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Field Guide for Participatory Needs Assessment

INTEGRATED FOOD SECURITY PROGRAMME
TRINCOMALEE

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Preface

This document is an updated extract of the more comprehensive Field Guide to Participatory Integrated Village Development for Food Security (BAUER et al. 1999). The main ideas have been developed during the study of the IFSP/CATAD team in summer 1999. A core team of experienced PNA team leaders and members developed and tested an innovative approach for participatory needs assessment (PNA) in close co-operation with the IFSP/CATAD team.

In March 2000, the fifth round of PNA has been carried out after a number of experienced and new staff members of IFSP partners have been trained in participatory methods and the new procedures. The experience of the field work has been incorporated into this version of the field guide. It is envisaged to translate the field guide after further field testing has revealed its suitability and relevance in practice.

The revised version contains an annex which explains the typology of different village projects supported by IFSP, and the frame conditions for these projects (budget ceilings and local contribution). This information can ease the project identification during PNA, since the PNA team disposes now of a clear guideline about what is feasible in the IFSP context and what is not. The new tool 'Facilitation by Role Play' has been included in the tool box on the special request of some PNA team members.

Trincomalee, May 2000

How to use this Field Guide (Manual):

The field guide for participatory needs assessment (PNA) addresses the *PNA team members*, who prepare and carry out the PNA village workshop. Part I provides an introduction to the project policy of IFSP and to the IFSP-approach. Part II starts with the different steps necessary to prepare and conduct participatory needs assessments in villages. The main actors involved here are the PNA team, the villagers and IFSP management, furthermore divisional level staff and the social mobilisers for supporting functions.

The field guide follows a step-wise approach. Each step is explained in a similar structure:

Description



provides a brief overview

Objectives



explains the purpose, i.e. what should be achieved by this step

Activities



describes all activities necessary to achieve the objectives set for this step

Actors/Responsibilities



points out the main responsible actor and the participating actors

Time



gives an indication of the time required and on the appropriate time period

Hints/

Comments



provides useful ideas, hints and experiences as well as reference to other parts of this report.

A manual is a guide, not a rigid blueprint or a corset! The success of the procedures, tools and methods depends upon the user. More important than to rigidly stick to set procedures is to apply the underlying philosophy of the approach.

Part I: Introduction

A Field Guide to Participatory and Integrated Village Development for Food and Nutritional Security

(i) Welcome

PIVDA stands for 'Participatory Integrated Village Development Approach' towards food and nutrition security in Trincomalee District. PIVDA is a vision and a development concept at the same time. It remains, on the one hand, still a vision because participatory and integrated village development has yet to be firmly rooted in Trincomalee District; on the other hand, PIVDA provides an elaborate concept for a project cycle which sets out to facilitate a development process of such sort within the framework of IFSP.

The purpose of the Integrated Food Security Programme Trincomalee (IFSP) is to diversify and intensify the nutrition base and income opportunities of the conflict-affected target groups at food risk in order to improve their nutrition habits and health care. Food and nutrition security are to be achieved through an approach which combines participation of the local population and integration of all relevant actors in a joint effort towards development.

The following two sheets provide the necessary background information to gain an insight to the general project intervention policy of IFSP and to the principles of the development approach:

Sheet 1: The Integrated Food Security Programme Trincomalee (IFSP)

Sheet 2: The Participatory Integrated Village Development Approach (PIVDA) for food and nutrition security.

IFSP Trincomalee (IFSP) provides this manual to the members of the interdisciplinary PNA teams who conduct participatory needs assessments (PNA) in villages to identify problems, needs and project proposal in a participatory and integrated way. The PNA Manual was jointly elaborated by the IFSP/CATAD team in close co-operation with a core team of experienced PNA team members. It serves as a practical guideline and provides user-friendly information about each step of the project cycle.

Sheet 1: Integrated Food Security Programme Trincomalee (IFSP)

What is the IFSP?



- a project which supports people whose food security is at risk, to enable them to diversify and intensify their food and income sources and improve their nutrition base and health care.
- funded by the Sri Lankan and German governments
- focusing on five selected divisions (Padavisripura, Kuchchaveli, Gomarankadawela, Muthur, Eachchilampathai)

What is Food Security?



- Availability of food (quantity, quality, seasonality): *Is adequate food available at the market throughout the year at all times?*
- Access to food: *Does the household have the necessary purchasing power (money) to buy food?*
- Utilisation of food (nutritional and health aspects): *Is food prepared in a healthy way?*

Who is the target group?



- people at risk of food insecurity (vulnerable):
 - those affected by conflict
 - landless farmers
 - subsistence farmers
 - widows/female headed households
 - small-scale fishermen
- entire village communities (production base, infrastructure assets, water supply & sanitation)

Activities of the IFSP



(i) Poverty group projects of vulnerable groups:

- agricultural extension and services
 - vegetable production
 - goat and poultry farming
 - small-scale business and industries
- identified by the poorest, vulnerable groups themselves

(ii) Community projects (village infrastructure):

- water tank rehabilitation
- irrigation channels
- drainage facilities
- agricultural roads
- drinking wells
- school gardens/plant nurseries plus agro wells

→ identified by entire village community as a priority project.

Special Health Programme: improvement of

- sanitation, health centres, combined with
- health training for community health workers
- village health and training in nutrition

How does the IFSP work?



- it is not the IFSP's aim to establish an independent implementing structure, instead it seeks to work through:
- **Service Providers:** GOs and NGOs
- **Implementing Partners:** Action Groups/CBOs

Guiding principles



- consideration of all three communities (Tamil, Muslim, Sinhala)
- focusing on longer-term impacts on development (no relief and emergency aid)
- active participation of and contribution from target groups
- strengthening of self-help capacity of Action Groups/CBOs
- participatory approach in all stages of projects
- capacity building of service providers
- strengthening co-operation of institutions related to food and nutritional security

Sheet 2: The Participatory Integrated Village Development Approach (PIVDA)

- for Food and Nutrition Security

What is PIVDA?



The Participatory Integrated Village Development Approach is a project cycle which serves as a guideline for planning and implementing IFSP-supported village projects. It defines the consecutive steps in project identification, screening, implementation and monitoring. It also ascribes responsibilities to the different actors involved.

Objectives of PIVDA



- to achieve broad-based and sustainable village development
- to establish a dialogue between the IFSP and all involved stakeholders
- to provide a framework and guidelines for all actors to plan, implement and monitor projects in a participatory and integrated manner.
- to empower vulnerable groups to cope with their situation
- to support village communities in improving their production base and infrastructure

Guiding principles



PARTICIPATION: Local people are the owners of the development process and should participate actively in all stages of the project cycle.

INTEGRATION: Close co-operation of all involved actors and co-ordination of all ongoing activities are essential to overcoming departmental bias.

DEVELOPMENT: is a continuous process towards sustainable improvement of living conditions of the local people. It aims at mobilising people to deal with their problems themselves.

APPROACH: implies creation of new attitudes in 'approaching' villagers, towards an attempt at mutual understanding

Actors/Res- ponsibilities



Three different types of actors can be identified:

- (1) **IMPLEMENTING PARTNERS:** The local population and its community-based organisations (CBOs) and Action Groups actively implement village projects.
- (2) **SERVICE PROVIDERS:** Consisting of governmental departments and non-governmental organisations as well as private enterprises. They deliver services and extension to the implementing partners
- (3) **CO-ORDINATING BODY:** The District Planning Secretariat supported by the Technical Project Committee co-ordinates and supervises all ongoing activities.

