Indira Gandhi
National Open University
School of Extension and Development Studies

MDV-105
Development Planning and Management

Block

1

PROGRAMME PLANNING

PROGRAMME DESIGN COMMITTEE

PROGRAMME DESIGN COMMITTEE (REVISED)

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MDV-105 DEVELOPMENT PLANNING AND MANAGEMENT

People needs should be the central concern of development professionals who formulate, implement, manage, monitor and evaluate the development projects and programmes. Then the questions are:

- How to formulate programmes based on identified needs of the people?
- What are the steps in programme planning?
- How to involve people in participatory development?
- What are the tools to identify the needs of the people?
- What are the methods of monitoring and evaluation of developmental programmes and projects?
- How the knowledge of management concepts facilitate effective implementation of development programmes?

In short, the essence of this course *'MDV-105: Development Planning and Management'* is to provide answers to the above questions and make you understand these concepts.

Block 1 Programme Planning with four units deals with an overview of programme planning process, needs assessment, participatory programme planning and participatory methods.

Block 2 Appraisal Monitoring and Evaluation with three units appraises you about the concepts of appraisal, monitoring and evaluation.

Block 3 Project Management Techniques with two units appraises you about SWOT analysis, bar charts and networks.

Block 4 Development Management with three units gives an overview of concept, theories and functions of development management.

Block 5 Case Studies on Development Planning and Management with four units presents case studies to make you understand how the development programmes are formulated, managed, monitored and evaluated effectively by taking examples from watershed, agriculture, rural employment, self help groups and micro-finance sectors.

BLOCK 1 PROGRAMME PLANNING

Programme planning is a pre-requisite for any kind of development programme to: ensure what is to be done and why?; identify actions to be taken; distinguish desired/intended and undesired/unintended goals and objectives; allocate resources to achieve goals; ensure continuity of the project, and; accomplish programme objectives in cost-effective and time-effective manner. Therefore, the purpose of this block is to make you understand the basic concepts of programme planning, needs assessment, participatory programme planning and participatory methods.

Unit 1, **Programme Planning - An Overview,** focuses on meaning of different terms related to programme planning, importance and principles of outcomes focused programme planning, different phases and sub-phases in programme planning process with a practical example.

Unit 2, **Needs Assessment,** focusees on meaning of need and needs assessment, types of development needs, methods of needs assessment and how to conduct needs assessment.

Unit 3, **Participatory Programme Planning,** describes the importance and major benefits of participation, importance of stakeholders participation in development and discusses meaning, principles and distinguishing features of RRA and PRA.

Unit 4, **Participatory Methods**, explain material, time and site requirements for different PRA methods and describe meaning, objectives and steps in conducting space, time and relation related PRA methods.

UNIT 1 PROGRAMME PLANNING - AN OVERVIEW

Structure

1.1 INTRODUCTION

Development programmes are the heart and soul of extension work. Stakeholders of extension work and funding agencies expect design and implementation of development programmes that make a difference in people's lives, both individually and at community level. A clear understanding of the primary components of a programme is the foundation for designing and delivering the type of programmes that provide solutions for developmental challenges. You will learn about these components in this unit.

The first step in any systematic attempt to promote development is to prepare useful programmes based on needs. The development of such programmes, which harmonize with the needs of people as a whole, is an important responsibility of development workers. Programme planning is also a procedure of working with the people in an effort to recognize problems, and to determine possible solutions. Hence, the element of people needs should be the central concern of development professionals who formulate, implement and evaluate development programmes.

After studying this unit you should be able to:

- describe the importance and principles of programme planning process.
- formulate a sound development programme.

1.2 WHAT IS PROGRAMME PLANNING?

Before going into the details of programme planning process, let us look and understand the meaning of some related terms in the context of development studies.

Programme: Programme is a written statement which describes proposed developmental activities, the problems they address, the actions, and resources required.

Plan*:* Plan is schedule of development work outlining different activities in a specific period. It answers the questions like what, why, how, and when as well as by whom and where the development work is to be done.

Programme planning: Programme planning is the process of making decisions about the direction and intensity of extension education efforts to bring about desirable change among people /community. Good programme planning is to the extension and development worker what the compass is to the seaman.

Extension programme: An extension programme is an all-inclusive set of activities designed with a target client base in mind that focuses on the continuous education and development of clients. The educational component is meant to generate specific outcomes for the client base. An extension programme will be successful in generating lasting change within a community if the planning process is optimised.

Extension programme is a statement of situation, objectives, problems, and solutions. This is a very simple and comprehensive definition of extension programme given by Kelsey and Hearne which is widely accepted and adopted by extension and development professionals world over.

Let us briefly discuss the terms / related terms used in this definition.

Situation: Situation is a statement of affairs that includes the cultural, social, economic and physical conditions in which a particular group of people find themselves at a given period of time. Please remember the situation which constitutes the environment for planning is continuously changing. The changing environment aspects that are relevant to development work are:

- Changes in technology.
- Changes in Government policy.
- Changes in overall economic activity including prices, employment of labour, raw material etc.
- Changes in social norms and attitudes of people towards development.

Aim: Aim is generalized and broad statement of direction with respect to given development activity.

Example: Improvement of economic condition of Women Self Help Groups.

Objectives*:* Objectives are expression of ends towards which our efforts are directed. The dictionary meaning of objective is ‘something that one’s efforts or actions are intended to attain or accomplish’.

Example: Improvement of Women Self Help Group’s economic condition by 20 percent.

Goal: Goal is the distance in any given direction one expects to go during a given period of time.

Example: Improvement of Women Self Help Group's economic condition by 20 percent through income generating activities in one year.

> **Goal**
>
> If we could but know where we are now, and where we ought to go, we could better judge what to do, and how to do it - Abraham Lincoln.

Problem: Problem is an issue or obstacle which makes it difficult to achieve a desired goal, objective or purpose. It refers to a situation, condition, or issue that is yet unresolved. In a broad sense, a problem exists when an individual becomes aware of a significant difference between what actually is and what is desired.

Example: In society, a problem can refer to particular social issue (say rural unemployment), which if solved would yield social benefits, such as increased productivity.

Solution: Solution is a course of proposed action to change an unsatisfactory condition to one that is more satisfying.

Example: The Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA) aims at enhancing the livelihood security of people in rural areas by guaranteeing 100 days of wage employment in a financial year to a rural household whose adult members volunteer to do unskilled manual work.

Calendar of Work: Calendar of work is a plan of activities to be undertaken in a particular time sequence.

Example : Pulse polio programme on first Sunday of every month in a year.

> **Activity 1:** Visit the webpage of Ministry of Rural Development, study any latest rural development programme initiative and write briefly about its aim, objective, goal, problem and solution aimed by the programme.
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1.3 OBJECTIVES OF PROGRAMME PLANNING

Important objectives of having a programme planning as per Kelsey and Hearne are to:

1. Ensure careful consideration of what is to be done and why.
2. Furnish a guide against which to judge all new proposals.
3. Establish objectives toward which progress can be measured and evaluated.

4. Have a means of choosing the important from less important problems and the permanent from the temporary changes.
5. Develop a common understanding about the means and ends between various functionaries and organizations.
6. Ensure continuity during changes in personnel.
7. Help develop leadership.
8. Avoid wastage of resources, money and promote efficiency.
9. Justify expenditure and ensure flow of funds.
10. Have available in written form a statement for public use.

1.4 NEED IDENTIFICATION IN PROGRAMME PLANNING

Efforts to promote change through development programmes are successful only to the extent they are focused on the important needs of the people and are effective in helping people meet these needs. In development programmes, people participate only when they think that the programme is valuable to them in meeting personal, family, group or community needs which they themselves recognize. The element of need and need identification therefore, should be the fundamental concern in development programmes. In short people concern themselves with development programmes only on the basis of needs as they see them, not programme planners view them.

Successful programme planning is one of identifying accurately what people want, think they need, and actually getting these items converted into a realistic well organized and concerted series of forceful developmental activities- this may properly called a programme. Effective programmes to promote change are developed through finding people's needs and arranging action that helps meet them. Hence, a clear understanding of the nature and role of people's needs in programmes of development is essential to the extension and development workers like you. Refer unit 2 for more details an needs assessment.

> Extension programmes developed based on the needs by the people, for the people and of the people have best chances of success

1.5 TYPES OF EXTENSION PROGRAMMES

Programme planning is vital in order to find solutions for community problems or issues, or to assess needs. The various types of extension programmes are described in this section for your understanding.

There are different types of extension programmes, each designed to address a specific need. Extension programmes can be designed to address development, where the objective is to implement a plan that will drive change for the benefit of an organisation or community. Extension programmes can be implemented in order to share information and educate a target audience. These programmes can involve learning institutions and their faculties to address pressing issues in a particular development sector.

An extension programme can be reactive or proactive.

a) Reactive programmes are planned to address a specific problem, challenge or need within an organisation or community. It is reacting to the past rather than anticipating the future. In reactive development you solve matters as they arise. Information gathered in the planning phase will guide the action plan of the programme.

b) Proactive extension programmes are designed to drive change with the objective of uplifting a community or improving a situation within an organisation. It is acting before a situation becomes a source of confrontation or crisis. In proactive development you solve matters before they become an issue. You generally spend more times on the optimizations (for example, improved security or caching of everything). Proactive development makes developments more stable.

It's essential to switch between reactive and proactive modes depending on the need.

1.6 PRINCIPLES OF OUTCOMES FOCUSED PROGRAMME PLANNING

There are a few basic principles to stick to when using outcomes focused programme planning. These are briefly discussed below:

1. Always make decisions based on data and facts. Collect enough good information for rational decision making.
2. Seek out stakeholders that will understand the issues you face. Involve them in the planning process so they can help guide the programme.
3. Set specific targets and goals to ensure planning covers all aspects of what you intend to achieve at the end. Make sure the target clients know which behaviours, skills and attitudes they will need to change for the programme to be successful.
4. Identify and understand the root causes of the problems you intend to address. This will help you find the best approach to overcome any potential hurdles you might encounter in the planning process.
5. Always aim for sustainable and lasting change within a community. Strive to make a significant positive impact with the proposed programme.
6. Prepare to evaluate your progress and adjust or refine the plan on a continuous basis, so that the programme will always fulfill its purpose in the community it serves.

Activity 2: Visit a nearby development department and enquire about different types of extension programmes. Write your observations.

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Check Your Progress 1

Note: a) Use the spaces given below for your answers.

b) Check your answer with those given at the end of the unit.

1. What do you mean by extension programme?

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2. Do you agree that proper planning of extension programmes enhances the success of extension work? Support your answer.

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3. Write any four principles of programme planning.

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1.7 PROGRAMME PLANNING PROCESS

The process of programme planning is explained well when you look at it as a cycle of certain stages as shown in Fig 1.1. Programme planning begins by looking at where the problems are (situation analysis), finds a solution to those problems (programme objective), moves the solution into actuality through the use of extension methods and communication (programme execution/implementation), makes a continuous study of how successful the extension methods have been (evaluation), and then uses the evaluation result as basis to readjust the extension programme (reconsideration).

Three main phases involved in programme planning process are:

1. Programme formulation
2. Programme execution
3. Programme evaluation

These three phases have the following 8 sub-phases as shown in Fig.1.1

i. Collection of facts and analysis

ii. Identification of problems

iii. Determination of objectives

iv. Developing the plan of activities

v. Carrying out the activities

vi. Continuous checking

vii. Evaluation of results

viii. Reconsideration

1.7.1 Collection of Facts and Analysis

A potential stakeholder is a valuable source of information. This is anyone who shares your commitment to your programme. There are many ways to engage with stakeholders, either through face-to-face informal conversations or through more formal advisory groups. Remember that the diversity of stakeholders can give you access to many different perspectives and opinions, but can also lead to conflict if the group is not kept focused on the ultimate collective goal. The key stakeholders the extensionist needs to engage are investors for the extension programme and the beneficiaries who will be involved in the programme implementation.

Development workers must have adequate knowledge of socio, economic, cultural and psychological status of people and how to involve them in the process of development. In general, information on the following items should be collected.

a. Number of beneficiaries

b. Educational status of beneficiaries

c. Communication facilities

d. Socio-economic status

e. Agriculture land and livestock information

f. Production status of the land and livestock

g. Availability of common / community facilities

h. General health of the community

i. Customs, traditions, institutions, peoples' organizations operating in the area, etc.

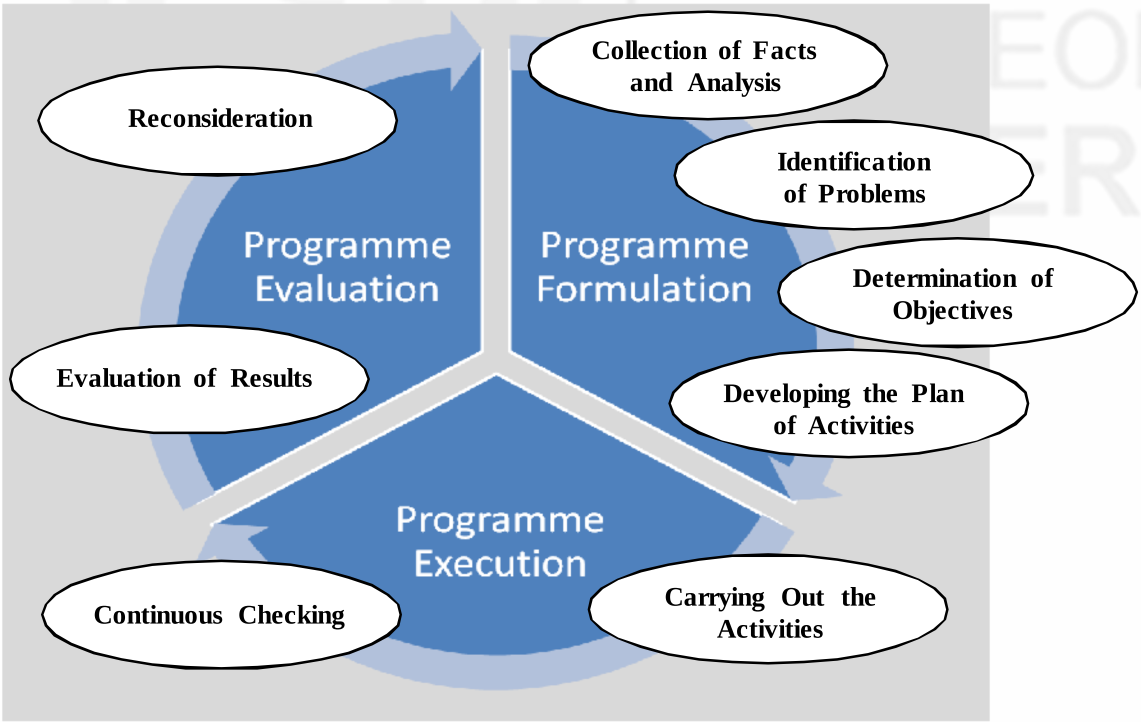

Fig. 1.1: Extension Programme Planning Process

The tools and techniques for collecting data include systematic observations, interviewing the people and surveys, existing governmental records, census reports, and the past experiences of the extension and development workers. After collecting facts, they are analyzed and interpreted to find out the problems and needs of the people (Fig. 1.2 and 1.3).

