study of values development. He constructed a theory that contains eight stages of value development that incorporates into four distinct levels of consciousness. Similar to the Freire view, Hall defines consciousness as the overall perception of the world around us, i.e., our theory of reality. Each of the four levels of consciousness provides the thematic universe from which values are derived. Table 2.2 provides an outline of the themes inherent to each level of consciousness and relates them with associated needs and values. Table 2.2 adapts the Hall theory by proposing that Levels 3 and 4 be condensed into one level. The needs, which are related to consciousness levels, correspond to Abraham Maslow's hierarchy of needs pyramid. Comparing Maslow's model to the conception in Table 2.2, reveals that Level I consciousness relates to the physical/survival needs, safety and security at the base of Maslow's needs pyramid; Level II consciousness corresponds to to the needs for love, affection, and self esteem (which occur in the middle of the pyramid). Level III consciousness responds to the needs for self-actualization which form the apex of the Maslow pyramid.

Table 3.1
Hall's Levels of Consciousness and Values Development

	World View or Basic Perspectives	Needs	Values
Level I	World as Mystery	Food	Security
	Physical/ Existence	Warmth	Survival
	Self as Center	Physical Affection	Pleasure
		To Explore	Wonder
Level II	World as Problem	Approval	Belonging
	Social Interaction	Skills	Work
	Self as Belonging	Success	Self- Competence
			Self-Worth
Level III	A. World as Project	Personal Authority	Independence
	Conscious /Acting	Freedom	Equity -Rights
	Self as Independent	Dignity	Service
		Integrity	Creation
	B.World as Mystery Cared for	Convivial technology	Convivial Tools
		Wholeness	Harmony
	Interdependence/Making	Community	Interdependence
	Selves as Life Givers	Ecology	Synergy
		Congruence	Intimacy

Source: Hall, 1982: 42

The Stage Synthesis

The synthesis of stage development theories is not a new undertaking. Arthur Chickering (1976), and Brundage and Mackeracher (1980), Kohlberg (1969), Lasker and DeWindt (1976), among others, have made important synthetic contributions and are relied on heavily, though not exclusively, in the synthesis proposed in this study. In the Brundage study, the various stage theories are condensed into a four-stage process. In the Entry Stage, the learner is insecure and uncertain, and relies on external standards to guide behavior and making assumptions based on past experiences. In the second, Reactive Stage, the learner has a greater sense of his ability to react to the environment in independent ways and feels autonomous from the control of others. In the third, Proactive Stage, the learner is a self-confident member of the group and actively contributes to the collective interests of the group without sacrificing individuality. In the fourth, Integrative Stage, the learner has

achieved a greater balance between group and self interests, has integrated a variety of perspectives with his own, and has developed internal standards for guiding behavior. The learner at the integrated stage is open to sharing values, feelings, and information with others and relates to the world in a learning mode, actively seeking to improve his environment. According to this conceptualization, stage development is organized around two central life trends: the trend to master with emphases on autonomy, personal control, independence) and the trend to belong [with emphases on affection, interdependence, interpersonal involvement] (Brundage and Macheracher, 1980: 13).

The essential orientation of stages three and four in the Brundage synthesis are so similar that, for the purposes of three-stage consistency and parsimony these stages will be merged. Modifying this synthesis from a four-stage to a three-stage proposition has the additional advantage of allowing us to speculate how the two central life trends to master and belong [which Fromm (1976) sees as the having and being paradigms] relate to stage development. Perhaps, from Stage 1, in which the person relates to the world as submissive, adoptive, and conforming, the trend to master spurs stage advancement to the reactive stage. In the second stage, the person relates to the world as reactive, reforming, and adapting. The trend to belong is the motor driving the person to Stage Three, in which the person relates to the world as integrated, transacting and transforming. In its most raw and basic terms this conceptualization sees the learner moving from modes of dependency, to independence and, ultimately, to interdependence.

A more compelling and informative description of the stages is possible. In this model, the stages of human development are conceived of as Conforming, Reforming and Transforming. The Conform and Reform stages are the sources for the dominant development paradigm in today's world. However, the movement toward a transformational mode, which has been decribed as the "Third Wave" (Toffler, 1979), is revealing the existence of an emergent paradigm that challenges the dominant paradigm and provides the means for facilitating individual and collective advancements to the Third Developmental Stage. Table 3.2 provides a comparison of the various development stage theories and proposes their reduction to a three-stage synthesis.

Table 3.2

Stage Development Synthesis

Theorist	Stage 1	Stage 2	Stage 3
Loevinger	*Presocial *Symbiotic *Impulsive -Impulsive, fear of retaliation -Fear of being caught -Opportunistic -dependency -conceptual confusion	*Self-protective *Conformist -Conformity to external rules -belonging -helping -conceptual simplicity -social acceptability -manipulative	*Conscientious *Autonomous *Integrated -self-evaluated standards -self-criticism -toleration -coping w/conflict -reconcile inner conflicts -respect autonomy -conceptual complexity -broad scope, objectivity
Kolb	*Acquisition Self undifferentiated immersed in World	*Specialization Self as Content interacting with World	*Integration Self as process Transacting with World
Piaget	*Symbolic, intuitive thought *Concrete Operations -Categorical Classification -Reversible Concrete thought	*Formal Operations -relations involving inverse reciprocal -relations involving triads	*Formal Operations -construct all possible relations -systematic isolation of variables -deductive hypothesis testing
Bloom	*Memorization *Application	*Analysis	*Synthesis *Evaluation
Kohlberg	*Preconventional Right and wrong determined by self-interest--shaped according to rewards and punishments	*Conventional right and wrong originates with authority--communicated through responsible persons (models) and through collective expressions of morality (rules and laws)	*Postconventional right & wrong determined internally on basis of principles freely chosen and embraced by the person.

Table 3.2 (cont.)

	Stage 1	Stage 2	Stage 3
Perry	*Positions 1, 2,3 -perceptions of world in absolutist terms -simplistic -learner as differentiated	*Positions 4,5,6 -adjusting to diversity, relativisitic perceptions of world -recognition of complexity of world -increasing integration	*Positions 7,8,9 -finding meaning through commitments in relativistic world -tolerance for ambiguity -integrated -affirmation of identity & expression of lifestyle through commitments.
Freire	*Magical Consciousness -problem denial -survival problems -Facts derived from Oppressor -Fatalistic -Simplistic Causal Relationships -Dependence	*Naive Consciousness -the oppressed need to be reformed to the ideals of oppressors -Orientation to the rightness of existing norms and laws -accepts oppressor's ideology/explanations -self-blame; self-pity -collusion with oppressors/model behavior -paternalism -Defends system/blames individuals, not system for problems	*Critical Consciousness -Self/peer affirmation -rejects system strives for transformation -critically understands oppressor ideology -sees systemic causes -critical analysis of theories reality -sees contradiction between actions & critical goals -participatory
Hall	*World as Mystery -physical orientation -Self-preservation -self-delight/security	*World as Problem -social oriented -self-worth -self-competence	*World as Project & Invention *World as Mystery cared for -conscience guides -independence -being self; harmony; synergy
Brundage & Mackeracher Synthesis	*Entry Stage -dependence -reliance on external standards -conforming	*Reactive -reacts to environment/reforms -increasing reliance on self/independence	*Proactive *Integrative -interdependent -dialogue; focus on group -integration of perspectives -collective learning
Study Synthesis	**CONFORMING -adoptive mode with world	** REFORMING -adaptive mode with world	**TRANSFORMING -innovative transactive mode with world

Source: Adapted from Chickering, 1976 and Brundage and Macheracher, 1980.

Tables 3.2 and 3.3 advance a synthetic stage model as a preliminary attempt to draw diverse pieces of the developmental puzzle into a more discernable and holistic picture of learning and progressive growth. The model strives for holism but clearly does not comprehensively consider all developmental dimensions. The model strives for clarity and simplicity but, admittedly, oversimplifies some theoretical perspectives and overlooks certain inconsistencies that are produced by the three-stage merger. Nevertheless, the stage synthesis is consistent with the basic developmental trends identified by extensive empirical research and provides a powerful model for examining actual behavior and perceptions of people in their individual and collective manifestations. Table 3.3 represents a selection of stage characteristics from Table 3.2 and provides a more precise picture of the stage synthesis used in this study.

Table 3.3

Stage Characteristics

	STAGES		
STAGE TENDENCIES	CONFORM	REFORM	TRANSFORM
PERSONALITY	-Impulsive -Fear of being caught, retaliation -opportunistic; dependent	-Belonging -Helping -manipulative -social acceptability	- self-criticism -toleration -coping w/conflict -respect autonomy
COGNITIVE/ INTELLECTUAL	-'magical thinking' -conceptual confusion -memorization and application skills -moral judgment defined by self-interest -perceptions of world are absolutist/simplistic	-conceptual simplicity/increasing ability to understand relationships. -analytical skills -moral judgment defined by authority -increasing tolerance for ambiguity -increasing integration -learner as differentiated	-conceptual complexity -broad scope -increasing objectivity - increase in abilities abstraction/reflection -skills in evaluation, synthesis -moral judgment defined by commitment to principles. -high tolerance for ambiguity -affirmation of identity and expression of lifestyle through commitments.

Table 3.3 (cont.)

	Conform	Reform	Transform
SOCIAL CONSCIOUSNESS & VALUES	-Problem Denial -survival concerns -theory of reality derived from oppressor -Fatalistic -Simplistic Causal Relationships. -Dependence -physical orientation -self-preservation -self-delight/security -reliance external standards.	-blames individuals, not system -Defends dominant system, collusion. -paternalism -Problems can be resolved w/ reform -self-blame; self-pity -oriented to existing norms and laws -social oriented -increasing self-worth & competence	- self/peer affirmed - reject system - critique of system, theory of reality -sees systemic causes -reject collusion with system -sees contradictions between actions and critical goals -emphasis on internal principles/conscience -commitment to being self -simultaneous commitment to independence and synergy/interdependence; desire harmony
GENERAL ORIENTATION	-Self Undifferentiated -Immersion in World -Rewards & Punishment -Dependence -Magical Consciousness -World as Mystery -Conforming to World -Adoptive mode with World -Acquisition	-Specialization -Interaction with the World -Authority Orientation (law & Order) -Naive Consciousness -World as Problem -Reactive/Adaptive Mode with World -Reforming World -Independence	-Integration -Transaction with world -Principled Morality -Critical Consciousness -Proactive/innovative -World as Project & Invention & Mystery cared for -Interdependence -Innovative/transactive mode w/world -Transforming World

Theoretical Framework: The Experiential Social Learning Model

The components of the synthetic development model have been described. Now, the task is to put the components together in a way that provides both a contribution to the development literature and a meaningful framework for conducting research. To review, the key components include: 1) the Kolb and Fry experiential learning theory of growth and development; 2) Friedmann's theory of social learning; 3) Korten's interpretation of social learning as it applies to development management; and 4) the synthesis of stage development theories into the Conform, Reform, Transform proposition. Figure 3.5 graphically depicts the merger of these four components into a holistic development model that corresponds to the emergent paradigm. It is called the Experiential Social Learning Model. In essence, the

model suggests that the management of social transformation requires a dynamic learning process that is guided by collective group experience and directed toward developmental stage progression.

A number of variables are considered in this model. Figure 3.5 illustrates the relationship between the Friedmann social learning model and the Kolb iterative experiential learning cycle. The four domains of the social learning process, (theory of reality, political strategy, collective action and social values), are guided and directed by the interaction of concrete experience, reflective observation, abstract conceptualization, and active experimentation. Figure 3.6 examines the model's key components as separate pieces to an organic whole. In Figure 3.7, the Friedmann social learning domains are tentatively related with the appropriate Divergent, Convergent, Assimilative, and Accommodating learning styles, along with a depiction of the ongoing dialectics between abstract/concrete and active/reflective modes. From this conceptual overlap, inferences can be drawn about the relationship between the social learning domains and the Kolb and Fry learning style typology.

Figure 3.8 depicts the final piece of the Experiential Social Learning Model. Kolb and Fry see the increasing complexity and integration of perceptual, symbolic, behavioral and affective learning dimensions as key to stage progression. Similarly in this model, the integration and dialectic tension of the learning modes (Concrete Experience, Reflective Observation, Abstract Conceptualization and Active Experimentation) is critical for maturation in the Affective, Perceptual, Symbolic and Behavioral dimensions. Stage advancement depends, in part, on the integration and maturation of the four dimensions. However, distinct from Kolb and Fry, is the additional requirement of maturation in the social learning domains (Theory of Reality, Political Strategy, Collective Action, Social Values). Thus, Figure 3.8 illustrates the key domains as moving vertically through the stages in an increasingly integrated fashion. The model demonstrates the interdependence and interaction of a number of variables. Among these, politics, values, theory and practice (the Friedmann domains) are critical considerations to any social transforming process. Similarly, a holistic process will require that the emotional, perceptual, behavioral and cognitive dimensions achieve greater refinement and integration, a requirement that only innovative experience can meet.

In contrast to Kolb's and most of the stage developmentalist conceptualizations, this model describes the learning and developmental processes of a group rather than an individual. Changing the unit of analysis from the individual to the group is a complicating factor and bears a number of significant implications. For instance, it raises the issue of whether collectivities or groups actually develop as

organic wholes. Or, is it more appropriate to interpret collective, social change as the sum of the changes in the individuals who compose the group?

The assumption made in this study is that a group of individuals, as a social entity, has a dynamic all its own and that it is not the equivalent of examining the individuals as distinct units. The whole is truly greater, and quite distinct, from the sum of its parts. Once the assumption is made that the collective unit is a worthy object of study, the issue of measurement must be resolved. The measurement issue is dealt with in Chapter V. The methodology, as described in Chapter V, will enable the researcher to code congruency between the Experiential Social Learning Model and the realities of a group or local organization engaged in community development work. Just as individuals would often be mature in some areas and less mature in others, a particular group is also likely to be more developed in certain areas and less in others. For example, a local development organization might be at Stage II in its Social Values and Stage I in its Theory of Reality and Political Strategems. The incongruency leads to inferences about the adequacy of group skills in Abstract Conceptualization and Active Experimentation. For the group facilitator, this information could be used to direct capacity-building efforts in deficient areas or to enhance existing learning style preferences. In this example , the facilitator might be interested in helping the group see its potential for growth in the Perceptual and Symbolic dimensions and could suggest strategies that use Assimilative and Convergent learning modes. Table 3.4 provides a matrix between stage characteristics (for the Conform, Reform, Transform stages) and the key elements in the Experiential Social Learning Model (Domains, Learning Styles, Process Modes/Skills, and Dimensions).

Relationships Among ESL Components

Figure 3.5 provides a picture of the ESL components when assembled into a holistic model. In contrast, Figure 3.6 illustrates the components as separate pieces of the model. Each of the components is closely interconnected with, and dependent upon, the others. A number of logical assumptions about the relationships between the components are made as hypotheses. These assumptions are made in full recognition of the need for further empirical evidence. The ESL Model has been constructed for this study as an exploratory and tentative theory-building initiative. Exploratory models are essential to the extension of relevant development theory. More detailed descriptions and definitions of each of the model's components, and additional propositions regarding their relationships, are now appropriate.

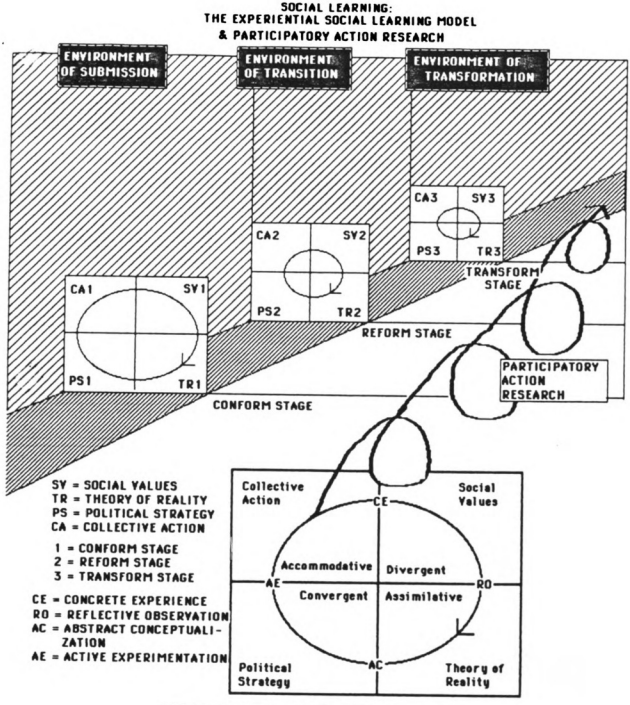


FIGURE 3.5
THE EXPERIENTIAL SOCIAL LEARNING MODEL

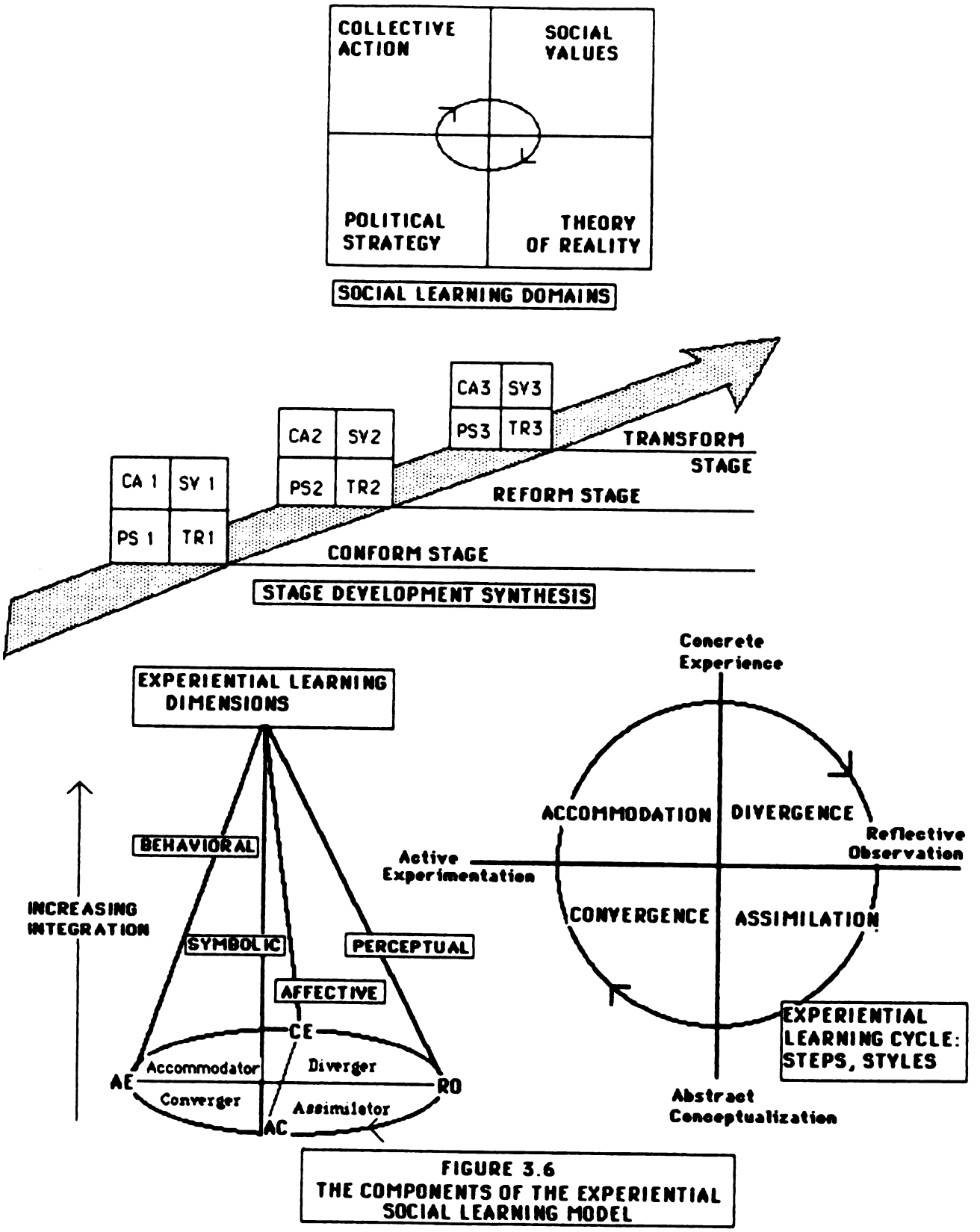


FIGURE 3.6
THE COMPONENTS OF THE EXPERIENTIAL SOCIAL LEARNING MODEL

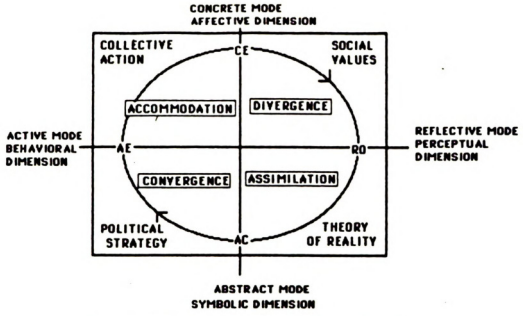


FIGURE 3.7
SOCIAL LEARNING DOMAINS, LEARNING STYLES, MODES, AND DIMENSIONS

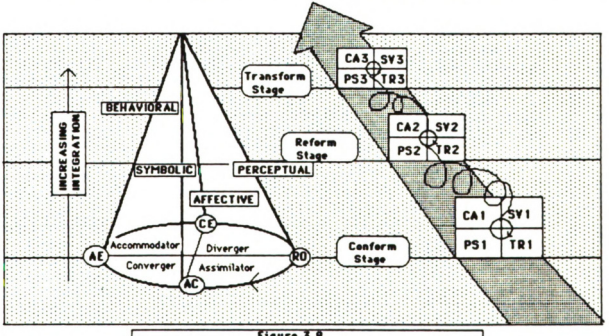


Figure 3.8
Stage Development & Learning Dimension Integration

Table 3.4

MATRIX OF DEVELOPMENTAL STAGES & EXPERIENTIAL SOCIAL LEARNING ELEMENTS

CONFORM STAGE			
Dimensions & Stage Characteristics	ESL Skills	ESL Styles	ESL Domains
1. Behavioral Opportunistic (Loevinger) Dependent (Loevinger, Freire, Brundage/Macheracher) Problem Denial (Freire) Fatalistic (Freire) Survival Concerns (Freire) Physical Orientation (Hall) Reliance External Standards (Brundage & Macheracher) Self-Preservation (Hall) Self-Delight/security (Hall) Acquisition Mode (Kolb)	Dominant: Active Experimentation Auxiliary: a) Concrete Experience b) Abstract Conceptualization Dialectic tension with Reflective Observation	Dominant: Accommodation or Convergence Dormant: Assimilation and Divergence	Dominant: Collective Action Political Strategy Auxiliary: Social Values Theory of Reality
2. Perceptual Memorization (Bloom) Application (Bloom) Fear of retaliation and being caught (Loevinger) Conceptual confusion (Loevinger, Piaget) Magical thinking (Piaget) Absolutist (Perry) Simplistic causal relations (Perry and Freire) Problem Denial (Freire) Fatalistic (Freire) Right/wrong determined by self-interest (Kohlberg) Physical Orientation (Hall) Self-Preservation/delight (Hall)	Dominant: Reflective Observation Auxiliary: Concrete Experience and Abstract Conceptualization Dialectic tension w/ Active Experimentation	Dominant: Divergence and Assimilation Dormant: Accommodation Convergence	Dominant: Social Values Theory of Reality Auxiliary: Collective Action Political Strategy
3. Affective Dependent (Loevinger, Freire) Fatalistic (Freire) Physical/ Orientation (Hall) Self/Preservation/delight (Hall) Security Orientation (Hall)	Dominant: CE Auxiliary: RO, AE Dialectic tension w/AC	Dominant: Accommodation Divergence Dormant: Convergence Assimilation	Dominant: Collective Action Social Values Auxiliary: Political Strategy Theory of Reality

Table 3.4 (continued)

4. Symbolic Immersion in World (Kolb) Facts derived from oppressor (Freire) World as Mystery (Hall) Physical Orientation (Hall) Self-Preservation (Hall) Self-Delight/security (Hall) Memorization/Application REFORM STAGE	Dominant: AC Auxiliary: AE, RO Dialectic tension w/ CE	Dominant: Convergence Assimilation Dormant: Accommodation Divergence	Dominant: Political Strategy Theory of Reality Auxiliary: Collective Action Social Values
LEARNING DIMENSIONS & STAGE CHARACTERISTICS 1. Behavior Helping (Loevinger) Manipulative (Loevinger) External Rule Conformity (Loevinger) Specialization (Kolb) Interaction with World (Kolb) Increasing Integration (Perry) Paternalism (Freire) Collusion w/ Oppressor (Freire) World as Problem (Hall) Social Oriented (Hall) Self-Worth (Hall) Self-Competence (Hall)	ESL SKILLS Dominant: AE Auxiliary: AC, CE Dialectic tension with RO	ESL STYLES Dominant: Accommodation Convergence Dormant: Divergence Assimilation	ESL DOMAINS Dominant: Collective Action Political Strategy Auxiliary Social Values Theory of Reality
2. Perceptual Conceptual Simplicity (Loevinger, Freire) Interaction w/ world (Kolb) Understand Relationships better (theories/concepts) (Piaget) Analysis Skills developing (Bloom) Moral judgments based on authority (Kohlberg) Rules/laws orientation (Kohlberg) Adjustment to relativistic Wld Recognition of Complexity (Perry	Dominant: RO Auxiliary: CE, AC Dialectic tension with AE	Dominant: Assimilation Divergence Dormant: Convergence Accommodation	Dominant: Social Values Theory of Reality Auxiliary: Collective Action Political Strategy

Table 3.4 (continued)

Increased Integration (Kolb, Perry) Accepting of dominant Theory of Reality (Freire) Blames individuals not system (Freire) World as Problem (Hall) Self-worth & competence (Hall) Social Orientation			
3. Affective Belonging (Loevinger) Helping (Loevinger) Social Acceptability (Loevinger, Hall) Increased Integration (Perry) Self-blame; self-pity (Freire) Paternalism (Freire) World as Problem (Hall) Self-Worth/competence (Hall)	Dominant: CE Auxiliary: AE, RO Dialectic tension with AC	Dominant: Accommodation Divergence Dormant: Convergence Assimilation	Dominant: Collective Action Social Values Auxiliary: Political Strategy Theory of Reality
4. Symbolic Belonging (Loevinger) Helping (Loevinger) External Rules (Loevinger) Interaction w/ World (Kolb) Analytical (Bloom) Increasing Integration (Perry) Rules/Laws Orientation (Kohlberg) Acceptance dominant theory of reality/ideology (Freire) Blames individual/not system (Freire) World as Problem (Hall) Self-Worth/competence (Hall) Socially oriented (Hall) Independence (Macheracher, et al)	Dominant: AC Auxiliary: AE, RO Dialectic tension with CE	Dominant: Convergence Assimilation Dormant: Accommodation Divergence	Dominant: Theory of Reality Political Strategy Auxiliary: Collective Action Social Values
TRANSFORM STAGE			
LEARNING DIMENSIONS & STAGE CHARACTERISTICS	ESL SKILLS	ESL STYLES	ESL DOMAINS
1. Behavioral Self-Criticism (Loevinger) Toleration (Loevinger, Perry) Transaction w/ World (Kolb) Self/Peer Affirmations (Freire) Strives for Transformation Rejects System (Freire)	Dominant: AE Auxiliary: CE, AC	Dominant: Accommodation Convergence	Dominant: Collective Action Political Strategy

Table 3.4 (Continued)

Participation (Freire) Interdependence (Macheracher, et al) Dialogue (Kohlberg, Freire) Focus on the Group (Freire) Collective Learning (Macheracher & Brundage) Innovation	Dialectic tension with RO	Dormant: Assimilation Divergence	Auxiliary: Theory of Reality Social Values
2. Perceptual Conceptual Complexity (Loevinger) Broad Scope (Loevinger) Increasing Objectivity Self-Evaluated standards (Loevinger) Transaction w./world (Kolb) Synthesis/evaluation (Bloom) Hypothetical/reflective reasoning (Piaget) Moral Judgments based on Principles (Kohlberg) Meaning derived from commitments (Perry) Tolerance for ambiguity (Perry) Increasing Integration (Perry) Affirmation of identity (Perry) Critically understand oppressor's ideology/theory of reality (Freire) See systemic causes rather than blaming individual (Freire) Sees contradictions between actions and critical goals (Freire) Group Orientation/collective learning (Macheracher & Brundage) Interdependence (M & B)	Dominant: RO Auxiliary: CE, AC Dialectic Tension with AE	Dominant: Divergence Assimilation Dormant: Accommodation Convergence	Dominant: Social Values Theory of Reality Auxiliary: Collective Action Political Strategy
3. Affective Self-Evaluated standards Reconcile inner conflicts Coping with Conflict (Loevinger) Self-Peer affirmation (Freire) Interdependent Dialogue Focus on Groups Collective Learning (Macheracher)	Dominant: CE Auxiliary: AE, RO Dialectic tension with AC	Dominant: Accommodation Divergence Dormant: Convergence Assimilation	Dominant: Collective Action Social Values Auxiliary: Theory of Reality Political strategy

Table 3.4 (Continued)

4. Symbolic Evaluated Standards (Loevinger) Synthesis/evaluation (Bloom) Moral judgment based on principles (Kohlberg) Rejects system/strives for transformation (Freire) Critically understands oppressor's ideology (Freire) Critical Analysis of theories of Reality (Freire) Interdependent Dialogue Focus on Group Integration of perspenctives Collective learning (Macheracher/Brundage) Innovative transactions	Dominant: AC Auxiliary: AE, RO Dialectic tension with CE	Dominant: Convergence Assimilation Dormant: Accommodation Divergence	Dominant: Political Strategy Theory of Reality Auxiliary: Collective Action Social Values

ESL Domains. The proposed ESL Model assumes that Theory of Reality, Social Values, Political Strategy, and Collective Action represent the key domains relevant to a process of social transformation. According to Friedmann (1979b, 1984a), an effective social learning process requires involvement in each of these areas. For social transformation to occur, each of these domains will become the foci of learning and development of an ESL Group. Each domain can be related to the stage characteristics cited in Tables 3.2, 3.3, 3.4. Stage characteristics and other key elements are correlated to each ESL Domain in Table 3.4. Each ESL domain has distinctive characteristics at the Conform, Reform, and Transform Stages. Domains will not necessarily be located at the same developmental stage. Indeed, dissonance between domains is probable. However, an effective ESL Process will have a 'pull' effect on the domains which lag behind.

The ESL Group's potential for social transformation will peak only when all ESL domains are activated at the Transform Stage. Fundamental stage progression in each of the ESL domains takes place within the context of an effective learning process. An ESL Group not only considers each of the domains, but also is engaged in an experiential learning process in which: 1) concrete experience is followed by critical reflection and observation of the experience; 2) which is used for creating theoretical conceptualizations and generalizations; and 3) which is then used as the basis for behavioral modification and the selection of new experiences. Each of the process steps/skills (Concrete Experience, Reflective Observation, Abstract Conceptualization, and Active Experimentation) needs to be integrated so that dynamic

and iterative innovation is possible. Without an effective learning process, the stage progression of ESL domains is hindered. An ESL Group's stage development can be facilitated by identifying deficient or dormant learning styles (Accommodation, Assimilation, Divergence, and Convergence) and attempting to improve skills related to that style.

The implied relationships (Figure 3.7, Table 3.4) of ESL domains (Social Values, Theory of Reality, Political Strategy, and Collective Action) with other ESL components are tentative and hypothetical. However, each of the domains is critically related to all of the ESL dimensions, styles, and skills. Certain domains are speculated to be more closely related to certain dimensions, styles, and skills than others. Table 3.4 suggests that each learning dimension is closely related to the effective learning of each domain. Some domains have a "dominant" relationship to the learning dimension and others have a secondary (or "auxiliary") relationship. A dominant relationship indicates a direct impact of the dimension on the learning in related domain(s), whereas an auxiliary relationship indicates an indirect relationship on the domain(s). For example, in Table 3.4, the Behavioral dimension has a dominant relationship with the Collective Action and Political Strategy domains and an auxiliary relationship with the Theory of Reality and the Social Values domains. The stage characteristics related to the Behavioral dimension have a direct impact on the potential learning and development in the Political Strategy and Collective Action domains and a more indirect (but nevertheless significant) impact on the learning and development related to the theory and values domains.

Domain Definitions. The four ESL domains are defined as follows: Collective Action refers to a stream of ongoing events focused on changing reality as carried out by a group engaged in ESL for social transformation; Political Strategy refers to how an ESL Group plans to overcome resistance to collective action; Theories of Reality refer to how the world is explained; and Social Values are those priorities which inspire and direct group action.

ESL Dimensions. ESL, as an holistic development methodology, considers increasing the integration and maturation of learning dimensions a matter of critical importance. Indeed, the stage progression of ESL domains is closely related to the development of the Behavioral, Perceptual, Symbolic, and Affective dimensions (see Figure 3.8). Dimensional maturation impacts the potential for domain stage progression. Similar to the 'pull' effect of ESL domains, stage advancement in one dimension has a 'pull' effect on other dimensions. For example, progression to the Conform Stage in the Perceptual dimension is likely to cause the acceleration of stage advancement in the Behavioral, Symbolic, and Affective dimensions. Lagging ESL

dimensions can be addressed through ESL facilitation strategies. Strategies can include attempts to accelerate the stage progression by focusing on deficient or dormant learning styles. An effective ESL Group will need to develop skills corresponding to each of the four styles. Table 3.4 provides an analysis of stage characteristics as related to the ESL dimensions. Figure 3.8 illustrates the relationships between stage progression and the increasing integration of ESL dimensions.

Dimension Definitions. The ESL Dimensions are broadly defined as follows:

Behavioral: The dimension of human learning related to human activity, especially the reactive and proactive experiences of individuals and groups as they interact with environmental inputs. This dimension relates most to the Active Experimentation skill of the ESL Process, but also relates strongly with Concrete Experience.

Perceptual: The dimension of human learning that relates to the human endeavor to understand the environment by organizing and interpreting experience. This dimension relates most to the Reflective/Observation skills of the ESL Process.

Affective: The dimension of human learning that relates to feelings and emotions. This dimension refers most to Concrete Experience and related skills of ESL.

Symbolic: The dimension of human learning related to the interpretation and processing of experience through ideas and conceptual symbols; especially relates to the internalization of theories of reality as manifested by ideologies and religions. This dimension relates most to the Abstract Conceptualization skills of the ESL Process.

ESL Styles. Figure 3.5 proposes a tentative relationships between the ESL domains, dimensions, skills, and styles. Kolb's research (1975, 1984) provides the theoretical foundation for the relationship among learning dimensions (Behavioral, Affective, Symbolic, and Perceptual), process skills (CE, RO, AC, AE) and relevant learning styles (Divergence, Assimilation, Convergence, and Accommodation). Table 3.4 presents the relationships between dimensions, styles, and process skills. For example, in Table 3.4., the Behavioral dimension is strongly related with the Accommodation and Convergence styles. In this case, "dominant" styles are related to the behavioral dimension. In contrast, Assimilation and Divergence are "dormant" learning styles related to the behavioral dimension. For each dimension, two of the styles are dormant and two are active (or dominant). The relationships between the styles and the process skills are more direct. The Convergent Style includes dominant learning abilites in Abstract Conceptualization and Active Experimentation. The Divergent style emphasizes abilities related to Concrete Experience and Reflective Observation. The Assimilative style relates to abilites in Abstract Conceptualization and

Reflective Observation. The Accommodation style relates to abilities in Concrete Experience and Active Experimentation.

The relationships between learning style and ESL domains are more tentative. Figure 3.7 suggests a direct relationship between learning style and domain. In reality, the relationships are more ambiguous and overlapping than those presented in Figure 3.7 because each style (as well as each learning dimension) is relevant to all of the domains in one way or another. Table 3.4 implies a more reasonable proposition in which styles are related to domains as either dominant or dormant methodologies. Dominant styles are those considered to provide a better "fit" with a particular domain. In other words, an ESL group wishing to emphasize a particular domain should develop a strategy employing certain learning styles over others. In some cases, the dormant styles are those most appropriate to the tasks required by a particular domain. These dormant styles must be wakened. Numerous hypotheses may be teased out of the material in Table 3.4 regarding the relationships between domains and styles.

ESL Process Skills. The most important component of the ESL model is Kolb's experiential learning process. Effective development requires effective learning process. The Kolb model, with its emphasis on experience as the basis for theory construction, is proposed as the appropriate process for effective social transformation. Similar to Freire's theory of praxis, the Kolb model emphasizes the dialectic tension between action and reflection. Kolb's model, drawing from Dewey and Lewin, extends the Freirean praxis model by including consideration for the dialectical tension between abstract and concrete elements of learning (Figures 3.2, 3.5). Dialectic tension is the catalyst for innovative learning. The contradictions and cognitive dissonances, which result from dialectic tension, reveal the inadequacy of present theories and values and give way to experimental discoveries of more appropriate and effective theories and values (as well as the political strategies and collective actions necessary for their implementation).

According to the ESL Model, stage development is impossible without an effective experiential learning process. The iterative nature of the experiential learning model (Figure 3.5) leads to an ongoing overlap between learning cycles; each new cycle builds on the knowledge obtained from the previous cycle. The point of intersection between cycles represents both the evaluation of the new experience (based on the findings of previous experience) and also a potential transition point in which less adequate conceptualizations are replaced by more adequate insights. An ESL Group may be involved in numerous experiential learning cycles related to the activities in various domains. Stage progression related to ESL dimensions and domains will be preceded by numerous series of experiential cycles. In basic terms: learning

depends on processed experience and development depends on processed learning which is derived from the effective use of ESL skills in iterative cycles.

As mentioned, the ESL process skills (CE, RO, AC, AE) are closely related to the ESL dimensions. Figures 3.7 and 3.8 illustrate the relationships between the Behavioral, Perceptual, Affective, and Symbolic dimensions. Table 3.4 also depicts the relationships between learning skills and learning dimensions. In essence, dimensional immaturity is, in part, a consequence of a deficient ESL process skill. Deficient or dormant process skills are largely a consequence of preferred learning styles. Maturation in various dimensions proceed at different rates depending on the dominant and dormant learning styles of the individual or group.

ESL Stages. The three-stage synthesis is a condensation of a variety of stage development theories, including personality, cognitive/intellectual, consciousness, values and organization studies. The Conform, Reform, Transform Stage conceptualization is derived from this synthesis and provides the study with a number of empirically-derived stage characteristics. These stage characteristics have been classified according to the behavioral, perceptual, affective, and symbolic dimensions (Table 3.4) and according to the ESL domains (Table 3.5). Table 3.5 illustrates the relationships between the stage characteristics and the ESL domains. In Table 3.5, the stage characteristics are restated more coherently and classified according to functional categories pertinent to each ESL domain. These classifications provide the foundation for empirical measurement of development progression. The ESL stage conceptualization is implicitly value-laden. As such, Stage 3 -- the Transform Stage -- is assumed to be inherently "better" than Stage 1, the Conform Stage; and, movements by individuals and groups toward the Transform Stage is explicitly advocated as a critical goal for which to strive.

Table 3.3
Functions & Stage Characteristics of ESL Domains

Social Values Domain			
Functional Category	Stage Characteristic Conform Stage	Reform Stage	Transform Stage
Interpersonal Style	Exploitive, manipulative; mutual trust extended only to narrow in-groups; trust based on actions rather than feelings.	Based on feelings & traits rather than just actions; tolerate conflicting demands; renounce unattainable.	Intensive recognition of inevitable mutual inter-dependence; recognize others' need for autonomy; Cherish individual differences.
Rules and Authority	Obedience out of self-interest; partial internal-ization of rules.	Right & wrong originates with authority -- communicated through persons & conventional expressions of morality.	Morality internalized; Inner moral principles, freely chosen, take precedence over group-sanctioned rules.
Conscious Preoccupation	Control & advantage; domination, deception; life is a zero-sum game. Material things, status, reputation, appearance are driving forces.	Obligations, ideals, traits & achievement as measured by inner standards rather than just social recognition & acceptance.	Role differentiation; individuality -- not just self-fulfillment. Integrated identity.
Community Orientation (Peck, 1987)	Relationships manipulative self-serving; anti-social but with pretense of caring --thus, superficial. Conflict is avoided. Individual differences denied, individuality, intimacy, honesty crushed. Chaotic value commitment. "Anomic" community (Warren and Warren ,1977) "Gesellschaft" (Tonnies,1887) No communal solidarity	People 'commune' -- often in formal institutions -- in order to be "healed" or to convert -- motive is for normalcy & conformity, marginal concessions, in the way of reforms, with intent of maintaining status quo, are made.	Deeply committed to social causes & principles; Acceptance & celebration of cultural diversity; Conflict is not avoided but effectively dealt with. Emphasis on community-building & integration rather than specialization. "Integral" Community (Warren & Warren, 1977) "Gemeinschaft"(Tonnies, 1887) high communal solidarity
Theory of Reality Domain			
Cognitive Style	Stereo-typing, conceptual confusion/simplistic	Conceptual complexity; ideals of patterning; beginning to adjust to diversity through recognition of complexity.	Increased conceptual complexity; complex patterns; toleration for ambiguity, broad scope; objectivity; integration.

Table 3.5 (continued)

Functional Category	Stage Characteristic Conform Stage	Reform Stage	Transform Stage
Learning Process	Revelation of truth by expert authority; if conflict between ideas is perceived, one element is incorrect.	Discovery of correct answer through scientific method and logical analysis; multiple views acknowledged but congruence/simplicity sought.	Emerging levels of insight: learning entails reorganizing past insight into new personally generated pardadigms through new experiences. Learning follows dialectical process in which contradiction and multiplicity of views is of interest.
Epistemological Assumptions	Knowledge perceived as a possession which helps one get desired ends; general information required for social roles; objective truth revealed by Authority.	Knowledge is know-how; personal skills in problem-solving; divergent views resolved by rational processes.	Knowledge is personally generated insight about self and nature of life; it is subjective and dialectical; contradiction & paradox are central.
	Knowledge is used to obtain concrete ends; education will get X. Social approval, appearance, status for meeting expectations of others are the main uses for knowledge.	Knowledge is useful for competence in work and social rules; used to achieve internalized standards of excellence and to act on or change the world. Educa- is useful to do X.	Knowledge is for self-standing and development; it is used to transform self & the world. Education is useful to become X.
	Knowledge comes from: external authority; from asking how to get things or how to get things done.	Knowledge comes from: personal integration of information based on rational inquiry; from setting goals, exploring causal relationships and asking why things work.	Knowledge comes from: personal experience and reflection; personally generated paradigms, insights, judgments; from asking if things are as they appear.
Motivation for Learning	To satisfy immediate needs; impress significant others; Gain social acceptance and entry into social roles.	To achieve competence relative to standards of excellence.	To deepen understanding of self, world, and life cycle; develop increasing capacity to manage own destiny.
Political Strategy Domain			
Orientation to intention/ consequences	Focus on the instrumental value of an act in serving a need; action evaluated according to the type of person or motive involved in the act. Circumstances may justify deviant action.	An act is always or categorically wrong, regardless of motives or circumstances if it violates a rule and does foreseeable harm to others.	End does not justify the means, although the circumstances or motive may modify disapproval. Act is right if it follows from general self-chosen principles.

Table 3.5 (continued)

Functional Category	Stage Characteristic Conform Stage	Reform Stage	Transform Stage
Motives for Moral Action	Action motivated by desire for reward or benefit. Possible guilt reactions ignored. Punishment viewed in pragmatic manner. Action is influenced by others, real or imagined	Action motivated by anticipation of dishonor, i.e., institutionalized blame for failure of duty, and by guilt over concrete harm done to others.	Concern about respect of self and community (based on reason not emotion). Concern to avoid being irrational, inconsistent, non-purposive. nation for violating own principles.
Mode of Conflict Resolution	Aggregation, denial, rejection of task, politically illiterate	Politically naive, Marginal reforms accepted	Differentiation, transcendence; politically astute
Social Responsibility & Awareness	Problem denial, security orientation, fatalistic, self-preservation /survival concerns; conform to oppressor's world view.	Blames individuals for their problems/crises, holds system in high esteem, paternalistic helping; self-blame/self-pity for personal problems/crises.	Affirmation of self and peers, sees systemic cause of many crises/problems. Perceives system contradictions and critiques it. Refuses to collude with system. Commitment to and struggle for principles.
Collective Action			
Institutional Role and learning	To enforce learning by showing how things should be done. To provide prepackaged general experience or basic information; to certify level of information internalization.	To offer structured programs which offer concrete skills and information, opportunities for rational analysis, and practice which can be analyzed and certified.	To provide new experiences, task key questions to key dilemmas; to foster personal experience and personally generated insight; to highlight significant discontinuities and paradoxes.
Role of Leader	As agent who focuses attention and shows how; or who presents information. foci: showing and verbal presentation.	As a role model and evaluator; modeling skills, posing questions, evaluating analytic abilities & Skill competencies; Focus: apprenticeship/internship	As facilitator who sets-up experience & reflective observation; as a resource for planning & evaluation. Focus: facilitation
Role of Follower	As imitator of activity, or as subordinate in impersonal relation to leader -- internalizes & parrots information.	Subordinate but with substantial personal interaction with leader. Follower analyzes and critiques information, practices competence.	Follower defines relation with leader as equal participant; emphasis is on experience, creating own interpretations, and transformative meanings.
Communal Activism	Fatalism, distrust, alienation, inertia	Activism without reflection or direction.	Social solidarity, trust in others

Table 3.5 (continued)

Functional Category	Stage Characteristic Conform Stage	Reform Stage	Transform Stage
Organization & Management Orientation	Authoritative Management Style; Bureaucratic Management; Forecast based planning	Consultative Management Style; Strategic Management	Participative Management Style; Strategic Organization.
	Responds to circumstances, engaged in short-term intentional acts toward goals (Kolb, 1984)	Achievement orientation, development of clear goals, willingness to take risks--making goal & strategy trade-offs (Kolb, 1984)	Experimental orientation, hypothesis testing; change goals & strategies based on results -- responsible action, accepting unknown, emergent reality-- linking to life purpose (Kolb,1984)
Overarching States of Consciousness			
	Undifferentiation, immersion in world, dependence, conforming to world, adoptive mode with world, world as mystery, reward & punishment orientation. Performance oriented, Magical	Specialization, interaction with world, independence, reforming world, adaptive/reactive mode with world, world as problem, authority orientation, learning oriented, Naive.	Integration, transaction w/ world, interdependence, transforming world,proactive mode mode with world, world as project, mystery cared for, principled morality, developmental/critical orientation.

Sources: Lasker, et al., 1980: 30; Kohlberg, 1969; Metcalf, 1971: 64; Loevinger, 1976; Korten, 1984b

Experiential Social Learning and Organizational Factors

The Experiential Social Learning (ESL) model hypothesizes certain relationships between learning process and developmental progression. In its simplest terms, the model assumes that developmental progression depends on an effective learning process. The model also suggests that human development can best be understood as a series of progressive movements toward more mature stages. The three-stage synthesis of the ESL model does not suggest precise stage boundaries, but does imply the presence of inherent parameters which distinguish certain "eras" in the maturation of an individual or a group. While each of the stages (or eras) of this model (Conform, Reform, Transform) is distinctive, the model does not discount the 'gray areas' between stages or that a group or individual can become more mature in certain "domains" than others. For example, a group could be identified at the conform stage of maturity as it relates to Political Strategy and the reform stage as it relates to Social Values. However, the model assumes that a dynamic learning process affecting one domain will have a 'pull' effect on the other domains as the dissonance between domain maturation is recognized. Likewise, according to Kolb, the maturation of the Behavioral, Symbolic, Perceptual, and Affective learning dimensions are interrelated. Assuming a solid experiential learning process is present, increasing maturation in one dimension has an accelerating effect on the others. The higher the stage, the more closely integrated the dimensions (or domains), and each progressive movement in any dimension has the capacity for producing greater acceleration in the others. (1975: 42).

Figure 3.5 indicates that the Experiential Social Learning Process does not occur in a vacuum. The ESL model is an open system in which the relationships between the group, the ESL process, and the environment are recognized.

The ESL Group and the Environment

Figure 3.5 suggests that there are three different types of environments that potentially interact and influence the ESL process. The Environment of Submission is associated with the Conform Stage. As an ESL group begins to mature and to interact with internal and external forces, an Environment of Transition can be identified. As the ESL group enters into the transform stage, it helps to induce an Environment of Transformation.

This approach assumes that environments are not static; rather, they are constantly undergoing change and can be influenced by a variety of sources, including an ESL group. Environmental factors can be both facilitative and restrictive of an effective ESL process. Thus, the Environment of Submission implies an essential submission to restraining or restrictive forces. The Environment of Transition indicates a lessening of the restraining forces that prevent an ESL Process and an increase in the driving forces of ESL. The Environment of Transition encourages the ESL Process to germinate and take root. The progression to the Reform and Transform Stages is then facilitated. The ESL group at the Transform Stage takes on a fundamentally different form and interactions with the environment intentionally extend the transformation beyond the group. The ESL group now interacts with an Environment of Transformation in which the restraining and oppressive forces of the environment are actively and consciously challenged; existing forces, which drive and facilitate ESL are strengthened, and new driving/facilitating forces are discovered.

The Environments of Submission, Transition, and Transformation include internal and external factors capable of releasing forces of oppression or liberation. This conceptualization implicitly assumes an organic, open system in which the ESL group is influenced by environmental inputs and is also capable of influencing the environment through a series of outputs. The environmental types have been defined in terms of the manner in which the ESL group interacts with the environment and are related with stage progression. In essence, the ESL group is engaged in the creation of a new environment. For example, while the Environment of Transformation is not a utopia, it holds the seeds of a utopia in the vision, faith, and behavior of ESL group members.

External and internal factors facilitate or restrain the ESL process (as illustrated in Figure 3.9). Both the external and internal contexts include three categories of factors: societal factors, task factors, and organizational factors. Societal factors include: values/norms, socio-political structures and institutions, theories of reality and ideology, and political-economic systems. Task factors include: resources, technology, interpersonal relations, performance standards, and needs. Organizational factors include: the approach to management/leadership, motivational forces, communication process, decision-making process, planning process, control and evaluation processes, and performance improvement and learning processes. Each of these factors has the potential of facilitating or restraining the ESL process. Likewise, a dynamic ESL process has the potential of transforming environmental factors. Figure 3.10 provides a model of the relationships between the environment's

internal and external factors and the ESL group.

Societal, organizational, and task factors can be examined at two levels, which are referred to in Figure 3.10, as the Internal Context and the External Context. The Internal Context is indicative of the immediate, local environmental factors that influence the prospects for effective ESL. The societal factors of the Internal Context include: values, beliefs, and roles of the ESL group members. Task factors of the Internal Context include: the local resources (human; material--financial, physical, natural; organizational), technology, needs (felt and latent), performance standards, and interpersonal relationships available for the accomplishment of ESL group goals.

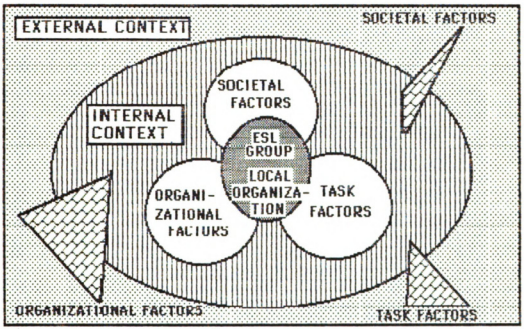


Figure 3.9
ESL and the Environment

The organizational factors of the Internal Context refer to the characteristics of a Local Organization (LO) engaged in an ESL process. Local Organizations vary in size, task complexity, and political clout, but all are concerned with a number of organizational factors including structure, atmosphere, management philosophy/attitudes, leadership characteristics, decision-making process, communication, evaluation, information gathering/processing, and information storage and retrieval. All of these factors impact on the capacity of the Local Organization (LO) to engage in an effective ESL process. According to the Esman and Uphoff (1984) typology, LOs can be Local Development Associations, Interest

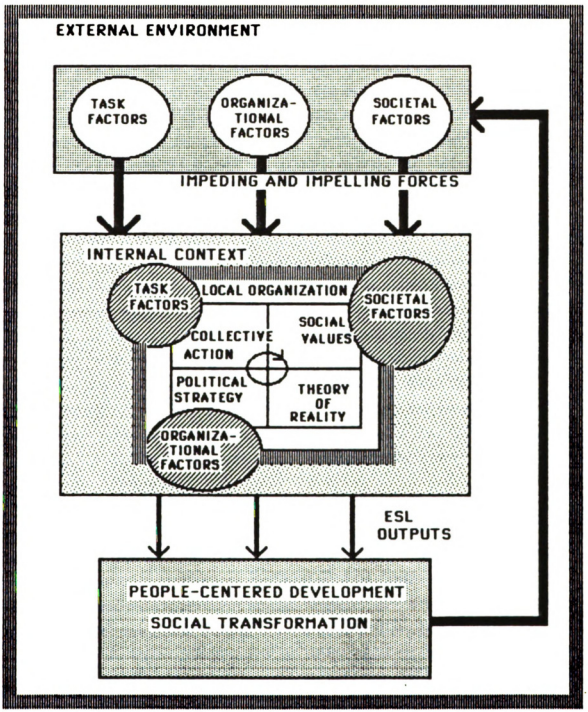


Figure 3.10
Experiential Social Learning and Transactions with the Environment

Associations or Cooperatives.

The Local Development Associations (LDA) generally encompass more diverse groups from the community and are often drawn together by a commonly 'felt' need in the community. LDAs tend to be organized on the basis of geographic area such as a neighborhood or municipal organization--"community" is perceived as a geographic or political entity. The LDA is often concerned with diverse development functions/activities (Esman and Uphoff, 1984: 63).

Interest Associations (IA) represent a diverse range of organizations but can best be defined as a local entity that restricts its membership to persons with common interests or personal characteristics. Examples of IAs include women's associations, mothers' clubs, tribal unions, church groups, water management associations. The IA views "community" as a group of persons with common interests and affinity rather than as geographic area. Cooperatives have an economic focus and require the members to make material or financial investments in the enterprise (Esman and Uphoff, 1984: 63).

The ESL group functions within the parmeters of a Local Organization and is impacted by the various factors of the internal context. An ongoing interaction with the factors of the external context also influences the LO capacity for ESL. The societal factors have a tremendous influence on the ESL Process and include: values/norms; social/political/economic institutions and structures; dominant theories of reality and ideology of the larger, external context. Task factors include: resources, needs, technology existent in the external context, (but not presently accessible by the ESL group). External agencies (Governmental or private) influence the degree to which task factors in the external context become facilitators of the ESL Process and supportive of ESL Group Goals.

The Organizational factors of donor or partner agencies, (whether governmental, non-governmental, private enterprises, or private voluntary), influence the organizational factors of the internal context, i.e., the LO. Typically the association between LO and external agency leads to an imposition of the systems and standards of the external agency due to its high degree of influence on the LO. Thus, the external agency structures, ideology, mission and objectives, management philosophy/attitudes, decision-making process, communications and informations systems become the de facto standards for the LO. These organizational factors are, both potential restraints and facilitators of the ESL Process in an LO. Organizational factors, in sum, represent an organizational culture; a culture that is not always supportive of ESL. This study will focus on some of the relationships between organizational culture and ESL, in particular, the organizational requirements of ESL.

Understanding Organizational Factors

A significant quantity of research has been conducted on the relationships between learning and environmental influences. Scholars in the fields of organization development, and adult education, among others, have been keenly interested in understanding how the organizational culture impacts the learning and development of organizational members and, consequently, the effectiveness of the organization. In Table 3.6, Malcolm Knowles (1984: 100) distinguishes between two types of organizational cultures, the static organization and the innovative organization. The fundamental characteristics of an innovative organization, as indicated by Table 3.6, are important facilitative forces for an effective ESL process.

The static organization which is decribed by Knowles (1980) parallels McGregor's (1960, 1983) conceptualization of Theory X and Theory Y management styles, and Carl Rogers comparison of the assumptions implicit in current/traditional education and experiential education. In Table 3.7 Knowles compares the assumptions about human nature and behavior by leaders in management and education.

The Emergence of Holistic Perspectives

Since McGregor's initial work in 1960, a tremendous shift in management theory and behavior has occurred. The shift in focus toward more humanistic perspectives on the interactions between individuals, groups, and organizations has become known as the human relations model of organization/management theory (Perrow, 1979; Bolman and Deal, 1984). The human relations movement is composed of many convergent streams of thought. In addition to McGregor's pioneering work, early foundations to the human relations movement and its offspin, organization development, included Herzberg's two-factor theory of motivation in the workplace (1966), Fiedler's leadership contingency theory (1967), Maslow's (1970) hierarchy of needs conceptualization of personality and motivation, the T-Group studies of Lewin and his colleagues (1939), and the emphasis on learning and participative management by Argyris (1964, 1970, 1975; Argyris and Schon, 1978) and by Likert (1961, 1967).

Lewin, Maslow, Rogers, McGregor, Likert, and Argyris had tremendous influence on the evolution of the field of Organization Development. Ouchi's Theory Z, (1981), a bestseller about merging Japanese and American management styles, contributes to the earlier conceptualizations and, in particular, to McGregor's. Despite the extensive influence of McGregor's Theory X/Theory Y conceptualization,

Table 3.6

Some Characteristics of Static versus Innovative Organizations

	TYPE OF ORGANIZATION	
	Static Organization	Innovative Organization
DIMENSIONS		
Structure	Rigid -- much energy given to maintaining status quo, existing structure; reverence for tradition, constitution, rules	Flexible -- use temporary task forces; easy shifting of departmental lines; willing to change laws, depart from tradition.
	Hierarchical -- adherence to chain of of command	Multiple Linkages based on functional collaboration.
	Roles defined narrowly	Roles defined broadly
Atmosphere	Task-centered, impersonal	People-centered, caring
	Cold, formal, reserved	Warm, informal, intimate
	Suspicious	Trusting
Management Philosophy and Attitudes	Function of Management is to control personnel through coercive power	Function of management is to release the energy of personnel; power is used supportively.
	Cautious, low risk-taking.	Experimental -- high risk-taking
	Attitude towards error: to be avoided.	Attitude towards error: to be learned from.
	Emphasis on personnel selection	Emphasis on personnel development.
	Self-sufficiency -- closed system regarding shared resources.	Interdependency -- open system regarding sharing resources.
	Emphasis on conserving resources	Emphasis on developing and using resources.
	Low tolerance for ambiguity	High tolerance for ambiguity.
Decision-Making and Policy-Making	High participation at top, low at bottom.	Relevant participation by all those affected
	Clear distinction between policy-making and policy-execution	Collaborative policy-making and policy-execution.
	Decision-making by legal mechanisms	Decision-making by problem solving. Decision as hypothesis to be tested.
	Decisions treated as final	
Communcations	restricted flow; one-way; top-down;	Open flow, easy access, multi directional,
	Feelings repressed or hidden	feelings expressed

Source: Knowles (1980: 69)

Table 3.7
A Comparison of Assumptions by Leaders in Management and Education

Theory X Management Assumptions about Human Nature (McGregor) -- Controlling	Assumptions implicit in traditional Education (Rogers) -- Controlling
The average human being inherently dislikes work and will aviod it if he can.	The student cannot be trusted to pursue his own learning.
Because of this characteristically human dislike of work, most people must be coerced, controlled, threatened in the interest of the organizational objectives.	Presentation equals learning. The aim of education is accumulate brick upon brick of factual knowledge.
The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, wants security above all.	The truth is known. Creative citizens develop from passive learners. Evaluation is education-Education is evaluation.
Theory Y Management Assumptions about Human Nature -- Releasing	**Assumptions relevant to significant Experiential Learning -- Releasing**
The expenditure of physical and mental effort is as natural as play or rest.	Human beings have a natural propensity for learning.
External control and threat of punishment are not the only means for bringing about effort toward organizational objectives. Man will exercise self-direction and self-control in the service of objectives to which he is committed.	Significant learning takes place when the subject matter is perceived by the student as relevant to his own purposes. Much significant learning is acquired by doing.
Commitment to objectives is a function of the rewards associated with their achievement.	Learning is facilitated by student's responsible participation in the learning process.
The average human being learns, under the proper conditions, not only to accept but to seek responsibility.	Self-initiated learning involving the whole person --feelings as well as intellect -- is the most pervasive and lasting.
A high capacity for imagination , ingenuity, and creativity in solving organizational problems is widely, not narrowly distributed in the population.	Creativity in learning is best facilitated when self-criticism and self-evaluation are primary, and evaluation by others is of secondary importance.
Under the conditions of modern industrial life, the intellectual potential of the average human being is only partially utilized.	The most socially useful thing to learning in the modern world is the process of learning, a continuing openness to experience, an incorporation into oneself of the process of change.

Source: Knowles, 1984: 195

it tends to paint a rather simplistic picture of organizational behavior. Rensis Likert constructed and tested a model that moves beyond the McGregor dichotomy of human behavior in organizations and advocates a continuum perspective of management behavior. The Likert conceptualization views the X theory/Y theory assumptions as valid poles on a continuum of organizational development, with "exploitative-authoritative" and "participative management" representing the X and Y positions, respectively. Intermediate positions include the"benevolent-authoritative" and "consultative" stages (1961).

Others, who approach the study of organizations from different perspectives, have criticized human relations adherents, such as McGregor and Likert, for being overly simplistic or, in Likert's case, for a social desirability bias in the research instrumentation.(Perrow, 1979: 133). Perrow critiques the human relations theories based on insufficient empirical evidence as well as unsound methodologies and theoretical bias. Critisizing the human relations adherents, he states: "one cannot explain organizations by explaining the attitudes and behavior of individuals or even small groups within them" (1979: 133) Indeed, attitudes do not always accurately predict actual behavior in organizations. However, neither should they be discounted.

To a large extent, the problem with the human relations movement is not the weakness of empirical evidence, the so-called "theoretical bias," or even imperfect methodologies. More fundamentally, the problem lies in the failure of human relations theorists, whose intellectual heritage relies on humanistic social psychology, to integrate or reconcile their findings with those of other theoretical perspectives. For example, Bolman and Deal (1984: 105) point out that "the works of Argyris, McGregor, and Likert devote much attention to concepts like communication, feedback, and leadership but rarely mention power. Organizational politics, if mentioned at all, is usually viewed as a problem to be solved rather than a natural and basic phenomenon in organizations."

Some have addressed the need for theoretical integration through systems and cybernetics theories (Katz and Kahn, 1978; Thompson, 1967; Weick, 1969). Others have been content to make pragmatic adaptations of the human relations or structural perpectives, through contingency and situational leadership theories. Contingency theorists argue that there is no one best way to organize. The preferred structure is one that fits well with the tasks and environment faced by the organization so that goals can be most effectively achieved (Lawrence and Lorsch, 1969; Galbraith, 1977; Fiedler, 1967). "The structure of an organization depends particularly on the amount of uncertainty that the organization has to deal with. Organizations that live in relatively simple, stable environments can develop relatively simple, stable structures.

Organizations that live in turbulent, changing, and uncertain environments need structures that are more complex, differentiated, and flexible" (Bolman and Deal, 1984: 46).

Situational leadership theory attempted to provide the human relations school with a balancing concern for task effectiveness. Blake and Mouton (1975) devised the famous Managerial Grid which identifies five management styles for responding to the task and relationship dimensions of leadership. An effectiveness dimension is included in the grid with "team management" and "impoverished management" representing styles at opposite ends of the effectiveness continuum (Hersey and Blanchard, 1977). The definitions of these styles clearly mimic those of the McGregor and Likert conceptualizations with the added emphasis on the task dimension. According to situational leadership theory, the "team leader" is an ideal type, but the appropriate leadership style depends on the psychological maturity (relative independence, ability to take responsibility, achievement-motivation) of an individual or group. The leader's behavior should vary accordingly (see: Tannenbaum and Schmidt, 1958; Blake and Mouton, 1969; Hersey and Blanchard, 1977).

Toward Organizational Theory Integration

Despite a myriad of organizational theory inputs, such as management by objective programs, PERT charts, consultants, management information systems, and others, managers have not been able to use "this arsenal to tame the wild and savage social creations that we mundanely call, 'organizations" (Bolman and Deal, 1984: 2). Bolman and Deal in their 1984 book, Modern Approaches to Undertanding and Managing Organizations, have made a practical and important approach to integrated theory. They review the various theories on organizations and management and group these theories into four "frames" which, in their view, represent different (and all critically important) vantage points for viewing the same phenomenon. The four approaches (frames) for understanding organizations include:

1. The Structural Approach emphasizes organizational goals, roles, and technology. The structural theorist seeks ways to match organizational structures and functions with the organizational purpose and the environment. The structural frame focuses on formal roles and relationships. Of ultimate concern is task accomplishment. Inability to accomplish organizational tasks result when the structure is inappropriate for the situation. Basic assumptions of the structural approach include: a) organizations exist primarily to accomplish goals; b) rational design of structures appropriate to the goals,

environment, and technology of the organization is feasible; c) organizations need to employ rational constraints to environmental turbulence and the personal preferences of its members in order to maximize effectiveness; d) individual expertise and performance is enhanced through specialization; e) authority and impersonal rules are the best tools for maintaining coordination and control; and f) Organizational problems are a consequence of inappropriate structure and can be corrected through the redesign and reorganization of structures (Bolman and Deal, 1984: 31).

2. The Human Resource approach emphasizes the interdependence between people and organizations. The primary concern of the human resource approach is the matching of people's needs, skills, values and the formal roles and relationships required to accomplish collective goals and purposes. The key to effectiveness in this frame is to design an organizational form that corresponds to people's needs. Key assumptions include: a) organizations exist to serve human needs; b) organizations and people need each other; c) a poor fit between human needs and the organization design will result in poor organizational effectiveness and dissastisfaction; and d) when the fit between human needs and the organization is good, satisfaction and organizational effectiveness in accomplishing its mission are possible (Bolman and Deal, 1984: 65).

3. The Political Approach emphasizes power, conflict, and the distribution of scarce resources as core organizational issues. This perspective explains decisions about goals, structure, and policy as emerging from an ongoing negotiation and bargaining among the major interest groups and stakeholders. The focus in not to avoid conflict, as in the structural and human resource approaches, but rather to be politically astute in developing and using conflictive strategies and tactics (Bolman and Deal, 1984: 119; Alinsky, 1971; Mitroff, 1983). The assumptions of the Political Approach include: a) most important organizational decisions involve the struggle for the allocation of scarce resources; b) organizations are composed of coalitions of individuals and interest groups; c) individuals and interest groups have diverse values, preferences, beliefs and perceptions of reality which change slowly, if at all; d) the goals and decisions of the organization emerge from an ongoing process of bargaining among individuals and groups; and e) due to the realities of scarce resources and enduring differences, the management of power,

coalitions, and conflict are part of the real world of organizational life (Bolman and Deal, 1984: 109).

4. The Symbolic Approach focuses on problems of meaning in organizations. The symbolic approach does not make the same assumptions of rationality, certainty, and linearity that the other perspectives make in varying degrees. In contrast, the symbolic approach assumes: a) the significance of an event is found not in what happened but in the deeper, symbolic meaning of the event; b) meaning is derived not only from what objectively happened but also by the way in which humans subjectively interpret the event; c) many of the more significant events or processes in an organization are veiled in ambiguity and uncertainty; d) the realities of ambiguity and uncertainty make rational approaches to analysis, problem solving, and decision-making ineffective; and e) in the face of uncertainty and ambiguity, humans create symbols to reduce ambiguity, resolve confusion, increase predictability, and provide direction. Meaning, belief, and faith are central to the symbolic frame, and form the basis for the creation of myths, rituals, metaphors, humor, and ceremonies in order to symbolically mediate with a world that defies rational comprehension (Bolman and Deal, 1984:151). The glue that holds the organization together is not its policies, goals, or management systems, but rather the shared values and culture of organizational members (84:6).

Each of the four major perspectives is conceptually coherent and empirically well-established. Unfortunately, very few organizational theories, to date, attempt to synthesize the propositions of the various perspectives into a practitioner-oriented theoretical framework. Bolman and Deal lament the failure of organizational theory to move beyond its current state of pluralism to a conceptualization that considers each of the diverse perspectives as essential to a more integrated, holistic science of organization (Bolman and Deal, 1984: 232-239). Further, they argue that all organizations have multiple realities and each organizational event can be interpreted and subsequently compared through the various frames. "Comparison across the frames helps to clarify many cases of confusion and conflict. When people interpret events through different frames, disagreement and conflict are inevitable...Exploration of the plausibility of different interpretations helps to penetrate below the surface of conflict and pinpoint its origins" (1984: 246)

This use of various perspectives to view a single event or process is referred to as "reframing" and is a significant, practical tool for understanding organizations .

Table 3.8
Organizational Factors and Frame Interpretation

Process	Structural	Human Resource	Political	Symbolic
Planning	Strategies to set objectives and coordinate resources	Gatherings to promote participation.	Arenas to air conflict & realign power	Ritual to signal responsibility, produce a symbol, negotiate meaning
Decision-Making	Rational sequence to produce right decision.	Open process to produce commitment	Opportunity to exercise or gain power	Ritual to provide comfort & support until decision happens
Reorganizing	Realign roles & responsibilities to fit tasks & environment	Maintain a balance between human needs and formal roles	Redistribute power & form new coalitions	Maintain an image of accountability & responsiveness; negotiate new social order
Evaluating	Basis for distributing rewards & penalties	Basis for helping individuals to grow	Opportunity to exercise power	Occasion to play roles in a shared ritual
Approaching Conflict	Maintain organizational goals by having authorities resolve conflict	Develop relationships by having individuals confront conflict	Develop power by bargaining, forcing, manipulating to win	Develop share values & use conflict to negotiate meaning
Goal Setting	Keep organization headed in a direction	Keep people involved & communication open	Provide opportunity for individuals/groups to make interests known	Develop symbols & shared values
Communication	Transmit facts & Information	Exchange information, needs, feelings	Vehicle for influencing or manipulating others	Telling stories
Meeting	Formalized place to make decisions	Informal place to be involved, share feeling	Competitive place to win points	Sacred place to celebrate & transform the culture
Motivating	Monetary Rewards	Growth, self-actualization	Coercion, manipulation, seduction	Symbols, plaques, perks, etc

Source: Bolman and Deal, 1984: 247

Reframing can be used to diagnose the behavior of individuals or groups, to evaluate strategies, or to clarify an issue. Certain frames are more useful to certain situations, with level of ambiguity, conflict, availability of resources, and role of the actor among the important variables to consider when choosing from the frames (84: 255). Because each frame addresses a critical managerial concern and organizational domain, a high performing organization will assure that the four frames are aligned to assure mutual support. To neglect any of the frames, potentially endangers the organization's

capability to survive. Other recent organizational research (Peters and Waterman, In Search of Excellence, 1982; and Kotter, The General Managers, 1982) lends credence to the argument for theoretical and practical integration of the various perspectives and are cited by Bolman and Deal (84).

Table 3.8 demonstrates how each frame offers different interpretations of the same organizational processes. Each of these organizational processes represents a key organizational factor with the potential for facilitating or inhibiting experiential social learning.

Organization Development Stages

The complexity of organizations is an enormous challenge to those who would undertake a serious examination of how experiential social learning and organizational factors interact. The Bolman and Deal frame theory represents an important tool to both the theoretician and the practitioner because it renders this challenge less insurmountable. Our capacity to understand organizational factors is enhanced when a multiplicity of equally valid perspectives are used to obtain a more complete view of diverse organizational realities. A pragmatic, non-dogmatic approach to using the various frames for specific needs and a vigilant effort to align the frames are key to organizational survival and maturation.

Organizations, as collective expressions of human behavior, are similar to their human progenitors, in their common experience of life cycles. Some organizations mature, others remain immature adolescents, others atrophy before they have made their full contribution to man and society, and some do not survive the crises of life. Similar to the phase theories of human development, some have argued that organizations pass through predictable crises, or "revolutions," affecting the evolutionary pattern of organizational growth and maturation . Crises become transition periods for organizations. They lead to further growth and development if the organization is able to learn and adapt or they lead to stagnation and eventual death if the organization is unable to adapt. Greiner (1972) proposed a phase development theory for organizations. According to this theory organizations pass through phases that include growth followed by a crisis. These crises become the transition period for a new phase of growth. Periods of organizational growth through creativity, direction, delegation, coordination, collaboration were each followed respectively by crises of leadership, autonomy, control, red tape, etc.

David Korten addresses the organizational maturation issue through his theory of social learning curves (see Figure 2.8). For Korten, the failure of organizations to mature in their ability to carry-out effective development work is

closely associated with their failure to learn how to learn. According to Korten, ineffective organizational learning is a consequence of performance standards which emphasize organizational efficiency and growth prior to having learned to be effective. The consequence may be an organization that grows, but does not mature. A fundamental and valid truism is that growth is not inherently good. Cancerous growth is a striking metaphor of growth without maturation or healthy development. Indeed, growth, like cancer, can eventually destroy its host. Likewise, an organization that places efficiency as the primary virtue may show an excellent cost/benefit ratio, but may not survive if it cannot define and fulfill its mission effectively. Thus, Korten advises organizations to strategically plan their development by learning to first be effective, and then, to learn to make effective practice more efficient. Finally, organizations need to learn how to expand by transferring what has been learned (Korten, 1984b). As organizations follow this effectiveness-oriented path to learning, they will be able to develop increasing levels of strategic competence, moving from Stage 1, (Bureaucratic management/forecast-based planning) to Stage 2, (strategic planning) and, finally, to Stage 3 to become a "strategic organization" (Korten, 1984a). Similarly, ESL, (as an expanded articulation of Korten's view), becomes a method for organizations to mature and maximize effectiveness, and thereby, increase organizational capacity for effecting social transformation.