Activities



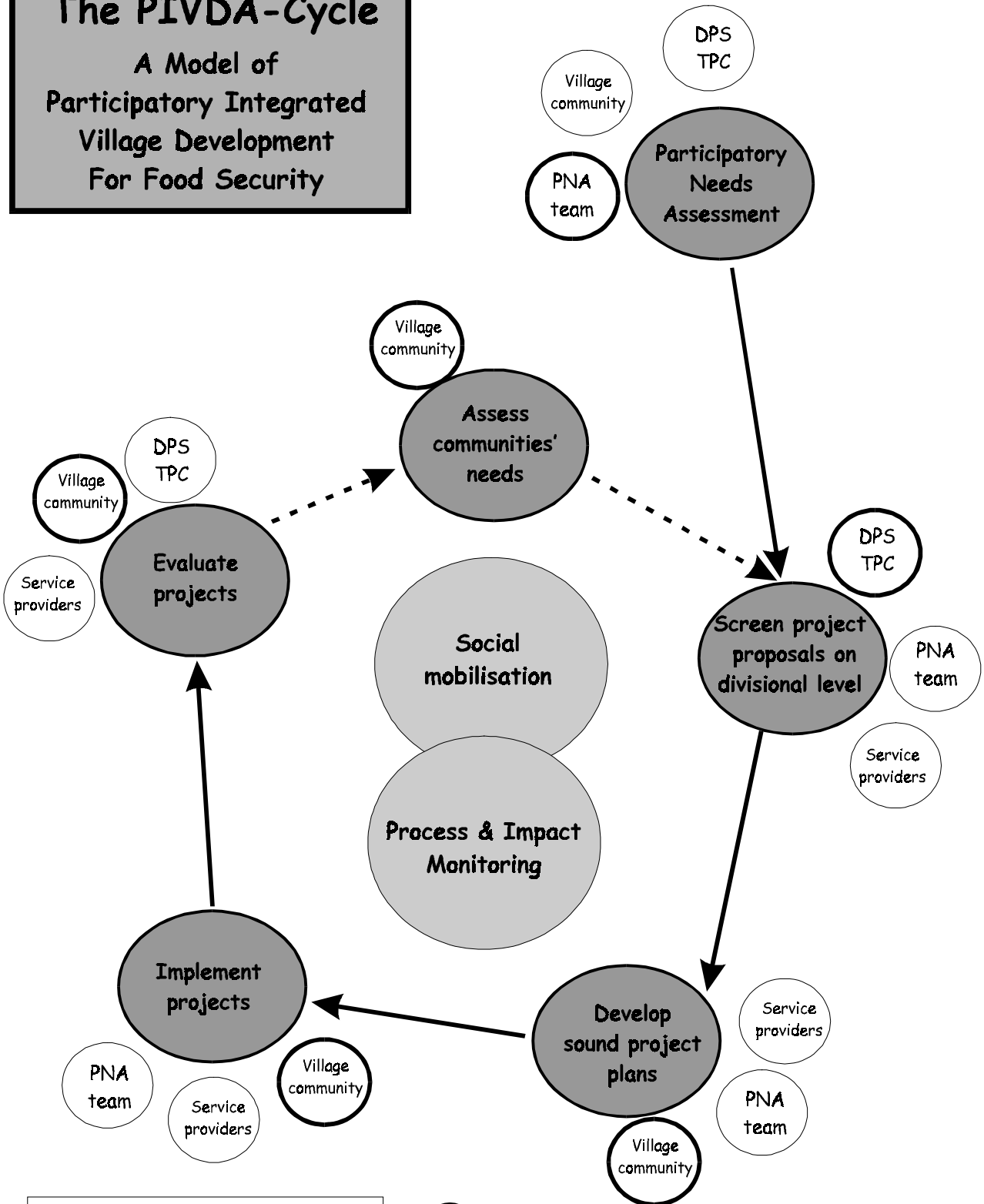
The project cycle of PIVDA consists of six steps:

- (1) Participatory Needs Assessment (Manual, Part II)
- (2) Screening of project proposals (Manual, Part III)
- (3) Developing sound plans for the project (Manual, Part III & IV)
- (4) Implementing village projects (Manual, Part III & IV)
- (5) Evaluation of Projects (Manual, Part III)

In addition, all five steps are supported by social mobilisation and the strengthening of the capacity for self-help in vulnerable groups.

All steps have to be monitored closely (Manual, Part III).

The PIVDA-Cycle
A Model of
Participatory Integrated
Village Development
For Food Security



Abbreviations:
 DPS = District Planning Secretariat
 PNA = Participatory Needs Assessment
 TPC = Technical Project Committee

○ Main responsible actor
 ○ Other actors

Field Guide

for

Participatory Needs Assessment (PNA)

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Step 0: Philosophy of PNA

What is PNA?



- PNA is the assessment of villagers' needs in a participatory way, by an interdisciplinary PNA TEAM from various Governmental Departments and national NGOs.
- PNA is the first step of the project cycle of village development under the IFSP.
- PNA is the point of entry for the IFSP to the villages and to its target groups.

Objectives of PNA



- to inform villagers about the activities and areas of intervention of the IFSP.
- to analyse needs & problems and identify the potentials of the village community
- to identify vulnerable groups (the poorest of the poor) and analyse their specific problems and potentials
- to facilitate defining and prioritising project proposals (community and poverty projects) for the IFSP
- to support vulnerable people in forming their own groups or organisations, and to strengthen their capacities to help themselves
- to build up trust and better relations between villagers and GO/NGO field staff

Guiding principles



- ENTITLEMENT PROMOTION: focusing attention on the poorest of the poor, those who are most *vulnerable* to external events.
- PROCESS ORIENTATION: focusing on facilitation and mobilisation rather than data collection.
- OPTIMAL IGNORANCE: focusing on relevant data, tools and activities only.
- TIME BUDGETING: scheduling and spending time with vulnerable groups according to their specific needs and time availability.

General rules for participatory workshops:

- clear leadership
- clear delegation of responsibilities
- good preparation of each session (content, material, method)
- exhaustive reflection after each session and definition of consequences for the next session
- punctuality
- flexibility

Activities of PNA**(1) Preparatory Phase [Steps 1-4]**

- Village selection [Step 1]
- Preliminary Investigation Visit (the PIV) [Steps 2, 3]
- Co-ordination Meeting [Step 4]

(2) PNA Village Workshop [Step 5]

- Analysis of general village problems and identification of proposals for the community project.
- Identification of vulnerable groups, analysis of their specific problems, identification of poverty projects and formation of related ACTION GROUPS

(3) Report Writing [Step 6]

Step 1: Quarterly Review Meeting (the QRM)

Description



The QUARTERLY REVIEW MEETING (QRM) serves as a forum for exchange of information and ideas between the IFSP Management and PNA team leaders (feedback). At the same time it is a planning workshop for the activities of upcoming PNA rounds, and also has the task of reviewing the activities of the last three months and making the necessary adjustments for future activities. In addition, the IFSP Management and PNA team leaders discuss and plan all necessary arrangements for the PNA rounds over the next three months.

Objectives



- to familiarise the IFSP Management with the experiences of the PNA teams during their field work
- to decide about necessary adjustments to the PNA approach
- to plan all necessary arrangements for the coming PNA

Activities



- Evaluate experiences of the PNA rounds of the last three months.
- Adjust PNA procedures based on the evaluation of field experiences.
- Select the target villages for the PNA rounds of the next three months according to a village priority list. (cf. Chapter 3, Main Report, in particular Section 3.2)
- Prepare the necessary arrangements for secondary data collection for the IFSP Village Data Bank – inform the DS and DPS.
- Select the members for each specific PNA village team

Actors/Responsibilities



- the IFSP Management
- PNA team leader

Time



The quarterly review meeting is carried out once every three months and lasts a day.

Step 2: Secondary Data Collection

Description



The first step after a village has been selected for PNA (see section 3.2), is the collection and analysis of data relevant for PNA. All relevant information available about the villagers, their situation, problems and needs etc. stemming from secondary sources should be used so as to avoid duplication of data collection. The collection of primary data (surveys) is usually much more expensive than the collection and analysis of the same data which are already available from secondary sources.