1.7.2 Identification of Problems

As a result of the facts analysis, the important gaps between 'what is' and 'what should be' are identified and the problems leading to such a situation are to be located. These gaps represent the people's needs. For your understanding, problem of low procurement price for milk and associated reasons identified by extension students of veterinary college in a Puducherry village is given in figure 1.4

Fig. 1.2(a): Collection of Facts by Extension Workers

Fig. 1.2(b): Collection of Facts by Extension Workers

Fig. 1.3: Extension Workers Assessing People's Needs in Rural Puducherry (Source: RAGACOVAS, Puducherry)

From the Fig. 1.4, we can identify various direct and indirect reasons for low procurement price for milk. Some of the reasons are:

- Low price fixation for milk is leading to low procurement price for milk
- Due to poor economic status, farmers are unable to provide proper housing facility to livestock which is leading to poor management, diseases and low milk production and ultimately low procurement price for milk.
- No regular deworming and failure of vaccination are leading to diseases and low milk production and leading to low procurement price for milk.
- Non-availability of pure breeds for crossbreeding is resulting in low fat in milk and resulting in low procurement price for milk.
- High cost and low availability of feed resulting in low milk yield and low procurement price.
- Environment stress is another reason for low milk production and low procurement price for milk.

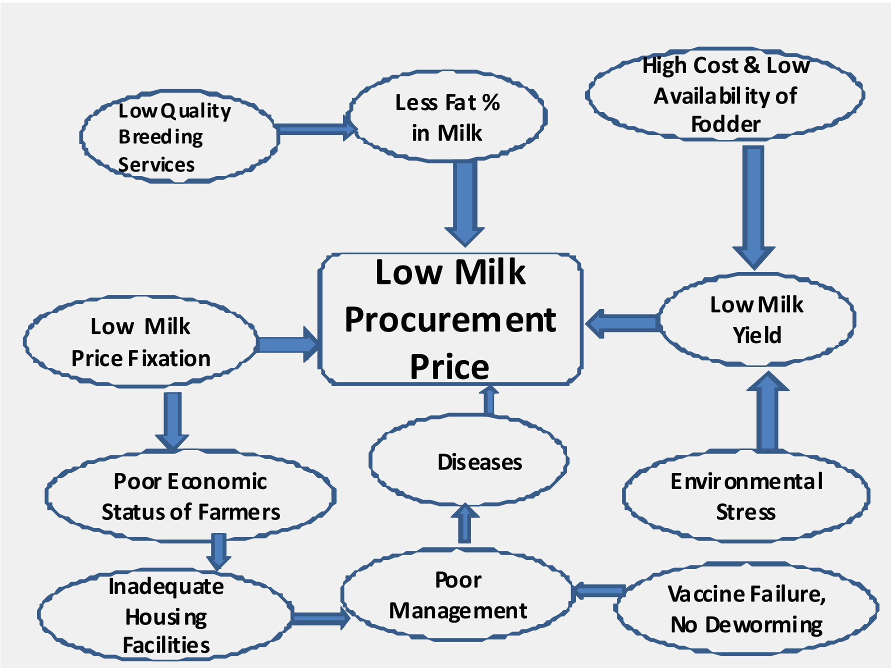

Fig. 1.4 : Problem of low milk procurement price and associated reasons identified by extension students in a Puducherry village (Source: RAGACOVAS, Puducherry)

1.7.3 Determination of Objectives

Once the needs and problems of the people have been identified, they are stated in terms of goals and objectives. The objectives represent a forecast of the changes in the situation or change in behaviour of the people to be brought about. The objectives may be long-term as well as short-term and must be stated clearly.

Programme goals are broad and general. On the other hand, programme objectives, as illustrated by the SMART acronym, are:

- **S**pecific – Is the objective specific and clear about what will be achieved?

- **M**easurable – Is the objective measurable?
- **A**chievable – Is the objective achievable given the time, resources, and programming?
- **R**elevant – Is the objective relevant and clearly linked to the desired result?
- **T**ime-limited –Is the objective stated so it is clear when it will be achieved?

Example: To solve the reasons for low procurement price for milk as identified above, the objectives for a one year livestock extension programme could be:

a. To educate farmers on feeding, breeding, health care and management practices.

b. To conduct deworming and vaccination camps every month.

c. To encourage farmers for fodder production individually or at community level.

d. To educate farmers on crossbreeding and upgrading and conduct of artificial insemination with Jersey, Holstein Friesian and Murrah semen.

e. To improve the daily milk production by at least 2 to 4 liters.

f. To fix remunerative price for milk to encourage dairy farming.

1.7.4 Developing the Plan of Activities

In order to achieve the stated objectives, the means and methods attaining each objective are selected and the action plan, i.e. the calendar of activities is developed. It includes the technical content, who should do what, and the time-limit within the work will be completed. The plan of work may be seasonal, short-term, annual or long-term.

Example: Prepare the following schedule of activities, print and distribute to all concerned related to above objectives.

- Every day morning, afternoon and evening – Artificial Insemination to be conducted at veterinary hospital / at farmers' doorstep.
- Deworming and vaccination campaign on every 3rd Saturday
- Persuading at least 5 progressive farmers in selected 5 villages for cultivation of improved fodder varieties on pilot basis.
- Encouraging cultivation of fodder trees like Subabul on the bunds of the fields of all farmers
- To conduct monthly short term training programmes of 2-3 days to farmers on improved management practices.

1.7.5 Carrying out the Activities

Once the action plan has been developed, arrangement for supplying the necessary inputs, teaching aids, extension literature etc. has to be made and the specific action has to be initiated. The execution of the plan of activities is to be done through extension methods for stimulating individuals and groups to think, act and participate effectively. People should be involved at every step to ensure the success of the programme.

1.7.6 Continuous Checking

Follow-up the activities carried out at regular intervals. Keep adequate records of each activity as a base for evaluation of results.

1.7.7 Evaluation of Results

It is done to measure the degree of success of the extension programme in terms of the objectives set forth. This is basically done to determine the changes in situation or the behaviour of the people as a result of the extension programme. The evaluation is done not only of the physical achievements but also of the methods and techniques used and of the other steps in the programme-planning process, so that the strong and weak points may be identified and necessary changes made in the subsequent programmes.

Evaluation gives the extension educator and other stakeholders the opportunity to reflect, learn and refine techniques with the goal of modifying and improving the programme. It also provides the opportunity to report accomplishments.

1.7.8 Reconsideration

The systematic and periodic evaluation of the programme will reveal the weak and strong points of the programme. Based on these points the programme is reconsidered and the necessary adjustments and changes should be made in order to make it more meaningful and sound.

Remember that programme-planning is not the end-product of extension activities, but it is an educational tool for helping people to identify their own problems and make timely and judicious decisions. In the above mentioned steps, it is clear that the planning of an animal husbandry extension programme comprises a logical series of consecutive steps. Similarly extension programmes can be formulated in any other sub-sectors of development. The first 4 steps form the programme planning phase. The steps 5-6 form the action-phase. The steps 7-8, join the two phases together, where it leads to the fact-collecting step, thus beginning once again the never ending or continuous process of planning the extension programme.

Activity 3 : Read the following case and formulate objectives and activities for a sound extension programme.

Dynamics of Self Help Groups in Livestock Rearing – A Case Study

Self Help Groups (SHGs) represent a unique approach to financial intermediation. The approach combines access to low-cost financial services with a process of self management and development for the women who are SHG members. SHGs are formed and supported usually by NGOs or increasingly by Government agencies. Linked not only to banks but also to wider development programmes, SHGs are seen to confer many benefits, both economic and social. SHGs enable women to grow their savings and to access the credit which banks are increasingly willing to lend. SHGs can also be community platforms from which women become active in village affairs, stand for local election or take action to address social or community issues. One of the major activities of women SHGs are livestock rearing for economic and nutrition benefits.

A team of extension scientists visited women SHG rearing livestock in Kerala and conducted a case study. The main observations are furnished below.

Name of the SHG : Gramashree Self Help Group (Reg No MTL/ 25) started on 4.11.2001, Tondupali Vilage, Kalpetta Block, Waynod Dt., Kerala

General Observations: Number of Group Members were 17, and 15 among them are Scheduled Tribes. The President of the SHG was Smt. Indira Bhaskaran and Secretary was Smt Jayasri Mani. The SHG was promoted by the village Panchayat.

Observations on Governance: Every year the SHG conducts elections and however, since 2001, the same president and secretary have been elected unanimously.

Observations on Financial Issues: In the year 2002, first grading was done by Block Development Officer (BDO) and Bank. BDO has sanctioned Rs 10000/- as government assistance in the form of revolving fund to promote the SHG and Malabar Gramena Bank gave Rs. 25,000 as loan.

Income Generating Activity: With the revolving fund and bank loan, SHG members purchased 3 Jersey cows and reared. They successfully repaid the loan in 3 years successfully @400 / month.

SHG Growth: With the successful repayment of loan amount, second grading was done in 2003 by Village Extension Officer and Bank officials under Swarnajayanti Grameena Swarojgar Yojana. They sanctioned Rs. 5,40,000 / as 2nd loan again to expand the dairy farming activities of SHG. However the SHG could avail Rs. 4, 04000/-. They spent Rs 1,40,000/- on shed construction and Rs 2,64,000/- to purchase 17 cows. Later they disposed three cows and on the date of non- participant observation study, the SHG have 14 cows of Jersey and Brown Swiss crossbreds.

Reasons for Group Formation: When asked about the reasons for group formation, they said it was mainly by the encouragement of Panchayat for improving the livelihood security through dairy farming as income generating activity.

Dynamics in Dairy Farming: Farm activities are carried out by 6 members on rotation. The present herd size is 14 (10 Jersey and 4 Brown Swiss). Earlier they were producing milk @ 90 liters / day & Selling @ Rs 11.50 / lt to milk co-operative society. The money was used to repay the loan (Rs 7000 /- per Month. But at present all the cows are dry and 2 cows are pregnant. Now they are selling only dung and manure. They took on acre of land on lease and producing fodder. On the bunds they planted Banana plants.

Group Dynamics

Working cohesively for the past 6 years without any problem

Electing every year president and Secretary democratically

Good leadership (People with different political parties)

One member left in between on migration and another inducted

Every Sunday at 10.00 AM regular group meetings with recording of minuets and attendance

Decision making is by collective consensus on weekly meeting

Benefits of Group Formation

Increased knowledge on cattle rearing – Lactometer, SNF, Fat testing etc.

Capacity building by increased interaction with department people

Increased literacy

Opportunity to understand what is happening around

Microfinance for family emergencies (5% interest rate with repayment of Rs. 100 per week)

Social Activities

- Road making with labor contribution

Donated uniforms to poor school children

Participated in Pulse Polio Programme

Cleaning of well water

Creating awareness about other development programmes

Cleaning garbage & plastic

Support Received from AH dept

Livestock inspector provided artificial insemination.

Problems

All animals in dry- No milk production

No proper knowledge on concentrate feeding

Lack of planning and poor management

Suggested Animal Husbandry Extension Interventions

Convincing the bank officials to increase the loan amount

Educating on concentrate and roughage feeding

Regular AI and keeping the animals in production

Planning & training before purchase on animals

Exercise: Based on the above observations, formulate objectives and activities for a sound extension programme.

Objectives

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Activities

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Check Your Progress 2

Note: a) Use the spaces given below for your answers.

b) Check your answer with those given at the end of the unit.

1. Write the three phases in extension programme planning

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2. Expand the acronym SMART related to programme objectives.

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1.8 LET US SUM UP

In this unit we started by looking into the definitions of the terms programme, plan and programme planning and understood what they mean in the context of extension and development. We examined the importance and principles of programme planning. We studied different phases and sub-phases in programme planning process with a practical example.

1.9 KEYWORDS

Programme: Programme is a written statement which describes proposed extension activities, the problems they address, the actions, and resources required.

Plan: Plan is schedule of extension work outlining different activities in a specific period.

Programme Planning: Programme planning is the process of making decisions about the direction and intensity of extension education efforts to bring about desirable change among people.

Calendar of Work: It is a time schedule of work consisting activities arranged chronologically.

Extension Programme: It is a statement of situation, objectives, problems, and solutions.

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1.11 CHECK YOUR PROGRESS – POSSIBLE ANSWERS

Check Your Progress 1

1. Extension programme is a statement of situation, objectives, problems, and solutions.

2. Yes. Proper planning of extension programmes enhances the success of extension work by: avoiding wastage of resources; providing guidance; maintaining continuity and sequence; providing reliable information and; facilitating institutional and local support.

3. The main principles programme planning are: careful analysis of a factual situation; selection of problems on the basis of recognized needs of people; set the feasible objectives which offer satisfactory solutions; permanent and flexible to meet a long-term situation, short-term changes, and emergencies; educational and directed towards bringing about desirable change and provides for the evaluation of results.

Check Your Progress 2

1. The three phases involved in extension programme planning process are (i): Programme formulation (ii) Programme execution and (iii) Programme evaluation.

2. The acronym SMART stands for **S**pecific, **M**easurable, **A**chievable, **R**elevant and **T**ime-limited objectives of programme planning.

UNIT 2 NEEDS ASSESSMENT

Structure

2.1 INTRODUCTION

In the previous unit, we discussed that the first step in any systematic attempt to promote development through extension is to prepare useful programmes based on needs of the people. Then the question is how to assess people's needs and what are the methods to identify them? In the context of development studies, needs assessment is a systematic process for determining and addressing development needs or gaps between current conditions and desired conditions. The discrepancy between the current condition and desired condition must be measured to appropriately identify the development needs of an individual or community.

After studying this unit you should be able to:

- Understand the meaning of need, types of needs and needs assessment.
- Explain the purpose and different methods of needs assessment.
- Describe how to conduct a needs assessment.

2.2 NEED AND TYPES OF NEEDS

Need : Need is a condition marked by a lack of something that is considered a requisite for development. In most needs assessment surveys, a need means something that specifically relates to a particular group or community development. Need is different from 'want' in that want indicates a desire for something. Fear (1988) advised that asking clients what they want should not be confused with their needs.

When we conduct needs assessment, we identify the discrepancy or gap between where the community is now and where the community wants to be (Witkin and Altschuld, 1995). So 'need' refers to the gap or discrepancy between a present state (what is) and a desired state (what should be). Please note that the need is neither the present nor the future state; it is the gap between them. See the examples given in Box 1 to understand the gap in different development settings.