A more coherent stage conceptualization for organization development is possible by combining Korten's notions about strategic competency and appropriate social learning curves with Likert's typology of management systems. Likert (1961, 1967) argued that organizations can be described by analyzing key functional dimensions. He developed a questionnaire for assessing the characteristics of an organization's leadership, motivational, communication, interpersonal, decision-making, goal-setting/planning, control, and evaluation processes.

The dimensions were used for describing four types of management systems. System I involves exploitive and authoritarian environment where there is low motivation, little interpersonal support and participation, and only downward communication, and authoritarian control. System II provides a benevolent and authoritarian environment, similar to system 1, but with the addition of paternalism. System III has a consultative environment, with upward as well as downward communication, supportive leadership, a certain degree of self-regulation, and consultative goal-setting. System IV involves a participative environment, including more emphasis on self-regulation and mutual support, openness and trust, high performance goals, and more involved participation at all levels. As an organization develops from System I toward System IV, it becomes more flexible and adaptable,

learning to improve performance, employee satisfaction, and effectively solicit people's participation to obtain the benefit of their knowledge, abiity, and potential. Most organizations tend to lie in the middle of the range -- System II or III -- but respondents who were interviewed prefer a System IV organization (Jackson and Morgan, 1982: 76).

Organization Development Stage Synthesis. For the sake of consistency with this study, Likert's typology has been reduced to a three-stage approach. The similarities between Likert's System I and II are such that combination is justifiable. The Likert typology is also adapted for this study to reflect certain stage developmental assumptions. As such, organizations are assumed to typically follow a sequential stage progression, with the potential for stage regression. Table 3.9 presents the stages of organizational development and the characteristics of organizational factors at each stage. Organizational factors in Table 3.9 (such as the decision-making process or the communication process) can be facilitive or restrictive to the use of experiential social learning in organizations. Factors at lower stages will tend to restrict both ESL and organizational maturation. Factors at higher stages of organizational maturation will tend to encourage the emergence of experiential social learning and its applications to the tasks of social transformation. However, according to this conceptualization, ESL may also be used, in combination with Bolman and Deal's organizational frames, as a method to diagnose, reform, and eventually transform organizational culture. Thus, Table 3.9, by merging Korten's and Likert's ideas, provides a diagnostic tool which is entirely consistent with the propositions of Knowles, C. Rogers, and McGregor mentioned previously.

Organization Development and ESL

Figure 3.11 overlays the organizational factors with the ESL conceptualization as illustrated in Figure 3.5. In Figure 3.11, Bolman and Deal's organizational frames are associated with the ESL Domains and Learning Style. The association is tentative, because the frame perspectives can also be used for viewing each of the ESL domains and each of the learning styles is relevant, to some extent, to all of the organizational frames. Nevertheless, Figure 3.11 relates the Social Values Domain with the Human Resource Frame, a logical connection considering its emphasis on humanistic social values in the workplace. Likewise, the Theory of Reality Domain is matched with the Symbolic Frame due to their congruent emphasis on finding meaningful symbolic frameworks in the midst of uncertainty and ambiguity. An obvious linkage is made between the Political Strategy Domain and the Political Frame due to a common interest in the role of power. Finally, Collective Action

is associated most closely with the Structural Frame due to their mutual emphasis on such practical managerial issues as how to get the job done. The Learning Styles are also associated with the organizational frames, with Diverger, Assimilator, Converger, Accommodator Styles corresponding, respectively, to the Human Resource, Symbolic, Political, and Structural frames.

Figure 3.12 also illustrates an association between the ESL stages and the organization development stages. The Conform, Reform, Transform stages of the ESL model correspond to the Authoritative, Consultative, and Participative management systems. The ESL stages transact with the organizational factors in such a way that existing management systems can be challenged, and subsequently reformed, possibly even transformed. Or, the influence of Stage 1 or 2 management systems can be such that it impedes the ESL stage development of individuals or groups. Figures 3.5 and 3.11 refer to the internal and external environmental impediments to ESL stage development as the Environment (organizational culture) of Submission for the conform/authoritative stage, or in the reform/consultative stage, as the Environment of Transition. An Environment of Transformation emerges when the facilitating factors of participative management and the ESL transform stage characteristics converge for a powerful and liberating synthesis. Organizational culture influences experiential social learning and experiential social learning influences organizational culture. In short, organizational culture can impede learning but it is not monolithic. Indeed, learning has the potential for transforming organizations as well as individuals.

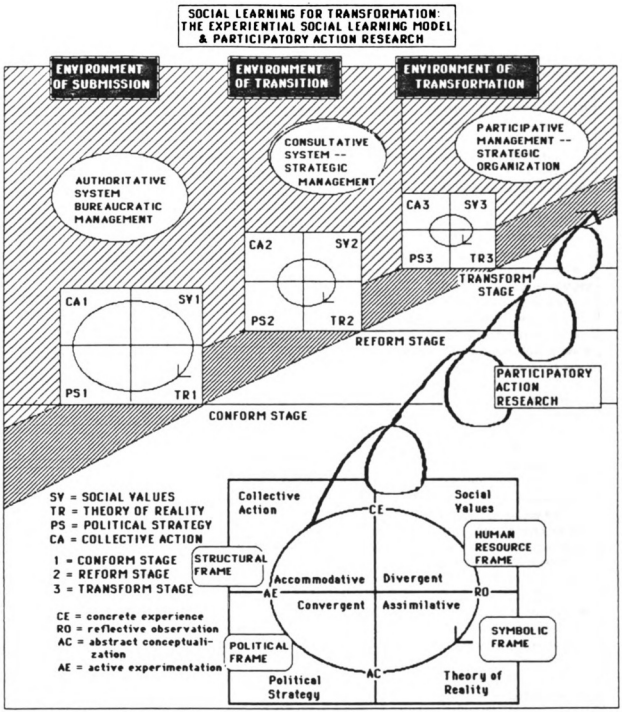


FIGURE 3.11
EXPERIENTIAL SOCIAL LEARNING & ORGANIZATION DEVELOPMENT

Table 3.9
Factors and Organization Stage Development

Organization Factors	Authoritative System Bureaucratic Management -- CONFORM STAGE	Consultative System Strategic Management -- REFORM STAGE	Participative System Strategic Organization TRANSFORM STAGE
Leadership Process	Low level confidence and trust between supervisor and subordinates; supportive behavior by superviors tends to be condescending; the ideas & opinions of subordinates are not sought; subordinates do not feel free to discuss problems.	Substantial but not complete confidence between supervisor & subordinate. Some supportive behavior; increasing freedom to discuss problems with supervisor; ideas & opinions of subordinates usually sought.	Complete confidence & trust in all matters between supervisor & subordinate. Supportive behavior displayed fully, in all situations. Complete freedon to discuss things with supervisor. Supervisor always seeks subordinate ideas/opinions.
Motivational Forces	Underlying motives are physical security, economis needs, some use of status, affiliation, achievement needs; Motives are used through fear, threats, punishment, & occasional rewards; felt responsibility for reaching organizational goals at top; Subservient attitudes toward superiors; competition for status with resulting hostility toward peers; condescension or contempt for subordinates.	Economic needs, status, affiliation, achievement, desire for new experiences; Motives are used through rewards, some punishment, & some involvement; substantial proportion personnel feel responsibility & behave in ways to achieve organizational goals; cooperative, reasonably favorable attitude toward others in the organization; some peer competition & hostility; some condescension toward subordinates.	Full use of multiple motivational forces -- economic & ego (status, achievement, affiliation) and consideration for group goals; compensation system developed through participation & involvement in setting goals, improving methods, & evaluating performance; all levels of personnel feel real responsibility & behave accordingly; favorable, cooperative attitudes through the organization with mutual trust & confidence.
Communication Process	Very little communication & interaction aimed at achieving organization's objectives; direction of information flow is mostly downward -- usually communication initiated at the top, providing subordinates with information superior feels they need; subordinate feels little responsibility for generating information upward; horizontal communication is also poor due to peer competition; the superior has poor understanding of subordinate problems.	Considerable communication flowing both down & up; superiors give information needed & answer most questions but most information flow continues to be initiated from the top; the subordinate feels some responsibility for initiating accurate flow of information; horizontal information is fair to good; superiors tend to know & understand subordinate problems.	High degree of communication & interaction with individuals & groups in both directions; communication is intiated at all levels; Superiors seek to give subordinates all relevant information and all information they want; Subordinates feel considerable responsibility for communicating relevant information; horizontal communication is excellent; Superiors know & understand subordinate's problems very well.

TABLE 3.9 (Continued)

Organization Factors	Authoritative System Bureaucratic Management -- CONFORM STAGE	Consultative System Strategic Management -- REFORM STAGE	Participative System Strategic Organization TRANSFORM STAGE
Decision-Making Process	Most decisions made at top of organization -- decisions made at lower levels are cleared with top; information for decisions usually inadequate & inaccurate; financial factors, as opposed to consideration of whole system, control the decisions; the decision-making process contributes little to the motivation of those who implement; subordinates are rarely involved in decisions affecting their work; process does not encourage teamwork.	Broad policy decisions at top, more specific decisions at lower levels; decision-makers receive reasonably accurate information; Motivation for implementation of decisions is positively affected; subordinates are usually consulted but not involved in the decision-making; some group patterns for decision-making encourages teamwork.	Decision-making widely throughout the organization; high level of integration in the process by providing overlapping groups; relatively accurate and and complete information is provided for decisions; motivation for implementation is substantially enhanced; subordinates are fully involved in all decisions related to their work; decision-making process based on group interaction, teamwork is encouraged.
Goal Setting Process	Goals are set by issuing orders, opportunity to comment may or may not exist; the goals pursued by the top are often resisted covertly by the subordinates inspite of overt acceptance.	Goals are set or orders issued after discussion with subordinates; policy goals established by higher levels with occasional resistence; goals are overtly accepted, but sometimes resisted.	Except in emergencies, goals are usually established by means of group participation; High goals sought by all levels with lower levels sometimes pressing for higher goals than top levels; goals covertly/overtly accepted.
Control & Evaluation Processes	Primary concern for the control & evaluation functions exist primarily at the top; some evaluation & control functions delegated to middle & lower; Informal organization usually tends to resist goals	Some sharing of felt responsibility for these processes at lower levels; downward delegation of evaluation and control processes; informal organization may support or partially resist goals.	Concern for performance of control & evaluation processes throughout the organization; evaluation and control at all levels, informal organization is supportive of organization's goals.
Organization Culture (Environment)	Submission -- CONFORM	Transition-- REFORM	TRANSFORMATION

Sources: Likert (1967: 197-211); Harris and Moran (1979: 106-7)

Experiential Social Learning and Social Transformation

The Experiential Social Learning Model (ESL), is an elaboration of the social learning paradigm, and has been proposed as an alternative conceptualization for guiding the management of social transformation. Perhaps, the ESL model can best be understood as a practical framework for both diagnosing organizational realities and for prescribing appropriate strategies for promoting social transformation within and beyond organizational parameters. Thus far, the elements of the ESL model including learning styles, domains and stages of development, and relevant organizational factors, have been presented and discussed. However, the linkages between the abstract concepts of the ESL model and their concrete relationships to managing social transformation have yet to be established. Participatory Action Research (PAR), as the epistemology of social learning, provides one of the critical links and is the methodology for carrying out both the ESL diagnosis and the prescription for change. PAR (as described in Chapters II and V) provides the methodological and epistemological foundations for use with the ESL model. And, appropriately, PAR also serves as the methodological protocol for exploring the validity and utility of the ESL propositions made in this study. Figure 3. 12 illustrates the PAR process which is later elaborated in Chapter V.

ESL, PAR, and Praxis

Central to ESL and PAR, is the concept of praxis. Praxis, as used in this study, refers to the dialectical and iterative union of action and reflection, theory and practice (the abstract and the concrete). As a core concept of experiential learning, praxis is fundamental to effective and transformative learning, and thereby to social transformation. Figure 3.13 illustrates the relationships between praxis and Experiential Social Learning [see, also O'Gorman's model of praxis (in Ward et al., 1984) which contributed to this configuration]. The inner circle of Figure 3.13 depicts the transactions of PAR that occur when valuing, thinking, deciding, and acting skills are effectively interconnected. This is the essence of both praxis and of the PAR method. External realities (societal, organizational, and task factors) and internal realities (affective, perceptual, symbolic, and behavioral dimensions) are shown as transacting through praxeological exchanges within the action-reflection dialectic and the concrete-abstract dialectic.

In an "environment of submission," conform learning predominates (see Figure 2.2) as the external realities (through cultural transmissions) *limits* the

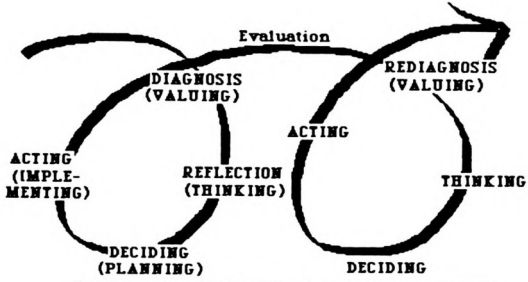


FIGURE 3.12
PRAXIS & PARTICIPATORY ACTION RESEARCH

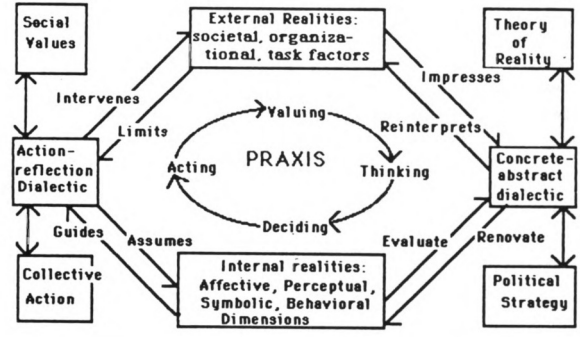


Figure 3.13
Praxis and Experiential Social Learning

action-reflection dialectical exchange and *assumes* and reinforces existing internal realities (the Affective, Percepetual, Symbolic, and Behavioral dimensions) as unalterable conditions. However, in an "environment of transition," where reform learning predominates, internal realities (such as non-conforming behaviors or perceptions) are engaged in a process of *evaluating* and *reinterpreting* the external realities (such as societal norms) based on the transactions of the concrete-abstract dialectic (such as questioning the societal norm based on the insights of an experience). In both the environments of "transition" and "transformation" the internal and external realities are brought into more intense transactions as a consequence of maturation in the ESL domains (Theory of Reality, Political Strategy, Collective Action, and Social Values) and the resulting influence on the concrete-abstract and the action-reflection dialectics. Improved praxis resulting from these transactions facilitates transformative learning and potentially fosters an environment conducive to social transformation.

As such, transformed social values and collective action influence the action-reflection dialectic to *intervene* and challenge existing external realities, subsequently making an *impression* on the concrete-abstract dialectic, and leading to changes in the theory of reality and political strategy. Transformed theories of reality and political strategies contribute to *renovation* and maturation of internal realities, which coming full circle again, tend to *guide* and inspire further action and reflection, and so on in an ongoing and dynamic learning process.

Figure 3.14 provides an overview of some of the relationships between the complex array of concepts relevant to ESL and management for social transformation. In Figure 3.14, the ESL and PAR conceptualizations are depicted as derivatives of the Social Learning paradigm. Praxis through PAR leads to the transformation of development agencies, as well as local community development organizations. Transformative learning is thus critical to the reorientation of development agency bureaucracies and the local organizations they support. Finally, Figure 3.14 suggests a role that transformed Private Voluntary Organizations (PVOs) and local organizations potentially play as they attempt to manage and extend social transformation by networking for solidarity and by facilitating the formation of social movements.

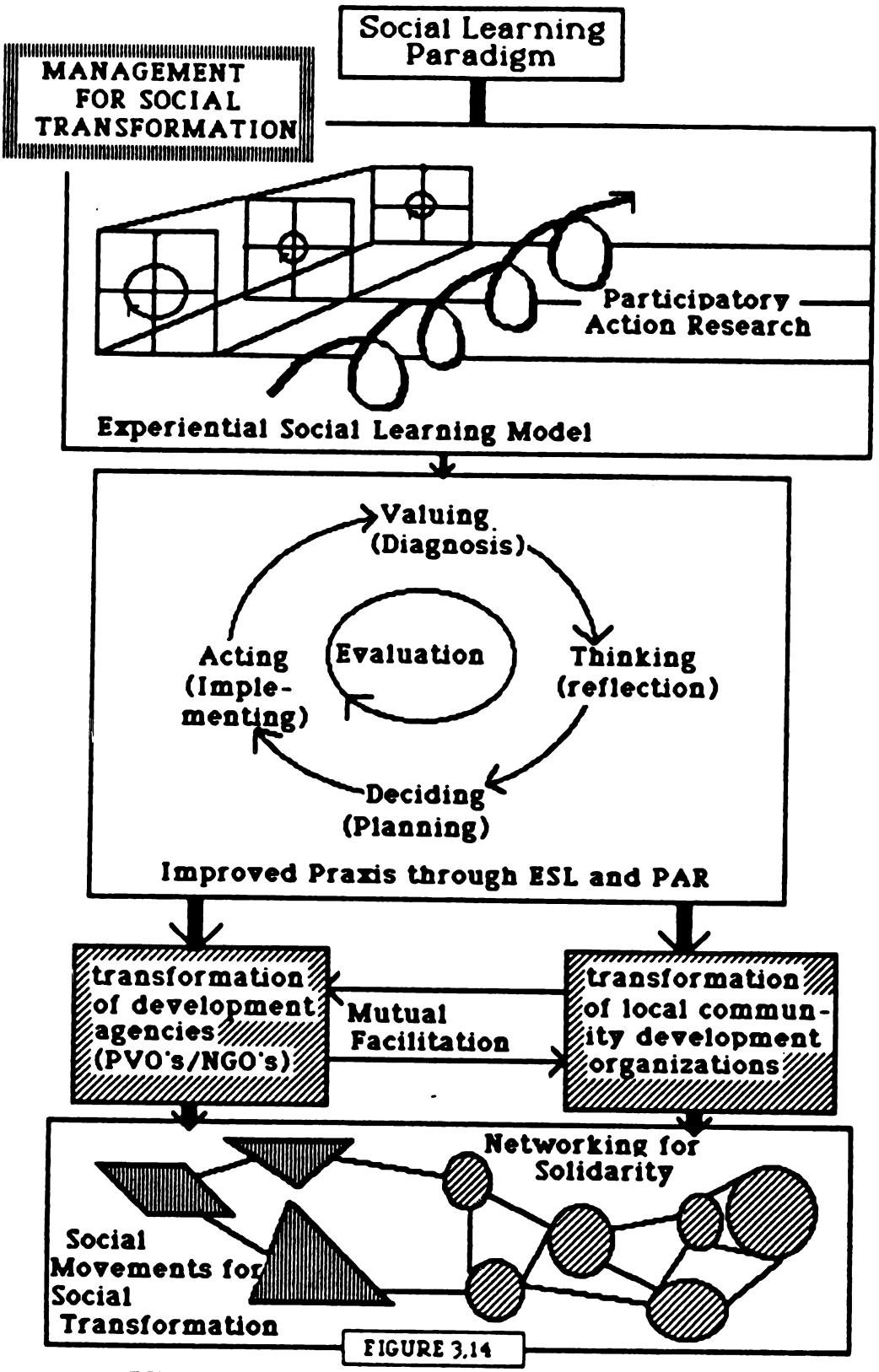


FIGURE 3.14

ESL and Management for Social Transformation

The Group, Local Organizations, and Experiential Social Learning

The intellectual roots of the emergent social learning paradigm have many precedents. However, one of the most important contributions to the emergent paradigm occurs with John's Dewey's understanding of experience and education, especially his view that planned social change needs to be an experimental endeavor. Dewey did not articulate precisely who would carry out this process of social experimentation; whether it would be the scholars, experts, the community or the "people". Later thinkers have suggested variously that the process of social experimentation involves: 1) mutual learning between client and consultant (Schein, 1969); 2) a "cellular" organization that interacts with its environment as it undertakes the mission of proactive psycho-social development (Hampden-Turner, 1971); 3) social transformation through the networking of learning cells (Illich, 1974); and 4) social learning in which small groups, through dialogic interaction and innovative, experimental practice adapt their social behavior (Dunn, 1971). Common to these interpretations of social experimentation, are their focus on the small group as a dynamic learning enterprise, capable of adapting to the demands of turbulent environments (Friedmann, 1984a, 1984b).

For the most part, these theorists did not explore key questions about who would be in these learning groups or toward what ends they would strive. For many, the role of experimentation through social learning groups would be to carry out incremental reforms in the social fabric in ways consistent with dominant societal values. In short, the implicit role of the social learning group would be to enhance the achievement of pre-established corporate objectives. For example, various approaches to social learning through "organization development" (such as the T-group or process consultation) were subsumed as effective methodologies for increasing corporate profits and only secondarily as a means for transforming the corporate culture. According to this conception, the group would be adaptive to the environment. In contrast, Friedmann suggests that social learning as a process of social experimentation is a means for a group not only to adapt to a turbulent, even hostile, environment but also as a form of human liberation in which the environment is incrementally transformed.

The Group as Unit of Analysis. If the group is to be the core instrument for implementing social transformation, then understanding the nature and dynamics of groups is of critical importance. Research on the social-psychology of groups has produced a rich body of knowledge pertinent to this endeavor. Of primary importance, is the notion that understanding groups requires that they be studied as whole units --

and not simply as the total sum of the individual co-actors that constitute the group. In the study of groups, the whole is truly greater than the sum of its parts. The group has a reality of its own quite distinct from the realities of the individual members. According to this view, groups are potential "living systems" whose members are interdependently related and whose interactions form a "gestalt". Bion (1961) of the Tavistock Institute pioneered much of the research on groups and referred to this "gestalt" as the "elan vitale" , i.e., the quintessence or existential core of the group. In short, the group has a mentality that goes beyond the mentalities of individual group members and provides the bond holding the group together (Wells, 1980: 169). Research which purports to investigate group realities should thus utilize group level analyses as preferable to opinion surveys and other techniques which measure individual perceptions but fail to capture the essence of the social unit.

Values Development and Groups. Research into the social psychology of groups has revealed the critical role that experiential learning plays in the development of social values. The values of the group are greatly influenced by societal, organizational, leader, and participant values and norms. However, one of the most important learning outcomes for groups engaged in experiential learning processes is the emergence of new and transformed values (Cooper and Levine, 1978: 1-20). Value transformations that occur in groups are largely determined by the establishment of an environment characterized by trust, involvement, and self-disclosure as well as the development of skills related to 'learning how to learn' (Smith, P., 1980: 62; Rogers, C., 1980, 1983; Schein and Bennis, 1965).

Task and Maintenance Functions. Research findings have also demonstrated that group effectiveness requires an ability to meet task requirements while responding to the social-emotional (maintenance) needs of group members. Effective groups will move in and out of both task and people orientations. In group processes, behaviors which support the task function include:

> giving or asking suggestions or instructions in a way which implies autonomy for others in the group; giving or asking for an opinion, evaluation, analysis, or expression of feeling; providing or asking for orientation, information, confirmation, or recapitulation. The behaviours which have a positive value with regard to the social-emotional state of the group are: showing solidarity by raising others's status, giving help, rewarding; releasing tension with jokes and laughter, and showing appreciation; agreeing by showing passive acceptance, understanding, and concurrence." (Roberts, 1979: 116).

A group that fails to meet the social-emotional needs of group members will not be likely to achieve its task functions. People tend to participate in groups only when they feel accepted, and the activities of the group contribute to their goals and

needs. And, participation is frequently a requisite for group member commitment to the group's decisions and goals. In addition to the maintenance functions, Knowles (1984: 102) identifies a number of other determinants related to group task effectiveness. These include: the need for clear goals, the degree to which the energies of group members are energized and coordinated into collective action, the availability of task-related resources, the appropriateness of group organization, and the degree to which the processes are appropriate to the tasks and the group's stage of development.

Groups, Learning Styles, and Personality Types. The need to balance task and social-emotional (maintenance) functions, is paralleled by the need for groups to possess and use diverse, but complementary, learning style skills. Groups that are able to use the skills related to the various learning styles are better prepared to engage in effective problem-solving processes, as well as in social transformation (Kolb and Fry, 1975, 1984). As such, a group with competencies in each of the four styles (Diverger, Converger, Accommodator, and Assimilator) is able to engage in, and resolve, the tensions between action-reflection and abstract-concrete dialectics. While many who participate in groups tend to be competent in the divergent learning style, some of the most significant group learning outcomes involve increasing the capacity of non-divergent participants to use divergent learning style skills. Group level experiential learning tends "to induce people to transcend the limitations of their particular learning style and acquire new modes of learning." (Smith, P., 1980: 66) Indeed, the diversification of group learning skills and the amelioration of deficient learning style skills have been identified by some as key to increasing group effectiveness (Schein and Bennis, 1965; Kolb and Fry, 1975; Kolb, 1984). Likewise, the combination of diverse, but complementary, Jungian personality types (as identified by the Myers-Briggs Personality Type Indicator), can also be important to effective teamwork in groups and have been correlated to corresponding learning styles (Kolb, 1984: 80-85).

Groups and Local Organizations. In the field of community development, a group of local community members is typically referred to as a local organization (LO). Depending on size and complexity, some LOs contain a number of sub-groups. For example, various types of LOs, such as local development associations, cooperatives and interest associations, are composed of networks of groups. Of particular interest are those groups within LOs that are charged with the administrative and management responsibilities of community development activities. These groups typically represent a larger constituency and are often selected by the community to manage community development programs. LOs play a key role in the achievement of social

transformation and are often the intermediary between external community development assistance and the local beneficiaries (Esman and Uphoff, 1984). LOs can also:

> communicate technical information to individuals and break down barriers between groups or individuals; establish economies of scale; adapt project activities to local conditions; marshal local resources; achieve political clout by exercising influence over local administrators and asserting claims on government; sustain project benefits; and coordinate and distribute the benefits of outside assistance. (Gow and Van Sant, 1983: 48 and Bryant and White, 1984: 29)

Strategies for Facilitating Social Transformation

The emerging social learning paradigm offers the most promising theoretical conceptualization for guiding the management of social transformation. The ESL model and the PAR methodology have been identified as key components of a social learning approach to management that facilitates social transformation. In general, social learning, the ESL model, and PAR are possible when managers emphasize: 1) facilitative and experimental modes over centralized control; 2) performance monitoring and self-correction over pre-planning; 3) tolerance for ambiguity and uncertainty; 4) capacity to take initiatives, use local resources, and make and implement strategies; 5) feedback systems between local levels and the upper management; 6) the formation of social learning clusters for reflecting on experience, exchanging and documenting information; and 7) the organization of learning clusters into social learning networks for collective solidarity and political clout. As social learning is implemented , the values, structures, and problem formulations of the corporate culture will be challenged and gradually transformed . (Korten, 1981: 612-617). However, development agency bureaucracies often produce rigid resistance to social learning and transformation and, thus, these steps are not always embraced at the policy levels of development agencies or local organizations. Therefore, this section reviews an array of social change strategies that have emerged in the fields of organization development and community development and applies them to the tasks of facilitating social transformation through ESL and its PAR methodology.

Social Change Strategies.

Zaltman and Duncan (1977: 10) define social change as "relearning on the part of an individual or group: (1) in response to newly perceived requirements of a given situation requiring action; and (2) which results in a change in the structure and/or functioning of social systems" Paralleling Lewin's force-field analysis, Etzioni defines social change as the reformulation of social structures involving initial disequilibrium, establishing forces for social equilibrium, and the occurence of a new equilibrium (Etzioni and Etzioni, 1973: 76; Zaltman and Duncan, 1977: 11). These complementary definitions provide the conceptual foundation for considering social change in this study. Social change comes in two basic forms: 1) it is either diffused from experts or authorities through top-down transmitted directives and diffused innovations; or, 2) it involves conscious actions and decision by groups, individuals, or organizations to change themselves through transformative social change (Zaltman and Duncan, 1977: 8).

Transformative social change is change controlled by those most affected by the change itself. Transformative change takes place at the individual, group, organizational/institutional, community, and societal levels. As discussed, the group is the most common and effective forum for initiating social change. From the group level, transformations can be extended to individuals, organizations, communities and, ultimately to the societal level. According to the ESL model, social transformation requires collective changes in Social Values, Theory of Reality, Political Strategy and Collective Action. Transformative social change depends to a large extent on a transforming learning process in which praxis leads to greater integration of the action-reflection and concrete-abstract dialectics, as well as increased maturation in the Affective, Perceptual, Symbolic, and Behavioral learning dimensions of the group. Low individual or collective maturation in any of these internal factors are potential impeding forces to social change. Social change is also impeded by external factors in the environment, such as organizational forces (e.g., management systems, structure), societal forces (e.g., cultural and social barriers), and task forces (e.g., technological, human, and financial resources). Not all social change is positive for those at whom it is directed and, thus, resistance to potentially destructive forms of change is also essential to the kind of social transformation advocated here.

Organization Development Strategies. Kurt Lewin (1951) theorized that social change involves a multitude of factors interacting in an open system. An open system is, by definition, constantly undergoing some changes and is in a continual state of quasi-stationary equilibrium. Lewin compares social change to a river. The river is constantly on the move but the velocity and force of the river change

dramatically as the water shifts direction or encounters resistance.

Lewin uses "force-field" analysis to describe his theory of social change. Figure 3.15 illustrates the Lewin force-field analysis. The bold line represents the present quasi-stationary equilibrium of a social environment. The smaller line represents the desired equilibrium. Arrows represent the vectors, or forces applied to a body in a state of equilibrium. The arrows on one side represent the driving or impelling forces for change and the vectors on the other side represent the restraining or impeding forces (those forces for maintaining the status quo).

Lewin points out that the increase in one set of vectors without a decrease in the other set of vectors will lead to an increase in tension and conflict in the social system. Social change strategies that decrease the impeding forces while increasing the impelling forces are more effective than conflict-oriented strategies that concentrate simply on attacking the impeding forces. In other words, it is not sufficient to challenge the status quo with impelling forces. Increasing the impelling forces must be accompanied by a decrease in the impeding forces. This combined strategy is a more effective strategy for facilitiating the emergence of a new quasi-stationary equilibrium. In practical terms, Lewin suggests a three-step process of unfreezing, moving, and refreezing. In organization development, unfreezing involves reducing the forces that keep the organization at the present level, moving involves the introduction of impelling forces for a new equilibrium, and refreezing requires the stabilization and consolidation of a new quasi-stationary equilibrium (Huse 1980: 62; Lewin, 1951). The Force-Field model is useful in devising organizational, as well as community development, strategies. Similarly, the force-field model provides important insights for those concerned about facilitating social transformation through ESL. Figure 3.11 demonstrates the flow of inputs from the external and internal environmental contexts to the LO/ESL Group. The ESL Process produces intended and unintended outputs which affect future LO/ESL Group goals and activities and which, in turn, potentially affect the internal and external environmental factors.

Zaltman and Duncan (1977) classified numerous change strategies that are used to decrease impeding forces and increase impelling forces. Their typology reveals four basic strategies for planned social change including the Facilitative, Reeducative, Persuasive, and Power strategies. Each strategy has particular relevance to achieving organizational transformation in diverse settings with distinct organizational realities/cultures. When Facilitative Strategies are used the target group "(1) already recognizes a problem, (2) is in general agreement that remedial action is necessary, and (3) is open to external assistance and willing to engage in self-help" (90). Reeducative Strategies are intended to unfreeze prior learning attitudes and promote

new attitudes and behavior through the rational and unbiased presentation of facts (111). Persuasive Strategies also depend on the rational presentation of relevant information but do so in a manner that is biased in ways that influence the selection of the desired response (134). Power Strategies involve manipulation or coercion in order to achieve compliance with the desired change. Power Strategies are typically used either when the other strategies have been tried and failed or when other strategies need to be subtly complemented and reinforced (152). In fact, most effective change strategies involve some combination of components from several strategic approaches (166).

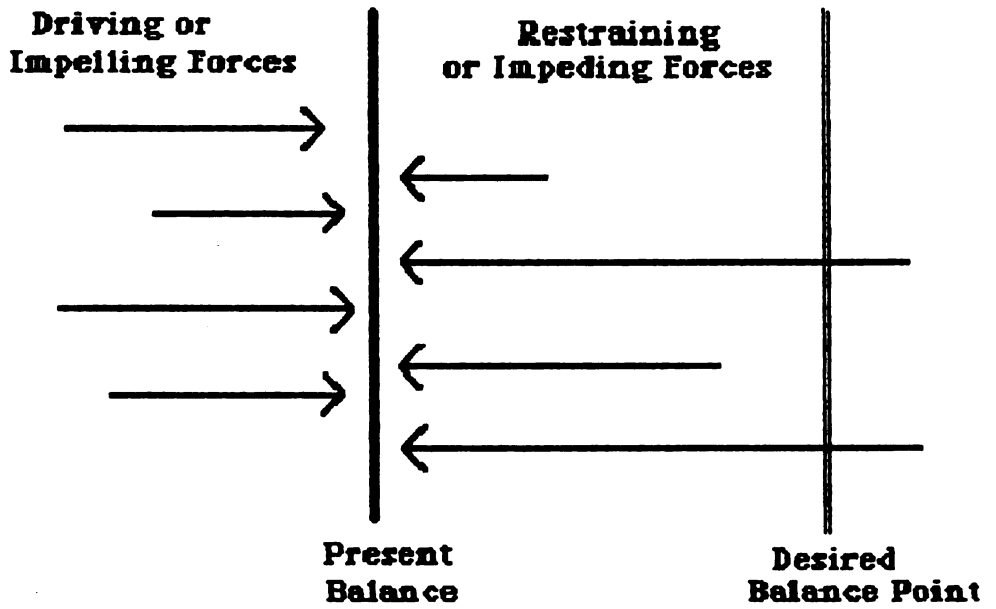


Figure 3.15
Force Field Analysis

ESL, PAR, and Organization Development. Figure 3.16 illustrates a bottom-up approach to facilitating organization transformation. A key player in social transformation is the social scientist/consultant acting as a change agent. The change agent facilitates the discovery of more adequate theory through the transactive learning process of PAR with members of the "client" organization. Ideally, the external change agent will act in tandem with an internal change agent who has already established a high level of trust and credibility within the organization, particularly with the policy-making level of management and the members of the client group who will be participating. Through the influence of the internal change agent, the external agent will be invited to serve as a consultant by the policy-making

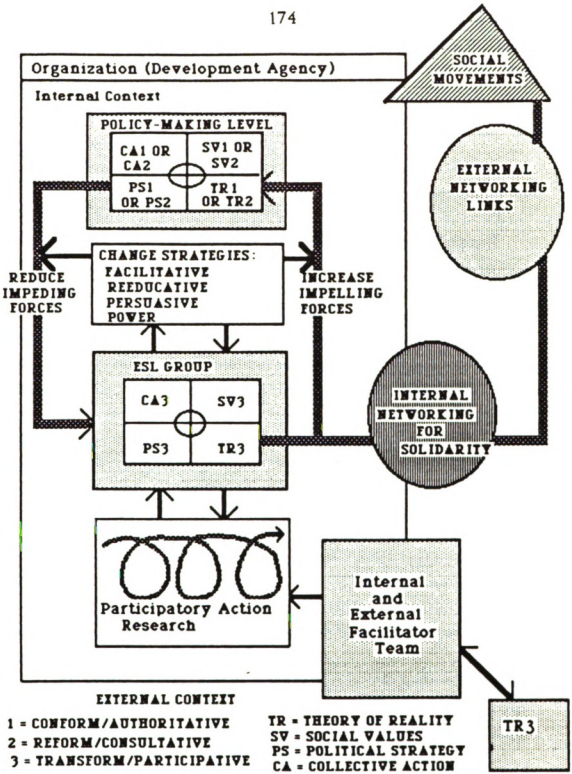


FIGURE 3.16
FACILITATING ORGANIZATION TRANSFORMATION: BOTTOM-UP MODE

level of management. Together the internal and external change agents form a powerful facilitative team and conduct their activities according to the transformation theory of reality (TR3). The change agents have the responsibility for facilitating a PAR process with the client group, in which more adequate praxis can be collectively discovered. This will involve change agent introduction of knowledge and methodologies that are potentially more adequate for facilitating social transformation, i.e., theory that has been tested in the crucible of others' experience and practice and creatively determining whether organizational realities call for social experimentation with transformative theory (TR3). Thus, in Figure 3.16, the PAR process potentially yields changes in the ESL domains of Social Values, Theory of Reality, Political Strategy, and Collective Action. The client group then attempts to influence the policy-making level of the organization to change the theory-in-use.

The organizational theory-in-use is labelled TR1 or 2 (related to Model 1, Argyris, 1975) and the challenging theory that results from ESL is represented by TR3 (related to Model II, Argyris, 1975). The arrows represent the impelling (coming from the ESL group following the PAR process) and impeding forces (coming from the Policy-Making Group in opposition or in support of the impelling forces) for social transformation of the organization. The ESL Group becomes the key conductor of social transformation as it networks for solidarity with other groups (internally and externally) and gradually build the network into a social movement that promotes transformation. The ESL Group can select from a variety of strategies (Facilitative, Reeducative, Persuasive, and Power -- Zaltman and Duncan, 1977) in order to increase impelling as well as decrease impeding forces. As mentioned, Figure 3.16 represents a bottom-up mode of facilitating organizational transformation. A top-down version is also possible, if the social change strategy is transformative rather than transmissive. The most promising strategy for organization transformation combines top-down and bottom-up modes.

Figure 3.17 extends this analysis further by presenting how organization development stages are related to maturing learning capacity and theories of reality. PAR and ESL are instrumental to maturation of stages of organization development, learning capacity, and theories of reality. The stages of development (Authoritative-Bureaucratic Organization, Consultative-Strategic Management, Participative-Strategic Organization) are illustrated along the vertical axis. The ESL stages of maturation (Conform, Reform, Transform) are illustrated along the horizontal axis. The relationship between axes is transactive rather than dependent; their influence is multi-directional and mutual. Thus, consultative strategic managment encourages a group to develop from conform to the reform stage as well as the reverse

-- a group at the reform stage is capable of facilitating the organization's development from an authoritative-bureaucratic orientation to a consultative strategic management system. Finally, Figure 3.17 integrates Lewin's force-field model by illustrating the three part social change process -- unfreezing, moving, and refreezing during each transition point.

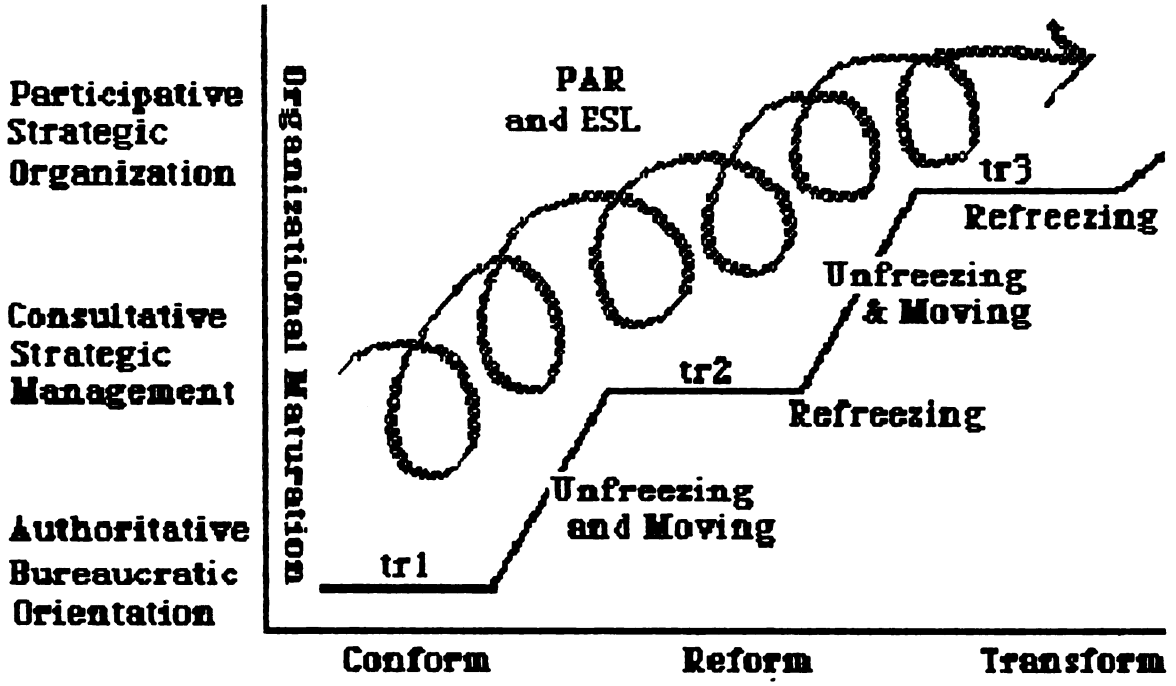


Figure 3.17
PAR, ESL, and Organizational Maturation

Community Development Strategies. There is no consensus on the meanng of community development, not to mention the definitions of what constitutes the community or development. The community concept is often used to refer to the geographic parameters of rural and urban land and populations. The community is also commonly described as: a group of people who share institutions and values; a group of people who interact in order to solve problems; or as a social system in which multiple social units interact and engage in communication, socialization, social control, institutionalization, and other social processes common to all social systems (Warren, 1978: 23-48).

Tonnie's nineteenth century gemeinschaft-- gesellschaft community typology continues to be a powerful tool for understanding the ways that

industrialization and modernization have transformed the community concept. In simple terms, the pre-industrial Gemeinschaft community emphasized the importance of human relations and, following the disruptions of industrialization, the Gesellschaft Associative-Community type emerged emphasizing the productive role of individuals to the needs of industrialization and modernization. The Gesellschaft concept of social organization viewed community as an association of persons as part of a large-scale, impersonal social contract. The Gesellschaft concept stands in stark contrast with the somewhat romantisized Gemeinschaft version of community (Bell and Newby, 1971: 23-27; Friberg and Hettne, 1985: 256; and Brookfield, 1984: 62). For many community development theorists, the challenge is not to return to the idealized Gemeinschaft form of community, but to define new forms of Gemeinschaft that replace the inadequate Gesellschaft association concept. Some have pointed out the tendency of Gesellschaft associations to diminish the solidarity that comes from genuine community -- replacing it with "rugged individualism." Indeed, the types of social associations produced by the contemporary world-system have led to spiritually and morally impoverished communities. One of the most urgent challenges of the contemporary era has been described as the need to rediscover and redefine genuine community (Peck, 1987).

The field of community development emerged, at least in part, in response to this need for community renaissance. Some CD practitioners have placed a high emphasis on participative processes that would influence the discovery of solidarity, democracy, self-help, and other communal values. Other CD approaches have focused on the material dimensions of poverty, rather than the spiritual and moral, thereby responding to needy communities by directly providing material and technical, goods and services. Still others focused on the structural causes of both material and spiritual impoverishment, criticizing both the process and direct assistance approaches of community development, and calling for more fundamental and revolutionary changes in the socio-economic fabric of societies (Khinduka, 1975: 175-183).

These diverse interpretations of community development have come to be known as the Self-Help, Direct or Technical assistance, and Conflict approaches of community development (Christenson and Robinson, 1980). The Self-Help Approach emphasizes the process required for achieving community self-reliance and an ability to solve social problems collectively. The self-help approach is the dominant contemporary trend in CD (Littrell, 1980: 64; Naisbett, 1982: 143-174). The Technical (or direct) Assistance Approach assumes that people are more effectively assisted by providing them with the materials, knowledge, or services they lack. Emergency relief assistance programs have historically followed this approach to CD (Cuny, 1983). The

Conflict (or social action) Approach emphasizes strategic community organization for the purpose of using power and coercion to exact social justice (Robinson, 1980: 73-95).

The inadequacies of these approaches and the tendencies of donors and change agencies to dichotomize and prioritize human needs according to their diverse biases (favoring either processes, providing services, or shifting the distributions of power) led to disillusionment and the demise of the CD movement by the end of the 1960s, according to Holdcroft (in Holdcroft et al.,1982: 207-224). However, since the mid-1970s, a resurgence of the community development movement has occurred in response to the failures of the macro-development and modernization programs of the 1960s. The hope is that past errors can be avoided.

The experiences of the 1970s led to an increasing awareness, in the 1980s, of the importance of both social learning and social transformation, and to a gradual recognition of their dynamic relationship. Increased emphasis on social learning, has led to a search for pragmatic solutions and, consequently, to the synthesis of useful aspects from each of the CD approaches, particularly from the Self-Help and Conflict perspectives. This synthetic and pragmatic approach to community development has been called people-centered development and was discussed in Chapter II. Numerous obstacles are impeding the emergence of effective people-centered development programs. Some of these obstacles have been discussed, including the need for more adequate praxis, greater proficiency in neglected learning styles, greater stage maturation in the social learning domains, and inappropriate management systems. Some others include the lack of an appropriate local community organization to manage the people-centered CD effort, lack of organizational skills, poor communication, inadequate community infrastructure, opposition from local supporters of the status quo, and corruption (F. Korten, 1983: 181-200). There are, no doubt, many others.

Figure 3.18 illustrates a change strategy for facilitating people-centered development and social transformation. A transformative theory of reality (TR3) is a resource for a development agency (such as a PVO or NGO) to facilitate a change program with a local community group. With the assistance of a facilitator, the group engages in a PAR process that becomes the catalyst for transforming the local organization which the ESL group represents. The transformed local organization engages in networking with other local organizations, expanding the scope of its development activities, including participation and leadership in social movements. Finally, the various CD strategies are compared to the ESL stages in Figure 3.18, and a relationship is suggested between Technical Assistance and the Conform Stage with its paternalistic, dependency creating, pro-status quo tendencies. Similarly, the

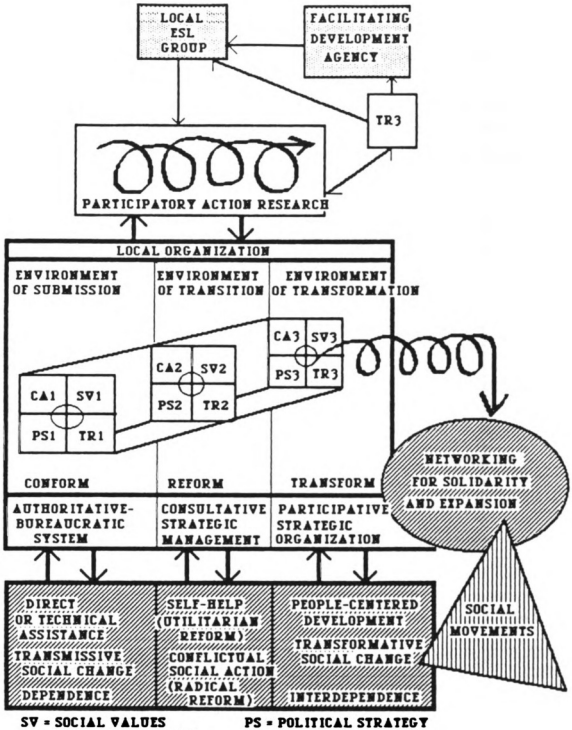


FIGURE 3.18
FACILITATING COMMUNITY TRANSFORMATION

Self-Help and Conflict approaches to CD are compared to the Reform Stage. The Self-Help approach tends to be biased in favor of social reform strategies and are based on consensual problem-solving processes. The Self-Help approach resembles the utilitarian approach to action research as discussed in Chapter II. The Conflict Approach tends to emphasize class conflict, and empowerment without considering the need for more profound kinds of internal transformations. Thus, the Conflict Approach resembles the radical reform tendencies of participatory research (also discussed in Chapter II). Finally, the Transform Stage is predictably related to the people-centered approach to CD due to its emphasis on transformative social learning and the interdependent and transactive characteristics of its praxis.

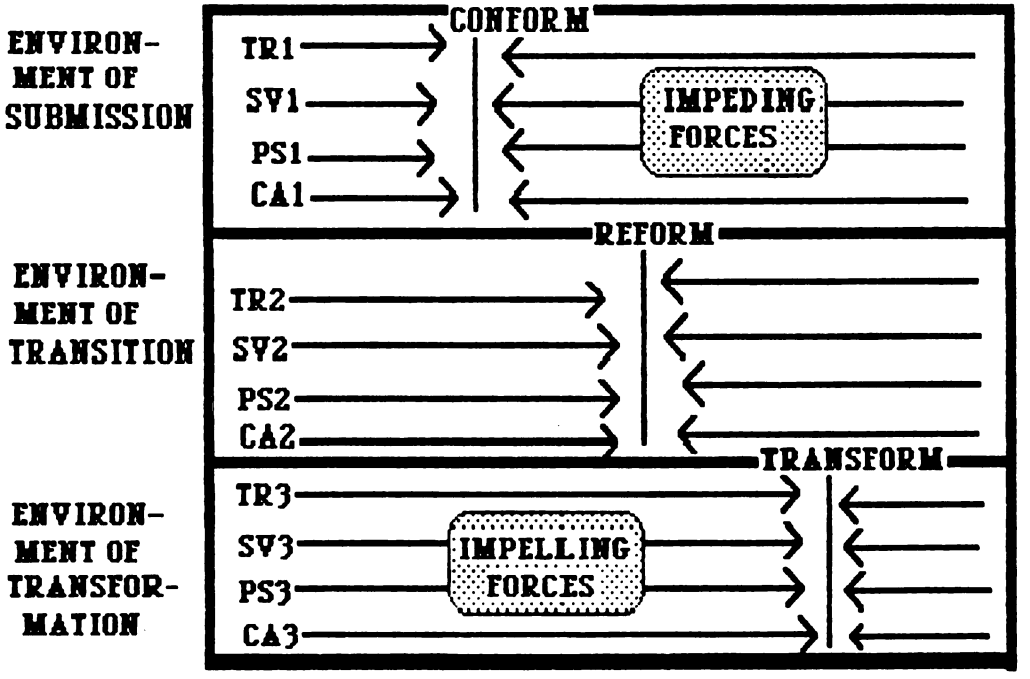


FIGURE 3.19

FORCE-FIELD ANALYSIS AND COMMUNITY TRANSFORMATION

Figure 3.19 extends the analysis of Figure 3.18. Figure 3.19 depicts a LO engaged in the promotion of social transformation, using force-field analysis. The ESL domains (TR = theory of reality, SV = social values, PS = political strategy, and CA = collective action) are depicted as impelling forces for people-centered development and social transformation. Impeding forces (vectors on the right) could represent any given number of obstacles to social change. In the environment of submission, the domains are located at the conform stage of development and consequently are weak impelling forces for social change. The forces impeding change are very powerful in

the environment of submission. In the environment of transition, domains located at the reform stage are stronger impelling forces, while the impeding forces have been reduced. In the environment of transformation, the domains are located at the Transform Stage and are potentially very powerful impelling forces for social change, while simultaneously the impeding forces have been substantially diminished.

The Facilitator and Experiential Social Learning

In the experiential social learning process, a key role is played by the facilitator or change agent. In general, the role of the change agent is to facilitate social learning in ways that promote social transformation. Consistent with the view of Argyris, the role of the change agent who facilitates ESL is to help the client to engage in client-controlled learning processes to generate valid knowledge, and to help the client make informed and reasonable choices that are supported by internal commitments and concrete actions (Argyris, 1970: 21; Zaltman and Duncan, 1977: 17). More specifically, the facilitator of ESL performs the following functions (which Friedmann refers to as the functions of the radical social planner):

1. Assists the group in its critique of the present situation.
2. Assists communities, local organizations, and groups of people to organize a collective search for solutions to problems as they perceive them.
3. Facilitates group analysis and synthesis of experience borrowing from appropriate theoretical and methodological perspective (using a variety of participative learning techniques).
4. Is committed to collective, experimental learning, with the facilitator perceiving himself or herself as a co-learner.
5. Mediates when opposition to the group's actions is encountered; representing the group to the forces of opposition, without betraying a fundamental commitment to social transformation.
6. Encourages the widest possible participation of all group members in the entire planning/problem-solving process.
7. Participates in both the action and reflection of the ESL group (Friedmann, 1984b: 434-437).

In addition to these general functions, research on the role of change agents has revealed a number of things that are internalized and used by successful change agents in fulfilling their task of facilitating social change. Zaltman (1983) has systematically organized and synthesized these principles as the "theory in use among

change agents." While the "theory in use for change agents" tends to be designed for the diffusion of innovations, some of the principles -- as well as the underlying propositions -- are important for guiding the facilitator of ESL. A few of the most pertinent principles are important for the ESL facilitator to keep in mind. Adapting these principles (from Zaltman, 1983: 289-310) for ESL, they include:

1. The facilitator should be able to distinguish between "client" inabilities that can be altered and those to which the change process will need to be adjusted. For example, the facilitator should be able to determine learning style deficiencies and emphasize learning skill strengths in the problem-solving process, thus compensating for the deficiencies in certain learning style skills. The facilitator will therefore need to be very perceptive, imaginative, and flexible.

2. The facilitator should not assume that what seems rational to him/her will be perceived as rational to the clients (i.e., the rationalistic bias). Therefore, an external facilitator will need to be dedicated to understanding the context of the client group -- particularly their socio-cultural values. The change process should be compatible with the values of the clients and relevant connections between the change process and the felt needs or concerns expressed by the clients should be clearly communicated. Resistance to the ESL process should be a source of learning more about the client system and an important factor in determining the appropriateness of the intervention. The change agent should continually strive to critically understand his/her role as well as biases.

3. The facilitator needs to be constantly aware of the fact that individual clients and client groups exist in a larger social system that have potential impact on the activities of the ESL group. Not only should the facilitator attempt to better understand the social settings and particular circumstances of the group, but should also encourage dialogue about the larger social system when this is appropriate. Related to this need, the facilitator needs to be sensitive to future events that could have a negative impact on the activities of the ESL group and discuss these concerns with the client group.

4. The facilitator needs to have strong interpersonal relational skills including trust, sensitivity to the feelings, proprieties, and values of the clients, a commitment to client well-being and development, and sufficient self-confidence to accept ambiguity and vulnerability (Zaltman and Duncan, 1977: 183-224). Most important, is the facilitator's willingness to be honest and genuine, i.e., to be oneself (C. Rogers, 1983: 121).

The Facilitator and Learning Styles. The facilitator of ESL will need to be familiar with, and committed to, the ESL model -- in particular its focus on group learning styles and their importance to effective problem-solving activities. Once the facilitator has been able to diagnose the learning style tendencies of the group (Diverger, Assimilator, Converger, Accommodator) and their approximate stage of maturation in each of the four domains (Social Values, Theory of Reality, Political Strategy, and Collective Action), he/she will be able to plan the PAR process in order to respond to the group's abilities and needs. The facilitator will need to adapt the PAR process based on an interpretation of the best fit between the needs of the group and the most critical skills and domains for facilitating ESL development and, ultimately, social transformation. Figure 3.20 illustrates the different methods that can be used by the facilitator to help strengthen deficient styles or domain or to further enhance and take advantage of existing group skills and domain maturation. Ideally, this leads to both an improvement in weak areas (removing internal impeding forces, i.e., weaknesses in the Affective, Perceptual, Symbolic, Behavioral learning dimensions) and additional strengthening of dominant group tendencies (focusing on and increasing, the internal impelling forces). In Figure 3.20, four methods are proposed that complement the experiential learning cycle.

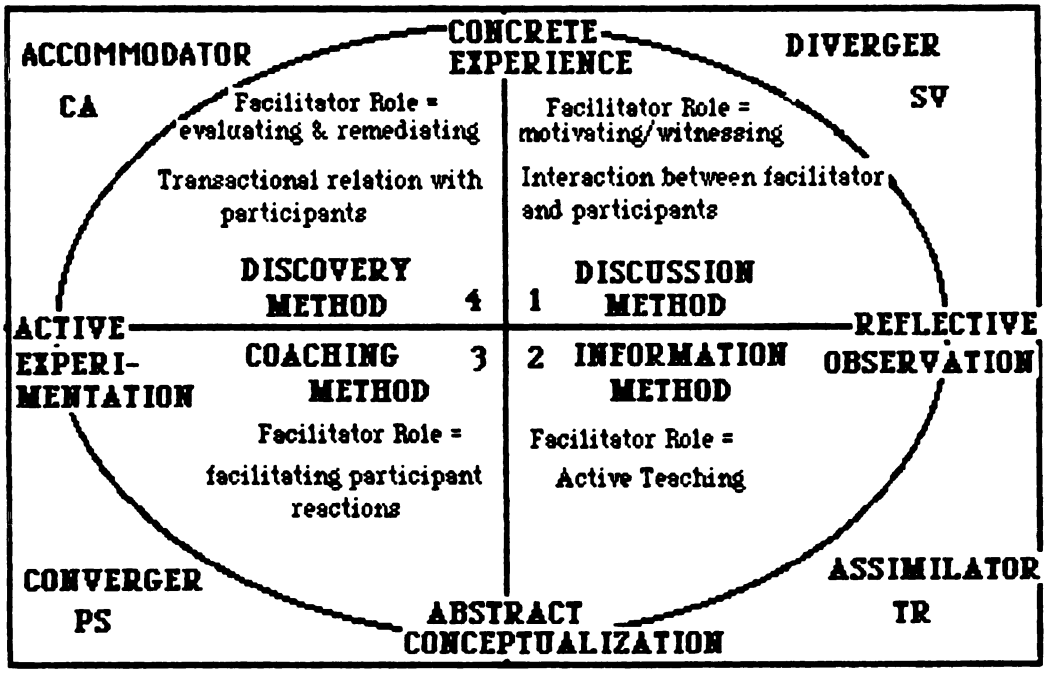


Figure 3.20

The Facilitator's Changing Role in Experiential Social Learning
(Adapted from McCarthy, 1980 in Smith and Kolb's, LSI User's Guide, 1986: 27)

Figure 3.20 displays the changing role of the facilitator in the ESL process. In quadrant 1, divergent activities are emphasized with the facilitator acting as a motivator and witness. This involves the facilitator's expression of the value of the learning experience personally, creating an atmosphere for exploration without premature evaluation and closure, and helping learners to identify their own reasons for engaging in the process. In quadrant 2, assimilative activities are emphasized and the facilitator takes a more active role in presenting information according to a more traditional teaching mode (such as presenting data in an organized way and leading learners to analyze data and form concepts). In quadrant 3, convergent activities are emphasized and the facilitator assumes the role of a facilitative coach, encouraging the participants to react to the information and to take greater control of the learning process. In quadrant 4, accommodator activities are emphasized and the facilitator assumes a role of evaluator and remediator. This involves the tasks of creating a climate with freedom allowing for discovery by doing, challenging the learners to reflect on the experience, analyzing its relevance, and taking action.

The shifting role of the facilitator according to the experiential learning cycle is designed to enable the ESL group to learn more effectively by deepening existing knowledge, attitudes, and skills and through the development of new knowledge, attitudes, and skills in deficient areas. The overarching objective of the facilitator must be to help enable the ESL group to become masters of their own learning and hence, eventually their own destinies (Smith and Kolb, 1986: 25-27).

Social Movements for Social Transformation

ESL, Networking, and Social Movements

Most social movement have depended on the emergence of, and control by, charismatic leaders. Movements have varied depending on how much access (open or closed) was given to those inside and outside the movement. Regardless, successful social movments have traditionally evolved into political parties or institutions, eventually becoming bureaucratisized in the process (Eichler, 1983: 283-305). And, the bureaucratic form has been notably inadequate to the tasks of managing social transformation and, consequently, many movements have lost their operational capacity to undertake transformative social change (Korten, 1986: 319-326; McInnis, 1984: 9-10; Hope et al., 1984: 70-109).

From Living Cells to Networks. Since the 1960s, a new form of social movement has been identified that is organizationally and structurally defined by the network, inspired and guided by social learning, and whose 'raison d'être' is social

transformation. Examples of this new form of social movement are found in affluent, as well as Third World, nations:

> No matter what the 'cause' , the goals, or the beliefs, and no matter what type of movement it is -- political, social, religious -- there is the same basic structural form and mode of functioning. Wherever people organize themselves to change some aspect of society, a non-bureaucratic but very effective form of organizational structure seems to emerge. (Hine, 1984: 11)

This new organizational structure has been referred to as the network (Herbst, 1976: 33; Hine 1984: 11; McInnis, 1984: 9). Networks are not a new phenomenon. Indeed, the network is probably the oldest social invention. "What is new about today's networks is the scale of interconnectivity. What networks and networking once did for the family, neighborhood, workplace, and community, they are now beginning to do on the scale of society, civilization, and world" (McInnis, 1984: 9).

The network has emerged as an alternative to bureaucratic hierarchies and as a way of getting things done in our complex, rapidly changing global village. The network serves as a means of exerting greater citizen control over public services (Naisbett, 1982: 219) and as a means for mobilizing people into powerful movements that can exert pressures for social transformation (Dickinson, 1984: 1-11; Friedmann, 1984b). McGinnis contrasts the network with the bureaucratic organizational form: "Authority tends to be decentralized, residing in individuals with pertinent information rather than in those who occupy assigned positions. Policies and boundaries tend to be fluid rather than fixed. Personnel tend to relate, among themselves and with others, as equals rather than as subordinates or superiors. Procedures tend to be people-oriented as much as they are task or institution-oriented. Styles tend to be sociable rather than officious. Structure tends to be polycentric rather than monocentric" (McInnis, 1984: 9). In addition, the network:

> encourages full utilization of individual and small-group innovation while minimizing the results of failure; it promotes maximum penetration of ideas across socio-economic and cultural barriers while preserving cultural and sub-cultural diversity; it is flexible enough to adapt to changing conditions; and it puts a structural premium on egalitarian, personalistic relationship skills in contrast to the impersonalistic mode of interaction suited to bureaucracy. (Hine, 1984: 12)

From Networks of Living Cells To Social Movements. The organization of a network resembles a fishnet with multiple nodes and cells of diverse size and type, all woven together and interconnected. Many, of what O'Gorman (1983: 21) refers to as living cells, are local organizations or base community groups -- loosely connected

into networks as autonomous segments, or associations which, when united, constitute major social movements. These movements are not held together by a single charismatic leader. Rather, each living cell has its own leaders, as first among equals, acting as facilitators of participative decision-making systems and, occasionally, as group spokespersons. The glue that holds the networks of cells together as social movements is less the role of charismatic leadership than it is the commitment to common social values, theory of reality, strategies, and collective action. Overlapping memberships, continual communication, and periodic 'ritual activities', such as rallies, conferences, meetings, and collective actions, help the interacting networks of cells to develop solidarity. Experiential social learning facilitates the development of living cells, (ESL groups and local organizations), and the emergence of networks united in solidarity that potentially become social movements for transformation.

Social Learning and Social Movements for Transformation

Social learning was fundamental to the advances of the anti-slavery, civil rights, the woman's liberation, and labor movements in America. Other oppressed groups have also achieved important gains using a social learning process. In the Third World, David Korten's research indicates that successful rural development projects have been "people centered" and guided by a social learning approach (Friedmann 1984b: 356). The citizen participation and participatory development literature also foreshadow the social learning paradigm In addition, several contemporary social movements such as the 'Green' movement are harbingers of the Social Learning paradigm. Many other movements for peace, disarmament, social justice and environmental integrity are also exemplary manifestations of social learning. However, some of the most significant contemporary examples of social learning movements are taking place in Latin America. The proponents of the consciousness-raising/educación popular movement, and the related base-community movement in Latin America, demonstrate extraordinary coherence with the precepts of the Social Learning paradigm as well as the Experiential Social Learning model. This is especially reflected in their grassroots evolution, networking structure, and commitment to social transformation.

The consciousness-raising movement, inspired by Freire and several of his predecessors, emphasized a non-formal educational pedagogy for helping groups or local organizations to critically understand reality and thereby be capable of undertaking its transformation. In recent years, this movement became the foundation for the evolution of the educación popular (popular education) movement which actively pursues social transformation strategies:

> [Popular education challenges the status quo by] espousing small-scale producers who, rather than being satellites organized by large-scale manufacturing and agribusiness, organize an economy based on pooled capital, labor, technology, and marketing opportunities in various collaborative and competitive ways. The intent is to utilize self-help, political agitation, rotating capital, and community cooperation to flexibly execute projects which emphasize equality but still compete at a viable scale in the marketplace. Popular education programs also attempt to transform, rather than complement, basic institutions in society by developing alternative forms of economic and political ventures that impact particular locales or particular sectors. (LaBelle, 1986: 182-183)

The base community movement was led by Christians, particularly Roman Catholics, to transform society from the bottom-up. The base community movement was highly influenced by the landmark decisions of the 1968 Episcopal Conference in Medellin, Colombia, liberation theology, dependency theory, consciousness-raising, and the popular education movement (Jara, 1985: 9-55; LaBelle, 1986; O'Gorman, 1983: 1-45). Base community networks, particularly in Brazil, but also in other Latin American countries, have produced powerful social movements challenging the status quo (LaBelle, 1986; Dickinson, 1984; Lernoux, 1982; O'Gorman, 1983).

Social Transformation and Integrity

Extensive research about adult learning and development clearly supports the proposition that growth and maturation are the consequences of numerous processes of differentiation and hierarchic integration. Higher stages of development are attained through the integration of learning dimensions -- with integrity as the goal and culmination of development. "The pinnacle of development is integrity. It is that highest level of human functioning that we strive consciously or unconsciously, perhaps automatically, to reach." (Kolb, 1984: 224) Integrity refers to a state of wholeness in which principles and values are internalized and adhered to in practice. Integrity is achieved as persons creatively and dialectically transact with the world. Thus stated, integration refers to the process of learning and development -- with integrity as its goal. According to experiential learning theory, integrative learning depends on the dialectic exchanges between active and reflective and concrete and abstract learning modes. Higher levels of integration are characterized by adaptive flexibility to respond to diverse situations with high levels of competency in each of the learning styles. Integrated people, both individually and collectively, are capable of responding to situations with Divergent, Assimilator, Convergent, and Accommodator skills, as needed (Kolb, 1984: 208-221).

Social transformation requires group movements to higher levels of maturity and integration in each of these learning styles, thereby facilitating the maturation in each of the critical domains (Social Values, Theory of Reality, Political Strategy, and Collective Action). Thus, the promotion of social transformation involves facilitating the maturation and integration of both learning style competencies and domains. Management systems that focus on control will impede integrative learning and hamper social transformation efforts. In contrast, management systems that are participative and oriented toward social learning will be facilitative to integration and capable of promoting both social transformation and integrity.

An integrated group transacts with its environment rather than adapting to it. Indeed, through transaction with the environment, a new environment can be created that transcends the limitations of the old -- in short, an environment of transformation. The characteristics of a group transacting with the world and striving for integrity at the transform stage have been discussed in some detail. However, Kolb (1984: 221-224) points out three central elements of life style at this integrated stage. First, "integrated people adapt to and create their own life structures. Their relationship with the world and others around them is transactional, in that they are proactive in the creation of their life tasks and situations and are shaped and molded by these situations as well." (221) Kolb refers to Freire's discussion of transactional learning as a philosophical articulation of the empirical findings:

> Integration with one's context, as distinguished from adaptation, is a distinctively human activity. Integration results from the capacity to adapt oneself to reality plus the critical capacity to make choices and to transform that reality. To the extent that man loses his ability to make choices and is subjected to the choices of others, to the extent his decisions are no longer his own because they result from external prescriptions, he is no longer integrated. Rather, he has adapted.
>
> The integrated person is person as subject. In contrast the adaptive person is person as object, adaptation representing at best a weak form of self-defense. If man is incapable of changing reality, he adjusts himself instead. Adaptation is behavior characteristic of the animal sphere; exhibited by man, it is symptomatic of his dehumanization. Throughout history men have attempted to overcome the factors which make them accommodate or adjust, in a struggle -- constantly threatened by oppression -- to attain their full humanity. (Freire, 1983: 3-4)

Kolb also points out the tendency of integrated people to have "complex, flexible, and highly integrated life structures." (223) In other words, integrated people have a high capacity for relating within many contexts and tend to have an enriching diversity in experiences, circumstances, and relationships. Another characteristic of integrated people that is supported by Kolb's research relates to their constructive and harmonious ability to resolve conflict.

Integrative, transactive learning is eclectic, borrowing pragmatically from each of the basic knowledge structures (Organicism, Mechanism, Formism, and Contextualism). "In integrative learning, knowledge is refined by viewing predicaments through the dialectically opposed lenses of the four basic knowledge structures and then 'acting sensibly'" (Kolb, 1984: 226) Pepper proposes that integrative learning must be eclectic and also reasonable:

> In practice, therefore, we shall want to be not rational but reasonable, and to seek, on the matter in question, the judgment supplied from each of these relatively adequate world theories. If there is some difference in judgment, we should wish to make our decision with all these modes of evidence in mind, just as we should make any other decision where the evidence is conflicting. In this way, we should be judging in the most reasonable way possible -- not dogmatically following only one line of evidence, not perversely ignoring evidence, but sensibly acting on all the evidence available. (cited in Kolb, 1984: 225-226; from Pepper, 1942: 330-331)

Kolb expands his discussion of integrative/transactive learning as the process of development -- and integrity as the goal of development -- by viewing experiential learning theory from the perspective of the core virtues associated with human advancement. Figure 3.21 illustrates Kolb's view of how experiential learning theory relates to a broader, philosophical position on human advancement. Figure 3.21 extends Kolb's analysis by comparing it to the ESL model. The virtues of love, wisdom, justice, and courage are compared to the domains of Social Values, Theory of Reality, Political Strategy, and Collective Action. These virtues are presumed to be at the heart of domain maturation and critical to the ultimate achievement of integrity. This model is particularly relevant for future theological reflections since the central virtues of the model are isomorphic with many of the core 'Kingdom' values of concern to theologians who ponder the human condition in relationship to the Kingdom of God.

Figure 3.21 compares the dialectics of the experiential learning model with the necessary tensions that exist between values and facts (relating to the Affective and Symbolic learning dimensions) and between relevance and meaning (relating to the Perceptual and Behavioral dimensions). Kolb explains that "integrity requires the thoughtful articulation of value judgments as well as the scientific judgment of fact [and that] we need to develop, in the arena of values, inquiry methods that are as sophisticated as the methods of science have been in matters of fact." (227) Regarding the dialectic between relevance and meaning, Kolb states:

> Western industrial societies have nearly run amok in their embrace of the extroverted materialism of relevance, ignoring and even actively denying the meaning of religious, humanistic, and spiritual ideals ... The challenge of integrative knowledge, here, is to reimbue the pragmatic short-term choices and judgments that have given us polluted air and water, the threat of instant nuclear annihilation, the creation of a permanent underclass, and other such side effects of

> our particular form of technological civilization, with the long-range perspective of meaning that arises from reflection on the human condition and the history of civilization. What we need is a theory of intentional action to guide us through these choices, to lay bare the plan whereby humanity has made these judgments in the past, and to suggest new 'rules' for current circumstances. (227)

Thus, the dialectical conflicts -- between value and fact, as well as meaning and relevance -- promote integrated learning and the movement toward integrity, which Kolb refers to as the 'master virtue.' The other virtues -- love, wisdom, justice, and courage -- function as "protectors" of the dialectical poles of value, fact, meaning, and relevance. As such, wisdom is the protector of fact and meaning, with justice protecting fact and relevance; courage the protector of relevance and value, and love the protector of value and meaning. (Kolb, 1984: 227) Without the integration and maturation of these virtues, integration toward integrity and social transformation is not possible. As Kolb states eloquently:

> Wisdom dictates that we do not blindly follow the implications of knowledge but that we be choicefully responsible in the use of knowledge. Courage tells us to push forward when circumstances signal danger and retreat. Love requires that we hold our selfish acts in check until we have viewed the situation from the perspective of the other -- the Golden Rule. And justice demands fair and equitable treatment for all against the expedience of the special situation. (228)

Love is the foundation for the development of transformative social values; wisdom is indispensable for discerning theories of reality adequate to the tasks of social transformation; transformative political strategies depend on a profound commitment to social justice; and collective action for transformation requires the courage to face opposition, even oppression, from the defenders of the status quo.

INTEGRITY AS THE GOAL OF DEVELOPMENT

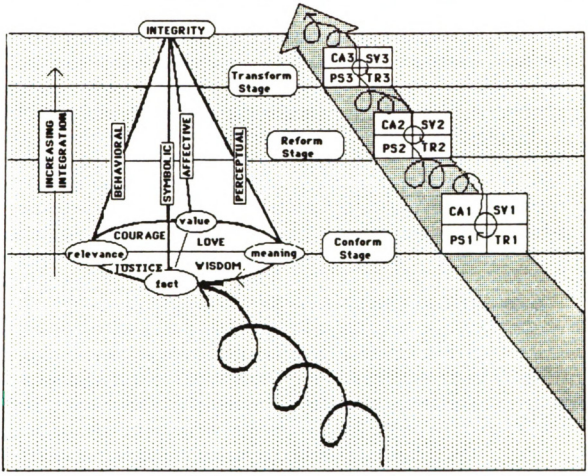


FIGURE 3.21
SOCIAL TRANSFORMATION, SOCIAL LEARNING, AND INTEGRITY

Chapter IV
The Context of the Case Study

This study is based on observations of a group of community leaders in Villa El Angel, a poor community on the outskirts of Lima, Perú. Villa El Angel is affiliated with a large international Private Voluntary Organization, World Vision International (in Spanish, Visión Mundial) through a childcare sponsorship project. This project is managed by the local development association of Villa El Angel with funding and supervision from Visión Mundial. The project is assisted by a project promotor from the Visión Mundial staff as it plans and implements various activities associated with the childcare program and related community development activities. The Peruvian branch of World Vision -- Visión Mundial de Perú -- sponsored the research endeavor reported here and permitted eight staff members to participate as members of the research team.

This chapter begins with a general discussion of the role of the Private Voluntary Organization as a facilitator of social transformation. The chapter then continues by providing a sketch of the foci of the case under study including: 1) World Vision International [including Visión Mundial de Perú, (its Peruvian branch), and the research team members] ; 2) the Peruvian metropolitan and national realities that impact the situation in Villa El Angel and the work of Visión Mundial; and 3) Villa El Angel, its local organization, and the research participants.

