FACILITATOR'S HANDBOOK

Volume 1

Yik mi tic pa lwak.

Lotomore na kita ku kumoseka kugele.

Community Action Programme

CAP WEST NILE

Otuta azi ngazu obibe yetasi.

Lemu lakidri ebu edejo aluri.

Prepared by
John De Coninck
1994.

CONTENTS OF VOLUME 1.

PART 1: THE SETTING.

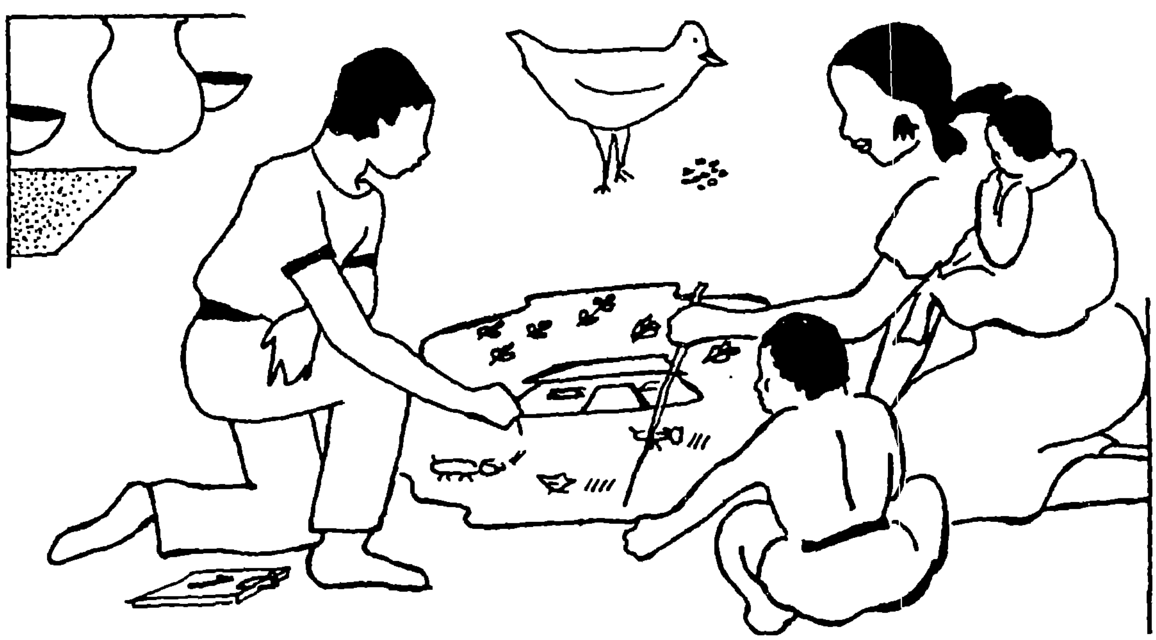
1.1. About this handbook.

This handbook has been prepared for CAP facilitators as a quick-reference guide to help them perform their day-to-day activities as efficiently as possible in the context of the "CAP approach".

While this document is based on the syllabus used for the initial facilitators' training in Arua, this version is condensed and re-arranged to suit the expected demands of field work. The examples used are drawn from the facilitators' own fieldwork during this initial course in West Nile.

The handbook is divided into 5 main parts, starting with background information on CAP and the role of facilitators, PRA and communications skills (Part 2) the collection of information (Part 3), problem identification (Part 4), and programme implementation and working with groups (Part 5). A final part, dealing with monitoring and evaluation, can be found in Volume 2. However, it is expected that, as CAP develops its policies and gains experience, parts of this handbook will be amended and expanded upon.

This document has been compiled for CAP West Nile by John De Coninck on behalf of CDRN, the Community Development Resource Network. Illustrations are by Patricia Khayongo.



1.2. CAP: objectives and policies.

The Community Action Programme (CAP) started its activities in West Nile in 1993 with two main objectives:

1. to increase the capacity of local communities to deal with their own problems by becoming as self-reliant as possible (this is often described as "capacity-building") and

2. to provide material assistance to local communities wanting to initiate development activities (such as improving local social infrastructure, starting a training activity or an income-generating project).

To reach these two objectives, CAP attempts to follow 4 basic principles:

Four basic CAP principles.

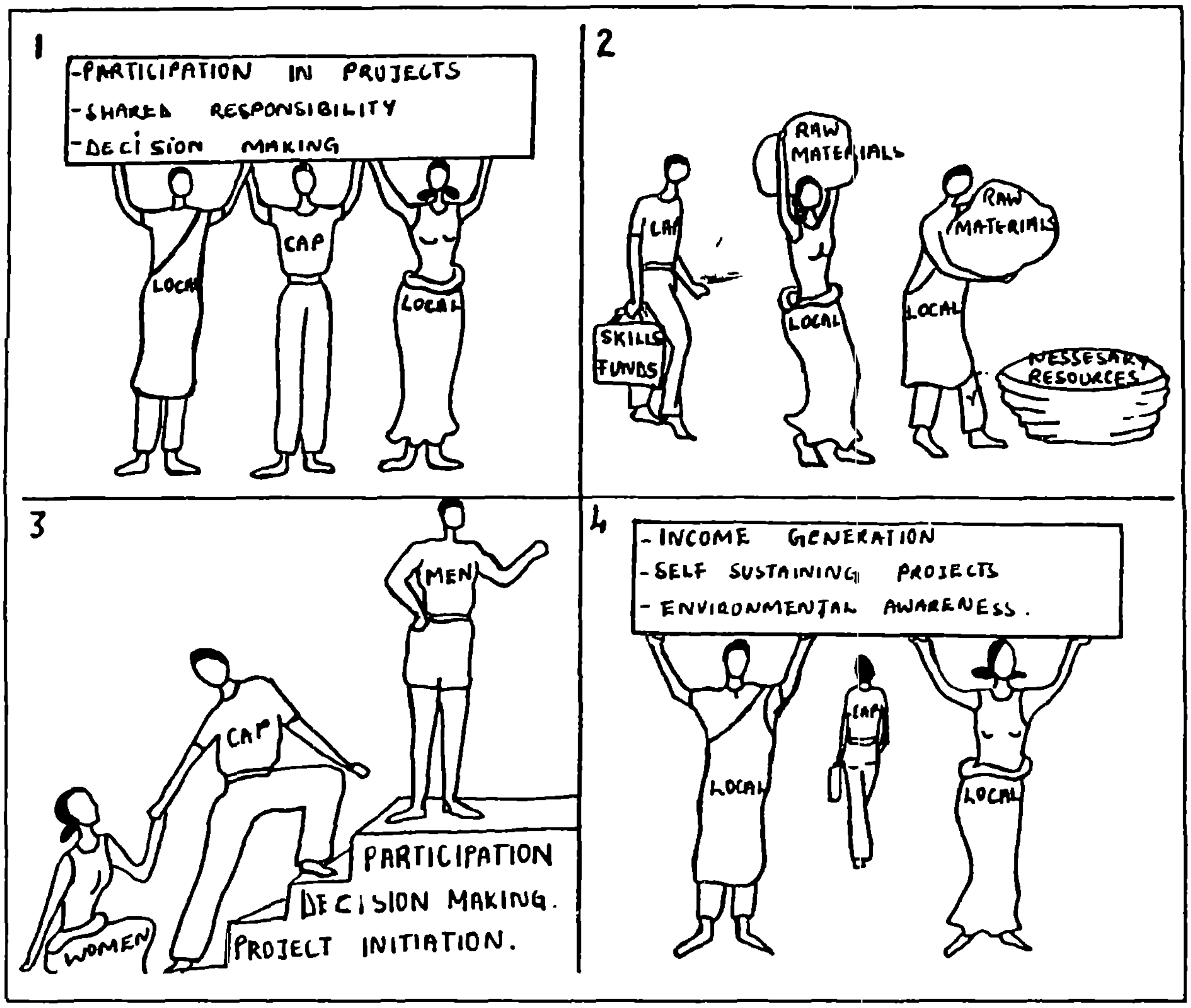
1. To follow a **participatory approach** where as many of the decisions are made by local communities themselves (not CAP) on the basis of shared responsibility. In other words, a "bottom-up" rather than a "top-down" approach.