Box 1. Understanding Gap in Different Development Scenarios

Example 1: Average milk yield of local buffalo is 4 liters/day, but research and demonstration may show that farmers in the same setting may be able to achieve yields to 10 liters/day by using improved breeding and feeding practices. So, in this case, the yield gap between the present situation and the desired condition is 6 liters/day. The larger the discrepancy between the current situation and the desired situation, the greater the need for improved breeding and feedings practices.

Example 2: In cities like Kochi, road transport can optimally carry 8,000 persons per hour per direction (PHPDT) as roads do not have adequate width. When traffic density increases beyond this level average speed of vehicles comes down, journey time increases, air pollution goes up and commuters are put to increased level of inconvenience. In any case, it is not feasible to operate bus transport beyond 10,000 PHPDT in mixed transport scenario, obtaining on Kochi city roads. With growing population and mega development plans coming up for this port city, the travel demand is expected to grow steeply. With inadequate public transport services, passengers will shift to private modes, which is already evident from the high ownership trends in the region. This will not only aggravate the congestion on the city roads but will also increase the pollution level. Road-based public transport, therefore, cannot meet this demand. Carrying capacity of Light Metro System is up to 25,000 PHPDT, which will be adequate to take care of the traffic problems of Kochi for the next about 25 years. This shows the urgent need to introduce a Light Metro System in the city to provide fast, safe, economic, and environment-friendly mode for mass movement of passengers (DPR- Kochi Metro Project, 2011).

2.2.1 Types of Development Needs

Development needs can be classified into the following types:

1. Felt needs
2. Ascribed needs, and
3. Normative needs.

Felt Needs : Baker (1984) divided felt needs into two categories:

a) *Expressed Felt Needs:* Needs felt by people and recognized by development workers are called expressed felt needs.

b) *Unexpressed Felt Needs:* Needs felt by people but unrecognized by development workers are unexpressed felt needs.

Ascribed Needs: Ascribed needs are those defined or identified by outsiders, and they may or may not be present in the community. Funding agencies or development departments, which often do not involve local communities in needs identification and prioritization, may focus on ascribed needs. This is a typical top-down approach of identifying development needs.

Normative Needs: Normative needs are those that experts or development workers believe people's needs to be. Often, experts determine local needs on the basis of comparison with national trends, and these are called relative needs.

Activity 1: Ask your colleagues what they mean by a 'need' in the context of development? Compare their views with those given in this section and write your observations.

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Check Your Progress 1

Note: a) Use the spaces given below for your answers.

b) Check your answer with those given at the end of the unit.

1. Write the meaning of needs assessment?

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2. Write any three characteristics of needs assessment.

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3. Needs assessment generally aimed at collecting what information?

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2.3 NEEDS ASSESSMENT

A 'needs assessment' is a systematic set of procedures that are used to determine needs, examine their nature and causes, and set priorities for future action. Therefore, needs assessments are conducted to help programme planners identify and select the right development work before doing the development work right. For your understanding some of the characteristics of needs assessment are summarised in Box 2.

Box 2 : Characteristics of Needs Assessment

1. Needs assessment focus on the ends (i.e., outcomes) to be attained, rather than the means (i.e., process).

   Example: Efficient urban transport system is an outcome whereas light metro system is one of the means toward that end.

2. Established procedures and methods are used to obtain data for specific needs assessment.

   Example : Focus group discussion method is used to assess group / community needs.

3. To facilitate sound decisions by development planners, needs assessment sets priorities and suggest criteria for solutions

   Example : Macro level priorities at state level and micro level priorities at community level.

4. Needs assessment sets criteria for resource allocation.

   Example: Best allocation of financial (money), human (work force) and other resources (facilities) that will improve the efficiency of means (i.e., process).

5. Needs assessment leads to action that will improve programs, services, and operations, or a combination of these elements.

   Example: IGNOU developed and launched a PG Diploma in Urban Planning and Development programme after assessing needs.

2.3.1 Why do a Needs Assessment?

Why do program planners in development departments conduct needs assessment? Many times developmental interventions are designed and implemented without seeking inputs from people / community, and so at the end of the intervention, the community ignore the work, which is not much relevant or useful to them. What needs assessment does is identify a gap that is relevant to community felt needs, so that interventions by development workers fill the gaps.

Example : Introducing light metro system in Kochi city (Box 1) to provide fast, safe, economic, and environment-friendly mode for mass movement of passengers has ‘relative advantage’ compared to congested road transport system.

‘Relative advantage’ of development intervention is a defining feature behind a successful urban mass transportation programme in the above example. A thorough needs assessment in the form of detailed project report results in more appropriate intervention with greater benefit to the community. A community needs assessment is an excellent means of involving the community in problem solving and developing local goals (Butler and Howell, 1980). How community needs are assessed in MGNREGA is summarised in Box 3 for your understanding.

Box 3 : Community Needs Assessment in MGNREGA

After the 73rd Amendment to the Indian Constitution, the *Gram Sabha* became one of the most important platforms for strengthening people's participation in development programmes, decentralised planning and for activating grassroots democracy. The *Gram Sabha* consists of all the adults (above 18 years) of the village which is is chaired by Pradhan/Sarpanch/any senior member of the village. It is mandatory to conduct a *Gram Sabha* once every 3 months.

In MGNREGA, community needs are assessed in *Gram Sabha*, which has the following rights and responsibilities under the act:

It determines the order of priority of works in the meetings of the *Gram Sabha* keeping in view potential of the local area, its needs, local resources.

Monitor the execution of works within its jurisdiction.

It is the primary forum for conduct of social audits.

It provides a platform to all residents to seek and obtain all relevant information from all the implementing agencies including *Gram Panchayat* in relation to MGNREGA works implemented in the locality.

Source : FAQs in MGNAREGA (2014)

2.3.2 Information Collected in Needs Assessment

While planning the needs assessment study, you should know the kind of information required for the planned development intervention. Also you should know the purpose / usefulness of information and method to be applied to collect the information. Needs assessment generally aimed at collecting the following information (Suvedi and Kaplowitz, 2016).

1. Historical development information
2. Demographic information
3. Political and legal structure information
4. Economic information
5. Social cultural and educational institutions information
6. Geography and infrastructure information

For your convenience and easy understanding, the information to be collected in needs assessment, purpose and methods to be used are summarised in Table 1.

Table 1: Information Collected in Needs Assessment, Purpose and Methods

Information	Purpose	Methods
Historical Development Information (Chronology of events as recalled by local people).	To understand how the community became what it is today and provides insights into the kinds of information to collect.	- Community forum - Time line
Demographic Information (Size of a population and the ages, races, castes and genders of its members).	To understand demographic breakdown of the community and recording the changes over a period of time in such areas as the community's growth patterns and population distribution and migration.	- Secondary sources like census data - Survey
Political and Legal Structure Information (Information on leaders and stakeholders)	It helps you understand the community-based selection of leaders and key players in development.	- Survey - Key informant interviews
Economic Information (Income and its sources)	It helps identify your community's economic base and resource distribution.	- Survey - Secondary sources like economic survey data
Social Cultural and Educational Institutions Information	It will help you determine your community's values and social patterns.	- Key informant interviews - Focus group discussion
Geography and Infrastructure Information (Roads, electricity, irrigation systems, total project area, etc)	To learn how the infrastructural development has occurred, how big the focus area is, what type of landscape it has, etc.	-Transect walk

Note: Please refer Unit 4 on Participatory Methods - for more details on Time Line and Transect.

Activity 2: Visit a nearby development department implementing MGNAREGA programme and ask how they are assessing community needs in *Gram Sabha*. Write your observations.

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Check Your Progress 2

Note: a) Use the spaces given below for your answers.

b) Check your answer with those given at the end of the unit.

1. Write the meaning of needs assessment?

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2. Write any three characteristics of needs assessment.

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3. Needs assessment generally aimed at collecting what information?

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2.4 METHODS OF NEEDS ASSESSMENT

Depending on the type of information needed and group orientation, Fear (1988) suggested the following needs assessment methods:

1. Group Dynamics Method
2. Social Networking Method
3. Survey Method
4. Social Indicator Method

Group Dynamics Method: It is designed to facilitate group or team-based consideration of needs.

Example : Focus group discussion.

Social Networking Method: It brings "state of the field" information to the attention of the Development workers who will assess needs.

Examples : Drawing information from association network and conference presentations.

Survey Method: Mail, telephone and Internet surveys are popular in developed countries. Personal interviews, group-administered and key informant surveys are frequently used in the developing countries.

Social Indicator Method: It refers to the compilation and use of existing information (from secondary sources) to measure needs. Use of census information, newspaper reports/polls on community issues and crime information data provided by service agencies are examples of social indicators.

In addition to the survey approach described by Fear (1988), Carter and Beaulieu (1992) suggest four other needs assessment techniques: the key informant approach, the public forum approach, the nominal group process technique, and the Delphi technique.

The key differences among individual and group methods of needs assessment are summarised in Box 3.

Box 3 : Key Differences among Individual and Group Methods of Needs Assessment

Key Informant Interviews

Intensive interviewing with an individual who meets specific selection criteria based on their personal experience. A way to obtain in-depth information about feelings and perspectives.

Focus Group Interview

A method of interviewing a carefully selected small group of people, who participate in a pre-determined, focused discussion led by an experienced development worker. It is helpful when working to collect specific in-depth thoughts and opinions on a topic.

Community Meetings

Community meetings include gathering information about individual or community needs in a target population or community. They does not provide as in-depth information as a focus group or key informant interview but is a way to gather information from larger groups.

Survey

A method of needs assessment that provides development workers with specific information that can be used to create a statistical summary of the thoughts, beliefs, feelings, and opinions of a target population.

(**Source :** Conducting a Needs Assessment, University of Minnesota).

In addition to the above methods, participatory needs assessment methods are also popular. Some of the participatory methods are described in the next two units for your understanding.

2.4.1 Selection of Needs Assessment Method

Selection of needs assessment method depends on resources available with development organization and purpose of the needs assessment. Some of the factors to be considered while selecting a needs assessment method are summarised below (Suvedi and Kaplowitz, 2016):

1. What is the development philosophy of organization?
2. How important is involving the community in needs identification?
3. Does the community have any definite preferences?
4. How much time do you have to conduct the needs assessment?
5. How much money is available to complete the task?
6. What is the level of staff expertise to conduct the needs assessment?

7. Are resource persons available to assist in the needs assessment?
8. What is the past experience in conducting needs assessment?
9. What are the political considerations and future plans?
10. Are local leaders and decision makers open to conducting a community needs assessment?
11. Do they have commitments to address local needs and problems?

Check Your Progress 3

Note: a) Use the spaces given below for your answers.

b) Check your answer with those given at the end of the unit.

1. Name four needs assessment methods

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2. Write any four factors to be considered while selecting a needs assessment method.

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2.5 HOW TO CONDUCT NEEDS ASSESSMENT?

Although there is a range of ways to go about doing needs assessment, following three-phase approach which progresses through a defined series of phases suggested by Witkin and Altschuld (1995) is useful and appropriate for development workers (Fig. 1).

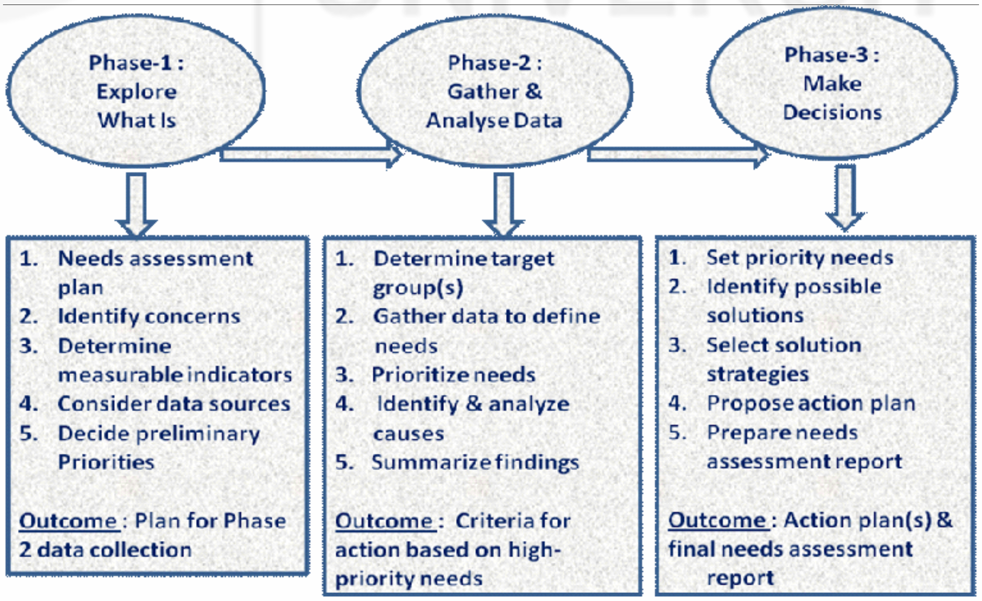

Figure 1: Three Phases of Needs Assessment

Let us discuss briefly the steps under these three phases.

2.5.1 Phase 1 - Explore What Is ?

Step 1 - Needs Assessment Plan : The first step in needs assessment is to determine time frame and form a team representing individuals who are critical to conduct the needs assessment study and follow-up the findings.

Step 2 - Identify Concerns: Identify major goals / outcomes and list the important concerns under each goal.

Step 3 - Determine Measurable Indicators: Check the indicators that could verify that a developmental problem / issue exist.

Example: In cities like Kochi, road transport can optimally carry 8,000 persons per hour per direction (PHPDT) as roads do not have adequate width. When traffic density increases beyond this level average speed of vehicles comes down, journey time increases, air pollution goes up and commuters are put to increased level of inconvenience. This shows the urgent need to introduce a light metro system in the city to provide fast, safe, economic, and environment-friendly mode for mass movement of passengers (Refer Box 1 for more details)

Step 4 - Consider Data Sources: Check from primary and secondary data sources for availability of information to clearly define the need(s).

Step 5 - Decide Preliminary Priorities: In the step 2, major goals and important concerns under each goal are identified. Now to address the problem, identify priorities of each concern. The identified priorities help as focal points in collecting needs assessment data.

The overall purpose and outcome of Phase-1 is summarised in Box 5 for your easy understanding.

Box 5: Purpose of Phase – I : Explore What Is

1. To investigate what is already known about the needs of the target group.
2. To determine the focus and scope of the needs assessment.
3. To gain commitment for all stages of the assessment, including implementation of the findings.

The overall outcome of Phase 1 is a ‘Plan for Phase 2 data collection’

Activity 3 on ‘Exploring What Is’: Survey a community in your nearby locality, identify any developmental gap or need. Write briefly about goal, concern, indicators and sources of data to address the need.

(a) Goal : ....

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(b) Concern: ....

....