The Private Voluntary Organization and Social Transformation

International development normally refers to the intent of affluent nations to transfer resources (financial, human, technological, ideological) to less affluent nations. International development as a human endeavor has many dimensions. There are a myriad of actors including donor governments, recipient governments, local governments, corporations, foundations, universities, local organizations, Private Voluntary Organizations (also know as non-government organizations such as Red Cross, CARE, World Vision or local indigenous PVO's), international organizations (such as the UN and its various associated entities), cross-national institutions, such as the Roman Catholic Church and, of course, the beneficiaries. There are also a myriad of motivations for involvement in international development including political and economic self-interest, philanthropy, compassion, organizational mission. There is an even greater diversity in the types of activities,

philosophies, methodologies, and performance of these various actors.

In the midst of this complexity, a high percentage of the transferred resources do relatively little to alleviate human suffering or to improve the human condition in concrete or visibly significant ways (Adelman and Morris, 1973; Lappé, et al., 1980). As a consequence, mountains of research are produced each year in an attempt to explain some facet of this failure. However, only in recent years has the attention of researchers begun to focus on the role of the Private Voluntary Organization in international development. The attention on the PVO is slowly increasing due to an apparent success rate at alleviating suffering and improving the quality of life of the poor. Individual, corporate and governmental donors are increasingly shifting the burden for the design and implementation of development programs onto the PVO (Tendler, 1982; Gorman, 1984).

A number of questions come to the mind of an interested observer. One, do these PVO's merit the good reputations they have fostered among donor publics? If so, according to what and whose criteria? Second, if PVO rhetoric indicating a deep concern for participation and social transformation is to be taken seriously, how is this concern reflected in the management/administration of their development programs? Third, is there consistency between development theory and practice? Within the PVO? In its linkages with local organizations? Finally, do the development theory and practice of PVO's reflect the emerging Social Learning Paradigm? In what ways? According to whom? At what level of the organization? What applications do the Experiential Social Learning Model have for helping us to understand and possibly enhance the role of the Private Voluntary Organization in promoting social transformation?

The Role of the PVO in International Development

Private Voluntary Organizations (PVO) can be defined as nongovernmental (Private), tax-exempt, nonprofit agencies engaged in overseas provision of services for relief and development purposes. At least a portion of their funds are received from private charitable contributions, with the balance usually coming from governments. While the PVO encompasses a wide variety of organizations, it does not include those organizations primarily engaged in domestic pursuits -- referred to in the literature as the IPVO or indigenous PVO (Alliband, 1983). Nor does it include international organizations, such as the various agencies affiliated with the United Nations or other para-governmental entities. Because the raison d'être of the PVO is the provision of resources or services without profit as motive, profit-oriented enterprises are also outside the PVO parameters. The range of activities and the extent of PVO impact are

diverse. A high percentage of the PVOs have religious roots and motivations. Indeed, Christians have been the pioneers in the PVO movement -- providing grassroots links between churches and para-church organizations throughout the world. However, the secular PVOs often led the way in focusing attention on the need for social transformation -- providing the foundation for subsequent amplification by Christian PVOs with their insistence on the consideration of the spiritual dimension of human development.

There are few areas of the developing world not affected in some way by the activities of PVOs. For example, "in Latin America there are thirty-nine countries that host U.S.-based PVOs ... with an average of fifty PVOs operating programs per Latin America country" (Gorman, 1984: 4-5). Referring to the OECD Directory of Non-Profit Organizations, Gorman (1984: 5) points out that "the United States accounts for over one fourth of the total (428 of 1602 PVOs). U.S. PVOs also rank first in the amount of development assistance they provide, which exceeds $1,300 million. The PVOs from the Federal Republic of Germany (FRG) follow with $420.7 million, the United Kingdom (UK) with $104.7 million, and Canada with $102 million. However, it should be noted that substantial percentages of PVO disbursements from all developed countries represent offical government funds channelled through PVOs. Typically, government contributions to PVOs exceed 50 percent of all PVO disbursements." Dollar amounts can also be analyzed by comparing PVO contributions as a percentage of GNP and reveals a different kind of ranking. When analyzed in this way, the US ranks in sixth place, preceded by Norway, the FRG, Switzerland, Belgium, and Sweden. Despite the growing role of PVOs in the transfer of resources and services to the developing world, they continue to play a relatively minor role compared to the other sources of external development assistance -- the multilateral institutions and bilateral agencies (Gorman, 1984: 7; Minear, 1984: 13).

Government Influence and PVOs. A high percentage of the income of many PVOs comes from government sources. At what point do the PVOs lose their independence and become para-governmental entities -- extensions of government bureaucracies and subservient to the interests and dependent on the funding of the donor government? A complex issue, some have pointed out that the PVO should be perceived not so much as a servant of the government but as a servant of the tax payer. Indeed, the PVO may spend the tax-payers resources more efficiently and effectively than either the donor government or recipient governments (Roberts, 1984: 99). However, the critical question of PVO autonomy from the policies and interests of the government is one that should not be ignored. Gorman rhetorically asks: "At what point does a PVO cease to be an independent entity relying on

government support only as a source of supplemental funds, and become instead a mere appendage of the government?" (1984: 66).

It is sometimes difficult to serve both the interests of the beneficiary public through programs that promote social transformation as well as remain true to the requirements and objectives of donor governments. For example, "AID now asks selected PVOs to function as surrogate AID missions in countries where it is not economical or feasible to maintain a direct AID presence" (Minear, 1984: 24). At what price come the funds? How does a PVO resolve the inevitable dilemmas that will result from serving "mammon" (with its inevitable strings attached -- requiring consistency with the foreign policy interests of the donor government) and serving the interests of the poorest of the poor? In what ways are PVO administrative and operational activities and systems impacted by this greater dependency on governments? And more fundamental, how does dependency impact on the organization's mission? Sometimes, it is the unobtrusive, insidious encroachment of government "red-tape" that robs an organization of its autonomy, monopolizing the organization's financial and human resources (Roberts, 1984: 111; Blewett, Henriot, and Schmidt, 1980: 47-68).

In addition, PVOs usually strive for political neutrality and claim to be apolitical. However, in reality, all PVOs serve political interests, whether consciously or not. This is not to infer that PVOs have expressed allegiances to certain partisan political parties, but rather it is a recognition of the realities of power and politics in social life (and that it is impossible to be neutral within this context). A PVO either wittingly or unwittingly promotes the status quo or consciously or unconsiously promotes social change -- for better or worse. As a consequence, dependency on government funds promote the perception, if not the reality, that the PVO is subservient to the interests of the donor government (Smith: 1984: 136-158; Lissner, 1977; Lappe, Collins, and Kinley, 1980; Blewett, Henriot, and Schmidt, 1980: 47-78). Transformative change strategies tend to accept the realities of power in social life and explicitly consider the strategic dimensions of politics and power.

<u>Praxis and the PVO</u>. Due to its relatively smaller role, the PVO has not excited the same attention of serious international development researchers as the bilateral and multilateral development agencies. Because many consider the PVO a more effective avenue for development programs, it is anomolous that so little academic interest has been expressed (Gorman: 1984: 43). In part, this failure to bridge the research gap is the result of the dependency of university-based social scientists on government research funding. However, it is also a consequence of the lack of interest in academic and "theoretical" concerns by PVO management, due in part to their propensity for action rather than reflection, but also because of a basic skepticism

about the practical value of most research. A definite gap between development theorists in the universities and PVO practitioners has resulted, leading to a serious problem with PVO development praxis:

> The notion that universities teach about development and that PVOs do development is at once true and misleading. Many in the PVO community are quick to assert that the theoretical prescriptions about development advanced in university classrooms are often quite apart from the realities encountered in the practical realm. But theories are not the exclusive monopoly of universities. Indeed, even the most practically minded PVOs harbor pet notions about development that can be disabused by real world experience. On the other hand, to eschew theories -- which after all are ultimately but an effort to make sense of, explain, and understand the practical realm -- may encourage a limited, parochial, and purely anecdotal understanding of the development process. In truth, the academic and PVO communities are both repositories of useful knowledge about development and there is a crucial need for more dialogue between them so that each can learn from the other. (Gorman, 1984: 253)

The PVO in Transition. Many of the larger PVOs, such as CARE, Catholic Relief Services (CRS), Church World Service (CWS), Lutheran World relief (LWR), emerged immediately following World War II as compassionate responses to the needs of war-torn Europe. Similarly, others -- such as World Vision International (WVI) -- emerged a few years later during the Korean War era. In the past twenty years, many other PVOs have emerged --over 1,700 by 1981 -- in response to the needs of the developing countries. While the intial focus of most PVOs tended to center on relief needs -- such as emergency assistance following natural disasters -- most have diversified to include what are commonly referred to as development activities such as health, education, technical training and improvement, marketing and producing cooperatives, and community development (Smith, 1984: 115). The larger PVOs also expanded their geographic focus as funding levels permitted, resulting in international mandates for operations throughout Latin America, Africa, the Middle East, and Asia. Some of the larger PVOs, such as the Red Cross, Church World Service, and World Vision International, attempted to internationalize their operations on another level by joining co-equal national entities into partnerships governed by international boards -- thus, becoming a transnational type of PVO. Clearly, the most well-known and respected of these is the International Red Cross.

Until the mid-1960s, most PVOs tended to uncritically provide welfare-types of assistance to both refugees and other needy persons in developing countries. Thus, food, health benefits, and other material assistance were handed-out to the beneficiaries. Notions of creating self-reliance among the indigenous poor or promoting long-term development were simply not priorities in the early PVO era.

However, toward the mid-1960s, most of these PVOs began to realize the inadequacies of conventional relief programs and began searching for ways to stimulate self-reliance among local institutions (Linden, 1976; Haveman, 1981). By the 1970s, diverse development programs were identified as appropriate alternatives to traditional relief programs which tended to foment dependencies. However, during this same period, the:

> emergency relief needs of the poorest of the poor grew rather than diminished, so that many of the resources that PVOs had at their disposal were funnelled into refugee and emergency relief rather than long-term development efforts. Indeed, as PVOs attempted to cope with the refugee problems of Asia and Africa in the 1970s, it became clear that a focus on long-term development would be essential to ameliorate the future problems of refugees. With this objective in mind many of them began to spend a larger amount of time and energy promoting long-term development and not simply short-term refugee relief. (Gorman, 1984: 8)

However, the PVO's were caught in a dilemma. The PVO often has had to make the painful choice between using scarce resources for relief efforts -- often seen as urgent life-saving measures -- and putting resources into long-term development activities which in theory would address the causes of many emergencies. Complicating this choice, was the perception by PVO marketeers that donors were more interested in supporting urgent relief efforts than long-term and nebulous development actions. And, the fact is that:

> refugee and disaster relief operations make headlines, thus easing the task PVOs face in earning aid dollars from what is a more typically inattentive public in regard to longer term development issues. For this reason, many PVOs are reluctant to get into the development business to the exclusion of relief. Nevertheless, many PVOs have come to realize that by focusing on development issues, they might help to eradicate the underlying conditions of poverty which in turn often exacerbate relief situations when they do occur. (Gorman, 1984: 51)

Thus, some PVOs tended to specialize in relief, others in development -- but most tended to compromise by segmenting their energy and resources into relief *and* development activities. As a consequence, the relief *and* development agency emerged as a key player on the international development scene. Some of the relief and development agencies adopted strategies that included marketing their relief efforts as a more attractive "product" for the individual donor and using a portion of the raised funds for more meaningful long-term development activities. A philosophical and organizational separation tended to emerge within PVO bureaucracies -- dividing the adherents of relief and development into distinctive and often divisive camps.

Relief *and* Development: A False Dichotomy. The battle between relief adherents and development adherents is less over the virtues of development activities as it is over those of relief efforts. Many development proponents argue that relief efforts typically create dependencies and make development activities more difficult -- ultimately solving no long term problems while at the same time draining the organization's resources. The relief advocate's response typically emphasizes the moral responsibility of the organization to respond to emergency needs, particularly life-threatening needs and pragmatically points out the donor's relatively higher interest in supporting a relief effort than a development effort -- providing the resources needed for the development activities that can follow a relief effort -- in such way the PVO will be responding responsibly to long-term needs as well as short-term. Unfortunately, there is substantial evidence that the critics of relief are largely correct when they point to the unintended consequences of traditional relief assistance -- such as increased dependency levels that impede developmental efforts (Cuny, 1983; Wijkman and Timberlake, 1984: 104-138).

Only in recent years have relief and development agencies sought ways to make their relief programs more "developmental." The process of making relief efforts conform to developmental standards requires more adequate definitions of both relief and development, as well as the creation of an holistic framework for understanding the role of the PVO in promoting social change. There are probably as many definitions of development in use among the PVOs as there are PVOs. However, in general, most PVOs agree that "development is an integrated process of change -- economic, technological, social, political, institutional, and even spiritual -- directed at the well-being of all, and requiring changes in both behaviour and will" (ACVA, Interaction, 1985: 12). Perhaps, this definition of development needs to be supplemented with a wider consideration of the concepts of crisis and underdevelopment, particularly how development is often impeded by psychological, social, spiritual, political, economic, and ecological factors. The cumulative effect of barriers to the development process potentially become a crisis in which the ability to remove the barriers is increasingly inhibited.

Relief *for* development: A Holistic Conception. Natural or man-made disasters typically can either strengthen existing barriers to development or create new ones, thereby exacerbating a crisis. However, the disruptions of the status quo that occur with relief situations are also replete with opportunities for social change. The natural disaster or emergency can even be considered as an opportunity for transformative social change and, as such, the relief "intervention" can be used for removing some of the barriers to development. Relief assistance, from this

perspective, can contribute to social transformation when the barriers to the development process are understood and the disaster or crisis is used as an opportunity for contributing to their removal. In other words, relief assistance needs to be construed as potentially contributing to the development process. The false dichotomy of relief *and* development should be abandoned and replaced with a notion of relief *for* development. Conceptually, this indicates a movement away from an operating theory that focuses exclusively on meeting short-term emergency needs toward a theory that construes the relief situation as an event that occurs within a context of crisis -- and as an opportunity for accelerating the development process. Instead of a dichotomy, relief and development can be understood as connected phases in a process of social transformation (Dickinson, 1987: 1-8).

The relief *for* development concept is compared to the ESL conceptual framework and illustrated in Figure 4.1. In Figure 4.1 the development/ underdevelopment (of a group, local organization, or community) is illustrated as situated in an environment of submission in which the cumulative barriers to development are impeding the development process, impelling a process of underdevelopment -- and contributing to a state of crisis. The disaster (man-made or natural) intensifies the state of crisis, destabilizes the steady pace of underdevelopment, and leads to a rapid and accelerated decline in the quality of life.

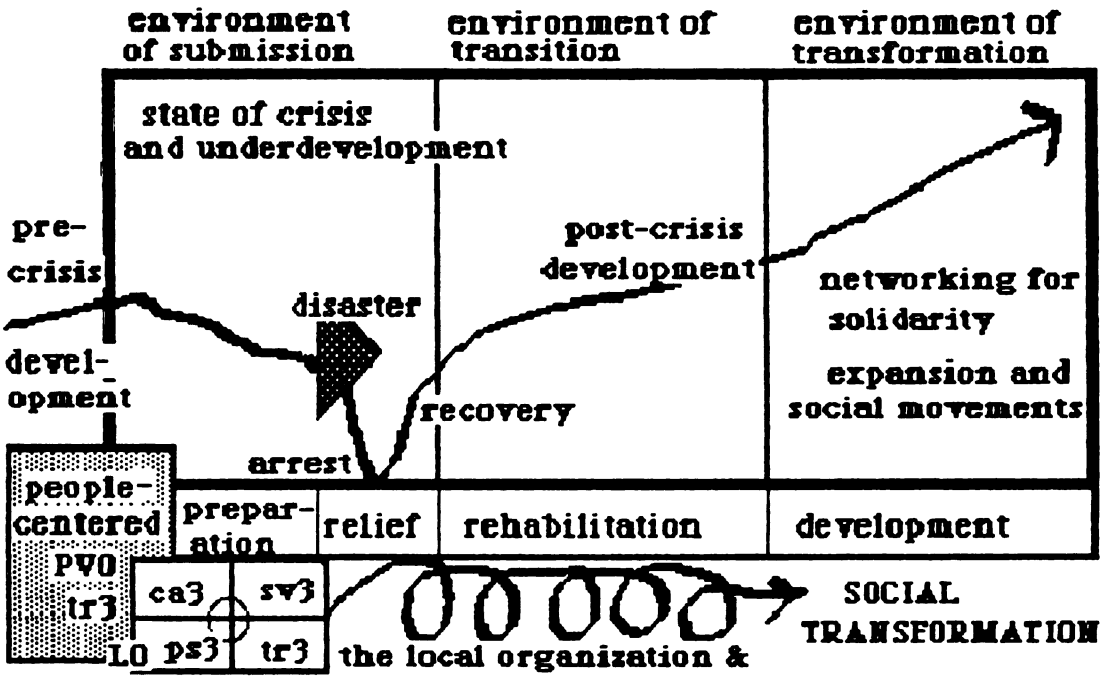


Figure 4.1

PVOs, Local Organizations, Relief Situations, and Social Transformation

A PVO committed to people-centered development is shown facilitating the transformative activities of a local organization (LO) as it engages in: 1) arresting the downward spiral caused by the crisis in the relief phase; 2) promoting recovery and laying the foundations for a process of social transformation in the "rehabilitation" phase, and 3) promoting transformative social change in the community and beyond through networking for solidarity and social movements.

The LO is presumed to be operating at the transform stage of development -- drawing from mature ESL domains as resources (sv = social values, tr = theory of reality, ps = political strategy, and ca = collective action at the transform stage =3). The LO in Figure 4.1 uses the disaster as an opportunity for promoting social transformation -- helping to remove the barriers (impeding forces) that keep the community in a state of crisis and becoming the catalyst (with impelling forces) for moving the community out of an environment of submission, into an environment of transition, and ultimately an environment of transformation.

Toward a Typology of PVOs. Figure 4.2 illustrates a proposed typology of PVOs and associates it with the ESL model. A Conform Stage PVO (PVO1): 1) responds to a state of crisis (possibly exacerbated by a man-made or natural disaster) with traditional relief and external technical assistance; 2) promotes the status quo thereby maintaining the local organization in an environment of submission and promoting dependency; 3) is possibly dependent on government funding; and 4) operates according to a conform theory of reality (TR1). The Reform Stage PVO (PVO2): 1) responds to a state of crisis by promoting either utilitarian reform through self-help strategies or radical reform through conflict or social action strategies; 2) helps to create an environment of transition in which some barriers to development are reduced; and 3) operates according to a reform theory of reality (TR2). The Transform Stage PVO (PVO3): 1) responds to the state of crisis with a people-centered, transformative approach to social change; 2) creates an environment of transformation in which barriers to development are reduced and alternative impelling forces are introduced; 3) interdependence is recognized and used for promoting solidarity; and 4) the PVO3 operates according to a transform theory of reality (TR3).

The Christian PVO and Social Transformation. Religious, and in particular Christian, PVOs are well-suited to engage in the promotion of social transformation. Indeed, they have a key role to play due to their characteristics, commitments, and the extensive grassroot networks of churches and other local organizations throughout the world to which the Christian PVOs tend to be connected.

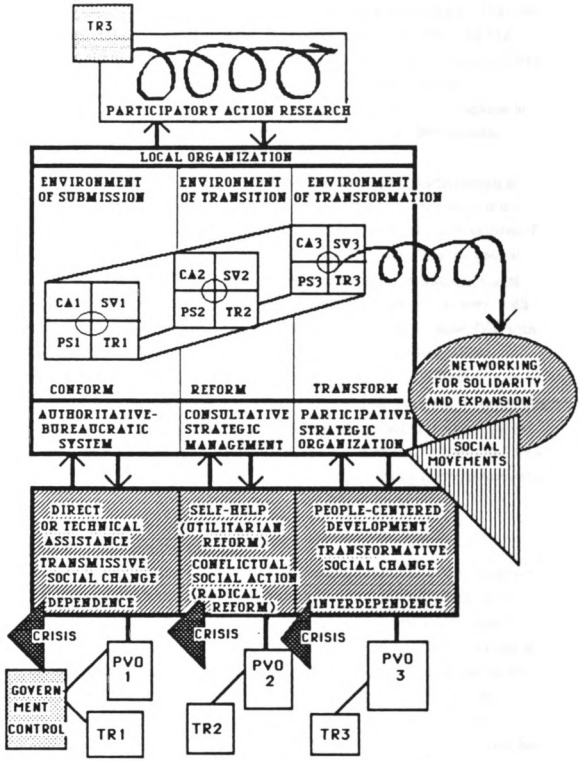


FIGURE 4.2
ESL, PVOs, and SOCIAL TRANSFORMATION

Minear (1984: 27-33) points out four characteristics of the religious PVO that make their contribution so important to social transformation. First, there is the tendency to understand poverty and underdevelopment in structural terms. "They see the chronic malnutrition of more than half a billion people and the suffering and deprivation of countless others as evidence not of natural forces but of human choices, reinforced by human institutions" (27). Accordingly, Christians, have a responsibility to seek structural realignments of power and resources in response to inequitable distributions of resources and other forms of injustice. Development efforts must therefore involve structural transformations.

Second, the religious PVO is profoundly committed to the participation of those who have been dispossessed by the current system. "Since development is not change from without but rather empowerment of the poor to change the structures of impoverishment from within, there is really no substitute for involving the poor at every step along the way" (28). Third, many religious PVOs are committed to global development education ... usually involving "dramatizing the plight of the poor, with particular attention to generating funds to meet their urgent needs." Those PVOs with deeper theological grounding go beyond emotional appeals by addressing the structural causes of underdevelopment -- especially, economic and political arrangements, institutions, and systems -- both domestic and abroad. Fourth, those who take a strong stand on development education are often also involved in public policy advocacy. "Religious PVOs have a special obligation to be concerned, beyond their own overseas projects, about the influences that governments and aid agencies have on the poor" (31).

Distinguishing PVO Rhetoric from Reality

The PVO's public image has been largely influenced by the PVO rhetoric manifested in fund-raising and public relations strategies. In general, PVOs have emphasized that they: 1) are good at reaching the poorest of the poor; 2) use and value participatory processes; 3) are innovative and experimental; and 4) maintain service to the poor with lower administrative costs than comparable programs in the public sector; and 5) promote the development and increased capacity of local organizations and institutions. However, many PVOs do not tend to reflect these qualities in the actual practice of their programs (Tendler, 1982: iv). Indeed, there has been a notable lack of attention given to evaluating PVO programs against standards set by the PVOs. The reasons are complex and varied (Smith, 1984: 144; Tendler, 1982: 127-151).

Dispelling the Myths. Many of the PVOs admit that many of their programs do not reach the poorest of the poor. Supposedly, this is due to the inaccessability of the poor and the excessive costs for reaching them with acceptable programs. However, more fundamental, is the fact that in shifting from relief to development many PVOs ventured into agricultural development and income-generation programs -- programs which ironically have tended to benefit local elites rather than the poorest. Inadvertently, the PVOs became practitioners of "trickle-down" programs at the community level -- an approach that the PVOs have severely criticized at the macro-level of development. Indeed, the initial PVO era emphasizing relief programs often provided more concrete benefits to the poor than development programs. Thus, the shift by PVOs from relief to development programs anomolously diminished the PVO assistance to the poorest of the poor (Tendler, 1982: 48).

Similarly, according to Tendler's study (1982), what was described by the PVOs as community participation has involved the empowerment of local elites rather than the empowerment of the poorest of the poor through representative processes. The PVO is all too often oblivious to class stratification within the communities they assist and thus do not perceive the local-level version of trickle down theory implicit in their programs (12). Consequently, PVOs tend to view communities as harmonious social entities and see no reason for concern about class conflicts.

PVOs need to become more aware of the complexities of participation -- to critically interpret participation within a particular context, rather than to naively assume the transcendent value of participation in all circumstances. In addition, PVOs need to begin to critically assess the reality of their role. Tendler (1982: 15) identifies three approaches to community participation promoted by PVOs. Some PVOs promote (whether consciously or not) participatory processes that engender the entrenchment and empowerment of local elites by yielding decision-making control to them. Other PVOs are "enlightened" and, thus, sensitive to the needs and aspirations of local beneficiaries. But they may ultimately control the agenda in a top-down way. As Smith (1984: 148) notes: "Third World PVOs are beginning to become uneasy with what they consider a lack of real collaboration between their North American counterparts who speak about partnership but who continue to make the key decisions about projects and funding allocations by themselves." Finally, there are PVOs that are committed to genuine representation in local-level decision-making, as well as to being sensitive to the local socio-economic realities. These three types of PVOs correspond respectively to the previous typology of the conform PVO (PVO1), the reform PVO (PVO2), and the transform PVO (PVO3).

PVOs tend to be decentralized and do contribute to increased institutional capacity at the local level, perhaps because of the special attention given to local elites. However, decentralization does not always infer a concomitant and genuine commitment to participatory representation and empowerment of the poor. PVO self-descriptions of cost-effectiveness, flexibility, and innovativeness probably have substantial validity but require further research. For example, some have pointed out the poor cost-benefit ratios of many PVO projects, poor project sustainability without subsidies from the local populace, and low replicability of successful project models (Ellis, 1984: 201-213).

The PVO as Facilitator of Social Transformation

PVOs, that are genuinely committed to social transformation, will need to take actions that help them become more effective instruments of transformative social change. This will require the reorientation of PVO bureaucracies toward more appropriate forms of administration. It will also require more serious attention to: 1) the importance of evaluation; 2) increased sensitivity to development policy issues; 3) a more concerted effort to take advantage of existing networks for promoting social transformation; 4) the promotion of unity and solidarity within the PVO community and 5) more serious attention given to development education among the donor publics and public policy advocacy on relevant issues (Minear, 1984: 36-37). In short, the role of the PVO, as an innovator at the micro-policy level, can increasingly become one of catalyst of major policy and structural transformations at the macro-level (Korten, 1986: 309-317).

The Search for Appropriate PVO Management. A central theme throughout this study has been the need for development agencies to seek more adequate forms of administration and managment for promoting social transformation. The Social Learning paradigm, and the related ESL model, together with its PAR methodology, have been proposed as alternative conceptualizations to the bureaucratic-rational system which typically undergirds the management of most PVO programs. As Fowler points out:

> More often than not, for want of better, NGOs have been adopting and adapting management tools and organisational forms and procedures from the business and social welfare sectors of the West. This is also done in order to make it seem as if the NGO organisations can and should function in the same way as the financer or other organisations do. This ignores the fact that the form of an organisation must be congruent with its functions for it to be effective and efficient. Rural development interventions are not the same as the manufacture of products by business or treating development as 'client cases' as does social welfare. (1986:11)

Calavan (1984: 216-249) makes a number of propositions related to improving the administrative/management systems of PVOs for the tasks of social transformation. These recommendations are congruent with the social learning paradigm:

1. Be aware of local management capacities and do not undercut them casually.

2. Do not assume that uniformity of arrangements between central agencies and local groups is feasible or desirable.

3. Administrative changes intended to improve the services of the central service agency should be based on specific and concrete interactions with the local organizations and populace.

4. Elicit local participation in projects by giving participants control over, and responsibility for, essential resources.

5. Support local government and local initiatives.

6. In project analysis, do not confuse standards of scientific rigor with those for administrative usefulness. Recognize the operational primacy of the latter.

7. Avoid oversimple asssumptions regarding modernization and learn to accept technological dissonance (water buffaloes and microcomputers may be appropriate technologies within a single environment).

8. Think carefully before transferring management skills from the First World to the Third. That which is "transferable" may be only some elements of a management technology rather than an integrated, prescriptive science. In particular, ... great care should be taken to avoid imposing unnecessary auditing, inspection, and documentation functions on small informal groups (230).

9. Be aware of thinking of culture as a monolithic barrier or, as a magical, omnipotent tool. Do not assume that all members of a society share its dominant values.

10. Recognize some administrative dilemmas as such. There is no uniquely trouble-free framework for interaction between agencies and local groups.

11. ... Development processes should involve frequent shifts between learning and action modes. Learning about local institutions, behavior, and preferences should predominate in early stages of conceptualization and planning. Officials should resist a tendency to move too quickly to prescription and action.

12. Think creatively about technical assistance.

13. Given sufficient time and resources, the right centrally sponsored program can to much to nurture local initiative.

World Vision International

Background to the International Organization

World Vision International is increasingly recognized by governments, donor publics, and beneficiaries as an effective agency for promoting childcare, relief and development programs in the Third World. One of the manifestations of World Vision's increasing recognition has been the phenomenal growth rate in both resources and programs in the past thirty eight years. Since its founding in the early 1950s, World Vision has grown from a small American Christian charity that focused on the needs of Korean war orphans into one of the world's largest private relief and development agencies. And, while some Private Voluntary Organizations have remained parochially bound to a narrow donor constituency, World Vision has evolved into a transnational organization. World Vision has joined together with numerous autonomous national entities into an international partnership. In addition, World Vision International has been able to evolve from a humanitarian agency which primarily financed institutional childcare programs into an agency that is creatively involved in the promotion of transformative social change through community development and other programs.

Fifteen national offices are primarily responsible for raising income. In addition, forty three field and program offices, scattered throughout forty three nations in Africa, Latin America, Asia and the Middle East, are primarily responsible for assuring that the various World Vision programs are effectively managed in the seventy plus countries with World Vision operations. The International Office of World Vision International is responsible for coordinating and bridging between the various activities and constituencies associated with the partnership. The President of World Vision International, as the Chief Executive Officer, is responsible for assuring that this function is carried out effectively. In 1987, over US$114 million was made available to 4,664 projects in order to assist nearly 14 million needy people in 70 nations. Through the efforts of 3,118 childcare and child-centered development projects, 566,000 needy children were assisted (WVI, 1987). This case study focuses on just one of these child-centered community development projects.

The control of World Vision International is vested in an International Board of Directors, which is composed of eighteen representatives selected from throughout the partnership. Its authority includes the appointment of senior officers of World Vision International, as well as the approval of plans, budgets, and international policy. The World Vision International Council is a more broadly representative group of approximately eighty people, who are selected from all parts of

the partnership. The Council is charged with authority over the Constitition, the By-Laws, and provides advice for overall corporate objectives (WVI, 1986). The organizational chart in Figure 4.3 reveal how the World Vision International partnership is structured.

The common thread running through World Vision's diverse activities is a profound commitment to human development. One agency brochure describes the World Vision perspective:

> World Vision is concerned with human development, which we see as a process of individual and social transformation. The process starts where people are, with their own unique reality. It is a process of enablement that helps people recognize the resources within them and around them which make change possible. It is not something that is done for them by others. Projects carried out in the community belong to the community, and thus the primary accountability for the conduct of projects is to the people of the community rather than to World Vision ... There is a serious commitment throughout World Vision to a participative approach to management, policy formulation, and decision-making on strategic issues (WVI, 1986: 7-10)

Numerous types of local organizations work in a partnership with World Vision at the project level -- including a wide variety of local interest associations and local development associations. However, World Vision usually seeks to implement projects in partnership with interest associations, primarily through churches. "These relationships take a wide variety of forms according to local circumstances: sometimes with a group of local churches, sometimes with a community committee on which the churches are represented, sometimes with a single congregation (through we prefer to work with a group of churches as an interchurch committee), and sometimes with a project commitee of individual Christians." (WVI, 1986) World Vision also works with non-sectarian, broadly representative community organizations -- such as local development associations. This case study focuses on World Vision's partnership with one such local development association in a marginal community of Lima, Perú.

Visión Mundial Perú

Established nearly seven years ago, Visión Mundial has gradually expanded its childcare, community development, and relief and rehabilitation programs in several regions of Perú. Due to the serious problems in Perú's urban areas, Visión Mundial has been increasingly focusing its attentions on the needs of these communities. A higher percentage of the community development efforts of Visión Mundial Perú are now directed toward urban areas, particularly metropolitan Lima. In addition, while many of its childcare programs initially focused on institutional/welfare kinds of assistance, Visión Mundial has in recent years been

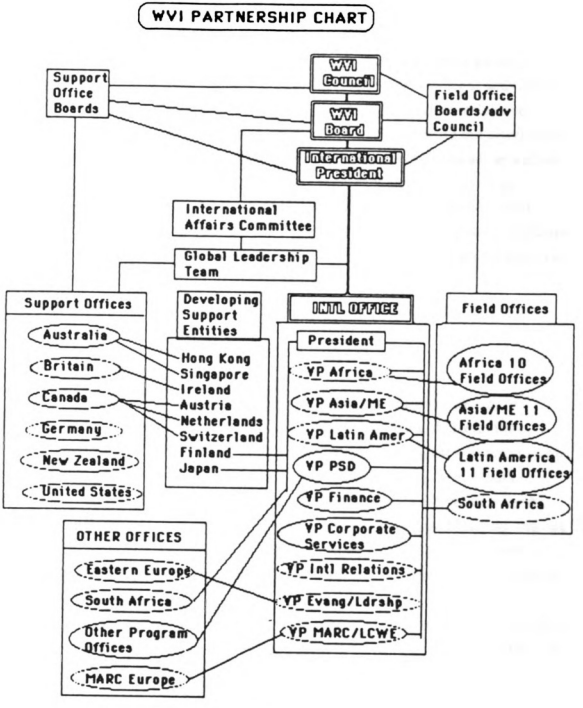


Figure 4.3
WVI Partnership Chart

attempting to promote holistic development in supported communities -- including challenging the Church to assume its responsibilities for promoting holistic development, strengthening leadership in projects, and enhancing capacity for responding to disasters and other emergencies (VMP, 1986; 1988).

Many of the fifty staff members of Visión Mundial have been gaining significant experience in the management of both relief and development activities in recent years. Those with the greatest "hands-on" experience are the development "promotors". Development promotors are responsible for supervising the activities of a project, assuring that World Vision standards and systems are maintained, as well as encouraging increased management capacity in the local organization through training, consultation, evaluation and other kinds of activities. Each development promotor is responsible for an average of five to six community development/childcare projects. Currently, there are eighteen project promotors located in various sectors of the country, who report to one of the area office supervisors.

The Peruvian Context

Perú is a nation of fascinating diversity and contradiction. By way of comparison, Perú is three times the size of Texas. Its topography and climates are divided into many zones -- ranging from the huge expanse of tropical rainforest in the amazon basin, to some of the highest snow-capped mountains in the world in its numerous Andean ranges, to one of the driest, most desolate coastal deserts on earth (see map of Peru, Figure 4.4). Ironically, Perú is rich in natural resources and, yet, the majority of its people suffer from extreme poverty. Many regions of the country continue to be isolated, making it extremely difficult to take advantage of their mineral and agricultural potentials.

Perú, similar to Egypt, can take great pride in the achievements of a glorious past that is perversely difficult to reconcile with the deprivations of the contemporary era. During its golden age, the various civilizations of Perú, such as the Inca, were tremendous engineers, architects, scientists, and agronomists -- without parallel in the world of that era. The agricultural innovations of the Inca allowed for food self-sufficiency despite tremendous topographical and climatic obstacles. Ingenious engineering provided adequate water resources for the population as well as for irrigation of the crops. In contrast, today the majority of its people are hungry and the country is dependent on food imports. Nearly half the population is without adequate sources of potable water.

Figure 4.4
Map of Peru
(Source: Webster's Atlas)

Peru's diverse peoples have managed to retain many of their cultural, linguistic, and religious roots despite a long history of oppression and domination by the criolla -- the descendents of the original conquistadores. Nearly thirty-five percent of the population are considered ethnic Indians, with over three million speakers of Quechua and a large number of Aymara speakers as well [For an overview of Peruvian history and culture, see: Pike (1967); Garcilasco de la Vega (1961); Davies (1974)].

As for religion, Perú is predominantly Roman Catholic [See: Mackay (1932) for a classic version of the history of Christianity in Latin America]. Two streams of the Roman Church, the traditional and the progressive, are currently engaged in an historic struggle over the directions the Church should take -- especially with regard to the issues of social justice and transformation. The progressives have been very active in community development activities in Perú by providing innovative leadership in adult education programs and in the promotion of community organization. The Protestants are a relatively small minority in Perú (about 3.7% of the nation). The Protestants have traditionally been very conservative on social matters, although there is also a strong progressive movement within their ranks (WVP, 1986: 1-6).

Socio-economic Indicators

Though rich in natural resources, Perú is, according to many socio-economic indicators, one of the poorest countries in Latin America. Perú has one of the highest fertility rates with an average of 5.2 children born to a woman during her lifetime. During the past four decades the population has more than tripled. Peru's infant mortality rate is exceeded in Latin America only by Bolivia and Haiti. Approximately ten per cent of all babies never live to reach their first birthday and twelve children per one thousand, aged one to four years, also perish. The per capita GNP is also one of the lowest in Latin America. Only Nicaragua, Honduras, El Salvador, Guyana, Haiti, the Dominican Republic, and Bolivia are lower than Peru's one thousand forty per person annual income. However, of more concern, is how the wealth in Perú is distributed -- sixty-one percent of the total national income is controlled by twenty percent of its population -- leaving thirty-nine percent of the nation's wealth divided among eighty percent of its citizens. For every 1,390 persons in Perú, there is a physician. Forty percent of the population is employed in the agricultural sector -- most survive at subsistence levels. Forty-five percent of the population is economically dependent (under fifteen or over sixty-four years old) on others. Forty-nine percent of the population does not have access to safe drinking water (WVI, 1987 socio-economic indicators).

The statistics for malnutrition rates of children, adult functional literacy levels, and unemployment/underemployment rates are further symptoms of the nation's difficult socio-economic situation. Eighteen percent of the adult population is illiterate, with variations between the urban and rural zones averaging between eight percent and thirty -eight percent illiteracy rates respectively. For women, the problem is even more serious. In some of the poorer Andean zones, over seventy percent of adult women are illiterate. High drop-out rates from primary and secondary schools imply that the problem is not going away (WVI, 1987 socio-economic indicators).

Caloric and protein consumption averages only between ninety to ninety-five percent of FAO recommended levels. In some zones the problem of malnutrition is extremely serious. For example, in the northern reaches of the Andean zone, average consumption meets only seventy-five per cent of recommended levels; and, in the jungle zones, only sixty-eight per cent of recommended levels. According to some estimates, rates of undernutrition among Peru's children are as high as forty-four percent for children under six years old. Perú is highly dependent on costly food imports to meet its needs. Due to this fundmental nutritional problem, many government and PVO community development projects include the preparation of daily lunches for the children -- referred to as "comedores populares" -- roughly translated as community soup kitchens (WVI, 1987 socio-economic indicators).

While the agricultural sector provided employment for thirty-five percent of the population in 1983, unemployment affected nearly eleven percent of those desiring employment in Perú. By 1985, sixty percent of the economically-active population was underemployed and unable to raise sufficent income to meet adequate subsistence levels, according to government standards. Unable to find employment, many of the migrants from the rural sectors enter the informal urban economic sector, and struggle to survive through small enterprises, various services, or as street merchants. The informal sector is not officially recognized by the Government and its members do not pay taxes. However, the informal urban sector employs twenty-five percent of the economically active population and produces sixty percent of the internal gross product. Most of these jobs contribute to underemployment, because they do not provide adequate income levels for most families (WVP, 1986: 1-6).
[For an overview of the contemporary Peruvian economy see: Penanno (1981); Thorp and Bertram (1978); Webb (1977); Fitzgerald (1976); Matos Mar (1985); Saba (1987)] .

The Urban Explosion

In 1940, the total population of Lima was 645,172 persons. The current population of Lima -- estimated at six million -- is nearly equal to the total national population of 1940. Declining income in the agricultural sector has led to massive migration to Peru's urban areas during the past forty years. Sixty-five percent of Peru's twenty million population now live in urban areas, with thirty-five percent in rural areas. In 1940, the opposite distribution existed. During the 1950s and 1960s, migration from rural to urban areas accelerated. Organized peasant "invasiones" of the marginal outskirts or unoccupied districts of cities led to the formation of "barriadas" -- marginal slums, eventually to be referred to as "pueblos jovenes" (young towns) or as "asentamientos humanos" (human settlements). Over six million, or thirty percent of the total population of the nation, now resides in the metropolitan area of Lima. Eighty percent of the residents live in either pueblos jovenes (thirty-seven percent), very poor working class neighborhoods (twenty-three percent), or what can only be described as hovels (twenty percent). The remaining twenty percent of Lima's population live in affluent or middle class neighborhoods. The demographic situation is similar in Peru's other urban centers which include: Trujillo, Chimbote, Puno, Cuzco, Huancayo, Arequipa, Chiclayo. Typically, these urban communities lack basic services, such as health care, education, potable water, drainage/sewage systems, adequate housing, electricity, recreational areas, telephone, transportation, and road access (WVP, 1986: 1-6). Those communities that have managed to obtain these services have usually engaged in protracted struggles with the authorities. Typically, gaining the desired governmental response only after exercising significant political pressure (Matos Mar, 1985: 77-83; Golte and Adams, 1987: 36-47; Collier, 1978: 15-30).

New migrants have been unable to enter the urban context through established legal conventions because there is simply no place to go for those who cannot pay. Thus, new migrants organized themselves, seizing unoccupied lands adjacent to the city, usually undesirable hillsides. These "invasiones" have been met with official resistence and many of the migrants lost their lives in the ensuing battles with police and vigilante squads who have tried to evict them. Tenaciously persistent, the newcomers prevailed and the government eventually recognized their legality. In essence, the migrants forced a change in a legal system that was structured against their interests.

Due to their traditional collective activities in their Andean homelands, the new migrants are very active in labor, and community organizations and movements. They have become a political force -- usually latent but potentially explosive -- that cannot be ignored by the Government or the various political parties. The migrants

have managed to preserve much of their cultural heritage by collectively settling a selected zone. Indigenous music, dance, festivals, fiestas, common languages, and communal action are all part of the cultural glue that has prevented their total assimilation into the dominant culture. Organized efforts through community associations is also part of this cultural heritage and has been key to the progress achieved in the pueblos jovenes. Five hundred and ninety-eight pueblos jovenes now exist in metropolitan Lima with 2,184,000 residents (thirty-six percent of the total population of metropolitan Lima) (Matos Mar, 1985: 77-83; Golte and Adams, 1987: 36-47; Collier, 1978: 15-30).

The results of this rapid growth are readily apparent in Lima. The city has simply been unable to maintain an adequate infrastructure for this population -- although the Lima metropolitan area receives a disproportionate share of the nation's resources. Extreme social tensions and a very low quality of urban life are manifested in many ways in the Lima of today. Drug addiction, alcoholism, prostitution, robbery, and other urban plights, common the world over, have been institutionalized in Lima. Water and public transport are unreliable in all parts of the city. Putrid rubbish is seen and smelled in all but the richer neighborhoods. Finding adequate housing is a serious problem for the newer migrants and the underemployed. Tensions between the classes are manifest as they struggle for control over the use of public beaches, with the rich gradually yielding their exclusive domain to the popular classes (Matos Mar, 1985: 71-90). Strikes by public servants -- and the resulting smell of tear gas used by riot police to subdue their protests -- are routine [For an overview of contemporary urbanization in Peru, see: Matos Mar (1985); Collier (1976); Davies (1974); Stein (1980); Saba, (1987)].

The Politico-Economic Context

Throughout the Colonial and Republican eras, and into the modern era, Perú has been tied into webs of dependency, exploitation, and foreign debt with the dominant economic powers of each era. Various civilian and military governments over the years were alternatively subservient, or rebellious and nationalistic, toward these economic relationships. Throughout its history, Perú, like many other Latin American economies, suffered from the boom and bust cycles resulting from dependency on an export-led economy. Various attempts, mostly unsuccessful, were made to break the vicious cycle of export dependency.

While Perú vacillated between civilian and military governments throughout its history, it was not until the military regime of General Juan Velasco Alvarado that major structural transformations in the Peruvian social fabric were

attempted. Unique in Latin American history, the Velasco regime, coming to power in 1968, was revolutionary as opposed to reactionary or reformist. The Velasco regime, in contrast to other military governments, was not subservient to the dominant classes; it adopted a dependency outlook of Latin American realities and, thus, was committed to a path of autonomous development for Perú; and initially had the sympathy of the peasantry (Skidmore and Smith, 1984: 187-224).

The Velasco regime attempted to impose social transformation from the top-down. Radical land reform was imposed which resulted in the expropriation of all large estates, placing them under the administration of worker-run cooperatives. By the mid-70s, three quarters of the country's productive land was under some form of cooperative management and the agrarian elite had essentially disappeared. In its desire to organize and mobilize the peasants and the working class groups, the Velasco regime also was interested in the new urban settlements -- the shanty towns -- and implemented a strategy for legalizing land tenure of the residents of the barriadas and provided charters for the "Pueblos Jovenes." Community organization was now directed from above -- essentially what had previously been spontaneous community participation out of a commonly felt need -- became manipulated and institutionalized participation in order to build a political base for the Velasco regime.
Velasco made similar movements to "democratize" the industrial workplace. Simultaneously, strategies were invoked for diminishing the country's dependency on foreign capital and expropriating foreign owned enterprises (Skidmore and Smith, 1984; Jaquette and Lowenthal, 1986: 26-29; McClintock, 1981; McClintock and Lowenthal, 1982).

Velasco's imposition of structural reforms met with tremendous external and internal opposition. Ironically, due to the authoritarian nature of promoting social change, the regime was eventually resented by the very people who were intended to be the primary beneficiaries -- the peasants and the working class.

With the death of Velasco in 1972, his successors began to back away from the more radical structural changes of the revolution and, by 1975, the social experiment was over. The general consensus was that it had failed, partly due to economic and structural factors beyond its control, partly due to its attempts to do too much too fast, but largely because of the very factor which allowed the "revolution" in the first place -- the military's autonomy and subsequent lack of a political base from any of the social sectors (Skidmore and Smith, 1984; Jaquette and Lowenthal, 1986: 26-29; McClintock, 1981; McClintock and Lowenthal, 1982) .

By 1980, the military had washed their hands of the affair and the government was back in the hands of the civilians. Interestingly, according to some

observers, Alan Garcia, leader of the APRA party and the current President of Perú, continues to use some of the same nationalist/dependency rhetoric, by advocating Velasco-type programs. Others believe the actual impact of Velasco's social experiment are less tangible. Perhaps, because of the experiences during the experiment, it has resulted in increased social consciousness of the masses and a perceived right to participate in, and ultimately control, the economic and political systems which determine such a large part of their destiny. According to one observer, "Peru's generals and colonels may not have achieved a successful revolution, but it may yet turn out that they made one possible." (Skidmore and Smith, 1984: 224) [For an overview of recent socio-political trends in Peru, see: Lowenthal and McClintock (1983); Lowenthal (1975); Stein (1980); Handelmann (1975); McClintock (1981); Saba (1987)].

Political Violence. This brief sketch of the political panorama would not be complete without mentioning the violent war being waged between the Sendero Luminoso (the Shining Path), a small band of Maoist guerillas, and the army. Some estimate the number of deaths during the past eight years at ten thousand. These were mostly civilians who have disappeared and are assumed to have been killed either by the army -- which is zealously trying to destroy all those who it suspects of aiding the Sendero Luminoso or by the Sendero, which ruthlessly pursues its strategies to totally overthrow the system, including murdering innocent civilians. Most of the victims have been poor male peasants in isolated mountain provinces. However, increasingly, the Maoist group has shifted its strategies toward the urban areas, including the citizens living in the pueblos jovenes (Christian Science Monitor, 2/9/88; Skidmore and Smith, 1984).

Bottom-Up Social Experimentation

In contrast to Velasco's top-down attempts to impose social experimentation in Perú, several contemporary movements are indicative of a more fruitful bottom-up approach to social transformation. While the influence of Velasco's regime on these movements can be debated, what is more apparent is that contemporary social movements in Perú have been inspired by ecclesial base communities and educación popular. Both the base communities -- which are organized by local Christians who seek to reflect and act in ways consistent with the Scriptures -- and the transactive, experiential, dialectical learning encouraged through educación popular programs -- are making a dramatic impact on how the poor perceive their reality and what they intend to do about it. In Perú, these movements are some of the more critical impulses helping to move the poor toward genuine, bottom-up social transformation (Rodrigues

Brandao, 1987: 59-88; Haak and Albertini, 1987: 207-258; Freire, 1985: 121-141; Nunez, 1986).

The Community: Villa El Angel

Villa El Angel was founded in 1962, following an "invasion" by a group of homeless migrants from the provinces, on a vacant hillside on the outskirts of Lima. The settlers were evicted by force the same day as their first attempt to occupy the land. Regrouping that same night, the settlers entered the area a second time, and established shelters on the higher hills. For several months they waited for an opportune moment to seize the more desirable land below. The people organized into watch groups to prevent eviction by the police who continually harassed them. The first community association was formally organized during the time that they were on the hillside. A second invasión attempt was also dispersed by the authorities. Finally, on December 13, 1962, an assembly of settlers divided into three groups and invaded during the night. By December 14, the settlers were well entrenched in their claimed territory. However, the police arrived later that morning with reinforcements. The intention was to evict them from the land. A commission of women volunteered to negotiate with the police because there was less chance of their being arrested. After an initial dialogue with the police, the residents refused to depart, which led to an attack by the police, during which various persons were wounded. One community leader died from his wounds. Eventually, a truce with the police was established and the settlers were allowed to remain.

On March 9, 1963, the resident's association of Villa El Angel was formed. During the initial years, the community had organized its own security watch as the residents were constantly harassed, mugged, and robbed. In those initial years, the residents of Villa El Angel constructed a school and a church. Villa El Angel was not legally recognized until the Velasco regime. Following the offical recognition, the local organization was reorganized according to government requirements.

Villa El Angel obtained electricity in 1979 and, by collectively acting with other neighboring communities, was able to pressure the government to provide a potable water connection to their communities in November 1985. On the 25th anniversary since the founding of Villa El Angel, the community had 220 lots, a population of 1,350 persons (approximately 400 families), electricity and water, decent homes for most of the residents, stores, road access, sewage, a church, a school, a health clinic and an uncompleted community center -- all of which had been achieved through the collective efforts of the community through their local development

association (and with assistance from various government and private development agencies) Transportation, communication, and hospital services continue to be inadequate and the community continues to dream of the day when their community center will be completed and functioning with planned workshops, small enterprises, educational activities, community meetings, and recreation (Villa El Angel, 1987).

The Local Organization

According to Esman and Uphoff (1984), the local organization in Villa El Angel would be classified as a local development association. The leaders of the organization are democratically elected and represent the entire community. A general organizational chart of how the local organization is structured is presented in Figure 4.5. The structure of the local development association is consistent with the legal requirements of the Velasco era. The General Assembly is open to all residents of the community and all adult residents have a vote. The General Assembly is responsible for major community decisions and for selecting members of the Board of Directors. Coprode is composed of six neighborhood committees elected to represent each of the six districts of the community. The Board is responsible to both Coprode and the General Assembly. The members of the Board are elected by the Assembly. Terms of office are typically one year and many different community leaders periodically serve on the Board. A special committee was formed to administer the Vision Mundial childcare/community development project. Reporting to the Board, this committee coordinates the activities of the various commissions that are established to implement the plans and activities approved by the Assembly and Coprode.

Commissions are established as needed. They includde the children lunch program (Vaso de Leche), which receives assistance from the municipal government, Vision Mundial and others; the health promotion commission, also supported partially by the government, Vision Mundial, the YMCA; the Education and Recreation Commission, which receives both government and private assistance; the construction of the community center commission, which receives funds from various sources, including Vision Mundial; and the community development commission, which is responsible for exploring various income-generating options. A special committee is responsible for control and accounting for various local organization activities and reports to Coprode. The Mother's Club and the local churches operate autonomously from the local association structure but participate actively.

The development promotor from Vision Mundial participates at all levels of the local organization, primarily as a consultant and development facilitator. The promotor also assures that the system requirements for the childcare program and

proper accounting procedures are followed. Periodically, a Vision Mundial auditor conducts a thorough review of activities, bookkeeping, and financial reports. Institutions, such as local universities, and other government or private agencies occasionally also coordinate activities with the local association. In contrast with local norms favoring community coordination, one PVO working in the community works independently of the local organization, choosing to associate exclusively with a local church instead.

Of special note, is the high levels of community participation traditionally enjoyed by Villa El Angel's local development association. Leadership positions are frequently rotated and considered an honor to hold. A volunteeristic spirit helped the community to collectively construct their community center, as well as achieve other accomplishments. And, by forming coalitions with other local development associations within the district, the local organization was able to obtain basic services from the government, including water. The association in Villa El Angel now regularly coordinates with other community associations as part of a district coalition. Some leaders are concerned about what appears to be a trend toward less community participation in light of the fact that the basic services for the community have been obtained.

The Participants in the Research Effort

The unit of analysis in this research effort was a group of leaders/participants from the local development association of Villa El Angel. Data were collected with their permission and participation. A diverse group, some participants hold official positions of leadership in the community organization, others are informal leaders in the community. Most participated with some level of recognized leadership in the local organization's activities, through the auspices of one of the commissions, Coprode, the project committee, the fiscal committee, the Mother's Club, or as a member of the Board of Directors.

The group was fluid, and the numbers of participants, as well as the composition of the group, fluctuated between the various data collection sessions. Approximately 30 persons participated in at least one of the five sessions. A relatively constant group of 15 leaders participated consistently and reliably throughout most of the five sessions. While our intent was to control the number and composition of participants, this turned out to be unacceptable within the context of this community, and the sessions were left open to all who wished to participate.

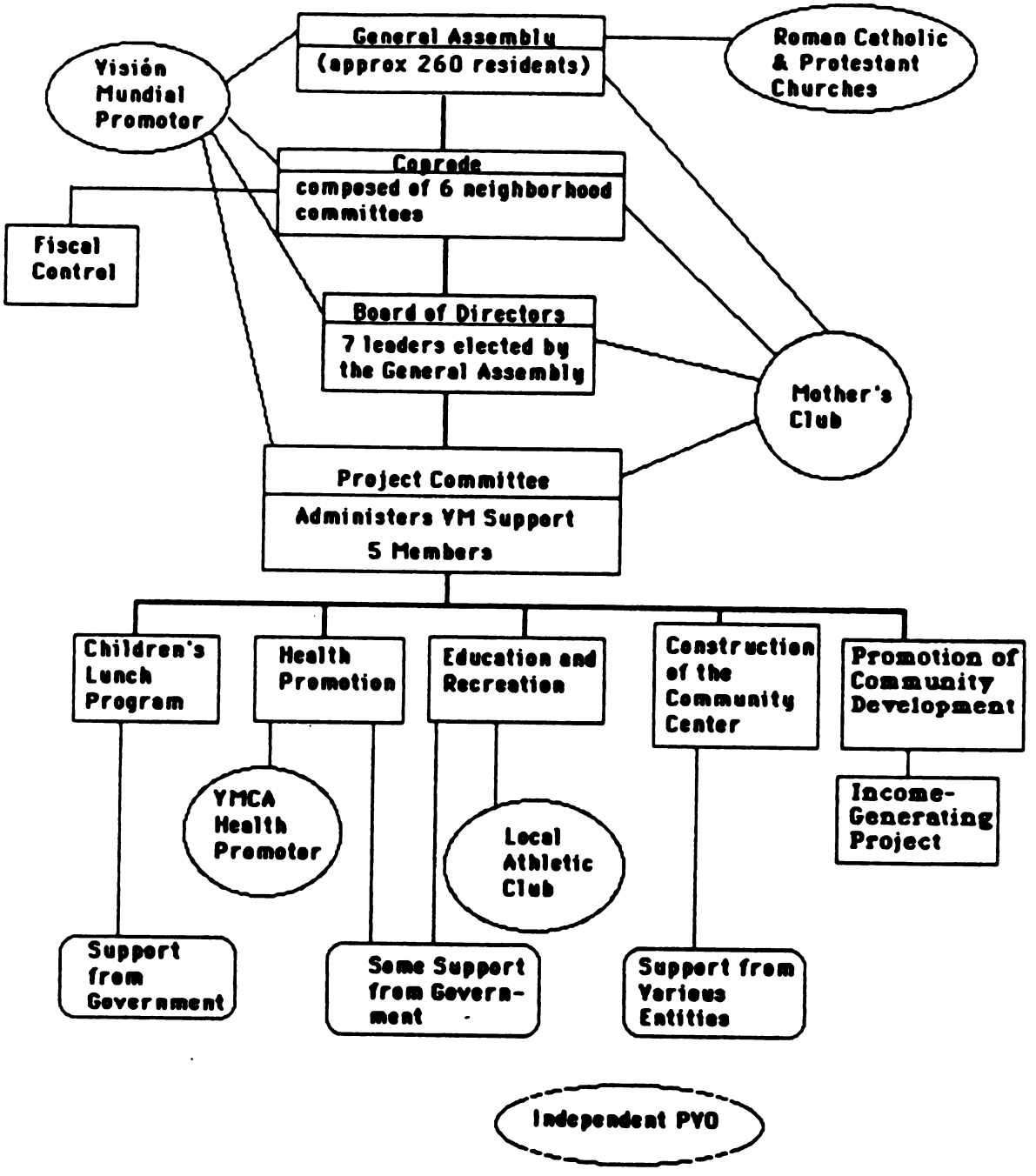


Figure 4.5
Villa El Angel Local Development Association

The participant group was not homogeneous. Approximately 57% of employed residents in Villa El Angel are laborers. However, many work in the informal sector (street vendors, for example). Similarly, occupations of the core group of participants included: a carpenter, an electrician, a mechanic, two street vendors, two housewives, four factory or construction laborers, and several students. The participants had different levels of education, a few were university educated, others barely literate, but most had some level of primary or secondary education. Ten members of the core group had lived in Villa El Angel for over fifteen years, including several of the original founders. The ages of participants were also diverse -- some were senior citizens, many were middle-aged, several were still in their teens; and others were young adults in their 20's and 30's. Some participants seemed to be more economically disadvantaged than others. One third of the participants were women. Some participated actively, some passively. Of the core group, all maintained some official position within the local development association. The core participants included the General Secretary of the Board, several Coprode committee coordinators, leaders from each of the various commissions, the President of the Women's Club, coordinator and assistant coordinator of the project committee, and the director of the fiscal committee. Thus, a cross-section of the leadership in the various entities within the local development association was represented in the research process.

The Partnership Role of Vision Mundial

Through contacts with other pueblos jovenes in Lima where Vision Mundial works, the association of Villa El Angel became aware of Vision Mundial's community development/childcare programs and, in 1985, requested their assistance in meeting the nutritional, educational, and healthcare needs of the children. Initially, due to budgetary limitations, Vision Mundial indicated that assistance would not be feasible. However, following several months of dialogue with leaders of Villa El Angel, a decision was made to enter into a more formal relationship with the community later in the fiscal year. In the spring of 1985, a Vision Mundial childcare project was initiated in Villa El Angel, following months of planning between the association leaders and the Vision Mundial promotor. Initially, the project would focus on the health, education, recreational, and nutritional needs of the children, as well as support the community development activities that both parties deemed appropriate. A contract defining the terms and conditions of the relationship was approved by both Vision Mundial and the Villa El Angel association. The organization of the project committee as an integrated part of the local association and the selection of the project staffing were jointly

determined by the General Assembly of the association and Vision Mundial. The staffing for the project was composed of experienced community leaders willing to volunteer their time. Vision Mundial agreed to provide training in the child sponsorship and accounting systems to project committees members.

Considering the needs of the children as a priority, the first year of the project focused on the following goals and activities (WVP, 1985: PPF):

1. To reduce by 30% the malnutrition of 100 children in Villa El Angel during FY85 through the support of a community lunch program for the children.
2. To improve the health levels of 100 children by 30%, particularly decreasing the incidence of parasitic diseases through preventative and curative measures during FY85.
3. To support preventative health measures for infectious diseases through immunization and environmental sanitation measures for the benefit of 400 families in Villa El Angel during FY85-86.
4. To help construct a community health clinic as a base of operations for the health education program and for the community's "first-aid kit".
5. To improve by 20% the psycho-motor skills of 100 children involved in the project during FY85.
6. To reduce the illiteracy rate among the adults of Villa El Angel by 25% during FY86.
7. To help finance the continued construction of the community center.

Subsequent years included similar goals as the program reached out to more of Villa El Angel's children. Numerous specific activities were carried out through the various commissions. For example, 20 local health promotors were trained and 30 mothers were provided instruction in basic first aid; the health program was expanded; several immunization campaigns were carried out. In FY87, the community had hoped to initiate an income-generating enterprise and establish a small community resource center. These goals were not achieved in FY87 and were carried over to FY88. Much of the project budget contributes to the financing of ongoing activities of the childcare, health, literacy, and training programs. The community also receives other sources of income for some of the activities. Several Vision Mundial audits have helped to identify various administrative problems, helping the community to improve the quality of its management (WVP, 1985-1987: various project douments).

Two Vision Mundial project promotors have worked closely with the association of Villa El Angel since the project's initiation. Due to the high quality of

their work as community development facilitators, excellent relationships between the agency and the community have been fostered. This strong relationship was one of the factors considered in selecting Villa El Angel as an appropriate project for the case study.

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EXPERIENTIAL SOCIAL LEARNING AND MANAGEMENT FOR SOCIAL TRANSFORMATION: A CASE STUDY OF A COMMUNITY DEVELOPMENT PROJECT IN LIMA, PERU

VOLUME II

By

Jeffrey A. Dickinson

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Chapter V
Experiential Social Learning & Participatory Action Research: A Case Study Methodology

Many Private Voluntary Organizations (PVOs) pursue strategies of participative grassroots community development. However, many times their approach to managing these programs is inadequate, even dysfunctional, for the task at hand. In Chapters II and III we described the need to search for alternatives to the rational-bureaucratic model of development management -- alternatives that enhance rather than diminish the capacity of program beneficiaries to take control of their emancipation from situations of poverty and oppression. Indeed, the reorientation of the management systems of development organizations, including local community organizations and their private or governmental benefactors, is essential for effective social transformation efforts. The emerging social learning paradigm provides the broad parameters for a more effective approach to the 'management' of social transformation. The Experiential Social Learning (ESL) Framework (as described in Chapter III) is presented as one possible manifestation of the social learning paradigm to development management (as described in Chapter II). The ESL model is both a theoretical extension of the social learning paradigm and a practical tool for conceiving and implementing the managerial functions of problem diagnosis, planning, decision-making, and implementation. In essence, the social learning paradigm and the ESL model for managing social transformation, are the <u>object</u> and the <u>method</u> of this research endeavor.

Understanding the emergence of the social learning paradigm as an alternative worldview for construing development management is fundamental to the purpose and design of this research project. Exploratory research is needed to: 1) determine if there is evidence for the existence of an emergent social learning paradigm in the practice of community development organizations; 2) identify those forces that inhibit or facilitate social learning in communities; and 3) determine whether the ESL model, used in combination with Participatory Action Research (PAR) methodologies, provides a useful framework for diagnosing and improving the effectiveness of PVO assisted Community Development Programs and Local Development Organizations.

This research effort involves a case study of a local organization engaged in urban community development which is located in a marginal and needy "pueblo joven" in Lima, Peru. The local organization, located in Villa El Angel, is a neighborhood development association composed of poor local residents and is

affiliated with a donor development agency -- a private, voluntary Christian relief and development agency called Vision Mundial. The research effort involved collaboration between the author and a team of local researchers from the staff of Vision Mundial, in Lima, Peru. The research team, collectively designed and refined research methodology, as well as collected and analyzed the data. A training workshop was designed to provide the theoretical backdrop and methodological skills needed by research team members. A series of planned activities and interactions with the community and local organization members provided the primary data sources for this study.

The methodology for this case study is based on the epistemological framework of social learning -- referred to in this study as Participatory Action Research (PAR). PAR is also the research dimension of ESL. It involves a synthesis of key aspects of both action and participatory research (as described in Chapters II and III). This particular endeavor utilizes the Mode I version of PAR. Mode I is a participatory action-oriented research effort involving the primary participation of development agency staff members working in collaboration with an 'outside' researcher (or consultant). Mode I efforts are intended to help the research team reach a deeper understanding of local organizations and their capacity to undertake social transformation programs. In contrast, Mode II of PAR, involves a much higher level of control over the research process by community and local organization members and typically is preceded by Mode I efforts. Thus, Mode I and Mode II can be construed as different phases of PAR. Mode I, as a participative research effort, helps development agency staff gain a critical understanding of local organizations and their potential role in facilitating social transformation. Mode I experiences help to prepare development agency staff as facilitators of Mode II efforts. Each mode is intended to respond to practical problem-solving needs as well as contribute to social consciousness and value development.

This study, as a Mode I effort, is expected to provide the foundation for eventual Mode II efforts in the community. In this sense, the effort can be viewed as an organization development activity that uses social learning processes as the means for reorienting development agency staff for the tasks of facilitating people-centered development. The principles and techniques of the PAR methodology are used in this study to analyze the various components of the ESL model, the domains and stages of social learning, the learning style profile of the local organization/group, and the organizational factors that impede or facilitate social learning. Insights into the local organization's capacity for managing social transformation will be revealed by these data and provide the foundation for eventual Mode II interventions.

The research questions that guide this inquiry are discussed in this chapter, followed by an overview of the case study approach, an extensive discussion of the PAR protocol, and an elaboration of the research procedures used.

Research Questions

The research was guided by key inquiries that constitute both the academic and practical purposes of this research endeavor. Contributing to the efforts of the development agency and the local organization to carry out effective programs for social transformation is the practical side of the research. However, good PAR should contribute to the theory, as well as the practice, of people-centered social transformation. Indeed, PAR should contribute to both basic and applied research domains. This research effort strives to fulfill this ideal, to the extent possible, given a number of constraints. The following questions provide the parameters for this inquiry.

1) To what extent is the social learning paradigm manifested in the theory and practice of the case under study?

Of critical concern to this research project, is the degree to which the emergent social learning paradigm is: a) recognized conceptually by development practitioners; and b) used in their approach to managing and administering development activities/projects. In other words, does the case studied provide some preliminary evidence that the social learning paradigm has adherents (whether consciously or not) in the practice of community development? This question has the broadest scope, and encompasses the other questions in many respects. The perspectives of both Vision Mundial development workers and local organization members are of interest. Indicators of social learning at the local organization level were analyzed by the research team. Elements of the ESL model include: learning styles, social learning domains and their stages of maturation, and organizational factors/stages of organization development. Of interest was the degree that the measured organizational factors (such as the management system and administrative procedures) were indicative of the social learning paradigm or, alternatively, of the rational-bureaucratic model of management.

2.0 To what extent is the Experiential Social Learning Model an appropriate measure of the social learning paradigm? What does the ESL Model reveal about the group?

The Experiential Social Learning Model was constructed to provide a holistic research framework for analyzing the various elements required for the effective management of social transformation. Of concern is the measurement of the local organization characteristics including: the group's learning style tendencies, the stages of maturation in each of the four domains of social learning, and the stage of organization development. Measurements of the learning styles and the stages/domains were based on research team observations of two planned events, which included a problem-posing and a problem-solving exercise. Organizational factors were observed, based on a group-focused interview, about a past community development experience, as well as data obtained from the problem-solving exercise. Observational tools and analytical instruments for each ESL element helped the research team members to systematically collect and analyze data. Appendices A and B include the observation and analysis tools respectively. Separate questions pertinent to asking the broader question of *2 include:

2.1 Does the ESL model provide an appropriate measure of the collective learning style of the local organization? What is the group learning style profile?

Recorded observations of local organization members engaged in a problem-solving event constituted the data source for assessing the group's learning style profile. The collected data permitted the research team to determine the predominant learning styles and tendencies of the group as it wrestled with a real-life problem-solving situation. The group profile indicated the learning style tendencies (relative strengths of Diverger, Assimilator, Converger, and Accommodator styles) during that particular event, and is not generalizable about the group or its individual members beyond the event. However, repeated observations during subsequent experiences might reveal certain patterns useful for curriculum design and organization development strategies. However, due to the nature of PAR, each research intervention will likely lead to participant behavioral changes.

2.2 Does the ESL Model provide an appropriate measure of group maturation in each of the social learning domains? What is the group's stage/domain profile?

The stages of maturation (Conform, Reform, Transform stages) for each of the four domains (Social Values, Theory of Reality, Political Strategy, and Collective Action) were assessed similarly to the learning styles. Systematic observations of the problem-solving event allowed the research team to determine the tendencies of the group on a wide variety of variables pertinent to the stages and domains of experiential social learning. A profile of the group's stage maturation for each of the four domains was possible based on the data collected in the problem-posing/fotomontaje exercise. The stages/domains group profile is not generalizable beyond the observed experience. However, subsequent repetitions of similar experiences and observations might reveal patterns relevant to curricular and organization development concerns. Nevertheless, it should be noted that this type of research intervention is, by its nature, obtrusive and tends to lead to group learning and change.

2.3 Does the ESL Model provide an appropriate measure of the local organization's stage of organization development? What stage is indicated based on the group-focused interviews?

The stages of organization development (Authoritative, Consultative, and Participative) are indicative of the type of management system used by the local organization. A group-focused interview technique was used to probe the group's collective memory of a past experience and, in particular, how the experience was handled from a managerial and administrative point of view. A number of organizational factors were observed for their relevance as impeding or impelling forces for social learning. These include a variety of indicators pertaining to the leadership, motivation, communication, decision-making, goal-setting, control, and evaluation processes. While observations about the development of the organizational factors cannot be generalized beyond the discussed historical events, the insights gained have the potential to stimulate increasing levels of critical reflection and might be useful for planning future organization development strategies.

3.0 Based on the findings, what propositions or hypotheses can be made for guiding further research?

The object of any exploratory research effort should be to contribute to the knowledge base, while providing subsequent researchers with the foundations for further inquiries. The generation of research hypotheses and propositions for extending theory beyond the parameters of the case study was therefore fundamental to an

incremental increase in knowledge in the exploratory mode. Several key areas were explored.

3.1 What were the forces impeding or impelling social learning in this case study and can their influences be generalized to other situations?

3.2 Are the Experiential Social Learning Model and PAR useful tools for facilitating the emergence of Social Learning as an alternative paradigm for managing social transformation?

3.3 What role does the Private Voluntary Organization (as development catalyst) play in facilitating social transformation through social learning?

The Case Study Approach

The social learning paradigm emphasizes the dialectical (Kolb, 1984) and evolutionary nature (Dunn, 1971, 1984) of knowledge creation. Exploratory research is a generic category of social research that can lead to important insights needed for constructing more adequate theory (Babbie, 1983). Exploratory research frequently uses the case study approach due to inadequate knowledge and theory in the domain of interest and because of the complex nature of social phenomena. Case studies are particularly useful for exploratory research because they allow in-depth penetration of the realities of the particular case, and thereby reveal important insights pertinent to subsequent theory-building research. The case study approach does not contribute to the construction of theory through the generalizability of its findings but, rather, through its revelation of important hypotheses and propositions that otherwise might have remained undiscovered (Tripodi, et al., 1983: 72-77; Glaser and Strauss, 1967; Babbie, 1983; Patton, 1978). Thus, the case study approach is particularly relevant for the exploration of an emergent paradigm and its manifestations in the practice of community development.

Criteria for Selection of Case Study.

The 'case' studied is a local organization that has been closely associated with a large Private Voluntary Organization. The rationale for studying local organizations and PVOs as an appropriate avenue for understanding the social learning paradigm, was described in Chapter IV. The selection of the Private Voluntary

Organization and its partner local organization as the focus of the case study was made on the basis of a number of criteria. The sponsoring Private Voluntary Organization, World Vision International, was selected for study based on researcher familiarity and employment with the agency. The Peru field office was selected for study based on staff receptiveness and overall appropriateness of Peru as a site. A number of trends related to social learning, such as the Educación Popular movement and the use of Freirean techniques (such as fotomontaje) have been highly influential in community development efforts in Lima, Peru, thus making it a logical place to conduct an inquiry about the emerging paradigm. Finally, most of the key staff members in Vision Mundial of Perú expressed an interest in the general research subject and a willingness to participate in the proposed methodology.

The local organization was chosen for study from a possible selection of several projects/local organizations located in the Lima metropolitan area. The urban setting was deemed to be the most appropriate research context due to a number of practical considerations including the accessability by key members of the research team and the time constraints involved in travelling to alternative projects in isolated mountain or jungle villages. The decision to study a poor barriada, (or pueblo joven as they are referred to in Lima) as opposed to other kinds of poor communities was based on the actual location of Vision Mundial's urban projects, as well as the concrete levels of deprivation found in these communities. One project and one local organization, rather than a comparative study of several local organizations, was also determined as appropriate due to time constraints. The local organization was selected based on the recommendations of Vision Mundial management and fieldworkers. The criteria for selecting the project/local organization included continuity and stability of leadership, an established three-year history of working with Vision Mundial, and an interest in participating throughout the process. In addition, the local organization was selected based on its history of community development activities and the perception by Vision Mundial staff that the research experience would contribute to these efforts.

The Research Protocol: Participatory Action Research

This research effort was guided by an eclectic approach to community development research referred to in this study as Participatory Action Research (PAR). PAR (as described in Chapter II) is a methodology that borrows specific attributes from the action research and participatory research traditions. PAR reflects the assumptions of the social learning paradigm and is proposed as a more adequate

epistemological system for social research efforts that aims to contribute to both social transformation and the social science knowledge base.

The Synthesis of Action Research and Participatory Research Modes

Chapter II discussed the similarities and distinctions between the action research (AR) and the participatory research (PR) modes. Both reject the irrelevant aspects of traditional conceptions of social science, as exemplified by logical-positivism. Both share a transactive view of how social knowledge is created and both desire practical benefits and developmental changes as consequences of the inquiry. The differences between the two are also numerous (Brown and Tandon, 1983) including their distinct political economies and ideologies. The argument has been made here that the conceptual merger of AR and PR is conceivable as a manifestation of social learning (see Chapter II). The competition between the two modes is indicative of a dialectical tension between conflictual political ideals/strategies and pragmatic and realistic problem-solving efforts. The utilitarian focus of action research and the radical concerns of participatory research are not mutually exclusive. Indeed, their synthesis will produce a new and powerful epistemological framework that promotes social learning.