Objectives



- to get to know the situation in the village (in particular aspects relevant to IFSP activities)
- to formulate hypotheses about potential problems and constraints in the village
- to focus the subsequent PNA exercise on the village situation (situation-specific planning and implementation of Participatory Needs Assessment)

Activities



- careful analysis of the village data sheet
- screening available statistics from the District Planning Secretariat about the area and the village
- contacting GOs, NGOs and knowledgeable persons for further information about the village, analysing their reports and getting their (knowledgeable persons) opinion about the village: its problem situation, past experience with the village, the self-help potential, successes and failures of self-help projects in the villages etc.
- analysing the collected data and formulating hypotheses about the problem situation in the village
- designing the PNA according to the specific situation in the village

Actors/Responsibilities



- the IFSP Management
- PNA team leader

Time

Depending on the size and heterogeneity of the village and the data available: 2-3 days in the case of one person (or less for a team)

Suggestions/
Comments

➤ *the IFSP project office in co-operation with DPS/TPC will start establishing a data base. The village data sheet can then provide the first important secondary data.*



Step 3: Preliminary Investigation Visit (the PIV)

Description



The Preliminary Investigation Visit (PIV) is the point of entry for the PNA team to the selected village. While on the one hand, the PIV serves to complete secondary data collection and to cross-check the suitability of the village for PNA according to the selection criteria set by the IFSP, on the other hand it also allows the PNA team to get a first impression of the village setting, to discuss with villagers about the schedule and logistical arrangements necessary for the PNA VILLAGE WORKSHOP. It also gives the villagers a first idea about the objectives of PNA and the activities of the IFSP. It gives them some time to prepare for the PNA VILLAGE WORKSHOP days.

Objectives



- to review available data at the Divisional Office
- to counter-check whether the selected village fulfils the selection criteria of poverty, food insecurity and conflict affectedness
- to inform villagers about the IFSP and the PNA village workshop
- to arrange the timing and setting of the village workshop according to the specific context of the village and to check peak periods of agricultural labour.
- to get a first insight into the specific background of the village and the problems and needs of the villagers
- to get to know the villagers and to build up trust between the team and the villagers
- to identify reliable resource persons for background information and the selection of vulnerable groups (if possible)

Activities



(a) DS Meeting:

- Collecting and cross-checking *relevant* secondary data
- Discussing with GO and NGO staff about their experiences in the village
- Checking whether the village is suitable for PNA according to IFSP criteria

The DS meeting is compulsory. Whether a village meeting is necessary depends upon the activities of the social mobilisers (see suggestions/comments)

(b) General Village Meeting (see suggestions/comments):

- Introduce the PNA team and its mission
- Introduce the scope of activities of the IFSP
- Familiarise with the village (TRANSECT WALK: Tool B)
- Discuss general village problems which are relevant for the whole village community – community problems

Actors/Responsibilities

- PNA team leader and social mobiliser
- DS, ADP, RDO, AI, DO, SAA, GS, NGO representatives

Time

The PIV is carried out in villages selected for the next PNA round. It takes place on a Wednesday, since this is office day when all relevant actors can be expected to be present. PIV should ideally be conducted 2-3 weeks before PNA.

Suggestions/Comments**Social mobilisation and PIV:**

- *When social mobilisers are already working in the selected village, the village visit during PIV becomes obsolete. In this case, the PNA team leader only visits the DS-office to collect relevant data, to inform the officers, and to prepare all logistics for PNA.*

Some suggestions for planning PIV:

- *Check in advance with relevant DS-level staff whether the selected PIV date is suitable for the village.*
- *Inform the DS through the DDP at least ten days in advance so that the DS has enough time to call all relevant officers and to inform relevant NGOs about the upcoming PIV. Inform villagers in time about the PIV through the DS and SA/ GS.*
- *The PIV serves to cross-check the selection of the village for PNA. In case of doubt, the PNA team has to decide whether to select another village which is more in need.*
- *Encourage the villagers to think about their problems on their own in the time period between PIV and PNA.*

Step 4: Co-ordination Meeting

Description



After the PNA teams come back from the PIV, planning of the different PNA VILLAGE WORKSHOPS has to be co-ordinated. For this purpose, the IFSP Management meets with the PNA team leaders who are in charge. The meeting takes place after all PNA members have returned

Objectives



- to report to the IFSP Management about the outcome of the PIV
- to confirm the suitability of the selected village for PNA
- to co-ordinate the timing and planning of the different village workshops
- to decide about the size of the PNA team and to select the composition of each PNA team according to the subject matter required for each village.

Activities



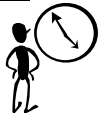
- see 'Objectives'

Actors/Responsibilities



- PNA team leaders
- the IFSP Management

Time



The co-ordination meeting takes place the day after all the PNA teams have completed the PIV. It lasts for half a day.

Suggestions/Comments



- *PNA team leaders are fully responsible for the timing and further planning including logistical arrangements of their specific village PNA. The IFSP Management will assist in providing transport and facilitate organisation wherever required.*

Step 5: PNA- Village Workshop

Description



The PNA village workshop is the core of the PNA process. A PNA team consists of four to six members and an experienced team leader. They are all staff members of service providers of the IFSP, i.e. governmental line departments, NGOs and the District Planning Secretariat. The PNA team meets with the villagers to discuss about problems, needs and potentials in order to identify possible solutions. Since it is the intention of the IFSP to target conflict-affected, food-endangered groups, the village workshops are aimed especially at addressing these VULNERABLE GROUPS, at identifying solutions for their problems, and at organising them into ACTION GROUPS for future project activities.

Objectives



- to inform the village communities about the activities of IFSP.
- to provide an opportunity to meet a team of officers from different departments and organisations.
- to analyse general problems of the whole community.
- to analyse the village resources.
- to identify, screen and prioritise *community projects* (village infrastructure).
- to identify and address marginal VULNERABLE GROUPS within the village community.
- to separately identify and analyse the needs, problems and potentials with the vulnerable groups (in sub-groups), and to jointly work out project proposals (*poverty projects*).
- to raise awareness, start organising and mobilising the vulnerable groups.

Time



The PNA VILLAGE WORKSHOP lasts for two to three days.

Actors/Responsibilities



- PNA team leader and team members
- Divisional Officers, Village Level Officers, relevant NGOs
- Village representatives
- Villagers (village community and vulnerable groups)

Activities**1st Day - General Meeting: COMMUNITY PROJECTS**

Introduction of PNA mission and PNA team

Introduction of the IFSP's activities

Analysis, discussion and prioritisation of general village problems

- Problem analysis, identification of village resources, identification and prioritisation (ranking) of community projects (Tools C, D)
- Institutional Analysis (Tool E)
- SWOT, Analysis of selected organisations (optional, Tool F)

2nd Day - Vulnerable Groups: POVERTY PROJECTS

Pre-selection of vulnerable groups with village representatives (nominated by villagers during the PIV) and village level government staff (SA, GS). Time allowing, this can already be accomplished in the late afternoon on the first day. (Tool G)

Final identification of vulnerable groups and selection of beneficiaries in a *General Meeting*. (Tool G)

Problem analysis with *vulnerable groups* in sub-groups and Identification of poverty projects (Tool H)

3rd Day - ACTION GROUPS:

Formation of ACTION GROUPS (Tool A, I) (or on second day)

Closing of village workshop

Presentation of results

Agreements on future proceedings, contacts and meetings with social mobiliser and field staff of service providers.

Suggestions/ ➤ *Keep expectations realistic!***Comments**

- *Inform villagers about the purpose of the visit of the PNA team*
- *Explain clearly what the IFSP can do and what it cannot do.*
- *Explain clearly that the budget of the IFSP is limited*
- *Explain the distinction between projects for vulnerable groups and projects for the whole village community*

- *Keep budget ceiling of poverty projects and of community projects as set by the IFSP, in mind.*
- *Screen and prioritise projects in order to give the IFSP Management clear guidance about which projects should be addressed first.*
- *Try to establish first linkages between ACTION GROUPS and GO/NGO field staff for implementation of activities.*
- *Only collect primary data which is relevant for further activities.*
- *Start the PNA village workshop with a transect walk (Tool B) in case you have not done it during the PIV.*

Supplement to Step 5: Tool Box

General Suggestions



How to choose your tools?

Methods and tools during the PNA VILLAGE WORKSHOP should not be used mechanically but in a **context specific** manner and should be **appropriate to the question or topic** which needs to be discussed with the villagers.

Your choice of a certain tool is also determined by the **specific characteristics** of the group you are working with.