2. To complement (and not substitute for) community resources where necessary. In other words, **CAP may "top-up" community resources** with CAP materials, skills or funds where this is necessary. A large share of the necessary resources must however be provided by the local community or group.

3. To be **gender-sensitive**. Women are normally disadvantaged compared to men in our society: CAP must recognize this imbalance and ensure that it supports initiatives which, whenever possible, will reduce such inequality.

4. To ensure that activities are **sustainable** (they will last after CAP support has ended): in particular, only those activities that do **not damage the environment** will be supported.

CAP is jointly implemented by the Prime Minister's Office and a Dutch organisation, SNV. It is financed by the Dutch Government and is linked to the Northern Uganda Reconstruction Programme financed by the World Bank.



Four basic CAP principles

1.3. Programme structures.

To carry out its activities, CAP works with local communities throughout West Nile. However, to do this, it has been necessary to develop structures with specific roles to play in implementing the programme. These are mainly:

1. Community Facilitators.

2. Sub-county and district Steering Committees.

3. Field Officers and district offices.

At the sub-county level, communities (with the help of CAP) have selected 1 woman and 1 man to be trained by CAP as facilitators. Their tasks are reviewed on the next page.

A committee has also been formed in each sub-county. The main tasks of the sub-county Sub-Committee (on which facilitators sit as secretaries) are:

Main tasks of sub-county sub-committees.

1. To participate in the selection of priority areas for CAP support in their sub-county.

2. To assess proposals for micro-projects and to recommend approval to the District steering sub-committee.

3. To monitor the progress of the programme in their sub-county.

4. To ensure that the local population is adequately informed about CAP's policies, plans and procedures.

Other structures have been put in place to support activities at the community level and therefore to support us (as facilitators) and our respective sub-county committee.

The most direct form of support comes from our district CAP office. This is where most CAP staff are based, in particular the Field Officers whose main task is to help our work by offering technical advice whenever necessary, by monitoring project progress (especially the provision of CAP inputs) and by following up our performance.

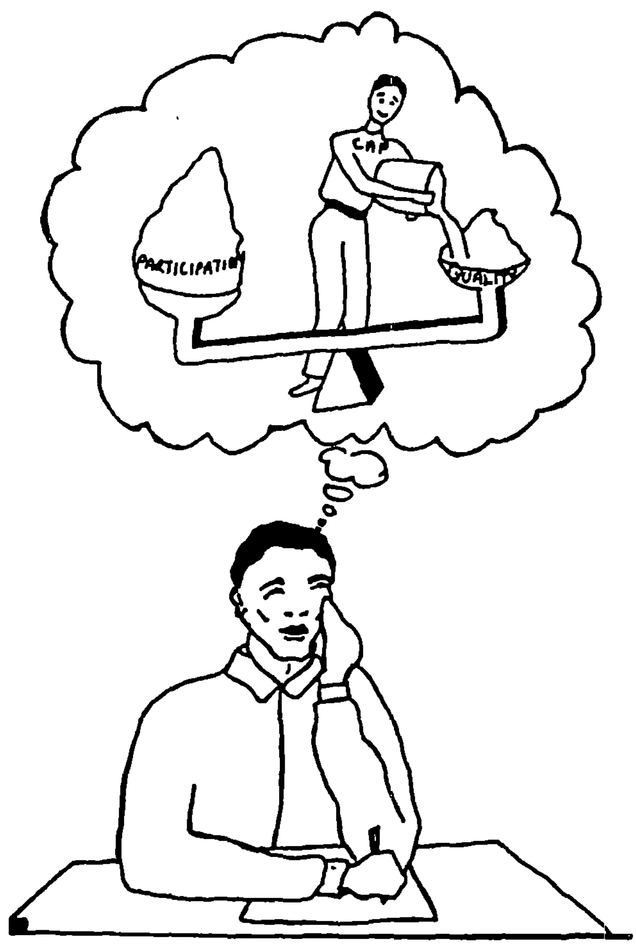
1.4. The roles of the CAP facilitators.

Besides the local communities, facilitators are the key to a successful implementation of CAP. This is because they are both the **ambassadors** of their respective communities (representing their interests and preoccupations) as well as their **facilitators** (helping them to analyse their situation, problems and possible solutions to enhance their self-reliance).

To be a good facilitator is a difficult task which has to be learnt through experience. Perhaps the most challenging is to strike the right balance between:

- **promoting broad and active participation** (by being non-directive, avoiding being rude or behaving as an "expert" and making sure those with the weakest voice are allowed to have their word and influence decisions) and

- **encouraging a better understanding and analysis** of situations, problems and opportunities by constantly probing, going below the surface of things.



If we can manage this balancing act, then we have achieved the most difficult part of our work. We can then feel confident that we will successfully enable our partners to think, act, reflect and trust their own ideas and capacities!

Facilitators are selected by their communities at sub-county level and, while they receive an allowance and other forms of support (such as a bicycle) from the programme, they are not CAP employees.