The PAR synthesis maintains the AR commitment to build the knowledge base of the social sciences and to solve practical problems through experiential learning processes. PAR also maintains the PR commitment to use research as a means of empowering the powerless and achieving social transformation. Thus, PAR is both pragmatic and idealistic; it is pragmatically grounded in reality; and it is idealistic it its commitment to higher principles. Practical problem-solving, building the knowledge base of the social sciences, and social transformation are interdependent goals and activities and are given equal stature and attention under PAR.

A preliminary definition of the PAR approach is thus: social research that is conducted collaboratively by social scientists and members of communities and/or organizations for the coequal purposes of: 1) contributing to the knowledge base; 2) responding to the felt needs and concerns of the client group(s) through practical problem-solving activities; and 3) simultaneously promoting processes of social transformation whose goals and methods are defined by the parameters of a mutually acceptable ethical framework (based on adaptations of AR and PR definitions in Brown and Tandon, 1983). PAR is both the product of social learning and method through which social learning can lead to social transformation.

The Participatory Action Research Methodology

The process of PAR constitutes the methodological framework that will guide this research effort. The PAR process is consistent with experiential learning theory and, in many respects, is isomorphic with the iterative and cyclical process of experiential learning. The PAR process is also similar to the AR (Susman and Evered, 1978) and PR processes. PAR is a cyclical process of learning and action with five distinctive phases and a feedback evaluation loop that transacts, as well as bridges the phases. Figure 5.1 illustrates the five phases of collective activity: 1) preliminary diagnosis; 2) reflection; 3) planning; 4) implementation; and 5) rediagnosis. The evaluation function transacts with each phase. Figure 5.1 also compares the experiential learning cycle and learning skills with the PAR method.

The social scientist or consultant (change agent or facilitator) is typically an outsider to the community and/or organization. He or she brings a repertoire of resources, including relevant theories and methodologies which will be shared with the client group and then evaluated and adapted by the client group in the community and/or organization. The facilitator also brings essential commitments to social learning and transformation -- as well as PAR process knowledge. The theory and methods brought by the facilitator are resources to be used for the preliminary diagnosis of the need(s), problem(s), or opportunities that the community or organization is facing. The identification of social values is the key function of the preliminary diagnosis -- and as such, *valuing* skills relevant to the affective and perceptual learning dimensions are crucial.

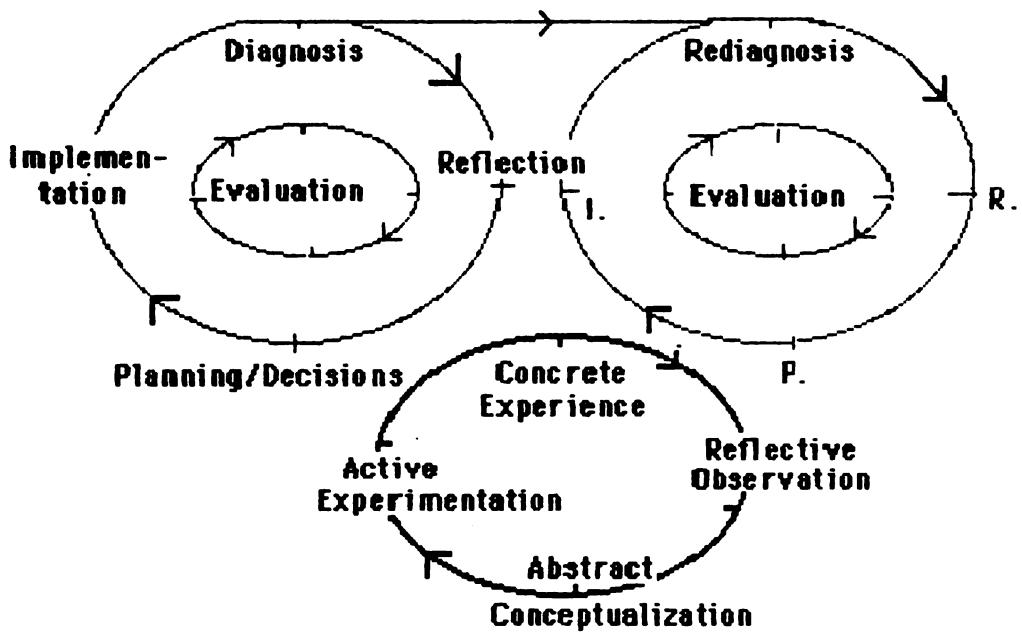


Figure 5.1

Participatory Action Research and ESL

In the Reflection Phase, the research group is concerned with reflecting on the values in terms of their worldview, i.e., theories of reality -- and thus *thinking* skills involving the perceptual and symbolic learning dimensions are key. In this phase, priorities are established according to theories of reality. The third phase involves the collective planning and decision-making activities needed for responding to the problems, needs, or opportunities identified and prioritized. Effective decision-making and planning requires the avoidance of "groupthink" tendencies characteristic of ineffective consensual decision-making processes (Janis, 1972). Challenging various perspectives through dialectical exchanges between various learning styles (Divergent to complement Convergent; Assimilative to complement Accommodative) so that action-reflection and abstract-concrete dialectical poles are constantly in a process of transaction are thus essential to the PAR process. The Planning Phase constitutes the "nuts and bolts" of PAR in which strategies and plans of action(including political strategies) are produced. *Deciding* skills involving the symbolic and behavioral learning dimensions are most useful to the Planning Phase.

The Implementation Phase of PAR involves collective action and implementation of planned activities and strategies. The Implementation Phase obviously requires *acting* skills that are developed through the behavioral and affective learning dimensions. The Rediagnosis Phase involves a reassessment of the preliminary diagnosis of problems, opportunities, and needs through the use of valuing skills.

Evaluation parallels the process of the five stage cycle. At each phase -- preliminary diagnosis, reflection, planning, implementation, and rediagnosis -- evaluation is undertaken. Evaluation involves valuing, thinking, deciding, and acting skills tied together in a separate, but parallel, learning process that provides a feedback loop to each PAR phase. Evaluation is an integral and critical function of the entire PAR process. The Rediagnosis Phase is the culmination of the evaluation process in which the whole experience is assessed against the backdrop of values and expectations. The process evaluations, occurring at each phase of PAR, provides the basis for evaluation in the Rediagnosis Phase.

PAR Applications for the Development of Organizations and Communities

As mentioned, there are two modes of PAR. Mode I is intended primarily for organization development applications and Mode II is primarily intended for community development applications. As a research mode that contributes to social transformation, Mode I and Mode II can be conceived as different phases of the same

process. Mode I is intended for increasing the capacity of development agencies to be effective facilitators of social transformation. The Mode I intervention accomplishes this by engaging agency staff in participative research experiences with associated communities and local organizations. Mode I assists the agency to move toward people-centered approaches to development management that facilitate social learning -- such as the ESL model. Mode II, on the other hand, is directed toward the community and its object is to increase local capacity for undertaking social transformation efforts. In Mode II, PAR is a research effort facilitated by the outside development agency but ultimately controlled by the members of the community. Mode II increases local capacity for social transformation by engaging local organizations in research endeavors that facilitate social learning. Figure 5.2 illustrates the different modes of PAR as they apply to development agencies and local organizations.

PAR and Conscientização

PAR is closely associated with changing levels of consciousness or in Freire's terms, conscientização. Freire's (1973a, 1973b) theory of conscientização, (or conscientization) postulates that there are three possible levels of consciousness, which he refers to as Magical, Naive, and Critical. Oppressed people in the Magical consciousness level have internalized the negative values ascribed to them by the dominant oppressive culture. In the Naive consciousness level, people begin to sense

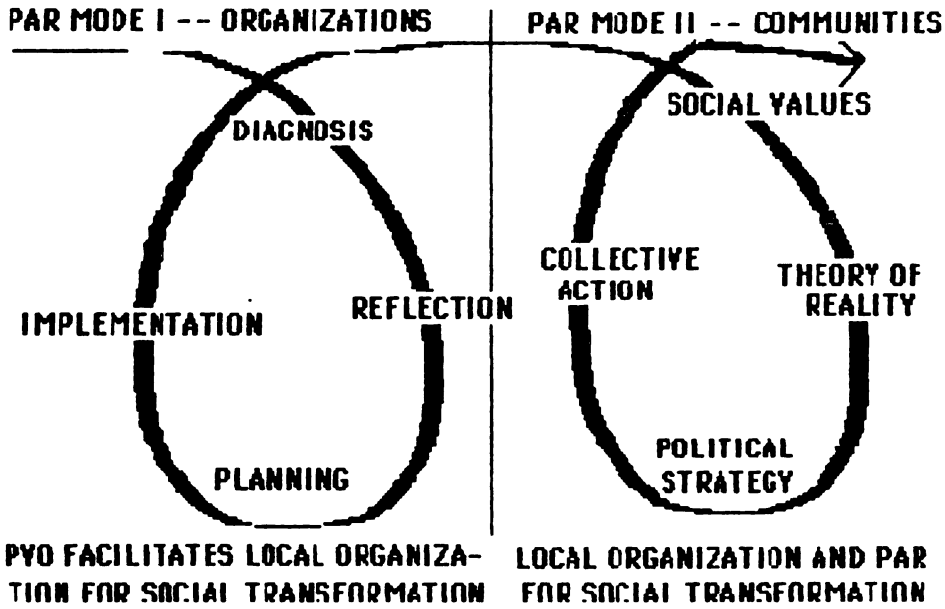


Figure 5.2

Participatory Action Research, Organization Development, and Communities

some control over their lives, actively try to solve problems, and are critical of oppression in the dominant culture. However, they remain naively susceptible to manipulation. The highest level of Critical consciousness is achieved through the process of conscientização. People with critical consciousness have achieved:

> ... depth in the interpretation of problems, self-confidence in discussions, receptiveness, and refusal to shirk from responsibility. The quality of discourse is dialogical. At this level as the person scrutinizes his own thoughts, he sees the proper causal and circumstantial correlations. Conscientization means a radical denunciation of dehumanizing structures, accompanied by an announcement of a new reality to be created by men. It entails a rigorous and rational critique of the ideology that supports these structures. Critical consciousness is brought about not through intellectual efforts but through praxis, the authentic union of action and reflection. (Elias and Merriam, 1980: 152)

The Freirean conceptualization of conscientização (1973a, 1973b) has been crucial to the developmental stage synthesis proposed in this study. Paralleling the Freirean levels of consciousness, is the ESL conform/reform/transform stage conceptualization of this study. Likewise, the Freirean concept of praxis (1973a, 1973b) -- the union of reflection and action -- as a method of social research has been critical to the evolution of the participatory research mode and is fundamental to PAR. Similar to Freire's theory of conscientização, the praxis of PAR leads to higher levels of consciousness -- with progressive movements from the Conform (Magical), to the Reform (Naive), and finally to the Transform Stage (Critical consciousness). Thus, PAR interventions have a potential impact on the consciousness levels of the participants (or according to the ESL model, the stages of ESL maturation). Social transformation depends on transformed values, which in turn depend on conscientização.

The Freirean Methodology. Freire's method of adult literacy training (Freire, 1973a) has probably been more influential than the theory from which it was conceived. The procedures of Freire's literacy training methodology have inspired many adaptations for diverse educational and community development programs. Freire's method involves two phases. Phase One involves the literacy campaign with the following stages. First, the context is studied by an interdisciplinary team, involving the recording of the words and language of the people in order to identify the common vocabulary and problems confronting the people of that area. Second, *generative words* from the discovered vocabulary are selected. Words are generative based on the degree to which they are charged with relevant and existential meaning for the people. Generative words are filled with emotional content and reveal the social, cultural, and political realities of the context. Third, literacy training is implemented. These sessions include: motivating people to analyze their concept of culture, as well as their theories of reality; developing training materials through

codification exercises in which concrete realities are depicted graphically or in pictorial form; and actual training sessions in which words are learned through the *decodification* of words and pictures.

The next phase is referred to as the post literacy campaign and follows a similar process, including the following stages: 1) the investigation of the context and the discovery of *generative themes* by an interdisciplinary team; 2) the *codification* of the generative themes using pictures and sketches to concretize themes and stimulate interest for penetrating dialogue (The codification of themes must not present the themes too explicitly or too enigmatically. The themes should be organized in such a way that they sequentially generate the following themes); and 3) post literacy education in which the generative themes are interpreted through *decodification* and used to generate deeper understanding of the social, political, and cultural realities of the people. The decoded themes are the foundation upon which the community or local organization can take community development action relevant to their reflections (Elias and Merriam, 1980: 158-165).

Extensions of Freire's approach. Many have been inspired by Freire's methodology and philosophy (Tandon and Fernandez, 1982; Hope et al., 1984; Mackie, 1981). Many have adapted these methods for community development applications beyond the scope of literacy training campaigns. The participatory research mode and the educacion popular movement in Latin America were greatly influenced by Freire. PR and educacion popular have applied Freire's ideas to community development situations for the purpose of social transformation (Hamnett et al., 1984; LaBelle, 1986; Hope et al., 1984). Many have attempted to refine Freire's methods (Smith, 1976; University of Massachusetts, Center for International Education, 1973; Barndt, 1980); some have conducted research in order to determine the relevance of conscientização to affluent people in 'developed' countries, discovering that the consciousness-raising concept has general relevance to the study of social values and change (Beveridge, 1984; Hart, 1984); and many have expounded on the conscientization concept (O'Gorman, 1984; Barndt, 1980; Smith, 1976).

Fotomontaje. Others have refined some of the codification techniques such as the development of the fotomontaje method for the educación popular movement in Peru (Barndt, 1980; O'Gorman, 1984). Fotomontaje involves the systematic use of audio-visual materials for the codification and decodification of generative themes. The method was refined through the educación popular programs carried out in the barriadas (slums) of Lima, Peru (O'Gorman, 1984: 81-94):

> As a method, fotomontaje aims to involve the participants in providing input for their own reflective discovery of reality and critical appraisal of the interdependence of the socio-political causes of their deprived conditions. The critical discovery must be linked to organized action, which then becomes the vehicle for implementing the decisions that come out of the reflections ... Fotomontaje is a systematic ordering of a wide range of audio-visual codifications of the social, economic, political, and cultural reality of the slums, from national as well as local perspectives ... Fotomontaje is a process used when the goal is to foster the initiative for self-developing critical consciousness and practical commitment to values anchored in social justice. Coordinators and participants are co-authors of the process and take on a commitment of solidarity, mutual respect and dedication to the issues and social transformations that surface through this method. Coordinators share in the existential richness of the reflections and experiences of the participants and make available their own sources of knowledge, technical information and linkages with social institutions beyond the barriada (O'Gorman, 1984: 88-89)

Fotomontaje and the Conscientização Process. The fotomontaje technique is used for consciousness-raising educative efforts. Photos are particularly effective in capturing existential realities in ways that produce generative themes. At times, the research team takes full responsibility for investigating the context, and identifying and coding the generative themes. Other variations call for greater involvement by members of the community. One technique allows the community members to describe their community in ways that simultaneously reveal and code the generative themes. This technique involves the participative mapping or drawing of the community -- its dwellings, paths, gardens, schools, etc. -- by community members. Because written materials are irrelevant to this technique, age and illiteracy are not limiting factors and participation is enhanced. A skilled facilitator then leads the participants in a reflective process, identifying the thematic universe of the community through a systematic analysis of the drawings. The discoveries derived from this process are helpful in problem diagnosis and ultimately can lead to further reflection, investigation, planning, and action (Srinivasan,1977; Kenyon, 1983: 21-25; Kindervatter, 1979).

Culbert (1975: 90) proposed a model of consciousness-raising for social and organization change. Culbert's model is useful for a deeper analysis of the relation between fotomontaje and the conscientização process. In the initial phase, decodification through fotomontaje leads to feelings of incoherence and participants begin to identify discrepancies between the expectations of the system and what seems natural or consistent with self-interests. Later, the participants are gradually more aware of their ideals, values and needs; and the nature of the system and how it works. Finally the learner becomes critically aware of both self and system and their relationship, leading to the questioning of many previously held assumptions.

Figure 5.3 illustrates the phases of consciousness-raising through fotomontaje as the praxis of conscientização. Changes in consciousness and social values provide the foundations for potential transformations in organization and community life.

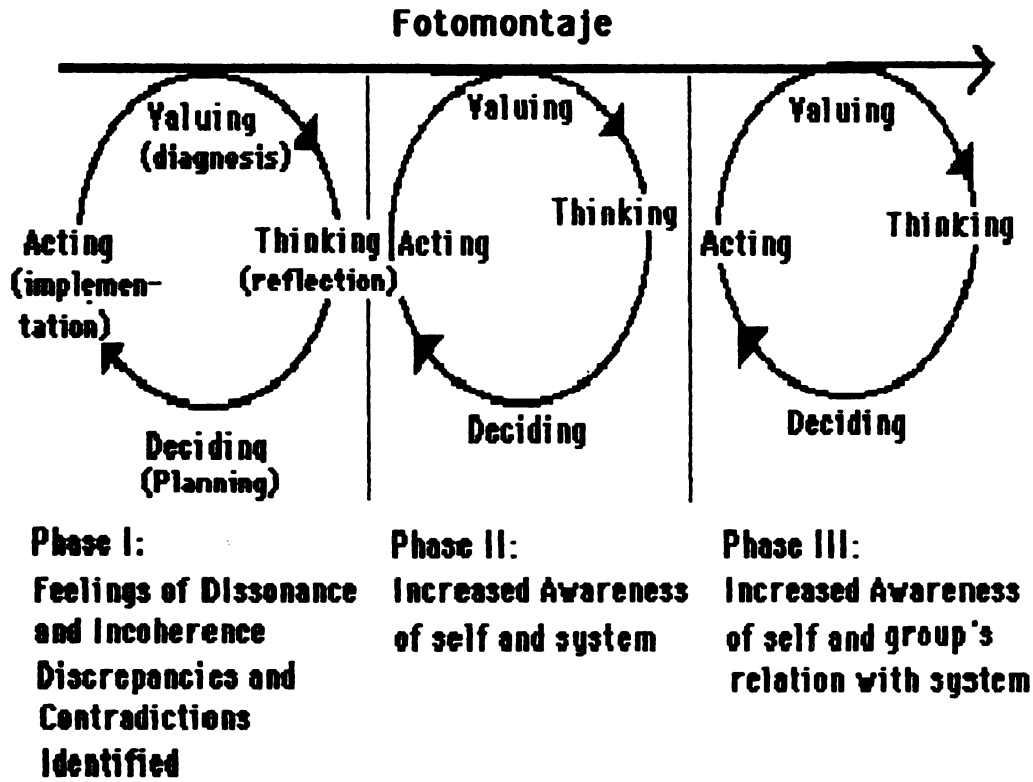


Figure 5.3
Praxis and Conscientização

Research Participants

Two "client" groups were involved in this PAR Mode 1 intervention: the research team members, composed primarily of development agency staff, and the participants from the local organization.

The Research Team Collaborators from Vision Mundial Perú

The research team was composed of nine members. One person dropped-out prior to the analysis phase due to illness. Three of the research team members also represented an important sub-group, referred to as the facilitator group. The facilitator group included the author (as lead researcher), an outside consultant (with extensive experience working with the agency and as a social worker/adult educator in

the pueblos jovenes of Lima), and the manager for training, research, and evaluation of Vision Mundial Peru. The facilitator team was responsible for facilitating the research process with the research team and the community participants, including the preparations for sessions with both groups. Team facilitators participated extensively during the first two weeks of orientation and training and played key roles during the data collection and analysis processes.

The other research team members are employed by the agency in the operations department with varying levels of responsibility and experience as community development workers. A variety of other members of the Vision Mundial staff provided advice and support throughout the research process. In addition, a photographer was contracted to assist with the videotaping and the thematic codification with slides. Visión Mundial Perú management also participated in the orientation, planning, decision-making, and recommendations sessions.

Research team members were well qualified to participate as co-researchers. In addition to their experience in community development activities, most have received some university-level training in social research methodologies. A profile of the research team member backgrounds is presented in Table 5.1.

Table 5.1
Background on Research Team Members

Research Team	Profesional Training	Position	Field Experience	Time with VMP	Age	Sex
Member #1	Agronomist	Dir. Training Evaluation	5 years	5 years	30	M
Member #2	Social Work	Consultant	9 years	4 years	30	F
Member #3	Engineer	Dev. Promotor	3 years	3 years	30	M
Member #4	Sociology	Supervisor	4 years	5.5 years	28	M
Member #5	Industrial Engineer	Relief & Rehabilitation	1 year & 8 mths	1 year 8 mths	33	M
Member #6	Secretary	Admin. Asst.	--	4 years	31	F
Member #7	Secretary	Admin. Asst.	2 years	4 years	24	F

Participants from the Local Organization

The unit of analysis in this research effort was the group of leaders/participants in the local organization. Data were collected with their permission and participation. The participants from the community of Villa El Angel represented the local organization, in this case, a local development association. A diverse group, some participants had official positions of leadership in the community organization; others were informal leaders in the community. Most participated with some level of recognized leadership in the local organization's activities. The group was fluid, and the numbers of participants, as well as the composition of the group, fluctuated between the various data collection sessions. Approximately 30 persons participated in at least one of the five sessions. A relatively constant group of 15 leaders participated consistently and reliably throughout the five sessions. While our intent was to control the number and composition of participants, this turned out to be unacceptable with the community, and the experience had to be open to all who wished to participate.

The group was not homogeneous. The participants had different levels of education, a few were university educated, others barely literate; some were senior citizens, many were middle-aged, several were still in their teens. Some seemed to be more economically disadvantaged than others and about one third of the participants were women. Some participated actively. Some passively. Figure 5.4 depicts the activities of the research team, the facilitators, and the local organization members.

Research Procedures

This research endeavor for this case study incorporated many of the elements previously discussed such as the PAR protocol, the Freirean methodology, and the fotomontaje technique. The chronology of research activities followed the PAR process phases of preliminary planning/diagnosis, reflection, planning, implementation, rediagnosis, and ongoing evaluation. More broadly, the research effort included three stages: 1) a pre-intervention stage; 2) the PAR intervention; and 3) the post-intervention stage. Figure 5.4 and 5.5 depict the chronology and process of research procedures.

PAR Mode I Chronology

The following section provides a broad outline of the highlights of the five week PAR intervention. In addition, Figures 5.4 and 5.5 illustrate the chronology and

process of the Mode I intervention, including the phases and activities of PAR.

Week 1: Preliminary Planning and Diagnosis

1) Initial planning and orientation meetings with the V.M. management.
2) Initial planning and orientation meetings with the facilitator team.
3) Initial planning and orientation meetings with representatives of Villa EL Angel, the community and its local development association.
4) Presentation of the research proposal to management and potential members of the research team including an overview of the social learning paradigm, the ESL model, the PAR methodology, and a proposal for research team member involvement.
5) Recruitment of research team members and preliminary planning and decision-making about the agenda and methodology.
6) Initial interviews with V.M. employees about the history of the V.M. project in the community and the history of the community.
7) Initial review of the project files.

Week 2: Preliminary Planning and Diagnosis (continued)

1) Planning for the first orientation session with the community.
2) Review of the videotape of the first orientation session with the community and evaluation.
3. Planning for the second session with the community and the community descriptor exercise.
4) Planning and preparations for the research team training workshop.
5) Analysis of the videotape of the second session in the community and the production of a list of generative themes in the community.
6) Evaluation of the second session.
7) Meetings with management and decision-making about the participation of research team members and possible follow-up activities in the community.
8) Meetings with the facilitator team: first revision of the analysis instruments, and elaboration of the data collection and analysis methodologies.

Week 3: Reflection and Planning: The Workshop

1) Presentation of the ESL model, the social learning paradigm, and the PAR methodology.
2) Selection and analysis of the generative themes by the research team.
3) Codification of the generative theme of community participation -- using slides for use in the problem-posing/fotomontaje technique.
4) Interviews with project promotors for selecting the appropriate community experience for the group-focused interview about organizational factors (selection of the construction of the community center). Methodology elaborated.
5) Analysis instruments reviewed and revised by the research team and sample indicators identified for variables/concepts.
6) Sessions on each of the ESL model components: the stages and domains of social transformation, the learning styles, and the organizational factors and their importance to managing social transfromation.
7) Use of the Learning Style Inventory instrument to identify the learning style tendencies of the individual members of the research team as well as the group tendencies.
8) Elaboration of the problem-posing/fotomontaje methodology.
9) Second revision in the analysis instruments.

10) Simulation exercise of the problem-posing/fotomontaje technique using a videotape procedure for the critique and analysis.
11) Planning for the data collection sessions in the community.
12) Planning for the analysis sessions with the research team.

Week 4: Implementation: The Data Collection

1) Final planning and preparation for the problem-posing/fotomontaje session.
2) Implementation of the problem-posing/fotomontaje session for collecting data about the stages and domains (third session with the community).
3) Final planning and preparation for the group-focused interview session.
4) Implementation of the group focused interview session for collecting data relevant to the organizational factors (the third session with the community).
5) Final preparations and planning for the problem-solving session in the community.
6) Implementation of the problem-solving session for collecting data about the learning style tendencies of the group (fourth session with the community).
7) Final revisions in all of the analysis instruments, preparation of observation tools, and other planning for the analysis sessions.
8) Initial review of the videotapes of sessions three and four by the facilitator team.
9) Analysis session 1: the stages and domains (problem-posing/fotomontaje session) -- viewing the video, recording observations with observation tools, small-group work using analysis instruments.

Week 5: Rediagnosis and Evaluation: Data Analysis & Interpretation, Recommendations

1) Analysis session 2: Research team consensus about stages/domains measurements.
2) Analysis session 3: Initial analysis of learning styles (the problem-solving session) -- viewing the video, recording observations using the observation tools, and small group work using the analysis instruments.
3) Analysis session 4: Research team consensus about the learning style tendencies of the group.
4) Analysis session 5: The facilitator team makes the initial assessment of organizational factors (based on the problem-solving session) -- viewing the video, using the observation tools, and individual use of the analysis instrument.
5) Analysis session 6: The facilitator team reaches a preliminary consensus, reviewing the video a second time to confirm the preliminary consensus.
7) Data is assembled into profiles of the group maturation in stages/domains, learning style tendencies, and organizational factors.
8) Data is interpreted by the research team -- conclusions are drawn from the findings and recommendations suggested for submission to management for follow-up activities.
9) Written evaluation by the research team members of the research experience.
10) Session 5 with the community: reflections and participatory evaluation by members of the local organization of the research experience.
11) Some of the resarch findings are shared with the community in session 5
12) Videotaped summary of the community's 25 year anniversary celebration and an overview of the research process shown to members of the local organization and presented as a gift at the end of session 5 in the community.
13) Recommendations of the research team and the facilitator team made to V.M. Peru management

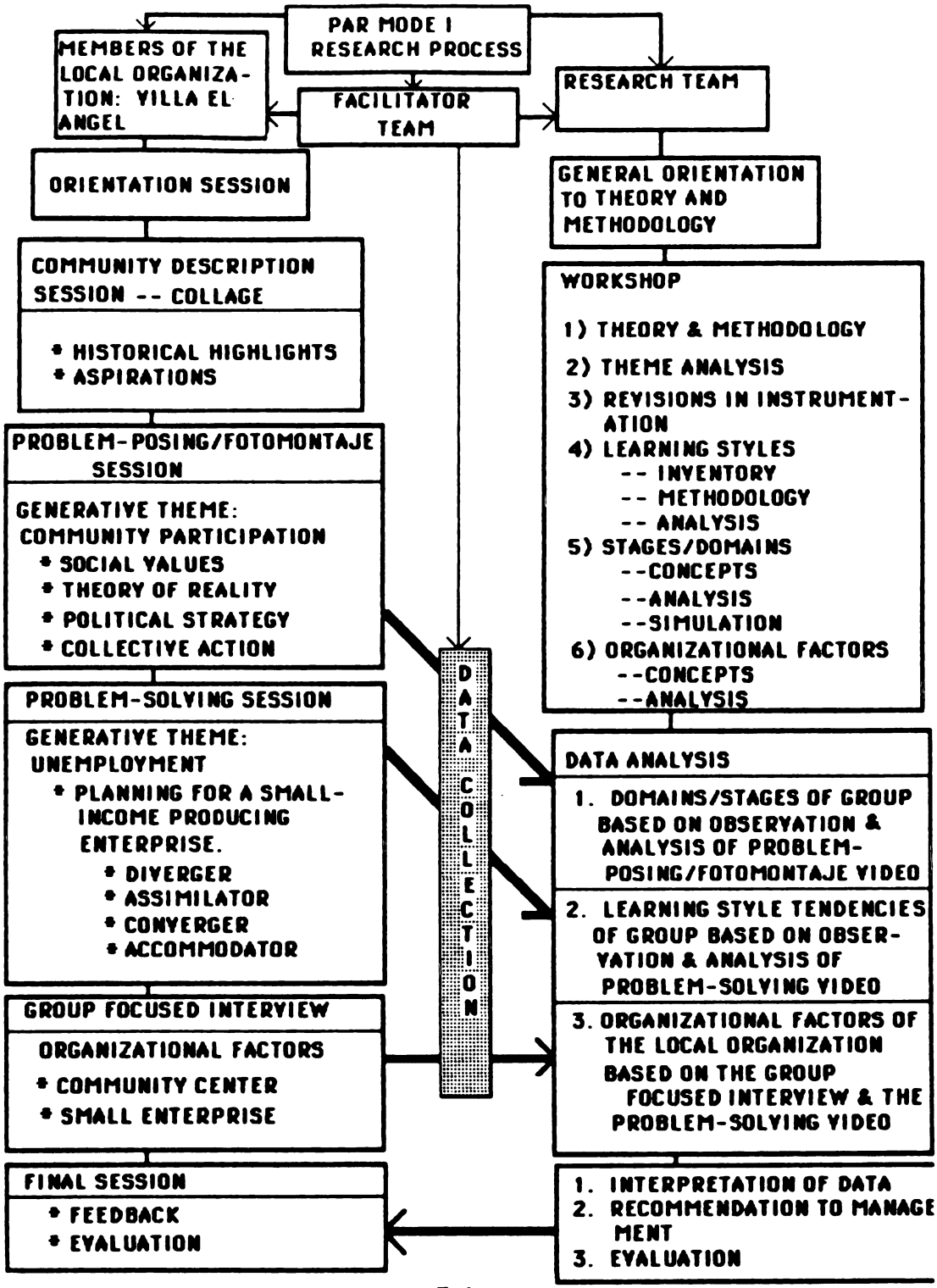


FIGURE 5.4
PARTICIPATION IN THE PAR PROCESS

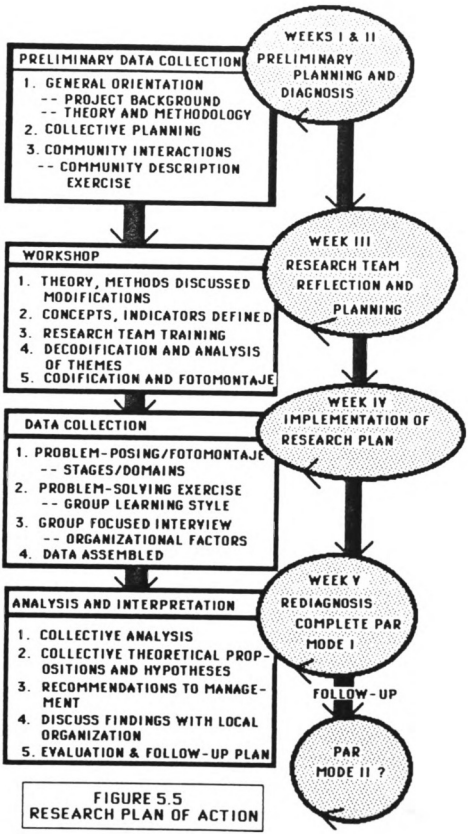


FIGURE 5.5
RESEARCH PLAN OF ACTION

Summary of Procedures

The Pre-intervention Stage included the researcher's efforts to construct the theoretical and methodological frameworks, and ongoing interactions with the client group in Vision Mundial. The PAR Intervention Stage involved the actual PAR process with the aforementioned phases.

The Preliminary Planning/Diagnosis phase included: 1) discussing the research proposal with client management and agreement to a general plan of action; 2) providing team members with a preliminary orientation to the theory and methodology to be used; 3) making initial modifications in the methodology, and planning the research and training activities with the research team; 4) planning the activities to be undertaken at the community level with the active participation of representatives of the local organization; and 5) making a preliminary assessment of the community's problems and aspirations through a participative community descriptor exercise, as well as conducting numerous informal interviews with Vision Mundial staff and community leaders.

The Reflection Phase included: 1) research team orientation to the theoretical and methodological frameworks, making necessary modifications; and 2) a training workshop for research team members. The planning phase involved the formulation of a plan of action for data collection activities by the research team.

The Implementation Phase involved putting the plan of action for data collection into effect -- including the problem-posing/fotomontaje exercise, the problem-solving exercise, and the group-focused interview about a past community development activity. The Rediagnosis Phase included: 1) analyzing and interpreting collected data by the research team; and 2) sharing the results with both the agency management and the participants from the community. The evaluation function was carried out participatively at each phase of the process and at the conclusion of the intervention. The evaluation function involved the participation of both research team members and local organization participants. The evaluation function was integrated with each phase of the research process -- as a miniature version of the PAR process cycle (as illustrated in Figure 5.6).

The PAR intervention in this study involved an organization development technology aimed at both the PVO and the LO. As such, this case study can be considered as a Mode I version of participatory action research. The Post-Intervention Stage involved management considerations of the research team's follow-up recommendations including: 1) a possible Mode II intervention as a broader strategy corresponding to community development criteria; 2) further agency support for the initiatives begun by the community during the research process; and 3) the

possibility of continued testing of the methodologies for potential applications by agency field workers. In addition, the Post-Intervention Phase included the documentation of the process (through means of the author's dissertation and other reports or articles) with the goal of sharing the research findings within the scholarly community, as well as with other community development practitioners who might find useful the theory and methodology used in the research effort.

Research Procedures: Pre-Intervention

Prior to the PAR process in Lima, Peru, a number of important activities were conducted. The exploration of the theoretical and methodological possibilities for the research and the construction of appropriate social learning models were carried out by the author. The ESL model of management for social transformation and the PAR mode of inquiry were articulated. The development of these models was assisted by interaction with the Lima staff during a 1986 visit to Peru, as well as by numerous interactions with professional mentors and agency colleagues.

The possibility of a collaborative research effort was initially discussed with the research team participants at that time. The subsequent evolutions in the theoretical and methodological aspects of the research proposal were discussed with key members of the Peru staff from time to time, and consensus was eventually

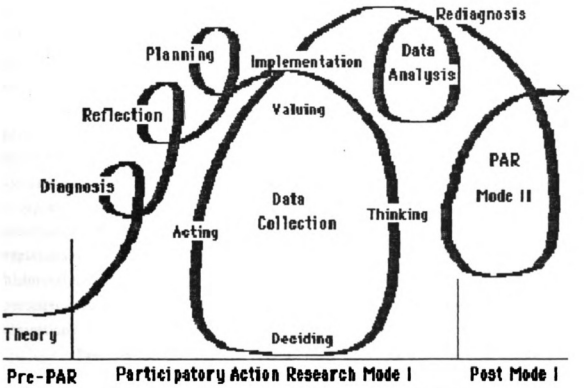


Figure 5.6 -- Participatory Action Research Process

reached about the research purpose, the theoretical framework, and methodology. In addition, the author prepared and translated the instruments to be used during the data collection phase. Indicators for each observed variable were proposed as possibilities, subject to contextualization by the Peruvian research team members. Arrangements to conduct the research effort with the local organization were made in advance by Peruvian research team members.

Detailed Description of the PAR Intervention

Preliminary Planning & Diagnosis. The initial phase of the PAR intervention began following the author's arrival in Lima. A general orientation with the key research facilitators from the Vision Mundial staff was the first item on the agenda. The theory and methodology behind the entire process (including necessary modifications) were discussed and a consensus was reached with the three-person facilitator team. The context of the case study was also thoroughly discussed, including the history of the project and the expectations of local organization members.

Preliminary data were collected about the community and the local organization by facilitating a community description exercise. The descriptor exercise and informal interviews with community members constituted the raw data used for identifying generative themes. The identification and analysis of generative themes was fundamental to the entire data collection methodology. The process for identifying the generative themes required the facilitation of a special session with participants of the local organization. This session, referred to as the community descriptor exercise, involved the description of the community's historical highlights, present realities, and future aspirations.

Community descriptions were made by two groups of community participants using newspaper and magazine cut-outs to construct a collage that depicted the historical highlights, the present problems of the community, and the aspirations of the community for the future. The group also used drawings and words to express what the cut-out images could not. At the conclusion of the group description activity, a spokesperson of each of the small groups presented an explanation of the group's collage. One group presented some of the community's historical highlights, including their past struggles and accomplishments and some persistent problems. The second group presented its collage description of community aspirations.

Based on these community reflections, the research team was able to identify a series of generative themes. Two of these were selected for analysis by the research team. Unemployment in the community and decreasing levels of community

participation were selected as the most promising themes for the research process. The Hope et al.(1984) analytical system was used to hypothesize about the economic, political, and cultural dimensions of each theme. The research team divided into small groups, with each analyzing one of the generative themes.

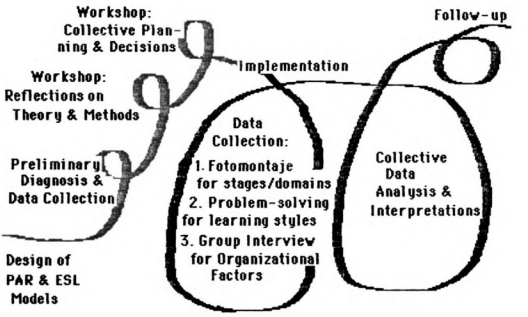


Figure 5.7
The Research Procedures

Each group brainstormed about the causes of the problem and speculated about how root economic, political, and cultural factors were related. Following these small group reflections, each group presented and discussed its interpretation of the problem and its causes. In essence, this phase of the process involved the decodification of the generative themes by the research team. A further phase of the analysis was undertaken by the research team, referred to as the theme synthesis, in which the team interpreted one of the generative themes using the ESL model. The team looked at various aspects of the community participation theme from the perspectives of the Social Values, Theory of Reality, Political Strategy, and Collective Action domains and speculated on how the participation theme would be understood at the Conform, Reform, and Transform stages of each domain.

The next phase of the generative theme process involved the *recoding* of one of the themes. We decided that community participation would be an appropriate theme for using the fotomontaje/problem-posing exercise and could potentially reveal critical insights about the stages of group maturation in each of the domains. Slides

that symbolically communicated the domain concepts relevant to the participation theme were selected. The coded slides of the generative theme captured its existential core, and were thus filled with sufficient content and meaning to stimulate group reflections and enable the measurement of the level of group consciousness (stage of maturation) for each of the domains.

The unemployment theme was also a critical factor in the data collection methodology. The unemployment theme provided the backdrop for the problem-solving exercise and the subsequent identification of the group's learning style tendencies. The local organization members selected the community's aspiration for a micro-industry, or small enterprise in order to create new sources of income in the community. The problem-solving activity engaged the local organization members in a practical exercise to move the community toward partial resolution of the unemployment problem. The participation theme was also critical to the methodological design for collecting data about the organizational factors. The past activity of constructing the community center was selected for the group-focused interview due to the role of community particpation in its success. Figure 5.8 illustrates the use of the generative themes and other elements of conscientização methodology as key to this research process.

The Reflection and Planning Phases were combined to constitute the curriculum of a one-week participative training seminar. The workshop was designed to facilitate the research team member understanding of the theoretical and methodological aspects of the research project, as well as to encourage genuine dialogue essential for identifying necessary modifications in the methodology. These sessions were accomplished during five morning sessions of the third week.
Using the preliminary data collected from the descriptor exercise and other interviewing techniques as resources, the team analyzed two of the generative themes. Both the theory and methodological strategy of the research were refined during this phase. Based on the interactions of the workshop, the research plan was refined and further elaborated, including several revisions in the analysis instrumentation, the creation of observation tools, and decision regarding the methodology associated with collecting data about the stages/domains, the learning styles, and the organizational factors. The workshop involved activities to increase the knowledge and skills of research team members, and also served as both a training activity to benefit Vision Mundial staff and to prepare the research team for analyzing the data with the ESL model and PAR methodology. The methodology involved a combination of participative and lecture techniques. The fotomontaje/problem-posing technique was experimented with by the research team by video-taping a simulation of the activity, reviewing the

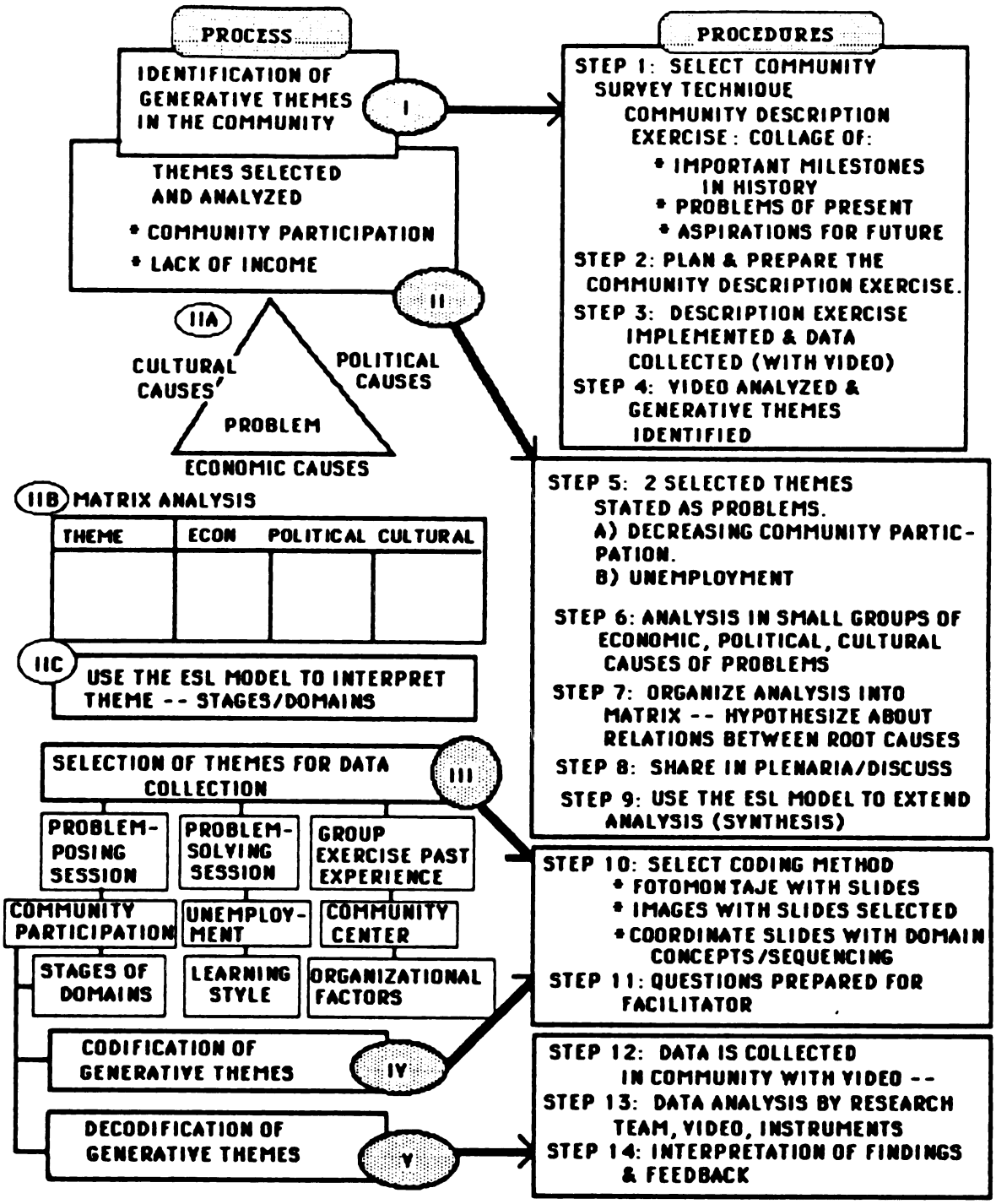


FIGURE 5.8 -- GENERATIVE THEMES, CONSCIENTIZAÇÃO, AND PAR MODE I

video, and critiquing it to improve actual performance in the data collection session with the community. In addition to identifying numerous problems and potential problems, this approach helped refine the skills of those facilitating, observing, and analyzing the experience. Appendix C provides a summary of the curriculum used during the training workshop for the research team members.

The Implementation Phase of this process involved the facilitation of the fotomontaje/problem-posing exercise, the problem-solving exercise, and the group focussed interview of a past community development activity. The data were collected by videotaping each of these exercises with the expressed permission of the members of the community organization. Observations relevant to the ESL model are the focus of the implementation phase. The objective was to systematically record information pertinent to the group learning style, the ESL stages/domains, the organizational factors of the local organization, and the influence of the donor agency on project administration.

a. The fotomontaje/problem-posing exercise. Indicators of group maturation in each of the four domains were observed and recorded based on the fotomontaje/problem-posing activities. The fotomontaje/problem-posing exercise was intended as a means to discover the levels of consciousness (ESL stages) of the group for each of the ESL domains. In preparing for this data collection session, the facilitator team borrowed from Freire's problem-posing/conscientização process and the related fotomontaje technique. Using the generative theme of community participation, the facilitators of the research team were able to identify key concepts that related to both the generative theme and the ESL domains. For each domain, three key concepts were identified based on revisions and adaptations of the stages/domains analysis instrument. Each concept was conceptualized with three possible levels of group maturity and was included in the revised version of the stages/domains analysis instrument. Thus, each concept was defined with indicators at each stage of development -- the Conform, Reform and Transform stages. These three stages of each concept were depicted along a 10-point scale for later measurement by the research team (see the stages/domains instrument in Appendix B). Based on the research team's analysis of the generative themes, the facilitator team identified and then redefined these key concepts:

1.0 Social Values Domain

1.1 Communal praxis: the maturity of praxis (integrating action with reflection) exhibited by the group in the planning and execution of community development activities.

1.2 Community dynamics: the quality of interpersonal relations in the community as related to how the group understands and manifests the concept of community.

1.3 Motivations for community action: factors which influence involvement in community activities.

2.0 Theory of Reality Domain

2.1 Perception of community participation: how the group explains community participation, and the failure to participate, in community affairs.

2.2 Perception of the socio-economic situation: level of the group's understanding of the social and economic realities affecting their community.

2.3 Awareness of social responsibility: how the group interprets the causes of social problems and the level of perceived group responsibility for attempting to solve them.

3.0 Political Strategy Domain

3.1 The level of political awareness: the level of group understanding of social conflicts from a political perspective.

3.2 Perception of rules and authority: the group's perception of the relationship between rules, moral judgment, and authority.

3.3 Perception of political power: the group's understanding of the nature of political power and their own capacity for cultivating and using political power.

4.0 Collective Action Domain

4.1 Commitment to solidarity: how the group perceives collective action and social solidarity.

4.2 Leadership style: group perceptions of effective leadership styles.

4.3 Leader/participant roles: group perception of the level and quality of community participation in their community as related to the respective roles of the leaders and other participants.

To prepare for this data collection session, slide photos were selected that represented each of these domain concepts. This part of the methodological preparations involved coding the generative theme of community participation with photos that symbolically depicted each of the twelve concepts associated with the four domains (see Figure 5.8). Some concepts were represented by a series of photos, others by a single photo. The photos were intended to help the members of the local organization express their level of understanding (or consciousness) of the concept as they observed the photo. Thus, the photographed images needed to symbolically represent the concept without revealing an obvious interpretation, i.e., the photos

needed to stimulate reflection without persuading the participants toward a certain perspective or level of consciousness. While some learning is an inevitable consequence of this methodology, our intent was to be able to capture and measure actual group perceptions and not to engage in a consciousness-raising exercise. Each photo was associated to a domain concept and connected with a series of broad, non-directive interview questions for use during the process by the facilitator of the session (see Appendix D).

The generative theme was then *decoded* by members of the local organization during the data collection process. Using a slide show approach to fotomontaje, each domain concept was explored by the facilitator using a group-focused interview. In other words, the theme of community participation was gradually decoded with the assistance of the slides and questions associated with the twelve concepts. The entire session lasted approximately two hours. The comments of community participants were captured on video-tape for later observation and analysis. The comments were used to estimate the group's perceptual tendencies in each of the twelve concepts from which we could deduce a generalization about the group's maturation in each of the ESL domains. On the basis of participant responses (the decodification of the community participation theme), the research team was able to estimate the group's stages of domain development and to quantify their assessment for each concept/domain on the numerical scales of the analysis instrument. While the findings were limited to participant perceptions of the generative theme of community participation during that particular evening session, the information potentially could reveal critical insights about the local organization's capacity for managing programs of social transformation.

The following excerpt from the author's daily journal provide some highlights from this data collection session:

> We arrived in Villa El Angel for the evening session at 8:20 due to terrible traffic jams -- felt bad arriving late because half the group was there waiting for us. Martin (one of the key facilitators) couldn't be there for this session. Bladi (the VM person responsible for working with Villa El Angel) met us (Corina, Pedro, and I) there in Villa El Angel. We got started about 8:45 as they continued to trickle in. I began the meeting with a review of the process and purpose, as well as an introduction of the evening's activities. Corina (the lead facilitator) then expanded with an explanation of what we were intending to do -- we began the slide show with the questions (the fotomontaje technique) many gradually trickled in during the first half hour of the slides until we had a group of about 20 persons -- many were newcomers -- some who had been for the first two session didn't show-up this time. It was an interesting mix with a balance of women and men, young and old, some more educated (some even with university level training), others illiterate. The group seemed enthused and enjoyed the reflections about what they interpreted in the photos -- excellent participation although there were a few that participated a lot (approximately 7) and some not at all -- no surprises there

though. There were many diverse comments about some of the photos. At times it was difficult to see a group consensus in their interpretation of the photos. Given some of the responses, we felt that some of the photos did not lead to the concepts we wanted to measure. However, the questions could not be too directive since there was always the danger of manipulating responses rather than facilitating a question and answer session. In other words, the danger existed that we --as facilitators -- would use the experience for consciousness-raising instead of as a creative way to carry-out a group-focused interview. Some consciousness-raising is, of course, an inevitable consequence of collective reflections, but our primary purposes involved measuring the level of maturity of the group in that particular experience and building the foundation for the problem-solving exercise for the Wednesday session.

The fotomontaje/problem-posing process was facilitated by a skilled and experienced member of the research team. The facilitator encouraged deeper levels of reflection as the participants observed the coded images of the generative theme. Effective facilitator use of probing questions helped. A sequence of questions roughly paralleled the experiential learning cycle, moving the group from naming and describing what they saw, to reflectively analyzing its meaning, to synthetically interpreting observations, and finally to speculating on what could be done about the problem or opportunity detected through the decoding process.

Chapter III provided a complete description of the ESL stages and domains. Appendices A and B includes the observation and analytical instruments used for recording and processing the data. Appendix D includes an outline of the data collection methods followed by the researchers/facilitators during this session in the community. Appendix D can also be viewed as training curriculum for facilitators of PAR at the community level. Appendix E, the author's daily journal, provides a more extensive description of the preparations, the actual events of this data collection session, and research team analysis procedures.

b. <u>The problem-solving exercise</u>. A variety of methodological alternatives were discussed for measuring the learning styles of the group. However, we decided on a fairly open-ended, problem-solving process requiring limited facilitation from us. The research team desired a realistic picture of how the community organization goes about solving a problem. A problem selected by the community was the basis for the problem-solving exercise, in which the group analyzed the causes of a problem and determined a general strategy or plan of action for addressing the problem.

One of the primary challenges of this exercise was to assure that the local organization members had an opportunity to use the learning skills relevant to each of the learning styles. These data were essential for accurate determination of the learning style profile of the group during the problem-solving exercise. In addition, to

meet the standards of PAR, the research activity needed to serve the local organization in some practical way, i.e., to assist in the resolution of a real-life problem of concern to the community. Thus, as part of the methodology we encouraged the participants from the local organization to chose a problem from a list of several options. The list of options was extracted from the community description exercise (community aspirations) and related to the participation as well as the unemployment generative themes. The list of alternatives was selected based on the research team's analysis of the generative themes. All of the generative themes had their roots in community aspirations -- as identified by members of the local organization during the community descriptor exercise. Following some discussion, the group reached a consensus about their desire to focus on the problems associated with unemployment by reflecting on the possibilities of a small income producing venture -- the development of a micro-industry for the benefit of the community.

The exercise was designed with three phases. Phase 1 involved a consensual decision-making process by the participants from the community. After some discussion, the participants reached their decision -- they decided that they preferred to discuss and plan for a "taller de confección" (a small manufacturing workshop or micro-industry) to deal with the problem of unemployment. Phase II involved their organization into a problem-solving group and selecting their leaders for the session. The object of Phase II involved reflecting on the causes of the problem they were trying to solve -- in this case, unemployment. In the first two phases, we hoped to be able to measure some of the variables associated with the Diverger and Assimilator learning styles. In the third phase, the object of the exercise was for the group to begin bringing their reflection down to a more practical concrete level, i.e., to begin thinking about strategies and plans for implementing the idea of a taller. In the third phase, we hoped to be able to collect data that would allow us to measure some of the variables associated with the Converger and Accommodator learning styles. We were well aware that, due to the time limitations, the participants were unlikely to get very far in the elaboration of a concrete plan of action. However, we had taken this into account in the design of the instrument for the learning styles and phrased the questions relating to the Converger and Accommodator styles in such a way that we would be able to measure these variables. The following excerpt from the author's daily journal describes some observations of this data collection session:

> We arrived at the project at 7:40 pm... Most of the participants didn't arrive until about 8:45 .. we got started at about 9 pm ... one hour late. I started the meeting with an introduction and orientation to the process -- general explanation of the purpose of the session. Martin (key facilitator/team leader) facilitated the phase dealing with the selection of the problem -- some complained that they didn't want

to feel limited by the list -- but we explained that the list was derived from the prior session in which community aspirations were identified -- they agreed that the list was OK -- ultimately, after some discussion, agreeing that the taller de confección was the highest priority and a problem that they would like to deal with during the session.

Corina (lead facilitator/team leader) facilitated the session on the problem solving experience -- providing the group with general instructions about what they were to do -- starting them out by having them organize themselves and to then begin reflecting on the causes of the problem and to try to draw their interpretation of the causes on paper. After a slow start this seemed to go well ... As expected, the third phase was weak due to time limitations but we were able to collect some relevant data for measuring the Converger and Accommodator styles -- by 11 pm the participants got restless and we had to call it a night before they had gotten very far with their plan of action for the taller -- which we felt was adequate considering that a realistic plan would normally require a number of technical studies, market research, needs assessments, etc. At least a process had begun in which the participants could see some of complex causes of the problem as well as the need for a great deal of effort in the planning phase in order to pull it off. The group perceived this as an opportunity to begin elaborating a proposal for eventual presentation to the community assembly for community approval.

Chapter III provided an explanation of why the group's learning style is of such critical importance to this study. Appendix D includes an outline of the methods used by the research team for this data collection session. The instruments used for observing/recording observations and conducting the analysis are included in Appendices A and B, together with a description of each of the learning style variables in Appendix B.

c. The Group-Focused Interview was the original methodology selected for the measurement of variables relevant to the organizational factors. Of particular interest in this study were the stages of organization development for leadership, motivational, decision-making, and evaluation processes. The group-focused interview is used frequently in marketing research because collective social attitudes are recognized as critical phenomena that cannot be captured through more traditional one-on-one interview techniques. Normally, the group-focused interview is conducted as an informal, relatively open-ended dialogue between the interviewer (or facilitator) and the group. In this case study, the interview method was intended to assist the researchers to measure the organizational factors based on participant recollections of a collectively shared community development experience. Thus, the data obtained from the interview would have been used to determine the stage of organizational development for each of the pertinent processes, as well as the influence of the PVO on the maturation of those processes.

In the preparation for this data collection session, the research facilitators conducted two interviews with two Vision Mundial project promotors who

had worked closely with the community of Villa El Angel during the past three years. The interviews were designed to help us identify a community experience appropriate for measuring the organizational factors of the group as well as for revealing important information about the influence of the supporting PVO on the local organization. In addition, we hoped to gain insights helpful for the elaboration of the data collection methodology.

Criteria for selecting the experience was based on: 1) whether the experience was shared by most of the participants; 2) the degree to which the experience would potentially reveal information about the management style and administrative system of the local organization (such as the leadership, motivation, decision-making processes); and 3) the influence that the PVO (Vision Mundial) had on the management/administrative system of the local organization. The construction of the community center was identified as the most appropriate experience for inquiring about organizational realities at the local level. Other alternatives were discussed but all seemed to revolve around the community center. We were doubtful about our ability to measure the influence of Vision Mundial management and control systems on the community effort, because the community members tended to equate the institution with the Vision Mundial employees working in the community. Thus, an honest, open discussion about the negative aspects of the relation with the agency could not be realistically expected.

After some reflection, the research team determined that the initial design of the group-focused interview would probably not be ideal for what we were trying to measure. Consequently, we brainstormed about alternative methodologies for collecting data that would be relevant to the organizational factors that were being experienced by the local organization during the construction of the community center. We decided that the best alternative would involve a more open-ended exercise in which the participants described various aspects of the construction of the community center, with instructions given in such a way that their descriptions would touch on the six organizational processes of interest to us in the study. We decided that we could divide the participants in Villa El Angel into two groups -- each group focusing on a set of concerns such as leadership style, motivation to participate, etc. The groups would reflect together on their recollection of the experience and depict on flipchart paper, through drawings or words, what they believed happened. Then, each group would share their perspective in plenaria -- for discussion and input from the other participants. Each group was given three assignments related to the community experience of constructing the community center. These assignments were intended as an open-ended, but focused approach, to the group interview. Our hope was

that important data about the local organization's tendencies in the areas of leadership style, motivating forces for community participation, communication process, decision-making process, goal-setting process, and the control and evaluation functions could be extracted from the community descriptions. In addition, we hoped to obtain some insights about the influence of Vision Mundial on the local organization. The following six assignments represent the focus of the group interview:

Group 1: 1) Describe the role of the community leaders in the efforts to construct the community center.
2) Describe the way decisions were made about the construction of the community center.
3) Describe the role of Vision Mundial in the construction of the community center, especially as it related to leadership and decision-making.

Group 2: 4) How was community participation organized for achieving the construction of the community center?
5) How were the activities of the community center construction managed and controlled?
6) What was the role of Vision Mundial in the construction of the community center, especially as it related to community particpation and the management and control of project activities?

Appendices A and B include the observational and analytical instrumentation for the organizational factors. Appendix D includes an outline of the method used by the researchers during this session.

Rediagnosis Phase. While the implementation phase is primarily concerned with data collection, the rediagnosis phase emphasizes the functions of data analysis and interpretation, i.e., to conform or disconfirm our original assessments (or diagnosis) of the local organization and community. Having collected the data through videotaping, the researchers were able to subsequently process their observations using the respective observation and analysis instruments for the ESL stages/domains and the group learning styles. This was accomplished during several separate analysis sessions. The eight member research team reviewed the videotapes of the problem-posing/fotomontaje and the problem-solving sessions, using the observation instrument to record and document relevant findings. Subsequently in small groups the analysis instrument was used for processing the individual observations and reaching a small-group consensus about how to score each measured variable on the instrument scales. Indicators justifying the small group decision were recorded along with the score for each measured variable. In some instances there was dissension within the small group and, at times, the group decided that insufficient data existed for measuring certain variables. Following the small group data analysis, the groups

reconvened in plenaria to share their results with the other groups. The entire research team then attempted to reach a consensus by discussing the rationales that guided each group in assigning variable scores. Disputes were resolved by reviewing the relevant section of the videotape to confirm or disconfirm certain initial impressions. On occasion, the facilitator of the consensus sessions needed to arbitrate with a deciding vote. However, dissenting opinions were duly noted in reporting the research team consensus scores. The data processing and analysis for the stages/domains and the learning styles required approximately twelve hours.

The analysis of the organizational factors followed a slightly different pattern. The facilitator group determined that the problem-solving session provided more adequate data for measuring organization factors than the planned exercise. While the influence of Vision Mundial on the organizational factors of the local organization did not emerge from the collected data, we were able to use the problem-solving event to make some assessments about the organizational tendencies of the group. However, due to time limitations, the entire research team could not participate in the analysis session. Instead, for organizational factors, the facilitator team of three persons conducted the analysis following similar procedures as were used for the stages/domains and learning styles. The facilitator team observed the videotape and systematically wrote down observations to be used for filling-out the analysis instrument. Following individual scoring of each variable along with documentation of relevant indicators with the analysis instrument, the team members met to discuss their individual analyses, and to reach a consensus. The author, as team leader, arbitrated where consensus did not emerge. The video was reviewed a second time to confirm initial observations and assessments. In the final analysis session, the complete research team was asked whether the analysis made by the facilitator team was consistent with their observations of organizational factors during the problem-solving session.

Once a consensus was reached, the data were assembled into the learning style, stage/domain, and organizational factor profiles of the group. Figure 5.9 illustrates some hypothetical examples of how the group profiles might appear when assembled. The assembled results were then presented for further analysis and interpretation during a final research team plenary. The research team interpreted the significance of the findings and attempted to draw certain preliminary conclusions about the data. The team attempted to answer the research questions and to speculate on the relations between the various elements of the ESL model (the group learning style, the stages/domains, and the stages of organization development).

The last session with the research team also involved a determination of what activities should be recommended to management as follow-up. Of primary concern, was the research team's assessment of how Vision Mundial should build on the PAR intervention in the community. The possibility of further testing of the methodology and the theory in Vision Mundial operations was also discussed at some length.

Evaluation Phase. The research team's last function involved the evaluation of the Mode I experience, with reference to the periodic process evaluations previously completed and with particular focus on the impact of the intervention on the community. Ongoing reflection and adaptation occurred throughout the research process and, in this sense, formative evaluation was integrated at each phase of the process. However, a more formal attempt to evaluate the process was made in the final sessions with the research team and the community organization.

In that final session, a written evaluation was completed by all of the research team members (with the exception of the author). The written evaluation asked a variety of questions: 1) knowledge gained by the team members as a result of the workshop and the research experience; 2) usefulness and limitations of the research methodology; 3) possible applications of the ESL model and the PAR methodology in community development fieldwork; 4) perceived levels of reliability and validity of the research findings; 5) ways to improve the methodology; and 6) contributions to the local organization and the community studied.

The final evaluation session with the participants from the local organization involved brainstorming about: 1) what the participants thought about the experience, 2) what the participants learned from the experience and what was useful to them, and 3) what could have been done better by the researchers and participants. The results of the evaluation sessions in the community and with the research team are discussed in Chapter VI. In addition, the evaluation findings are presented in Appendix F.

Post-Intervention Stage.

The findings and the recommendations of the research team were then presented to the Vision Mundial management for consideration. A Mode II intervention in the community was recommended with the objectives of: 1) increasing the administrative capacity of the local organization; 2) providing follow-up to the activities initiated in Mode I as useful contributions to ongoing community development applications; and 3) serving as a training experience for the research participants and thereby indirectly contributing to PVO development. A

decision will be made by the management whether to follow-up the Mode I experience with a Mode II PAR intervention. The possible activities following the intervention are limitless. However, an ongoing record of how the learning styles of the group, the stages/domains, and the management systems evolve in the local organization would be ideal and also add a longitudinal and ethnographic dimension to the case study.

Whether a Mode II intervention is deemed appropriate or not, the research team also needs to determine how to share the findings with members of the local organization. The research team determined which of the findings could be shared without engaging in a detailed description of the ESL model and presented this portion of the research findings during the last session with the community. Our hope was that our observations would stimulate the community leaders toward a collective discovery of appropriate change strategies for the local organization.
Finally, sharing the research findings of the Mode I intervention with other interested researchers and practitioners represents a critical dimension of the post-PAR intervention phase.

Technical Aspects of Data Collection

The data were collected in each of the sessions with the community by videotaping with the assistance of a professional photographer. Alternatives to videotaping were limited due to the need for collective analysis of the data by a team of researchers. The alternative considered most seriously would have involved dividing the research team into several groups, with each concentrating on one dimension of the model (i.e., the stages/domains, the learning styles, and the organizational factors). However, the presence of so many observers from Vision Mundial was considered as a more obtrusive method than the videotaping, which turned out to be surpisingly non-obtrusive. With only the notes of a group of observers, research reliability would have been highly subjective with unacceptable levels of reliability. In addition, without the videotapes, the event could not be recorded in its entirety with the consequential inability to confirm or disconfirm research team observations and assessments. Furthermore, tape recording in this event would have been impractical and difficult to decipher for later analysis.

In short, the videotape was critical to both the data collection and the data analysis of this research effort. Videotaping, on the other hand, has certain technical requirements (such as the need for adequate lighting) that complicated our efforts, but were not insurmountable despite technical limitations. The purpose of the videotaping was explained to the participants and their expressed permission was obtained prior to filming the sessions. The presence of the filming distracted many of the participants

during the first session, but thereafter was increasingly less obtrusive, to the point of being ignored. A video documentary was made summarizing the research process using excerpts from the various sessions with the community and the research team.

Many of the training and analysis sessions were also video taped in order to capture key phases of the research process. Many of the planning sessions and key analysis sessions were tape-recorded. In addition, notes were taken by the author of general impressions throughout the process as part of a daily journal and more specifically for key types of information. Training and planning session were also recorded with flipchart notes and illustrations as an important part of the research documentation.

Assembly and Presentation of the Data

Figure 5.9 hypothetically displays how the collected data would be assembled in relationship to the ESL model. Basic categories of data included the group learning style profile, the maturity of organizational factors, and the profile of the ESL domain maturation

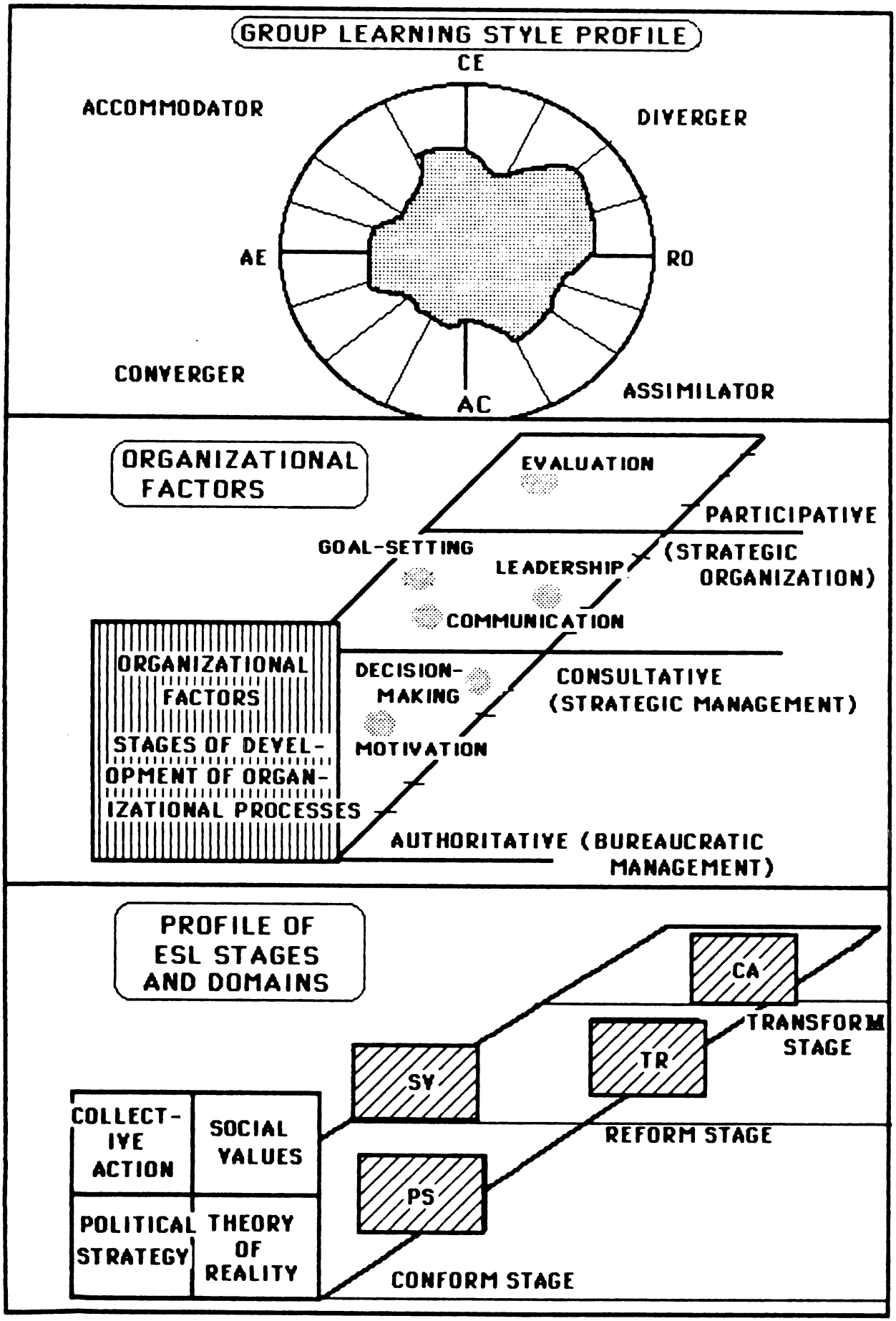


FIGURE 5.9 -- GROUP PROFILES

CHAPTER VI
Analysis of the Findings

Previous chapters have described the emergence of the social learning paradigm and its applications for the management of social transformation, the construction of the Experiential Social Learning model, the contextual factors of the case study, and the articulation of the participatory action research methodology as applied to this case study. This chapter describes data analysis procedures, the empirical findings of the investigation, and some preliminary interpretations. Chapter VII extends these interpretations by drawing some broader conclusions about the significance of the study and its findings. The findings describe the stages of maturation of the domains as they relate to the generative theme of community participation, the learning style tendencies, and the organizational factors of the local organization. Thus, each of the key elements of the ESL model was assessed by the research team, thereby providing tentative indications of the local organization's capacity for managing social transformation.

Stages of Maturation of the ESL Domains

The problem-posing session with members of the local organization in Villa El Angel was videotaped and, subsequently, analyzed to provide the research findings regarding the stages of maturation of the ESL domains and concepts. In brief, the methodology involved using photos and questions to stimulate reflective discussion about several concepts related to each the ESL domains: Social Values, Theory of Reality, Political Strategy, and Collective Action. These discussions were videotaped for subsequent analysis by the research team. The research team members used observation tools for recording their observations of the domain concepts (Appendix A) and, in small groups, documented their observations using the analysis instrument (Appendix B) to arrive at a small group consensus. A final team consensus was then reached in plenary sessions by discussing the criteria used in the small-group data analysis sessions and reviewing the videotape to resolve divergent measurements. When there were persistent differences of opinion about how the concepts should be assessed, arbitration was used by the facilitator, with dissenting opinions duly noted, as qualifications to the team's consensus score. The level of domain maturity was based primarily on expressed perceptions about the concept indicators. However, measurement of some of the concepts included observations about participant behavior during the problem-posing/fotomontaje session.

Scoring Procedures

The research team used the analysis instrument to help document and score their observations. Working in small groups, the researchers collectively assessed each of the twelve domain concepts and reached a consensus about how they should be scored. Each domain concept was scored by selecting one of three possible descriptions of the concept. The three descriptions (A, B, or C) corresponded to each of the three stages (conform, reform, transform). Three steps were taken in scoring each of the twelve domain concepts:

1. The small groups discussed individual observations and determined which of the three descriptions of the domain concept (A, B, or C) was most accurate. Amplification of the selected description was occasionally made when the content of the description was considered inadequate or incomplete.
2. After reaching a consensus about the stage, the groups scored each concept on the ten-point ordinal scale, with "1" representing the least mature and "10" the most mature. The ten-point scale includes three sub- scales that measure the Conform, Reform, and Transform stages.
3. After selecting and scoring the measured concept, the group documented their assessments by writing down the observed indicators.

Figure 6.1 is extracted from the analysis instrument and provides an example of the scoring process. The scales are designed for ordinal measurement, with ranked numerical scores ranging from less mature to more mature. In addition, Figure 6.1 illustrates the key used for scoring. Concept 1.1, communal praxis, is one of the three concepts used for measuring the social values domain.

1.1 Communal Praxis

What is the group's attitude about participation in the community?

less mature — more mature

1 2 3 4 5 6 7 8 9 10

A. Fatalistic attitude about conditions in the community; distrust of others in the community; inertia & low communal activism.

Indicators:

B. Substantial community activities but with very little or only superficial reflection about their direction or purpose.

Indicators:

C. Social solidarity expressed by the integration of collective activities with collective reflection & a spirit of trust & cameraderie.

Indicators:

Scoring Key:

A = Conform (1-3)

1 high conformist — 2 — 3 lower conformist

B = Reform (4-6)

4 high reformist — 5 — 6 lower reformist

C = Transform (7-10)

7 low transformist — 8 — 9 — 10 higher transformist

Figure 6.1
Scoring the ESL Domains

ESL Domain Scores

Table 6.1 tabulates small group and research team scores for each of the twelve domain concepts. Each domain was assessed by taking the average of three domain concept scores.