In the PNA you are conducting, you should not aim at absolute accuracy (you do not have to know everything!) but at an optimal degree of precision.

In order to determine which degree of precision is 'optimal', you need to ask yourselves:

- What kind of information is required within the IFSP context?
- What is the purpose of the information?
- How much information is needed for the final results of the PNA round?



Visual sharing

By employing visualisation you give **everyone** the opportunity to easily follow a discussion, especially illiterate people and people who join the session later.

Maps, diagrams, ranking and other forms of visualisation also promote consensual decision-making, since everybody is able to **express her/his opinion** directly on a chart or on the ground.

Every morning, the results of the previous day are presented to the villagers so that ideas can be shared, the data checked and finalised. This is essential for getting the villagers involved and to make the results of the workshop transparent to each and every villager.



Key Questions/ Checklist

Key questions and/or a respective checklist specify the basic information which should be generated during the utilisation of a participatory tool. It serves as a kind of memory note which helps you to keep the dialogue with the villagers/ subgroups flowing. Neither the key questions nor the checklist should be seen as a strict list covering all aspects in every detail. It does not determine the order in which questions are to be asked. The purpose of both is to facilitate the process and to serve as a reminder about which topic should be covered.

Ask yourself which specific information is needed to cover the key questions and check which information is really necessary in order to achieve the objectives of a session.

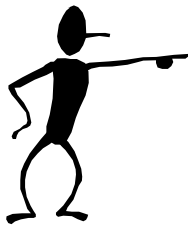


Mapping

Maps are an important means for illustrating the resources of a village, socio-economic features and the outside contacts of villages and communities. They give the PNA team an **overview** of an area, describe the **local situation** as perceived by different groups in the village or community, and provide a good starting point for discussions with villagers about their problems, needs and potentials.



Roles in a PNA Team:

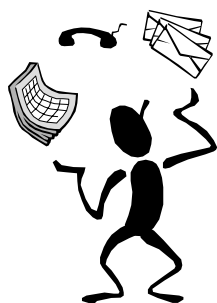


Team Leader:

The team leader is responsible for the organisation of the preliminary investigation visit (PIV) and of the PNA village workshop. He/she advises the project management of the IFSP and the Technical Project Committee (TPC) in the selection of villages before the field phase, and in the screening of community projects in the follow-up phase of PNA. During the field phase, he/she leads the PNA team and co-ordinates all activities.

Responsibilities:

- prepares and plans all logistics for the PNA village workshops and co-ordinates all activities with the Project Co-ordination Officer and the Technical Project Committee (TPC).
- ensures the collection and analysis of all available secondary data.
- constitutes the PNA team and facilitates team work, encourages a good working relationship among members and mediates in cases of conflict.
- moderates the introductory meeting with the village community and introduces the purpose of the village workshop and the programme for the coming days.
- co-ordinates all sub-group sessions, and in difficult situations provides guidance and advice to facilitators.
- ensures that the team does not lose sight of the general line of investigation of the PIV and PNA village workshop. He/she checks that the tasks of each field-day are fulfilled and adjusts the procedures accordingly.
- suggests ascribing PNA members to specific sub-groups according to individual knowledge and skills.
- organises meetings with key persons and village representatives and stays in close contact with them throughout the workshop.
- closes the village workshop at the end of each day as well as right at the end of the entire workshop.
- facilitates the co-ordination of report writing and data analysis, in particular the merging of the results of different sub-groups.



Facilitator:

The facilitator moderates and facilitates the session of a community or sub-group meeting. He/she acts as a catalyst between the individuals of the group and promotes the active participation of everyone in the discussion process, in particular women and shy individuals.

Responsibilities:

- facilitates the meeting: he/she welcomes the participants, explains the purpose of the session, and moderates the discussion ensuring that all participants get a chance to express their opinions, especially female participants, the poor and the shy.
- guides the interview and discussion along the lines of investigation. He/she ensures that the respondents keep to the subject, but is flexible enough to handle side-line discussions and any other additional important information.
- supports an harmonious atmosphere and mediates in conflicts among members of the session. He/she acts as a catalyst between different groups and individuals.
- consults the note-taker at the end of the session for supplementary comments, additional questions and hints.
- closes the session and thanks all participants, leading them to the next steps of the PNA village workshop.
- discusses with the note-takers about all the information collected and exchanges views and experiences.

Note: Facilitators *keep a low profile* and *hand over the stick* to the villagers!



Note Taker:

The note-taker collects and writes down all the information which is generated during a community or sub-group meeting. The documentation of the collected information is the basis for analysis and report writing and therefore an essential process.

Responsibilities:

- prepares all necessary material for the meeting
- observes the interview process, remaining in the background, and assists the facilitator in an indirect way by discreet signalling, for instance when some participants do not have the courage to speak up. He/she can support the facilitator by asking questions, if it suits the situation.
- writes down all the important information and notes the methods used for facilitating the session (tools etc.). He/she also ensures that any visualisation is copied on paper for documentation purposes.
- pays attention to 'time management' and reminds the facilitator when necessary.
- gives the facilitator feed back after the end of the session about the discussion process. He/she exchanges views with the facilitator and adds additional information to the notes.



Supporting Actors:



Social Mobiliser

The social mobiliser observes the process of the village workshop and remains largely in the background, providing the PNA team with hints and advice where necessary. He/she acts as a link: he/she supports the PNA team in the selection of vulnerable households, supports Action Group formation, and facilitates communication between the Action Groups, PNA team and service providers. He/she provides the PNA team with useful background information and especially takes care that vulnerable people and women are incorporated into the discussion process.



Subject Matter Specialist / Field Staff

Subject matter specialists and/or field staff of the relevant service providers (AI, DO, LDI, NGO staff etc.) support the PNA team during Action Group formation with technical and organisational advice for community and poverty projects. During the village workshop, they establish first contacts with vulnerable households in order to enhance further co-operation. The field staff of service providers plays a key role in the follow-up of PNA and in facilitation of project implementation.

A. Facilitation by Semi-structured Interviewing

Description



Semi-structured interviews play the single most important role in PNA. Any group sessions, discussion round, village meetings or informal talks will be facilitated through questioning, probing, discussing. A semi-structured interview is a form of guided interview in which only some of the questions are predetermined. It is partly guided so that the answers to key topics prepared in advance can be found, and is partly a casual discussion, in which new aspects on a certain topic arise or new questions even come up.

Interviews are the basis for interaction with villagers and form the basis for any tool application. The core of a session is the discussion; tools serve only to facilitate this discussion. The role of a PNA facilitator is to support villagers in their analysis, to guide them by asking questions and to encourage the shy.

Objectives



- to facilitate discussions among villagers
- to gather information in a participatory way, giving the respondent/s the opportunity to determine the topics to be discussed and the information to be given.
- to be open to new questions which arise during the discussion.

Activities



- Make sure to choose a convenient time and place for the session.
- Sit on the ground like the villagers do. Try to gain their confidence. Prepare everything for visualisation or tool application.
- Start with explaining the purpose of the session.
- Make the point that you are here to learn from the villagers. That it is they who should analyse their situation and that you are only there to assist them.
- Be sensitive and respectful. Be mindful of your behaviour (e.g. body language, non-verbal signals).
- Raise questions that are short and easy to understand. Do not ask more than one question at a time.
- For concrete information use the 'six helpers':
What? When? Where? Who? How? Why?
 - *But be careful when using 'why'-questions because they may force the informant into a defensive position and stop the flow of information; you should probe answers discretely. Use formulations such as 'Suppose...', 'Please tell me more about...', 'Anything else...?' or 'what would happen if ...?'*

Types of Interviews



Individual Interview

- To obtain representative information which is of a more personal nature, interview a number of different individuals on the same topic (for example, women, men, the old, the young, participating and non-participating villagers). Ask individual respondents about their own knowledge and behaviour. Random interviews with passers-by (e.g., during a village walk) may also reveal useful information and unexpected viewpoints.

Key Informant Interview

- To obtain special knowledge. A key informant is anyone who has special knowledge on a particular topic (e.g., women on home gardening). Key informants are expected to be able to answer questions about the knowledge and behaviour of others and especially to give a broader more overall view of a subject. They are people like school teachers, or people who have 'married into' the community, etc.