Our main tasks and responsibilities as CAP facilitators are as follows:

<u>Facilitators' main tasks and responsibilities.</u>

1. To **inform** local communities and groups about CAP.

2. To **promote** the emergence and strengthening of community organisations able to address their problems.

3. To **assist** communities in analysing their situation and their problems, in finding solutions to their problems or other opportunities and in prioritizing possible activities.

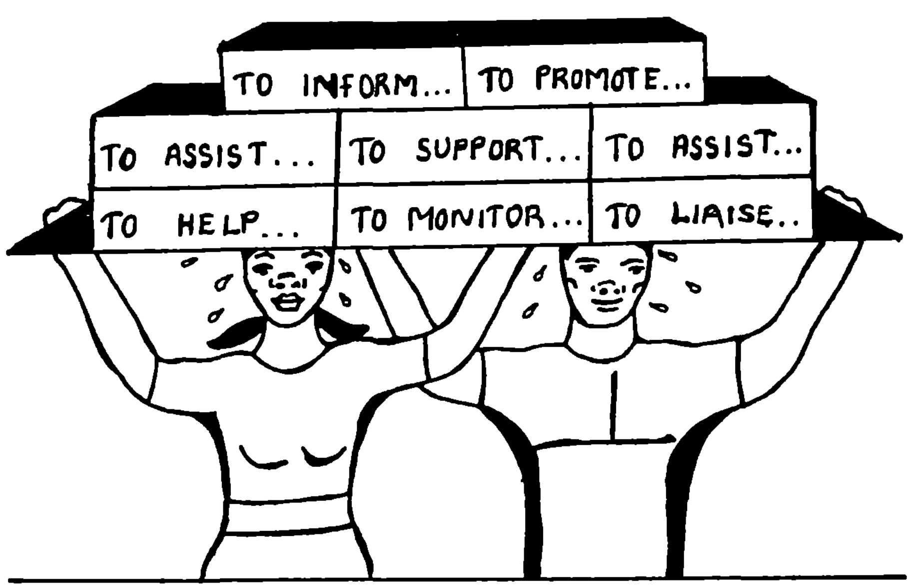
4. To **support** communities and groups in preparing project proposals.

5. To **assist** communities and community groups implement, monitor and evaluate their activities.

6. To **help** local communities establish links with other groups and with institutions which may be able to support them.

7. To **monitor** group performance and activities and report back to CAP.

8. To **liaise** with CAP field officers and take part in meetings of the CAP sub-county steering committees (as Secretary).



PART 2: PRA AND COMMUNICATIONS SKILLS.

2.1. Communications and facilitating skills.

To fulfil our tasks as facilitators, the key is to improve on our communications skills. Poor communications skills will make our work extremely difficult: the quality of the information given by our partners will be suspect, hence the wrong activities will be promoted and our partners will loose confidence in us. In the end, we will be perceived as an imposition on the local community and partners will be glad to see our backs!

Improving on our communications skills is **difficult** and **time-consuming**. Very few people are born good communicators so we need to exercise ourselves and to ask our colleagues how we can improve. Our sub-county co-facilitator (and our local partners) should often be asked to comment on our performance as a communicator.

Communications is both verbal (through words) and non-verbal (through "body language").

A. Body language: this refers to the ways in which we behave (and speak), the messages given by our bodies when we interact with others. Surprisingly, good body language is often much more important in ensuring "successful" communication than what we actually say!

If you compare the next two drawings, you will see what is meant by poor and good body language:

Poor Body Language

In the first drawing, the facilitator is making communication difficult because of his body language: he sits on a chair when the others are sitting on the ground (and therefore establishes a relationship of authority rather than equality), he shows disrespect (through his manners), and he frightens people with his large record book and his very smart clothes!

To improve on our body language, let us show respect and interest for our partners. By sitting at the same level as them and forming a circle, it is easier to establish a relationship of equality and trust with them.

Good body language

B. Verbal communication: what we say and the manner in which we say it can obviously hamper or facilitate communication. Giving orders (which usually leads to resentment by our partners, even if it is not openly expressed), threatening (showing that **we** as facilitators have power and that others are not important), moralising (in other words condemning our partners!), criticising (or ridiculing other peoples' feelings) and giving advice (another way of saying "I know better than you!) are all communications blocks.

5 Communication blocks

1. giving orders.
2. threatening.
3. moralising.
4. criticising.
5. advising.

On the other hand, there are communication aids which will help us create a climate of confidence with our partners: **passive listening** (letting our partners talk and communicating our interest in what they say), **acknowledgements** (such as saying "aha", "I see", etc. to show that we understand), **"door openers"** (saying "tell me about it", "this is very interesting"...), active listening (by giving our reaction by saying "this seems very difficult for you", "you look happy", etc.) and **paraphrasing** (repeating what has been said by using other words to show we have understood).

5 Communication aids

1. passive listening.
2. acknowledgements.
3. door openers.
4. active listening.
5. paraphrasing.

C. The use of diagrams, symbols and other drawings: PRA techniques involve the use of lots of drawings. This is because diagrams and other types of drawings are excellent communications aids and because they help in eliciting the participation of people in discussions, even if they are illiterate or even if they are shy!

Diagrams are usually made by our respondents using locally available resources (such as stones, sticks, leaves, etc.) rather than paper. Then everyone can see what is happening, there is plenty of discussion and people can make their own analysis: much better than writing everything in a notebook!