Table 6.1
ESL Domain Scores

Domain Concept	Group 1	Group 2	Group 3	Team Consensus
1.0 Social Values				
1.1 Communal praxis	3	7	7	7
1.2 Community dynamics	5	7	9	7
1.3 Motivations for community action	6	8	8	7
Composite Score, Social Values	-	-	-	7
2.0 Theory of Reality				
2.1 Perception of community particiption	4	7	5	7[1]
2.2 Perception of socio-economic situation	7	9	5	6
2.3 Awareness of social responsibility	7	9	7	7
Composite score, Theory of Reality	-	-	-	7
3.0 Political Strategy				
3.1 Level of political awareness	5	6	6	5
3.2 Perception of rules and authority	4	-	4	4*
3.3 Perception of political power	4	-	6	4
Composite score, Political Strategy	-	-	-	4
4.0 Collective Action				
4.1 Commitment to solidarity	5	1	5	4.5
4.2 Leadership style	-	7	8	7
4.3 Leader/participant roles	-	5	6	5
Composite score, Collective Action	-	-	-	5.5

[1] The data for concept 2.1 were considered inadequate and there was some confusion with the concept descriptions. Eventually, " 7" was determined as the group's best estimate with one dissenting vote.

* The data for concept 3.2 was considered inadequate for measurement by one group.

- A dash usually indicates that the small group felt that there were inadequate data for concept measurement. However, during the plenary consensus session, they tended to agree with the observations of the other groups. On several occasions the videotape was reviewed a second time to assist in this process or to help the group reach a consensus.

Social Values Domain: Findings

Three concepts were used for the assessment of the Social Values Domain during the problem-posing/fotomontaje session with the local organization: communal praxis (1.1), community dynamic (1.2), and motivations for community action (1.3). Each of these concepts was derived considering key aspects of the generative theme, community participation, as they related to the Social Values Domain (which was broadly defined as "the standards and norms that guide the social life of a group of people"). A composite score of "7" (low-level maturity at the transform stage).

The communal praxis concept was explored using three slides entitled, "the child looking at the village from the top of the hill," "the pensive man," and "womens' solidarity." Slides, along with facilitator questions, were selected to draw out general community sentiments about the nature of their community, and how they perceive their community, particularly in terms of their aspirations for the future. The comments of the participants were expected to reveal important insights about the maturity of praxis in the community, i.e., the integration of collective reflection and action. Key indicators of the level of maturity included: 1) degree of fatalism about the conditions in the community; 2) level of trust between members of the community; and 3) degree of social solidarity as expressed by the integration (or lack of integration) of collective action and reflection in community affairs.

Some of the comments of research team members about the measurement of this concept included: 1) the slides used for measuring this concept were too vague, consequently giving the participants insufficient focus on the concept indicators; 2) there were too many distractions and inadequate participation due, in part, to the session's recent intitiation, the noise of newcomers, and inadequate understanding by some of the participants about how to participate; 3) some of the leaders (those with more clear visions about the community and its needs) tended to dominate the discussion of these slides, thus slanting the measurement of the group as more mature than it is in reality; and 4) Two sub-groups within the participating group -- one much more conscious of social realities in the community, the other lacks critical reflection.

Research team members justified their score of "7" (Transform Stage, low maturity) based on a number of observed indicators expressed by the participants including, among others: 1) confidence in the future based on the experiences of the past; 2) hope that their children will achieve even more than the parents; 3) solidarity limited due to systemic causes; 4) mutual trust apparent based on comments; and 5) a constant search for positive social change. One person dissented, arguing for a score within the Reform Stage. Initially scoring the group within the Conform Stage (3) due

to observations of fatalism and limited community participation in action or reflection, the dissenter agreed to compromise with a score of "6" in the Reform Stage. However, the feelings of the rest of the group were strong that the lowest score on this concept should be a "7". This score was arbitrated at "7" to break the deadlock and because the dissenter was basing his assessments on his impressions of actual behavior in the community rather than on the opinions expressed by session participants.

The second concept measured for the Social Values Domain, community dynamic (1.2) referred to how the session participants perceived the quality of interpersonal relationships as expressed at the communal level. A slide of "a marionette puppet," accompanied by a series of questions were used to explore this concept. Some of the key indicators relevant to this concept included the degree of manipulation, recognition of others, and the level of commitment to the causes and principles of community and social solidarity. Despite the divergence between initial small-group scores (5, 7, 9), discussion about the observations and indicators helped the group to reach a consensus rapidly. A community dynamic concept score of "7", low maturity of the Transform Stage, was assigned to the group.

Research team member comments about the problems associated with the measurement of this concept included: 1) the results are not very reliable because the participants would be reluctant to engage in self-criticism in the presence of representatives of the funding agency; 2) concept descriptors B and C were confusing and did not help with the scoring; and 3) the majority of the participation involved comments by the dominant leaders of the group.

Despite these problems, the group was able to observe a number of indicators to assist in their assessment. Some of the observed indicators included: 1) confidence placed in the collective organization rather than only in individual community leaders; 2) considerable tolerance of diversity as expressed by the sensitivity to diverse political and religious perspectives and their ability to transcend cultural tensions; 3) a certain degree of consciousness about the realities of manipulation but, primarily as it relates to forces external, rather than internal, to the community; and 4) an apparent high level of trust in the elected leaders of the community was expressed frequently.

The third concept used to assess the social values domain involved motivation for community participation, (1.3), as perceived by the session participants. A slide of a group of people clasping hands was used to explore what factors influence and motivate people to participate in community activities. The indicators considered in measuring this concept included the degree people are perceived as partipating out of self-interest, as opposed to a genuine commitment toward contributing to the

collective interests of the community.

The research team assessed the motivation for community participation with a score of "7" (low maturity Transformation Stage). Observations included: 1) the participants expected all members of the community to participate and benefit from community development activities; 2) the function of community activities and participation is to respond to basic and common needs of the community; and 3) there is a general sense of commitment to contribute to the improvement of the community. However, it was also observed that most of the comments came from the existing leadership in the community and that their participation in community activities was disproportionate to the participation of an average resident.

Theory of Reality Domain: Findings

The Theory of Reality Domain, as applied to the community participation theme, was assessed by measuring three concepts: the perception of community participation (2.1), perception of the socio-economic situation (2.2), and the awareness of social responsibility (2.3). Each of these concepts were considered important aspects for understanding how the theory of reality of community leaders impacts on their understanding of community participation. A composite score of "7" was reached for the Theory of Reality Domain or low-level maturity of the Tranform Stage.

The perception of community participation concept was intended to permit measurement of how the session participants understand and explain non-participation in community activities. This concept referred specifically to Freire's description of various levels (Magical, Naive, and Critical) for intrepreting community participation. At the Conform Stage, non-participation would be explained as the result of laziness or apathy of the non-participant. At the Reform Stage, non-participation is explained as the consequence of economic problems and insufficient time. At the Transform Stage, non-participation is seen as a symptom of systemic social problems, resulting is alienation. Individualism and the failure to adequately motivate non-participants would be some of the explanations given at the transform stage.

This concept was explored using a slide which we entitled the "woman working alone." A series of questions were used to stimulate reflection on why the woman was engaged in a community-oriented task alone and without assistance from other members of the community. Some of the observations of research team members about measurement problems included: 1) limited participation about this slide making it difficult to assess the group's tendency; and 2) the concept descriptors A, B, C of the analysis instrument did not correspond well to the content of the discussions about the

slide. Most tended to make the measurement without using the descriptors, using the Conform, Reform, Transform stage conceptualization intuitively, thereby forming their own descriptions to correspond more closely to the data observed in the video. Eventually, the research team arrived at an arbitrated, consensus score of "7" (low maturity Transform Stage, with one dissenting opinion). Several of the team members observed that the session participants were conscientious about the need for collective efforts in the community in order to achieve common goals. However, the dissenting position argued that, in reality, the community leaders were delegated most of the responsibilities. Explanation of non-participation was not clearly discernible from the data. However, the research team felt that the perception of community participation was apparent throughout the video, with numerous expressions about the need for greater levels of collective action in order to achieve communal goals.

The perception of the socio-economic situation was another concept used for assessing the Theory of Reality Domain. This involved measuring the level of understanding of social and economic realities by the session participants. Two slides were used to stimulate reflections: "the railroad track into the horizon" and "the class conflict between the rich and the poor boys". However, useful data for measuring this concept emerged from the discussion of other images as well. Key indicators to be observed included whether poverty was explained as the consequence of individual inadequacies or, the product of systemic injustice and, whether the situation was viewed as static or dynamic, i.e., the degree of fatalism.

One of the measurement problems for this concept involved the heterogeneity of group members. The opinions of the group on this issue tended to be diverse, making it difficult to discern group tendencies. Nevertheless, the research team was able to assess this concept by taking the average score of the distinct sub-groups. A score of "6" (a relatively mature Reform score) was selected following substantial discussion. Some of the observed indicators included: 1) recognition of systemic socio-economic injustice; 2) the expression by some community members that they needed to demand that their consitutional rights be respected; 3) an apparent consciousness about the conflicting interests of different social classes and that financial resources tend to be accompanied by power; and 4) recognition of the unjust distribution of wealth (but no concrete suggestions for social change were made).

The third concept used for assessing the Theory of Reality Domain involved the degree of community awareness of social responsibility. Measuring the awareness of social responsibility concept would indicate how the group interprets the causes of social problems and the level of perceived group responsibility for attempting to solve them. The slide used for this concept depicts a market scene in which several

indigents are laying on the ground, apparently sleeping or possibly intoxicated. Key indicators of this concept included: 1) the degree of fatalism and negation of social problems; 2) the degree that individuals are blamed for their misfortunes as opposed to systemic causes; 3) the degree to which social contradictions are perceived and criticized; and 4) the degree of commitment to social transformation.

One of the problems associated with analyzing this concept involved the significant number of persons who did not participate in the discussions of this slide, especially the women. On the other hand, the research team was able to reach a consensus score based on numerous observations of this concept. Observations included: 1) the group attempted to identify some of the root causes of various social problems; 2) the group's identification of social injustice as one of the key causes of the present situation; 3) the fact that there were no definite expressions of the need for social transformation or how to achieve it; 4) some of the contradictions in the system were identified; 5) the recognition of the importance of being familiar with, and struggling for, their rights as citizens; and 6) the suggestion that no government, local, or national gives them the kind of support which is their right by law. The consensus score for the awareness of social responsibility concept was "7" (low-maturity at the Transform Stage).

Political Strategy Domain: Findings

The Political Strategy Domain was assessed by analyzing the level of political awareness (3.1), perception of rules and authority (3.2), and the perception of political power (3.3). The consensus score reached by the research team for the political strategy domain was "4" (low-maturity Reform Stage).

The political awareness concept involved the group's capacity for understanding social problems and conflicts from a political perspective. The slides used for exploring this concept included the " populist congress of workers and farmers" and "the protest march of the campesinos." These images and others stimulated important data used for measuring this concept. Of concern was the measurement of the degree of group denial for the existence of conflicts and the degree that the group recognizes the reality of conflicts and struggles for principles of justice, while attacking the causes as opposed to the symptoms of problems.

The research team reached a consensus easily on this concept, with a score of "5" or, moderately strong Reform Stage. The indicators were extracted from various sections of the video and included: 1) the recognition of the session participants of the need to protest in order to pressure the authorities to grant them their rights; 2) the identification of conflicting interests of social classes; and 3) a recognition of the

importance of confrontation strategies for achieving social reforms. There was no expressed recognition of the need for social transformation or the potential role of confrontation strategies on a more profound level.

The measurement of the group's perception of rules and authority was another concept used to assess the Political Strategy domain. Two slides were used to stimulate discussion, including cartoons of a group of people making a request in the office of an irrate official and of an authoritarian figure subduing a less powerful figure. Based largely on Kohlberg's Theory of Moral Judgment, this concept measured the degree to which the group tends to understand the role of authority and rules. A Conform Stage perspective would indicate obedience to rules and authority out of self-interest, a Reform Stage perspective would indicate recognition of authority as the appropriate forum for detemining moral order (except when authority occasionally errs and must be corrected) and a Transform Stage perspective views political authority as subservient to higher forms of authority derived from freely chosen principles.

The research team scored this concept at "4" (low maturity Reform). One group initially felt that there were inadequate data for measuring this concept, but later changed its score to "4" after viewing the video a second time. There was one dissenter who advocated a much higher score. However, the dissenting opinion was based on a different set of measurement criteria. The final score was arbitrated at "4," noting the dissenting opinion. Some of the indicators identified by team members included: 1) obedience to authority based on fear or lack of knowledge; 2) insecurity when confronted by the authorities of the state; and 3) the association between economic power and authority was noted. Of special note, the group tended to identify and discuss various levels of authority, such as domestic authority (and the related problems of machismo and mistreatment of women in their culture).

The Political Strategy Domain was also assessed by measuring the group's perception of political power, in particular, the group's understanding of the nature of political power and their collective capacity for cultivating and using power. Two slides were used to stimulate reflection and discussion: the "powerbrokers" and "the marching masses".

One group indicated that there were insufficient data for measuring this concept. However, after viewing this section of the video a second time, the group was able to reach a rapid scoring decision. The group consensus for perception of power was "4" or low maturity of the Reform Stage. Researchers concluded that the group had recognized the value of demonstrations and strikes for putting pressure on the Government to reform certain policies. However, the group had failed to articulate the idea that they possessed their own form of latent power and, that through solidarity

with other communities and groups, power could be created and extended for challenging -- even transforming -- the status quo. Thus, the group was clearly reformist in orientation.

Collective Action Domain: Findings

The Collective Action Domain was assessed through the measurement of the group's commitment to social solidarity (4.1), leadership style preferred by the group, (4.2) and their orientation to action (4.3) in the community (as exhibited by the division of labor between leaders and other participants). The consensus score for the Collective Action Domain was "5.5" (moderately mature reformist position).

The commitment to solidarity concept was intended to help identify how the group perceived collective action and solidarity, especially as it pertained to their community. Of interest in this concept was the degree to which the group expressed the need for social solidarity with other communities and social sectors, as well as the need to respond to their community's internal needs. One slide was used to stimulate reflection, entitled the "farmer's solidarity".

The research team reached a compromise score of "4.5" after discussing the relative merits of assigning the group a score of "4" versus a score of "5". Observations of the researchers included that: 1) the group saw the need for coordinated action at the community level; and 2) expressed the desire to see more coordination with their neighboring communities. However, the group never expressed actions to promote solidarity with other communities or social sectors as a community priority.

Leadership style was another concept used for assessing the Collective Action domain. The leadership style concept refers to the group's preferred leadership style. In essence, this concept proposes to measure whether the group prefers Authoritarian, Consultative, or Participative management styles. Two slides were used to stimulate discussions, including: 1) a depiction of several different hierarchical organizational forms and; 2) a depiction of a roundtable discussion group. Some members of the research team felt that the slides stimulated discussion but did not produce the data needed for making this measurement. However, there was substantial participation and discussion about leadership styles.

In any event, the research team reached a consensus, after some reflection, based on session data, as well as other sources of knowledge about the community. Observations of the researchers included that: 1) the group was able to distinguish between different styles of leadership; 2) the group had discovered very democratic forms of carrying out community development; 3) the group expressed a definite preference for participative styles of leadership based on very positive experiences in

the local organization; and 4) the group noted a relationship between leadership style and the effectiveness of the learning environment. The team consensus was "7" (low maturity score in the Transform Stage).

The leader/participant role concept involved the level and quality of community participation as it relates to the respective roles of leaders and participants in the planning and implementation of community activities. Both the expressed opinions and actual group behavior were used by the research members as indicators of this concept. Potential indicators of this concept included: 1) how leaders are perceived and related to by the other participants; 2) the level of subordination to the wishes and opinions of the leaders; and 3) the degree of participant/leader involvement in the activities and critical reflection of the local organization. One slide, "the fishermen pulling in the net together," was used for promoting group discussion. According to several research team members, the slide and the associated questions did not produce the data needed for measuring this concept. Nevertheless, some indicators of this concept had emerged during previous session discussions.

The research team observed that: 1) the group expressed a certain amount of subordination to their leaders (although it was not clear whether this was out of fear and intimidation or from respect); 2) the group had a capacity to critically reflect on and analyze information; 3) the more dominant leaders are typically more involved in planning and implementation activities; and 4) relations between the leaders and other community members are cordial and apparently based on trust. Thus, the research team was able to arrive at a consensus score for the leader/participant roles of "5.5" (moderately mature, Reform Stage).

Interpretation of the Domain Findings

The findings represent the observations and interpretations of a three hour video-taped session by a team of eight researchers. The findings are obviously limited because they are based on a case study of a particular event. Ideally, the findings should be supplemented with additional data sources, such as historical documents, in-depth interviewing, and an ethnography of the community and its local organization. Nevertheless, despite the limitations of this methodology, the findings provide insights about the community leadership in the local organization. These findings are empirically and systematically analyzed observations of the interactions of one evening. However, the findings also potentially reflects more generalizable tendencies and thus, as hypotheses, are extremely relevant for further research in the community.

Figures 6.2 and 6.3 depict, respectively, the concept scores and the domain composite scores. The composite score for the Social Values Domain was based on the average score of concepts: 1.1) communal praxis, 1.2) community dynamics, and 1.3) motivation for community action. The composite score of "7" (see Figure 6.3) suggests that, based on researcher observations, the social values pertinent to community participation are relatively mature. A low score in the Transform Stage was based on: 1) the session participants' expressed commitment to the need for community participation, (concept 1.1) in both the planning and implementation (reflection and action); 2) the apparent interpersonal harmony between the elected leaders and other participants (concept 1.2); and 3) an apparent motivation for participation based on communal needs as opposed to simple motives of self-interest (concept 1.3). Figure 6.2 illustrates the relative maturity of each of the domain concepts.

The maturity of the Social Values Domain (as it relates to the generative theme of community participation) is an encouraging indication of the local organization's capacity for promoting and managing programs of social transformation. Based on the comments of numerous individuals, there seems to be a consensus about the importance of community participation and a genuine commitment to, and pride in, the community's past and future development. However, diverse research on the development of social values is clear on one matter: mature social values do not necessarily translate into mature social behavior. Indeed, the research team observed that, while the commitment to community participation is strong and genuine, its most apparent attribution is at the rhetorical level. In other words, the virtue and ideal of community participation is highly valued in theory but, in actual practice, has serious shortcomings. The decline in community participation, which was noted as a problem by the session participants, was one indicator of the inadequacies of communal praxis. Nevertheless, the research team concluded that community participation, as a social value, deserved a low-level Transform score in each of the three measured concepts -- despite inadequacies in actual practice. Transform Stage social values are indispensable resources for a local organization engaged in the pursuit of social learning and social transformation

The Theory of Reality composite score (Figures 6.2, 6.3) of "7" was based on the average scores of: (2.1) perception of existing community participation; (2.3) perception of the socio-economic situation; and (2.3) the awareness of social responsibility. The Theory of Reality Domain was oriented to the community participation generative theme. It parallels, in some respects, the Social Values analysis. However, the Theory of Reality Domain was intended as a gauge for measuring certain indicators of participant worldview and, thus, extends the analysis

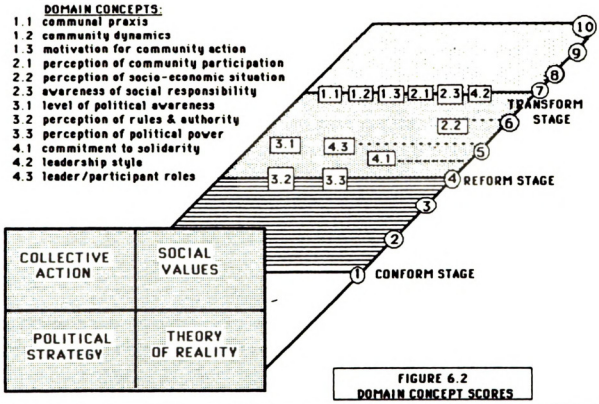


FIGURE 6.2
DOMAIN CONCEPT SCORES

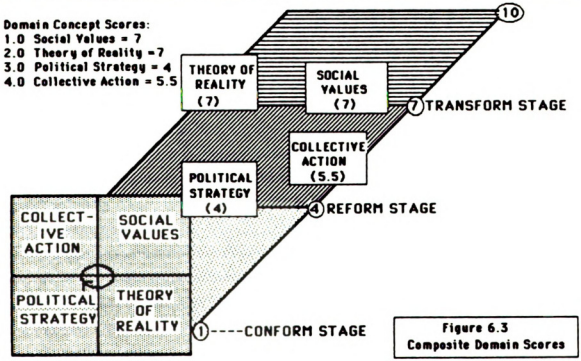


Figure 6.3
Composite Domain Scores

of values to a more holistic, even ideological, level.

The Theory of Reality Domain assessment was based on the group's tendencies to: 1) understand the associations between collective community development efforts and the ability of the community to achieve its aspirations and collective destiny as a community (concept 2.1); 2) the recognition of the systemic causes of many of their social problems, such as the conflicts of interest between different social classes and the unjust distribution of wealth (concept 2.2); and 3) their general recognition of the need to struggle for their rights as citizens but that the predominant responsibility for solving social problems was expressed as resting with the Government (concept 2.3).

Assuming that the findings reliably describe the tendencies of the local organization, one could speculate that the Transform Stage maturity of the Theory of Reality domain would be an important factor in predicting the capacity of the Local Organization to promote and manage programs of social transformation. It is interesting that the Theory of Reality Domain, with prevalent perceptual and symbolic learning dimensions, tends to be much more mature than the behavioral dimensions of both the Political Strategy and Collective Action domains. In other words, the group is apparently very mature at the conceptual and rhetorical level (Transform Stage) but its community development behavior -- its practice -- is reformist in orientation. Despite the apparent maturity gap between the theory and practice of local organization, the Transform Stage maturity of the Theory of Reality (as it relates to community participation) is an important indicator of high capacity for reflection about values and theory pertinent to social transformation. A transformative Theory of Reality is a potential and indispensable impelling force for social learning and subsequent social transformation.

The Political Strategy Domain composite score was based on an average of the domain concept scores of: (3.1) level of political awareness, (3.2) perception of rules and authority, (3.3) perception of political power. The Political Strategy Domain concepts were intended to provide insights into the degree that participation and collective action were understood politically by the group. The assessment of the Politcal Strategy Domain was based on: 1) the group's recognition of the practical value of confrontation strategies for achieving concessions and marginal reforms from the government; 2) the potential for challenging the status quo in profound structural ways was never mentioned (concept 3.1); 3) recognition of the abuses of authority, even within their own community (but obedience to political authorities and other rich and powerful figures advocated based on fear of potential repercussions for trouble-making) [concept 3.2]; and 4) perception that the sole possessors of power

are the political and economic powerbrokers and the failure to recognize the community's latent power which is possible through collective solidarity within and beyond their community (concept 3.3).

The reformist composite score of "4" for Political Strategy is indicative of the discrepancy between the reflection and rhetoric of the group and their behavior. While the Social Values and Theory of Reality are transformative in their scope and penetrating in their focus, the political strategy does not translate the rhetoric -- with its perceptual and symbolic dimensions -- into concrete plans for promoting social transformation. Only modest reforms are considered feasible -- perhaps suggesting superficiality of measurements made for the Social Values and Theory of Reality domains. If we assume that generalizations can be made based on these findings, then it would be apparent that the local organization has an inability to translate feelings and ideas into concrete change strategies that consider and account for the political realities of social life. A local organization with reformist political strategies will be able to implement minor reforms, but not social transformation. A Reform Stage political strategy is more adequate than a Conform strategy (and less adequate than a Transform strategy) for promoting and managing social learning and social transformation. However, a reformist strategy is laden with the danger of fomenting complacency and the treatment of the symptoms, rather than the root causes, of persistent and critical social problems.

The Collective Action Domain consensus score of "3.5," Reform Stage, was reached by averaging the concept scores of: (4.1) commitment to solidarity; (4.2) preferred leadership style; and (4.3) leader/participant roles (see Figures 6.2 and 6.3). The Collective Action Domain concepts were selected in order to explore some of practical and fundamental aspects of collective action and community participation. The Collective Action Domain assessment was based on: 1) a limited perspective of solidarity outside of their own community (such as with other communities and social sectors) [concept 4.1]; 2) the group's mature and clear conception of distinct style of leadership with a preference for consultative and participative forms of leadership over authoritarian forms (concept 4.2); and 3) the tendency to be subservient to leadership rather than to function as equal co-workers with different tasks and functions (concept 4.3).

Similar to the Political Strategy Domain, the reformist composite score of "3.5" is an indication of the gap between theory and practice (action and reflection). While the group is mature is its conception of participative leadership, in practice, there tends to be subservience to the leaders and an abdication of collective community responsibilities to a few delegated leaders. While the injustice suffered by other

communities and social sectors was recognized as systemic, there was no expressed desire to stand in solidarity with others who are being oppressed by "the system". Thus, participation was recognized as important to the future of the community, but it was conceived with very definite parameters and restrictions. In other words, Collective Action was perceived as critical to the development of the community, but never construed as a political strategy to be used in the pursuit of social transformation on a broader, societal level. Collective Action at the Transform Stage requires solidarity with other oppressed groups through networking tactics and the eventual formation of coalitions that have the political "clout" to achieve common ends through common strategy and action. Collective Action at the Reform Stage can be used to achieve modest reforms and to redress certain grievances felt by certain groups. However, it is limited in its ability to promote social transformation.

Learning Style Competencies

The learning style tendencies of the participants of the local organization were observed and assessed based on a two-hour video-tape of a real-life problem-solving exercise. The problem of unemployment was selected for the exercise by session participants from a list of community generative themes. The session revolved around an analysis of unemployment and planning for a income-generating project in the community by the members of the local organization. The methodology of the problem-solving session is explained in Chapter V.

The importance of experientially-oriented social learning, as the driving force for social transformation, is the fundamental tenet of this research. Thus, as described in previous chapters, a local organization's success in achieving social transformation depends on its capacity for Experiential Social Learning. Social tranformation requires maturation in each of the ESL domains: Social Values, Theory of Reality, Political Strategy, and Collective Action. However, the key to a local organization's domain maturation lies in learning style competencies. While certain activities of a local organization tend to rely primarily on the competencies of a particular learning style, holistic maturation requires integrated skill advancements in each of the learning styles. Likewise, the learning dimensions (Affective, Perceptual, Symbolic, and Behavioral) must be increasingly integrated for efficient maturation. And, the integration of learning dimensions is largely a function of the effective and coordinated use of the competencies of each of the learning styles (Diverger, Assimilator, Converger, Accommodator).

On a deeper, more abstract level, social learning reaches transformative potential only when the knowledge produced through each of the world hypotheses (Pepper, 1942; Kolb, 1984) are reconciled and integrated. Forms of knowledge (Divergent, Assimilative, Convergent, and Accommodative), are derivative of the four world hypotheses (Organicism, Mechanism, Formism, and Contextualism), and each contains redeemable elements that have been proven through the crucible of experience. Thus, a mature, developed local organization will pragmatically select from each of the forms of knowledge and integrate related learning skill competencies into routine problem-solving activities. Experiential Social Learning is achieved through social experimentation and produces the potential for evolution to higher levels of maturation. A local organization will increase its capacity for managing programs of social transformation as it effectively engages in Experiential Social Learning.

Analysis and Scoring Procedures

Video taping the problem-solving session was the method used for collecting the data. The video-taped data were then observed and analyzed by eight members of the research team. An observation tool was used by the researchers to record and document their observations of the video-tape (see Appendix A). The documented observations were then analyzed in two small-groups using the analysis instrument (see Appendix B). Each observed learning style variable was scored on a seven-point scale, with higher numbers indicative of more mature competency scores. The procedures followed for the analysis included: 1) reaching a small-group consensus about the score for each learning style variable; 2) recording the indicators used by the small-group for making its score assessment; 3) reaching a research team consensus in plenaria sessions for each of the learning style variables; and 4) assembling the data to depict the learning style profile of the group.

Learning Style Competency Scores

Table 6.2 depicts the research team scores for the learning style competencies. The scores of each of the small groups, as well as the team consensus scores, are presented. Seventeen total variables were used to assess the four learning styles. Some variables were measured based on several indicators, others just on one. The analysis instrument for the learning styles provides a complete picture of the variables and indicators that were measured. Originally, twenty variables (five for each style) were to be measured [in accordance with one the Smith and Kolb, (1984: 69) "learning style inventory" instruments]. However, several of the variables (and a

Table 6.2
Learning Style Competency Scores

Variables & Indicators	Group 1	Group 2	Consensus
Diverger Style			
1.0 Sensitivity to people's feelings (spg)	-	-	3.0*
1.1 Freedom in expressing feelings	4	2	3
2.0 Being sensitive to values (sv)	-	-	5.5*
2.1 Mutual respect & spirit of camaraderie	5	5	5
2.2 Diversity of values recognized & accepted	6	6	6
3.0 Listening with an open mind (lom)	-	-	4*
3.1 Interest in others' opinions	4	5	4
4.0 Gathering information (gi)	-	-	4.6*
4.1 Asking questions	3	6	4
4.2 Recording information	6	5	6
4.3 Integrations of contributions from group	4	4	4
5.0 Imagining implications of ambiguous situations (ii)	-	-	5*
5.1 Participation, in giving opinions & suggestions	4	6	5
5.2 Problem & opportunity recognition	6	3	5
Assimilator Style			
1.0 Building conceptual models (bcm)	6	4	4.5*
2.0 Testing theories and ideas (tt)	4	5	4*
3.0 Analyzing quantitative data (aqd)	1	1	1*
Converger Style			
1.0 Experimenting with new ideas (eni)	-	-	4.5*
1.1 Application & testing new ideas with social experimentation	6	4	5
1.2 Willingness to accept errors as part of the learning process	5	3	4
2.0 Choosing the best solution (cbs)	5	3	3†*
3.0 Setting goals (sg)	5	4	5*
4.0 Making decisions (md)	6	5	5*
Accommodator Style			
1.0 Commitment to objectives (co)	6	4	4*
2.0 Seeking/exploiting opportunities (seo)	-	-	4.5*
2.1 Search for & identification of opportunities	5	4	5
2.2 Exploitation of opportunities	5	3	4
3.0 Influencing & leading others (ilo)	4	5	4*
4.0 Being personally involved (bpi)	5	4	4*
5.0 Dealing with people (dp)	5	6	5*

* Variable score calculated as average of consensus scores for variable indicators
† Team consensus score reached through arbitration

number of indicators) could not be measured based on the kind of data collected. For example, it was difficult to measure the Assimilator competencies of 1) building conceptual models (bcm) and 2) testing theories and ideas (tt) [see Appendix B] due to the nature of the two-hour exercise. Therefore, some of the variables/indicators that appear in the analysis instrument (Appendix B) do not appear in Table 6.2.

Diverger Style Competencies

A local organization with high Divergent competencies is particularly adept at identifying an array of problems and opportunities that relate to the problem-solving process. The local organization members that participated in this problem-solving session, demonstrated considerable skill in identifying problems and opportunities related to the problem of unemployment and the search for income-generating options. The Diverger Style composite score (the average of the measured variables) for this problem-solving session is "4.4" on seven-point scale, with "7" representing the highest competency level. The composite score included measurements of five variables: 1) sensitivity to people's feelings -- score of "3.0"; 2) being sensitive to feelings -- score of "5.5"; 3) listening with an open mind -- score of "4.0"; 4) gathering information -- score of "4.6"; 5) imagining implications of ambiguous situations -- score of "5.0". The local organization members demonstrated considerable imagination, interpersonal sensitivity, problem recognition and brainstorming skills. Researcher observations included that: 1) the group laughed and joked frequently, but some did not express their feelings; all but two persons were well-integrated and recognized in the group; 2) mutual respect was shown despite diverse values within the group (although there was some friction intially); 3) the leaders asked numerous questions, seeking opinions and information from others (many others in the group were passive, asking few questions and making no comments); 4) many members took notes individually and one person was selected to document the process, and the leader of the session wrote down some summaries; 5) most of the members participated following encouragement from the leader, giving opinions, but few constructive suggestions (most seemed to listen with interest to expressed opinions but failed to follow-up with additional ideas); and 6) the reflections about the problem were superficial.

Fourteen persons from the local organization participated in the two-hour problem-solving session. Some of this participation was documented through counting and tabulation. Approximately ten comments were made by the participants, indicating their interest in the opinions of others. Questions were asked by group members twelve times. The leaders asked for the opinions of others twelve times. Of

the fourteen participants in the problem-solving exercise, five persons tended to dominate the discussions (with between ten and thirty contributions); three persons contributed between five and nine times; four persons between one and four times; and two did not participate with their comments or questions at all.

Assimilator Style Competencies

High Assimilator Style competencies are essential to the effective problem-solving capacity of local organizations. Assimilator competencies are necessary for the development of abstract conceptual models and theories, defining and analyzing problems, and selecting solutions from various alternatives. Of the four learning styles, the research team believed that the Assimilator Style was the least developed by the local organization members during the session. The composite score for the Assimilator Style, "3.1," is indicative of relatively low competency in the related skills. Persistent weakness in the Assimilator skill results in failure to systematically and appropriately analyze problems and their solutions.

The composite score for the Assimilator Style was based on the average of three variables: 1) building conceptual models -- score of "4.5;" 2) testing theories and ideas -- score of "4.0;" and 3) analyzing quantitative data -- score of "1.0." The other style variables (organizing information and designing experiments) could not be measured due to the nature of the process and time limitations. Some of the observations of the research team members included: 1) the conceptualization of the unemployment problem was limited but some concrete examples of the problem illustrated an understanding of root causes; 2) some analytical skills were shown by members of the group, identifying advantages and disadvantages of the alternatives under discussion; 3) however, the group did not synthesize their analyses into a broader explanation of the problem; and 4) only one reference to quantitative data was made during the session.

Converger Style Competencies

Converger competency is critical to effective problem-solving, especially the important functions of identifying and analyzing alternative solutions. High Converger competency is also fundamental to focused decision-making processes that systematically test the logical and practical soundness of proposed solutions. The composite converger score of "4.4" was based on the average scores of four variables: 1) experimenting with new ideas -- score of "4.5;" 2) choosing the best solution -- score of "3.0;" 3) setting goals -- score of "5.0;" 4) making decisions -- score of "5.0." The "creating new ways of thinking and doing" variable could not be measured

because the exercise did not produce pertinent data.

The composite score of "4.4" indicates that during the problem-solving session, the group exercised the Converger Style competencies with moderate effectiveness. The research team members observed: 1) a willingness by the group to experiment with various alternative income-generating strategies; 2) the problem/solution discussion did not include cost-benefit considerations; 3) various levels of objectives were discussed; 4) a general decision was made consensually by the group about objectives for the effort; 5) past errors were recognized as learning resources; and 6) some relatively clear goals were established, but they tended to be superficial and unmeasurable (although this problem was attributed primarily to the time factor).

Accommodator Style Competencies

Accommodator competency is manifested by groups that effectively implement solutions to problems. The effective Accommodator group excels in leadership skills necessary for executing solutions and willingness to take risks. The composite score for the Accommodator style competency is "4.3" and was based on the average scores of five measured variables: 1) commitment to objectives -- score of "4.0;" 2) seeking/exploiting opportunities -- score of "4.5;" 3) influencing and leading others --score of "5.0;" 4) being personally involved -- score of "4.0;" and 5) dealing with people -- score of "5.0." The Accommodator competency of the group during the problem-solving experience was considered relatively high by the research team, especially considering the limited time the group had to reach consensus decisions about objectives and implementation planning. While the actual implementation skills could not be measured in this type of exercise, some of the variables did reveal certain tendencies relevant to actual local organization behavior in the implementation of community development activities.

Some of the research team observations included: 1) that not all of the participants appeared to be committed to the discussed objectives for the income-generating project; 2) a conscious effort was made to discuss various financial/productive/marketing opportunities that might be exploited by the community, although with the time limitations these were ideas which were not sufficiently discussed or developed; 3) that no clear group consensus emerged about the nature of the project inspite of the leader's attempts to influence the group (only a few members participated extensively); 4) at the initiation of the session, there was very little group harmony but later the group was working effectively together; 5) some activities were planned despite the time factor; and 6) and there was an apparent

willingness, even desire, to participate in planned activities expressed.

Interpretations of the Learning Style Findings

Figure 6.4 depicts the learning style profile of the local organization during the problem-solving session. The shaded area represents the maturation scores for each of the seventeen style variables. While the findings cannot be empirically generalized beyond the problem-solving session, they can be stated as hypotheses for further research. If we assume that the learning style scores of the problem-solving event are indicators of the local organization's actual learning style tendencies, then a number of important insights can be extracted from the data.

The local organization tends to be highly competent in a number of learning style skills. The variables with the highest scores were divided between the learning styles. For example, the "sensitivity to values" (sv: score of 5.5) and "imagining implications..." (ii: score of 5.0) represented the highest scoring variables of the diverger style. In the Converger Style, the variables with the highest scores included "setting goals" (sg: score of 5.0) and "making decisions" (md: score of 5.0). In the Accommodator Style one variable, dealing with people (dp: score of 5.0), was also rated higher than the rest. Variables with lower scores included sensitivity to people's feelings (spf: score of 3.0), "analyzing quantitative data" (aqd: score of 1.0), and "choosing the best solution" (cbs: score of 3.0). The other variables were scored between 4.0 and 5.0. Since composite scores were calculated by taking a simple average of the style variables, an extremely low or high variable score tended to skew the style score disproportionately. This should be considered when interpreting the composite scores.

Without question, some scores were influenced by the nature of the problem-solving session and the subjective interpretations of the researchers. However, despite the methodological limitations, the learning style scores were accepted as reasonably valid and reliable measurements of the problem-solving event and as solid hypotheses for guiding future research in the community. Figure 6.6 tabulates the findings in a bar graph format, allowing a comparison of variable scores and the style composite scores. As illustrated in Figures 6.6 and 6.7, high competency scores are considered between "6.0" - "7.0"; low scores between "1.0" - "2.9"; and moderate scores ranged from a low of "3.0" to a high of "5.9" (for key to abbreviated variables refer to Figure 6.8). Thus, the group tended to be assessed with moderate competency ratings.

Two factors are important to consider when interpreting the learning style competency scores. First, the numerical scores of the individual variables and the

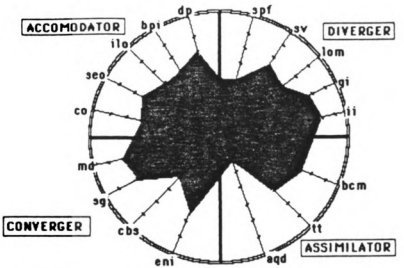
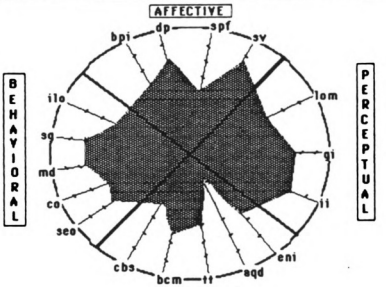


Figure 6.4 Profile of Learning Style Competencies



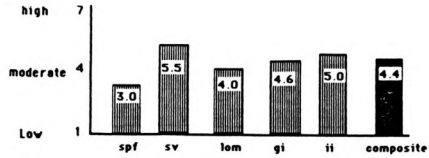
spf = sensitivity to people's feelings (3.0)
sv = sensitivity to values (5.5)
lom = listening with an open mind (4.0)
gi = gathering information (4.6)
ii = imaging implicationsof ambiguous situation (5.0)

bcm = building conceptual models (4.5)
tt = testing theories and ideas (4.0)
aqd = analyzing quantitative data (4.0)

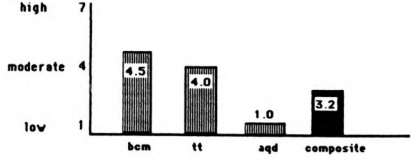
eni = experimenting with new ideas (4.5)
cbs = choosing best solution (3.0)
sg = setting goals (5.0)
md = making decisions (5.0)

co = commitment to objectives (4.0)
seo = seeking/exploiting opportunities (4.5)
ilo = influencing & leading others (4.0)
bpi = being personally involved (4.0)
dp = dealing with people (5.0)

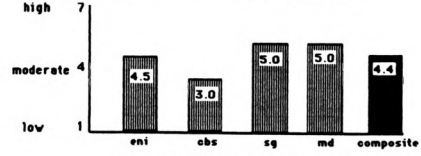
Figure 6.5
Learning Dimensions & Style Competencies



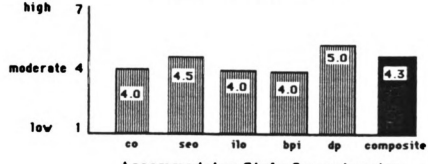
Diverger Style Competencies



Assimilator Style Competencies

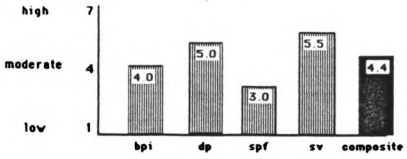


Converger Style Competencies

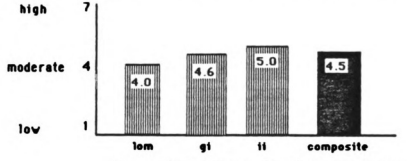


Accommodator Style Competencies

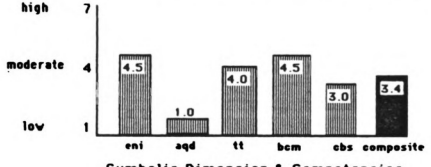
Figure 6.6
Learning Competency Scores



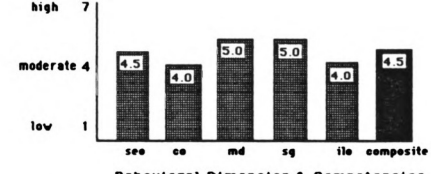
Affective Dimension & Competencies



Perceptual Dimension & Competencies



Symbolic Dimension & Competencies



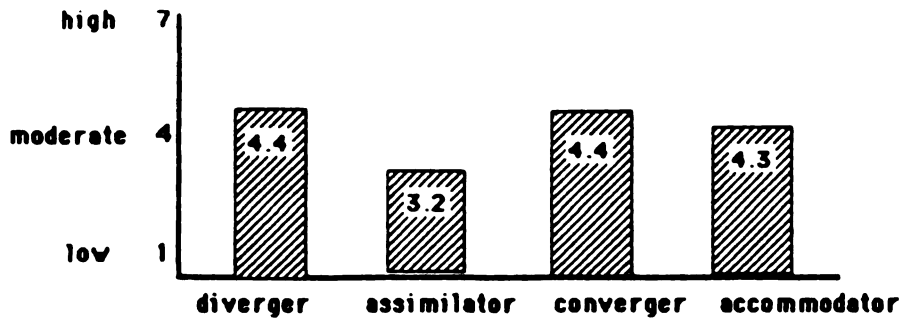
Behavioral Dimension & Competencies

Figure 6.7
Learning Dimensions & Competency Scores

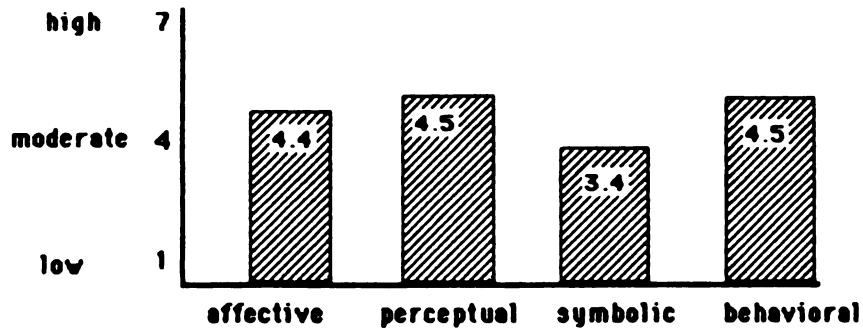
learning style composite scores are important indicators of the skills within the local organization. In short, high competency scores are indicative of greater capacity for social learning and, hence, social transformation. However, of even greater importance, is the degree of integration between the learning dimensions and learning styles. Effective promotion of social transformation by local organizations requires competency in each of the learning styles and dimensions, but also requires effective praxis. In other words, a local organization must link action (learning by doing) with reflection (learning by watching and listening), and concrete experiences (learning from feelings and intuition) with abstract conceptualiztions (learning by rationally thinking with symbolic abstractions). This linking occurs through the dialectics of transactive praxis, i.e., transformative learning. Stated in yet another way, the Affective, Perceptual, Symbolic, and Behavioral learning dimensions must be integrated and reconciled through constant transactive exchanges -- each informing and improving upon the other, as part of an iterative learning cycle. In this way, competency levels in each of the styles mature and the capacity for effectively managing social transformation is increasingly heightened.

One indicator of the degree of integration is found by comparing the relative competency scores between the styles and related learning dimensions. Figure 6.5 depicts the competency profile for the Affective, Perceptual, Symbolic, and Behavioral learning dimensions. Figure 6.7 provides a further analysis of the learning dimension competencies using bar graphs that depict the scores for each dimension variable, as well as dimension composite scores. Figure 6.8 presents the composite scores for the learning styles and the learning dimensions using bar graphs.

The composite scores indicate moderate-level competencies for each of the learning styles and dimensions. In addition, they appear to be well balanced and integrated. For instance, the Diverger and Converger composite scores are equivalent at 4.4, with the Accommodator score trailing slightly at "4.3," and the Assimilator style the lowest competency at "3.2". This might indicate that the local organization has achieved an important equilibrium between its learning abilities (with the exception that certain skill deficiencies exist in the Assimilator style and require attention). Likewise, the composite scores of the learning dimensions are also close to parity, with the Perceptual and Behavioral dimensions at "4.5", the Affective dimension at "4.4", and a trailing Symbolic dimension at "3.4" (see Figure 6.8). These scores possibly indicate that the local organization has developed the ability to integrate reflections (Perceptual Dimension) with actions (Behavioral dimension). On the other hand, the dialectic between concrete experiences (Affective dimension) and abstract conceptualization (Symbolic dimension) is producing ineffective social learning and



Learning Style Competencies: Composite Scores



Learning Competencies & Dimensions: Composite Scores

Learning Dimensions KEY **Learning Styles**

Affective:
bpi = being personally involved
dp = dealing with people
spf = sensitivity to people's feelings
sv = sensitivity to values

Perceptual:
lom = listening with an open mind
gi = gathering information
ii = imagining implications

Symbolic:
eni = experimenting with new ideas
eqd = analyzing quantitative data
tt = testing theories and ideas
bcm = building conceptual models
cbs = choosing the best solution

Behavioral:
seo = seeking & exploiting opportunities
co = commitment to objectives
md = making decisions
sg = setting goals
ilo = influencing & leading others

Diverger:
spf = sensitivity to people's feelings
sv = sensitivity to values
lom = listening w/open mind
gi = gathering information
ii = imagining implications

Assimilator:
bcm = building conceptual models
tt = testing theories and ideas
eqd = analyzing quantitative data

Converger:
eni = experimenting with new ideas
cbs = choosing best solution
sg = setting goals
md = making decisions

Accommodator:
co = commitment to objectives
seo = seeking & exploiting opport.
ilo = influencing & leading others
bpi = being personally involved
dp = dealing with people

Figure 6.8
Styles & Dimensions Composite Scores

praxis due to inadequate competencies in the Symbolic Dimension. Thus, the score differential indicates that the Symbolic Dimension may not be well integrated with the experiential-affective dimension.

Figures 6.9 and 6.10 analyze the learning style data by comparing them with the Learning Style Inventory (Kolb, 1981) test results of 1,446 persons who have taken the self-assessment instrument for determining individual learning style tendencies and preferences. Respondents to the Learning Style Inventory (LSI) were adults ranging from 18 to 60 years of age, with diverse ethnic backgrounds, from various career areas, typically with some college education, with slightly more woman than men. The methods used for obtaining the scores for the LSI and those used for the purposes of this case study are very different. The learning style competency scores obtained through this study were based on observing and measuring seventeen style variables as a group of people engaged in a real-life problem solving session. In contrast, the LSI is a self-assessment tool designed to help individuals identify their own learning style tendencies and preferences. In this case study, data about learning style competencies was based on empirical observations and ordinal scale measurements of actual behavior. In contrast to the LSI, the unit of analysis for the case study was the group. Because learning style competencies are assumed to be critical to social learning and social transformation, and because social learning is the consequence of human interaction in groups, this study focuses on the group's tendencies.

Nevertheless, comparing the learning style norms from the LSI data, provides some perspective to this study. The scores obtained using the seven-point ordinal scale of this study were calculated using the LSI scales and are compared to LSI respondent norms in Figure 6.9. The numbers in Figure 6.9 represent the raw scores as calculated for the LSI comparison. The shaded, kite-like shape indicates the profile of the local organization's learning style tendencies as compared to the norms of the LSI respondent group. Using this data as a point of reference, the local organizations's competencies appear to be strongest in the Diverger Style. The relative strengths of Concrete Experience, Reflective Observation, Abstract Conceptualization, and Active Experimentation, as compared to the norm group, are apparent. The relatively high score for Concrete Experience indicates the group's preference for relying on feelings for solving-problems rather than rational, systematic approaches. The high score also might indicates the group's open-mindedness and adaptability to change. Practical advantages to high CE competency include a keen ability to learn from specific experiences, good interpersonal relations, and sensitivity to feelings and values (Kolb, 1981: 5).

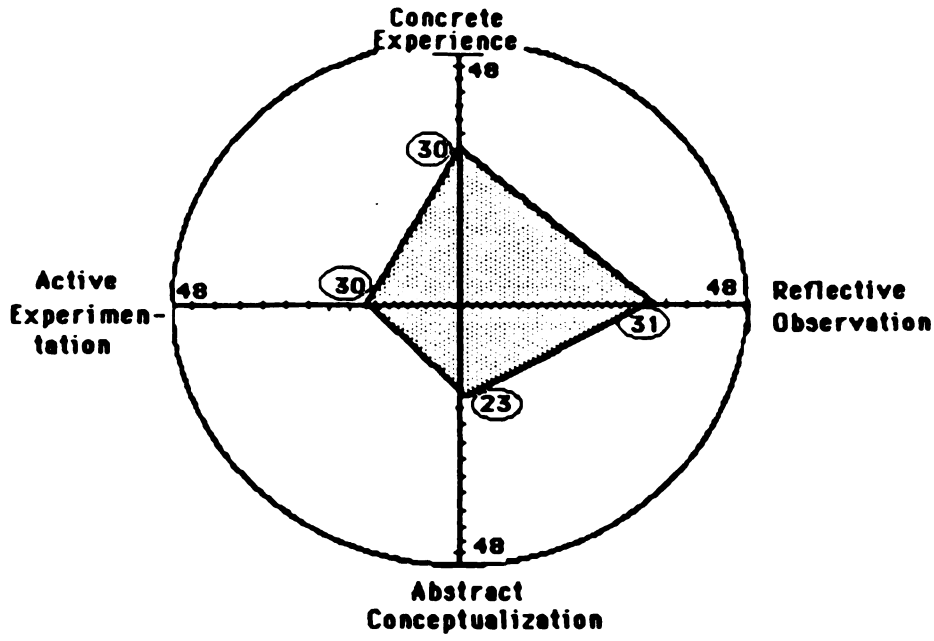


Figure 6.9
Group Scores Relative to LSI Norms

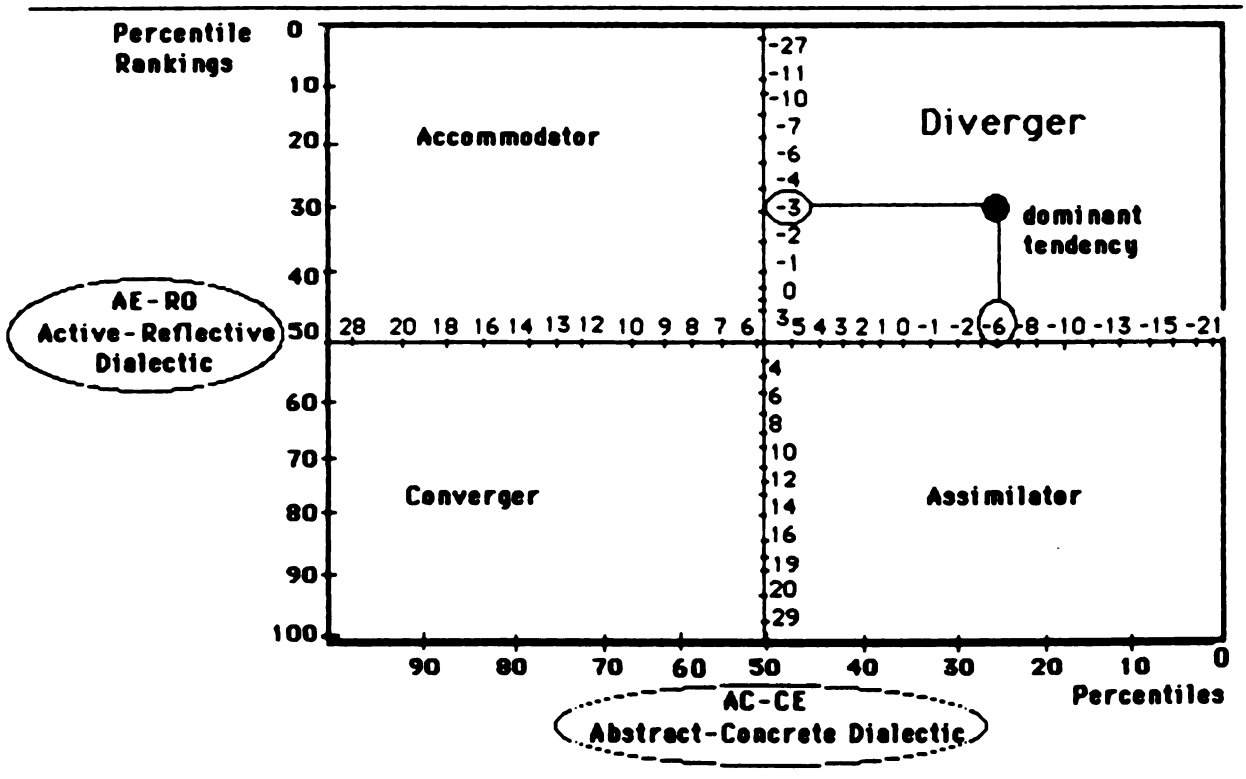


Figure 6.10
Dominant Learning Style Tendency

Figure 6.10 extends this comparative analysis by calculating scores for the Action-Reflection dialectic (AE-RO, depicted horizontally) and the Concrete-Abstract dialectic (AC-CE, depicted vertically). Percentile rankings for both axes compare LSI respondent tendencies with the group tendency in the problem-solving session. Figure 6.10 demonstrates that the Diverger Style is the dominant tendency of the group, and relatively high in divergent skills. Approximately 30% of the LSI respondents scored the same as the local organization or higher for the AC-CE dialectic. The local organization scored relatively high in concrete skills and low in abstract skills. Figure 6.10 also indicates that approximately 25% of the LSI respondents scored the same or higher than the local organization on the AE-RO dialectic, or a relatively high score in reflective as opposed to active skills. The Divergent group tends to view concrete situations from diverse perspectives, to brainstorm and gather information effectively, and to develop solid, trusting interpersonal relationships.

In conclusion, based on these analyses, the learning style competency measurements indicate that the local organization has achieved relatively high integration of learning styles and dimensions with predominant tendencies in the Diverger Style. However, the local organization requires further development in competency levels and style integration, (particularly in the Assimilator Style and Symbolic Learning Dimension), in order to create greater potential for social learning and transformation.

Organizational Factors

Organizational factors, societal factors, and task factors represent some of the primary forces impeding or impelling social learning and social transformation. Organizational factors have direct relevance to the study's focus on management for social transformation and, were thus included as an important element in the data collection strategy. Originally, the organizational factors were to be measured based on a group-focused interview of a past community development effort. A data collection session was conducted focusing on the construction of the community center and relating to the generative theme of community participation. The session involved a participative exercise in which local organization members described the experiences related to the construction of the community center. Working in two small groups, session participants described leadership roles, decision-making, community participation, management, and the role and influence of Vision Mundial related to the construction of the community center effort. However, the data collected during this session were inadequate for measuring the organizational factors with the analysis

instrument. The time limitation prevented the probing necessary for assessing the organizational factors based on a past community experience. Instead, the data collected during this session are presented as corroboration and supplemetary documentation for the measurement of the organizational factors.

The research team determined that the video taped problem-solving session provided a more appropriate forum for measuring the organizational factors (using the ordinal scales of the analysis instrument). Thus, the problem-solving session provided the data source for analyzing the local organization learning styles as well as the organizational factors. The analysis of the organizational factors is based on the research team observations of the actual behavior of the group during the problem-solving event. The data collected during the description of the past experience (the construction of the community center) was used as supplementary data to complement the other assessment, but was not used to justify factor scoring.

Because the problem-solving session was arranged by the research team and did not follow the structural and procedural patterns normally followed by the local organization, the data are recognized as an indicator of possible patterns and do not represent a definitive assessment of the organizational factors. In short, the assessment is based on the observations of a single event and cannot be generalized except through the postulation of hypotheses and propositions for guiding further research. Nevertheless, the group of session participants (the research subjects) included the principle leaders of the community organization and, thus, observations of their behavior, even in a non-typical problem-solving session, are potentially important indicators of local organization tendencies as related to the organizational factors.

Six organizational factors were analyzed based on group behavior during the problem-solving event. These included leadership style, motivational forces, communication process, decision-making process, goal-setting process, control and evaluation functions. Each of these factors is significantly broad to warrant an in depth longitudinal research effort, such as an ethnography. However, despite the methodological limitations of this study, the observed behavior during the problem solving session provides important insights about the local organization's tendencies in each of these factors. The findings from these observations were corroborated by the participant descriptions of the factors associated with the construction of the community center as well as by the observations of those Vision Mundial community development workers who have collectively spent several years of concentrated community development efforts in the community, and voluminous project documentation. Unfortunately, the precise role and influence of Vision Mundial (one

of several donor agencies supporting the local organization) on the organizational factors, could not be determined reliably based on these data sources. However, some inferences were possible.

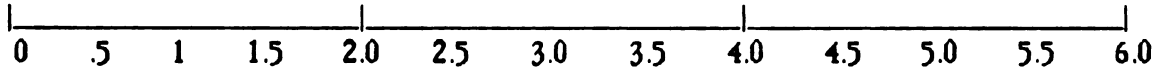
Analysis Procedures

The procedures used for assessing the organizational factors were similar to those used for other elements of the data base, with the exception that the three member facilitator group (as opposed to the eight member research team) conducted the analysis. The facilitator group conducted the analysis of the organizational factors without the assistance of other team members due to competing demands on team member time. First, the videotape was observed by the researchers and observations were systematically recorded using an observation tool and, then organized by factors (Appendix A). Second, the researchers individually analyzed their observations using the analysis instrument for organizational factors (Appendix B). Third, the researchers met to compare and discuss their assessments and to reach a consensus. Fourth, the indicators used for justifying the consensus scores were recorded separately. Fifth, the video was reviewed a second time to confirm or disconfirm initial observations and to clarify areas of ambiguity, when possible. Sixth, final adjustments in the consensus scores were made. The author, as lead member of the facilitator group, arbitrated when divergent scores could not be reconciled. Seventh, the scores were discussed with the eight member research team to determine whether the facilitator observations were in sharp disagreement with the observations of other team members or not. Eighth, the scores were compared with the supplementary data sources for possible corroboration.

Scoring Procedures. The analysis instrument for the organizational factors resembles the instrument used for measuring the domain tendencies. First, the researcher compared recorded observations with the three possible descriptions for the factor variables. Second, the researcher selected descriptor options A, B, or C which correspond to the Authoritative, Consultative, and the Participative management systems. Third, the selected variable was scored as in the example depicted in Figure 6.11.

Example from Organizational Factor Analysis Instrument:

1.2 What style of leadership was used most frequently during this experience?



A. Condescending; the ideas & opinions of others are not encouraged; other participants do not feel free to discuss problems.

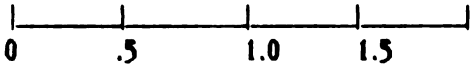
B. Some supportive behavior; ideas & opinions are at times encouraged; increasing freedom to discuss problems.

C. Supportive behavior displayed fully by the leader(s). Opinions of others always encouraged; full freedom to openly discuss problems.

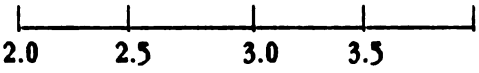
Why did you select this leadership style? Please provide some concrete examples.

Key to Scale:

A. Authoritative Style — High Authoritarian Low Maturity ... Low Authoritarian Higher maturity



B. Consultative Style — Low Consultative Low Maturity ... High Consultative Higher maturity



C. Participative Style — Low Participative Low maturity ... High Participative Higher maturity

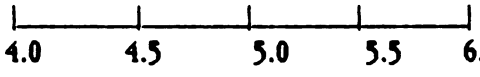
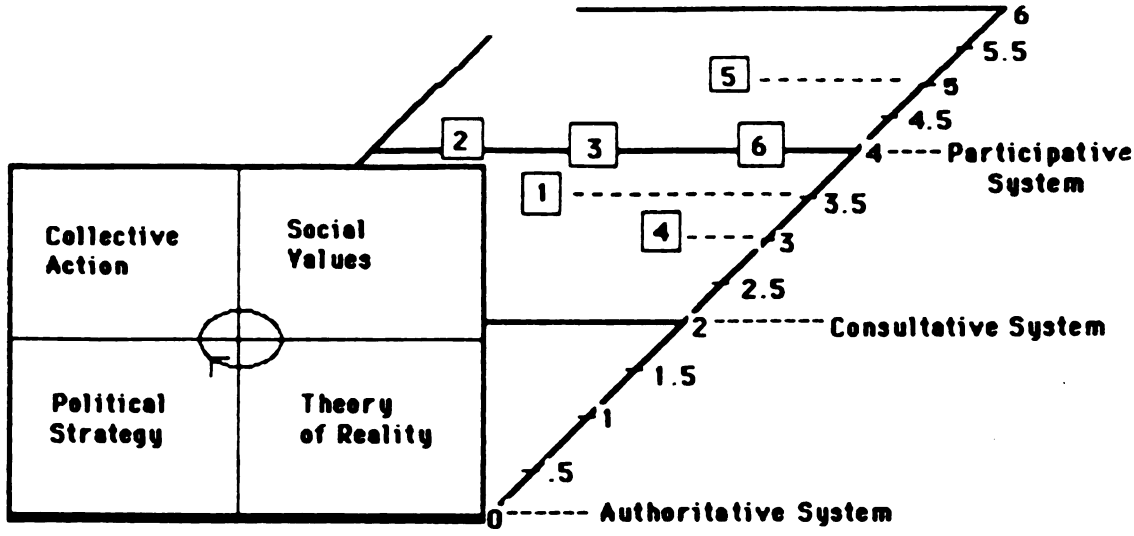


Figure 6.11
Example of Factor Variable Scale Measurement

The Organizational Factor Findings

Figure 6.12 provides a profile of the organization factor findings and Table 6.3 lists the factor variable scores, as well as the composite scores, for each of the six organizational factors. Figure 6.13 extends the analysis further by displaying bar graphs of each of the factor composite scores and an average score for the organizational factors.

The leadership style factor was measured based on observations of two variables: 1.1) exhibited level of trust between the leaders and other participants (score of 3.5); and 2.1) the most frequent style of leadership (score of 3.5). The level of trust variable was difficult to assess but the researchers observed that, most of the time, the interpersonal environment seemed cheerful and sincere.



Key:

1 = Leadership Style
2 = Motivational Forces
3 = Communication Process
4 = Decision-Making Process
5 = Goal-Setting Process
6 = Control & Evaluation

Figure 6.12
Profile of Organizational Factors

Table 6.3
Organizational Factor Scores

Factors/Variables	Scores
1.0 LEADERSHIP	
1.1 Level of trust between leaders & other participants	3.5
1.2 Most frequent style of leadership	3.5
Leadership style composite score	3.5
2.0 MOTIVATIONAL FORCES	
2.1 Types of participant needs discussed	4.0
2.2 How needs were addressed	4.5
2.3 level of responsibility for goals felt by participants	3.5
2.4 Attitudes expressed by participants	4.0
Motivational Forces Composite Score	4.0
3.0 COMMUNICATION PROCESS	
3.1 Direction of information flow	4.0
3.2 Leadership sensitivity (not measured)	--
Communication Process Composite Score	4.0
4.0 DECISION-MAKING PROCESS	
4.1 Level of participation in decisions	4.5
4.2 Adequacy & reliability of information used for decisions	1.5
Decision-Making Process Composite Score	3.0
5.0 GOAL-SETTING PROCESS	
5.1 Method of setting-goals (& objectives)	5.0
5.2 Level of goal (objectives) acceptance by participants	5.0
Goal-setting Process Composite Score	5.0
6.0 CONTROL & EVALUATION	
6.1 Levels of the organization interested these functions	4.0
Control & Evaluation Composite Score	4.0

However, on several occasions the principle leader seemed to intimidate some of the participants. The leader of the problem-solving session made a notable effort to involve the others in the process, soliciting their participation on numerous occasions. However, the leader tended to treat the problem-solving experience as an academic exercise. In contrast, the majority of the participants perceived the session as a genuine opportunity to address a problem of concern to the community. The leader's behavior indicated a lack of sensitivity to the expectations of the other participants and the leadership style was consequently assessed in the consultative management system with a composite score of "3.5".

The motivational forces factor was assessed based on the measurements of four variables including: 2.1) types of participants needs discussed (score of 4.0); 2.2) how participant needs were addressed (score of 4.5); 2.3) level of goal responsibility felt by the participants (score of 3.5); 2.4) attitudes expressed by the participants (score of 4.0). The composite score for motivational forces was "4.0" or, low maturity, Participatory System.

Economic concerns dominated the discussions about community needs, particularly those that related to the problem of unemployment and the community operated income-generating ventures as a potential solution. The possibility that some might be motivated to participate in the income-generating venture out of self-interest, as opposed to the collective interests of the community, was discussed seriously. In the course of the discussions, participants also expressed a profound desire for learning in order to increase their qualifications for entering into productive ventures. A variety of motivational forces --including economic and ego-oriented -- were directly or indirectly displayed by the group. The leaders responded to participant motivations by encouraging further reflection about various needs.

Based on the reflections, a consensus about the need for a production/marketing venture was reached (there seemed to be a common perception of the potential benefits to the community). Responsibility for responding to the problem was apparently felt by a sizable proportion of the group. Indeed, some within the group are active members in existing commissions that are exploring related matters. There also seemed to be a high state of cooperation and cameraderie between the leaders and participants. High levels of trust and mutual respect were apparent based on the supportive gestures and comments made by the participants. In short, the group appeared to be motivated, based on a genuine desire to work collectively for a better future in the community.

The communication process factor was assessed based on the direction of information flow (4.0 score for variable 3.1). Other communication process variables could not be measured and, thus, the factor composite score of "4.0," (low maturity participatory system) was based only on variable "3.1". The researchers observed a high level of information flowing in all directions, with most communication initiated by the leaders; many expressed their opinions in relationship to the goals of the session.

The decision-making factor was assessed based on: 4.1) level of participation in the decision-making (score of 4.5); and 4.2) the adequacy and reliability of the information used for the decisions (score of 1.5). The composite score for the decision-making factor was 3.0 or moderate maturity, Consultative System. The researchers observed that the level of participation in the decision-making was relatively high, but that the consensus-reaching process could have been coordinated much better. While the nature of the problem-solving process (such as time limitations and no opportunity for pre-session preparations) influenced the quality of information used for making decisions, the researchers felt that many decisions were made without recognizing the need for additional research, especially the need for professional marketing analyses.

The goal-setting process was another factor observed by the researchers. Goal-setting (and, more generally, the determination of broad objectives) was assessed based on the (5.1) method used by the goal for setting goals (score of 5.0) and the level of goal (and objective) acceptance by the session participants (score of 5.0). The composite score for the goal-setting process was a high "5.0" or moderate maturity Participatory Management System. The researchers observed that the objectives (which tended to be general due to the time factor) were established with the help of most of the session participants and appeared to have the group's unanimous support. No specific, measurable goals were established, given the time constraints.

The control and evaluation factor related to the degree of interest expressed within the group about the importance of the evaluation and control functions variable 6.1 -- score of 4.0). Many of the participants commented about the importance of control -- and some also alluded to the importance of evaluation, as a distinct, but critical, function. The group decided that the most appropriate way to implement control and evaluation would be through the "social promotion commission" of the local organization -- many of the commission's leaders were present during the problem-solving session). The score of "4.0," or low maturity, Participatory Management System was based on the researchers' perception of high interest in these functions (and a willingness to contribute to their implementation) within all levels.

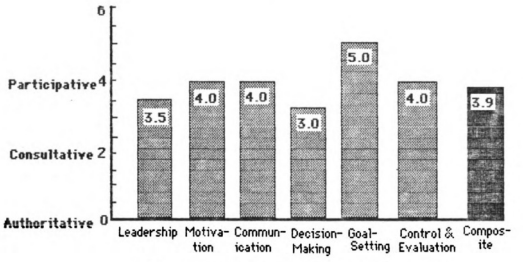


Figure 6.13
Organizational Factors Composite Score

Supplementary Data

Corroborating data were collected during the exericise referred to as the group-focused interview. This data collection session involved small group exercises in which responses were sought on several broad questions pertaining to the organizational factors. The questions related to the collective memory of the participants about the construction of the community center. The collected data were not considered adequate for using the organizational factors analysis instrument but were important as supplemental data to compare with the group's behavior during the problem-solving session. The group's descriptions of the construction of the community center corroborated the observations of the problem-solving session. Due to methodological design problems, the data about organizational factors in this session tended to describe the local organization's structure and normal operating procedures, and provided few concrete details about the events surrounding the construction of the community center. Nevertheless, the descriptions of local organization procedures and structure confirmed the research team's observations that the local organization follows a participative management system.

In responding to questions about the role of the leaders in the construction of the local organization (as well as the decision-making process that followed) the participants explained that the leaders of the local organization (the junta directiva -- the executive group) were elected by the general assembly (composed of all adult members of the community). In general terms, they explained that the role of these leaders is to represent the community's interests with various officials, to promote participation for community development activities, and to provide effective and well-coordinated management of those activities.

Coprode, a six member group of elected representatives from each "manzana" (or small block) in the community, considers community development proposals made by the junta, the project committee or one of the various commisions (such as the health commission or, as in this case, the community center construction commission). Approved proposals are then submitted to the general assembly for final approval (a lengthy, but highly democratic procedure). In addition, a distinct committee, elected by the community and under the delegated authority of the junta, administers the programs funded by Vision Mundial.

These procedures were followed for the construction of the community center. The leaders of the junta and the project committee were involved in motivating community participation, and the actual management of the project was provided by the Construction Commission with control and oversight provided by Coprode. The construction activities were implemented by the organized participation of community members with technical assistance -- arranged for by the Commission.

Participative management of the local organization is facilitated through the community's organizational structure (much of which is mandated by national law). The role of the leaders, local organization structure, decision-making process, organization of community participation, and control of the construction activities were all indicative of participative approach to management for the construction of the community center and, thus, provide more credence to the observations made of local organization behavior during the problem-solving event. Of note, the community center was never completed, the reasons for which were never adequately explored by the research team. However, apparently one of the primary reasons involved the cut-off in funding by one of the primary donor agencies, Vision Mundial. A determination was made by Vision Mundial management that project resources could be used in more appropriate and cost-effective activities. This decision was based, in part, on evaluation and audit reports that identified several problems with the program.

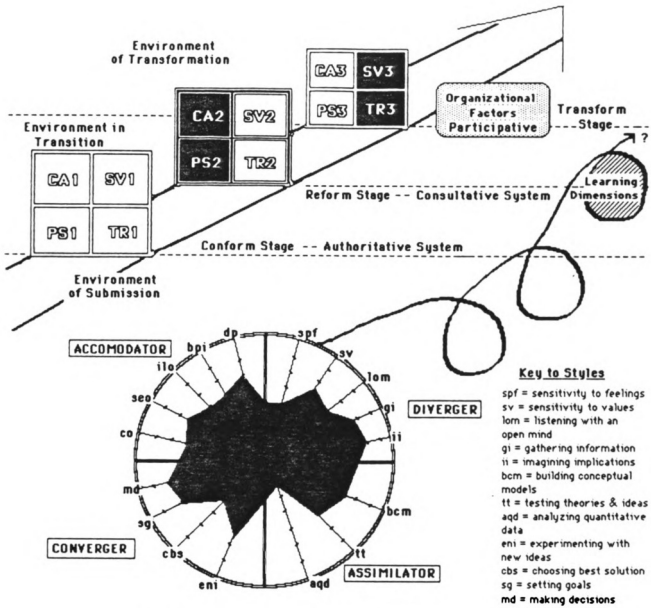
The role of Vision Mundial was described in very general terms including the provision of training for administrative and technical functions related to the construction activities, assistance with the accounting and control systems, periodic audits with subsequent administrative and program adjustments required, and the provision of financial resources for purchasing construction materials and tools. Some financial and technical assistance was provided by other agencies -- both private and governmental.

The Vision Mundial project files provide voluminous documentation of the goal statements and monthly progress reports, but provide few insights into the

organizational factors. Of note, are some of the accounting problems mentioned in various auditing reports which were attributed to inexperience in construction activity as well as the nuances of accounting standards. On the other hand, the correspondence and the activity reports of the Vision Mundial project promoters provide substantial evidence of participatory approaches to managing development activities in the community. For example, the community leaders are regularly rotated to varying positions of authority, thereby preventing the entrenchment of a local elite and keeping the leaders sensitive to their constituency. Informal discussions with the Vision Mundial project promotors and members of the community also provided substantial corroboration to our observations about participatory management in community affairs.

Comparing the Findings

Figure 6.14 displays the assembled findings using the Experiential Social Learning Model. The learning style profile is depicted with the scores for each of the style variables indicating the skill proficiencies needed for maturation. The iterative learning cycle is shaded approximately at the Reform Stage to indicate the moderately high skill levels for each of the four learning styles. The composite score for the organizational factors is depicted at the edge of the Transform Stage, indicating a low-maturity transform stage average for the factors. The shaded boxes represent the approximate composite scores for each of the four domains, with Collective Action and Political Strategy at the Reform Stage and Social Values and Theory of Reality at the Transform Stage. According to the ESL model, the community development activities are taking place within an Environment of Transition. While some of the findings appear to be contradictory, for the most part, the findings about ESL domains, learning style tendencies, and organizational factors tend to be consistent. Some of the concepts, such as leadership, are measured several times; slight scoring discrepancies are the consequence of the distinctions between the indicators and variables. Table 6.4 displays some of the convergent findings as corroborating evidence. Figure 6.15 compares the stages of domain maturation and the learning style profile.