Group Interview

- For obtaining community-level information, group interviews have several advantages. They provide access to a larger body of knowledge, and the possibility for immediate cross-checking on information as received from others in the group. When groups become too large (more than 20-25), however, management becomes difficult as the group tends to break into smaller sub-groups. It would be more helpful then to split it up into several sub-groups.

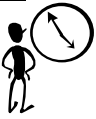
Focus Group Discussion

- To discuss specific topics in detail (e.g., special problems of widows). A small group of people (6 to 12) who are knowledgeable or who are interested in the topic(s) is invited to participate in the focus group discussion. A PNA team member is chosen to ensure that the discussion does not stray too far from the original topic and that no participant dominates the discussion.

Actors & Responsibilities



- PNA team members
- Distribute in advance certain responsibilities for topics amongst the PNA team members (e.g., who conducts which kind of interview; who focuses on respective subgroups during the PNA, such as women, farmers, etc.).

Time

- Depends on type of interview and topic.
- Observe the level of attention, reaction and participation of people being interviewed.
- Try to set a certain time limit and inform participants in advance about the duration!

Suggestions/
Comments

- *Clarify in advance within the PNA team which information is needed as an outcome of this tool.*
- *Avoid the excessive use of the following type of questions:*
 - **Closed questions:** *questions that can only be answered with 'yes' or 'no'. They make probing for further details difficult.*
 - **Leading questions:** *Questions that prompt the interviewed person to give certain answers (e.g., 'Is it true that...?' or 'Don't you think that...?').*
 - **Ambiguous questions:** *Unclear questions that can be understood in more than one way.*
- **Be aware of and try to avoid the following common mistakes:**
 - *Failure to listen attentively*
 - *Repeating questions*
 - *Suggesting answers or finishing statements, i.e. putting words into the respondent's mouth*
 - *Asking vague or insensitive questions*
 - *Allowing the interview to go on for too long*
 - *Not differentiating an answer: is it a rumour, an opinion or a fact?*
 - *Neglecting the opinion of women and shy persons, and conducting the interview mainly with the better-off, the educated, and the powerful.*
 - *Ignoring issues which do not coincide with the perceptions of the interviewer.*



A*. Facilitation by Role Play

Description



A role play is a small play of improvised theatre. People fulfil rather spontaneously a certain role within such a play. They perform a certain situation or express feelings.

Role plays can be performed by PNA team members to illustrate or demonstrate certain issues, e.g. how to use a certain tool. On the other hand, role plays can be performed with the villagers to enhance awareness and discussion about a particular topic.

Objectives



- to illustrate situations or persons by performance
- to let people express feelings or opinions without being blamed for them later on.
- to enhance people to speak/play openly and frankly

Activities



(a) Role play performed by PNA team

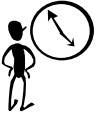
- Agree about the topic and assign roles to the different members who are participating in the role play. Prepare necessary material and tools.
- Explain the villagers that you will play a certain situation as if it were real.
- When playing, try to act as real as possible. Small jokes help to get the attention of the audience.
- Discuss with villagers afterwards what they learned out of the role play and what you intended to explain in the role play.

(b) Role play performed by villagers

- Discuss and agree on the topic of the role play.
- Ask people to think of ways to play a situation which is characteristic for the discussed problem or situation.
- Convince the participant to play the situation, but do not force anybody.
- Help the villagers to prepare all requisites for the play
- Let the villagers distribute the different roles. Ask them to explain briefly what is going to happen (the plot).
- Give the actors a chance to rehearse first (if they wish to)
- Observe reactions of the audience and the actors during the play.
- Discuss with all what they learned out of the play.

Actors/Responsibilities

- PNA team members
- selected villagers who serve as guides

Time

- from 10 to 60 mins.

Suggestions/Comments

- *Role plays can be useful to explain the functioning of a certain tool to illiterate villagers, e.g. how to rank problems.*
- *A role play can also be a useful tool for stimulating discussion on controversial issues.*
- *Experience shows that many people express their view more easily when they are in a role play. It is possible to speak very frankly and freely, even for women.*

B. Village/Transect Walk

Description



A village walk serves the purpose of becoming acquainted with the village and its people and obtaining, by way of informal chats, some preliminary information about the situation 'on the ground'. The transect is also carried out, in order to assess the characteristics of the village through observation.

Objectives



- to get to know the village, its population, and its surroundings
- to find out something about the flow of information within the village (e.g., has the invitation for the PNA reached everybody?)
- to get a first impression about the problems and potentials of the village
- to provide an information pool for fine-tuning the programme of the PNA

Activities



- Ask some local people to be your guides during the walk. Make sure that the groups of guides are mixed in gender and age. Form, if possible, one women's group guided by a local women.
- While walking, start to ask some general questions about the village (population, history)
- Avoid rushing; pay attention to the surroundings. For instance:
 - *crops in fields and next to houses*
 - *infrastructure* (roads, paths, water pumps, wells, toilets, etc.; neglected or well maintained)
 - *people's activities* (e.g., who does what kind of work?)
 - the *animals belonging to the households* (e.g., are there a lot of cattle or perhaps only a few chickens?)
 - *different styles of houses* (well maintained, clean, dirty or shabby, very poor or solid looking huts, kind of materials used, etc.)
- Discuss your observations with the people guiding you (e.g., ask about reasons, persons involved and their professions, about distances, etc.).
- Also talk to local people you meet along the way and ask them whether they have been informed about the following PNA round. If not, briefly explain the purpose of the PNA to them and invite them to participate.
- After the village walk, meet with the PNA team in order to brief them about observations made and experiences gained.

- Draw conclusions for the following PNA round (e.g. general situation of selected village, cross-checking of secondary data, first suggestions for suitable tools).

Actors/Res-
ponsibilities



- PNA team members
- selected villagers who serve as guides

Time



- depends on size of village
- suggested time: between 1 and 2 hours
- choose a convenient time (e.g., avoid the hot midday period)

Suggestions/
Comments



- *Try hard to find some local people to guide you, otherwise the village walk is of a lot less value.*
- *When meeting people during the walk, it is important to maintain a relaxed, informal atmosphere. Avoid an uncomfortable 'interrogation situation', where people merely answer questions rather than talking freely about their lives and things they consider important.*

C. Resource Map

Description



A resource map is a map showing a village with its natural resources with special regard to different aspects like:

- natural resources (e.g. land, fields, forests, rivers)
- infrastructure (e.g. streets, paths, wells, water tanks)
- social facilities (e.g. houses, schools, health centre)

One key feature of the resource map is that it should be constructed with the local materials available (e.g., seeds, stones, leaves) by the villagers themselves.

Objectives



- to gain an overview of the situation with special regard to the resources available in the village as perceived by the villagers
- to learn about access and control over resources
- to find out and discuss the different perceptions of various groups on problems within the village
- to discuss potentials, problems, needs, arising from the information gathered through the process of drawing the map

Activities

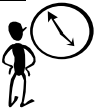


- Ask the participants to draw a map on the ground showing the whole village with all the important items, according to their own perception.
- Suggest using symbols or natural resources for visualising the different items.
- Through out the process pay attention that the others agree when somebody has arranged or rearranged something in the map. If they disagree, ask for reasons and try to facilitate the process to reach a general agreement.
- Ask one of the villagers to draw a copy of the resource map on paper. Make sure that the copy really represents the original and that the legend is complete.

Actors/Responsibilities



- PNA team
- the whole village community

Time

- depends on the number of participants and the size of the village
- roughly two hours

Suggestions/
Comments

- *Prepare in advance all the necessary items for the construction of the map and choose a suitable place.*
- *Ensure that everybody in the village community participates during the construction. Encourage non-participants to get involved!*
- *Try to draw conclusions already about various groups and their respective problems in the village. Listen closely to people's talk during the whole process.*
- *Indicate community projects identified during PNA on the map.*

D. Problem Analysis at Community Level

Description



Problem analysis at community level is a prerequisite for the identification of community projects. The PNA team discusses with the whole village community about general village problems and facilitates a prioritisation (ranking) of the most important problems. For the core problems, an analysis of the underlying causes facilitates the discussion about possible solutions and relevant projects.