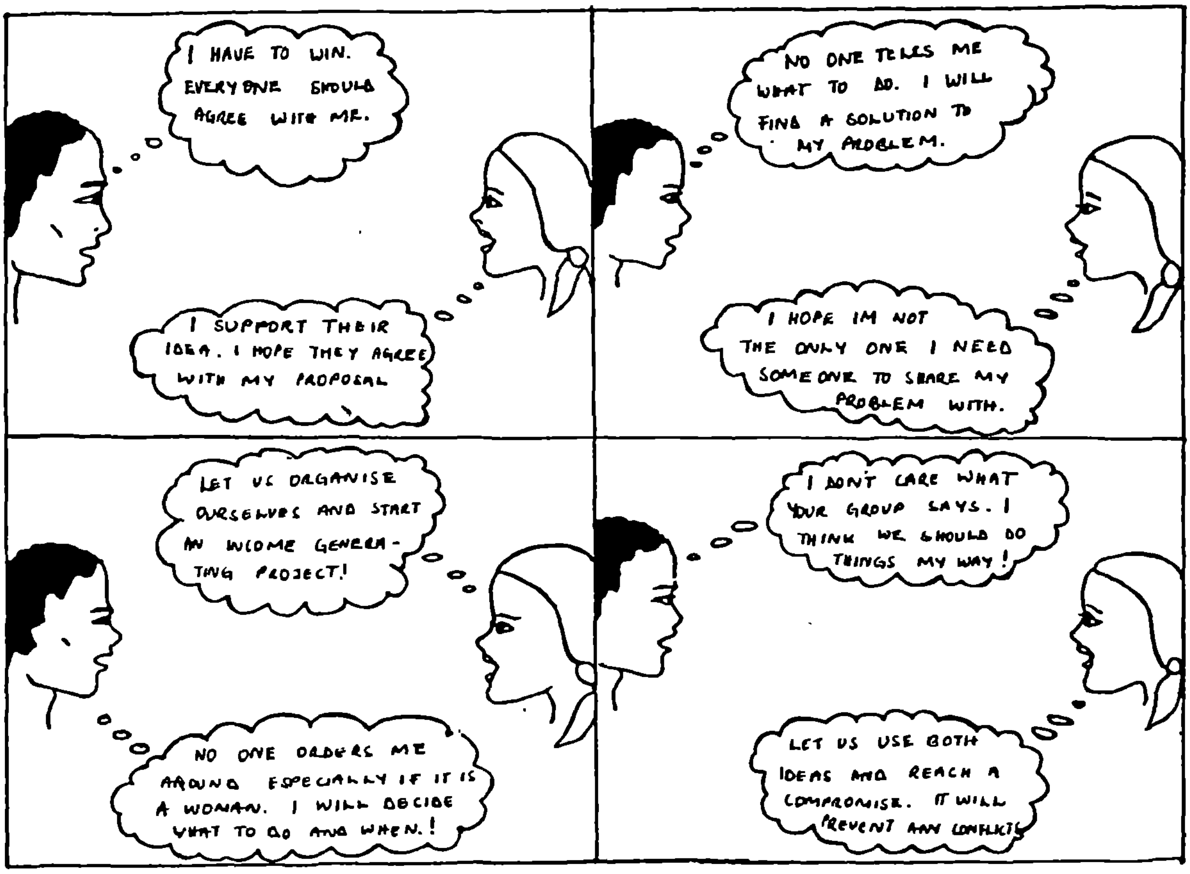
If we interview diagrams rather than the people drawing them (as shown in the next drawing), communications will be much easier, people will not feel threatened and they will freely participate.

Interviewing diagrams

D. Working with men and women. Men and women communicate differently. Here are some of the main differences which you may have noticed:

How do men and women talk?	
1.	**Status or support:** men often turn talking into a competition which they try and win. Women often talk to find (or give) support, rather than compete.
2.	**Independence or consultation:** men often do not like to discuss how they reach decisions with others because they like feeling independent. Women, on the other hand, often explain their problems to others to feel they are not alone facing them. When men share their problems, it is often to find solutions, rather than to seek support.
3.	**Orders or proposals:** women can present their ideas by saying "let's do this or that". This is meant as a suggestion, but men might often see it as an order!
4.	**Conflict or compromise:** women often try to avoid conflicts by promoting compromises. Men, on the other hand, prefer expressing themselves clearly, even if this may lead to conflict.

It is useful to be aware of some of these differences in our contacts with men and women: the way men (or women) communicate is no better or worse, but these differences may lead to misunderstandings. Suggestions made in this section may help us improve communication between men and women.



<u>D. In conclusion</u>, we should use our communications skills to **fulfil partners' needs and to motivate them**, not as a means to manipulate or to impose our own ideas or power!

2.2. PRA and the CAP approach.

PRA (Participatory Rural Appraisal) techniques have been developing in the last 10 years or so to help "development workers" better understand local situations and plan solutions to problems with their local partners.

As its name indicates, PRA techniques put a lot of emphasis on participation, recognising that the failure of projects is often due to the fact that the "beneficiaries" of these projects have not been genuinely involved in their identification and their planning. And, if people do not consider an activity or a project to be "theirs", then they have no incentive to ensure its sustainability.

PRA techniques are increasingly used to examine problems or issues, to determine local needs, to analyse the feasibility of certain actions or programmes, to set priorities and to follow-up, monitor and evaluate particular projects: all these are done **jointly** with local partners.

> Participatory rural appraisal is a collective **learning process** with partners, using a series of flexible and participatory techniques to analyse a situation (or a problem) and to plan activities in a systematic and intensive fashion.

PRA techniques are thus well suited to the CAP approach: we can see that they share a very similar philosophy.

2.3. PRA: General principles.

PRA: Eight basic principles.

1. **Learn** from our local partners and **involve** them in all stages of the process; **value** their knowledge and skills.

2. **Know what we don't need to know**: an excess of detail is often a waste of time and hides the important issues. Qualitative information is often more useful than elaborate statistics obtained through time-consuming questionnaires.

3. **Know and deliberately counter our bias**: the least articulate people, for instance, (often women) may have the most to contribute; the more remote regions may have the most pressing problems, etc. So let us listen and take our time.

4. **Favour cross-checking**: by cross-checking (asking different respondents about a particular topic, for instance, or utilising a succession of PRA tools on the same issue), the quality of our information (and therefore of our work generally) will much improve.

5. **Adopt a multi-disciplinary approach**: our partners' lives are not divided into categories called "agriculture" or "nutrition" or "economics": they are all combined to create their conditions of living. So we should follow this "holistic" way of looking at local society where all problems and solutions are inter-linked.

6. **Learn progressively**: learning and working with people is a gradual process. We learn little by little and slowly build up confidence with our partners. Let us not hesitate to constantly question ourselves, to return to our point of departure, to review our assumptions and admit mistakes in our judgement.

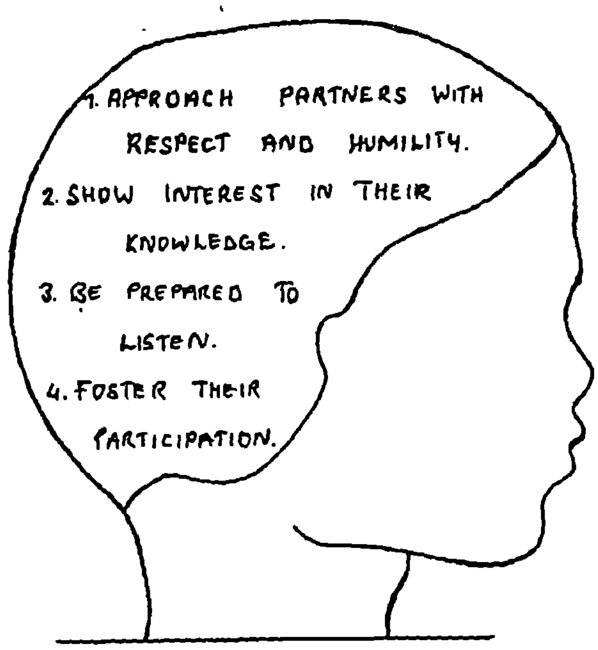
7. **Share information and results with our partners,** in order to enhance their participation. Diagrams, symbols and other drawings are often used to facilitate this sharing.