Key to Styles

spf = sensitivity to feelings
sv = sensitivity to values
lom = listening with an open mind
gi = gathering information
ii = imagining implications
bcm = building conceptual models
tt = testing theories & ideas
aqd = analyzing quantitative data
eni = experimenting with new ideas
cbs = choosing best solution
sg = setting goals
md = making decisions
co = commitment to objectives
seo = seeking & exploiting opportunities
ilo = influencing & leading others
bpi = being personally involved
dp = dealing with people

KEY to Domains:

SV = Social Values
TR = Theory of Reality
PS = Political Strategy
CA = Collective Action

1 = Conform Stage
2 = Reform Stage
3 = Transform Stage

Figure 6.13
The Findings and the ESL Model

Table 6.4
Corroboration of Findings

Domain Concepts	Learning Style Variables	Organizational Factors
4.2 Leadership style -- low-level transform stage. 4.3 leader/participant roles -- mid-level reform stage.	ilo - influencing & leading others -- moderate competency level.	1.1 level of trust with leaders -- high level consultative system. 1.2 most frequent style of leadership -- high level consultative.
1.3 Motivation for community action -- low-level transform stage.	co - commitment to objectives -- moderate competency level. bpi - being personally involved -- moderate competency level.	2.0 Composite for motivational forces variable -- low level participatory system
1.1 Communal praxis -- low-level transform stage 2.1 Perception of community participation -- low-level transform stage.	sg - setting goals -- high-level competency. md - making decisions -- high-level competency	4.1 level of participation in decisions -- mid-level participative system. 5.1 method of setting goals -- high-level participatory system. 5.2 level of goal acceptance -- high-level participatory system.
1.2 Community dynamic (interpersonal relations) -- low-level transform stage.	spf - sensitivity to people's feelings -- moderate competency. sv - sensitivity to values -- high competency. dp - dealing with people high competency	1.1 level of trust -- high-level consultative system 3.1 Direction of information flow -- low-level, participatory system.
2.2 Perception of socio-economic situation -- mid-level reform stage. 3.1 level of political awareness -- low-level reform stage 3.2 perception of rules & authority -- low-level reform. 3.3 perception of political power -- low-level reform.	bcm - building conceptual models -- moderate competency. tt - testing theories & ideas -- moderate level competency.	4.2 Adequacy & reliability of information -- high-level authoritarian system.

Figure 6.16 utilizes the force-field analysis to analyze the forces impelling and impeding social transformation. The present equilibrium line in Figure 6.16 implies that the Local Organization is acting in an Environment of Transition. The desired equilibrium to which the Local Organization strives is indicative of an Environment of Transformation, or an environment in which social transformation is facilitated by the absence of strong impeding forces and the presence of strong impelling forces.

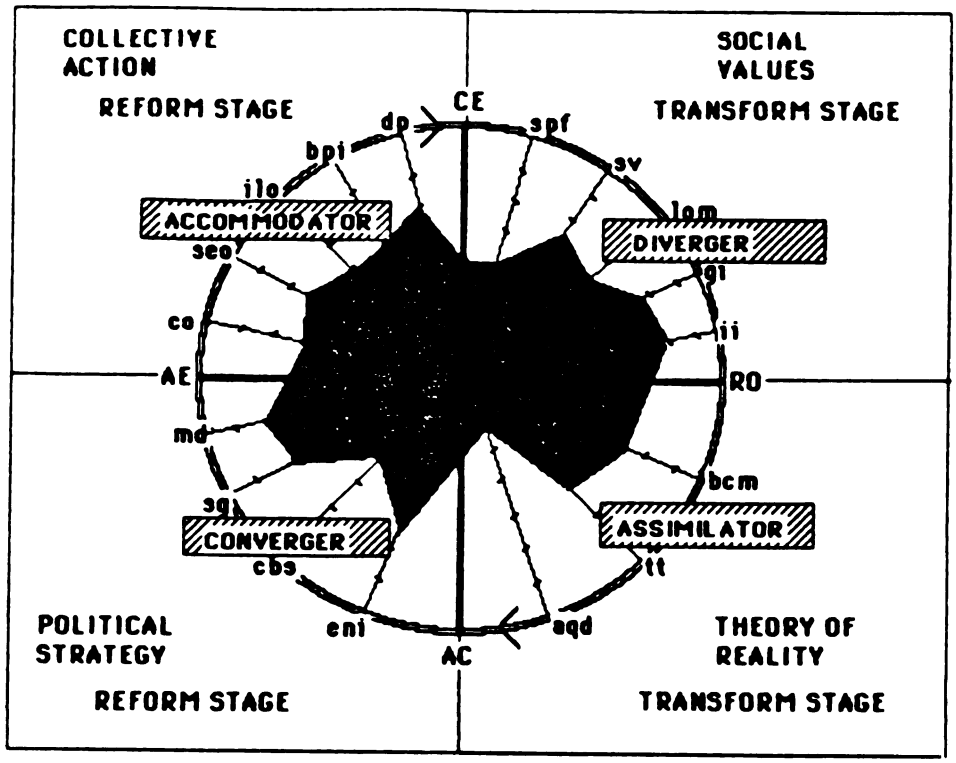


Figure 6.15
Comparison of Learning Style Profile and Domains

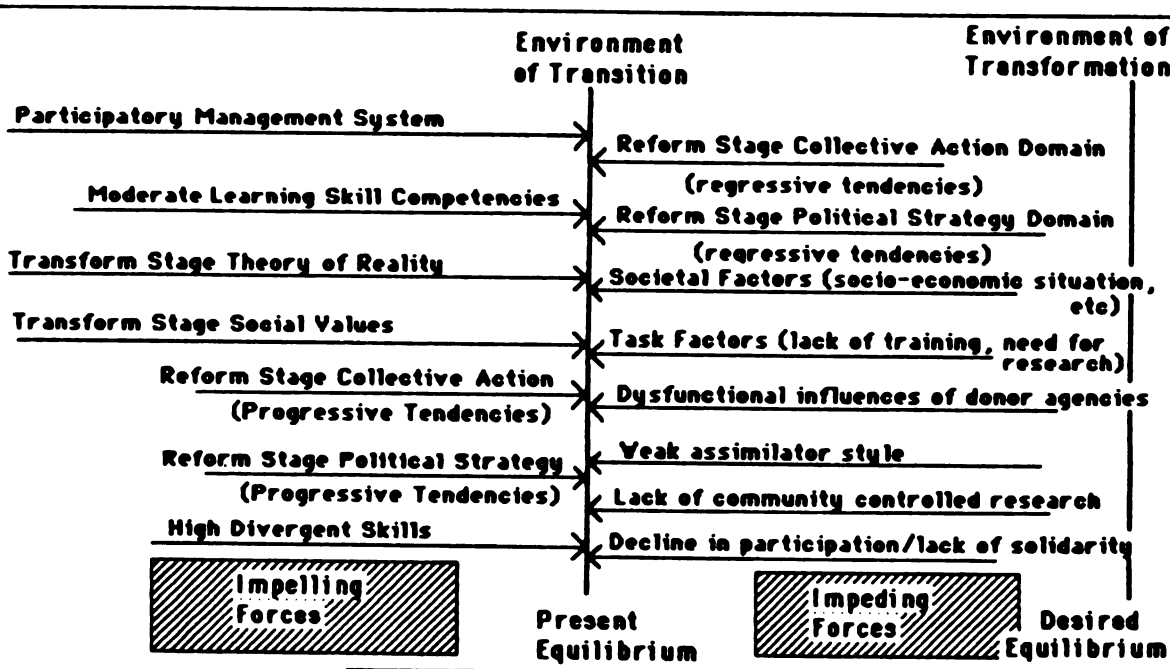


Figure 6.16
Force-Field Analysis and the Findings

The forces impeding social transformation deduced from the data: 1) the regressive tendencies of the Collective Action and the Political Strategy domains at the Reform Stage; 2) various societal factors -- such as the socio-economic situation; 3) various task factors (such as the lack of training, the need for technical assistance, and training); 4) dysfunctional influences of the donor agency (such as when the donor agency uses its power and influence to dictate the community's agenda); 5) the relatively weak Assimilator style; 6) the lack of community-controlled research; and 7) a decline in participation and the lack of solidarity with other communities and social sectors. The forces impelling social transformation include: 1) the Participatory Management System of the Local Organization; 2) moderately high learning skill competencies with particular strength in the Divergent Style; 3) Transform Stage of the Theory of Reality and Social Values Domains; 4) the progressive tendencies of the Collective Action and Political Strategy domains at the Reform Stage; and 5) positive influences of the donor agencies (such as the role of development facilitators, financial resources, and training opportunities). A strategy for promoting social transformation would involve attempting to decrease the impeding forces while increasing the impelling forces. A PAR mode II intervention would be one avenue for pursuing social transformation along these lines.

Chapter VII
Summary, Conclusions, and Recommendations

Chapter VII concludes the study by summarizing the research theory and methodology and outlines a number of hypotheses, propositions, assertions, and conclusions based on the findings. Subsequent sections outline the research limitations; the recommendations for future researchers, practitioners, and agency management; and some final comments bring closure to the study.

The Theoretical and Methodological Backdrop to the Study

Many Private Voluntary Organizations (PVOs) claim to promote social transformation through participative community development (CD) programs. These PVOs, and the local organizations they support, tend to rely on the rational-bureaucratic model for managing CD efforts. Development agencies, including PVOs, have largely subscribed to the conventional wisdom of this model, often transferring the assumptions and systems that guide management in the industrial workplace to efforts in the arena of social change.

In fact, it would be startling if PVOs did <u>not</u> integrate the assumptions of the rational-bureaucratic model into their management systems because most assumptions are deeply engrained in the host cultures:

> The appeal of comprehensive plans implemented through authoritarian structures as the guiding force in modern development can be traced back to the early decades of the nineteenth century in the writing of Saint Simon and Auguste Compte. Deeply influenced by the Newtonian model of a predictable, machine-like universe, it was concluded that, by applying the methods of positivist science to the study of human affairs, it would be possible to predict, and ultimately to control human social behavior. (Korten: 1986: 323)

However, as applied to the management of social interventions, these approaches have proven to be inadequate, even dysfunctional, to the accomplishment of social transformation. Even as applied to other kinds of bureaucracies and enterprises, the inadequacies of the rational-bureaucratic model are increasingly apparent and are being replaced by learning-oriented, as opposed to control-oriented, management systems.

An apparent contradiction exists between the PVO theory and rhetoric and the realities of managerial/administrative practice. Often, it is the agenda of the agency, rather than the aspirations of a representative community organization, that counts. Administrastive systems and management styles are based on the assumptions

and needs of the rational-bureaucracy -- often without serious consideration for the local needs. The incongruency between development theory and practice has contributed to the failure of many PVO development programs, as well as fostering dependency with associated local organizations. Local organizations tend to passively accept the impositions of the rational-bureaucratic model without critically assessing whether it contributes to the community's objectives, or not. Alternatives to the rational-bureaucratic model of development management are needed that enhance, rather than diminish, the capacity of local organizations to undertake programs of social transformation. Indeed, the reorientation of the management systems of development organizations, including local community organizations and their private or governmental benefactors, is essential for effective social transformation efforts. As Korten puts it: "The need is for new organizational forms and program approaches that encourage local intiative, accountability, and self-regulation; for tools and systems that strengthen social learning processes." (1986a: 6) Korten describes social learning as the paradigmatic alternative to the rational-bureaucratic model and notes that:

> Social learning cannot be mandated by the pre-emptive action of central political authority. Nor can it be programmed by bureaucratic procedures. It is a product of people, acting individually and in voluntary association with others, guided by their individual critical consciousness and recognizing no organizational boundaries. Its organizational forms are found in coalitions and networks, which become aggregated in larger social movements, driven by ideas and shared values more than by formal structures. (Korten, 1986a: 325)

This research endeavor attempted to identify and test the usefulness of an alternative conceptualization of development management that aims to enhance the capacity of local organizations to help emancipate their clients from situations of poverty and oppression. The alternative conceptualization proposed in this study, the Experiential Social Learning Model, is based on the precepts of the emerging social learning paradigm for managing social transformation.

The Paradigm Used in this Study

The emerging social learning paradigm provides the broad parameters for a more effective approach to the 'management' of social transformation. Soedjatmoko (1986: 20) describes development as a process of social learning:

> The form of learning that lies at the heart of development is the rather elusive process called *social learning*. One observer has described this as a learning form unique to the human species in that it presumes a learning environment characterized by interaction with other learning organisms. It is a collective process by which neighborhoods, villages, communities, and ultimately the nation state prepare themselves not only to adjust to change, but also to direct change to

> suit their own purposes. In the present instance it must involve learning to break out of the mind-set that accepts passivity as the only relevant response to centuries of oppression and powerlessness; learning that the individual has rights and learning what they are; learning that people have the right and the possibility to use new opportunities; learning as a community to organize for the attainment of goals that may have not been part of traditional life; and learning as a society to enhance capacity for timely course corrections.

The Experiential Social Learning (ESL) framework, proposed in this study, represents an application of the social learning paradigm to Development Management. The ESL model is a theoretical extension of the social learning paradigm and a practical tool for undertaking the managerial functions of problem diagnosis, planning, decision-making, and implementation. In essence, the social learning paradigm and the ESL model for managing social transformation are the object and the method of the research endeavor.

Understanding the emergence of the social learning paradigm as an alternative worldview for construing development management is fundamental to the purpose and design of this research project. Exploratory research was thus needed to: 1) determine if there is evidence for the existence of an emergent social learning paradigm in the practice of CD organizations; 2) identify those forces that inhibit or facilitate social learning in communities; and 3) determine whether the ESL model, used in combination with Participatory Action Research (PAR) methodologies, provides a useful framework for diagnosing and improving the effectiveness of PVO assisted Community Development Programs and Local Development Organizations.

Overview of the Research Methodology

This research effort involved a case study of a local organization engaged in urban community development in a marginal and needy "pueblo joven" (Villa El Angel) in Lima, Peru. The local organization in Villa El Angel is a neighborhood development association composed of poor local residents and is affiliated with a donor development agency -- a private, voluntary Christian relief and development agency, called Vision Mundial. The research effort involved collaboration between the author and a team of local researchers from the staff of Vision Mundial in Lima, Perú. The research team collectively designed and refined the research methodology, and also collected and analyzed the data. A training workshop was designed to provide the theoretical backdrop and methodological skills needed by research team members. A series of planned activities and interactions with the community and local organization members provided the primary data sources for this study. Three categories of data, pertaining to the local organization, were collected and analyzed, including: the

learning style competencies, maturation of ESL domains (Social Values, Theory of Reality, Political Strategy, Collective Action), and organizational factors. Each of these data categories represents an important element of the ESL framework.

The methodology used in this case study was based on the epistemological framework of social learning -- referred to in this study as Participatory Action Research (PAR). PAR is also the research dimension of ESL. It involves a synthesis of key aspects of both the action and participatory research modes (as described in Chapters II and III). This particular endeavor utilized the Mode I version of PAR. Mode I efforts involve the primary participation of development agency staff members working in collaboration with an 'outside' researcher (or consultant). Mode I efforts are intended to help the research team reach a deeper understanding of local organizations and their capacity to undertake social transformation programs. In contrast, Mode II, involves a much higher level of control over the research process by community and local organization members, and typically is preceded by Mode I efforts. Thus, Mode I and Mode II can be construed as different phases of PAR. Mode I helps development agency staff gain a critical understanding of local organizations and their potential role in facilitating social transformation. Mode I experiences also help to prepare development agency staff to function as facilitators of Mode II efforts. Each mode is designed to respond to practical problem-solving needs, as well as contribute to social consciousness and value development.

This study involved a Mode I effort with the hope that it will provide the foundation for eventual Mode II efforts in the studied community. In this sense, the effort may be construed as an organization development activity that uses social learning processes and models as a means to reorient development agency staff for the tasks of facilitating people-centered development. The concepts and techniques of the PAR methodology were used in this study to analyze the various components of the ESL model -- including the domains and stages of social learning, the learning style profile of the local organization/group, and the organizational factors that impede or facilitate social learning. Insights into the local organization's capacity for managing social transformation were revealed by this data and provide the foundation for eventual Mode II interventions.

Overview of Each Chapter

The theoretical and methodological foundations of the study were established in Chapter I. The Experiential Social Learning Model and the Participatory Action Research methodology were introduced and the background to the problem was

presented. Chapter II provided a broad exposition of the foundations for an alternative approach to development management. Competing development paradigms, as well as their eclectic convergence, were discussed as a manifestation of the emergent social learning paradigm. The roots of the social learning paradigm and its assumptions were explained and contrasted, and the convergent foundations of social learning were presented using the world hypothesis analysis. The epistemology of social learning and the related synthesis of the Participatory and Action Research modes into Participatory Action Research was proposed. Contemporary movements associated with the social learning paradigm, along with some of the fundamental principles of a social learning approach to development management, were also described.

Chapter III described the construction of the Experiential Social Learning model for managing social transformation. The basic elements of the ESL model were presented including: David Kolb's experiential learning theory, John Friedmann's descriptions of social learning for social transformation, David Korten's interpretations of social learning as applied to development management, and the various stage developmental theories from which a stage theory synthesis was derived.
The second major section of Chapter III described the assembled ESL model, including discussions of the domains, developmental stages (Conform, Reform, Transform), learning styles, competencies, and dimensions. The third major section of Chapter III provided an overview of the key organizational factors that impact social learning as either impeding or impelling forces of social transformation. Management and organizational theory literature was surveyed from this perspective, and a stage conceptualization of management systems (Authoritative, Consultative, Participative) was proposed in conjunction with the ESL model. The fourth section discussed the expanded version of the ESL model as it relates to social transformation. The relationship among groups, local organizations, and Experiential Social Learning was outlined. Strategies for facilitating social transformation through Experiential Social Learning were proposed including the implications for social change strategies in the areas of organization and community development. The role of the facilitator and social movements for social transformation were also subsequently discussed. The last section of Chapter III provided deeper insights into the meaning of social transformation, with its discussion of integrity as the goal of development.

Chapter IV placed the study in context by providing background information on the PVO, the role of the PVO and social transformation, the Peruvian situation, and the local organization. World Vision International, the sponsoring Private Voluntary Organization was described in Chapter IV. A general orientation to the mission, history, and structure of the organization was provided, along with an

overview of the agency's activities in Perú (including a profile of its projects and staff). Background information about the contemporary situation in Perú was presented including a discussion of the realities of the 'pueblos jovenes' (young towns) that are located in the marginal areas of metropolitan Lima. Chapter IV concluded by examining some of the characteristics of the pueblo joven studied here, Villa El Angel, and its local CD organization.

The methodology for the study was outlined in Chapter V. Sections included the research questions, the case study approach, the Participatory Action Research protocol, the research participants, the research procedures, and the research chronology.

Chapter VI analyzed the findings for each of the key elements of the ESL model, including the stages of maturation for the ESL domains, learning style competencies, and organizational factors. The final section of Chapter VI compared these findings, using the ESL model for assembly and interpretation.

Summary of Research Procedures

This research endeavor was based on the PAR protocol. A number of procedures borrowed from the Freirean methodology and the fotomontaje technique were also incorporated into the design (discussed in detail in Chapter V). The chronology of research activities followed the PAR process phases of: 1) preliminary planning/diagnosis; 2) reflection; 3) planning; 4) implementation; 5) rediagnosis; and 6) ongoing evaluation. More broadly, the research effort included three stages: a pre-intervention stage, the PAR intervention, and the post-intervention stage.

The pre-intervention stage included the researcher's efforts to construct the theoretical and methodological frameworks, and to establish an interaction with the client group in Vision Mundial. The PAR intervention stage involved the actual PAR process with the five phases of preliminary planning/diagnosis, reflection, planning, implementation, and evaluation.

The preliminary planning/diagnosis phase included: 1) a discussion of the research proposal with client management and agreement to a general plan of action; 2) providing team members with a preliminary orientation to the theory and methodology to be used; 3) making initial modifications in the methodology and planning the research and training activities with the research team; 4) planning the activities to be undertaken at the community level with the active participation of representatives of the local organization; and 5) making a preliminary assessment of the community's problems and aspirations through a participative community

descriptor exercise, as well as through numerous informal interviews with Vision Mundial staff and community leaders.

The reflection phase included: 1) research team orientation to the theoretical and methodological frameworks (and also making necessary modifications); and 2) a training workshop for research team members. The planning phase involved the formulation of a plan of action for data collection activities by the research team. The implementation phase involved putting the plan of action for data collection into effect -- including the problem-posing/fotomontaje exercise, the problem-solving exercise, and the group-focused interview about a past community development activity. The rediagnosis phase involved: 1) the analysis and interpretation of the collected data by the research team; and 2) sharing the results with both the agency management and the participants from the community. The evaluation function was carried out participatively at each phase of the process and at the conclusion of the intervention. The evaluation function involved the participation of both research team members and local organization participants. The evaluation function was integrated with each phase of the research process.

The PAR intervention in this study involved an organization development technology aimed at both the PVO and the LO. As such, this case study can be considered a Mode I version of Participatory Action Research. The post-intervention stage involved management considerations of the research team's follow-up recommendations including: 1) a possible Mode II intervention as a broader strategy corresponding to community development criteria; 2) further agency support for the initiatives begun by the community during the research process; 3) the possibility of continued testing of the methodologies for potential applications by agency field workers. In addition, the post-intervention phase included the documentation of the process through means of the author's dissertation and other reports or articles -- with the implicit potential for sharing the research findings within the scholarly community, as well as with other CD practitioners who might find the theory and methodology as potentially useful for their work.

Research Questions and the Findings

The research was guided by several key inquiries. Discovering the answers to the following questions constituted both the academic and practical purposes of this research endeavor. Most of the research questions were adequately answered by the findings and all of the research questions helped to provide focus to the study:

1) To what extent is the social learning paradigm manifested in the theory and practice of the case under study?

Of critical concern to this research project, was the degree to which the emergent Social Learning paradigm was: a) recognized conceptually by development practitioners; and b) used in their approach to managing and administering development activities/projects. In other words, did this case study provide some preliminary evidence that the Social Learning paradigm has adherents (whether consciously or not) in the practice of CD?

This question has the broadest scope and encompasses the other questions in many respects. The perspectives of both Vision Mundial development workers and local organization members are of interest. Indicators of social learning at the local organization level were analyzed by the research team using the ESL model. Elements of the ESL model include: learning styles, social learning domains and their stages of maturation and organizational factors/stages of organization development. Of interest, was the degree that the measured organizational factors (such as the management system and administrative procedures) were indicative of the social learning paradigm or the rational-bureaucratic model of management.

In general, the data provided substantial evidence that the Social Learning paradigm is manifested in the theory and practice of both the development agency and the local organization. Careful records of interactions with the research team members from Vision Mundial were kept by the researcher (see Appendix E), and a written evaluation of the process documented some of the perceptions of research team members. Comments by the research team members were indicative of a commitment to the precepts of the social learning paradigm. For example, the ESL model and PAR methodology were enthusiastically accepted by the research team members. The values implicit in Social Learning -- such as the recognition of the importance of participatory management, beliefs in the need for social transformation, and the transactive, dialectical nature of transformative learning -- seemed to be internalized by the research team members. However, the level of institutional and managerial

commitment to social learning by the agency in Perú and, in general, cannot be assessed based on the collected data.

The local organization members clearly demonstrated a commitment to certain precepts of the Social Learning paradigm. For example, the findings indicate that the local organization prescribes to a participative management system. There was: 1) an apparent appreciation for transactive, dialectical learning as the guiding principle for managing social change; 2) the Social Values and Theory of Reality were assessed as transformative in the problem-posing session, including profound commitments to community participation; and 3) moderately mature learning style competencies, particularly the Diverger Style, were observed during the problem-solving session. Supplementary data sources -- interviews and project documents -- also corroborate the group's tendency to identify with the precepts of the social learning paradigm

2.0 To what extent is the Experiential Social Learning Model an appropriate measure of the Social Learning paradigm? What does the ESL Model reveal about the group?

The Experiential Social Learning Model was constructed to provide a holistic research framework for analyzing the various elements required for the effective management of social transformation. Of concern is the measurement of the local organization characteristics including: the group's learning style tendencies, the stages of maturation in each of the four domains of social learning, and the stage of organization development. Measurements of the learning styles and the stages/domains were based on research team observations of two planned events, including problem-posing and problem-solving exercises. Organizational factors were observed based on a group-focused interview about a past community development experience, as well as data obtained from the problem-solving exercise. Observational tools and analytical instruments for each ESL element helped the research team members to collect and analyze data systematically.

2.1 Does the ESL model provide an appropriate measure of the collective learning style of the local organization? What is the group learning style profile?

Recorded observations of local organization members engaged in a problem-solving event constituted the data source for assessing the group's learning style profile. The

collected data permitted the research team to determine the predominant learning styles and tendencies of the group as it wrestled with a real-life problem-solving situation. The group profile indicated the learning style tendencies (relative strengths of Diverger, Assimilator, Converger, and Accommodator styles) during that particular event.

Chapter V described the findings about the group's learning style tendencies. Figures 6.4 and 6.5 illustrate the group's learning style profile and suggest the competency levels for each of the seventeen variables. The group's tendencies in the learning styles (Diverger, Assimilator, Converger, Accommodator) and learning dimensions (Affective, Perceptual, Symbolic, Behavioral) were assessed based on measurements of the variable competency levels. The findings indicate that the group has well-balanced, adaptive flexibility for utilizing the four learning styles -- and the related learning dimensions. The composite scores for the Diverger, Converger, Accommodator styles (see Figure 6.8) ranked highest -- with moderately high competency levels of "4.3" or "4.4". The Assimilator style and the Symbolic learning dimension ranked lowest. The findings did not sufficiently penetrate the critically important issue of how effectively the group integrates various learning skill competencies in problem-solving processes.

2.2 Does the ESL Model provide an appropriate measure of group maturation in each of the Social Learning domains? What is the group's stage/domain profile?

The stages of maturation (Conform, Reform, Transform stages) for each of the four domains (Social Values, Theory of Reality, Political Strategy, and Collective Action) were assessed similarly to the learning styles. Systematic observations of the problem-solving event allowed the research team to determine the tendencies of the group on a wide variety of variables pertinent to the stages and domains of experiential social learning. A profile of the group's stage maturation for each of the four domains was possible based on the data collected in the problem-posing/fotomontaje exercise. The stages/domains group profile is not generalizable beyond the observed experience. However, subsequent repetitions of similar experiences and observations might reveal patterns relevant to curricular and organization development concerns. Indeed, with further methodological refinements, the measurement of maturation in each of the domains, with reference to the ESL model, is both appropriate and significant for assessing the capacity of a local organization to undertake and manage programs of social transformation.

Chapter VI described the findings pertinent to the stage of maturation of the domains and the measurements and scoring used for each of the twelve domain concepts. Based on the measurements of the domain concepts, composite scores for each of the domains was determined with Social Values and Theory of Reality approximating the transform stage and Political Strategy and Collective Action within the Reform Stage. Figures 6.2 and 6.3 depict the profile of domain maturation using the ESL model.

2.3 Does the ESL Model provide an appropriate measure of the local organization's stage of organization development? What stage is indicated based on the group-focused interviews?

The stages of organization development (Authoritative, Consultative, and Participative) are indicative of the type of management system used by the local organization. A group-focused interview technique was used to probe the group's collective memory of a past experience and , in particular how the experience was handled from a managerial and administrative point of view. The data collected from this exercise were deemed inadequate and thus the problem-solving event was used to measure organizational factors as well as the learning styles. A number of organizational factors were observed for their relevance as impeding or impelling forces for social learning. These included a variety of indicators pertaining to the leadership, motivation, communication, decision-making, goal-setting, control, and evaluation processes.

While the group-focused interview session proved to be ineffective for determining the stage of organization development (i.e., the type of management system used), adaptations of this approach could, however, make it a viable method for organization development measurement. In contrast, the problem-solving session did provide adequate data to make some preliminary assessments about the management system of the local organization and was based on local organization member behavior during the session. Reseach team members observed the problem-solving video tape and reached a consensus about each of the organizational factors. Figure 6.12 depicts the maturation scores for each of the factors (leadership style, motivational forces, communication process, decision-making process, goal-setting process, and control and evaluation functions) based on measurements of factor variables. The composite score for the organizational factors is illustrated in Figure 6. 14 within the ESL framework. The local organization, according to the findings, operates using a participative management system.

3.0 Based on the findings, what propositions or hypotheses can be made for guiding further research?

The object of any exploratory research effort should be to provide subsequent researchers with foundations for further research. The generation of research hypotheses and propositions for extending theory beyond the parameters of the case study was therefore fundamental to an incremental increase in knowledge in the exploratory mode. Several key areas were explored.

3.1 What were the forces impeding or impelling social learning in this case study and can their influences be generalized to other situations?

Organizational factors are widely recognized as impediments to, or as facilitators of learning. The stages of organization development (authoritative, consultative, or participative) can thus be construed variously as impeding or impelling forces for social learning. Likewise, the lower stages of social learning and domains can be seen as potential impeding forces and the higher stages as impelling forces for social learning. In addition, the group's learning style profile is potentially indicative of learning competencies, variously impeding or impelling transformative social learning. Thus, the influence of each of the ESL-model elements is relevant to the identification of the obstacles to social learning and for charting strategies to overcome those obstacles. Identifying the impeding and impelling forces in this particular case study provided sufficient justification for elaborating hypotheses and propositions for guiding future research in this area. The following hypotheses and assertions are derived from the analysis in Figure 6. 16 and are proposed for further study:

1. Local organizations that utilize participatory management systems increase their capability for effective social learning and thereby improve their capacity to undertake and manage social transformation programs.

2. Management systems that facilitate social learning require participative organizational factors (including leadership style, motivational forces, communication process, decision-making process, goal-setting process, control and evaluation processes).

3. In addition to organizational factors, a wide range of societal and task factors constitute the environmental forces that either impel or impede social learning and transformation in community and organizational development.

4. A local organization with transform stage maturity in the Social Values domain

has greater potential for effective social learning and, thereby, is more capable of undertaking and managing social transformation programs.

5. A local organization with Transform Stage maturity in the Theory of Reality domain has greater potential for effective social learning and thereby is more capable of undertaking and managing social transformation programs.

6. A local organization with reform stage maturity in the Collective Action domain will have both progressive and regressive tendencies and, therefore, will have the potential to impede or impel social learning processes toward social transformation.

7. A local organization with reform stage maturity in the Political Strategy domain will have both progressive and regressive tendencies and therefore will have the potential to impede or impel social learning processes towards social transformation.

8. Any domain: a) at the Conform Stage is an impediment to social learning and social transformation. b) at the Reform Stage has latent possibilities to impel or impede social learning and thereby social transformation. c) at the Transform Stage will be an impelling force for social learning and transformation and, will thereby, influence the development of less mature domains.

9a. High competency, high integration of learning style competencies is the ideal preparation for effective social learning and transformation. 9b. Low competency in any of the learning styles or dimensions has a detrimental impact on social learning and, thereby, on the potential for groups to undertake and manage programs of social transformation. 9c. High competency in any learning style or dimension has a positive impact on less mature learning styles. 9d. Without integration of the learning styles and dimensions, the possibilities for social learning and social transformation are limited.

10. Small groups and local community organizations are the most appropriate forum for effective social learning and, thereby, for undertaking and managing social transformation programs.

3.2 Are the Experiential Social Learning Model and the Participatory Action Research Mode useful tools for facilitating the emergence of Social Learning as an alternative paradigm for managing social transformation?

This question relates to a broad set of concerns pertaining to the need for testing the relevance of the theoretical and methodological dimensions of this research endeavor. Some of these concerns are addressed, at least partially, in prior questions. For example, of interest is whether the Mode I PAR intervention was an effective methodology and, specifically, if it provided the foundation for a Mode II PAR intervention. Based on this research, the following assertions can be made:

11. The key elements of a management system that facilitates social learning and transformation must include: a) transitions toward higher maturation in each of the ESL domains (Social Values, Theory of Reality, Political Strategy, and Collective Action); b) integration and high competency in each of the learning styles (Diverger, Assimilator, Converger, Accommodator) and in each of the related learning dimensions (Affective, Perceptual, Symbolic, and Behavioral); c) participatory organizational factors (leadership style, motivational forces, communication process, decision-making process, goal-setting process, control & evaluation processes); and d) PAR.

12a. The Experiential Social Learning Model is an integrated, holistic conceptualization for interpreting the capacity of a local organization to undertake and manage programs of social transformation through social learning processes. 12b. The ESL model is an appropriate descriptor of the social learning development paradigm.

13a. The Experiential Social Learning Model is a conceptual framework -- or, a theoretical extension and articulation -- of the social learning paradigm. 13b. The Participatory Action Research methodology reflects the epistemological assumptions of the Social Learning paradigm and is, in its essence, the practical, practice-oriented dimension of the Social Learning paradigm. 13c. PAR is both the method for collecting data relevant to the ESL conceptualization and the motor for driving social learning toward social transformation.

14 a) PAR, as a method for achieving social transformation, has two purposes: a) In Mode I, as a strategy for promoting organization development, with organization members as the researchers or b) in Mode II, as a strategy for promoting CD, with community members as the researchers.

15a. PAR Mode I can be conceived as the first phase of a broader strategy for promoting social transformation and leads to a Mode II intervention. 15b. PAR is initiated within small groups but is not confined to small groups. PAR can lead to the development of coalitions through networking and eventually coalitions can be built into social movements.

15a. PAR is the practical dimension of the management of social transformation. ESL is the theoretical dimension. 15b. ESL united with PAR constitutes the social learning approach to managing social transformation. 15c. The social learning approach is an alternative to management systems (such as the rational-bureaucratic model) that have proven to be dysfunctional to the tasks of social transformation. 15d. ESL and PAR, as conceptualizations of the theory and practice of social learning, can potentially consolidate social learning as the emergent paradigm for managing social transformation.

3.3 What role does the Private Voluntary Organization (as development catalyst) play in facilitating social transformation through social learning?

This final research question brings symmetrical balance to the endeavor by returning to the original interest in the role of the PVO as a potential facilitator of social transformation. The development agency can pursue its activities in ways that either facilitate or restrict the emergence of social learning as an alternative approach to

managing social transformation.

The research findings allowed the research team to postulate certain hypotheses and propositions that require further study but which , in the interim, may prove to be useful to policy-makers in World Vision International and similar PVO's. The following assertions and conclusions relate to the role of the PVO for promoting social transformation:

16a. Private Voluntary Organizations, due to their relative independence and their grassroots, community-oriented programs, have great potential for promoting social transformation through social learning. 16b. PVOs are capable of assuming Transform Stage theories of reality to guide their development efforts.

17a. Most PVOs advocate community participation, but in their managment practice, conform to the precepts of the rational-bureaucratic model. 17b. Not only does the rational-bureaucratic model dominate the internal affairs of PVOs, it also pervades its relationships with partner local organizations, sometimes imposing the rational-bureaucratic model on local beneficiary organizations. 17c. The rational-bureaucratic model tends to encourage control rather than learning orientations, resulting in authoritative and consultative management systems.

18a. PAR Mode I can be used effectively to promote the organizational development of PVOs, as well as to prepare the PVO as a facilitator of PAR at the community level (Mode II). 18b. The ESL Model is potentially an effective framework for assessing the developmental maturation of organizations and providing the necessary information for devising change strategies (i.e., the ESL Model is a tool for prescribing social transformation strategies, as well as diagnosing organizational realities).

19. Some PVOs facilitate social transformation by encouraging the creation of social movements using networking and coalition-forming as part of a transformational political strategy.

Research Limitations

This research effort was confined by several realities. Inadequate time, the scope and complexity of the ESL model, and the competing responsibilities of the research team members occasionally forced the research team to compromise standards. In a more ideal situation, these research limitations would be avoided or at least minimized. However, to a large extent, these problems are to be expected with this kind of research, and must be recognized as a probable part of the contextual reality involved with PAR interventions. In addition, the case study methodology limits the ability to generalize the findings beyond the study. Indeed, the findings are actually only descriptions of the measured events. Generalizations about the local organization and its members beyond the observed events are largely only speculative and serve merely as tentative hypotheses requiring further research. The group, as

unit of analysis, also raises a number of difficult validity and reliability challenges. Assessing individual behavior is an easier approach, but fails to reveal the synergistic essence of social interactions.

The Time Factor

The most serious limitation of this research effort was the inadequate time for planning and implementing the intervention. In Appendix F (the research team evaluation of the research experience) the time factor is recognized as the most serious limitation on the quality of the research. All members of the research team felt that the time had a hindering effect on our efforts and most of their criticisms related to this problem. For example, the quality of the fotomontaje method was impacted by inadequate time to obtain the kinds of photos needed for some of the themes. The instrumentation could have been coordinated more tightly to the questions and photos of the problem-posing session, given more time for revisions. Alhough four revisions were made in the analysis instrumentation, further modifications and refinements would have improved the validity and reliability of the data analysis sessions. The time factor also prevented more in-depth research team training in both the theory and methodology, as well as more extensive preparation for the data observation and analysis sessions. Indeed, with more time, both the theory and the methodology could have been more thoroughly grounded contextually by greater participation by research team members and members of the local organization.

Ideally, all research team members and members of the local organization should have been intensively involved in all phases of PAR (including the initial diagnosis, reflection, planning/decision-making, and implementation), helping us to improve and refine both the methodology. Intensive moments of participation for the members of the local organization and research team members occurred throughout the process, but only the facilitator team was fully involved at every step of the process.

If the process could have been extended in length from five weeks to ten weeks, and if all participants could make this a full-time priority, then a more ideal process with complete involvement in all phases could have been achieved. Improvements in the quality and the impact of the research intervention could be expected. Unfortunately, due to organizational constraints, this timeframe was not feasible. Negotiating with the agency for a five-week process was a challenge. And, even then, most research team members were not allowed to commit fully to the research process. Undoubtedly, competing responsibilities impacted negatively on the observation and analysis sessions. More time could have allowed for repeated

observations of the video tape, improving the reliability of the researcher observations, refining the instruments, and enhancing the validity of the data interpretations. Additional discussion time would have also enhanced the research team consensus sessions, allowing for the identification of more concrete indicators to justify group decisions.

However, the reality is that ongoing responsibilities of project workers and competing bureaucratic pressures will always tend to hinder Mode I PAR interventions, unless management makes research and training a higher priority. Likewise, Mode II interventions will also be impacted by competing responsibilities and priorities of community residents. Perhaps, the exception to this occurs during crises when there is a commonly perceived need for communal participation and action, and when PAR is seen as an effective avenue for responding to the crisis. In this case study, members of the local organization in Villa El Angel could only meet during several evening sessions. More extensive participation by a representative group was simply not feasible.

The Scope Factor

Preparing the research team members for adequate participation as co-researchers required training in the theory and methodology to be used in the research effort. The complexity and breadth of the variables to be measured made this extremely challenging, given the time limitations. The decision to attempt the measurement of all three key elements of the ESL model (the learning styles, domains, and organizational factors) was made only after intense reflection about the relative benefits of a case study with broad scope and less depth, versus a study that penetrates deeply into the realities of a limited area, but that lacks holistic vision and breadth of scope. The decision was made in favor of greater scope, and less depth. The priority of the study involved 'testing' the theory and methodology proposed in this study, with secondary concern for depth of understanding in a narrowly focused area.

For this particular exploratory study, breadth was balanced with depth. Inevitably, because of the time factor, some acceptable trade-offs in the form of slightly lower standards of reliability and validity, resulted. However, this was compensated by the richness of the holistic data obtained by keeping the ESL model in tact. An argument can be made that more synthetic, as opposed to analytic, exploratory research is needed. Indeed, the decision to select a synthetic focus is highly consistent with the social learning paradigm.

Due to its complexity, using the ESL model for PAR II interventions would require simplification of some of the concepts and instruments as well as major

contextual adaptations. However, despite its complexity and scope, the evaluation results (Appendix F) indicate that the research team members understood the essential elements of both the ESL model and the PAR methodology, and were thus able to participate effectively as co-researchers.

The Generalizability Factor

As a case study, statements about empirical findings must be limited to the boundaries of the case under study. Certainly, some general statements can be made about both the local organization and the PVO. However, most of the statements that can be made about the findings are confined to the observed work sessions. Sweeping statements about the realities of the community, its local organization, or the supporting agency should be made cautiously and always with the proviso that they represent tentative conclusions which need to be substantiated with further research. For this reason, we chose not to treat the study as an evaluation of the project, and did not share all of the findings with community leaders as a basis for corrective actions. While the ESL Model and the PAR methodology have potential evaluation applications, this was not the intention of this study. The study's contributions relate more to the recommendations for further study, including suggested hypotheses and propositions; suggestions for follow-up action to agency management; and testing the viability of the ESL model and the PAR methodology for various management, research, and educative applications.

The Group as Unit of Analysis

The tendency in much social research is to focus on individuals. Studying individuals as the unit of analysis is appealing due to the requirements of positivistic science. However, group behavior, as any social psychologist would assert is much more than the sum of its parts. Recognizing the realities and importance of group synergy, this study attempted to make assessments about group behavior -- in order to capture the essence, the élan vitale, if you will of the group. Rather than simply recording the behaviors of individuals as the basis for assessing the collective behavior, this study attempted to capture the group tendency by concentrating on the atmosphere and dynamics of the group. More than a pedantic distinction, the individual participants were viewed as sources of data rather than as units of analysis; as subjects rather than objects. A number of decisions were made by the researchers to simplify their assessment of the group -- most indicators were based on verbalized participation -- i.e., individual comments; the general reactions to comments, both verbal and non-verbal, were also observed to help capture the group dynamic. An

assumption was made by the researchers that those who participated the most tended to dominate or influence the group disproportionately and, therefore, represented the primary source of data for assessing the group. Admittedly, this was a potentially unreliable assumption.

Assessing the learning competencies and style tendencies of a group based on a two-hour problem-solving session has obvious limitations. Some of the seventeen style variables were measured and scored based on limited data, using vague non-descript indicators. Nevertheless, the findings represent the research team's best estimation of the group's learning style despite numerous methodological limitations. The ESL model seemed an extremely appropriate and useful approach to understanding the significance of the group's learning style according to a holistic, social learning conceptualization of development. While the findings cannot be reliably generalized beyond the problem-solving event, further refinement of the methodology, including longitudinal data collection -- during routine problem-solving efforts by the local organization -- would enhance the appropriateness and significance of measuring learning style tendencies within the ESL framework.

Recommendations

A number of recommendations for researchers, community development practitioners, and agency management have been deduced from the findings. These recommendations are based this research experience, and include things learned from the shortcomings, as well as the successes, of the process.

Recommendations to Researchers

As part of the exploratory and holistic thrust of this research effort, this study has deduced methodological and theoretical systems from the emergent social learning paradigm and attempted to undertake some preliminary social experimentation with them. The ESL model and the PAR methodology were constructed from syntheses of well-established theory and practice in several fields. However, many assumptions are made which should be empirically validated, if possible.

Testing the Assumptions of this Study. The following recommendations are made persuant to establishing additional empirical grounding of the Social Learning paradigm:

R1. Much more exploratory research is needed to establish that the Social Learning paradigm is the emergent paradigm in the field of international development. Case and comparative studies are suggested as appropriate approaches for building the knowledge base about social learning.

R2. The assumptions of social learning require testing and further conceptual refinement. These include the idea of increasing knowledge through paradigm shifts; the integration of redeeming features from different knowledge structures (Organicist, Mechanicist, Formist, and Contextualist) as a type of evolutionary process of epistemological development and, thereby, that social learning represents a pragmatic selection of the redeeming and experientially proven features of development paradigms that are philosophically and logically grounded in distinct knowledge structures (such as modernization, dependency, neo-Marxism, corporatism, humanism, etc.); and that these knowledge structures correspond to the four critical styles of social learning (Diverger, Assimilator, Converger, Accommodator).

R3. The characteristics of the social learning paradigm require more systematic and precise definition and articulation from philosophical, theological, and social science perspectives. Likewise, social transformation, according to the Social Learning paradigm, requires greater clarity in its definition and transcendent meanings from each of these perspectives.

R4. The tenets of the ESL Model require further testing, including the assumptions that: a) Social Values, Theory of Reality, Political Strategy, and Collective Action are the critical elements required for genuine social transformation; b) the stage development synthesis, as proposed in this study, is logically consistent and empirically valid; c) the learning style variables studied are the most critical factors to each of the four learning styles; d) organizational factors are key impeding or impelling forces to social transformation and can be classifed as Authoritative, Consultative, or Participative management systems, in an ascending hierarchy of organizational maturity.

R5. The study proposes a synthesis of action and participatory methodologies and refers to this conceptualization as participatory action research (or PAR). Others will be interested in determining whether this represents an innovative approach to social investigation.

Refining the Methodology for Replication and Adaptation. Those who would wish to conduct similar research efforts are advised to learn from this effort and replicate what worked.

R6. More time should be taken for the data collection and data analysis unless the scope is narrowed and fewer factors are measured. At least ten weeks is recommended to allow for the same scope as this study.

R7. Video taping sessions to enhance the reliability of researcher observations is highly recommended. Surprisingly, the obtrusiveness of this technique wore-off within the first hour of use and thereafter did not appear to influence the participants in significant ways. However, methodological triangulation is recommended to corroborate the videotaped observations. A number of options could be explored, including systematic interviewing of agency or community members, a participant-observation ethnography, and content analysis of key historical documents.

R8. Normal community meetings are recommended as an alternative forum for collecting data unless the group of research subjects is tightly controlled. In this case study, the intention was to control who participates in the research

subject group but, due to local dynamics, this standard had to be abandoned. Considering what we were attempting to accomplish, specially designed sessions were essential to this case study.

R9. The analysis instrumentation needs to be improved with more concrete definitions and indicators to assist the research team in making assessments. This will improve both the validity and the reliability of the researcher observations, analysis, scoring , and consensus-making. The instrumentation should be carefully coordinated with the data collecting techniques to facilitate the data analysis sessions. In this case study, there were some discrepancies between the structure and nature of the problem-posing session and the design of the analysis instrument.

R10. The identification of generative themes is key to the success of this methodology and should be conducted systematically -- with various sources of information -- and with adequate time to make numerous inquiries in the community. A survey approach using informal interviews might be an appropriate technique. Time is also needed to code the identified generative themes in photos. Drawings or other standard, non-formal education techniques can be used creatively as alternative coding techniques and are less costly than the photos/slides. In addition, to the collage technique, many other methods are available for having the community describe itself. Time limitations prevented the level of community member and research team member participation that we desired in the identification and analysis of generative themes.

R11. Research team members, if possible, should be involved in the data collection efforts, as well as the data analysis. Ideally, a Mode I intervention, such as this study, would integrate key leaders from the community into the research team. This would help to contextualize and immerse the research in local realities and prepare the community leaders for a Mode II intervention in their community.

R12. Ideally, the research team will live in the community during most, if not all, of the research experience and add a key dimension to the data collection strategy.

Shifting the Focus. Some researchers will wish to pursue some of themes described in this study but not included in the data collection efforts. Others will wish to conduct comparative studies or surveys as opposed to a case study:

R13. Additional research is needed about the role of the PVOin international development, especially the manifestations of the Social Learning paradigm in the theory and practice of PVO development agencies. The influence of PVO management systems on the management of local organizations is a critical theme central to this study but, was not empirically explored in any depth.

R14. Comparative research is needed to investigate the differences that exist between various kinds of local organizations and their impact on social learning for the management of social transformation. This study explored a Local Development Association. However, Interest Associations such as churches, women's clubs, and cooperatives would also be of interest.

R15. If possible, research efforts should be conducted that design the Mode I PAR intervention with a Mode II follow-up intervention -- or if this is not feasible, to conduct a Mode II effort without a Mode I effort preceding it.

Recommendations for Community Development Practitioners

Basic research is needed to substantiate some of the assumptions of this study, and community development practitioners are well-suited to inductively produce pertinent knowledge through their experiences in research, evaluation, and education programs for CD programs. The Social Learning paradigm and the derivative ESL Model and PAR methodology can be tested best through the crucible of experience. Therefore, CD practitioners, whether as members of development agency bureaucracies or as leaders in local organizations, can play an important part in facilitating social learning for social transformation, and simultaneously produce important knowledge that is key to elaborating and refining the social learning paradigm. The following recommendations apply to community development practitioners:

R16. CD field-workers should experiment with, adapting as necessary, some of these theoretical and methodological frameworks to ascertain whether they have useful applications for the promotion of social transformation through CD projects. The ESL and PAR frameworks have application for the research, evaluation, and education functions typically associated with grassroots community development efforts. PAR and ESL could become important conceptual handles for the CD promotor as well as members of local organizations and other leaders. For example, as applied to research and evaluation functions, the PAR and ESL frameworks could help to collect and analyze important baseline social data about communities. Applied to education, the PAR and ESL frameworks could be important for conscientization and empowerment -- and eventual movement toward solidarity. All experimentation should be carefully and systematically documented.

R17. Managers of development agencies and other types of organizations that promote social change should also experiment with the ESL and PAR frameworks. The focus should be to determine their usefulness in helping to promote and manage social transformation according to the precepts of the Social Learning paradigm.

Recommendations to World Vision Management. The recommendation section would not be complete without addressing the need for practical guidelines, grounded in the research, and potentially helpful to the sponsoring development agency and local organization. Two categories of recommendations follow: those which were previously directed to the management of World Vision in Peru and those which have been addressed to the upper managment of the institution:

Recommendations to World Vision Peru:

R18. The Mode I intervention should be followed-up with activities that facilitate the elaboration of a plan of action for the community-operated small-enterprise which could be submitted to the community's general assembly for approval. The practical benefits of the research effort to the community are not

tangible until the hoped for income-generating venture is operating. World Vision should help provide technical assistance and seed funding -- if necessary by increasing the project funding.

R19. The project promotor selected to provide supervision of the project in Villa El Angel should be fully oriented to the research process and findings and be given some guidance in how to provide adequate follow-up to the research activities. Ideally, the person selected to fill this position would be one of the research team participants.

R20. Ideally, the follow-up strategy in Villa El Angel should evolve into a Mode II PAR intervention, involving training and ongoing facilitation, eventually leading the community control over the research process, possibly using some of the conceptual tools of the ESL framework.

R21. Some of those trained in the ESL and PAR frameworks would be well-suited for experimentation with these conceptual tools for research and educative applications. This was the strongest recommendation of the research team members, and some preliminary planning toward this end has already been undertaken by World Vision Perú staff members.

<u>World Vision International Management</u>

R22. Various aspects of this study, including the ESL and PAR frameworks, should be assessed and disseminated within the organization to determine their relative usefulness and potential contributions to present and future World Vision projects/activities.

R23. Various assertions of the study (e.g, the special role of PVOs committed to social transformation, participative management systems as an essential impelling force for social transformation, and integrity as the goal of development) should be reflected upon in appropriate forums for those interested in promoting a bureaucratic reorientation. The goal would be to facilitate the emergence of an increasingly mature people-centered development agency.

R24. Field experimentation with the ESL and PAR frameworks should be encouraged by the International Office, especially with respect to applications for staff and project training, and CD research and evaluation. The ESL model provides a holistic, integrated framework for understanding the various aspects of World Vision's work in the field. For example, the study's depiction of the relationship between relief, rehabilitation, and development in Figure 3.21 provides a potentially useful conceptual 'handle' for designing relief training curricula, as well as for other curricular applications.

Final Comments

This study parallels the discoveries of a personal pilgrimmage, a process spanning several years, in which the contradictions in the theory and practice of development work became increasingly apparent on a personal level. These contradictions became most apparent as the researcher began to sense dissonance between what he preached about participatory, holistic development and what he practiced as a manager and administrator of community development programs in Haiti. And since then, he has come to realize that these contradictions are manifested institutionally by the very agencies that rhetorically promote "development." The dissonant behavior was not unusual, but rather consistent with the norms of the organizational culture.

Contradictions in managerial and administrative behavior are merely the hazy mirror images of a much larger phenomenon. Development agencies, as institutions, often promote participatory grassroots development but, in their management practice, adopt authoritarian or consultative, rather than participative, systems. While espoused development theory has matured beyond the distortions and simplistic cosmovision of the Modernization paradigm, the systems for implementing more progressive development theory continue to be guided by the counterpart to the modernization development paradigm -- the rational-bureaucratic model for guiding management. The assumptions of the rational-bureaucratic model are inconsistent with those of participatory development, thus exposing the contradiction between development theory and practice. Those who conceive participatory development processes as the means for movement toward profound forms of social transformation are increasingly discovering these incongruencies and searching for alternatives to the rational-bureaucratic model. A growing body of research in the field of development administration suggests that the rational-bureaucratic model is not only an inconsistent, but also a dysfunctional means, to accomplish social transformation. Rather than facilitating social transformation, the rational-bureaucratic approach to management impedes the learning and development of individuals, groups, and organizations.

Social Transformation: A Movement Toward Integrity

Social transformation has been construed in this study as a collective movement toward higher levels of integration and maturity -- involving greater competency and integration of the Divergent, Assimilative, Convergent, and Accommodative learning style skills and their related Affective, Perceptual, Symbolic,

and Behavioral learning dimensions. It also involves the increasing maturation in each of the key domains of Social Values, Theory of Reality, Political Strategy, and Collective Action. Increased levels of maturation and integration occur as a consequence of transactive social learning -- a process based on experience that involves dialectical, iterative learning cycles, and eclectically borrows from various knowledge structures. Social transformation becomes viable as people choose to create a better world by joining together in solidarity and by consciously transacting with their environment. And, social transformation becomes insuppressible as maturity in the core virtues of love, wisdom, justice, and courage are collectively internalized and integrated, thereby empowering groups to transcend all forms of opposition to transformative social change and greater integrity.

Social Learning and the Management of Social Transformation

Alternatives to the rational-bureaucratic model are needed that facilitate, rather than impede, social transformation and the movement toward greater integrity. Social Learning has been identified by some scholars as the emergent paradigm for managing social transformation. Eclectically borrowing from the Organicist, Mechanistic, Formist, and Contextualist knowledge structures, the Social Learning paradigm rejects ideological and paradigmatic dogmatism, pragmatically seeking new ways to apply that which has been proven in the crucible of experience. By considering the contributions from the Organicist and Contextualist world hypotheses as existing in dialectical tension with the dominant Mechanist and Formist perspectives, Social Learning brings greater balance and integration to epistemological frameworks, opening the door for refined conceptualizations of both development and its management.

The emergent Social Learning paradigm is manifested by several vanguard movements. Most significant is the general rubric of community development projects that have shifted their management systems from a control to a learning orientation, and which have been referred to as "people-centered". Development agencies that promote people-centered development according to the precepts of a social learning approach to managing social change emphasize: 1) the need to move from authoritative toward participative managment systems; 2) decentralization and networking as structural alternatives to centralized hierarchies; 3) policy experimentation and procedural revisions that promote social experimentation; and 4) learning that strategically and sequentially focuses on effectiveness, efficiency, and expansion. Similarly, at the local level, the people-centered approach is exemplified by participatory management systems, social experimentation, and a striving for

empowerment, solidarity, expanding social consciousness, and increasing administrative capacity.

The ESL Model and the PAR Methodology

The ESL model was contructed as an attempt to discover a workable conceptual framework that is both consistent with the Social Learning paradigm and capable of guiding the management of social transformation. The ESL framework allows for the systematic assembly and interpretation of data critical to the effective management of social transformation. Critical data refers to the stages of maturation in each of the key domains of social transformation (Social Values, Theory of Reality, Political Strategy, Collective Action); the learning style competencies and tendencies of a group or local organization; and the organizational, task, and societal factors that impede or impel processes of social learning and transformation. With this information, a development agency or a local organization can devise more adequate strategies for promoting social transformation.

PAR was conceptualized as the methodological, practice-oriented dimension of the social learning paradigm -- a methodology that moves beyond the limitations of positivism. PAR is useful as the method for collecting data pertinent to the ESL model. Thus, together, the ESL model and the PAR methodology are intended to be used as complementary elements for the management of social transformation. PAR -- with its phases of participative diagnosis, reflection, planning and decision-making, implementation, and ongoing evaluation -- is isomorphic with the experiential learning cycle as well as basic managerial/administrative functions. PAR can be conceived as either a methodology for research or for management -- with the core assumption being that effective management of social transformation depends on a collective and liberating process of knowledge production, i.e., research. PAR can be used for the transformation of organizations (Mode I) or for communities (Mode II) or in combination, as part of a broader social transformation strategy.

Social Transformation and the Role of PVOs and LOs

Some PVOs operate with relative autonomy from the interests of host country governments and other institutions. This provides the PVO with a significant amount of creative freedom and the consequent capacity for promoting social change processes, even when opposed by those interested in maintaining the status quo. The PVO also tends to be closely tied into networks of other PVOs and usually associates with the poorest and most oppressed of the world through their close ties with local community development organizations --including local development associations,

interest associations such as churches, and cooperatives. Due to relative autonomy and the strong network of grassroots relationships, these PVOs have an historic "window of opportunity" for promoting significant programs for social transformation. PVOs that operate according to transformative theories of reality, combined with social learning approaches to management, are in a uniquely powerful position, as social catalysts, for promoting social transformation. Other PVOs are potentially important players on the world stage, provided they are willing to reorient their bureaucracies toward people-centered, transformative approaches to grassroots development. Solidarity between national and international PVOs and associated local organizations can lead to the kind of networking and coalition-building essential to the creation of transformative social movements.

Moving from Abstractions to the Concrete: The Purpose of this Case Study

This case study represented a preliminary attempt to ground the abstractions of the Social Learning paradigm for managing social transformation with concrete applications of the ESL model and the PAR methodology. The case study was intended as a way to help members of the PVO understand some of the realities of a local organization, how these impact on its capacity to promote social transformation, and how the PVO may become a facilitator of social transformation. While the ESL Model and the PAR methodology were used primarly as educative and diagnostic tools in this experience, they can be extended to the applications of management practice for both PVOs and LOs as well. In addition to adequately answering most of the research questions, the following benefits were derived from the research effort:

1. This research effort demonstrated that the Experiential Social Learning Model, used in conjunction with PAR, is useful in several ways, including: a) serving as an organizational or community diagnostic tool for development programs; b) as an alternative methodology for managing social transformation programs; and c) as a practical articulation and extension of the Social Learning paradigm. This case study provided some insights into the ESL Model's usefulness for each of these applications, as well as providing preliminary evidence of the presence of the Social Learning paradigm in the practice of CD.

2. According to the participative evaluation conducted with the research subjects (Appendix F), the research process was useful to the ongoing activities of the local organization and was appreciated as an important learning experience.

3. The findings of the case study led to the formulation of a number of hypotheses about group learning styles, stages and domains of development, organizational factors, and the role of the development agency in promoting social transformation.

4. The research process resulted in increased levels of research team member skill and knowledge relevant to CD programs.

5. The theory and methods used in this research endeavor are potentially useful to World Vision in other countries and contexts both for organization and CD applications. Other development agencies with similar needs and applications might also wish to experiment with these models.

An Urgent Challenge

The global problematique continues to bring the world closer to the edge of an abyss. Poverty, hunger, disease, injustice, hatred, racism, war, environmental devastation, and a myriad of other social diseases are all on the rise in a world that can ill afford any additional pressures and tensions. The dangers of a nuclear holocaust between the superpowers pale in comparsion to the increasing probability that ever larger percentages of the world's poor will die from hunger and disease. The problem is not that the world has inadequate food, wealth, and other resources to support the present population. Rather, the problem is largely due to the absence of the political will needed for addressing the structural causes of hunger and poverty. Obviously the causes are complex and no easy answers exist. However, the vast majority of the world's population -- the poor -- are less willing today to accept the status quo than ever before. Eventually, as the poor recognize their latent power, fundmental changes will be demanded, out of anger and frustration. Certainly, changes will result. What is less certain is whether the changes will bring about a better world or not.

The prognosis becomes less gloomy, even promising, if the changes are brought about as the result of a process of social transformation molded by increasing levels of integrity. Indeed, the poor are capable, through social learning, of responsibly forging a more humane world. Perhaps, it would be a world with fewer displays of ostentatious wealth, but it could also be a world that is less tolerant of the suffering of fellow human beings.

Social learning is not a panacea, and it does not pretend to lead to a utopia. However, if social learning can lead to greater maturity in the collective expressions of love, wisdom, justice, and courage then there is reason to be vigilantly hopeful in the redemptive potential of man.

The challenge is to face the global problematique responsibly and with open eyes, working with the poor to discover the tools needed for promoting social transformation and integrity. This study was one very small step in the direction of testing some tools. However, much more research is urgently needed that seeks out and tests synthetic tools and, thus compensates for the inadequacies of the analytical propensities of positivism. The emergent Social Learning paradigm appears to be capable of producing more promising tools for managing social transformation and should continue to receive increased levels of researcher attention. Finally, taking the "option for the poor" is an urgent responsibility for those social scientists who choose to be concerned about the global problematique, and who are sincerely seeking humane paths that lead away from the abyss. Social transformation that leads toward integrity is one such path that beckons all, who would walk with the poor, to travel.

APPENDICES

A. OBSERVATION TOOLS
B. DATA ANALYSIS INSTRUMENTATION
C. WORKSHOP CURRICULUM
D. DATA COLLECTION SESSIONS
E. EXCERPTS FROM RESEARCH JOURNAL
F. EVALUATION OF THE RESEARCH EXPERIENCE

APPENDIX A:
RESEARCH OBSERVATION TOOLS

* DOMAINS
* LEARNING STYLES
* ORGANIZATIONAL FACTORS
(SPANISH)

*ORIENTATION GUIDE TO EXPERIENTIAL LEARNING STYLES
(ENGLISH)

HERRAMIENTA PARA MEDIR CATEGORIAS

Valores Sociales

1.1 Actitud Frente la Realidad Comunal

¿Cuál es la actitud del grupo frente la realidad comunal?

Fatalismo Desconfianza Pasividad	Acitividades sin Reflexion	Solidaridad Confianza Accion Reflexiva

Observaciones:

1. El niño mirando al pueblo

2. El hombre pensando

3. La solidaridad de las mujeres

1.2 Dinámica Comunal

¿Cuáles son las percepciónes del grupo sobre las relaciones interpersonales?

Manipulación	Reconocimiento	Compromiso Consciencia

Observaciones:

El Titere

1.3 Motivación para la acción comunal

¿Cuál es la percepción del grupo sobre la motivación para la acción comunal?

Dos Grupos de Muchachos

2.3 Consciencia de la Realidad Social

¿Cuál es la percepción del grupo de la realidad social?

Conformismo Fatalismo -	Se culpa a los individuales/reformista	Causas en el Sistema, critica social, compromiso con la transformacion

Observaciones:

Y Perdonanos nuestras deudas

Estrategia Politica

3.1 Grado de Consciencia Politica para enfrentar los conflictos

¿Cuál es la percepción del grupo de los conflictos socio-politicos?

Negación de los Conflictos	ataca los efectos no las causas	Aceptación y Enfrentamiento de los conflictos, luchar por principios de justicia

Observaciones:

El Congreso Popular

Marcha del Campesino

Acción Colectiva

4.1 Tipo de acciones

¿Cuál es la percepción del grupo sobre acción solidaria?

Acciones para attender problemas internas de la comunidad	Diversos problemas coordinacion con otros pueblos	Solidaridad con otros sectores sociales

Observaciones:

Solidaridad Campesina

4.2 Tipo de Liderazgo

¿ Cual es la percepción del grupo sobre los estilos de liderazgo?

Autoritaria	de Consulta	Participativa

Observaciones:

Los Munequitos

La Rueda Humana

Herramienta para Medir Los
Estilos de Aprendizaje

Estilo Divergente

1.0 Sensibilidad ante los sentimientos de la gente

1.1 Expresion de sentimientos

2.0 Sensibilidad ante los valores

2.1 Respeto Mutuo y espiritu de camaraderia

2.2 Diversidad de valores reconocida y aceptada

3.0 Escuchar con una mente abierta

3.1 Interes en los opiniones de los otros

4.0 Reunirinformacion

4.1 HAcer Preguntas

4.2 Apuntar la informacion

4.3 Integracion de las Contribuciones provenientes del grupo

5.0 Creatividad frente a las situaciones ambiguas

5.1 Participacion aportando opiniones y sugerencias

5.2 Reconocimieto de problemas y oportunidades

Estilo Asimilador

1.0 Formas de explicar una realidad

1.1 El uso de modelos u teorias para explicar o discribir fenomenos

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2.0 Puesta a prueba de teorias e ideas

2.1 El grado de reflexion critica sobre las fuerzas y debilidades de ideas y teorias propuestas

---

3.0 Uso de Datos Cuantitativos para explicar fenomenos

3.1 La frecuencia de usar descriptores numericos y los datos cuantitativos

---

Estilo Convergente

1.0 Experimentacion con nuevas ideas

1.1 Aplicacion y sometimiento a preuba de nuevas ideas por medio de experimentos

1.2 Disposicion para aceptar errores como parte del proceso de aprendizaje

---

2.0 Escoger la mejor solucion

2.1 El capacitacion del grupo de evaluar alternativas

3.0 Establecimiento de Metas

3.1 Metas claras y mensurables

4.0 Toma de Decisiones

4.1 Capacacidad del grupo de llegar a un consenso

Estilo Reconciliador

1.0 Compromiso con los objetivos

1.1 Dedicacion del tiempo, energia, y recursos para lograr las metas del grupo

---

2.0 Busqueda y explotacion de nuevas oportunidades

2.1 Busqueda e identificacion de oportunidades

2.2 Explotacion de Oportunidades

3.0 Influenciar y conducir a otros

3.1 Capacidad de los lideres de conseguir un acuerdo grupal y para solicitar la participacion de los otros

4.0 Estar personalmente involucrado

4.1 Particpacion en las decisiones y en la realizacion de actividades

5.0 Trato con la gente

5.1 Armonia interpersonal

1.0 Liderazgo (por ejemplo, nivel de confianza, estilo de liderazgo)

2.0 Fuerzas Motivadoras (por ejemplo, clase de necesidades que se discutieron, como trataron los lideres las necesidades de los participantes)

3.0 Proceso de comunicacion (por ejemplo, direccion de la informacion)

4.0 Toma de Decisiones (por ejemplo, en que nivel se las hicieron, fue adecuada la informacion que se usaron?)

5.0 Fijacion de Objetivos (por ejemplo, como y quien se los fifo? en que medida se aceptaron o rechazaron los objetivos?)

6.0 Control y Evaluacion (por ejemplo, en que nivel se interesa estos procesos?)

ORIENTATION GUIDE TO EXPERIENTIAL LEARNING STYLES

DIVERGER LEARNING STYLE

Combines learning steps of Concrete Experience and Reflective Observation.

People with this learning style are best at viewing concrete situations from many different points of view. Their approach to situations is to observe rather than to take action. If this is the group's style, there will be apparent enjoyment of situations which call for the generation of a wide range of ideas such as in a brainstorming session. A group with a divergent learning style will demonstrate broad cultural interests and enjoy gathering information. Imaginative ability and sensitivity are essential for group problem-solving effectiveness. The divergent group learning style encourages the articulation and the development of social values.

Divergent Group Strengths:

1. Imaginative ability
2. understanding people
3. Recognizing problems
4. Brainstorming

Potential Divergent Group Weaknesses:

1. Paralyzed by alternatives
2. Inability to make decisions

Weak divergent skills will result in:

1. No ideas
2. Inability to recognize problems and opportunities

Effective divergent style requires:

1. Being sensitive to people's feelings
2. Being sensitive to values
3. Listening with an open mind
4. Gathering information
5. Imagining the implications of uncertain situations

ASSIMILATOR LEARNING STYLE

Combines the learning steps of Abstract Conceptualization and Reflective Observation.

People with this learning style are best at understanding a wide range of information and putting it into a concise, logical form. A group with this predominant style is less focussed on people and more interested in abstract ideas and concepts. Generally, a group with this learning tendency will emphasize the logical soundness of a theory rather than its practical value. This learning style is critical for the group to be able to articulate and eventually improve on theories of reality (or those ways which the group explains the world symbolically such as with religion, philosophy, and ideology).

Assimilative Group Strengths:

1. Planning
2. Creating Models
3. Defining Problems
4. Developing Theories

Potential Assimilator Group Weaknesses:

1. Too abstract and unrealistic
2. No practical applications

Weak assimilator skills will result in:

1. Inability to learn from mistakes
2. No sound basis for work
3. No systematic approach

Effective Assimilator style requires:

1. Organizing information
2. Building conceptual models
3. Testing theories and ideas
4. Designing experiments
5. Analyzing quantitative data

CONVERGER LEARNING STYLE

Combines learning steps of Abstract Conceptualization and Active Experimentation

People with this learning style are best at finding practical uses for ideas and theories. A group with this dominant learning style will demonstrate an ability to solve problems and make decisions based on finding solutions to questions or problems. A group with this dominant style prefers to deal with technical tasks and problems rather than social and interpersonal issues. The learning skills of the convergent group are critical for a group searching for practical solutions to complex problems. Convergent learning skills are especially important for the development of political strategies needed to overcome opposition and for building coalitions.

Convergent Style Strengths:

1. Problem solving
2. Decision making
3. Deductive Reasoning
4. Defining Problems

Potential Convergent Style Weaknesses:

1. Solving the wrong problem (for example, symptomatic rather than root problems)
2. Hasty decision making

Weak Convergent Skills will result in:

1. Lack of Focus
2. No testing of ideas
3. Scattered thoughts

Effective Convergent Style requires:

1. Creating new ways of thinking and doing
2. Experimenting with new ideas
3. Choosing the best solution
4. Setting goals
5. Making decisions

ACCOMMODATOR LEARNING STYLE

Combines learning steps of Concrete Experience and Active Experimentation

People with this learning style have the ability to learn primarily from "hands-on" experience. Members of a group with this style will enjoy carrying out plans and becoming involved in new and challenging experiences. The accommodative group will tend to act on "gut" feeling rather than on logical analysis. Problem solving by an accommodative group will demonstrate a reliance on people rather than technical analyses. The skills of this learning style are critical for an effective action and implementation, especially when the plans and strategies call for collective action.

Accommodator Style Strengths

1. Getting things done
2. Leadership
3. Risk taking

Potential Accommodator Group Weaknesses:

1. Trivial improvements
2. Meaningless activity

Weak Accommodator Skills will result in:

1. Work not completed on time
2. Impractical plans
3. activity not directed to goals

An effective accommodator style requires:

1. Commitment to objectives
2. Seeking new opportunities
3. Influencing and leading others
4. Being personally involved
5. Dealing with people

Appendix B: ANALYSIS OF THE DOMAINS

1.0 SOCIAL VALUES

1.1 Communal Praxis

What is the group's attitude about community realities?

Less Mature — More Mature

1 2 3 4 5 6 7 8 9 10

A. Fatalistic attitude about community conditions; Distrust of other members of the community; inertia & inactivity related to communal efforts.	B. Activism of community groups without critical reflection about purpose or direction of activities.	C. Social solidarity as expressed by integration of collective activities with collective reflection and with mutual trust and cameraderie displayed among participants.
Indicators:	Indicators:	Indicators:

1.2 Community Dynamics

How do the participants perceive interpersonal relations in the community?

Less Mature — More Mature

1 2 3 4 5 6 7 8 9 10

A. Community is artificial; pretense of caring; manipulative relationships; individuality, intimacy, honesty crushed. Conformity to status quo -- Low communal solidarity.	B. Community based on membership in institutions; motive for membership is to establish normalcy and to make modest reforms in the community.	C. Deep commitment to social causes and priniciples in the community; community concept is not exclusive; acceptance and celebration of cultural diversity; High communal solidarity.
Indicators:	Indicators:	Indicators:

1.3 Motivation for Community Action

What motives does the group perceive as stimulating community action in their community?

Less Mature — More Mature

1 2 3 4 5 6 7 8 9 10

A. The primary motivation is for control and personal advantage. Status and reputation are key.	B. Motivation is based on self-interest that takes into account social pressures/obligations for participation.	C. Personal satisfaction found by contributing to the needs of others as well as meeting personal needs.
Indicators:	Indicators:	Indicators:

2.0 Theory of Reality

2.1 Perceptions of Community Participation

How does the group explain apathy and non-participatory behavior in the community?

Less Mature — More Mature

1 2 3 4 5 6 7 8 9 10

A. People don't participate because they are lazy and are not interested in the community.	B. People don't participate because of economic problems and inadequate time.	C. People don't participate because of a sense of social alienation and because they have not been adequately motivated.
Indicators:	Indicators:	Indicators:

2.2 Perception of the Socio-economic situation.

What is the group's perception of the socio-economic situation in Peru and its impact on the people?

Less Mature — More Mature

1 2 3 4 5 6 7 8 9 10

A. Each person is responsible for his poverty -- and nothing can be done to change the situation.	B. The economic crisis is responsible for the present situation -- There is little that can be done to change the situation.	C. The situation is unjust and is a consequence of the system -- since history and society are dynamic. the situation can be changed.
Indicators:	Indicators:	Indicators:

2.3 Awareness of social responsibility

How does the group perceive social realities?

Less Mature — More Mature

1 2 3 4 5 6 7 8 9 10

A. Denial of the existence of social problems; fatalism, conformity to the vision of the oppressor.	B. Individuals are blamed for their problems and crises. The effects of problems are recognized but not the causes -- Commitment to treat the effects through social reforms.	C. Affirmation of self and others; The systemic causes of problems & crises are perceived; Contradictions are perceived in social critique; commitment to transformation of system and the struggle for principles.
Indicators:	Indicators:	Indicators:

3.0 Political Strategy

3.1 Level of Political Awareness

How does the group perceive socio-political conflicts?