It is essential that the PNA team points out the fundamental role and responsibility of the villagers themselves, for starting problem-solving activities. This means, for example, that IFSP expects a clear local commitment, including financial and labour contributions from the villagers for the implementation of community projects.

Objectives



- To learn about major problems of the village community.
- To identify the core problems of the community.
- To trace the cause-effect relationship of the core problem.
- To facilitate the identification of solutions to the problem.

Activities



(1) First identify all problems through semi-structured interviews, guided dialogues and direct observation and make a list of all the problems on cards so that each participant can follow every thing easily. At first make a note of any problem that comes up without commenting on it. At the end, reconfirm whether all problems have been listed or not.

(2) In a second step, discuss with villagers and analyse the different problems:

- Which problems are interconnected and can be summarised in one group?
- Which problems can be solved by the villagers themselves?
- Which problems are related to food security?

(3) Facilitate the ranking of the remaining problems which could not be solved and which are related to food and nutritional security, so as to identify the major core problems:

- Prepare a matrix, listing below each other all the remaining problems and draw two columns, one for men and one for women.

Activities



- (You might also want to add one for youth or old people)
- Hand out the same amount of tokens (e.g. stones, seeds) to each person and ask them to allot the tokens in a way that illustrates their most pressing problems. People are allowed to allot more than one item to one problem.
 - Ask men and women to place the tokens separately. Ask women and poor, shy villagers to vote first. Village leaders should vote last so as not to influence the others.
 - ❖ *By handing over tokens for ranking to different individuals a more balanced participation can be achieved, and in group discussions especially the more reserved persons (e.g., younger people, women) will be able to express themselves directly.*
 - As a basic rule, it is best to distribute approximately half the number of seeds compared to the number of problems identified, e.g. for ranking of 10 problems, you might give 5 seeds to each person (for 5 problems, take 3 seeds and so on).
 - Count the tokens and write down the number allotted to each of the problems, on a sheet.
 - *Gender:* When the preferences of men and women are significantly different, discuss this issue and then raise the question: Who's priorities actually count? Ensure that women receive adequate room for expressing their views, if necessary encourage them to speak.

Example of a Ranking Matrix:

Activities



- (4) Start a *problem analysis-problem solving* discussion about the core problems, i.e. the problem which was ranked highest:
- Write this problem on a card and place it in the centre. Ask about the causes of the problem and note these down and place them around the core problem.
 - Ask about the effects of the problem. Note them down and place them on the other side of the problem so that you get a flow chart (see below):
-
- Ask about possible solutions for each of the causes and make a note of the identified solutions and place them around the causes of the problem.
 - Discuss the necessary steps and activities required to reach the solutions mentioned.
 - Discuss the various advantages, disadvantages, risks and costs associated with specific proposals. What are the local resources available and what are the constraints?
 - Discuss and define the contribution and activities of the villagers for solving the problem and their role and responsibility during implementation
 - Sustainability: Discuss the future operation and maintenance of infrastructure assets. Who will be responsible? How can local contributions be made available?
 - Keep expectations about the scope of financial and technical support from the IFSP realistic, considering the budget of the IFSP (see below). Screen projects according to their suitability and feasibility and discuss this issue with the villagers.

**Actors/Res-
ponsibilities**

- PNA team
- village community

Time

About two hours (depending on the number of people and proposals).

**Suggestions/
Comments*****Problem ranking:***

- *This tool requires some cross-checking and probing, especially if the ranking is done consecutively by a series of people, and a powerful or influential person was the first to start. It is therefore important to ask women and poor and neglected villagers to vote first! There is a risk that the rest of the group would simply repeat parrot-fashion a previously made choice. When you come across this type of problem, you might consider a secret vote so as to give everybody the possibility of expressing his or her opinion without being put under pressure. But be cautious and try to avoid conflicts.*

Budget range determined by the IFSP Management:

- *the IFSP supplies guidelines for the overall budget for community projects, set at a fixed rate per family living in the village. The overall budget is then the number of families in the whole village multiplied by the figure stipulated in the budget.*
- *The clearer the PNA team screens and prioritises the project proposals for community projects, the easier it is for the IFSP Management to proceed with the implementation. Thus it is the villagers who screen the projects, and not the IFSP or the government staff.*
- *Avoid shopping lists!*
- *Detailed planning and elaborate cost estimates will be carried out during planning of implementation through the field officers of the service provider in charge.*

E. Institutional Analysis (BENEMATRIX)

Description



The BENEMATRIX is a tool for institutional analysis on village level. The matrix helps to establish the various fields of activities for the different organisations and village-level organisations (CBOs). It also assesses the quality of the services provided, and especially the level of satisfaction of villagers with the work of the different institutions.

Objectives



- to identify fields of activities of GOs, NGOs and CBOs in the village.
- to assess the satisfaction of the villagers with the services provided by each actor.
- to discuss the potential implementation partners for COMMUNITY PROJECTS as well as POVERTY PROJECTS on local and district level.

Activities



- Ask the villagers to list all the NGOs, GOs and CBOs which have been or are still working in the village over the last two or three years.
- Ask about the project activities of each organisation.
- Ask about the satisfaction of villagers with the services: Let the villagers give marks for each of the project carried out by an organisation.
- Ask what they particularly liked or disliked.
- Ask about the organisations with whom they could imagine co-operating when it comes to the implementation of future projects (also specify according to the prioritised project list).

Actors/Responsibilities



- PNA team
- Villagers

Time



About one to two hours (depending on the number of people).

Suggestions/
Comments

- *Use the tool in a flexible way: include NGOs and GOs where appropriate, concentrate on CBOs only when this seems more suitable in the specific context.*
- *Assessing the performance of local institutions might cause conflicts within the context of local village politics. Be especially sensitive when a village appears to be highly politicised. Use the tool with great care, and stop the exercise when you feel too much tension rising among the villagers.*
- *Be careful not to form a discussion group where there are only members or representatives of one specific CBO present. Try to get as many different villagers as possible involved.*

Example of a BENEMATRIX

	Well rehabilitation	Goat rearing	Poultry farming	Home gardening	Toilets	etc.
NGO - a	••				••••	
NGO - b		•		•••		
NGO - c						
GO - x					••	
GO - y						
CBO - i			••			
CBO - ii	•••					
CBO - iii		•••••	•••			

Scoring:

- very poor
- poor
- fair
- good
- excellent

F. SWOT Analysis

Description



SWOT stands for the strengths, weaknesses, opportunities and threats within a local organisation. Strengths and weaknesses focus on internal factors, i.e. how well the organisation is functioning. Opportunities and threats reflect external forces which can influence in a positive or negative way the functioning of the organisation.

The SWOT analysis is an optional tool which can support PNA teams and villagers in their analysis of a CBO, probably the same one which was identified as suitable for project implementation in the institutional analysis (BENEMATRIX).

Objectives



- to identify the strengths and weaknesses of local CBOs and to discuss them with the villagers
- to identify opportunities and threats for local CBOs and to discuss the implications with the villagers
- to analyse the capacity of the CBO for becoming an implementing partner for the IFSP and to carry out community projects

Activities



- explain the purpose of the SWOT analysis
- ask the participants to name the strengths of their organisation and write these down on cards for visualisation.
- proceed similarly with weaknesses, opportunities and threats.
- clearly distinguish between internal factors (strengths and weaknesses) and external factors (opportunities and threats).
- analyse the results and compare to previous activities of the organisation. Ask questions like:
 - What have they tried out already ?
 - What was their experience?
 - Why did it fail or succeed?
 - How can we learn from these experiences? What would they do differently next time?
- discuss any further steps necessary for improving the current situation of the CBO.

Actors/Res-
ponsibilities

- PNA team
- CBO representatives
- CBO members
- Villagers

Time

About one to two hours.