(c) Indicators : ....

....

(d) Sources of Data: ....

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2.5.2 Phase 2 – Gather and Analyse Data

Step1-Determine Target Group(s): Under this step you need to determine the scope of needs assessment and target group(s) for the development intervention.

Step 2-Gather Data to Define Needs: Spell out a desired outcome and collect data to determine the current state of the target group in relation to the desired outcome. Identify the gap and state the needs to fill the gap.

Example: The criticality of the urban problems has not been properly understood due to less emphasis on urban development issues in the curriculum of regular universities. To reach all the stakeholders, there is a need for an Open and Distance Learning programme in urban development to meet the stakeholder's needs.

Step 3-Prioritise Needs: With the limited resources it may not be possible to address all the concerns identified in needs assessment. Therefore we need to prioritise the needs based on two major criterion - importance and feasibility (Sork, 1979):

a) **Importance:** The importance of a need can be determined by the following:

   Mandate - Is the need identified relevant to your organisation?

   Urgency - Does the need identified call for immediate action?

   Gap - Is the discrepancy between a present state (what is) and a desired state (what should be) large or small? Larger the gap, more important is the need.

   Number of Beneficiaries: How many people have identified the need? Utilisation of developmental intervention by more people deserves priority.

b) **Feasibility:** The feasibility of a need can be determined by the following factors (Oakley and Garforth, 1997):

   Acceptability – Community willingness to reach desired state from the current state.

   Resources - Time, money, staff and leadership expertise required to meet the need.

   Change Forces – Community forces working for and against the proposed developmental intervention. Greater the community support, greater the feasibility.

   Community Perception - How do community and other stakeholders view the possibility of success of developmental intervention?

Step 4- Identify and Analyse Causes: Identify the specific causes of high priority needs with the question why does this need persist?

Step 5 - Summarise Findings: Summarise major causes under each need and share the findings with key stakeholders.

The overall purpose and outcome of Phase-2 is summarised in Box 6 for your easy understanding.

Box 5 : Purpose of Phase-2 : Gather and Analyse Data

To compare the gap or discrepancy between a present state (what is) and a desired state (what should be).

To determine the magnitude of the needs and their causes.

The overall outcome from phase 2 is a 'set of tentative priority needs and causes'.

Activity 4 on 'Identifying & Analyzing Causes': In the activity 1, you have identified a need. Read the footnote directions, identify and analyse causes related to the need.

Need	Causes	Consequences	Difficulty to correct (Low/Medium/High)	Criticality (1,2,3,4,5)

Footnote :

Column 1: Write the need previously identified in activity 1 or in any needs assessment.

Column 2: List all the causes of need. A given need may have more than one cause.

Column 3: List consequences if the cause is not removed and the need is not meet. There may be more than one consequence for each need.

Column 4: Enter a rating (low, medium, high) of the difficulty of correcting the problem once it has occurred.

Column 5: Enter a rating, on a scale of 1 to 5, of the degree of criticality of the need if it is not met, with 5 being the most critical.

Source: Adapted from Witkin and Altschuld (1995).

2.5.3 Phase 3 – Make Decisions

Step 1- Set Priority Needs: It is always advisable to set priorities in two stages:

(a) Broad areas, such as goals, concerns (needs) or target groups; and

(b) Critical needs within each area.

In Phase 2, Step 3, we discussed that priorities are to be set based on importance and feasibility. From the Figure 2, we can conclude that needs with high importance and high feasibility should be given top priority, while low important and low feasible needs are to be discarded. There is scope for project proposals to address the needs with high importance and low feasibility. We may take up these needs as and when the feasibility factors are favourable. Sometimes needs with low importance are adopted due to appeasement reasons as the feasibility is high.

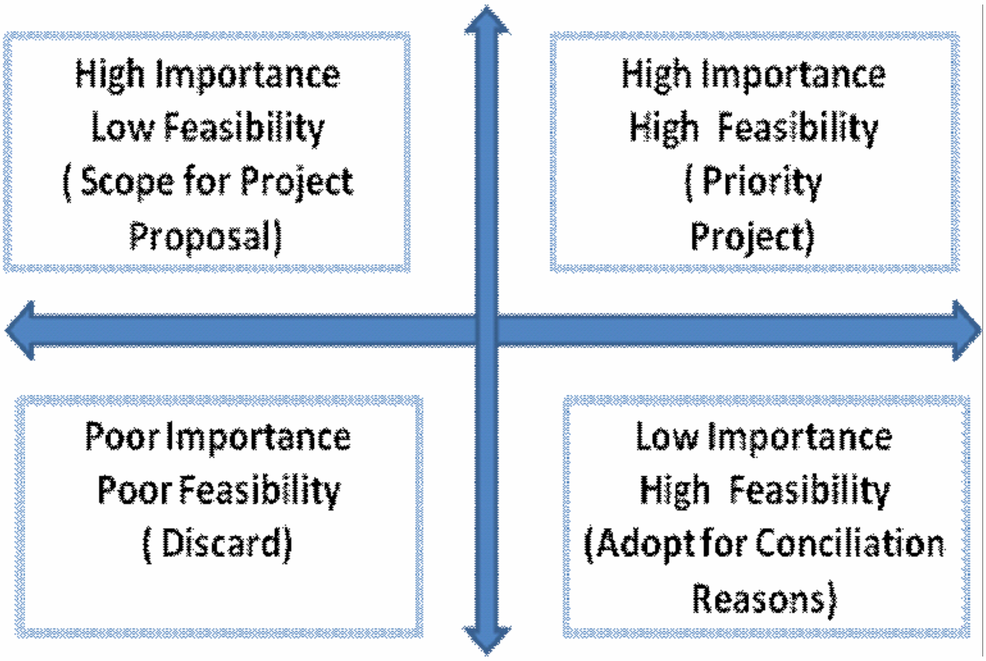

Fig. 2: Prioritisation of Needs

(***Source :*** Sork, 1979; Suvedi and Kaplowitz, 2016)

Step 2- Identify Possible Solutions: To address the prioritised needs, generate and examine potential solutions. Review of previous research and evaluation reports helps in understanding merits and demerits of each alternative solution. Consider the available resources and feasibility while judging the alternative solutions.

Step 3- Select Solution Strategies: Appraise each solution separately against the following criterion.

Technical	Social
Institutional	Commercial
Organizational	Financial
Managerial	Sustainability

On the basis of the appraisal information, select one or more solutions for each need area.

Step 4- Propose Action Plan: The action plan to implement solution should include descriptions of the solutions, rationale, proposed timelines, and resource requirements.

Step 5- Prepare Needs Assessment Report: Based o the findings of the study, prepare a needs assessment report to be submitted to policy / important decision makers. The needs assessment report should include contents on background, description of the needs assessment process, key findings, priority needs with criteria used to determine such priorities, solution and alternative solutions, recommendations, action plans with estimated resource requirements.

Example: For your understanding the major chapters in the Kochi Metro needs assessment report are summarised in Box 6

Box 7: Major Contents in the Kochi Metro Needs Assessment Report	
1. Executive Summary	**9.** Maintenance Depot
2. Introduction	**10.** Environmental Impact Assessment & Management
3. Traffic Study	**11.** Cost Estimates
4. Need for a Metro System	**12.** Financial Analysis and Options
5. System Selection	**13.** Economic Analysis
6. Civil Engineering	**14.** Implementation Plan
7. Train Operation Plan	**15.** Conclusions and Recommendations
8. Power Supply Arrangements	Source : DPR- Kochi Metro

The overall purpose and outcome of Phase-3 is summarised in Box 8 for your easy understanding.

Box 8: Purpose of Phase – 3 : Make Decisions

1. To make plans to use the needs assessment findings in a practical way.
2. To answer important questions:

   What needs are the most critical?

   What are possible solutions?

   Which solutions are best?

The overall outcome of Phase 3 is 'an action plan and final needs assessment report'

Check Your Progress 4

Note: a) Use the spaces given below for your answers.

b) Check your answer with those given at the end of the unit.

1. Write the three phases and expected outcome from each phase in needs assessment

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2. Name the two major criterions to be considered while prioritising needs.

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3. What are the major contents to be included in any needs assessment report?

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2.6 LET US SUM UP

We started this unit with a question - how to assess people's needs and what are the methods to identify them? Need refers to the gap or discrepancy between a present state (what is) and a desired state (what should be). Development needs can be classified into felt needs, ascribed needs and normative needs. A 'needs assessment' is a systematic set of procedures that are used to determine needs, examine their nature and causes, and set priorities for future action. The procedures include individual and group methods with both quantitative and qualitative approaches as per requirement of needs assessment. A three-phase approach on needs assessment which progresses through a defined series of phases viz., explore what is, gather and analyse data and make decisions was discussed with relevant examples.

2.7 KEYWORDS

Need : It refers to the gap or discrepancy between a present state (what is) and a desired state (what should be).

Expressed Felt Needs*:* Needs felt by people and recognized by development workers.

Unexpressed Felt Needs: Needs felt by people but unrecognized by development workers.

Ascribed Needs: Needs defined or identified by outsiders, and they may or may not be present in the community.

Normative Needs: Needs that experts or development workers believe people's needs to be.

Needs Assessment: It is a systematic set of procedures that are used to determine needs, examine their nature and causes, and set priorities for future action.

Focus Group Interview: A method of interviewing a carefully selected small group of people, who participate in a pre-determined, focused discussion led by an experienced development worker.

Key Informant Interviews: Intensive interviewing with an individual who meets specific selection criteria based on their personal experience to obtain in-depth information about feelings and perspectives.

Community Meetings: Community meetings include gathering information about individual or community needs in a target population or community.

Survey: A method of needs assessment that provides development workers with specific information that can be used to create a statistical summary of the thoughts, beliefs, feelings, and opinions of a target population

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2.9 CHECK YOUR PROGRESS – POSSIBLE ANSWERS

Check Your Progress 1

1. Need refers to the gap or discrepancy between a present state (what is) and a desired state (what should be). Need is different from ‘want’ in that want indicates a desire for something. Asking clients what they want should not be confused with their needs.

2. The three types of needs are : Felt needs, Ascribed needs, and Normative needs.

3. Expressed felt needs are felt by people and recognized by development workers, whereas unexpressed felt needs are the needs felt by people but unrecognized by development workers.

Check Your Progress 2

1. A ‘needs assessment’ is a systematic set of procedures that are used to determine needs, examine their nature and causes, and set priorities for future action.

2. Needs assessment focus on the ends (i.e., outcomes) to be attained, rather than the means (i.e., process); Established procedures and methods are used to obtain data for specific needs assessment, and; To facilitate sound decisions by development planners, needs assessment sets priorities and suggest criteria for solutions

3. Needs assessment generally aimed at collecting historical, demographic, political and legal, economic, socio-cultural-educational and geographical information related to proposed developmental intervention.

Check Your Progress 3

1. The four needs assessment methods are : group dynamics methods, social networking method, survey method and social indicator method.

2. Factors to be considered while selecting a needs assessment method include: development philosophy of organization; involving the community in needs identification; community preferences; time, money and other resources available etc.

Check Your Progress 4

1. The three phases and their expected outcome in needs assessment are :

   Phase 1 - Explore What Is : The overall outcome of Phase 1 is a ‘Plan for Phase 2 data collection’

   Phase 2 – Gather and Analyse Data: The overall outcome from phase 2 is a ‘set of tentative priority needs and causes’

   Phase 3 – Make Decisions : The overall outcome of Phase 3 is ‘an action plan and final needs assessment report’

2. Importance and feasibility are the two major criterion to be considered while prioritising the needs.

3. The major contents to be included in any needs assessment report include background, description of the needs assessment process, key findings, priority needs with criteria used to determine such priorities, solution and alternative solutions, recommendations, action plans with estimated resource requirements.

UNIT 3 PARTICIPATORY PROGRAMME PLANNING

Structure

3.1 INTRODUCTION

In the previous unit, we discussed that the first step in any systematic attempt to promote development is to prepare useful programmes based on needs of the people. Then the question is how to identify the needs of people and what are the methods to identify them in a participatory way? In the previous unit we addressed these questions partially and discussed some conventional methods of needs assessment. As a result of dissatisfaction on the conventional methods, some efforts were made in different quarters of development research towards participatory needs assessment methods Consequently, a large number of field oriented participatory methods to identify the needs of the people emerged.

After studying this unit you should be able to:

- Understand the importance and major benefits of participation.
- Explain how to involve stakeholders in development.
- Describe meaning, principles and distinguishing features of RRA and PRA.

3.2 PARTICIPATION – MEANING AND BENEFITS

Participation occupies a central place in development thinking and practice. Governments, funding agencies, donors, and civil society actors including NGOs and multi-lateral agencies like the World Bank and the International Monetary Fund have all arrived at a near consensus that development cannot be sustainable and long-lasting unless people's participation is made central to the development process. The National Institution for Transforming India (NITI *Aayog*) also strongly endorsed participatory planning and development.

The way participation is defined largely depends upon the context and background in which participation is applied. Participation in development is now being sought the world over, not because it is a fashion, but because there has been a consensus on the usefulness of participation in development projects. The meaning and purpose of participation of stakeholder's in development projects and programmes is summarised in Box 1.

Box 1: Meaning and Purpose of Participation

Participation includes stakeholder's involvement in decision-making processes in implementing programmes, their sharing in benefits of development programmes and their involvement in efforts to evaluate such programmes (Cohen and Uphoff, 1977).

Participation of stakeholders in development projects and programmes is not purely on idealistic, humanitarian or egalitarian grounds. Greater participation is important to increase project efficiency and effectiveness, to encourage self-reliance among the participants and to increase the numbers of people who potentially can benefit from development (Oakley, 1991).

The major benefits of stakeholder's participation as per Oakley (1991) are:

i. **Efficiency:** Participation ensures effective utilization of available resources effectively with accountability.

ii. **Effectiveness:** Stakeholder's participation can make the projects more effective by granting a say in deciding the objectives and strategies, and by participating in implementation, thereby ensuring effective utilization of resources.

iii. **Self-reliance and Development of Local Human Resources:** With active involvement of the local stakeholders, it is possible not only to break the mentality of dependence but also to increase their awareness, self-confidence, and control of the development process.

iv. **Coverage:** Despite professed target groups and attempts to cover the weaker sections, however, most projects have been at best only partially successful. Stakeholder's participation can be a potent way of ensuring the flow of the benefits to the target groups.

v. **Sustainability:** Experience has shown that development interventions from the externally assisted projects fail to sustain the required level of development activity once support or inputs are diminished or withdrawn by the funding agencies. Stakeholder's participation is regarded as an essential prerequisite for the continuity of the activities. The involvement of local stakeholders and the utilization of local resources generate a sense of ownership over the development interventions to the people. This sense of ownership is essential for the sustainability of the interventions even after external funds cease to flow.