Less Mature — More Mature

1 2 3 4 5 6 7 8 9 10

A. Denial of existence of conflicts; rejection of conflict solving tasks and strategies; political illiteracy.	B. Recognition of conflicts -- partial struggle attacking and reforming the effects of the conflicts	C. Acceptance of and confrontation with the causes of socio-political conflicts -- a willingness to struggle for principles of justice, attacking the roots of problems
Indicators:	Indicators:	Indicators:

3.2 Perception of rules and authority

How does the group percieve authority?

Less Mature — More Mature

1 2 3 4 5 6 7 8 9 10

A. Obedience is made out of perceived self-interest. One expects that people will obey to the will of those with authority.	B. What is good and what is bad are determined by those with authority. Sometimes the authorities err and obedience is not warranted.	C. Authority is based on principle freely chosen. These principles take precedence over conventional kinds of authority
Indicators:	Indicators:	Indicators:

3.3 Perception of Political Power

How does the group understand political power?

Less Mature — More Mature

1 2 3 4 5 6 7 8 9 10

A. The dominant political forces are perceived as the only entities with power (for example, the Government) Obedience to the will of these forces is the only option.	B. The dominant politcal forces are perceived as vulnerable so it is possible to confront them occasionally to obtain important concessions.	C. The situation is conceived as the product of the present priorities of the dominant political forces -- the present situation can be altered through the democratization of power.
Indicators:	Indicators:	Indicators:

4.0 Collective Action

4.1 Commitment to Solidarity

How does the group perceive social solidarity?

Less Mature — More Mature

1 2 3 4 5 6 7 8 9 10

A. The purpose of collective activity is for resolving problems or taking advantage of opportunities internal to the community.	B. The purpose of collective action is for treating diverse problems & opportunities in coordination with other neighboring communities.	C. The purpose of collective action is for treating problems and opportunities -- they may or may not affect the community directly. Will stand together and coordinate with others (such as other social sectors) based on principles.
Indicators:	Indicators:	Indicators:

4.2 Leadership style

How does the group perceive appropriate leadership styles?

Less Mature — More Mature

1 2 3 4 5 6 7 8 9 10

A. The leader's role is to control important functions of a group --deciding and executing activities without consulting with the other members of the group.	B. The leader's role is to listen to the opinios of others but to take the responsibility for the decision. Some tasks are delegated to other group members.	C. Decisions are made by mutual agreement between leaders and other group members -- decisions based on collective reflections -- group tasks are shared in an organized way.
Indicators:	Indicators:	Indicators:

4.3 Leader/Participant roles

How does the group determine the degree of quality of the participation?

Less Mature — More Mature

1 2 3 4 5 6 7 8 9 10

A. The function of the participant is as an imitator of activity; the participant has an impersonal, subordinate relation to the leaders.	B. Participants are subordinate to the leaders but with substantial interpersonal interaction. The participant analyzes and critisizes the information.	C. The participant considers the leaders as other participants -- The participants are both active and critically reflective -- allowing the group to collectively learn from experience.
Indicators:	Indicators:	Indicators:

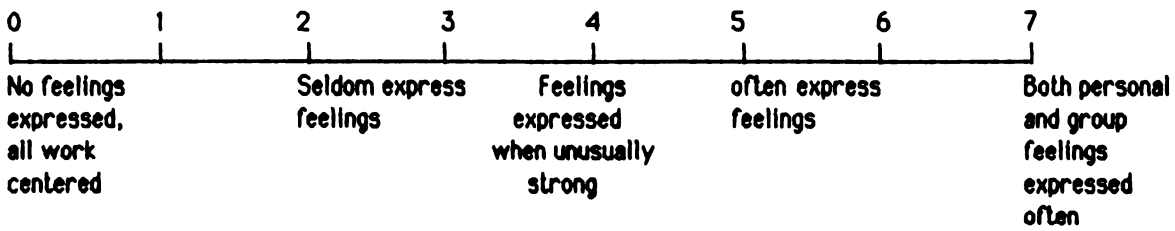
Appendix B: ANALYSIS OF LEARNING STYLE COMPETENCIES

Diverger Competencies

1.0 Being sensitive to people's feelings

1.1 Freedom in expressing feelings

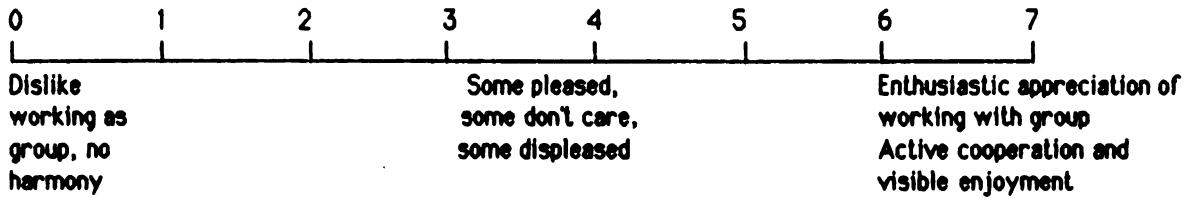
How emotionally expressive is the group during the problem-solving process?
Evaluative Criteria:



2.0 Being sensitive to values (sv)

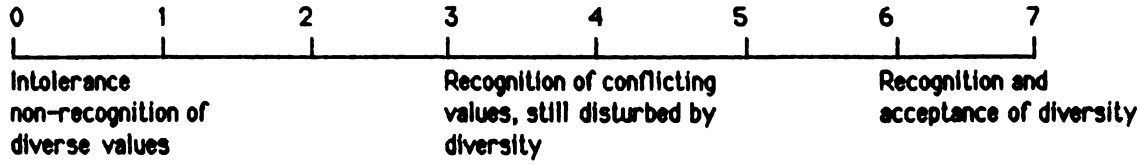
2.1 Mutual respect and spirit of comraderie

To what extent do members of the group exhibit respect for the opinions and values of others as expressed in the degree of cooperation and enjoyment?
Evaluative Criteria:



2.2 Sensitivity to values based on verbal behavior

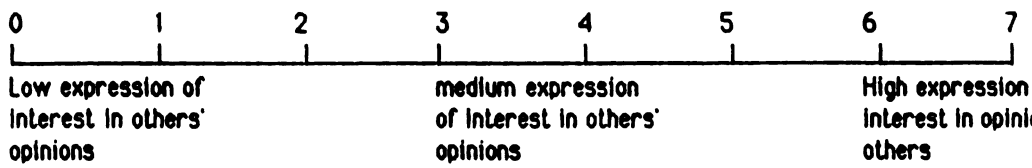
To what extent do members of the group exhibit sensitivity to values as expressed in verbal behavior?
Evaluative Criteria:



3.0 Listening with an open mind (lom)

3.1 Interest in others' opinions

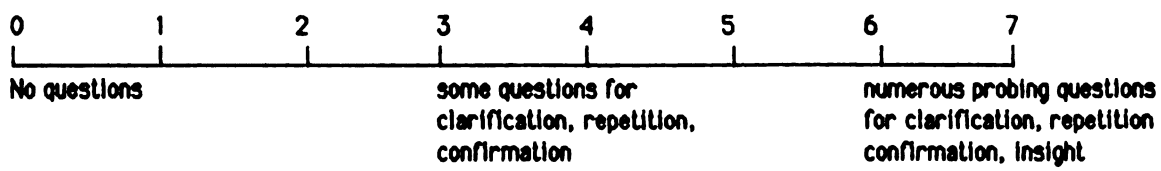
To what extent do group members express interest in the expressed opinions of others?
Evaluative Criteria:



4.0 Gathering information (gi)

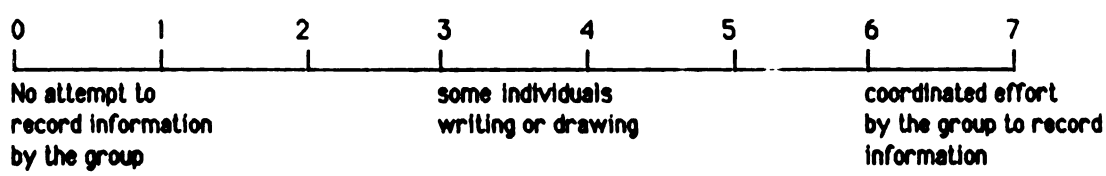
4.1 Asking questions

To what extent do group members seek to gather information by asking questions?
Evaluative Criteria:



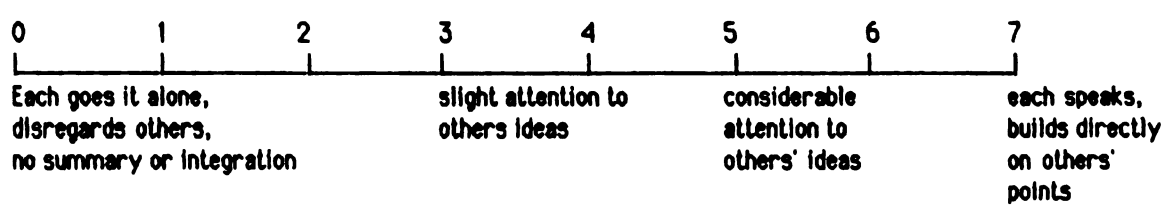
4.2 Records information

To what extent do group members document observations and insights by writing or drawing?
Evaluative criteria:



4.3 Integration of contributions from the group.

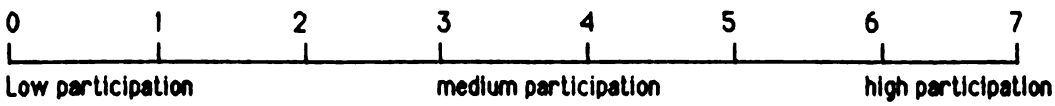
To what extent are opinions of members of the group requested in order to analyze, evaluate or express the feeling of the group?
Evaluative Criteria:



5.0 Imagining implications of ambiguous situations (ii)

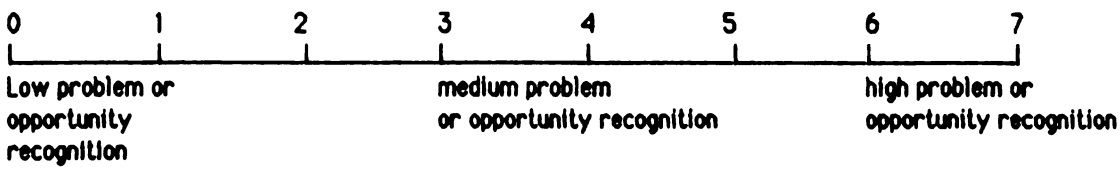
5.1 Participation in giving opinions or suggestions

To what extent are group members actively involved in expressing opinions and suggestions?
Evaluative Criteria:



5.2 Problem and opportunity recognition

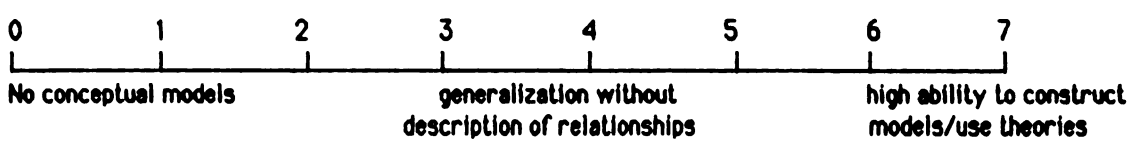
To what extent do the expressed opinions of group members indicate a recognition of problems and opportunities?
Evaluative Criteria:



Assimilator Competencies

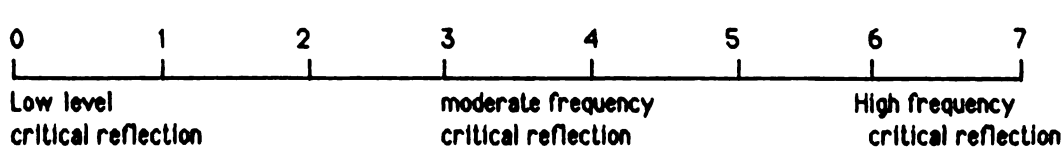
1.0 Building Conceptual Models (bcm)

To what extent is the group able to process observations and other information into models or theories for describing or explaining phenomena?
Evaluative Criteria:



2.0 Testing theories and ideas (tt)

To what extent does the group engage in critical reflection, discussing the strengths and weaknesses of ideas and theories?
Evaluative Criteria:



3.0 Analyzing quantitative data (aqd)

What is the frequency of the group using numerical descriptors or quantitative data to explain phenomena (references to costs, statistics, percentages, numbers)?
Evaluative Criteria:

CONVERGER COMPETENCIES

1.0 Experimenting with new ideas (eni)

1.1 Application and testing of new ideas with experiments

To what extent does the group express a willingness to experiment with a new idea in actual practice?
Evaluative Criteria:

1.2 Willingness to accept errors as part of the learning process

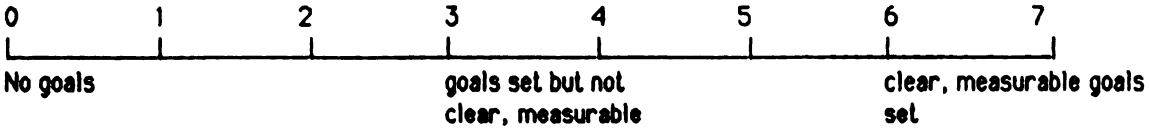
To what extent does the group accept errors which result from experimentation, as opportunities for learning rather than as failure?
Evaluative Criteria:

2.0 Choosing the best solution (cbs)

To what extent does the group demonstrate an ability to evaluate various alternatives for responding to problems or opportunities? -- (using rational criteria such as cost benefit analysis)
Evaluative Criteria:

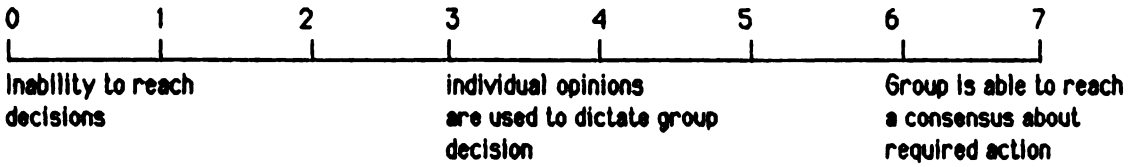
3.0 Setting goals (sg)

To what extent are clear, measurable goals set by the group?
Evaluative Criteria:



4.0 Making decisions (md)

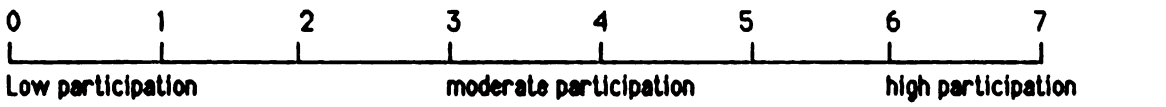
To what extent is the group able to reach a consensus about needed action?
Evaluative Criteria:



ACCOMMODATOR COMPETENCIES

1.0 Commitment to objectives (co)

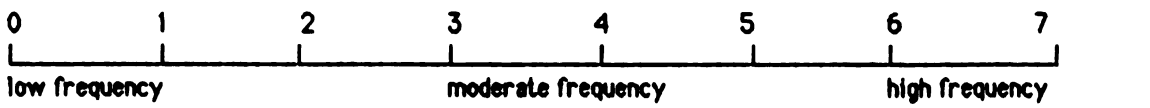
To what extent do group members dedicate their time, energy and resources toward the accomplishment of group goals?
Evaluative Criteria:



2.0 Seeking and exploiting opportunities (seo)

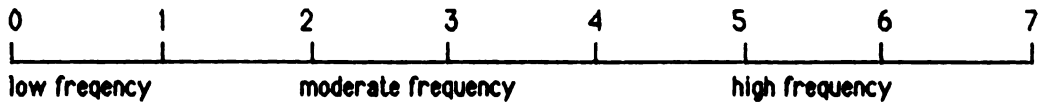
2.1 Search for and identification of opportunities

To what extent does the group attempt to identify opportunities inspite of discouraging circumstances?
Evaluative Criteria:



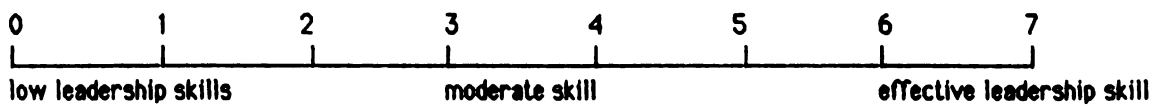
2.2 Exploitation of opportunities

To what extent does the group exhibit a tendency to exploit identified opportunities? (such as with concrete plans, ideas, objectives)
Evaluative Criteria:



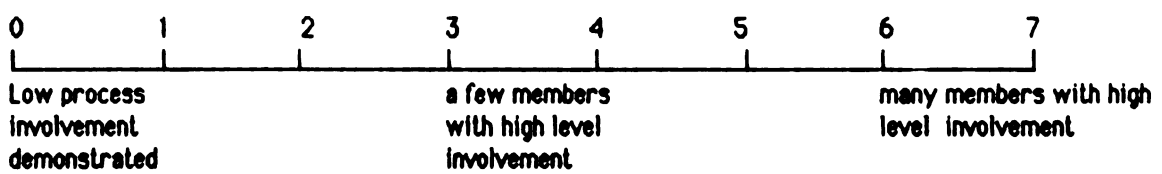
3.0 Influencing and leading others (ilo)

To what extent do group members demonstrate leadership ability in building group consensus and in the effective solicitation of member participation?
Evaluative Criteria:



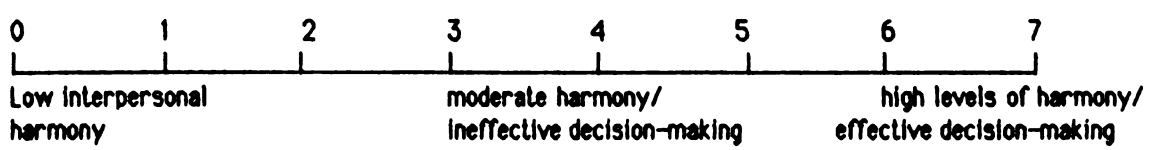
4.0 Being personally involved (bpi)

To what extent do group members exhibit a high level of personal interest in the outcomes of group process? (as expressed by participation in decision-making and implementation activities)
Evaluative Criteria:



5.0 Dealing with People (dp)

To what extent does the group demonstrate interpersonal harmony? (interpersonal skills used for soliciting the participation of other group members in decision-making -- striving for consensus without condescension or hostility)
Evaluative Criteria:



Analysis of the Organizational Factors

1.0 Leadership Process

1.1 What level of trust between leaders and followers do you feel was demonstrated?

0 — 1 — 2 — 3 — 4 — 5 — 6

low level of confidence & trust demonstrated	Substantial but not complete confidence & trust demonstrated	Complete trust & confidence in all matters demonstrated

a. Why was this selected? If possible, provide some concrete examples.

b. Did World Vision influence trust levels in some way? Yes_____ No_____ If yes, in what way(s)?

1.2 What style of leadership was used most frequently during the experience?

0 — 1 — 2 — 3 — 4 — 5 — 6

condescending; the ideas & opinions of others are not encouraged; other participants do not feel free to discuss problems	some supportive behavior; ideas & opinions are sometimes encouraged; increasing freedom to discuss problems	supportive behavior displayed fully by leader(s). Opinions of others are always encouraged; full freedom to discuss problems

a. Why did you select this leadership style? If possible, provide some concrete examples.

b. Did World Vision influence the leadership style used in this experience? Yes_____ No_____ If yes, in what way(s)?

2.0 Motivational Forces

2.1 What kinds of participant needs were addressed most frequently during the experience?

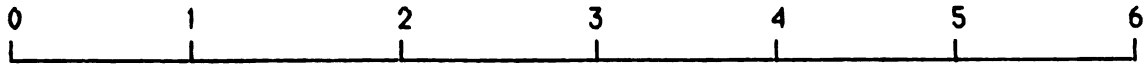
0 — 1 — 2 — 3 — 4 — 5 — 6

Physical security; economic needs; some affiliation, status, achievement needs	economic needs; status, affiliation, achievement needs; desire for new experiences	Full use of multiple motivational forces — economic & ego needs (status, affiliation, achievement); consideration for group goals

a. Based on your observations, provide (if possible) some concrete examples to justify your assessment.

b. Did World Vision have an impact on the kind of needs addressed during the experience?

2.2 How were participant needs addressed by the local organization during the experience?

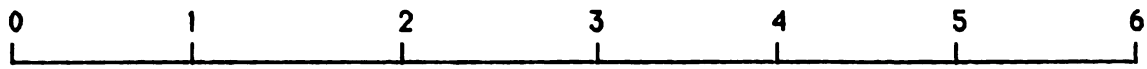


Fear, threats, punishment and occasional rewards used to exploit underlying participant motives/needs	Rewards, some punishment and some involvement used to meet participant needs.	Decisions about how participant needs will be met determined through participative process of setting goals & evaluating performance

a. If possible, provide some concrete examples of how needs were met.

b. Did World Vision influence how participant needs were addressed in this experience? Yes_____ No_____
If yes, in what way(s)?

2.3 How much responsibility was felt by the participants for achieving the local organization's goals?

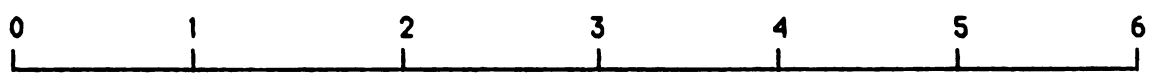


felt responsibility for reaching goals at top (Leadership)	Substantial proportion of participants feel responsibility & behave in ways to help achieve goals	All participants, at all levels, feel real responsibility & behave accordingly

a. To the extent possible, provide some examples of the level of responsibility for organizational goals felt by participants?

b. Did World Vision influence the level of responsibility felt by participants? Yes_____No_____
If yes, in what way(s)?

2.4 What attitudes between the participants were apparent during the experience?



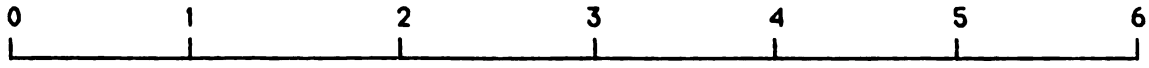
Subservient attitudes toward leaders; competition for status with resulting hostility among participants	cooperative, reasonably favorable attitude toward others in group; some competition & hostility among participants.	Favorable, cooperative attitudes of most participants with mutual trust & confidence among participants apparent.

a. Provide some examples of participant attitudes.

b. Did World Vision influence the kinds of participant attitudes exhibited during the experience?

3.0 Communication Process

3.1 What direction(s) did information flow among the various members of the group and to what extent did the quality of the information contribute to goal achievement?

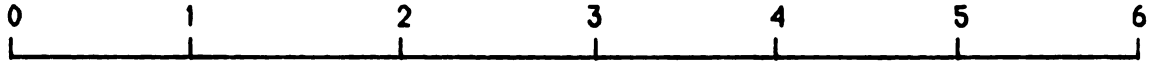


Little communication & interation aimed at achieving goals; direction of information flow downward (leader to follower)	Considerable information flowing in up/down directions; leaders provide most information needed but mostly communication continues to be dominated by top.	High degree of information & interaction with individuals & groups in all directions; communication initiated at all levels; information is highly goal relevant.

a. If possible, describe the reason(s) for your determination in 3.1.

b. Did World Vision influence the direction of the information flow or its relevance to goal achievement? Yes_____ No_____ If yes, please indicate in what way(s).

3.2 To what extent did the leader(s) understand the other participants' problems?



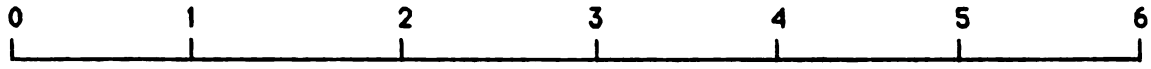
Leader exhibits poor understanding of others' problems	Leaders tend to know and understand others' problems	Excellent, empathetic understanding of others' problems

a. If possible, provide some concrete examples.

b. Did World Vision influence the extent of leader understanding? Yes_____ No _____ If yes, in what way(s)?

4.0 Decision-Making Process

4.1 At what level were decisions made?

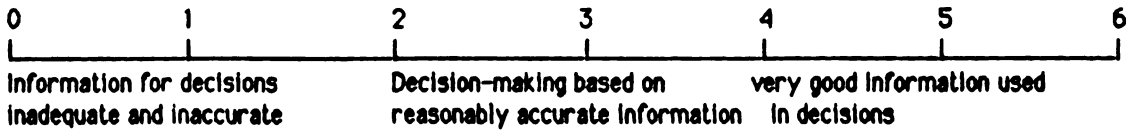


Most decisions made at the top of organization -- decisions made at lower levels cleared with the top	Broad policy decisions at top, more specific decisions at lower levels	Participative decision-making, high level of integration in process by involving different groups.

a. Give some examples of decisions and who made them.

b. Did World Vision influence the decision-making process? Yes_____ No_____ If so, in what way(s)?

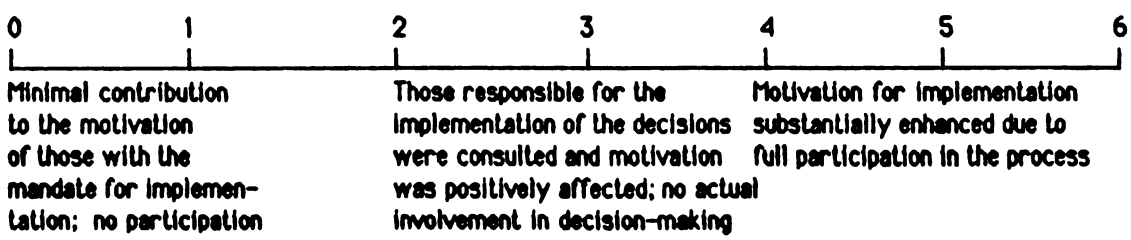
4.2 How adequate or reliable was the information used in making the decision(s)?



a. Provide a concrete example, if possible.

b. Did World Vision influence the quality of information used for making the decisions? Yes_____ No_____ If yes, in what way(s)?

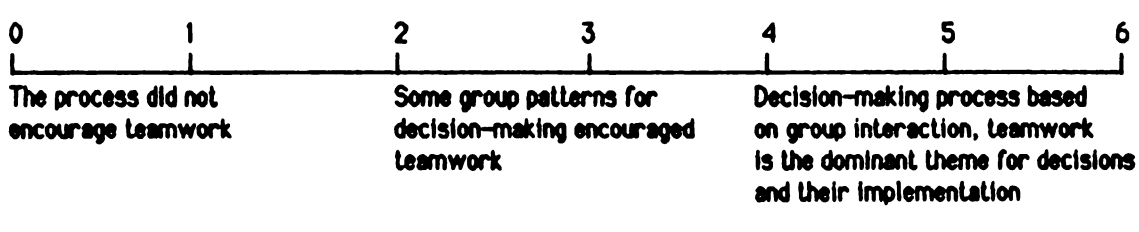
4.3 Did the decision-making process help to motivate those responsible for implementing the decisions?



a. Provide an example, if possible.

b. Did World Vision influence the degree of participation and thereby the level of motivation by those responsible for implementing decisions? Yes_____ No_____ If yes, in what way(s)?

4.4 To what extent was teamwork encouraged or discouraged during the experience?

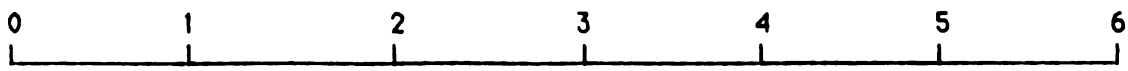


a. Provide an example, if possible.

b. Did World Vision influence the extent to which teamwork was encouraged or discouraged? Yes_____ No_____ If yes, describe how.

5.0 Goal-Setting Process

5.1 How were goals set and by whom?

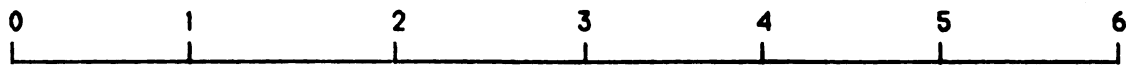


Goals set by issuing orders; opportunity to comment may or may not exist	Goals are set or orders are given after some discussion/ consultation	Except in emergencies, goals are usually set by means of group participation

a. Provide an example, if possible.

b. Did World Vision influence the goal-setting process? Yes_____ No_____ If yes, in what way(s)?

5.2 To what extent were goals accepted, rejected, or resisted?



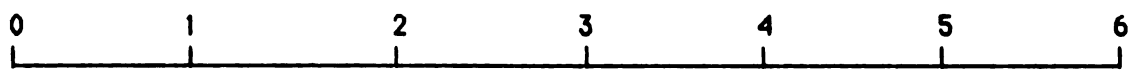
The goals pursued by the top were either overtly rejected or covertly resisted by most participants	the goals were overtly accepted but covertly resisted or ignored by some participants	Goals set with participation of all levels, goals covertly and overtly accepted by most participants

a. Provide an example, if possible.

b. Did World Vision influence whether the group accepted or resisted goals? Yes_____ No_____
If yes, in what way(s)?

6.0 Control and Evaluation Processes

6.*1 At what level of the organization does major or primary concern exist for the evaluation and control functions?*



Primary concern for the control and evaluation functions exist primarily at the top -- some evaluation & control functions delegated to middle & lower levels	Some sharing of felt responsibility for these processes at lower levels -- some downward delegation of evaluation and control processes	Concern for performance of evaluation and control processes at all levels of the organization -- evaluation and control activities carried-out at all levels.

a. Provide an example(s), if possible.

b. Did World Vision influence the concern/responsibility level for control and evaluation processes? Yes_____
No_____ If yes, in what way(s)?

FOTO	PREGUNTAS
1° Niño mirando el Pueblo	¿Qué creen que está pensando el niño? ¿Cómo es el futuro de este niño? ¿Es posible cambiar ese futuro?, ¿cómo? V.S.1.1.
2° Hombre pensando	¿Qué está pensando este hombre? V.S.1.1.
3° La solidaridad de las mujeres	¿Cuál es la actitud de estas personas?, ¿por qué están trabajando en conjunto? V.S.1.1.
4° Títere	¿Qué es lo que ven ahí? ¿Cómo se maneja un títere?, ¿Eso sucede en la comunidad?, ¿Hay personas que manejan a otras?, ¿por qué? V.S.1.2
5° Las manos	¿Qué significa esta foto para ustedes? ¿Por qué es importante la unidad o .... en Villa El Angel? V.S.1.3.
6° Mujer trabajando sola	¿Qué está sucediendo en esta foto? ¿Eso pasa en Villa El Angel?, ¿Por qué las otras personas no pasticipan? TR 2.1.
7° La línea del tren	¿En qué nos hace pensar esta foto? ¿Quién controla el destino de la comunidad? T.R.2.2
8° Dos grupos de muchachos	¿Qué ven en esta foto?, ¿Por qué existe esta situación?, ¿Es posible cambiarla?, ¿Cómo?. T.R.2.2.
9° Y perdónanos nuestras deudas	¿Qué ven en esta foto?, ¿Por qué están así estas personas?. T.R. 2.3.
10° Congreso Popular	¿Qué están haciendo estas personas?, ¿A quiénes representan?, ¿Por qué están luchando?. E.P. 3.1.
11° Marcha de campesinos	¿Qué expresa esta foto?, ¿Qué es lo que se puede lograr con acciones de este tipo?. E.P. 3.1.
12° La gestión del Pueblo Joven	¿Qué están diciendo estas personas?, ¿Eso sucede frecuentemente?, ¿Por qué?. E.P. 3.2.

FOTO	PREGUNTAS
13° La autoridad	¿Qué actitud tienen estas personas? ¿A quién representa el hombre grande en nuestro país?, ¿A quién representa el otro? ¿Qué sentimos frente a la autoridad?, ¿Por qué? E.P. 3.2.
14° Los poderosos	¿Qué representan estas personas? ¿Quiénes tienen el poder en nuestro país? ¿Ustedes tienen el poder?. E.P.3.3.
15° Las masas	¿Cómo interpretarían esta foto?, ¿Qué es lo que se puede hacer con tanta gente? E.P. 3.3
16° Solidaridad campesina	¿Qué dice en la banderola?, ¿Qué pensamos de lo que dice allí?.
17° Los muñequitos	¿Qué representa esta imagen? A.C. 4.2. ¿Qué sucede cuando se da este tipo de liderazgo?
18° La rueda humana	En relación a lo que estamos conversando, ¿qué nos sugiere esta otra foto? A.C. 4.2.
19° Los pescadores	¿Cómo interpretarían esta foto?, ¿Cuál es la actitud de las personas?, ¿Por qué?.

ANÁLISIS DE LAS CATEGORIAS

1.0 VALORES SOCIALES

1.1 Actitud frente a la realidad comunal

¿Cuál es la actitud del grupo frente a la realidad comunal?

Menos madurez — Más madurez

1 2 3 4 5 6 7 8 9 10

A.	B.	C.
Actitud fatalista acerca de las condiciones de la comunidad; desconfianza de los otros miembros de la comunidad; inersia e inactividad para la actividad comunal.	Los grupos de la comunidad despliegan actividad sin reflexión crítica sobre el propósito y dirección de sus actividades.	Solidaridad social que se expresa por la integración de las actividades colectivas con reflexión colectiva y con una confianza y camaradería mutua evidente entre los participantes.
Indicadores:	Indicadores:	Indicadores:

Dinámica Comunal

1.2 ¿Cuáles son las percepciones del grupo sobre las relaciones interpersonales en la comunidad?

Menos madurez — Más madurez

1 2 3 4 5 6 7 8 9 10

A.	B.	C.
La comunidad artificial; hay relaciones de manipulación; se aplastan la individualidad, la intimidad y la honestidad; la conformidad es el statu quo; hay poca solidaridad comunal.	La comunidad se basa en la membresía en instituciones; el motivo para la membresía es ser aceptado por los otros y hacer reformas modestas en la comunidad.	Profundamente comprometida con las causas y principios de la comunidad el concepto de comunidad no es exclusivo; se acepta y celebra la diversidad cultural; hay una gran solidaridad comunal.
Indicadores:	Indicadores:	Indicadores:

La Motivación para la acción Comunal

1.3 ¿Cuál es la percepción del grupo sobre la motivación para la acción comunal?

Menos madurez — Más madurez

1 2 3 4 5 6 7 8 9 10

A. La motivación principal es tener control y sacar provecho personal. Lo importante es el status y la reputación.	B. La motivación se basa en un interés personal y se toma por obligación la responsabilidad de participar.	C. Se encuentra satisfacción personal en buscar solución a los intereses propios y a los intereses de los demás.
Indicadores:	Indicadores:	Indicadores:

2.1

2.0 TEORIA DE LA REALIDAD.- Percepción de la Participación Comunal

2.1 ¿Cuál es la percepción del grupo sobre la participación comunal?

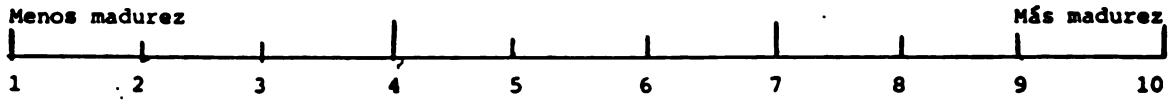
Menos madurez — Más madurez

1 2 3 4 5 6 7 8 9 10

A. La gente no participa porque es floja y no tiene interés en la comunidad.	B. La gente no participa porque tiene problemas económicos y no tiene tiempo.	C. La gente no participa porque está alienada por el individualismo y porque no los hemos motivado a que participen.
Indicadores:	Indicadores:	Indicadores:

Comprensión de la Situación Socio-económica

2.2 ¿Cuál es la percepción del grupo sobre la situación socio-económica?



A. Cada individuo es responsable de su pobreza y no se puede hacer nada para cambiar la situación.

Indicadores:

B. La crisis económica es responsable de la situación actual, pero no se puede hacer mucho para cambiarla.

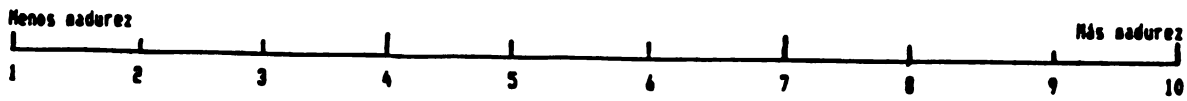
Indicadores:

C. La situación de injusticia es producto del sistema, y como la sociedad y la historia son dinámicas, es posible cambiarlas.

Indicadores:

2.3 Conciencia de la realidad social

¿Cuál es la percepción del grupo sobre la realidad social?



A. Negación de los problemas sociales; fatalismo; conformismo a la visión del mundo opresor.

Indicadores:

B. Se culpa a los individuos de sus problemas y crisis; la gente se culpa y se compadece por los problemas y crisis personales. Sólo se ven los efectos y no las causas de los problemas.

Indicdores:

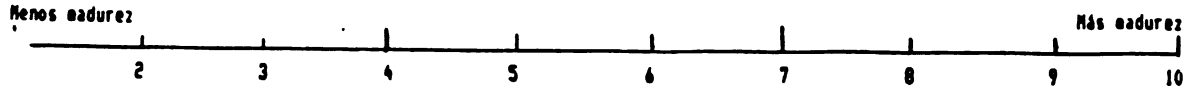
C. Afirmación de uno mismo y de los demás se ven las causas sistémicas de muchos problemas y crisis; se perciben las contradicciones en el sistema y se participa en la crítica social; compromiso con la transformación del sistema y con la lucha por los principios

Indicadores:

3.c ESTRATEGIA POLÍTICA

3.1 Grado de conciencia política para enfrentar los conflictos:

¿Cuál es la percepción del grupo sobre los conflictos socio-políticos?



A. Negación de la existencia de conflictos; rechazo de tareas cuyo fin es resolver los conflictos.

Indicadores:

B. Reconocimiento de los conflictos, enfrentamiento parcial para atacar los efectos de los problemas.

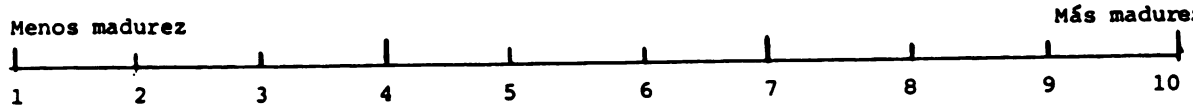
Indicadores:

C. Aceptación y enfrentamiento de los conflictos. Disponibilidad de luchar por principios de justicia atacando las causas de los problemas.

Indicadores:

3.2 Percepciones de la Autoridad

¿Cuál es la percepción del grupo sobre la autoridad?



A. La obediencia es por interés propio; se espera que la gente se conforme a los deseos de la autoridad.

Indicadores:

B. Lo que es bueno y lo que es malo lo decide la autoridad; a veces la autoridad se equivoca, no siempre debe obedecerse.

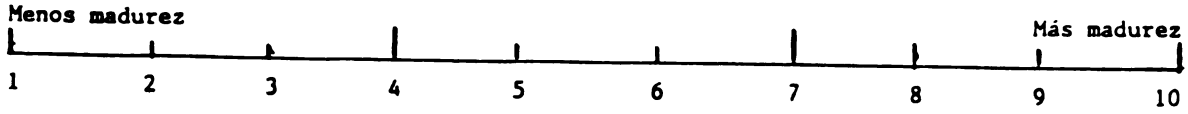
Indicadores:

C. La autoridad se basa en principios libremente escogidos; éstos son prioritarios a los mandatos de la autoridad convencional.

Indicadores:

3.3 Percepción del Poder Político:

¿Cuál es la percepción del grupo sobre el poder político?

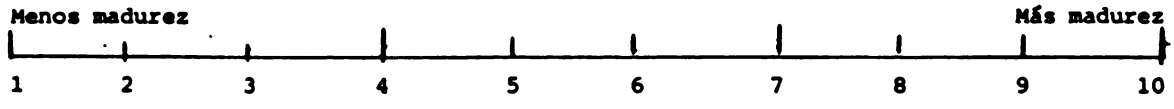


A. Se concibe a las fuerzas políticas dominantes (p.ej.: el gobierno) como las únicas con poder, frente a las cuales sólo cabe la obediencia.	B. Se concibe a las fuerzas políticas dominantes como entes vulnerables a las cuales es posible enfrentar ocasionalmente para obtener algunas reivindicaciones.	C. La situación es concebida como producto de la actual correlación de fuerzas, la cual es posible alterar para democratizar el poder.
Indicadores:	Indicadores:	Indicadores:

4.0 ACCION COLECTIVA

4.1 Tipo de Acciones:

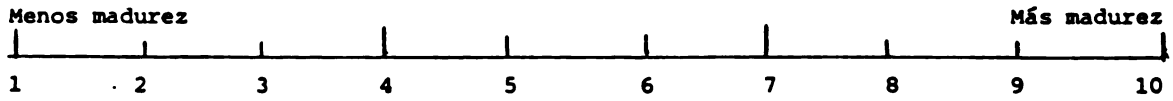
¿Cuál es la percepción del grupo sobre la acción solidaria?



A. Las acciones son solamente para atender problemas internos de la comunidad.	B. Las acciones son para atender sus problemas diversos y en coordinación con otros pueblos cercanos.	C. Las acciones son para atender problemas que no necesariamente les afectan directamente y en coordinación con otros sectores sociales.
Indicadores:	Indicadores:	Indicadores:

4.2 Tipo de Liderazgo:

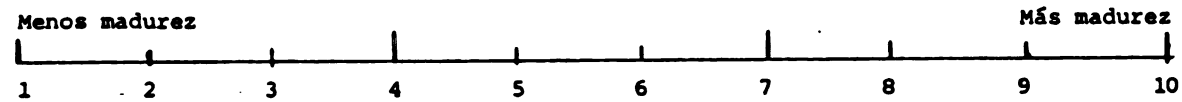
¿Cuál es la percepción del grupo sobre los estilos de liderazgo?



A. El líder acapara las funciones, decide y ejecuta sin recoger la opinión del resto.	B. El líder tiene apertura a las opiniones de los demás y las acepta sólo si está de acuerdo. Delega algunas tareas en otros miembros. Conoce sus funciones pero se extralimita en el cumplimiento de ellas.	C. Las decisiones se toman de mutuo acuerdo y se promueve la reflexión sobre el quehacer colectivo. Se comparten las tareas en forma organizada. Conoce sus funciones y se sujeta a ellas.
Indicadores:	Indicadores:	Indicadores:

4.3 Tipo de Participación:

¿Cuál es la percepción del grupo sobre la calidad de la participación?



A. La función de los participantes es como imitadores de la actividad, como subordinados en una relación impersonal con el líder.	B. Subordinados a los líderes pero con una interacción personal sustancial con el líder; analizan y critican la información.	C. Considera al líder como otro participante, Hay permanente reflexión colectiva que les permite crear a partir de la experiencia.
Indicadores:	Indicadores:	Indicadores:

ANALISIS DE LOS ESTILOS DEL APRENDIZAJE EXPERIENCIAL

Estilo divergente del aprendizaje

1.0 Sensibilidad ante los sentimientos de la gente (ssg)

1.1 Libertad para la expresión de sentimientos

¿Cuán expresivo emocionalmente es el grupo a la hora de resolver un problema?
Criterios de evaluación:

0	1	2	3	4	5	6	7
No expresa sentimientos, se concentra en el trabajo		Rara vez expresa sentimientos		Expresa sentimientos cuando son extraordinariamente fuertes		Suele expresar sentimientos,	Los sentimientos personales y del grupo se expresan con frecuencia.

2.0 Sensibilidad ante los valores (sv)

2.1 Respeto mutuo y espíritu de camaradería

¿En qué medida ... el grado de cooperación y alegría del grupo revela que sus miembros respetan las opiniones y los valores de los demás?
Criterios de evaluación:

0	1	2	3	4	5	6	7
Les disgusta trabajar en grupo, no existe armonía			A algunos les agrada, a otros les es indiferente, a otros les molesta			Aprecian con entusiasmo el trabajo en grupo; cooperan activamente y con visible contento	

2.2 Diversidad de valores reconocida y aceptada

¿En qué medida expresa el comportamiento verbal del grupo que sus miembros son sensibles hacia los valores?
Criterios de evaluación:

0	1	2	3	4	5	6	7
Intolerancia; no reconocen los diversos valores			Reconocimiento de valores encontrados; aún los perturba la diversidad			Reconocimiento y aceptación de la diversidad	

3.0 Escuchar con una mente abierta (ema)

3.1 Interés en las opiniones de los otros

¿En qué medida se interesan los miembros del grupo por las opiniones que expresan los demás?
Criterios de evaluación:

0	1	2	3	4	5	6	7
Poca expresión de interés en la opinión de los otros			Moderada expresión de interés en la opinión de los otros			Gran expresión de interés en la opinión de los otros	

4.0 Reunir información (ri)

4.1 Hacer preguntas

¿En qué medida hacen preguntas los miembros del grupo para recoger información?
Criterios de evaluación:

0	1	2	3	4	5	6	7
No hacen preguntas			Hacen algunas preguntas buscando aclaración, repetición o confirmación			Hacen numerosas preguntas meticulosas buscando aclaración, repetición, confirmación o buscando entender la naturaleza de las cosas	

4.2 Apuntar la información

¿En qué medida documentan sus observaciones los miembros del grupo usando la escritura o el dibujo?
Criterios de evaluación:

0	1	2	3	4	5	6	7
El grupo no intenta apuntar la información			Algunos miembros escriben o dibujan			El grupo realiza un esfuerzo coordinado para apuntar la información	

4.3 Integración de las contribuciones provenientes del grupo

¿En qué medida se piden los miembros del grupo las opiniones los unos de los otros para analizar, evaluar o expresar el sentimiento del grupo?
Criterios de evaluación:

0	1	2	3	4	5	6	7
Cada uno anda por su cuenta; es indiferente a los demás, no se resumen ni se integran las contribuciones			Le prestan un poco de atención a las ideas de los demás		Le prestan una considerable atención a las ideas de los demás		Cada uno habla y construye a partir de los puntos de los demás

5 Creatividad frente a las situaciones ambiguas

5.1 Participación aportando opiniones y sugerencias

¿Hasta qué punto participan los miembros del grupo activamente a la hora de expresar opiniones o sugerencias?
Criterios de evaluación:

0	1	2	3	4	5	6	7
Poca particición			Moderada participación			Gran participación	

5.2 Reconocimiento de problemas y oportunidades

¿En qué grado indican las opiniones expresadas por los miembros del grupo un reconocimiento de los problemas y las oportunidades?
Criterios de evaluación:

0	1	2	3	4	5	6	7
Poco reconocimiento del problema o la oportunidad			Moderado reconocimiento del problema o la oportunidad			Gran reconocimiento del problema o la oportunidad	

Estilo asimilador del aprendizaje

1.0 Formas de explicar una realidad

¿En qué medida puede el grupo procesar observaciones y otra información en modelos o teorías para describir o explicar fenómenos?
Criterios de evaluación:

0	1	2	3	4	5	6	7
No hay modelos conceptuales			Hay generalización sin descripción de relaciones			Hay una gran capacidad para la construcción de modelos y uso de teorías	

2.0

Puesta a prueba de teorías e ideas (pt)

¿En qué medida reflexiona críticamente el grupo sobre las fuerzas y debilidades de las ideas y teorías propuestas?
Criterios de evaluación:

0	1	2	3	4	5	6	7
Poco nivel de reflexión crítica			Frecuencia moderada de reflexión crítica			Gran frecuencia de reflexión crítica	

3.0

Uso de datos cuantitativos para explicar fenómenos

¿Con cuánta frecuencia usa el grupo los descriptores numéricos y los datos cuantitativos para explicar fenómenos (tales como referencias a costos, estadísticas, porcentajes, números)?
Criterios de evaluación:

0	1	2	3	4	5	6	7
No usa descriptores numéricos			Raramente usa descriptores numéricos			Usa frecuentemente descriptores numéricos	

Estilos convergentes del aprendizaje

1.0 Experimentación con nuevas ideas (eni)

1.1 Aplicación y sometimiento a prueba de nuevas ideas por medio de experimentos

¿En qué grado está dispuesto el grupo a experimentar con una idea en la práctica real?
Criterios de evaluación:

0	1	2	3	4	5	6	7
Objetivos no incluyen experimentación de nuevas ideas			Objetivos incluyen alguna experimentación			Objetivos incluyen una significativa experimentación	

1.2 Disposición para aceptar errores como parte del proceso de aprendizaje

¿En qué grado acepta el grupo los errores que resultan de la experimentación como oportunidades para aprender y no tanto como fallas?
Criterios de evaluación:

0	1	2	3	4	5	6	7
Los errores se ven como fallas			Hay una apertura modesta a ver los errores como experiencias			Los errores se entienden como una fuente de aprendizaje	

2.0 Escoger la mejor solución (ees)

¿En qué grado puede el grupo evaluar varias alternativas para responder a problemas y oportunidades? --

Criterios de evaluación:

0	1	2	3	4	5	6	7
No considera alternativas-- no hay análisis de costo y beneficio			El análisis de costo y beneficio es incompleto. Consideran algunas alternativas			Se hace un análisis de costo y beneficio cuidadoso de las alternativas eligiendo entre varias de ellas...	

Establecimiento de metas (em)

¿En qué grado establece metas claras y mensurables el grupo?
Criterios de evaluación:

0	1	2	3	4	5	6	7
No hay metas			Hay metas pero no son claras o mensurables			Hay metas claras y mensurables	

Toma de decisiones (td)

¿En qué grado llega el grupo a un consenso cuando se requiere acción?
Criterios de evaluación:

0	1	2	3	4	5	6	7
Incapaz de llegar a una decisión			Las opiniones individuales dictan la decisión de grupo			El grupo llega a un consenso cuando se requiere acción	

Estilos reconciliadores del aprendizaje

1.0 Compromiso con los objetivos (co)

¿En qué medida dedican los miembros del grupo su tiempo, energía y recursos a lograr las metas de grupo?
Criterios de evaluación:

0	1	2	3	4	5	6	7
Poca participación			Moderada participación			Gran participación	

2.0 Búsqueda y explotación de nuevas oportunidades (bno)

2.1 Búsqueda e identificación de oportunidades

¿En qué medida trata el grupo de identificar las oportunidades independientemente de las situaciones adversas
Criterios de evaluación:

0	1	2	3	4	5	6	7
Poca frecuencia			Moderada frecuencia			Gran frecuencia	

2.2 Explotación de oportunidades

¿En qué medida tiende el grupo a transformar las oportunidades identificadas en planes concretos, ideas, u objetivos?
Criterios de evaluación:

0	1	2	3	4	5	6	7
Poca frecuencia			Moderada frecuencia			Gran frecuencia	

3.0 Influenciar y conducir a otros (ico)

¿En qué medida demuestran capacidad de liderazgo los miembros del grupo para conseguir un acuerdo grupal y para solicitar eficazmente la participación de los otros?
Criterios de evaluación:

0	1	2	3	4	5	6	7
Poca capacidad			Moderada capacidad			Capacidades eficaces	

4.0 Estar personalmente involucrado (epi)

¿En qué medida participan los miembros del grupo en la toma de decisiones y en la realización de actividades, mostrando así un gran interés personal en los resultados del proceso grupal?
Criterios de evaluación:

0	1	2	3	4	5	6	7
Se involucran poco			Unos pocos miembros se involucran mucho			Muchos miembros se involucran mucho	

5.0 Trato con la gente (tg)

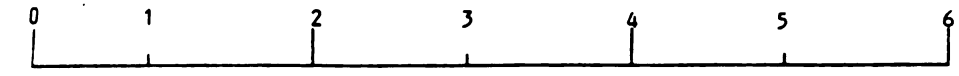
¿En qué medida demuestra el grupo armonía interpersonal? (las destrezas interpersonales que utilizan para solicitar la participación de otros miembros de grupo en la toma de decisiones -- siempre procurando llegar a un acuerdo sin antagonismo u hostilidad)
Criterios de evaluación:

0	1	2	3	4	5	6	7
Poca armonía interpersonal			Moderada armonía y la toma de decisiones es ineficaz			Grandes niveles de armonía y la toma de decisiones es eficaz	

FACTORES ORGANIZATIVOS

1.0 Liderazgo

1.1 En su opinión, ¿qué nivel de confianza se dio entre los líderes y los seguidores?



A. Poca confianza

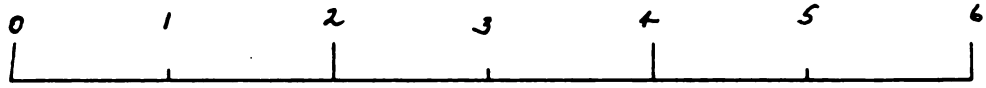
B. Considerable confianza pero no total

C. Completa confianza en todos los asuntos

a. ¿Por qué escogió esta respuesta? Si es posible, proporcione algunos ejemplos concretos.

b. ¿Influyó Visión Mundial en el grado de confianza que se dio? Si ___ No ___
Si su respuesta fue 'si', ¿cómo?

1.2 ¿Cuál estilo de liderazgo se usó con mayor frecuencia durante la experiencia?



...o se instó a que los demás dieran ideas y opiniones; los otros participantes no sintieron libertad para discutir los problemas

Un poco de apoyo; se instó algunas veces a que los demás dieran ideas y opiniones; aumentó el nivel de libertad para discutir los problemas

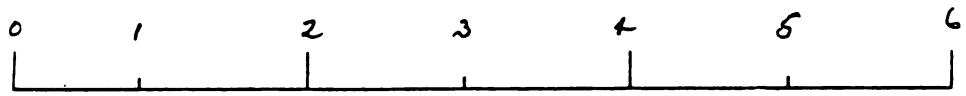
El líder(o líderes) demostraron apoyo completo. Se instó siempre a que los demás dieran opiniones; hubo total libertad para discutir los problemas.

a. ¿Por qué escogió usted esta respuesta? Si es posible, proporcione algunos ejemplos concretos.

b. ¿Influyó Visión Mundial en el estilo de liderazgo que se usó en esta experiencia? Si___ No ___
Si su respuesta fue 'si', ¿cómo?

2.0 Fuerzas motivadoras

2.1 ¿Qué clase de necesidades discutieron más frecuentemente los participantes durante la experiencia?



Seguridad física; necesidades económicas; algunas necesidades de afiliación, status y éxito	Necesidades económicas; necesidades de afiliación, status y éxito; deseo de nuevas experiencias	Uso de varias fuerzas motivadoras — necesidades económicas y de la persona (status, afiliación, éxito); consideración por las metas del grupo.

a. Con base en sus observaciones, proporcione si es posible algunos ejemplos concretos para justificar su evaluación.

b. ¿Influyó Visión Mundial en la clase de necesidades que se discutieron durante la experiencia?

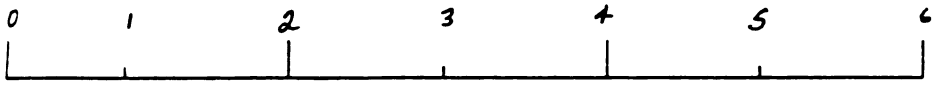
2.2 ¿Cómo trataron los organizadores locales las necesidades de los participantes durante la experiencia?

Usaron el miedo, las amenazas, los castigos y las recompensas ocasionales para explotar las motivaciones y necesidades subyacentes de los participantes.	Usaron las recompensas, un poco de castigo y un poco de participación para llenar las necesidades de los participantes	Las decisiones acerca de cómo llenar las necesidades de los participantes las determinaron por medio del proceso de participación de poner metas y evaluar el desempeño

a. Si es posible, proporcione algunos ejemplos concretos de cómo se llenaron las necesidades.

b. ¿Influyó Visión Mundial en la manera en que se trataron las necesidades de los participantes en esta experiencia?
Si ___ No ___ Si su respuesta fue 'si', ¿cómo?

2.3 ¿Cuánta responsabilidad sintieron los participantes de alcanzar las metas de la organización local?



Sintieron que la responsabilidad de alcanzar las metas la tenían los líderes

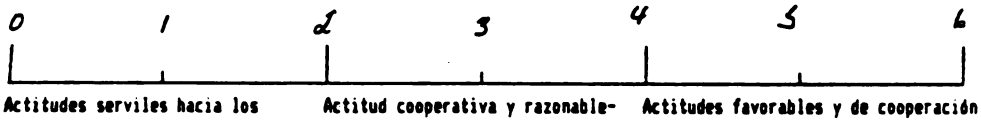
Una buena porción de los participantes se sintió responsable y se comportó en una forma que ayudó a alcanzar las metas

Todos los participantes, en todos los niveles se sintieron responsables y actuaron de acuerdo con eso

a. Hasta donde sea posible, proporcione algunos ejemplos del nivel de responsabilidad que sintieron los participantes de lograr las metas de la organización.

b. ¿Influyó Visión Mundial en el nivel de responsabilidad que sintieron los participantes? Si ___ No ___
Si su respuesta fue 'si', ¿cómo?

2.4 ¿Cuáles actitudes entre los participantes fueron evidentes durante la experiencia?



Actitudes serviles hacia los líderes; competencia por el status con la consecuente hostilidad entre los participantes.

Actitud cooperativa y razonablemente favorable hacia los demás del grupo; un poco de competencia y hostilidad entre los participantes.

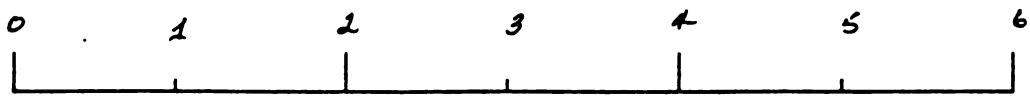
Actitudes favorables y de cooperación en la mayoría de los participantes con una confianza mutua evidente entre ellos.

a. Proporcione algunos ejemplos de actitudes de los participantes.

b. ¿Influyó Visión Mundial en las actitudes que exhibieron los participantes durante la experiencia?

3.0 Proceso de comunicación

3.1 ¿En qué dirección (o direcciones) se transmitió la información entre los miembros del grupo y en qué medida contribuyó la calidad de la misma al logro de la meta?

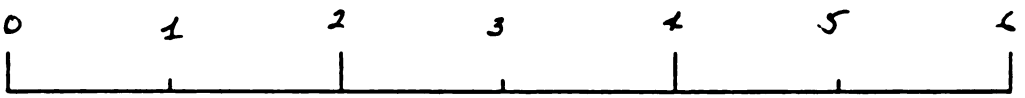


Poca comunicación e interacción dirigida a lograr metas; la dirección de la información fue de arriba abajo (líder a seguidor)	La dirección de la información fue de arriba a abajo y viceversa; los líderes proveyeron la mayoría de la información requerida pero la mayoría de la comunicación siguió dominada desde arriba	Hubo un alto grado de información e interacción con los individuos y grupos en todas las direcciones; la comunicación se inició en todos los niveles; la información estaba muy relacionada con la meta

a. Si es posible, describa la razón (o razones) para su selección en el punto 3.1.

b. ¿Influyó Visión Mundial en la dirección en la que se transmitió la información y su relación con el logro de las metas? Si ___ No ___ Si su respuesta fue 'sí', por favor, indique cómo.

3.2 ¿En qué medida comprendió el líder (o líderes) los problemas de los demás participantes?



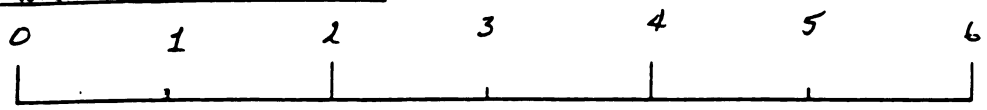
Poca comprensión de los problemas de los demás	Tiende(n) a conocer y comprender los problemas de los demás	Muestra(n) una excelente comprensión frente a los problemas de los demás

a. Si es posible, proporcione algunos ejemplos concretos.

b. ¿Influyó Visión Mundial en el grado de la comprensión del líder? Si ___ No ___
Si su respuesta fue 'sí', ¿cómo?

4.0 Toma de decisiones

4.1 ¿En qué nivel se hicieron las decisiones?



La mayoría de las decisiones las tomaron los líderes -- las decisiones que se hicieron en los niveles inferiores se aprobaron con los líderes

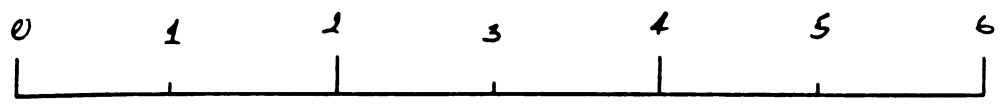
Los líderes tomaron las decisiones generales; las específicas se aprobaron en los niveles inferiores

La toma de decisiones fue participativa; hubo un alto nivel de integración en el proceso al involucrar los diferentes grupos.

a. Dé algunos ejemplos de las decisiones y quién las tomó.

b. ¿Influyó Visión Mundial en la toma de decisiones? Si ___ No ___ Si su respuesta fue 'sí', ¿cómo?

4.2 ¿Cuán adecuada o confiable fue la información que se usó al tomar la decisión (o decisiones)?



La información para las decisiones fue inadecuada e inexacta

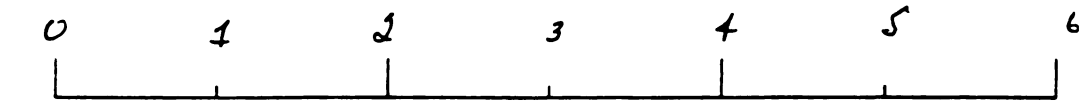
La toma de decisiones se basó en una información razonablemente exacta

Se utilizó muy buena información al tomar las decisiones.

a. Proporcione un ejemplo, si es posible.

b. ¿Influyó Visión Mundial en la calidad de la información utilizada? Si ___ No ___ Si su respuesta fue 'si', ¿cómo?

4.3 ¿Ayudó el proceso de tomar decisiones a motivar a los que las aplicarán?



Mínima contribución a su motivación; no hubo participación alguna

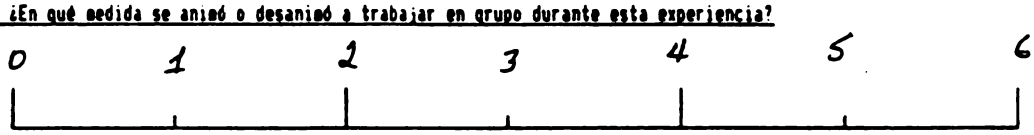
Se consultó a los que aplicarán las decisiones y la motivación fue positiva; no hubo una participación real al tomar decisiones

La motivación se fortaleció sensiblemente debido a la participación de todos al tomar las decisiones.

a. Proporcione un ejemplo, si es posible.

b. ¿Influyó Visión Mundial en el grado de participación y por ello en el nivel de motivación de los que aplicarán las decisiones? Si ___ No ___ Si su respuesta fue 'si', ¿cómo?

4.4 ¿En qué medida se animó o desanimó a trabajar en grupo durante esta experiencia?



No se animó a trabajar en grupo

La forma de trabajo utilizada en la toma de decisiones animó a trabajar en grupo

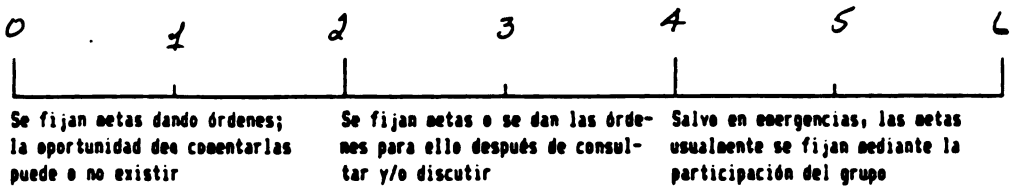
La toma de decisiones se basó en la interacción de grupo; el trabajo de grupo dominó al tomar decisiones y al aplicarlas

a. Proporcione un ejemplo, si es posible.

b. ¿Influyó Visión Mundial para animar o desanimar el trabajo de grupo? Si ___ No ___
Si su respuesta fue 'si', ¿cómo?

5.0 Fijación de metas

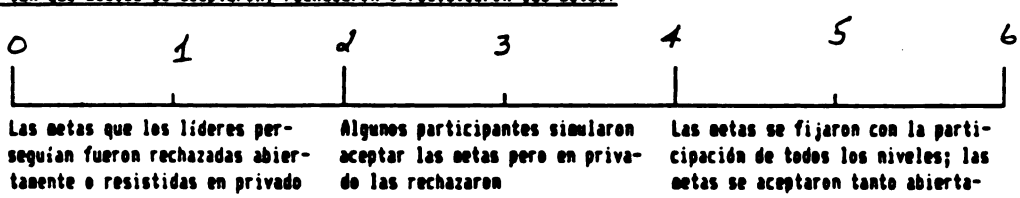
5.1 ¿Cómo se fijaron las metas y quién las fijó?



a. Proporcione un ejemplo, si es posible.

b. ¿Influyó Visión Mundial en la fijación de metas? Si ___ No ___ Si su respuesta fue 'si', ¿cómo?

5.2 ¿En qué medida se aceptaron, rechazaron o resistieron las metas?

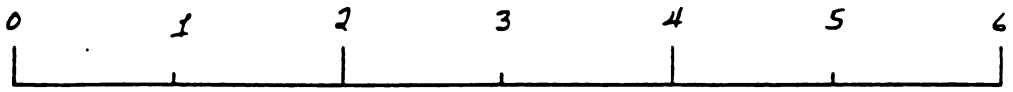


Proporcione un ejemplo, si es posible.

¿Influyó Visión Mundial para que el grupo aceptara o resistiera las metas? Si ___ No ___
Si su respuesta fue 'si', ¿cómo?

6.0 Control y evaluación

6.1 ¿Qué nivel de la organización se interesa en alto grado por la evaluación y el control?



La mayor preocupación por el control y evaluación está en los líderes. Algunas de estas funciones son delegadas al nivel medio o inferior.

Los niveles inferiores comparten un poco la responsabilidad — se delega en cierta medida la evaluación y el control

El interés por evaluar y controlar se da en todos los niveles de la organización; así también todos los niveles evalúan y controlan

a. Proporcione un ejemplo (o varios), si es posible.

b. ¿Influyó Visión Mundial en el nivel de interés o responsabilidad por el control y la evaluación?
Si ___ No ___ Si su respuesta fue 'si', ¿cómo?

APPENDIX C: WORKSHOP CURRICULUM

- **Purpose**
- **Standards**
- **Methods**
- **Participants**
- **Objectives**
- **Excerpts from reflections**

Appendix C: Workshop Curriculum

Purpose of the Workshop:

1. To provide a participative forum for research members to learn the basic principles of the theory and metodology guiding this research effort.

2. To provide practical experiential exercises to help enhance research team members skills pertinent to both the research activities and normal activities as development promotors.

3. To familiarize the researchers with the preliminary variable definitions, indicators, instrumentation for collecting and analyzing the data.

4. Based on the workshop sessions, to improve and elaborate the variable definitions, indicators, and instrumentation for collecting and analyzing the data.

5. To reflect on the institutional realities of World Vision using the ESL model as a frame of reference.

Standards for the Research Effort

1. That the research be a useful experience for the community in the conduct of its own development.

2. That the research serve as an opportunity for discovering and reflecting on practical tools for promoting community development in the field.

3. That the research experience be a forum for reflecting on the institutional/organizational realities of World Vision.

4. That the research contribute to the theory pertaining to the management of social transformation and the role of the PVO in promoting social transformation.

Workshop Methods

1. Lectures on the theory and methodology to be used during the research experience.

2. Work sessions -- collectively reviewing and revising the definitions, indicators, and instruments.

3. Small group reflection sessions/ discussion in plenaria.

4. Video taping role playing/simulation sessions with reflection and critique.

Workshop Participants

1. Facilitators/Leaders of Workshop

    *Lead Researcher
    *Director of training and evaluation
    *Consultant

2. Members of Operations Team

*Operations Management (3)
*Operations Support Staff (3)
*Operations: Project Promotors (4)

3. National Director (for introductory session)

Timeframe: Half day sessions over a period of five weeks

Workshop Objectives:

Session 1: General Orientation

1. General overview of the theory and methods

2. Describe the role and time requirements of the research team members.

3. Presentation and discussion of the various elements of the ESL model and PAR methodology.

4. Decision-making about the research process and schedule; and selection of research team participants.

Session 2: General Reflections and Analysis of Generative Themes

1. Review of the theory and methodology/ collective reflections

2. Overview of research process with research team members.

3. Analysis of the generative themes extracted from the community descriptor exercise -- to ground the theory and provide the foundation for codification of the themes with fotomontaje technique.

* Selection of themes
* Analysis of causes (economic, political, cultural) in small groups
* Presentations of small groups -- list of causes/symptoms
* Reflections using the ESL Model (synthesis)

4. Reflections on impelling forces and impeding forces for social transformation.

Session 3: Learning Styles and Social Transformation

1. Introduction to experiential learning theory and learning styles.

2. Learning styles and variable categories/indicators.

3. The Learning Style Inventory: Assessment of research team learning style tendencies (individual and collective scores)

4. Contextualization of the indicators of learning style tendencies.

5. Review and revise the analysis instrment for group learning style tendencies.

6. Orientation to the methodology to be used for collecting data about learning styles.

Session 4: Domains of Social Transformation

1. Review the domains and definitions for the 12 domain concepts

2. Review and revise the proposed methodology and analysis instrument for the domains -- including concept indicators.

Session 5: Organizational Factors and Social Transformation

1. Review the influence of organizational factors on social transformation using the ESL model as a frame of reference.

2. Review and revise the analysis instrument for measuring organizational factors.

3. Reflections on the appropriate method for collecting data about organizational factors in the local organization and the influence of World Vision.

4. Simulation of the problem-posing/fotomontaje technique for collecting data about the domains. Video-taping of simulation and reflections.

Sessions 6, 7: Data Recording, Coding, Scoring and Analysis

1. Session 6: Recording, coding, scoring and analysis of the Domains

2. Session 7: Recording, coding, scoring and analysis of the Learning Styles

Session 8: Interpretations, Recommendations, and Evaluation

1. Final analysis of data including review of facilitator team scoring of the organizational factors.

2. Interpretations of the data as assembled in the ESL framework.

3. Recommendations for World Vision management.

4. Evaluation of the research process (see appendix F)

Selected Excerpts from Workshop Reflections

1. Discussion of the institutional Forces that impede and impel community development

Forces that impede:

a. Child Sponsorship requirements
b. Other administrative requirements (excessive plans and reports)
c. Organizational instability -- rapid, unanticipated growth & cut-backs.
d. Lack of serious social research
e. Too much money used poorly

Forces that impel:

a. Promotion of participation
b. Adequate financial resources
c. Capable local organizations
d. Some of the systems are helpful
e. Human resources -- promotors & facilitators -- local leadership
f. integration of action & reflection

2. Brainstorming on the meaning of the domains of social transformation:

a. Social Values:

-- social values are tendencies/parameters for guiding social behavior
-- social values can change with social influence
-- social values are laws which guide a people in its development or are used to preserve an existing system.
-- values are imposed by institutions within the system such as the family, the schools, etc.
-- social values can be oppressive or liberating

b. Theory of Reality:

-- is an interpretation of the reality in which man lives
-- is a conceptualization of reality
-- is a vision or perspective that people have about things based on a framework
-- everybody has a vision of the world depending on their spectacles.

c. Political Strategy:

-- lines of communication
-- guidelines for obtaining something
-- an intelligent approach to problem-solving
-- the way we deal with reality

d. Collective Action:

-- a group of people that work together in solidarity and harmony in order to achieve their common purpose.

-- implies maturity, critical consciousness of social realities, and knowing what is wanted.

-- collective efforts for the common good.

-- supposes participation, intellectual capacity, participative leadership, clear goals

-- can be used for negative and positive ends,.

-- collective action is a process

APPENDIX D: DATA COLLECTION SESSIONS

* Purpose
* Methods
* Participants
* Timeframe
* Objectives/Activities

Appendix D: Data Collection Sessions

Purposes of Data Collection Sessions:

1. To collect data by videotaping five sessions with the community of Villa El Angel. Data was collected pertinent to the measurement of maturation in each of the domains of social transformation, the learning style tendencies of the group, and the organizational factors of the local development association

2. To serve as useful community meetings -- contributing to the ongoing activities of the local development association.

3. To stimulate reflections through the community descriptor, problem-posing, problem-solving, and evaluation sessions.

4. To contribute in concrete ways to participant understanding of the problems associated with unemployment and poverty -- and how the community can respond to these problems through the elaboration of a plan for a small community enterprise.

5. To enhance relations between the community and the donor agency.

6. To test the practical applications of several methodological tools.

Methods:

1. Facilitated discussions/reflections.

2. Small group work with community descriptor exercise using collage materials/techniques.

3. Facilitated reflections about various themes using the slides/fotomontaje technique.

4. Facilitating a problem-solving session -- including reflections and planning.

5. Analyzing a past experience of the local development association in small groups, using drawings and verbal descriptions.

Participants:

1. Facilitator Team

   * Lead researcher
   * Director of training and evaluation
   * Consultant
   * Two of the WV project promotors

2. Community Members (26 persons participated in all -- with around 15 consistent participants)

   * Leaders of the various commissions
   * Members of the Board of Directors
   * Leaders of the Project Committee
   * Representatives of the block committees

3. Photographer -- videotaping each session

Timeframe:

Five evening sessions (of three to four hours) spread over a four week period.

Objectives/Activities:

Session 1: General Orientation/Getting Acquainted

1. Introductions of participants -- Group Dynamic.
2. Identification of participant expectations.
3. Explain reasons for inviting Villa El Angel to participate in the research experience.
4. General overview of the objectives of the research process/description of process.
5. Proposal of schedule
6. Questions and Answers -- Dialogue
7. Exercise to assess participant comprehension
8. Introduction to session two -- discussion

Session 2: Community Descriptor Exercise

1. Ice-breaking exercise
2. Review of the previous session/overview of research objectives and schedule
3. Presentation of objectives of session -- instructions
4. Assessment of participant comprehension -- discussion
5. Small Group work using collage technique -- describing Villa El Angel's past based on accomplishments and difficulties -- and aspirations for the future.
6. Small group presentations/explanations of collages -- discussion/feedback.
7. Conclusions/planning for the next session.