8. **Link research with action**: the purpose of collecting information is to take action and the two should therefore be integrated from the beginning.

The key to following these principles is in one's attitude and frame of mind. If:

1. we approach our partners with respect and humility.
2. we are interested in their knowledge.
3. we are prepared to listen to them and
4. we foster our partners' participation

then we are well on our way to becoming effective facilitators!



2.4. Interviewing skills.

To identify, plan, implement and evaluate activities or projects that we intend to embark on with local communities, conducting interviews with partners will be all-important. There are many ways in which interviews can be conducted, some good, some not so good:our partners will watch our interviewing skills and if these are not well practised, it will make our subsequent work that much more difficult!

This section looks at interviewing skills and especially at a particular PRA tool known as **semi-structured interviews.** Semi-structured interviews are guided interviews where only a few key questions are prepared in advance and others come up as the discussion progresses: in that way, there are **not** questionnaires. Semi-structured interviews can be held with individual persons, (such as women, older people, youths, etc) or "resource persons" (teachers, agriculturalists, primary health care workers, etc). They can also be held with groups of people, for general community-level information or to discuss a particular topic in depth (a **focus group** discussion).

Guidelines for semi-structured interviews

1. **Prepare yourself**: this is possibly the most important! Define the topic you want to investigate, work out the key 4 or 5 questions you want to ask and who it is you want to interview. If possible bring your sub-county colleague along as a note-taker.

2. **Introduce yourself and the purpose of the meeting**: your informants will want to know why you have come and why you have an interest in the selected topic.

3. **Watch your body language throughout**: be friendly, informal, respectful and try and sit on the ground! Stay calm: there is never any need to become emotional!

4. **Start with general questions/comments:** this will put people at ease. The easiest is to start with something visible that everybody can agree with. Use simple language. Ask only one question at a time.

5. **Mix questions with general discussion**: by introducing variety, you will keep up the interest of your informants. Casual dialogue will ensure good communication.

6. **Use diagrams, symbols and other drawings**: these will help in keeping up interest, in ensuring everybody participates and understands.

7. **Use simple language**: avoid "scientific" words. Ask only one question at a time, avoid leading questions, long or complicated questions, or questions which can be answered with a simple "yes" or "no".

8. **Probe:** this is the most difficult. If an interesting point comes up, try and discover more. Six small words (why, how, who, what, when, where?) will help you to probe: keep them in mind throughout!

9. **Observe:** to make sure that everybody participates (especially women), that the conversation is not dominated by a few individuals. Also make sure that people are not getting restless (a sign they are getting tired): normally, 90 minutes is a maximum for group interviews.

10. **When the interview is over,** thank your informants and give them an opportunity to ask their own questions: this is polite and also will give you valuable clues!

11. **Make full notes after the interview** (unless you have a note-taker). By just writing down the main points you will not slow down or interrupt the conversation.

PREPARE YOURSELF

INTRODUCE YOURSELF AND PURPOSE OF MEETING

WATCH YOUR BODY LANGUAGE

START WITH GENERAL QUESTIONS

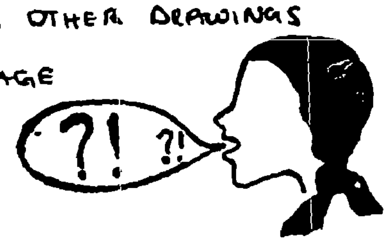
MIX QUESTIONS WITH GENERAL DISCUSSIONS

USE DIAGRAMS, SYMBOLS AND OTHER DRAWINGS

USE SIMPLE LANGUAGE

PROBE

OBSERVE



WHEN THE INTERVIEW IS OVER ......

MAKE THE NOTES AFTER THE INTERVIEW.

A few examples related to interviewing techniques.

1. **Main pre-prepared questions**: if, say, your topic is "past development activities", your main pre-prepared questions might include: what types of development activities previously undertaken, who initiated them, management structure, impact, partners' evaluation.

2. Avoid **close-ended questions**: instead of "Do you have a remedy for cassava mosaic?" (to which the answer is likely to be just "No"), ask "How do you try and combat cassava mosaic?".

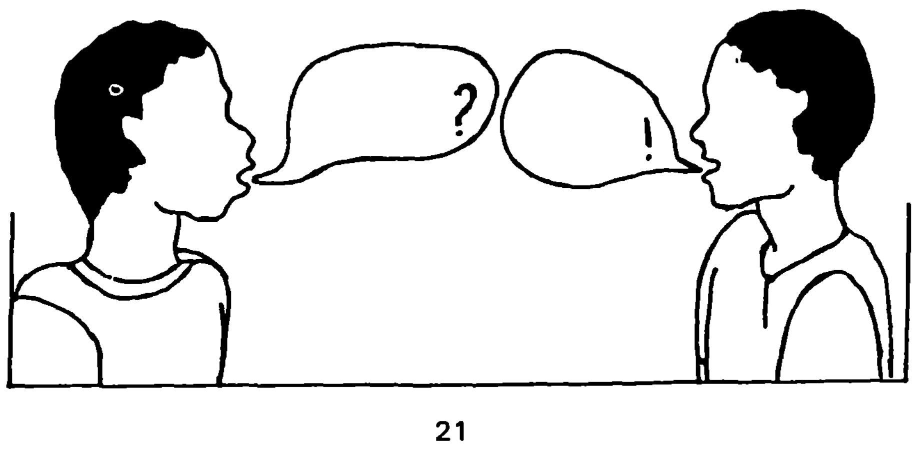
3. Avoid **leading questions**: instead of "Do you think protecting a spring is a good thing?", ask "What do you think about spring protection?". Instead of "Do you plant beans in March?", ask "When do you plant beans?"

4. Avoid **complicated questions**: instead of "What is the local rainfall pattern?", ask "When does it rain here?"

5. Avoid **offending questions**: such as "At what class did you stop going to school?" or "How old are you?". It is often better to probe tactfully if such information is necessary.