Activity 1: Visit a nearby any development department, enquire about advantages of people's participation in development. Compare them with those given in above section and write your observation.

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Check Your Progress 1

Note: a) Use the spaces given below for your answers.

b) Check your answer with those given at the end of the unit.

1. What do you mean by participation of people in development?

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2. Do you agree that people's participation in development enhances the sustainability? Support your answer.

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3.3 STAKEHOLDERS PARTICIPATION IN DEVELOPMENT

In the previous section we discussed that participation of stakeholders is essential for the success as well as sustainability of any development project. Then the questions are:

a. What do we mean by stakeholders?

b. What are different types of stakeholders?

c. How to conduct stakeholders' analysis?

a. What Do We Mean by Stakeholders? Stakeholders are people or organizations who are directly or indirectly affected by the outcome — positively or negatively — or those who can influence the outcome of a proposed intervention (Rietbergen-McCracken and Narayan, 1997).

Development professionals need to coordinate among these stakeholders to achieve desired results.

b. **Types of Stakeholders:** Stakeholders are of two types (FAO, 1999):

   i. **Primary Stakeholders:** The people or groups that are directly affected, either positively or negatively, by either the efforts or the actions of an agency, institution or organization.

   ii. **Secondary Stakeholders:** The people or groups that are indirectly affected, either positively or negatively, by the efforts or the actions of an agency, institution or organization.

c. **Stakeholder Analysis:** Stakeholder analysis is a tool for identifying needs and concerns of different stakeholders of project / programme. Stakeholder analysis is also called as stakeholder mapping.

Following four steps are suggested by Rietbergen-McCracken and Narayan (1997) to identify and analyse stakeholders:

Step 1: Identify key stakeholders

Step 2: Examine stakeholder's interests and impact of the project

Step 3: Assess stakeholder power and interest

Step 4: Outline a stakeholder participation strategy

3.3.1 Identify Key Stakeholders

Identify and define stakeholders in relation to a specific developmental issue in which they have stake.

Example: Key stakeholders in different development scenarios like MGNAREGA and agriculture development are summarized in Box 2 for your understanding.

Box 2: Key Stakeholders in Different Development Scenarios	
***Example 1 :* Key Stakeholders of MGNAREGA**	***Example 2 :* Key Stakeholders of Agriculture Development**
1. Wage Seekers 2. *Gram Sabha* 3. Three-tier *Panchayati Raj* Institutions 4. Programme Officer at the Block level 5. District Programme Coordinator 6. State Government 7. Ministry of Rural Development 8. Civil Society 9. Line Departments, Convergence Departments, Self-Help Groups etc. **Source :** FAQs in MGNAREGA (2014)	1. Farmers 2. Input Suppliers (Seed, Fertilizers, Pesticides etc) 3. Credit Agencies 4. Marketers, Processors and Distributors 5. State Government 6. Ministry of Agriculture and Farmers Welfare 7. Agricultural Education, Research, Training and Extension Professionals etc. **Source :** Suvedi and Kaplowitz (2016)

3.3.2 Examine Stakeholder's Interests and Impact of the Project

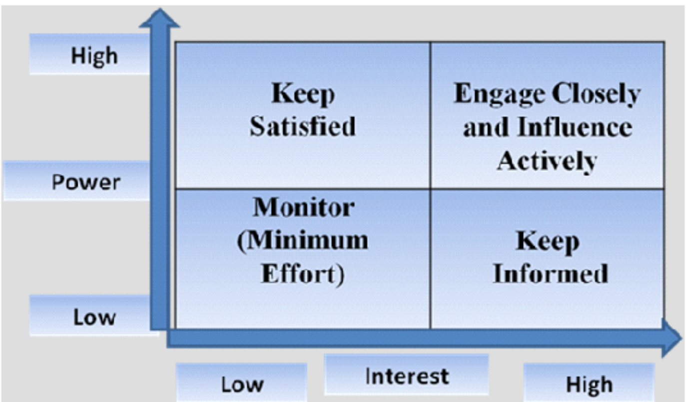
Identifying primary and secondary stakeholder's interest and the potential impact of the project on their interest need to be examined as you begin the program/project planning process. As a development professional, you should know what role each stakeholder can play, what resources each can bring to the development project or programme. The major differences between the primary and secondary stakeholders along with their interest and impact of the project on them are summarized in Box 3.

Box 3 : Major Differences Between the Primary and Secondary Stakeholders

Primary Stakeholders	**Secondary Stakeholders**
• Benefit from or are adversely affected by a development activity. People whose well-being is dependent on a resource or service or area that the development activity addresses. Usually live in the area or very near the resources in question. Have few options when faced with change, so they have difficulty in adapting. Usually vulnerable. End users and reason why a project is carried out. *Example:* In an irrigation dam project construction, farmers who get the water and people who are displaced due to the project are primary stakeholders.	Include all other people and institutions with an interest in the resources or area being considered for development. They need not live nearby area. Relatively have more options, so adaptation is easier comparatively. Comparatively not vulnerable. They are the means by which project objectives can be met, rather than an end in themselves. *Example:* In an irrigation dam project construction, funding agencies, government, agriculture and irrigation functionaries are secondary stakeholders.

3.3.3 Assess Stakeholder Power and Interest

You can use the following grid to organize stakeholders according to their power and interest levels (**Source:** Collaboration and Advocacy Techniques" published by the EC-FAO Food Security Information for Action Programme).



Power: It measures degree of ability of stakeholders to help or have an impact on project.

Interest: It measures degree of support or opposition of stakeholders to project's goals and objectives.

3.3.4 Outline a Stakeholder Participation Strategy

The list of stakeholders can be analysed to determine "clusters" of stakeholders with different levels of power and interest over the issue. Stakeholders with high power and interests aligned with the purpose are critical to achieving your purpose. They will be your primary audience and should include both the immediate decision makers and opinion leaders - i.e. the people whose opinion matters. Stakeholders with high interest but low power, or high power but low interest, should be kept informed and satisfied. Ideally they should be supporters for the proposed programme or policy change. This is your secondary audience.

Advantages of Stakeholders Analysis

A participatory planning effort that involves representation of as many stakeholders as possible in analysis has a number of advantages (Suvedi and Kaplowitz , 2016) :

a. **Diverse Ideas:** Involving multiple groups brings out more and more diverse ideas than developing an effort by working with a single organization or a small group of like-minded people.

b. **Multiple Perspectives:** Including varied perspectives from all across groups provides a holistic picture of how the project will affect the community and outline potential pitfalls and assets.

c. **Team Building:** Making all stakeholders an integral part of development process - planning, implementing and evaluating - builds widespread support for the project.

d. **Credibility:** Involving and attending to the concerns of all stakeholders establishes your organization as fair, ethical and transparent, thus increasing its credibility.

Activity 2: Visit a nearby development project site, talk to stakeholder(s) about impact of the project and their influence on it. Write your observations on the following.

Stakeholders Type (Primary / Secondary) :

....

....

Impact (What is the impact of the project on them? (Low, Medium, High):

....

....

Influence (What is their influence on the project? (Low, Medium, High):

....

....

What is important to the stakeholders?

....

....

How could the stakeholders contribute to the project?

....

....

What obstacles the stakeholders can create to the project?

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....

What strategy you suggest to engaging the stakeholders in the project:

....

....

Any other observation?

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Check Your Progress 2

Note: a) Use the spaces given below for your answers.

b) Check your answer with those given at the end of the unit.

1. What do you mean by stakeholders?

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2. Write two major differences between primary and secondary stakeholders.

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3. Write the four steps to identify and analyse stakeholders

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4. What are the advantages of stakeholders analysis?

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3.4 RAPID RURAL APPRAISAL (RRA)

Among the participatory methods, Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA) are the most commonly used methods in programme planning.

To overcome some of the shortcomings in conventional methods and to enhance the people's participation in development process, a range of field-oriented methods evolved over time. They are efficient enough to yield the same volume of information in a relatively shorter period of time than conventional approaches like survey method. Such methods from various sources were put together with a label known as Rapid Rural Appraisal (RRA).

RRA is a way of organizing people for collecting and analyzing information within a short span of time. In can be defined as any systematic process of investigation to acquire new information in order to draw and validate inferences, hypotheses, observations and conclusions in a limited period of time. It has flexibility to adjust to situations because it does not imply or recommend a standard set of methods to be applied in each case. The methods vary from situation to situation and are determined by local conditions, local problems and objectives at hand.

> RRA is any systematic process of investigation to acquire new information in order to draw and validate inferences, hypotheses, observations and conclusions in a limited period of time.

RRA was developed for quick filed oriented results with objectives to:

i. Appraise development needs of the people

ii. Prioritize the areas of training and research tailored to such development needs

iii. Assess the feasibility and implement action plans

iv. Monitor and evaluate the developmental programmes

There were other methods evolving alongside RRA and were similar in nature to RRA, mostly developed in the field of agriculture viz.,

i. Exploratory Survey or the CIMMYT methodology (Collinson, 1981)

ii. Informal Agricultural Survey (Rhodes, 1979)

iii. Agro-ecological Zones

iv. Sondeo (Hildebrand,1981)

v. Agro-ecosystem Analysis

vi. Rapid Agro-ecosystem Zoning

The above field oriented methods have some similar advantages like:

i. Quicker than conventional methods

ii. Applied in field situations

iii. Helps in direct learning from people

iv. Semi-structured multi-disciplinary approaches with flexibility

v. Helps in first hand understanding of processes and obstacles in development

vi. Identify development needs, problems and probable solutions as perceived by people

Check Your Progress 3

Note: a) Use the spaces given below for your answers.

b) Check your answer with those given at the end of the unit.

1. What do you mean by RRA ?

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2. Write the advantages of RRA

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3.5 PARTICIPATORY RURAL APPRAISAL (PRA)

The word "appraisal" in PRA has a much broader connotation than its dictionary meanings as 'estimation of the value of an asset/goods'. In the world of programme cycle an appraisal is done to assess its economic, financial and technical feasibility. The experts calculate the internal rate of return (IRR) of a programme to determine whether the programme would achieve some minimum acceptable IRR on the resources invested. Now dimensions of conventional project appraisal include gender analysis, social impact assessment and environmental impact assessment as done by experts. They might choose to consult different groups of people associated with the resource-flows, the final decision making will, however, be with such experts. Internationally this is often referred to as Participatory Rural Appraisal, abbreviated "PRA". It is a further evolutionary stage of the RRA approach with emphasis is placed on empowering local people to assume an active role in analyzing problems and drawing up plans, with experts / outsiders mainly acting as 'facilitators'. This enables them to assume responsibility for implementing the activities based on them.

3.5.1 Meaning and Objectives of PRA

PRA is a methodology for interacting with people, understanding them and learning from them . It's a "handing over the stick to the insider" in methods and action. The outsider's role is that of a catalyzer, a facilitator and convenor of processes within a community, which is prepared to alter their situation.

PRA is a means of collecting different types of data, identifying and mobilising intended groups and evoking their participation in decision making, design, execution and evaluation of a programme / project.

PRA is sometimes called as 'Participatory Rapid Appraisal', where the emphasis is on both 'participatory' and 'rapid'. The emphasis on 'rapid' however is more in terms of data collection and less in terms of development process or programme implementation. The other names often used for PRA are Participatory Rapid Rural Appraisal (PRRA), Participatory Learning Method (PALM).

The objectives / advantages of PRA are:

i. Greater and better involvement of people by learning about their perceptions, experiences and capabilities.

ii. Information generation, collection of data for immediate or future use.

iii. Learning about the impacts of earlier or on-going policies and programmes and to frame new ones.

iv. Estimating trends and ascertaining conditions of the issues at hand.

v. Validation or cross checking of data collected from other resources.

vi. Training of different categories of people involved in the development process, and

vii. Research studies on use of PRA and to suggest improvements in its methodology.

3.5.2 PRA Principles

While using PRA methods, the following principles should be practiced.

i. Learning *from, with* and *by* people and using their criteria

ii. Rapid and progressive learning and appropriate imprecision.

iii. Trends or ranking are needed instead of absolute measurements.

iv. Triangulations are very important using different methods, sources, disciplines and different informants from various places for cross checking the information collected.

v. Listening and learning from people.

vi. PRA team members should act as facilitators.

vii. Meet people when it suits them and when they can be at ease for a better rapport building.

viii. Ask open ended questions and show interest and enthusiasm in learning.

ix. Allow unplanned time and have a transect walk before mapping.

x. Don't rush and relax while using the PRA tools.

xi. Have more meetings with same people and more time for team interaction.

xii. Have a positive attitude and behavior that encourages true participation of people.

Behavioural Principles of PRA

Handing over the Stick : Holding the stick is a sign of dominance and control. In PRA, the outsider facilitator initiates the process and passes on the control to the local people and sits back and observes, intervening only when essential. This has been called 'handing over the stick'.

Self-critical Awareness : Self-critical awareness of the facilitators has emerged as one of the important behavioural principles of PRA. There are various components of self critical awareness viz.,

embracing error, i.e. using errors as an opportunity to learn

failing forward, i.e., facing failure in a positive way

being aware of one's dominant behaviour and its impact on the interaction

Stealing to Sharing : In PRA, the sharing of information and ideas takes place at different levels-between local people, between outsiders and local people, amongst outsiders and amongst their organizations, regions, countries, etc. As against this in the questionnaire method outsiders take away facts, data, and information from people, which is why some people label the questionnaire method as 'stealing'.

(Source : Chamber, 1997)

3.5.3 Distinguishing Features of PRA

PRA are the result of a response to the 'top-down' approach to development, the pitfalls of the questionnaire survey method of inquiry, and the problem of biases. There have thus been major shifts and reversals in PRA including:

i. **Closed to Open:** The major shift in PRA is from a closed system to an open system (of methods, behaviour, and processes), enabling it to capture the realities of the people. It enables outsiders to get the internal perspective, rather than the dominating, i.e., outsider's perspective. In questionnaires, the response for the preset questions reflects the outsiders' understanding. But in PRA, the people determine what goes into a diagram, figure, or calendar. In a matrix ranking, for instance, the local people do not just score but also determine the items to be judged as well as the criteria on which to judge.

ii. **Measurement to Comparison:** Traditionally, in the top-down approach to development and the questionnaire method of inquiry, the emphasis has been on absolute measurement. PRA marks a major shift in emphasis from measurement to comparison which is easier, faster, cheaper, and less sensitive than measurement even when baseline data are not available.

iii. **Individual to Group:** In both the top-down approach to development and the questionnaire method of inquiry, the basic element of interface between outsiders and the people is the individual respondent. In PRA, it is group work; transect, maps, calendars, matrices, scoring, ranking, etc., are all done by a group of people. The group interaction provides greater and more in-depth information and analysis in a much shorter time.

iv. **Democracy of the Ground:** Another shift in PRA is from tables and paper to the ground to facilitate more people's participation. Use of the ground also has an anti-elite bias which allows the not so literate and not so articulate to participate actively along with the elite and the literate.

v. **Verbal to Visual:** Most PRA methods rely more on visuals and symbols, in comparison to questionnaire surveys and semi-structured interviews, which rely on verbal communication. The use of visuals has many advantages viz.,

as a medium to express priorities and realities

prevent inhibitions and encourage open participation

understand the inter connections between various issues

group involvement with more fun and creativity

It is important to note that though the use of visuals and symbols are characteristic of PRA, the verbal mode still plays an important role in it. The verbal mode also supplements the visualization process to clarify various aspects related to the issue under study.

vi. **Reserve to Rapport:** Good rapport is characteristic of all well facilitated PRA. Hence PRA lays an emphasis on rapport with the local people. While the questionnaire and other traditional methods of inquiry lead to boredom among the respondents as well as the researchers, PRA tends to increase the level of their involvement. There may be some initial hesitation, but the local people start enjoying it as new facts about their own life come to light, about which they were previously unaware.