Suggestions/
Comments

- *Use the tool in a **flexible way**: Only do a SWOT analysis, when you feel that there is an organisation that shows promise and is highly appreciated in the village as a potential implementing partner.*
- *Assessing the performance of local institutions might cause **conflicts** within the context of local village politics. Be especially sensitive when a village appears to be highly politicised. Use the tool with great care, and stop the exercise when you feel too much tension rising among the villagers and/or CBO members.*

Example of a SWOT-Matrix:

<p>strengths</p> <ul style="list-style-type: none"> • motivated members 	<p>opportunities</p> <ul style="list-style-type: none"> • many projects implemented through CBOs
<p>weaknesses</p> <ul style="list-style-type: none"> • limited funds • insufficient skills in financial management 	<p>threats</p> <ul style="list-style-type: none"> • conflict situation

G. Identification of Vulnerable Groups

Description



VULNERABLE GROUPS are those people in a village community who

- have limited access to food
- have limited access to resources (land, water etc.)
- have a low and unstable (fluctuating) income
- lack a forum to voice their opinions or needs

These people are vulnerable in the sense that they are especially prone and susceptible to, or endangered by any short-term shock or long-term deterioration of their socio-economic or environmental conditions. They are the early victims of natural disasters, such as drought or floods. They also represent those groups who are the first to be affected by negative long-term trends such as sharp rises in prices for agricultural inputs etc. On such occasions, these groups cannot satisfy their daily needs as regards food and nutritional security. Typically, vulnerable social groups consist of widows and households headed by women, landless labourers, small-scale tenant farmers, small-scale fishermen etc.

The IFSP especially aims to address groups like these in a village. The identification of vulnerable groups is therefore a key issue of PNA. Only when these groups are addressed separately from the community, they are likely to build up sufficient trust to feel free to raise their problems.

Objectives



- To identify conflict-affected, food endangered groups – i.e. the so-called **VULNERABLE GROUPS**

Activities



(a) **PRE-SELECTION: Meeting with village leaders, CBO**

representatives and the G.S. & S.A.A. (resource group):

- Explain clearly the purpose of the selection of vulnerable groups: with its limited funds, IFSP wants to support the poorest in the village who are most in need of support.
- Introduce the criteria for *Poverty Line*, to be used as a guide for household selection

- Identify specific vulnerable groups in the village (e.g. widows & women headed households; landless farmers) in discussion with the resource group
- Select the names of the villagers who belong to the vulnerable groups
- Cross-check with the criteria of the Poverty Line
- Prepare visualisation of the identified vulnerable groups for village discussion

(b) Village meeting

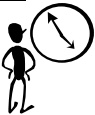
- Explain the purpose of identifying vulnerable groups
- Explain the difference between community projects and poverty projects (nobody is excluded from the community projects!)
- Introduce the selected vulnerable groups and settle disagreements
- Each PNA team member will be responsible for one sub-group. Meet with the sub-group, get to know them and talk about how the village workshop will proceed; arrange a meeting for the next day.

Actors/Responsibilities



- PNA team
- Village representatives
- GS/ GN and SA

Time



The identification of vulnerable groups takes place flexibly on the first and/or second of the PNA village workshop: First, the team meets the village representatives, then the village meeting takes place.

Suggestions/Comments



- *Identification of vulnerable groups is a sensitive issue. Many villagers might not belong to vulnerable groups, but will try to get into the groups to benefit from the project offers.*
- *Use the expertise of the social mobiliser and analyse the data available from the Samurdhi Animator as a cross-check.*
- *Try to identify reliable resource persons in the village.*

➤ *Criteria for Poverty Line.*

The villagers in question fulfil at least three of the following criteria:

- *no ownership of arable land/no fishing equipment (in fishing villages)*
- *poor living conditions (temporary shelter, hut, poor sanitation facilities, difficult access to water, etc.)*
- *low and unstable income (1000-1500 Rp. per month). Be careful when dealing with food stamp recipients because beneficiaries might not be all that poor!*
- *too many children, especially daughters (Tamils and Muslims due to cultural reasons)*
- *no regular meals due to poverty*
- *no transport available in the household (i.e. no bicycle)*

H. Problem Analysis with Vulnerable Groups

Description



Problem analysis with specifically vulnerable groups such as widows, landless labourers etc. provides the basis for further activities in income generation and strengthening of self-help capacities (social mobilisation). Working in small groups provides opportunities for dealing with the specific problems of vulnerable people and for intensive discussion of their potential. Out of the problem analysis, first approaches for solving these problems will crystallise, essentially with the focus on income generation.

Problem analysis conducted with vulnerable people is an important part of social mobilisation designed to support vulnerable groups after PNA, so that poverty projects can be conducted in a sustainable way.

Objectives



- To learn about the main problems of these groups which are specifically vulnerable.
- To identify their core problems.
- To trace the cause-effect relationship of the core problems and
- To make vulnerable people more aware about their situation and about the potential for overcoming them.
- To facilitate the identification of solutions to the problems

Activities



(1) First form sub-groups according to social criteria, bringing together people with a similar background. Sub-groups might be for example, widows, landless labourers etc.

Assemble these groups and explain the purpose of the problem analysis to them, and their role in the whole process (local involvement, group approach, social mobilisation).

(2) Start a *problem analysis-problem solving* discussion about the core problems:

- Ask the vulnerable people about their most pressing problems. Write these down on cards and place them in the middle for everyone to see.

→ discuss local contribution

(3) Solutions related to health and sanitation: no further discussion in PNA, but will be transferred to the health team of IFSP and the Department of Health (DOH)

(4) Solutions related to other small-scale enterprises which are not yet IFSP package: no further discussion in PNA, but further follow-up by IFSP. The activity might become a future package of IFSP.

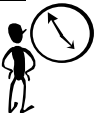
- Guide the villagers in analysing the potentials and resources in their household and family so that they can identify a suitable poverty project which will best suit their respective situation.

Actors/Responsibilities



- PNA team
- the village community is responsible for community projects and the sub-groups for poverty projects

Time



About two hours (depending on the number of people and proposals).

Suggestions/ Packages for poverty projects by service providers

Comments



- *Service providers prepare packages for IFSP supported poverty projects (category 2). Use the respective package descriptions as background information for discussing household project feasibility (see the annex).*
- *Keep expectations about the scope of financial and technical support from the IFSP realistic. Guide the villagers in identifying poverty projects which are feasible in terms of their specific potential and resources.*

I. Formation of ACTION GROUPS

Description



Action Groups are formed with those vulnerable people who are interested in the same kind of income-generating activities, e.g. home gardening or chicken farming. The Action Groups help themselves to organise, exchange ideas and to address villagers.

The PNA team facilitates the formation of this informal group, since vulnerable people often have no voice in the established CBOs. Action Group formation is thus the first step in social mobilisation and the empowerment of vulnerable groups.

Objectives



- to establish informal groups for contacting service providers
- to empower vulnerable people to strengthen their self-help abilities
- to form the foundation for a social mobilisation process

Activities



- gather all vulnerable groups (potential beneficiaries) and identify those interested in the same kind of project (e.g. home gardening)
- screen projects: leave out projects with just a small number of interested people (group minimum: 8-10 interested people)
- form an ACTION GROUP for each project type and assemble all interested vulnerable groups
- appoint a PNA facilitator for each group who will then guide the group through the discussion process
- become familiar with the ACTION GROUP and prepare an individual follow-up meeting per sub-group (timing, place etc.)
- Introduce the divisional staff who are present as well as the social mobiliser to the vulnerable group

In sub-groups, individually:

- organise a meeting with your sub-groups. Choose a time and place which is comfortable for the group.
- discuss about the feasibility of the project: what are advantages, disadvantages, risks of the specific income-generating activity?

- discuss about the role of local people in implementation (local contribution, group formation)
- do a small SWOT analysis (see Tool F):
 - what are the strengths of our Action Group?
 - what are the weaknesses of our Action Group?
 - how can we overcome our weaknesses?
 - what precaution can we take for the threats?
 - how can we use our strengths and opportunities?
- facilitate the selection of a contact person who will be responsible to co-ordinate meetings etc.
- introduce the Action Group to and familiarise with field staff of relevant service providers if possible.
- establish first agreements for activities, meetings etc.