6. Do **probe** by asking such questions as: "This is interesting, tell me more.", "Is that so?", "Why has this happened?", "Could you give an example of this?". You could, in addition to the 6 words mentioned above, also ask the same question again in another way.

1. MAIN PRE-PREPARED QUESTIONS.
2. AVOID CLOSE ENDED QUESTIONS.
3. AVOID LEADING QUESTIONS.
4. AVOID COMPLICATED QUESTIONS.
5. AVOID OFFENDING QUESTIONS.
6. PROBE AND RE-PHRASE QUESTIONS.



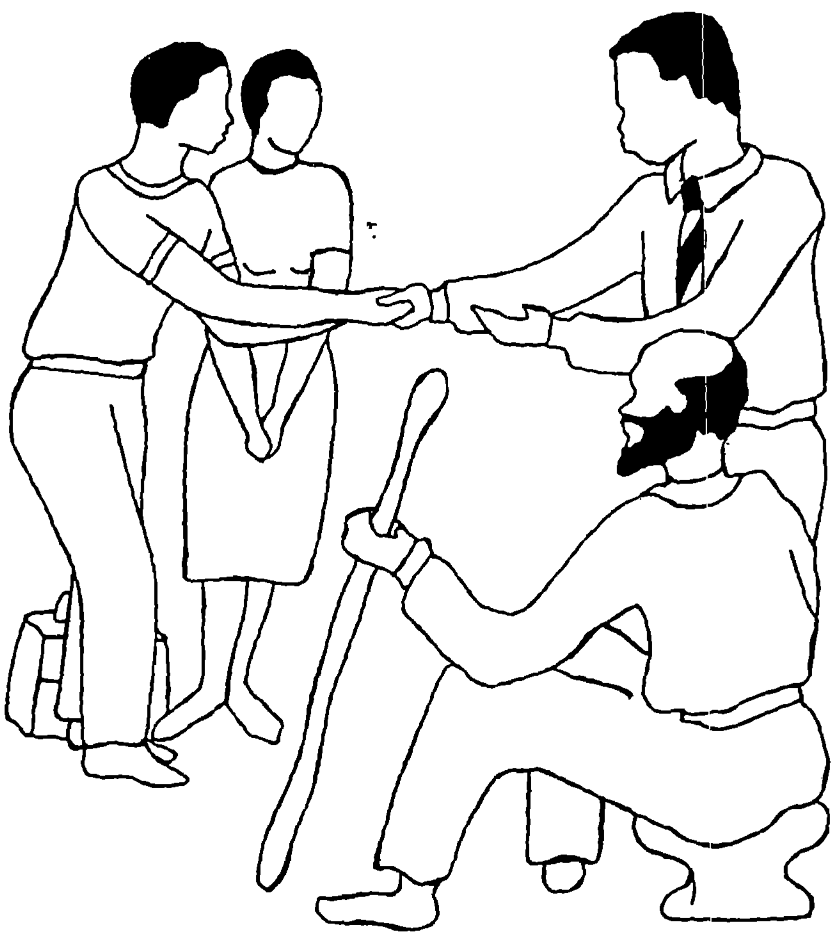
2.5. Working with the local authorities.

Before doing any work with our partner communities, it is necessary to inform and involve local authorities (such as traditional leaders, RC committee officials, etc). The main reason for this is that, without their cooperation, they can undermine all our efforts.

So, before any contact with the local communities, it is advisable to introduce ourselves to local leaders and explain what we are coming to do. It is important that they do not feel excluded or (even worse) their authority undermined by our presence.

At the same time, we must remember that local leaders have their own perception of their society and have interests that may not be the same as those of the rest of their community. So, while their information and opinion is important, we must be careful to realise that **although they may want to represent their society as a whole, in many cases there is a danger that they will represent their own interests only** (and these will normally be those of the men, the less poor and the more articulate) whereas we want to support the less fortunate.

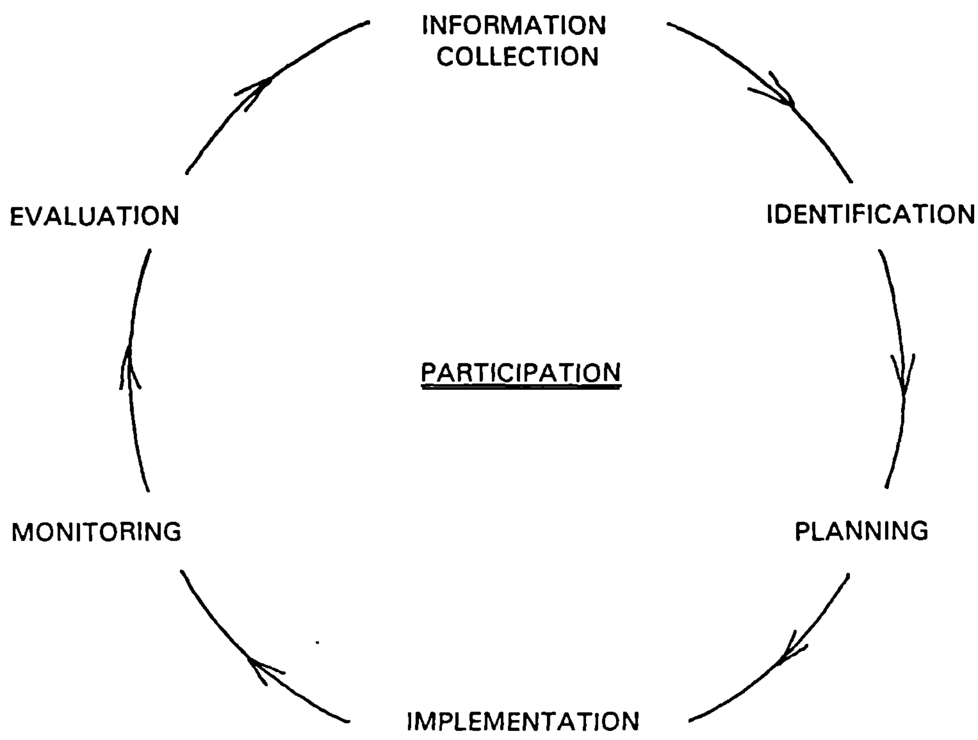
The voice of the ordinary man (and especially the ordinary woman) is therefore at the end of the day as important (if not more important) than that of local leaders: our work methods and plans must recognise this important point.



2.6. CAP, PRA and the programme cycle.

In thinking about and organising our work as CAP facilitators, it is useful to think about an activity (or project) cycle as represented in the box below:

A programme (or activity) cycle.