Check Your Progress 4

Note: a) Use the spaces given below for your answers.

b) Check your answer with those given at the end of the unit.

1. What do you mean by PRA ?

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2. Write any three objectives / advantages of PRA

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3. Write the commonly used other names of PRA

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4. Write the three behavioral principles of PRA

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5. Name the distinguishing features of PRA

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3.6 RRA Vs PRA

RRA methods are mainly used with success in cases when organizations need local conditions to be assessed as quickly and efficiently as possible. RRA is also appropriate when the aim is to gain an initial orientation, to analyze a specific problem, or to focus on one issue among many. As an alternative to conventional approaches it still fits into "top-down" management schemes. RRA approaches can also be used on a regional aggregation level for situational analysis and for the preparation of policy development by regional or district planners. PRA concentrates entirely on the interests of local communities and on strengthening their decision-making powers. PRA is 'bottom-up' approach, and the best way to implement it is within the scope of a community-oriented participatory project or programme.

RRA and PRA methods are used:

- To ascertain felt needs;
- To establish priorities for development activities;
- Within the scope of feasibility studies;
- During the implementation phase of projects;
- Within the scope of monitoring and evaluation of projects;
- For studies of specific topics;
- For focusing formal surveys on essential aspects; and
- To identify conflicting interests between groups.

The areas in which RRA/PRA have so far been applied include:

- Management of natural resources (soil and water conservation, integrated agro-forestry, fishery, wildlife conservation, etc.)
- Agriculture (field crops and animal husbandry, irrigation, markets, etc.)
- Programs dealing with poverty alleviation and emancipation (women, credit needs,
- Identification of the poorest, additional income-generating measures, etc.)
- Health and nutrition (basic health-care and food-security programmes, drinking water supply).
- Village level ("bottom up") and district planning
- Institution and policy analysis.

The major differences between RRA and PRA are summarised below (Source: Chambers, 1994).

Category	RRA	PRA
Meaning	Is a systematic, semi-structured activity conducted on-site by a multidisciplinary team with the aim of quickly and efficiently acquiring new information and hypotheses about rural life and rural resources.	Is a way of enabling local (rural and urban) people to analyze their living conditions, to share the outcomes and to plan their activities.
Developed in	Late 1970's/1980's	Late 1980's/1990's
Key resource	Local people's knowledge	Local people's (analytical) capabilities
Main innovations	Methods	Change of behaviour & attitudes
Mode	Extractive	Facilitating
Mode of instruments	Verbal(interview, discussion)	Visual (participatory diagramming)
Ideal objectives	Learning from insiders by outsiders	Empowerment of local people
Outsider's role	Investigator	Initiator and catalyst
Insider's role	Respondent	Presenter, analyst & planner
A model for	Participatory intervention	For interaction
Who demands?	Donor organization	Insider (ideally)

Activity 3: Discuss with nearby development department functionaries about the areas in which RRA/PRA have so far been applied by them. Write your observations.

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Check Your Progress 5

Note: a) Use the spaces given below for your answers.

b) Check your answer with those given at the end of the unit.

1. Write any four differences between RRA and PRA

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3.7 LET US SUM UP

In this unit we started by looking into the meaning, importance and major benefits of participation and understood that participation occupies a central place in development and enhance the efficiency, effectiveness and sustainability of the developmental interventions. Participation includes stakeholder's involvement in decision-making processes, sharing in benefits and their involvement in efforts to evaluate development programmes. Stakeholders are people or organizations who are directly or indirectly affected by the outcome — positively or negatively — or those who can influence the outcome of a proposed intervention. The two major types of stakeholders are primary and secondary stakeholders. Stakeholder analysis is a tool for identifying needs and concerns of different stakeholders of project / programme. The four steps to identify and analyse stakeholders are: identify key stakeholders; examine stakeholder's interests and impact of the project; assess stakeholder power and interest, and outline a stakeholder participation strategy. The major factors in stakeholders matrix includes (a) power - degree of ability of stakeholders to help or have an impact on project, and (b) interest - degree of support or opposition of stakeholders to project's goals and objectives. Among the participatory methods, Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA) are the most commonly used methods in programme planning. RRA is a systematic, semi-structured activity conducted on-site by a multidisciplinary team with the aim of quickly and efficiently acquiring new information and hypotheses about rural life and rural resources. PRA is a way of enabling local (rural and urban) people to analyze their living conditions, to share the outcomes and to plan their activities. Behavioural principles of PRA includes: handing over the stick; self-critical awareness, and; stealing to sharing. Distinguishing features of PRA are: closed to open; measurement to comparison; individual to group; democracy of the ground; verbal to visual, and; reserve to rapport.

In the next unit, different PRA methods are discussed in detail for your understanding.

3.8 KEYWORDS

Participation: Participation includes stakeholder's involvement in decision-making processes in implementing programmes, their sharing in benefits of development programmes and their involvement in efforts to evaluate such programmes

Stakeholders: Stakeholders are people or organizations who are directly or indirectly affected by the outcome — positively or negatively — or those who can influence the outcome of a proposed intervention.

Primary Stakeholders: The people or groups that are directly affected, either positively or negatively, by either the efforts or the actions of an agency, institution or organization.

Secondary Stakeholders: The people or groups that are indirectly affected, either positively or negatively, by the efforts or the actions of an agency, institution or organization.

Stakeholder Analysis / Stakeholder Mapping: It is a tool for identifying needs and concerns of different stakeholders of project / programme.

RRA: Is a systematic, semi structured activity conducted on-site by a multidisciplinary team with the aim of quickly and efficiently acquiring new information and hypotheses about rural life and rural resources.

PRA: Is a way of enabling local (rural and urban) people to analyze their living conditions, to share the outcomes and to plan their activities. It's a "handing over the stick to the insider" in methods and action.

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3.10 CHECK YOUR PROGRESS – POSSIBLE ANSWERS

Check Your Progress 1

1. All funding agencies have arrived at a near consensus that development cannot be sustainable and long-lasting unless people's participation is made central to the development process. Participation in development is now

being sought the world over, not because it is a fashion, but because there has been a consensus on the usefulness of participation in development projects

2. Yes. Experience has shown that development interventions from the externally assisted projects fail to sustain the required level of development activity once support or inputs are diminished or withdrawn by the funding agencies. The involvement of local people and the utilization of local resources generate a sense of ownership over the development interventions to the people. This sense of ownership is essential for the sustainability of the interventions even after external funds cease to flow.

Check Your Progress 2

1. Stakeholders are people or organizations who are directly or indirectly affected by the outcome — positively or negatively — or those who can influence the outcome of a proposed intervention.

2. Primary stakeholders benefit from or are adversely affected by a development activity. They are the people whose well-being is dependent on a resource or service or area that the development activity addresses. Secondary stakeholders include all other people and institutions with an interest in the resources or area being considered for development. They need not live nearby area and relatively have more options, so adaptation is easier comparatively.

3. The four steps to identify and analyse stakeholders are :

   Step 1: Identify key stakeholders

   Step 2: Examine stakeholder's interests and impact of the project

   Step 3: Assess stakeholder power and interest

   Step 4: Outline a stakeholder participation strategy

4. The stakeholders analysis helps in bringing diverse ideas with multiple perspectives along with team building and credibility in a development project.

Check Your Progress 3

1. RRA is any systematic process of investigation to acquire new information in order to draw and validate inferences, hypotheses, observations and conclusions in a limited period of time.

2. The objectives of RRA includes : appraise development needs of the people; prioritize the areas of training and research tailored to such development needs; assess the feasibility and implement action plans; monitor and evaluate the developmental programmes.

Check Your Progress 4

1. PRA is a means of collecting different types of data, identifying and mobilising intended groups and evoking their participation in decision making, design, execution and evaluation of a programme / project.

2. The objectives of PRA are: greater and better involvement of people; information generation / collection of data; learning about the impacts of earlier or on-going programmes; validation or cross checking of data collected from other resources.

3. PRA is sometimes called as 'Participatory Rapid Appraisal', Participatory Rapid Rural Appraisal and Participatory Learning Method.

4. The three behavioural principles of PRA are: handing over the stick to the local people, self-critical awareness and stealing to sharing.

5. The distinguishing features of PRA are : closed to open, measurement to comparison, individual to group, democracy of the ground, verbal to visual, reserve to rapport

Check Your Progress 5

1. The key resource in RRA is Local people's knowledge where as in PRA it is local people's capabilities. RRA is extractive in nature while PRA is facilitating. Mode of instruments is verbal in RRA while it is visual in PRA. Outsider is an investigator in RRA while in PRA outsider is initiator and catalyst.

UNIT 4 PARTICIPATORY METHODS

Structure

4.1 INTRODUCTION

In the previous unit, we discussed the meaning, importance, major benefits of participation, stakeholder's involvement in decision-making processes, major types of stakeholders and how to conduct stakeholder analysis. We also discussed that among the participatory methods, Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA) are the most commonly used methods in programme planning. In this unit, different PRA methods are discussed in detail for your understanding.

After studying this unit you should be able to:

- Explain material, time and site requirements for different PRA methods.
- Describe meaning, objectives and steps in conducting space, time and relation related PRA methods.

4.2 CLASSIFICATION OF PRA METHODS

PRA methods can be broadly classified into three categories namely:

i. Space related/Spatial PRA methods

   a) Social map

   b) Transect

   c) Resource map

   d) Mobility map

ii. Time related PRA methods

   a) Time line

   b) Trend analysis

   c) Seasonal diagram

iii. Relation related PRA methods

   a) Cause and effect diagram

   b) Venn diagram

For conducting any PRA method, some locally available material, time and site selection are important. They are summarised in Box 1 for your comprehension.

Box 1: Material, Time and Site Required for PRA Methods

Material : For all the PRA methods the locally available material including stones, pebbles, seeds, leaves, twigs, matchboxes, thread, chalks, colour soils / powders and cards of different colours can be used.

Time: Time required for various PRA methods may vary between one to three hours depending on factors such as the subject of the exercise, size of the locality, the interest of the participants in the topic, details aimed etc.

Site: Site selection for drawing any PRA diagram should be based on **:** capacity to hold large number of people; centrally located convenient for all sections of society and ; suitability of the surface for the exercise.

4.6 SPACE RELATED/SPATIAL PRA METHODS

4.3.1 Social Map

Social map is made by local people which reflects their perceptions of the social dimensions of their reality with a high degree of authenticity. It seeks to explore the spatial dimensions by depicting habitation patterns, nature of housing and social infrastructure: roads, drainage systems, schools, drinking-water facilities, etc (Fig. 4.1).

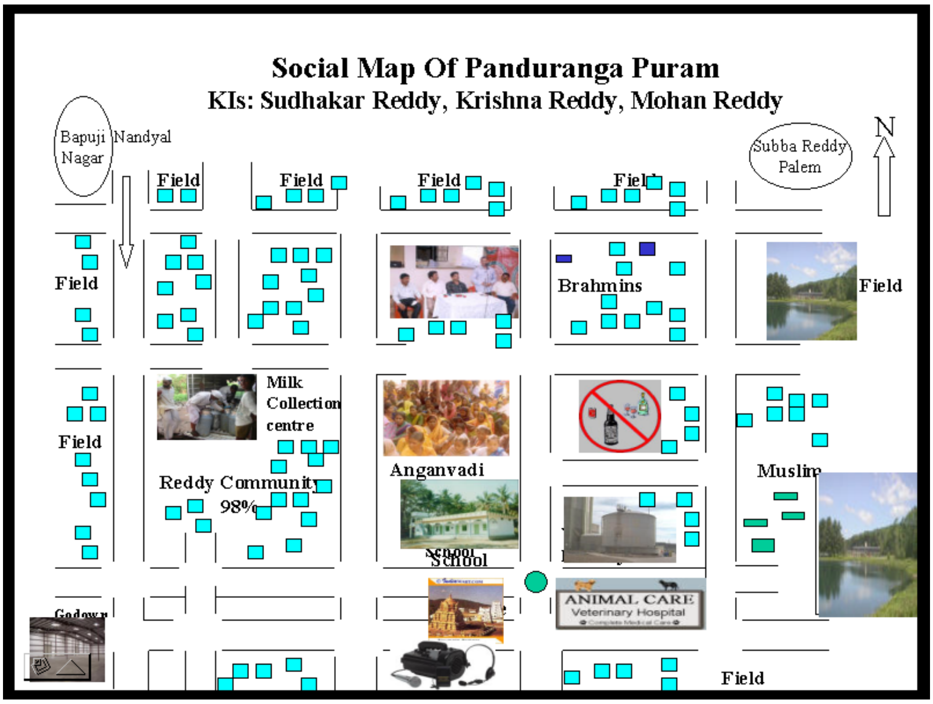


Fig. 4.1 : Social map of Panduranga Puram village in Kurnool District of Andhra Pradesh (Source : Sasidhar et al., 2003)

Objectives

i. Developing a comprehensive understanding of the physical and social aspects of village life.

ii. Collecting demographic and other required information household-wise.

iii. Providing a forum of discussion in which to unravel the various aspects of social life

iv. Serving as a guiding instrument during the process of planning, monitoring and evaluation.

Information Elicited from the Social Map

Spatial distribution of castes, religions, community, social and economic, education, communication and other institutions, family information, leadership patterns, value systems, social interactions, cooperation, competition, conflict, assimilation and accommodation information, information, social norms, folkways, mores, social evils like dowry, alcoholism, child labour etc. can be elicited from social map.

Steps in Social Mapping

i. Fix the location and time with the local people / key informants (KIs) and explain the purpose.

ii. 'Hand over the stick to local people' - involve them actively with full faith and show it too.

iii. Request them to draw the prominent physical features of their locality.

iv. Leave it to them to use local as well as other materials as creatively as possible.

v. Watch, listen to the discussions carefully and take notes.

vi. Your role is limited to facilitation -intervene only when necessary.

vii. Once the mapping is over, ask some people to identify their houses in the map.

viii. Number the household wise details you are particularly interested in, like caste composition, school age children, etc. depending on the purpose of the exercise.

ix. Triangulate the information generated with others in the locality.

x. Copy the map onto paper immediately with all the details.