Actors/Responsibilities



- PNA team
- Vulnerable people
- Field staff of divisional level
- Social mobiliser

Time



flexible (up to half a day)

Suggestions/Comments



- *Action Groups should not become too big. If the number of people interested in a particular poverty project exceeds a reasonable number, you should consider to form more than one Action Group for this activity.*
- *The concept for SOCIAL MOBILISATION is still in the process of being conceptualised. Please refer to the upcoming material.*

Step 6: Report Writing

Description



The PNA report documents the process and the results of the village workshop. It serves as the foundation for screening project proposals and for further project planning. The report is an important link between the PNA phase and the planning and implementation phase.

Objectives



- to provide brief and concise documentation of the PNA village workshop
- to provide relevant information for facilitating the screening of project proposals

Activities



- Discuss in the PNA team about the structure of the report (follow the checklist for the report structure given below)
- Divide into sub-groups for writing specific parts of the report
- Assemble all the parts and check whether the report is consistent
- Submit the report to the IFSP project office

Actors/Responsibilities



- ◆ PNA team

Time



2-3 days

Suggestions/Comments

A supplement to Step 6 provides a checklist for the report structure. Please follow this structure closely:

- *limit yourself to the facts which are actually requested in the respective chapter.*
- *express the main points without going into too much detail.*

II. Problems / Needs (Community)

- list of problems identified
- results of problem ranking (gender!)
- classification of problems (I FSP- non-I FSP)
- results of problem analysis
- identified solutions
- agreed community projects (project proposal sheet)

add a short description of the process: difficulties, unforeseen events etc., co-operation of communities

III. Problems / Needs (Vulnerable groups)

- Vulnerable groups identified (groups, names)
- results of problem analysis
- poverty projects identified – I FSP (list projects and names on project proposal sheet)
- poverty projects identified – non-I FSP (List project and names) – no details.

add a short description of the process: difficulties, unforeseen events etc. co-operation of villagers

suggested number of pages: ca. 10 (Part II and III)

IV. Institutional Analysis

- activities of GOs, NGOs, CBOs, (past, present, experience)
- result of the Benematrix
- preferences of villagers for service providers for community and poverty projects

suggested number of pages: ca. 3

Annex

- village data sheet
 - resource map
 - transect
- other tools applied

Selected References:

- BAUER, E.; BALKAROV, B.; COLLENBERG, D.; KIRSCH, R.; SÜSSER, U.; STEINBRECHER, S.; WEIDNER, S. (1996): Qualitative Impact Monitoring of Agricultural Structural Adjustment in Jordan. An Approach based on Rapid Rural Appraisal, (*Publication Series by the Centre for Advanced Training in Agricultural and Rural Development*, No. S 173), Berlin.
- BAUER, E.; BIGDON, C.; ENGEL, A.; HA, N. G.; KORF, B.; SCHÄFER, K.; TERZIOGLU, E. (1999): Food Security and Conflict – A Participatory Development Concept for the Integrated Food Security Programme Trincomalee, Sri Lanka, (*Publication Series by the Centre for Advanced Training in Agricultural and Rural Development*, No. S 183), Berlin.
- BERG, C.; BECK, C.; BECKMANN, G.; ERKO ARGANEA, C.; FLEG, A.-K.; KUHLMANN, M.; PANDER, H. (1997b): Introduction of A Participatory and Integrated Development Process (PIDEP) in Kalomo District, Zambia, Vol. II: Manual for Trainers and Users of PIDEP (*Publication Series of the Centre of Advanced Training in Agricultural and Rural Development (CATAD)*, No. S 176), Berlin.
- BIGDON, C.; ENGEL, A. (2000): A Social Mobilisation Concept for the Integrated Food Security Programme, Trincomalee, Consultancy Report, Bombay/Berlin/Trincomalee.
- SCHÖNHUTH, M.; KIEVELITZ, U. (1993): Participatory Learning Approaches. Rapid Rural Appraisal, Participatory Appraisal, (*Schriftenreihe der GTZ* No. 248), Roßdorf.

This PRA/PNA literature is available at the library of the IFSP office.

Annex: Frame Conditions of Project Packages

Description A project package is



- a **user-friendly documentation** of the frame for priority village projects supported by I FSP. The frame consists of the definition of responsibilities of all actors involved as well as the internal and external socio-economic factors influencing implementation.
- a **guideline for PNA teams** for the identification of priority projects during village workshops and for discussion in action groups
- a **guideline for service providers** to elaborate concise project plans.

Objectives



- to provide a brief and concise documentation of I FSP supported village projects
- to enable PNA teams to discuss frame conditions of proposed projects with the action groups (Step 5: Tool I)
- to guide service providers in the formulation of sound project plans

**Budget
Ceilings**



A budget ceiling defines the amount of money I FSP is ready to allocate per village. The budget ceiling depends on the size of the village (number of families) and the affectedness (conflict and food deficiency):

- (a) Poverty projects: 10.000 Rs. per vulnerable family
- (b) Community projects:
 - village in poverty group 5: 10.000 Rs. per family
 - village in poverty group 4: 5.000 Rs. per family

The maximum allocated budget for community projects can then easily be calculated:

Number of families * budget ceiling (above) = allocated budget

Local Contribution



When villagers contribute labour, material and/or cash to the implementation of their project, they will take on ownership for it and will maintain the created assets much more carefully.

IFSP management expects at least the following percentage of local contribution on the overall costs of the project.

- ◆ Poverty projects: 25% of total costs
- ◆ Community projects: 20% of total costs
- ◆ Water and sanitation projects (toilets): 25% of total costs

Hints/ Comments



➤ *A list of those project packages which have been developed or are in the stage of being developed are listed in the supplement to this annex*

➤ *Besides the community and poverty projects, there are cross-sectional programmes for health and nutrition awareness. These programmes are the entry-point for the mobilisation of villagers after PNA has been carried out in the village.*

*Health aspects are discussed during PNA to a limited extent whenever this problem is mentioned by the villagers. The problem discussion should also be mentioned in the PNA report. However, project identification will be the **task of the special IFSP health team.***

*IFSP and service providers offer an **integrated programme** which covers aspects of **health and hygiene**, as well as **nutrition awareness**. In a second stage of implementation, **toilets** can be provided to selected vulnerable households in villages with a particular health and sanitation hazards. Beneficiaries will be identified by the health team in collaboration with social mobiliser.*

Supplement to the Annex:

TYPOLOGY OF VILLAGE PROJECTS

1. Projects identified during the PNA village workshop:

(a) Community Projects (identified during PNA)

- Rehabilitation of minor tanks
- Improvement of irrigation facilities (including drainage)
- Rehabilitation of rural roads (including drainage)
- Pre-school buildings (repairs or semi-permanent structure)
- Community buildings (repair or semi-permanent structure)
- Provision of common drinking water (wells, pipes from tanks, standposts)

(b) Poverty Projects for vulnerable households (identified during PNA)

- Goat rearing - including the training of village extension workers
- Backyard poultry farming
- Vegetable production (group project)
- Fisheries (inland and marine fisheries, except bigger investments)
- Small industries (brick making, food processing, sewing, trade)

2. Projects and cross-sectional programmes to complement the PNA village projects

(c) Water and sanitation projects (identified by IFSP health team):

- Provision of common drinking water well (see community project)
- Toilets for schools (community projects)
- Toilets for vulnerable households

(d) Special projects (identified by social mobiliser in co-operation with service provider)

- Seed paddy production (for selected farmers in a division)
- Small seed nurseries (fruit trees, vegetable)

(e) Cross-sectional programmes (follow-up awareness programme after PNA village workshop):

- Health awareness programme and community action plan
 - Purified water – safe drinking water
 - Personal hygiene and waste management
 - Deworming
 - Garbage and waste disposal ('Keep village clean')
- Nutrition awareness programme
 - Training and supervision of primary and pre-school teachers
 - Training and supervision of community health workers
 - Awareness programme and community action plan on nutrition aspects
 - Mid-day meals for school children
- Home gardening promotion programme
 - 55 School gardens programme
 - Village extension programme for home gardens