The stages in the project cycle can be described as:

1. Information collection (sometimes also referred to as needs assessment) allows us to analyse, to understand a particular situation, community, problem, etc.

2. The identification stage leads to the definition of possible actions or activities stemming from the analysis of the situation.

3. Planning allows us to think about "how" a particular activity can be undertaken, by whom, using what resources, at what cost, etc.

4. Implementation describes the actual "doing" of an action or activity.

5. Monitoring refers to the collection and analysis of information regarding progress of a particular activity or project while

6. Evaluation describes a final analysis of the activity, looks at the lessons learnt and

may include recommendations for other future activities.

As we see, all these stages are closely connected and each must be well thought out and implemented to ensure the "success" of the activity or project as a whole. For instance, if the initial analysis of the situation is faulty, any remedy or project is likely not to address the real problems of the area. Similarly, poor identification or poor monitoring will give us faulty information which may well lead to difficulties in implementation or to limited impact.

One way we can ensure that all these stages are successful is to remember one of the CAP principles, that is PARTICIPATION. Many projects fail because they are "top-down": for example a "problem" has been identified by outside development workers, or a "solution" has been defined outside the local area.

The rest of this handbook follows each of these stages in the project cycle and tries to show how this can be done with maximum participation from the local community at all times.

PART 3: INFORMATION COLLECTION.

3.1. Introduction.

As we have said, a good information base is absolutely essential if we want to make sure that "development" activities of one kind or another are going to bear fruit.

The use of PRA techniques to collect information on local communities has several advantages. Among these:

- they allow participation from partner communities and thus their involvement at later stages of the "project" cycle.

- they are well suited to analysing differences within communities: it is too often assumed that local village communities are homogeneous masses of poor people whereas in fact most societies are highly differentiated between groups (women/men, rich/poor, along ethnic lines, young/old, etc) each with their own interests.

It is important to analyse these differences if development activities are to be well thought-out and really assist the disadvantaged. Otherwise it is the most articulate (usually men, usually among the best off) who will dictate the agenda.

When conducting this work, it is necessary to be **observant** at all times, using all our senses (hearing, touching, smelling...), looking at those signs that might indicate something important (like the cleanliness of a compound as a sign of wealth or of health awareness).

3.2. Resource mapping.

Resource maps (by which your partners draw a map of their village or community and indicate on it their resources such as roads, fields, springs, sacred trees, etc) are very useful because:

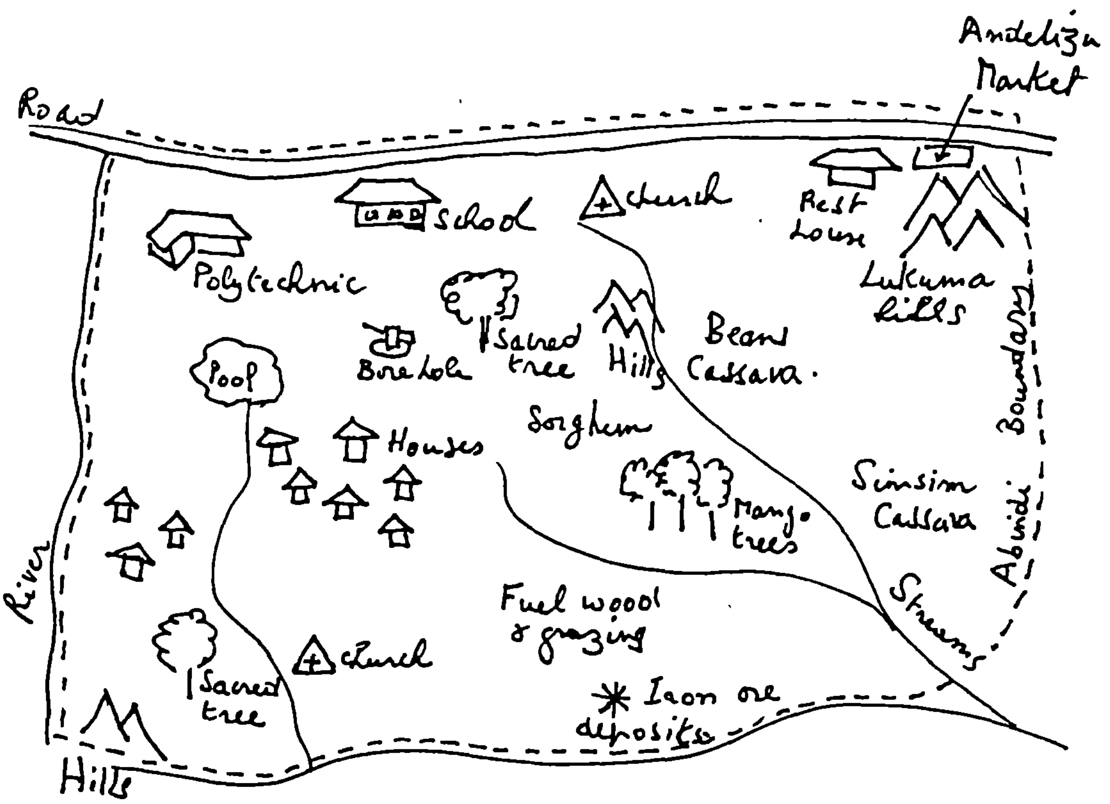
a) they provide an excellent way to understand local realities and how people perceive them.

b) they are a very good communications aid. All people (even those who have never have set a foot in a classroom!) can make and use maps. They ensure that we and our partners have a common understanding of the local reality.

c) they promote participation from our local partners and foster their active implication in discussions about local resources, problems and opportunities.

d) once copied on a sheet of paper, a resource map can be used over and over again to have a constructive dialogue with local partners on this or that topic.

Example of resource map
(initially drawn by a group of women in Abindi).



Remember: all maps drawn are "correct" since they represent how local reality is perceived. There is no incorrect map and there is no need for us to make any kind of modification to a map drawn by our local partners!

Resource mapping: how to proceed.

1. Gather your respondents in a small group, where the map can be conveniently drawn on the ground. Explain the purpose of the exercise (understanding better the local situation, knowing about the resources of the area...)

2. Having a separate group of women will enhance their participation and you will also be able to compare men's and women's analyses.

3. Start by indicating with a stone (or a cross drawn with a stick) where you are, then perhaps the nearby path or a big tree.

4. Then pass on the stick and stand (or better sit) back. Gradually the map will take shape and the boundaries of what people consider their "community" can be indicated.