The major difference between social and resource maps is summarized in Box 2 for your understanding.

Box 2: Social Map Vs. Resource Map

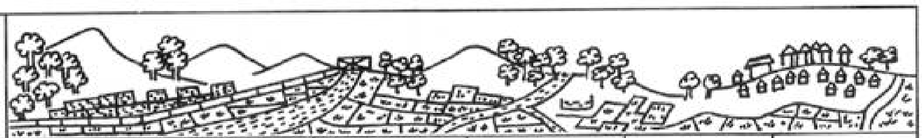
While the social map focuses on habitation, community facilities, roads, temples, etc., the resource map focuses on the natural resources in the locality and depicts land, hills, rivers, fields, vegetation, etc. In certain though, a map could be a rich combination of the two (village map). This is quite often so in the case of areas having a dispersed settlement pattern. Of all the PRA methods, social mapping makes for the active involvement of the largest number of participants.

4.3.2 Transect Walk

Transect walk is used to provide a cross-sectional representation of the different agro-ecological zones and their comparison against certain parameters including topography, land type, land usage, ownership, access, soil-type, soil fertility, vegetation, crops, problems, opportunities and solutions. Though natural resources remain the focus of any transect various social aspects for e.g., the caste and ethnic determinants of a settlement access and control and gender-related dimensions are captured in detail, depending upon the objectives of the exercise (Fig 4.2).

Land scape

Features



Area locality	Tentel Khunti	Karla Pita	Kora Dungri	Gharla Munda	Latha Kend	Ghantabahal
Land types (local name)	Up land (Aat) Low land (Bahal) Hills (Parbat)	Mostly upland (Aat) Very little low land (Bahal)	Rocky mountain (Parbat) Upland (Aat) Forest (Patra)	Up land (Aat) Low land (Bahal) Plantation forest	Only low land (Bahal)	Mostly low land (Bahali and Bahal)
Water source	Kankara Jor	Dar Jodia	Seasonal stream	Karla Munda Lathakend Munda	Archu Munda	Ningi Munda, wells, tube wells
Species	Mahua, Rengal, Char, Dharua, Bija Sahas, Palsa, Womb, Kendu (wild animal)	No Forest Railway line	Chakunda, Niligiri, Bamboo Bhamar, Neem, Sipal Tental	Nou Munda, Akari Chakunda, Niligiri, Bhamar, Sipo, Mango, Kaju (Patra land)	Mostly Palsa, Mahua	Neem, Banyan, and Mahua
Uses	Less cultivation Low productivity Forest produces	Cultivation of vegetables	Less cultivation Grass land, Plantation	Encroached field plantation, cultivation of more rice	Good cultivation of Paddy and vegetables	High yield, good cultivation of rice, millets, pulses
Ownership	Government and people	Government and people	Government and people	Soil conservation department and people	People	People

Participants: Sundari Rana, Jitendra Jani, Pancha Majhi, and Chate Chatar
Facilitators: Saroj Das and Mahendra

Fig. 4.2: Transect Map of Ghantabahal Village (Source : Suryamani, 2007)

Objectives

i. Appraisal of status, problems and potential of natural resources.

ii. Verification of issues rose during other PRA exercises.

iii. Planning interventions and monitoring and evaluation of interventions/ projects.

Steps

i. Locate a group of local people having some knowledge of the area.

ii. Explain the purpose and involve them in identification of transect path.

iii. Go along with the people at the prefixed time on the decided transect path. If the situation demands, make modifications in the path.

iv. Carry the list of parameters and preferably the resource map for the walk.

v. Observe the surroundings, make mental notes as well as detailed notes on the paper.

vi. Ask questions to the local people accompanying you, listen to their discussions and encourage them to explain as you move.

vii. If necessary, stop at certain locations for detailed discussions on the points emerging. It also gives you a breather and time to note down details.

viii. Use transect walk to clarify issues emerging from social map, resource map and other methods.

ix. Let the local people take the lead in drawing the transect diagram on the ground. Show the diagram to others in the locality to triangulate the details.

x. You can also use details generated from other methods to triangulate the findings of transect. At the end draw it on a large sheet of paper.

xi. Thank the participants for their active participation and time.

The major differences between transect, resource map and time line are summarized in Box 3 for your understanding.

Box. 3. Transect Vs. Resource Map/Time Line

The resource map provides a bird's-eye view of the locality with a focus on natural resources. A Transect, however, depicts a cross-sectional view of the different agro-ecological zones and provides a comparative assessment of the zones on different parameters. It is generally done after a resource map and therefore helps in triangulation. It also helps in taking forward the process of problem identification and planning for the development of the natural resources in the area. Transect differs from a time line, in that the focus here is geographical while the focus in the time line is on trends or changes over time on aspects related to natural resources. It is generally like a snapshot of the same transect at different points of time.

4.3.3 Resource Map

Resource map is one of the most commonly used PRA methods next to social map. Resource map contains both natural and man-made resources. Transect walk is to be taken for observing the resources to be mapped in the resource map. Items for mapping include, natural resources such as land (irrigated, dry land, waste / fallow, rocky/gravelly, problematic), vegetation (pasture lands, fodder crops, fodder trees, cropping pattern etc.), water (source, adequacy, distribution over seasons, quality), climatic factors (rainfall, temperature, relative humidity, wind velocity, sunshine hours), livestock resources (species wise types), human resources (people in various occupation, labor skilled/unskilled etc.,) and man-made resources such as transport, communication channels, modern implements, supply and service organizations (hospital, banks, NGO and government organizations etc.). Thus a resource map reflects how people view their own locality in terms of resources. The mapping process remains quite similar to that of a social map, but the focus is on resources (Fig 4.3 and 4.4).

Objectives

i. Provide a focused spatial structure for discussion and analysis.

ii. Create a common understanding of problems, looking at solutions, planning for action, monitoring and evaluation.

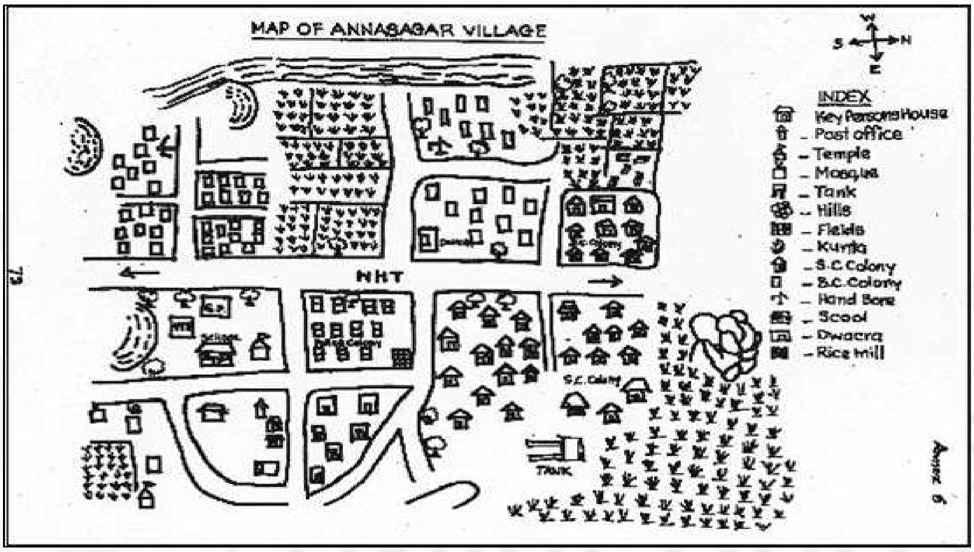


Fig 4.3: Resource Map of Annasagar Village (Source : Suryamani, 2007)

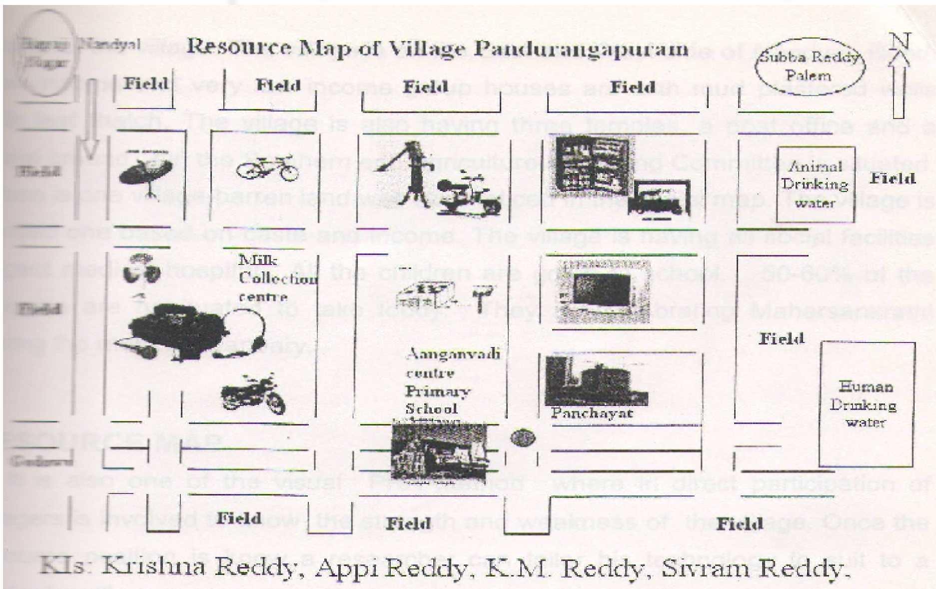


Fig 4.4: Resource Map of Panduranga Puram village in Kurnool District of Andhra Pradesh (Source : Sasidhar et al., 2003)

4.3.4 Mobility Map

Mobility map is used to explore the movement pattern of an individual, a group, or the community. The focus is on where people go and for what. Other aspects, like the frequency of visits, distance, and the importance of the place visited, may also be studied and depicted. Mobility maps are generally not done in the beginning of PRA. They are done only after developing some rapport and identifying a group or individuals whose mobility pattern you are interested in studying (Fig. 4.5 and 4.6).

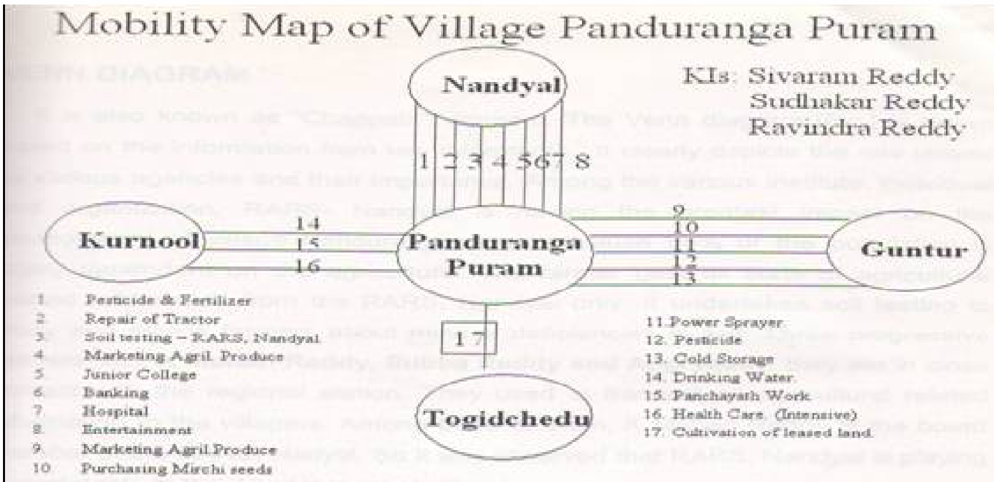
Information elicited from the mobility map includes on places, purpose, direction, distance, mode, frequency, cost of transport etc.

Objectives

i. Understanding the mobility pattern of local people where they go and for what purpose

ii. Increasing gender sensitivity and awareness by using them for high-lighting the difference between the mobility patterns of men and women.

iii. Planning for intervention and evaluation of the impact of certain interventions.



Mobility Map of Village Panduranga Puram (Contd..)

Pandurangapuram To	Distance (km)	Mode of transport	Travelling Cost (Rs.)
Nandyal	9.5	Bus	5
Guntur	270	Train	40
Kurnool	75	Bus	29
Togidcheru	2.5	Walk	-

Fig 4.5: Mobility Map of Panduranga Puram village in Kurnool District of Andhra Pradesh (Source : Sasidhar et al., 2003)

Steps

i. Select the person, group or community whose mobility pattern you are interested in understanding.

ii. Explain the purpose of the exercise and initiate a discussion on the places they visit.

iii. List down the name of the places on small pieces of paper in bold letters.

iv. Encourage them to depict the places using symbols or visuals, particularly if the participants are non-literate.

v. Draw a circle in the middle, representing the village/locality and ask them to locate the places they visit around the circle in such a way that they are properly represented with names.

vi. Ask them to link the cards representing the places visited with the circle depicting their locality by lines.

vii. The thickness of the lines could represent a particular feature, such as, the frequency of the visits.

viii. Brainstorm and arrive at the aspects which could be represented including.

- Purpose of visiting the places
- Importance of the places visited
- Distance of the places
- Mode of transport
- Frequency of visits
- Whether alone or with someone

ix. Triangulate the diagram and other details generated during discussions

x. Copy the diagram onto paper with all the details.

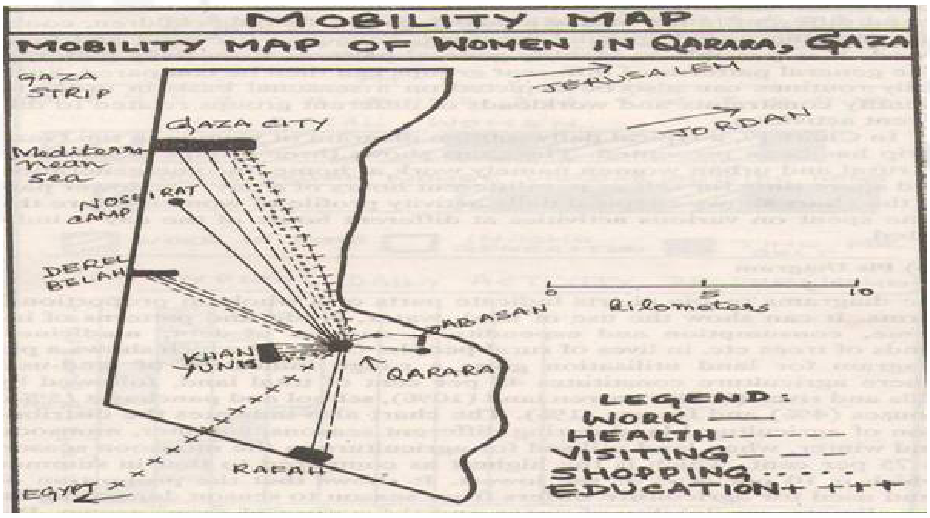


Fig. 4.6: Mobility Map of Women in Gaza (Source : Mukherjee, 1997)

The major differences between mobility map, services and opportunity maps are summarized in Box 4 for your understanding.