Session 3: Problem-Posing/Fotomontaje Session -- Organizational Factors

1. Review of previous session/Overview of research objectives/schedule.
2. Objectives of session and method described.
3. Collective reflections using slides and facilitation
4. Introduction to the organizational factors exercise -- instructions for small groups
5. Work in small groups.

6. Presentation of small group findings

7. Summary and conclusions

8. Evaluation of the session

9. Overview of the purpose of the next session

Session 4: Problem-Solving Exercise

1. Overview of previous sessions/research objectives and schedule

2. Objectives of session/instructions

3. Group problem-solving -- reflections & descriptions about the causes of the problem.

4. Initial planning on how to solve the problem.

5. Conclusions

Session 5: Conclusions and Evaluation

1. Brainstorming about what was learned from the experience; what was beneficial; and how the experience could have been improved.

2. Sharing some of the research team observations.

3. Discussion of how the data/findings are to be used -- including a decision about whether the participants wished the name of the community to appear in the documentation of the research. Also the use of the video tapes was discussed.

4. Viewing of a video documentary produced for the community -- based on the research process and filming of the 25 year anniversary of Villa El Angel.

5. Plaudits and mutual appreciation between researchers/participants expressed.

6. Presentation of videotape to community as symbol of research team appreciation

Excerpts from daily journal -- November 16 to December 20

Monday, November 16

1. Arrived in Lima early AM on Linea Aero Argentinas -- went to Hotel Columbus at 4AM

2. Went to the office in the afternoon -- met with Martin, Victor, Bladimiro, greeted Pedro & others. The meetings were encouraging. Discussed the possibility of a relief training seminar for the staff with Eduardo and Victor -- no plans made. Also met the auditor team which was wrapping-up their audit of VM Peru.

3. Also met with Daniel, the President of the community council and discussed the research project -- was not prepared for the meeting but it was good to get the contacts with the community going -- Bladi, the WV project promotor in Villa El Angel, had already described in very general terms that we wanted to conduct a research project in Villa Angel and had inquired whether they would be interested in participating -- I spent sometime with Daniel, Bladi, and Martin describing in very general terms what we wanted to do in Villa El Angel and inquired whether the community would like to consider participating -- Daniel said he would discuss the proposal with other members of the directiva to get their opinion. We set-up a meeting for Friday afternoon with Daniel and other representatives of Villa El Angel for Friday, Nov. 20. We met for about 40 minutes on Nov. 16. Did not tape that conversation -- so the exact details of what was discussed are fuzzy in my memory. However, I do recall that Daniel expressed enthusiasm about participating in a research endeavor with World Vision -- I don't think he left that day with a clear idea of what we wanted to do since I had not had time to discuss things with the research team -- it would have been preferable to have planned for the meeting instead of having it spontaneously.

Tuesday, November 17

1. Met with Corina for the first time for breakfast. We discussed the research effort in general -- she described what she understood from the manuscript that I had sent her and mentioned that the methods chapter had helped her to understand better what was planned -- said that she liked the theory and methodology and that it would probably be well received by potential members of the research team.

2. Spent the morning, (following introductions to the staff at devotions by Pedro Arana), with Corina and Martin -- Corina had her contract extended so that she could work full-time with me on the research effort, Martin, who is in charge of training and evaluation for Peru, was also committed to spending a substantial amount of time with me -- they are the key research assistants to be referred to, with me as group leader, as the facilitator team -- facilitating the OD and CD dimensions of the PAR methodology -- with two client groups the research team from Vision Mundial and the community members from Villa El Angel.

> -- Attempted to provide an overview of the ESL model using the Spanish versions of the Figures from Chapters II and III. Also provided an overview of the methodology to be used using the Figures and explanantions from Chap IV. I think Corina and Martin were confused at first due to the complexity and breadth of the theory and concepts. However, they appeared to be quite

intrigued by the research project -- and began to offer concrete suggestions relevant to the methodology.

-- We brainstormed about an initial schedule for the five week process and decided that it was critical that the research be proposed formally to Lima's operational team and include Victor and Pedro -- a three hour meeting for Friday AM was set up to include Pedro Arana, the national director, Victor Arroyo, Operations Coordinator, and the operations team members from the Lima region including Gustavo, Miguel, (original project promotor for Villa El Angel), Eduardo, Juan, Bladimiro, (actual project promotor for Villa El Angel), Abigail, Juanita, Maria Laura.

Wednesday, November 18

1. Various orientation and planning sessions with Martin and Corina during the A.M.

2. Met with Bladimiro at 2:30 with Corina and Martin -- presented the ESL model and PAR methodology using the flipchart to draw the model componnent by component. Corina said that for the first time the model seemed clear to her -- and powerful -- realized that the abstractions could best be communicated through the use of graphic illustrations -- explaining it piece by piece. That night the city was blacked-out by the guerrillas (Sendero) while eating dinner in a restaurant.

Thursday, November 19

1. Additional orientation and planning sessions with Corina and Martin during AM.

2. Discussed the research proposal with Pedro Arana over lunch -- also discussed the relief training issue briefly. Pedro had been briefed previously during his last visit to Los Angeles about the research proposal and had been very supportive of the concept. Had my first experience with tear gas -- walking back to office from lunch. striking medical workers.

3. Discussions with Corina and Martin -- planning for meeting on Friday -- with the Operations team and the representatives of Villa El Angel. Also discussed methods issues needing resolution.

4. Moved from hotel to pension in Magdalena del Mar.

Friday, November 20

1. Had late start with the meeting -- arriving late to meetings was a regular problem of the research team members. We practiced for the first time with the video cam recorder -- filming the entire session -- Martin intitiated the session by describing the five purposes of the research; I followed by introducing the theory (shifting development paradigms, the problem of inappropriate management systems for accomplishing social transformation -- and the ESL model as alternative, drawing the model component by component on the flipchart -- also introduced the methodology in broad terms which Corina then expanded on giving the details and proposing a schedule for the remaining four weeks -- emphasizing the time required of the participants -- eventually -- following negotiation -- decided on a schedule for the research team members which they could live with. Good questions were asked by the project promotors indicating that they understood in general terms and were interested -- Pedro could not stay for the entire session -- bribed them with chocolates -- Gave each participant the ESl model Figures in spanish. Felt it was a

good meeting, though it might have been better to have the flipchart presentation prepared before the session instead of drawing it as I spoke.

2. In the afternoon, met with three representatives of Villa El Angel -- Daniel, Senor Zapata, and a representative of the Club de Madres (whose name I don't recall). We met from 3-4PM -- discussed the research proposal in some more detail -- describing that it would be participative -- and not a series of lectures , that we hoped it would involve practical activities of potential benefit to Villa El Angel. We also discussed the videotaping methodology -- Suarez and Zapata indicated that there would be absolutely no problem with the filming -- indeed, they felt it would be a special privilege (a "luxury" for them). We proposed the schedule involving five sessions with the community members -- They came with a list of fifteen participants, having already selected the members of the participating group -- but without having received clear indications about our criteria for selecting members -- they also indicated that it was difficult for them to exclude others from the community from this series of activities, which they perceived as potentially benefitting the entire community -- we did indicate an absolute maximum of 20 -- the list of fifteen with a possible addition of five more -- we stated clearly that we wanted the same persons to participate throughout the five sessions and that a larger group than 20 was not feasible given what we were trying to accomplish. I'm not sure how clearly they understood what it was we wanted to do -- we tried to focus on the practical aspects of the planned sessions and not to explain in any detail what we were studying -- they seemed to understand that it was a research project -- but that's about it. The participants that the Villa El Angel leaders decided to invite were representative of the various committees -- composing the rather complicated community organization for Villa El Angel -- which we discovered was highly participative and to which the WV project was primarily a financial and consultative support. The community leaders explained that they were in the process of producing a historical document on their community as part of the preparations for their 25th anniversary -- which our process was fortunate enough to coincide with.

3. Miguel Carvajal -- the orginal project promotor in Villa El Angel -- spent additional time that afternoon with Corina and myself describing some of Villa El Angel's history -- especially its three-year history working with Vision Mundial -- and helped us to understand the community organizational structure by drawing a chart of how the various committees and assemblies related and how decisions in the community were ultimately determined. Much more complex than I had anticipated -- perhaps my frame of reference was tied to my experiences with rural local organizations with which World Vision typically works -- This project -- or, community -- was not at all typical of the other Vision Mundial projects in Peru -- in fact, in some respects it was an experimental approach to working in partnership directly with a pre-existing community organization -- rather than the typical approach of creating a parallel organizational structure by working primarily with a local church (In fact, this is what Compassion has done in Villa El Angel with the local evangelical church). In Villa El Angel, there was no church directly participating in the project activities or administration. A committee was formed to administer the WV funds but activities were ultimately made by the general community asssembly -- that is to say, by all members of the community who wished to participate -- all major decisions and goals in Villa El Angel are thus determined by the votes cast at the assembly -- and the project committee is subservient to the assembly and its elected directorate.

4. Arrangements with Pedro Arroyo to do the video filming for three sessions and a video documentary made.

Monday, November 23

1. Planning with Corina and Martin for the first session with Villa El Angel community participants at 8PM Monday night. Objectives, methodology, and responsibilities for the evening session were planned -- Bladimiro agreed to come to this first session.

2. Murphy's law rose its ugly head on the way to the community -- the car broke down -- had to return to the office in tow and to wait for another vehicle to arrive -- we arrived late for the first session --perhaps setting a poor precedent for the community participants although most of them arrived after us -- the purpose of the first session was to provide an orientation of the process to the participants and to get acquainted -- we used several group dynamic exercises led well by Martin and Corina -- the session was relatively short by 10pm the meeting was concluded. I did the filming for this session -- technically not so good mainly because of the lighting, I missed a few of the people that introduced themselves. There was some good discussion about the subsequent session scheduled for November 25 at 8pm.

Tuesday, November 24

1. Morning session spent with Martin, but mostly alone -- reviewing the video of the previous evening. I made some observations about the session to be shared in the evaluation session held that afternoon with Corina and Martin. I also began to review some of the documents in the 12 inches of World Vision project documentation on Villa El Angel.

2. I called the International office, talked with Don. Confirmed return flight with airline.

3. Worked with Corina and Martin planning improvements in how we will facilitate the Wednesday session and also how to improve the technical aspects of the filming. Also spent some time with Bladi planning for the community description exercise focussing on the past, present, and future of Villa El Angel using collage technique with newspaper and magazine cut-outs.

Wednesday, November 25

1. Morning session spent evaluating the first session with Villa El Angel and planning for second session.

2. Planning was continued in the afternoon, preparing the materials, flipchart, plan of action, cut-outs for the collage technique.

3. Received a disturbing phone call from Bryan T. at I.O. who was passing a message to me from Frank Fear at MSU.

4. Oriented Pedro Arroyo about what we needed in the filming for the Wed. session. He practiced on the camera.

5. Arrived in Villa El Angel on time for the second session -- waited until 8:45 to begin -- the people arrived real late this time -- had a slightly different group this time -- we started with 7 persons and gradually 3 more trickled in to participate in the community description exercise which we began after a group dynamic. I provided an overview of the process, Corina facilitated the introduction and conclusion of the session with Miguel and Bladi assisting with the facilitation as they worked in two

small groups -- one group described certain highlights of the past 25 years, focusing on problems and opportunities; the other group focused on the present aspirations of the community -- using the cut-outs, or their own drawings to depict the conclusions of each group. This exercise was relatively well received considering the heightened interest in the history of the community as they geared up for the celebration of their 25 year anniversary. On the other hand, there were many things we felt could have been facilitated better and that would have produced better results from both a research point of view as well as giving more meaning to the experience for the participants. This session was video-taped and the quality was much better.

Thursday, November 26

1. Arrived at the office at 10:30am due to the late night in Villa El Angel -- the session didn't end until almost midnight. Didn't seem much like Thanksgiving. Spent the morning organizing my thoughts, trying to plan the activities for the next few days especially the preparations for the workshop planned for the following week with the research team members. Analyzed the collages and reviewed the video of the previous evening's session.

2. Afternoon was spent evaluating the first session with Corina and Martin, assessing the status of the effort up to this point and making a list of decisions requiring management's input which were then discussed with Victor from 5-6 including proposals for the time to be required of the research team members in the workshop as well as the analysis of the data (the videos). Received no firm commitment from Victor due to the internal situation of office. Also proposed that follow-up should be given to the research process as a phase II or mode II PAR intervention -- leading to increasing control by the community over the research process.

3. Went to the bookfair in Miraflores and got some good books for the context chapter -- mostly relating to the situation in the pueblos jovenes in Lima.

Friday, November 27

1. The video of the second session in Villa El Angel was reviewed and analyzed a second time.

2. The instruments for organizational factors, stages/domains, and styles were revised -- with corrections made to the translations, and some simplifications made to the terminology -- the decision was made by Corina, Martin and myself that the indicators would have to selected during the analysis procedure rather than included as part of the instrumentation -- mainly due to time limitations but also due to the abstract nature of some of the concepts.

3. Decisions were also taken by the facilitator team about the objectives, methodology for the generative theme analysis -- we decided to use the system by Hope et al., Training for Transformation.

4. The collage and the video were reviewed again to extract a list of generative themes to be used during the workshop with the co-researchers. Corina, Miguel, Bladi, and Martin assisted in this process of selecting generative themes based on the Wednesday session in Villa El Angel -- especially the aspirations of the participants for the future of Villa El Angel.

Saturday, November 28

Didn't sleep well Fri -- got to the office at 10am and worked wth Martin for several hours planning the curriculum for the workshop with the research team. Didn't feel well that evening, went to bed early.

Sunday, November 29

Spent all day Sunday preparing the flipchart presentation of the ESL model and the PAR methodology. Also prepared for the session on the decodification of the generative themes. An exhausting and long day!

Monday, November 30

1. Started the first session of the workshop late since all the participants arrived an hour and a half late -- Had a consultation phone call from MSU right before starting -- Used the flipchart presentation to review the theory and methodology. Decided not to film the session. The VP Latin America dropped in as we were beginning to discuss the impelling and impeding forces to social transformation and strategies for organizational change beginning with a brainstorming session on those institutional realities that prevent and assist World Vision in the promotion of social transformation.

2. The second part of the morning session dealt with the selection of two generative themes from the longer list prepared by the smaller group on Friday. Two themes were selected: unemployment/sub-employment and the decrease in participation in Villa El Angel. The research team was then divided into two small group to carry-out an analysis of the themes -- i.e., the decodification of the selected generative themes. The method for analyzing the themes was based on the Hope et al. approach -- a pyramidal analysis of the root problems at the core of each theme -- analyzing them from economic, political, and cultural perspectives, and attempting to relate the economic, political, and cultural causes to one another in a series of hypotheses. After analyzing the root problems in small groups through brainstorming and discussion, each group shared their perspectives with the larger group.

Following the analysis, a brief "synthesis" was attempted, though with insufficient time to do so in a profound way -- the idea was to take one of the themes and attempt to arrive at a group consensus on a possible meta-theory for understanding the theme -- which could then be used for the recodification of the themes for use in the community exercises (fotomontaje). However, this did not work due to time limitations -- Instead, we used the four domains of experiential social learning -- or, social transformation -- and interpreted one of the themes (the decrease in community participation) at each of the three stages of development (conform, reform, transform). Thus, the problem was analyzed according to how the research team imagined that a person at each of these three stages would interpret the problem. The idea was to integrate the observations of the small group into a synthetic, holistic understanding of the generative theme. While this did not work as hoped, the method used, even with limited time, did help the research team to understand the ESL model better and to see some of its practical values.

3. Took the research team out to lunch -- continued to discuss the methodology with team members -- and to get to know them better.

4. During the afternoon the facilitator team selected "participation" as the

generative theme to be used in the fotomontaje session planned for the evening session on December 7 in Villa El Angel. We (Corina, Martin, and myself) took the initial analysis of the small group and expanded and deepened the analysis -- extracting a list of six aspects of the theme which could be captured on slides for use in the fotomontaje process -- We shared this information with Pedro Arroyo, the photographer contracted to assist me with all photography needs -- We identified a number of aspects related to the decrease in participation theme that we felt could be captured in pictures and gave instructions to Pedro -- he argued that the pictures should be taken in Villa El Angel -- I gave in to his arguments but, in retrospect, should not have.

Tuesday, December 1

1. While waiting for the other members to arrive for day 2 of the workshop, I interviewed Bladi and Miguel about Villa El Angel and tried to probe for a past experience or series of project activities that might reveal information about the organizational characteristics of the community organization by using a group focussed interview. After some discussion, it seemed that the most appropriate experience to focus on would be the construction of the community center -- a priority activity around which many other community valued programs (such as the vaso de leche program) were based. It is also a program still in process as the community center has not been completed. It also seemed appropriately linked with the participation theme since the highest point of participation in the community's past revolved around the collective construction of the community center by the community members. (interview from 9:30 to 10:00).

2. At 10:00am the other members of the research team arrived. I began the meeting by briefly reviewing the theory and methods used in the study using the flipchart illustrations. Following this, the objectives and the agenda for the morning session were introduced. This was followed by an introduction about the importance of learning style competencies to social transformation activities. We then used the Learning Style Inventory materials for a self-evaluation of individual learning styles from which we also were able to deduce the learning style of the group. This was thoroughly enjoyed by the research team members -- especially as we interpreted the characteristics of each learning style as it related to learning style tendencies of individual members as well as the group average. This provided an important and useful introduction to the next activity -- which involved reviewing the learning styles analysis instrument -- item by item -- reading out loud in the group each variable question and its indicators at each point on the scale and then discussing items that were confusing, unclear or considered overly difficult to measure. While the LSI method was used to measure the research team members learning style tendencies, it was not considered the most feasible approach to measuring the community organization's tendency -- for this we intended to measure the group's learning style tendency while observing the group in an actual problem-solving activity per videotape. We spent an hour and one half reviewing the learning style instrument with the group.

3. Treated the research team to lunch. We continued discussions relevant to the research.

4. At 3 pm the facilitator team made some revision in the learning style instrument by eliminating some concepts and variables.

5. Corina and I spent the last few hours trying to prepare for the Wednesday session which was to deal with the stages/domains piece of the model. However, as we began

to compare the stages/domains instrument with the generative theme/fotomontaje methodology we were planning, we realized, to our dismay, that they did not complement one another, i.e. the photos we had asked Pedro to take and the fotomontaje technique were unlikely to allow us to measure the concepts related to each of the four domains. Indeed, we realized that we would need to cancel the Wednesday session in order to fix the problem and reconcile the method with the kind of data we were trying to collect. We decided we would need to change the instrument drastically in order to fit with the six aspects of the participation theme to be captured with photos. Went home very discouraged on Tueday night.

Wednesday, December 2

1, Worked alone initially on the problems with the instrument for stages/domains -- cut and pasted to get a more workable instrument, eliminating those concepts which could not be measured or that were unclear. Working later with Corina and Martin, I realized that we would also have to rethink what we had planned in terms of the photos for the fotomontaje process. In the end we realized that most of the concepts from the original instrument could be used (all but 8 variables). We rearranged them according to the domains and found better fits for some of the concepts. We also revised the wording -- such as the indicators at each stage for the concepts especially where the translation was still inadequate -- we also created four new concepts from scratch defining indicators at each stage. However, our revised list of concepts still did not match with what Pedro was doing with the six aspects of the participation theme. We realized that we could still focus on the general theme of community participation but that we would need to back-off from the idea of the theme of decreasing participation. Instead we would need to focus more broadly on a variety of themes that would reveal important information for each of the four domains to be measured -- social values, theory of reality, political strategy, and collective action. However, as we revised the instrumentation we selected several aspects for each domain that directly or indirectly relate to the generative theme of community participation.

2. Realized the need to be documenting certain things more thoroughly. And that this process simply would require at least 10 weeks and ideally a much longer period such as an ethnography or in the course of normal on-going work with the community.

3. Using the planned fotomontaje with slides was going to be a difficult method to pull-off due to the time limitations -- we considered the possibility of contracting an artist or having Eduardo help-- who has some artistic skills -- this would allow us to control the content of the image and to produce the images much more efficiently without worrying about getting the slides developed.

4. Pedro Arroyo and Bladi arrived at 3:30 to discuss the photo problem prior to going to Villa El Angel to take the photos. We realized to our dismay that the slide film I had purchased in the US could not be developed in Peru -- and so new film would have to be purchased locally -- Pedro handled this for us. We explained to Pedro the changes in what we wanted describing in general the aspects of each domain that we wanted to capture with images from Lima realities. However, the time limitation -- two days -- simply prevented this approach from being effective -- we didn't have, for example, time to give Pedro concrete examples of the kinds of images we were looking for. Pedro promised to do his best and to get the slide developed and in our hands by Friday afternoon so that we would have time to prepare the fotomontaje method and the questionnaire protocol for use in Villa El Angel Monday evening.

5. Undercurrent in office changing the dynamic of the research process and distracting our attention.

6. The stages/domains instrument was completed and the planning for the Thursday and Friday sessions of the workshop was completed. We all felt better with the changes we had made in the instrument -- the key was a willingness to be flexible and throw things out to make it more do-able and realistic. We still felt that many of the concepts and the descriptors used in the scales were too abstract and needed to be brought down from the conceptual level to a more empirical level -- More time was needed to build specific indicators into the instrumentation -- even with more time it might have been difficult to identify specific indicators for some of the concepts -- the best we could do was to identify possible examples that exemplify the concepts.

Thursday, December 3

1. The Thursday session was dedicated to the stages and domains piece of the ESL model. From 9:30 to 10:30 the group brainstormed on definitions and significance of each domain as they relate to social transformation -- having them imagine the differences of the three stages -- conform, reform, transform. This turned out to be a good session -- we documented the comments of the group on the flipchart paper with Corina and I facilitating the session. I also spent sometime reviewing the model and giving a brief lecture following the brainstorm session.

2. From 11:00 to 1:00 the group analyzed the content of the revised instrument for stages/domains, reviewing each concept and scale point by point -- taking turns to read each one out loud and then discussing those which were confusing, eliminating those which seemed impossible to measure --and most important attempting to give concrete examples of the concepts -- to help orient the researchers for the analysis phase on the process. This session went fairly well though there were some distractions and interruptions -- my main concern here was that due to the time limitation we were not able to identify, in a reliable way, the concrete indicators to be measured for each variable -- decided that with the examples as a frame of reference the only thing that could be done would be to document the indicators --or criteria-- which were actually used in the analysis -- but after the observations have been made of the data on the videos rather than before.

3. Had lunch with the research team following the meeting -- I was reluctant to discuss my perspectives on the events occurring in the office because of the sensitivity of my role -- however, when asked several times for my opinion, I did express my philosopical perspective -- in general terms -- about what was transpiring. Interestingly, the research team continually returned to the ESL model as a frame of reference when discussing their critique of management and their more general critique of the institution and its contradictions -- this meant that the material had been internalized to a large extent -- and at least gave me the satisfaction of knowing that the research team was familiar with the theoretical dimension of our effort -- how the workshop sessions impacted the perspectives of the research team members and how they articulated those perspectives was interesting to say the least. However, whether the ESL model and our collective reflections were catalytic to the staff 's organizing for solidarity and strategizing in order to challenge the status quo -- would be merely speculative. The ground was fertile, in any event, for many of the seeds being planted during those five weeks. From a change agent's perspective, the timing of the PAR intervention for the purpose of OD was opportune, at least in some respects -- in other ways, the atmosphere was detrimental to having a more ideal commitment of research team

member time and dedication to the research endeavor i.e. too many distractions.

4. From 2:30 to 4:30, Corina and I met with Bladi and Miguel in order to probe further about an experience in Villa El Angel that would allow us to explore and measure the organizational factors of the community organization. We discussed (interview was tape-recorded) the construction of the community center as the most likely experience for probing about organizational factors (this was based on the initial interview with Bladi and Miguel on Tuesday). We discussed other alternatives but all seemed to revolve around the community's desire to have a community center. We determined that a group-focused interview would probably not be ideal for what we were trying to measure -- so we brainstormed about alternative methodologies for collecting the data relevant to this concern about organizational factors as they were experienced by the local organization during the construction of the community center. We decided that the best alternative would involve a more open-ended exercise in which the participants described various aspects of the construction of the community center -- with instructions given in such a way that their descriptions would touch on the six organizational processes of interest to us in the study. We decided that we could divide the participants in Villa El Angel into two groups -- each group focussing on a set of concerns such as leadership style, motivation to participate, etc. The groups would reflect together on their recollection of the experience and depict on flipchart paper, through drawings or words what they believed happened. Then each group would share their perspective to the plenaria -- for discussion and input from the other participants.

5. We reflected on the problem of raising the exectations of the participants from Villa El Angel by focussing on the construction of the community center -- this, because the center was not completed due to financial limitations -- and remained a high priority of the community organization -- and Vision Mundial had been reluctant to continue funding the construction of the center. We discussed the possibility of using the completion of the community center as the basis for the problem-solving exercise from which we would measure the learning style of the group -- we reached no definite decision except that we would need to be very careful not to raise expectation while at the same time we would want to explore what possibilities existed for increasing the budget provided by Vision Mundial to Villa El Angel -- in order to follow-up with decisions made by the community during the process with financial resources. Bladi and Miguel helped us think these issues through -- helping tremendously due to their intimate knowledge of Villa El Angel.

6. From 4:30 to 6:30 we -- Corina, Martin, and I -- planned for Friday's final session of the training workshop -- involving the discussion of organizational factors and a review of the instrumentation. We also planned the methodology to be used for the simulation exercise using the fotomontaje technique, videotaping the group, and then measuring our observations of the tape, and finally, discussing ways that the method can be refined for actual use in Villa El Angel. We selected some photos to be used since we did not have slides and thought about what questions we would tie to the pictures for the simulated fotomontaje session. We decided in the end to focus just on the social values domain in the simulation due to time limitations.

Friday, December 4

1. The last session of the research team training workshop was held. I began the session with a review of the importance of the organizational factors and how they fit into the model. Also how organizational factors can be both impeding and impelling forces for social transfromation. We brainstormed as a group about the different management systems/styles (authoritative, consultative, and participative). All

members of the research team were present except Bladi due to his back problems. We then reviewed the instrument -- which had been revised -- using the same method as with the other analysis instruments, we read the instrument item by item, changing the wording where it was unclear -- we also tried to provide concrete examples -- some concepts were eliminated since we considered it would be difficult to measure considering the methodology and the limitations of focusing on a past experience.

2. The last activity of the workshop involved the simulation of the fotomontaje technique, which Corina facilitated with the group pretending to be community members -- the pictures were passed around and they were asked a series of questions by Corina -- in order to extract the group's level of maturity as it related to social values and community participation. I used the camcorder to film the activity -- we reviewed the video and then discussed our observations -- brainstorming about how the method could be improved --Unfortunately due to time limitations we were unable to measure the social values domain using the analysis instrument -- would have revealed other potential areas from improving th instrumentation without doubt. However, we felt that the simulation was a success -- and showed us the power of using the video camera as an instrument fot training. Instant replay is marvelous -- the comments are fresh and relevant -- helped us a lot to anticipate problems with the methodology in Villa El Angel -- and thus with the design of the method that we ultimately used. With more time, the simulation could have helped even more in the testing of the instrumentation as well as refining the fotomontaje technique -- it was however, at the very least, good practice for Corina who would be the lead faciltiator with the methodology in Monday's session in Villa El Angel.

3. We discussed the time that the team could dedicate to the actual analysis of the data -- we requested three full days including the conclusions and interpretation of the data activities. However, the team was only willing -- or able -- to give me morning sessions -- which we planned for Thursday and Friday of the following week following the data collection sessions with Villa El Angel. Anticipating that the team might not be able to participate in the analysis of all three elements of the model, I asked the team to prioritize those elements which they felt most important to the model -- they selected the domains of social transformation and the organizational factors - made me feel that perhaps they had not grasped the importance of group learning style tendencies to the tasks of social transformation. I filed this observation away to be dealt with in the next session with the research team. We also observed that perhaps there was no clear consensus or understanding about what social transformation is. The research team expressed some concern about the number of concepts being measured -- we decided that for each analysis instrument, we would need to prepare an observation tool to help the observers to write down -- in a systematic way -- their observations and to allow for easy transfer of observations from the observation tool to the analysis instrument with which the research team would be scoring the variable/concepts using the three stage scales. We also felt it would have been better to spend some time orienting those researchers less familiar with Villa El Angel about the context -- in order to help inform their observations -- As it was, two members of the team were significantly more knowledgeable about Villa El Angel -- However, one of these could not participate in the analysis due to illness.

4. I had some doubts that the research team members were actually prepared to do the analysis -- however, I was comforted by the fact that all of the team members had sufficient work experience, some with research experience, and all were nearing completion of a university level introductory course on social research -- using the Ander-Egg text -- a good one I am familiar with. Also used one of the better books on

Participatory research in this course (the Vio Grossi, et al text). The problem with the workshop method was that they did not actually practice with the instruments prior to using them in the data analysis -- however, at least they were familiar with the concepts -- but some concepts and stage descriptions might have still been vague due to their abstract nature. However, as far as their knowledge of the theory goes, their preparation was, given the limits of time, as good as could be expected.

5. At 1:30 pm Phone consultation with Frank Fear at MSU discussing progress to date and outstanding problems.

6. Corina and I went to the Catholic Resource Center not far from the office to look for slides that we could purchase for Monday's fotomontaje session -- we spent several hours there and found a number of good slides (35) relevant to the four domains of social transformation -- social values, theory of reality, political strategy, collective action. We were anticipating that the photos that Pedro would take would not be adequate given the time limitations. After returing to the office, I met with Pedro and our hunch proved correct -- only a few of the slides which Pedro took in Villa El Angel would work for the fotomontaje we were now envisioning. It was a good thing that we anticipated this and purchased the other slides - because we had run out of time to go the route of the drawings by an artist to capture the themes/concepts.

Saturday, December 5

1.. I was exhasuted and had been suffering from stomach problems for several days -- so I slept in for the first time. I got to the office at 10 am and worked with Corina preparing the fotomontaje technique -- selecting the slides, organizing them according to the domains and the 12 related concepts (three for each domain) we were measuring -- directly or indirecity all of the topics related to the more general generative theme of community participation. We prepared a questionnaire -- a series of questions related to each of photos -- for each of the 12 concepts we hoped to measure -- some of the concepts requires several photos -- for others we only had a few photos -- we had to search through existing training materials in order to find some of the images we needed -- some of these were not ideal -- but we had to live with them due to the time limitations. We had a particularly difficult time selecting the photos for the three collective action domain concepts -- one of the problems we experienced was the difficulty in deciding which concept to use certain photos with -- this related to the basic similarity between some of the concepts we were measuring.

2. We discussed problems with our schedule -- we had planned to meet with the community members for three consecutive nights the following week -- we had not realized that Tuesday is a holiday -- and so we were considering the possibility of combining the organizational factors session -- planned for Tuesday -- into the Monday evening session which involved the fotomontaje technique. Corina and I made the tentative decision to try to combine these activities into one evening -- and thus collect all of our data in two sessions with the community.

3. Spent the rest of the afternoon -- after lunch with Corina -- working alone at the office -- reviewing the big stacks of files on the Villa El Angel project -- tried to select out those key documents which be important to the context chapter.

Sunday, December 6

Did not feel well, also homesick, but managed to do some planning for the data collection and analysis sessions -- Did not feel up to going to the induction ceremony

for the new director of Vision Mundial due to bad case of the trots.

Monday, December 7

1. Arrived at the office and a sensitive staff meeting was taking place with the staff presenting a document listing their grievances and the changes they desired with the new Director -- It was awkward for me to be there in the adjacent room but couldn't help overhearing some of the comments, especially those which were made by research team members -- they expressed some of things with obvious reference to what they had learned from the ESL model -- especially as it related to the management styles they considered appropriate for an agency committed to serving people with community development projects.

2. Corina and I continued the work which we had begun on Saturday, and organized the photos with the questions -- an interview schedule emerged for guiding that evening's session in Villa El Angel. We had it typed up and compared it with the analysis instrument.

3. Corina, Martin, and I then prepared the plan of action for the evening session identifying activities, time, and responsibilities. We decided to combine the organizational factors session into Monday's session and to cancel the Tuesday session which fell on a holiday. We struggled over the methodology for including both elements in the same evening session -- considering whether to integrate the two activities into the fotomontaje technique -- ultimately we decided to conduct two separate exercises with the participants, keeping the data sources distinct. Thus, for the organizational factors, management system, we went with the idea to have two groups answer two broad questions each describing their recollection of various aspects of the experiences related to the construction of the community center. We added a third question for both groups to struggle with relating to the influence of World Vision on the community's experience.

4. Spent the rest of the afternoon, planning the methodology, materials, objectives, etc. for the evening session. Corina and I were both exhausted and decided to rest before going to Villa El Angel -- only an hour of rest at the hostal but it restored me for the demands of a very long evening. Returned to the office in time to discuss with Pedro the requirements for the filming of the session. We also discussed some ideas I had for producing a final video version as a documentary of the five week process. Also we had promised to produce a video of the 25 year anniversary for Villa El Angel which Pedro had agreed to help with -- we planned basic content and schedule for doing this.

5. We arrived in Villa El Angel for the evening session at 8:20 due to terrible traffic jams -- felt bad arriving late because half the group was there waiting for us. Martin couldn't be there for this session. Bladi met us (Corina, Pedro, and I) there in Villa El Angel. We got started about 8:45 as they continued to trickle in. I began the meeting with a review of the process and purpose, as well as an introduction of the evening's activities. Corina then expanded with an explanation of what we were intending to do -- we began the slide show with the questions (the fotomontaje technique) many gradually trickled in during the first half hour of the slides until we had a group of about 20 persons -- many were new comers -- some who had been for the first two session didn't show-up this time. It was an interesting mix with a balance of women and men, young and old, some more educated (some even with university level training), others illiterate. The group seemed enthused and enjoyed the reflections about what they interpreted in the photos -- excellent participation although there were a few that participated a lot (approximately 7) and some not at all -- no

surprises there though -- There were many diverse comments about some of the photos -- difficult to see a group consensus in their interpretation of the photos -- given some of the responses we felt that some of the photos did not lead to the concepts we wanted to measure -- the questions could not be too directive since there was always the danger of manipulating responses rather than facilitating a question and answer session. In other words, the danger existed that we --as facilitators -- would use the experience for consciousness-raising instead of as essentially a creative way to carry-out a group-focused interview. Some consciousness-raising is of course an inevitable consequence of collective reflections but our primary purposes involved measuring the level of maturity of the group in that particular experience -- and building the foundation for the problem-solving exercise for the Wednesday session.

6. We completed the slides/reflections at about 10:15 pm -- suggested that the Tuesday meeting could be cancelled if we continued with a second exercise for another hour -- the group unanymously and enthusiastically indicated that they wanted to continue in spite of the time. So Corina explained the next exercise- we broke them into two groups and each group focused on two questions related to organizational factors and the construction of the community center. They wrote down their answers -- one group illustrated their answers with an organizational chart; the other mainly with a written list of group observations. The groups presented their answers from which we had hoped to measure some things -- the group finished at midnight -- exhausted, I got home after 1am. The data from this exercise was not what we had hoped for -- got very limited results for measuring the influence of Vision Mundial on the key activity -- a key interest of the research project would thus go unfulfilled.

Tuesday, December 8

1. Today was a holiday in Peru -- the office was closed but Corina, Martin, and I met at 10 am to continue working. We reviewed the video from the Monday night session -- we coded the video tape numerically for each scene and related it to the aspect or concept being measured. Thus, during the analysis we could easily find a section or scene that we needed to review a second time.

2. We also reviewed the stages/domains instrument again and made a third recvision based on the input from the research team. We added questions to each of the 12 variables to help the observer get oriented to what was being observed.

3. We felt that one possible problem with the methodology was that it would be possible for the research team members to assess the community group as being much more mature than they are in reality -- some of the comments made by community members seemed quite radical and sophisticated -- this does not necessarily translate into behavior -- thus a limitation of the findings is that at times they represent an expressed perspective, but perhaps, not an accurate assessment of real behavior.

4. We also felt that it was difficult to capture the group tendency when the group tends to be heterogeneous rather than homogeneous -- for example how do you measure those who do not participate -- we decided that we would have to ask the research observers to try to assess the group tendencies based on those who seemed to control the communication flow -- usually those who verbalize the most. It was more difficult to measure what was unspoken as opposed to what was spoken -- at times their was more than one group tendency -- i.e., there were sub-groups or factions within the group representing different perspectives and different levels of

maturation.

5. There was also a more mechanical problem -- complicated by the limited time we would have to conduct the collective analysis -- we found that many of the comments from the fotomontaje session did not fall sequentially according to our observation tool that I had prepared or according to the instrument. We decided that the observers would have to use the observation tool to record the information that emerged as we had expected and thus followed the sequential order of the tool and for those comments/observations that fell into different categories, they could be noted on a blank sheet of paper to be classified later after the video was completed.

6. Had lunch with Corina, then returned to the office where I continued to review the project files on Villa El Angel -- selecting certain key documents for copying.

Wednesday, December 9

1. Corina, Martin (Martin was in and out), and I spent the morning session preparing for Wednesday evening' s problem-solving session with Villa El Angel -- we were starting to get burned-out and I didn't feel we had the time or energy needed for planning this last data collection effort -- and it involved the data which we needed in order to measure the learning style tendency of the group. In any event, we decided on a fairly open-ended problem-solving process requiring limited facilitation from us -- this because we wanted a relatively realistic picture of how they go about solving a problem. We decided to let the participants decide which problem to solve from a list of several options which we extracted from the community description exercise (community aspirations) and that we had also related to the participation as well as the unemployment generative themes previously analyzed by the research team.

2. We designed the exercise into three phases. Phase 1-- involved a consensual decision-making process by the community which Martin facilitated -- they reached a decision after some discussion to deal with their desire to have a "taller de confección" a small manufacturing workshop -- or micro-industry -- to deal with the problem of unemployment. Phase II involved their organization into a problem-solving group -- in which they selected their leaders for the session. The object of phase II involved reflecting on the causes of the problem they were trying to solve -- in this case, unemployment -- In the first two phases we hoped to be able to measure some of the variables associated with the diverger and assimilator learning styles. In the third phase, the object of the exercise was for the group to begin bringing their reflection down to a more practical concrete level -- to begin thinking about strategies and plans for implementing the idea of a taller -- with the third phase we hoped to be able to collect the kind of data that would allow us to measure some of the variables associated with the converger and accommodator learning styles. We were well aware that due to the time limitations, the participants were unlikely to get very far with a concrete plan of action. However, we had taken this into account in the design of the instrument for the learning styles and phrased the questions relating to the converger and accommodator styles in such a way so that we would conceivably be able to measure the variables.

3. We spent the rest of the afternoon completing preparations for the analysis session planned for Thursday morning -- the stages/domains instrument was revised and ready for use as well as an observation tool which I had prepared on the HP110 computer.

4. We arrived at the project at 7:40 pm. Pedro was not able to get the special lighting

which we had used up to that point -- so we had to ask the folks in Villa El Angel if they could rig up a couple of extra bulbs so that we could film this session. Most of the participants didn't arrive until about 8:45 .. we got started at about 9 pm ... one hour late. I started the meeting with an introduction and orientation to the process -- general explanation of the purpose of the session. Martin facilitated the phase dealing with the selection of the problem -- some complained that they didn't want to feel limited by the list -- but we explained that the list was derived from the prior session in which community aspirations were identified -- they agreed that the list was OK -- ultimately after some discussion agreeing that the taller de confección was the highest priority and a problem that they would like to deal with during the session.

5. Corina facilitated the session on the problem solving experience -- providing the group with general instructions about what they were to do -- starting them out by having them organize themselves and to then begin reflecting on the causes of the problem and to try to draw their interpretation of the causes on paper. After a slow start this seemed to go well. However, the community member who took over the leadership session -- seemed to see the exercise as an academic exercise rather than a real-life, potentially practical, problem-solving experience -- and which could lead to a proposal which could be made to the assembly -- though we didn't say anything, there was also a possibility of WV funds, if the plan was eventually well developed and approved by the entire community. As expected, the third phase was weak due to time limitations but we were able to collect some relevant data for measuring the converger and accomodator styles -- by 11 pm the participants got restless and we had to call it a night before they had gotten very far with their plan of action for the taller -- which was certainly adequate considering that such a plan would require a number of technical studies, market research, needs asessments, etc. to be realistic. At least a process had begun in which the participants could see some of complex causes of the problem as well as the need for a great deal of effort in the planning phase in order to pull it off.

Thursday, December 10

1. This was a frustrating day -- I couldn't sleep the nite before due to a howling puppy in the house -- then nobody showed up for the first session of the analysis. Felt that the rug was in some way being pulled out from under me. I felt that the situation in the office was largely responsible for things not working out the way they should have. This was one of the low points of the five weeks in Peru. I was feeling pretty sour about the whole experience at this point and just wished it was all over.

2. Spent most of the day organizing and completing the instruments -- also reviewed the video of the previous night -- realized that we had a better chance measuring the organizational factors using the problem-solving experience than we would have with the exercise in which the community described a past experience. Tried to get through to MSU for consultation -- no luck. Tried to get some firm commitments from the research team members for time to be spent on the analysis -- we felt that the analyses of the data could not be done with less than 12 hours. Problem is time -- the research team members are being pressured to meet other deadlines and are thus caught in a dilemma between their commitment to me and their commitment to meet other work requirements. We lost Bladi as a member of the team due to the hernia operation that he had to have -- this was especially unfortunate since he is the present project promotor for Villa El Angel and knows the project as well as any of us.

3. The analysis of the stages/domains was postponed from Thursday to Friday. We

considered the possibility of using just the facilitator team to measure the styles and the organizational factors due to the time pressures on the other team members. We also considered the possibility of supplementing our analysis of the learning style tendencies by conducting the LSI with the community members.

4. We were a bit concerned about the fluid nature of the group of participants in Villa El Angel -- we had a different group each time varying from 10 persons to 20 -- there was a core group of about eight that attended all the sessions.

5.. Villa El Angel requested us to produce a video of their 25 year anniversary the next Saturday evening -- as part of their celebration the YMCA assisted the community leaders to produce a pamphlet on the history of Villa El Angel -- they entitled it, "our struggle for justice." Villa El Angel is a fascinating community to study -- very participative and proud of their history as well as their accomplishments such as struggling to get the streets paved, to get access to the highway, the electricity, and the water. It meets well the category of local development association from the Esman and Uphoff typology of local organizations.

6. We decided it would be best to measure the organizational factors using the styles -- problem-solving exercise -- but wondered if it would be appropriate to mix the data from the group description of the construction of the community center with the data collected through the problem-solving experience.

7. Four revisions were made in the instruments -- and they still needed some improvements -- especially, as far as indicators are concerned.

Friday, December 11

1. I had hoped to have all the data analyzed by this point but we were only able to begin the analysis of the stages and domains. Apparently the group reached a consensus about improving the level of their participation for the remainder of the process. All but Baldi were present (Bladi was scheduled for an operation and was quite sick with the hernia). Martin was also called out for a director level meeting.

2. The analysis session (9:45 - 1:45) began with a brief overview of the stages/domains and the ESL model -- an overview of the revised instrument, observation tool -- and an explanantion of the observation procedures to be followed -- I instructed them to attempt to capture the group tendency in their observations but if there was more than one tendency within the group to describe and record those observations as well. We then watched the video -- stopping it following each scene for questions or comments -- a few times we reviewed the scene more than once to clarify what was actually said -- prior to each scene we oriented the team members to the item in the observation tool -- also indicating that other observations which didn't correspond to the item in the observation tool could be recorded on the blank sheets and be included in their analysis later. After viewing the complete video of the fotomontaje process, we gave the individual team members a few minutes to complete the observation tool -- and write other observations. Then we broke the team into three groups of pairs -- which we had selected based on how we thought the individuals would work together. For some the observation tool had worked well -- for others it was easier to write down their observations in a free-flowing manner -- we left this up to the team members since the data did not flow in exact coordination with the structure of our observation tool -- it might have been better to tailor make the observation tool to the facilitator team's observations of the video instead of coordinating it with the analysis instrument.

3. The end of the session was spent working in pairs following some instructions on how to use the instrument and how to make the ranking -- each pair used the observation tools as well as their other observations to reach a consensus -- and filled-out the analysis instrument. This involved writing down the indicators (criteria) that the pair used for their assessment -- selecting variables A, B, or C -- and then assigning a numerical rank on the corresponding scale. We instructed them to always try to justify their decision -- and document those items which the two researchers could not agree on.

4. I observed the pairs as they analyzed the data -- and Corina was a member of one of the pairs -- had to clarify certain details with each group -- such as if a question could not be answered with the data which had been collected than this should be noted without attempting to answer the question without any empirical foundation. Two of the three pairs were able to complete the analysis instrument in the given time -- the other group agreed to take some time to finish later -- we placed the results of the two groups' analyses on the board --i.e., the scores for each measured variable -- this indicated the very subjective nature of what was being attempted -- some of the scores were very different -- most, however, were not far apart. the research team agreed to meet on Monday morning to complete the analysis -- and to reach a group consensus. We felt that at times the analysis instrument didn't correspond to the kind of information that was collected -- thus, the potential problem of trying to put square pegs into round holes. The indicators selected by the pairs to justify their scoring tended to be quite vague -- perhaps because the instrument itself was still too abstract -- even after so many revisions. In any event, the observations of comments made by individuals on the video -- and hence the indicators used by the pairs -- reflected the tendencies of the dominant individuals in the fotomontaje exercise -- perhaps not always reflecting the actual group tendency in a more genuine and complete sense. In fact, the Villa El Angel group tended to be heterogeneous.

5. Met with Victor Arroyo after having lunch with the research team -- explained where we were at in the process, asked if he could participate in the final evaluation interpretations, and recommendations session planned for Tuesday -- he indicated he wanted to but was not sure if prior commitments would prevent it or not. Victor did suggest that for the final session with Villa El Angel -- the project promotor should be present -- in order to give follow-up -- However, unfortunately this was not possible since Bladi was ill and the responsibility for that project was in transition -- with no clarity on who would be the successor as promotor.

6. Spent last hour of the day at the office organizing the schedule for remainder of the process and discussing the landslide relief situation with Eduardo -- helped him think through a strategy for investigating the situation and leading a VM response. Left at 4:30 to avoid being present during an all staff meeting with Pedro dealing with staff grievances.

Saturday, December 12

1. I was exhausted due to a late night on Friday -- got to the office at 1:30 -- worked with Martin and Corina until about 4:30. We worked on the analysis of the organizational factors using -- trying to reach a preliminary consensus -- we used the video-tape of the problem-solving exercise rather than the description exercise originally intended to provide us with the data needed. We had previously reviewed this video using an observation guide for the organizational factors -- which we had used to complete the analysis instrument for organizational factors. I acted as an arbiter between Corina and Martin. It seemed to me like a terribly subjective process

-- but gradually as we defined the indicators used we were able to reach an approximate consensus -- there were no major disagreements -- we hoped to use a similar process with the entire research group, time permitting -- and if not, then the three of us would do a second analysis to confirm our preliminary measurements. I tape-recorded this session -- in which Corina and Martin had some distinct perspectives.

2. Pedro arrived around 3 pm to plan the video filming we intended to do that evening in Villa El Angel for their 25 year anniversary -- we also discussed the content desired in the video documentary of the five week process. Then we went to the center of Lima to begin filming some of the material we wanted for the final documentary -- including scenes which gave insight into some of the generative themes and the daily life of typical residents of Villa El Angel -- their problems and their aspirations -- we filmed the Plaza de Armas, and the vendedores ambulantes, tried to capture some of the sights and sounds of Lima including public transport problems -- with limited success -- simply not enough time -- we arrived in Villa El Angel at 4:45 to do so filming n the community before it got too dark -- we filmed Villa El Angel-- the streets, points of interest such as the community center -- the children -- who were excited and rowdy about the excitement of the event as well as the filming -- which they were convinced was one of the local TV stations covering their town's special event -- and interviewed a number of the community founders -- Corina interviewed them focussing on the theme of struggle for the achievements made in Villa El Angel. The whole town was decked out for the festivities -- with preparations for the evenings's program in process -- all the houses had Peruvian flags, banners announcing the community's pride in its achievements -- apparently the town's anniversary is an annual event -- just receiving more attention as the 25 year silver anniversary. We received a copy of the pamphlet on the history of Villa El Angel -- prepared for the occasion with the assistance of the YMCA. This will be useful for the context chapter. We left -- planning to come back later to film the evening festivities as requested. Dropped Pedro off at his girlfriend's house where he was going to recharge the batteries for the cam-recorder.

3. Corina, Martin, and I then went to Martin's house -- visited with Bladi, his room-mate, then had some dinner -- picked-up Pedro Arroyo -- went back to Villa El Angel about 8:30 to do the filming -- we had just filmed part of the mass, when the camera went dead -- so struggled for an hour to figure out a way to recharge the batteries -- but the charger had been damaged -- apparently when being recharged, the 240 voltage must have surged through my transformer (must have eeen defective) No more filming -- felt so frustrated and tired -- couldn't enjoy the festivities like I would have otherwise. It was a great program with typical regional dances, a few speeches, and three noisy competing bands -- apparently a tradition, and a very nice meal, considering the community's poverty -- all we managed to film before the batteries went dead was part of the mass. The whole event had been paid for with funds raised within the community and a few outside donations -- each block (or manzana) had their own presentation or dance -- with special banners representing their sector of the community -- not bad for a community of only around 400 families -- most of the residents were indigenous Quechua from the Andes and the dancing and music largely reflected this heritage and their pride in it -- they announced me on the loudspeakers as a famous gringo journalist/photographer and asked for volunteers in the crowd to dance with me -- all would have been great to film. Murphy got us! I felt bad about this and was exhausted so didn't enjoy myself as I otherwise would have. Felt bad that night when I got home at around 1 am -- and very discouraged.

Sunday, December 13

Still felt discouraged most of Sunday. Had a lot to do --preparations for the evaluation sessions on Monday and Tuesday -- and preparation of the observation tools to be used with the instruments for measuring the learning styles and the organizational factors.

Monday, December 14

1. From 9:30 to 12 the research team completed the analysis of the stages/domains. We reached a consensus on the stages of the domains by having the third group provide me with the their scores on each of the variables -- which we then compared on the flipchart with the scores of the other two groups -- we then had each group explain the rationale for its scoring -- particularly the criteria used in the scoring-- discussed differences -- reviewed the video tape where no agreement seemed forthcoming -- and eventually reached a consensus -- when one group would not agree with the assessment of the other two groups -- acted as arbitrator explaining my rationale and noted in the consensus score that there was a difference of opinion -- by placing as asterisk next to the consensus score.

2. Following an early lunch with the team, we reviewed the video of the problem-solving experience in order to measure the learning style tendency of the group. Similar to the method used with the domains -- the observers had an observation tool -- it did not work as efficiently as for the domains because the data did not flow in such an orderly sequence -- and thus it was hard to follow the observation tool while reviewing the video. Even so, the variables did tend to follow a rough sequence according to the learning style variables. Martin counted the number of times various members participated and several other indicators which could be easily be recorded as quantified data to help the others in making assessments about several of the variables related to the learning style tendencies of the group. Unfortunately, it seemed that not all team members observed the video with equal vigilance -- Miguel had to leave several times -- Juan left also but reviewed the video later during our break -- Corina was gone for a doctor appointment -- Martin seemed distracted -- it seeemed that all left the room while the video was playing at one point or another. In reality, this video was more difficult to follow -- longer, drier and at times difficult to understand what people were saying. However, the quality of the research team observations concerned me. Hopefully, in the analysis, where one member's observations was weak another's would compensate -- we tried to divide the two groups in a way that the members would complement one another -- so, that at least one of the members of the three person groupwas present throughout the entire video.

3. Originally, I had hoped that the team members could record information about the organizational factors at the same time as the learning styles and compare their findings with the facilitator team assessments -- however -- it would have been too complicated to do both -- since there were so many variables to keep in mind for the learning styles.

4. The afternoon session also involved the research team members working in two groups of three -- in order to arrive at a consensus about the learning style tendencies -- each group filled-out the learning style instrument collectively -- discussing the indicators/criteria for scoring each variable along the seven point scale. The two groups got about half way with their analyses when we ran out of time -- and decided to spend a portion of Tuesday's wrap-up session completing the learning styles.

5. Corina, Martin, and I completed the analysis of the organizational factors reviewing our preliminary assessments.

6. Tried to get the battery charger for the cam-recorder fixed to no avail.

7. Met with Pedro to try to plan how to complete the videotape to be shown to Villa El Angel the last evening, and the documentary/summary of the five-week process -- unfortunately there were problems getting the right equipment to do the editting -- Ran-out of time to do a good job and the final video had audio problems -- needs revisions.

8. Last phone conference with Frank Fear at MSU -- explained the problems experienced with the data collection and data analysis.

9. From 5:30 to 7:30 pm I prepared the flipchart presentation of the findings with profiles for the organizational factors, the learning styles, and the stages/domains. this would be the foundation for our discussions about the significance of the findings -- obviously the actual consensus scores were left blank on the learning style profile as this had not been completed yet.

10. Monday evening I prepared the evaluation questionnaire to be used with the research team -- Corina had helped me select the questions earlier that day -- also prepared an information questionnaire to be used with the participants from Villa El Angel.

Tuesday, December 15

1. From 9-12 am the research team completed the analysis of the learning style tendencies. We followed a similar procedure as we used with the domains -- writing the scores of the two groups on the flipchart -- then each group explained the criteria used for making their assessments. After discussion we reached a consensus -- I arbitrated on several occasions when a team member felt strongly about his/her measurement -- making note with asterisk that the consensus was qualified by dissent of typically one person.

2. From 12 to 1 we had our final team lunch -- discussing the whole process, impressions, etc.

3. From 1 to 2:30 we covered interpretations of the assembled data, recommendations for management -- for follow-up with Villa El Angel, and conclusions -- Finally, the team members were given an evaluation questionnaire of the five week process. The recommendations tended to be a bit vague -- partly because with Bladi's illness the project was likely to be ignored for at least three months. The interpretations of the data required more time -- had hoped to begin reflecting on meta-theory --but we only touched on some of the broader themes without exploring them in any depth -- simply not enough time. The results of the written summary were very positive and demonstrated that as a training experience -- and as an OD experience the process had been an unqualified success. Closing our last team meeting, I thanked the team members for their participation and presented each team with a gift -- a small radio, only a symbol of appreciation considering all the time and energy given -- the team participation was not ideal but pretty admirable under the circumstances.

4. Did some of the preparations for the meeting with top management and for the last meeting with Villa El Angel.

4. Gave additional instructions to Pedro Arroyo for the final video editting which he was planning to do Tuesday night. I collected most of the flipcahrt materials, videotapes, and tape-recordings to take home and pack. Did most of my packing, and prepared for the trip to Cuzco -- which I was feeling guilty about taking --but was committed to at that point.

Wednesday, December 16

1. The morning was spent preparing for the evening session in Villa El Angel -- we assigned responsibilities, objectives, between Martin, Corina, and myself . We decided to attempt the LSI that evening to supplement and compare with the other learning style data. Also decided on what findings should be shared with the community participants -- based on what would be most useful, also planned an evaluation methodology -- with several key questions to guide brainstorming session.

2. Had planned to meet with Eduardo Deza to discuss the emergency situation and to review the status of their contingency planning -- but his children were sick and he wasn't able to meet with me -- the R&R goals of this trip didn't get met very well -- we never had a chance to plan a training strategy for R&R or to review the status of contingency planning.

3. I had lunch at Pedro Arana's home and had a chance to discuss a number of issues with him.

4. Following lunch, Pedro met with Martin, Corina, and I and we presented an overview of the research process, the theory, the methodology, the findings, and the recommendations -- we talked about the need for follow-up to the process and our concern that there would be none -- we expressed our desire that with facilitation and training programs the research process in Villa El Angel could be continued -- gradually integrating the model, in a revised form into their own CD procedures as a tool for research and planning -- we also suggested the need to encourage the community participants to continue with their study of the micro-industry or taller. Perhaps, the next project promotor could build on those initial experiences -- so that a plan could be submitted to the community assembly for consideration. We also interpreted the data as a source of information about the strenghts and weaknesses of the community organization to manage social transformation. Martin described his desire to integrate the model, with some improvements and modifications, into the research function -- i.e., the project investigation function of Vision Mundial Peru -- and to use it as part of the training curriculum for VM employees -- Possible uses for project promotors were also discussed -- all of which seemed of some interest to Pedro.

5. Pedro Arroyo came with the videos -- we reviewed part of them -- but had little time to see it all -- the short version for Villa El Angel turned out OK, but not great due to the time limitations.

6. After dinner, Corina, Martin, and I loaded up the truck withthe TV, VCR etc. and arrived in Villa El Angel about 8 pm. We reviewed the process for the first half hour -- describing the various purposes again of the research and that we hoped some practical benefits had been derived by VM. In the evaluation session, an incredible list of benefits were listed by the community participants -- many things we had not imagined or anticipated. When we asked them to tell us what could be improved -- they also seemed to be very sincere with us -- the group of community participants were notable for their sincerity and forthright expression of their opinions.

7. When we asked them whether the name of the community, Villa El Angel should appear in the text of my dissertation -- we had a surprise as several members objected indicating that they did not realize a foreign university was involved in the process -- and implying that some how we had deceived them -- this was a shocker to us because we did not realize that they were not all aware of the fact that this was academic research conducted by me and affiliated with a US university -- apparently some believed that it was simply a research process being carried-out by a team of World Vision workers -- there was high trust with World Vision but the mention of a foreign -- especially an American university -- for some, seemed suspicious. After about an hour of discussion the problem seemed resolved, the trust level was restored again as they realized that my primary affiliation was with World Vision in the international office rather than with a university they had never heard of -- Most of the participants indicated that there was no problem and after some additional discussion, voted unanymously that they wanted me to use the name of their community in the text of the dissertation.

8. The fact that the criticisms came primarily from those who had not participated in the initial sessions, meant that these complaints could be explained in part due to their failure to understand all the dimensions of what we were doing -- indeed, it was a fluid group and in spite of introductions with each session many new participants would arrive after we had given the session's initial introduction and without the benefit of the initial orienting sessions. However, as we talked about it, we felt that we owed the group a further explanantion -- After the video -- which the group was enthralled with -- Corina and I explained again how we perceived the situation and apologized for any failure on our part to communicate clearly -- We also explained they had the right to tell us how the video tapes would be used. We did not want to underestimate the complaints -- particularly since they came from the two young and university educated participants of the group. Talking with them after the session, I tried to probe to see if their was any bad feelings -- my instincts told me there were not. We presented the video tape to Daniel as a small gesture of our apprecation for their participation.

9. We left at about midnight after chatting with them awhile -- we were exhausted and a bit upset about the evening's surprises -- had obviously not had as much time as we wanted to show them the video -- and had to drop the LSI activity. I kept thinking about this session for a long time after -- and discussed it one more time with Corina the Saturday before I left -- I think we handled it as well as we could have -- but we agreed that we would have done a number of things differently in retrospect to avoid this kind of problem.

10. Arrived around 1 am at the hostal after dropping Martin and Corina off by taxi -- at 5 am I was up and on my way to the airport -- to satisfy my dream of going to Cuzco and Machu Picchu for two very short days -- before leaving Saturday night -- However, I was so burned-out and had such bad altitude sickness that it wasn't terribly enjoyable. Was back in Lima on Saturday am -- that night I went home to LA on Linea Aero Argentinas, arriving Sunday morning in Los Angeles. So much to think about -- too much to write about still ... but a very satisfying sense of accomplishment with the five weeks in Lima.

APPENDIX E

EXCERPTS FROM RESEARCH JOURNAL

APPENDIX F: EVALUATION OF THE RESEARCH EXPERIENCE

** The Research Team Evaluation **

** Evaluation by Members of the Local Organization **

Appendix F: Evaluation of the Research Experience

The Research Team Evaluation

(translated from Spanish by author) The data is organized according to the sequence of questions in the written evaluation. Responses of seven of the research team members are indicated as R1, R2, R3, etc. One of the research team members was ill and could not respond. The author did not participate in the written evaluation. R1, R2, etc. stands for the same respondent consistently.

1. How would you explain the central theme of this research project?

R1. To compare the forces that impede and impel community development. To search for the equilibrium between the theory and practice of World Vision.

R2. To understand the organizational factors influencing the administration and development of the project, establishing indicators for the process of social change.

R3. To attempt to measure, with adequate "tools", the level of development achieved by the community in order to reorient project activities toward areas of weakness.

R4. The central point of the research effort related to the measurement of the four domains since these categories are critical to social transformation.

R5. The central theme of the study involved the discovery of the maturation level of a community group as it relates to social transformation and community development.

R6. To use the ESL theoretical model to measure the level of development of a community (VIlla El Angel) -- or, at least a group of persons from that community.

R7. The central theme involved testing social learning as an alternative model of management for social transformation.

2. Please explain the significance of the following concepts:

2 a. Domains of Social Learning and Transformation

R1. The standards for guiding the social life of a community.

R2. These have to do with the social values, the vision or theory of reality (in this case at the project level), political strategy, and how to implement the social action.

R3. The factors which determine the success of community development efforts -- and how they are interdependently related. (political strategy, social values, collective action, and theory of reality).

R4. No response

R5. The domains are a measurement of social values, strategies, level of understanding of reality, styles of leadership.

R6. These four elements (theory of reality, social values, etc,) help us to envision the course or process followed by a group of people as they develop organized actions based on their own values; and how they understand their reality, and the means taken to

accomplish social change within their context.

R7. The domains provide us with an integrated model for learning about people's perceptions about their social realities and worldviews.

2.b Learning Styles

R1. Ways that individuals or groups learn.

R2. How people learn, express their feelings, reassess their values.

R3. The way in which groups conduct activities and make decisions such as consensus making.

R4. The importance of learning styles in this study relates to our ability to identify learning style tendencies of individuals or groups and how the project promotors can use this information in working with communities, especially the pedagogical implications.

R5. Learning styles are measurements of the group's capacity to understand, analyze, modify past, present and future experiences and how to improve.

R6. Learning style help us to identify the forms and style of learning of individuals and groups so that we can have a more complete and accurate understanding of their behavior and capacity. This information can be very important in designing training programs.

R7. Identifying learning styles allow us to understand the tendencies of individuals and groups to learn and develop abilities, as well as their potentialities and weaknesses.

2. c. Organizational Factors

R1. Key aspects of the organization such as leadership style, motivating forces, etc.

R2. Abstractions of the organizational realities in a community such as leadership style, motivating forces, decision-making process.

R3. The way the community structures and organizes the administration of its community development efforts.

R4. Within the community or organization one of the basic elements which must be considered are the organizational, or administrative factors. This is important because the participative management system is critical to being effective -- all efforts should contribute to a participative system.

R5. The organizational factors measure leadership and motivation in order to create plans and goals in a coordinated way.

R6. Organizational factors help us to understand the level or style of management developed by a group of people. A group can be described as following an authoritarian, consultative, or participative management system, corresponding to the conform, reform, and transform stages of development. This is another element to consider when diagnosing the stage of development of groups and organizations.

R7. Organizational factors allows us to understand the level of practical action taken by a group -- its abilities, styles of management and organization.

3. Do you feel the methodology used in this research effort was useful? Why?

R1. Yes, the method was useful to the community in helping them to identify some of the problems that they have. It was also useful to the research team in helping them to understand and learn to use research tools. The use of the filming was good for helping us to observe the behavior of the community group and even our own group. In the same way, it was helpful to discover our own individual and collective learning styles.

R2. The methodology is not the best, considering that the investigated group was small and the time a limiting factor. The methodology needs to be improved.

R3. I believe the methodology was very useful, as much in the community (although there were a few deficiencies) as with the research team from the office since it gave us, as a group of researchers, an opportunity to more deeply understand the behavior of a community.

R4. Yes, because it's practical and simple, although expensive because of the cost of the camcorder. The way the community members were involved from the beginning was important because they were aware of what we intended to do.

R5. It is a useful methodology because it allowed for the evaluation, in a very holistic sense, of the domains of social transformation but perhaps it would be more useful if applied as a tool for a longer range research efforts.

R6. In practice, yes; the model was presented well but would need to confront the theoretical level with the facts, ie, involve the group from Villa El Angel.

R7. Yes, because it is a systematic approach, allowing us to get closer to being able to measure the social, psychological, and political dimensions of a community group. These aspects are difficult to measure by their very nature -- but this methodology provides tools and instruments to bring the possibility of their measurement closer.

4. What limitations or deficiencies do you see in the methodology?

R1. At times the way the work was carried out in the community was not oriented toward obtaining the kind of data needed. For example, in the fotomontaje session, some of the photos and questions did not produce data relevant to the concepts we wanted to measure -- sometimes answers went off on many different tangents.

R2. The audio-visual is no guarantee for good data and the slides were not adequate for the reflection. Time was always a major limitation.

R3. Some of the photos were not appropriate from stimulating the kind of data we needed to measure but in general the methodology was good. The analysis instruments need some improvements -- they were a bit limiting and needed some additional refining -- but in general, the instruments were valid and important.

R4. The time, the failure to define better some of the indicators, the translation of the instruments, the cost.

R5. Very limited time, the observed group was a small minority of the community, some of the descriptions of the indicators were a little confusing. Perhaps, it would be good to improve the use of the photos in order to obtain data from the group-- perhaps, photos that do not allow for such vague responses from the participants. The group

does not necessarily represent the entire community.

R6. The research team members (except the facilitators) did not participate directly in the elaboration of the plan of action for the research project or in the actual collection of the data, or directly in the selection of the generative theme. We have not been closely integrated into the entire process. But in general, the logic followed was very good.

R7. The abstraction of some of the variables and indicators, the breadth of the study (focussing on many different aspects), and the failure to contextualize some of the material. The limited time with the community and the research team, resulting in a fairly artificial vision of the process. It would be better to have the methodology as a process with various phases. The time limitation impacted on the ability of the research team members to fully understand the theoretical and methodological aspects of the research. The members of the community were not included as members of the research team and thus their concepts and criteria were not fully considered.

5. What possibilities do you see for applying this methodology to community development work in the field?

R1. The facilitator or the field worker can apply this methodology to their work but it would require a great deal of time. I believe it is a little complicated for use by members of the community. The use of special equipment (the cam-recorder) requires a large investment, at least in Perú.

R2. Perhaps, if the effort is undertaken with the participation of the community members and with more time.

R3. With some modifications of the instruments, we could use this as an approach to project evaluation (of course with adjustments to different kinds of projects) with the results used as the basis for orienting the project. As for the methodology in the community, I think it is adequate.

R4. Very good possibilities, especially for project evaluation over a given timeframe. I would revise the analysis instruments and the time for undertaking the research effort needs to be adjusted.

R5. I believe the methodology is valid to use in community development field work. Perhaps, the project promotor could use it individually in order to assess the progress in the community, considering the state of development at the point of entry, the goals achieved, and how maturation occurred during a longer period, more or less, two years.

R6. The experiential social learning model could be used as a research framework in order to make an approximate determination of the development process in the community but it would need to be done with much more time and with the active participation of members of the community in the research process.

R7. The application possibilities can be seen as meeting various functions including research, evaluation, in the promotion of reflection and conscientization. For each of these functions, the methodology could be adapted -- basically, the instruments and measurement tools would need to be re-conceptualized.

6. How reliable are the findings of this research effort? Why?

R1. I believe that they are not totally reliable because we only had a small group of persons from the community and during the data analysis sessions there were various interruptions and absences.

R2. 70% reliable. I have worked with the community for years and my personal assessments of the community organization have been confirmed by this research project.

R3. In terms of a percentage, I would say the findings are 85% reliable, taking into account the quality of the participation and the number of participants.

R4. I believe the results have at least 85% reliability because we already know the project to some extent and because the video tapes showed us some palpable realities.

R5. The reliability of the findings are positive -- although it should be mentioned that there were serious time limitations on the evaluators and those who were evaluated. The majority of the variable scores were based on a research team consensus. However, I would recommend a long-term follow-up research effort to confirm the findings.

R6. No response

R7. I would assess the findings at 50% reliability because in a certain way the data was collected from artificial experiences and because the presence of members of the funding institution conditioned the responses. In addition, the indicators were not always clear and all of the research team members were external to the realities of Villa El Angel.

7. What suggestions would you make for improving the level of reliability of the methodology?

R1. To have a stable group of researchers making the assessment and scoring; use the time better; that the researchers commit 100% to the research effort; if possible, pass the majority of the time living in the community and getting to know them well.

R2. Involve the members of the community in the elaboration of the research project.

R3. To seek a forum for involving the community or the group in the process so that the realities of life in the community are more closely represented in the planning and the implementation.

R4. More time viewing the videos; improve the analysis instruments and observation tools; greater commitment from the participating research team members.

R5. That the researchers participate as observers in the daily activities and local organization meetings -- make the problem-solving exercise more realistic by giving them the goal and a target date for preparing a plan of action -- not to work with a fictitious situation.

R6. Improve the data collection procedures in order to improve the analysis and interpretation and thereby enhance the reliability of the variable scores.

R7. To undertake this research effort with more time and combine data collection sessions with real, practical activities. To clarify and synthesize the tools and

instruments; to include persons from the community in the process; to define the measurement scales better.

8. What have you learned from this research process?

R1. That people have the potential to learn and develop their capacities; that I have a divergent learning style and that the operations team has dominant tendencies in the assimilator style; there are different types of leadership and that leadership style influences the development of people. I learned about learning styles.

R2. The theoretical and conceptual model helped me to visualize and interpret social realities using verifiable indicators.

R3. I learned a whole lot. I believe the research team work sessions have served as a training workshop important to the kind of social promotion work we are involved with. It has allowed me to discover many techniques and methods that are going to help me in my future work.

R4. I learned that there are qualitative methods for evaluating our work and that social transformation is a complex process which requires a profound analysis of its various aspects.

R5. I learned that there are systematic methods which help to measure the level of development of people in communities as related to authentic social transformation.

R6. To better understand the process of development experienced by a community.

R7. I learned about the need to conceptually integrate the three elements of the domains of social transformation, the learning styles, and the organizational factors in order to understand and intervene in social realities; also about the validity of qualitative instruments for reaching an approximate understanding of social realities; the necessity to become familar with, in concrete ways, the consiousness and the abilities of a group or community in order to promote processes of social transformation.

9. Do you think this process has been useful for Villa El Angel? How? In what ways do you think it could be improved?

R1. Perhaps it has been useful in the sense that the participants had an opportunity to meet together, and to express freely what they think. They have had the opportunity to do something different, looking at slides helped them to reflect and to deal with a topic that is of immediate interest to them and that relates to a serious economic need. The experience would have been better if it had resulted in a work plan with well defined purpose, goals, activities, steps, responsibilities -- so that they could have more easily implemented the results of the problem-solving session. I think it would be useful for them to see the video tape and observe their behavior during the various sessions. It would be very useful to give good follow-up to the project so that they are able to ultimately implement their aspiration for a community enterprise.

R2. Yes, this was an interpersonal exercise leading the participants to reflection about their realities and problems in the community. It has awakened the initiative for promoting and consolidating the local organization and produced greater consciousness about realities.

R3. Indoubtedly, yes. When the results of the research effort are shared with the community, they will be able to see the level of development in their community, in which areas they need to improve, what they should not do, and the foundation on which they should face the future. This information will help the community members, at least its leaders to reflect and contribute to decisions that will affect the future of the community.

R4. Yes, the experience was useful for Villa El Angel. It was useful because as a type of evaluation, it helped the leaders in the community, for various hours, to discuss various concerns related to the project and the future of the community. The experience would have been better if the problem-solving session had resulted in a concrete plan of action for implementing the income-generating project. We also failed to determine exactly how the follow-up would be provided.

R5. Yes, I believe it was useful for them, because the evaluative information will help them see their limitations. It would have been better to have a larger group from the community and to have tried some self-evaluation.

R6. Yes, for those who participated, as a practical exercise which can support the planning and implementation of ongoing community development activities.

R7. I believe so because it has permitted them to reflect on ideas and concepts about themselves; and more specifically, to reflect about community harmony, national realities, the possibilities of the productive enterprise (which is an important community priority). However, the experience would have been better if there had been more time and if we had been able to discuss community problems and aspirations in more concrete ways, for example, the productive community enterprise.

Participative Evaluation of the Research Process with Members of the Local Organization

Based on participant comments as noted by the facilitator on the flipchart

What did you learn/accomplish during this workshop? What did you like best about this series of workshop sessions?

1. We have taken a closer look at the problems and needs of the community.

2. We have reconstructed the history of our community, particularly all of our accomplishments since we established the community twenty five years ago.

3. We have analyzed the needs, aspirations, and achievements of the community.

4. We have taken a look at our progress to date and thought about the contributions of our leaders.

5. We have learned about the need to prioritize things in the commmunity.

6. The meetings have been very helpful. We have learned about the optimistic vision of our leaders.

7. The meetings have been constructive, we have seen how we are doing and recognized some of our errors.

8. We need to communicate what we have learned to the entire community so that the knowledge does not stay just with the leaders.

9. We have recognized the importance and significance of unity in the community and the need for close cooperation between the leaders and the other residents.

10. We have identified that there are conflicts of interest between classes. There are rich people who aren't interested in our progress. The way to accomplish change is to organize ourselves and have strength by our numbers.

11. We have analyzed our community from its initiation 25 years ago, evaluating both our progress and the set-backs.

12. We have analyzed our problems in a way to help us move into the future.

13. We have recognized the differences that exist between the classes and how many different governments (including the actual government) have been indifferent to our interests -- and have abandoned us.

14. We know that we have rights and we can confront the authorities, insisting on our rights and not just wait passively for institutions to help us.

What suggestions would you make for improving these sessions?

1. The number of participants has been small -- promote wider community participation in the sessions.

2. It would be good to join with two or more communities/projects for future experiences like this and to include other residents from Villa El Angel.

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