Box.4: Mobility Map Vs. Services & Opportunity Map

The mobility map at times overlaps with the services and opportunities map. Both the maps look quite similar. In the mobility map, however, the focus is on the places which people visit and the reasons thereof, while in the services and opportunities map, the focus is on the services and opportunities. In a mobility map the village is at the centre and the other places visited are placed around it. The distance of other places from the centre may or may not be proportionate to the actual distance. In the services and opportunities map, the services and opportunities available in the village are also represented.

Activity 1: Select a village familiar to you and conduct a Resource Map PRA exercise. Write your observations on the following:

(a) Natural Resources :

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Man-made Resources:

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Check Your Progress 1

1. Write two examples for the following methods

   (a) Space related PRA methods

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   (b) Time related PRA methods

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   (c) Related related PRA methods

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2. Write the usefulness of the following PRA tools

   a) Transect .... :

   b) Social map ....

   c) Resource map ....

   d) Mobility map ....

3. Write the major differences between mobility, services and opportunity maps

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4.7 TIME RELATED PRA METHODS

4.4.1 Time Line

Time line is quite commonly used to explore the temporal dimension from a historical perspective. Time line captures the chronology of events as recalled by local people. It is drawn as a sequential aggregate of past events providing historical landmarks of a community individual or institution. Preferably select an old people for this technique as key informants (Fig. 4.7).

Objectives

i. To learn from the community what they consider to be important past events.

ii. To understand from the community the historical perspective on current issues.

iii. To generate discussions on changes with respect to issues you are interested in e.g. education, health, food security, gender relations, economic conditions, etc.,

iv. To develop a rapport with the villagers, since a discussion about the past of the village can be a good non-threatening and enjoyable starting point.

Steps

i. Identify some elderly persons in the village willing to talk about the history of the village, invite them and explain the purpose of the exercise.

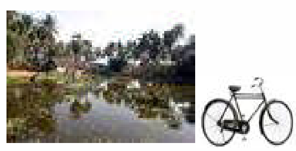
ii. Note down the major events in brief on cards in bold letters along with years.

iii. Ask them to keep the cards in a chronological order

iv. Triangulate and modify order, if required.

v. This can be done separately also for different sectors viz., education, health etc.

vi. Copy the details onto a paper.

Service/Facility	Image	Year
• Village established • Well and pond construction • Cycle		1957

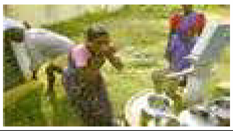
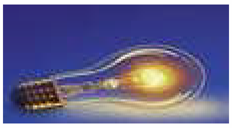
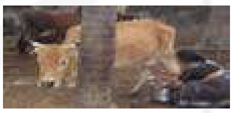
• Primary school		**1959**
• Bore well		**1963**
• Tractor		**1964**
• Electricity		**1970**
• Temple • Milk collection point		**1972**
• Bus • Moto cycle		**1974**
• Television		**1985**
• Veterinary hospital		**1986**
• Telephone		**1993**
• Jersey crossbred cow		**2001**

Fig. 4.7: Time Line of Panduranga Puram village in Kurnool District of Andhra Pradesh (Source : Sasidhar et al., 2003)

4.4.2 Trend Analysis

Trend analysis is used to explore temporal dimensions with a focus on change. It captures and trends related to certain variables over different spans of time. It is, thus, people's account of the pat and of how things have changed and hence also provides a historical perspective. Trend analysis can provide a good idea of the quantitative changes over time in different aspects of village life, such as yields, population, livestock population, the number of trees, area under cultivation, rainfall, etc., it helps to understand increases and decreases in the variable under study over a period of time. It generally charts broad movements in different aspects of the local peoples lives rather than precise shifts. The discussion that follows a trend analysis may also look into the causes of changes and thus provide an understanding of the dynamics of change.

4.4.3 Seasonal Calendar/Seasonal Analysis

Seasonal calendar is used to note seasonal activities and seasonal analysis is used to find abnormalities and the deviations from the normal. These tools give you an insight into the problems or issues faced in different seasons of the year. In seasonal calendar and seasonal analysis, month-wise depiction in a year is taken up. The seasonal analysis covers items such as natural calamities and climate (drought, flood, winds with high velocity, sunshine hours, humidity distribution), busiest and lean months, wettest and driest months, indigenous seasons, crop sequences, livestock diseases, seasonal crop activities, fodder availability, fish catch etc. are depicted in the form of tabular or pie diagrams.

Major Advantages

i. Depicts a range of items and their magnitude, which helps in understanding how these items are related to and influence one another.

ii. Helps to identify heavy workload periods, of relative ease, credit crunch, diseases, food security, wage availability etc.

iii. Useful to analyses the livelihood patterns across the year, identify periods of stress and to plan for intervention, monitoring and evaluation.

Activity 2: Select a village familiar to you, conduct a Time Line PRA exercise and write your observations:

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Check Your Progress 2

1. Write the usefulness of the following PRA tools

   e) Time line : ....

   f) Trend analysis : ....

   g) Seasonal diagram : ....

2. Write the major differences between time line and trend analysis.

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4.8 RELATION RELATED PRA METHODS

4.5.1 Cause Effect Diagram (Problem Tree)

Cause effect diagram falls under the family of flow and linkage diagram methods. Also known as fishbone or Ishikawa diagram, it focuses on the causal factors of a phenomenon, activity, or problem, and the effects thereof. The cause effect diagram presents visually the causes, effects and their inter-linkage, which help in arriving at an in-depth understanding of a particular topic, and provide scope for analysis and subsequent action by the local people. This diagram is useful to study and the analysis of the problems of a wide areas including illiteracy, the dropout rate of children from school, drinking or alcoholism, the status of women, migration, low productivity, drought, food insecurity, ill-health, etc (Fig 4.8) .

Major Advantages

i. Visual depiction of causes and effect of a problem, situation, phenomenon, etc.,

ii. Focus on causes rather than just on symptoms

iii. Provide an opportunity to the loc al people to express the complex realities of the causes of their specific problems, consequences possible solutions in a simple visual mode.

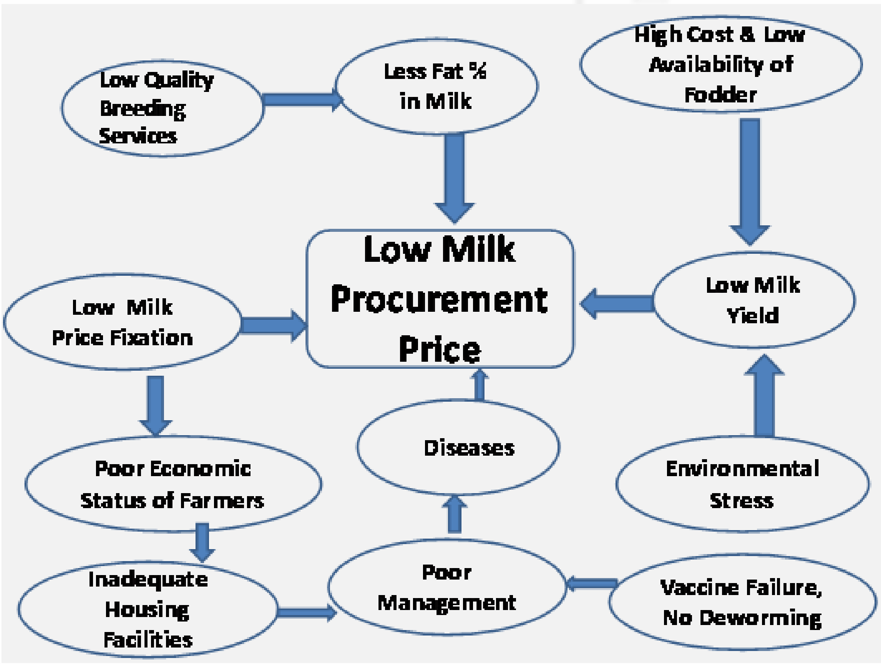

Fig. 4.8: Problem of Low Procurement Price for Milk and Associated Reasons Identified by Extension Students in Rural Puducherry (Source: RAGACOVAS, Puducherry)

4.5.2 Venn Diagram

Venn diagram is used to study institutional relationship and is sometimes also referred to as 'institutional diagram' or '*chapati*' diagram as the method uses circles of various sizes to represent institutions or individuals. The bigger the circle, the more important is the institution or individual. The distance between circles represents, for example, the degree of influence or contact between institutions or individuals. Overlapping circles indicate interactions and the extent of overlap can indicate the level of interaction (Fig 4.9).

Information elicited through Venn diagram includes : relative importance of various institutions in the village; relationship and linkages among them; weaknesses with respect to decision making process ; duplication of efforts among institutions; gap identification between institutions; assess objectives and felt needs and concentration of power within villages.

Venn diagram is particularly useful when you want to study and analyze:

i. Various institutions and individuals and their influence on the local people.

ii. Various groups and individuals in the locality and their influence.

iii. The main actors in the community and their conspicuous and inconspicuous influence.

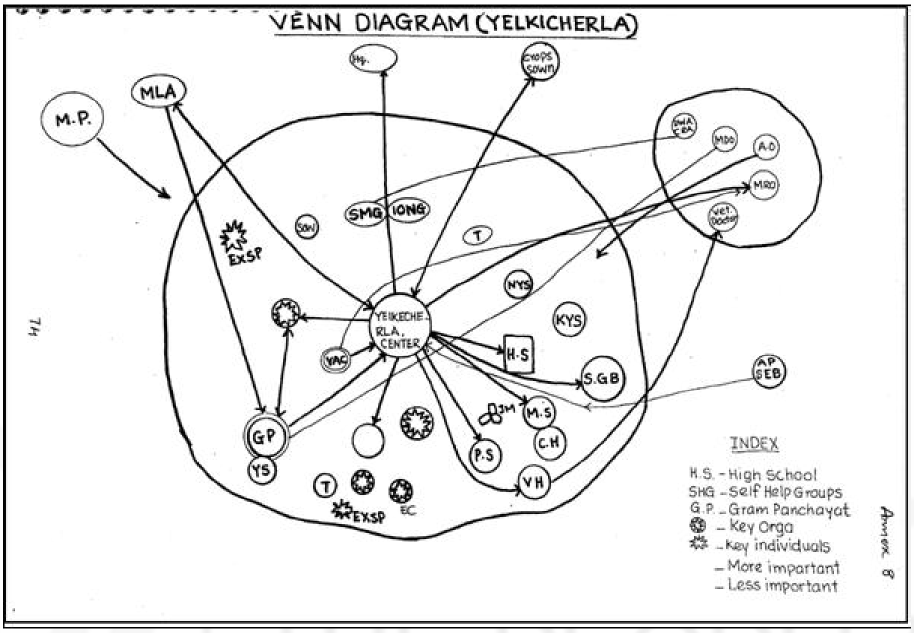

Fig 4.9: Venn Diagram of Yelkicherla Village in Andhra Pradesh (Source : Suryamani, 2007)

Activity 3: Select a village familiar to you and conduct a Problem Tree PRA exercise on Illiteracy / School Drop-out problem of the village / any other problem. Write your observations:

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Check Your Progress 3

1. Write the usefulness of cause and affect diagram

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2. Why Venn diagram is also called as Chapati diagram?

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4.6 LET US SUM UP

In this unit we started by classifying PRA methods into space, time and relation related methods. Later we discussed common material, time and site requirements for PRA methods. In the last part of the unit we discussed the meaning, objectives and steps in conducting important space, time and relation related PRA methods and their use in implementing development programmes.

4.7 KEYWORDS

Social Map: It explains the spatial dimensions of people's realities with focus on habitation patterns, nature of housing, social infrastructure etc.

Resource Map: It focuses on natural resources in the locality and depicts land, hills, rivers, fields, vegetation etc.

Transect: It provides a cross sectional representation of the different agro ecological zones and their comparison against certain parameters including topography, land type and usage, ownership, problems, opportunities and solutions.

Mobility Map: It explore the movement pattern of an individual, a group or the community with focus on where people go and for what?

Time Line: It is used to explore the temporal dimensions from a historical perspective.

Trend Analysis: This method use to explore temporal with focus on change and captures trends related to certain variables over different spans of time.

Seasonal Diagram: It has been used for temporal analysis a cross annual cycles, with months or seasons as the basic unit of analysis.

Cause and Effect Diagram: It focuses on the causal factors of phenomenon, activity, problem and the effects thereof.

Venn Diagram: It is used to study institutional and individual relationship

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4.9 CHECK YOUR PROGRESS – POSSIBLE ANSWERS

Check Your Progress 1

1. Space related methods are transect, social map, resource map and mobility maps. Time related methods include time line, trend analysis and seasonal diagram. Relation related methods are cause and effect diagram and Venn diagram.

2. a) Transect provides a cross sectional representation of the different agro ecological zones and their comparison.

   b) Social map is useful in developing a comprehensive understanding of the physical and social aspects of village life and for collecting demographic and other required information household-wise.

   c) Resource map focuses on both natural and man-made resources in the locality.

   d) Mobility map explore the movement pattern of an individual, a group or the community with focus on where people go and for what ?

3. Mobility map focus is on the places which people visit and the reasons thereof, while in the services and opportunities map, the focus is on the services and opportunities. In a mobility map the village is at the centre and the other places visited are placed around it. The distance of other places from the centre may or may not be proportionate to the actual distance. In the services and opportunities map, the services and opportunities available in the village are also represented.

Check Your Progress 2

1. a) Time line is used to explore the temporal dimensions from a historical perspective.

   b) Trend analysis is used to explore change and captures trends related to certain variables over different spans of time.

   c) Seasonal diagram is used for temporal analysis across annual cycles, with months or seasons as the basic unit of analysis.

2. Time line captures the chronology of events as recalled by local people. It is drawn as a sequential aggregate of past events providing historical landmarks of a community individual or institution. Whereas Trend analysis is used to explore temporal dimensions with a focus on change. It captures and trends related to certain variables over different spans of time.

Check Your Progress 3

1. Cause effect diagram focuses on the causal factors of a phenomenon, activity, or problem, and the effects thereof. The cause effect diagram presents visually the causes, effects and their inter-linkage, which help in arriving at an in-depth understanding of a particular topic, and provide scope for analysis and subsequent action by the local people.

2. Venn diagram is used to study institutional relationship and is sometimes also referred to as 'institutional diagram' or '*chapati*' diagram as the method uses circles of various sizes to represent institutions or individuals.