5. Help people who feel shy to participate by being vigilant throughout and drawing them in.

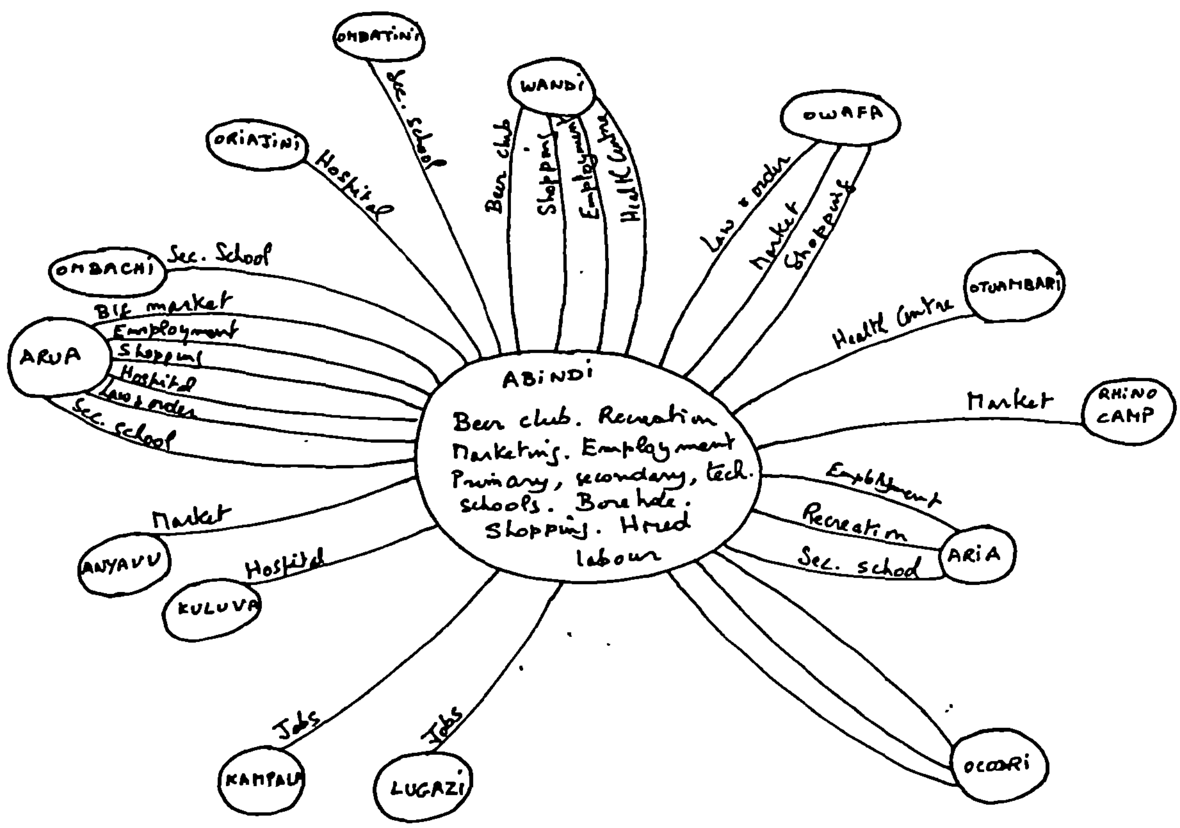
6. As you go along, interview your partners if you wish, but not directly: through the map!

7. As the map is being drawn (or afterwards) you may copy it on a piece of paper for use at a later meeting or to give it to the community for their own discussions.

3.3. Opportunities and services maps.

PRA makes use of very different kinds of maps: opportunities and services maps are useful to discover and discuss what is and what is not available in a particular area, such as education services, employment opportunities, access to clean water, to churches, transport links, etc.

Example of opportunities and services map.
(Abindi, Arua district).

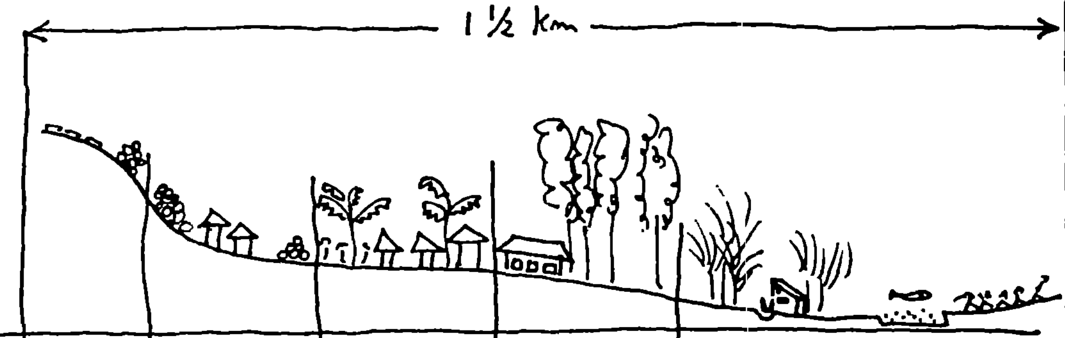


As for other maps, it is better to use locally-available materials, to use symbols (rather than words which exclude illiterate people), to draw on the ground and to discuss issues through the map as it takes shape.

3.4. Transects walks.

Transects walks are another way of rapidly collecting information with a local community. They are particular useful to better understand how land is utilised, to discuss particular problems (and opportunities) of the various ecological zones of the local area. Here is an example of a transect drawn in Awindiri, Arua district.

Example of transect (Awindiri).



SOIL	Rocky	gravel	Loam	Sandy	Swampy clay
LAND USE	Cassava drying	Stone quarrying + housing	Crops + housing	Trees, school	Protected spring Fish ponds
CROPS	beans + g/nuts cassava	Shrubs Infertile	Bananas potatoes beans	Eucalyptus Sunflower Sugar cane	Sugar cane, sweet potatoes, pigeon peas, nursery beds
PROBLEMS	Erosion Cassava mosaic	No market for the stones	Land shortage Erosion	Soil infertile Crop pests	Water logging Mosquitoes.
OPPORTUNITIES	Terrace farming	Contour farming	Erosion control - crop rotation	Fuelwood	Fish production Drainage. Fuelwood Horticulture.

Transect walks: how to proceed.

1. Decide with a group of local partners what are the main topics to be investigated (land use, problems and opportunities, for instance).

2. Discuss with the group the itinerary of the walk (depending on what your partners want to show you and what you want to see). The resource map will help here.

3. You need not walk in a straight line. However, try at least one walk from one end of the local area to the other.

4. As you walk with your partners, listen, ask, observe and keep discussing. Stop from time to time to discuss particular points and draw the relevant section of the transect.

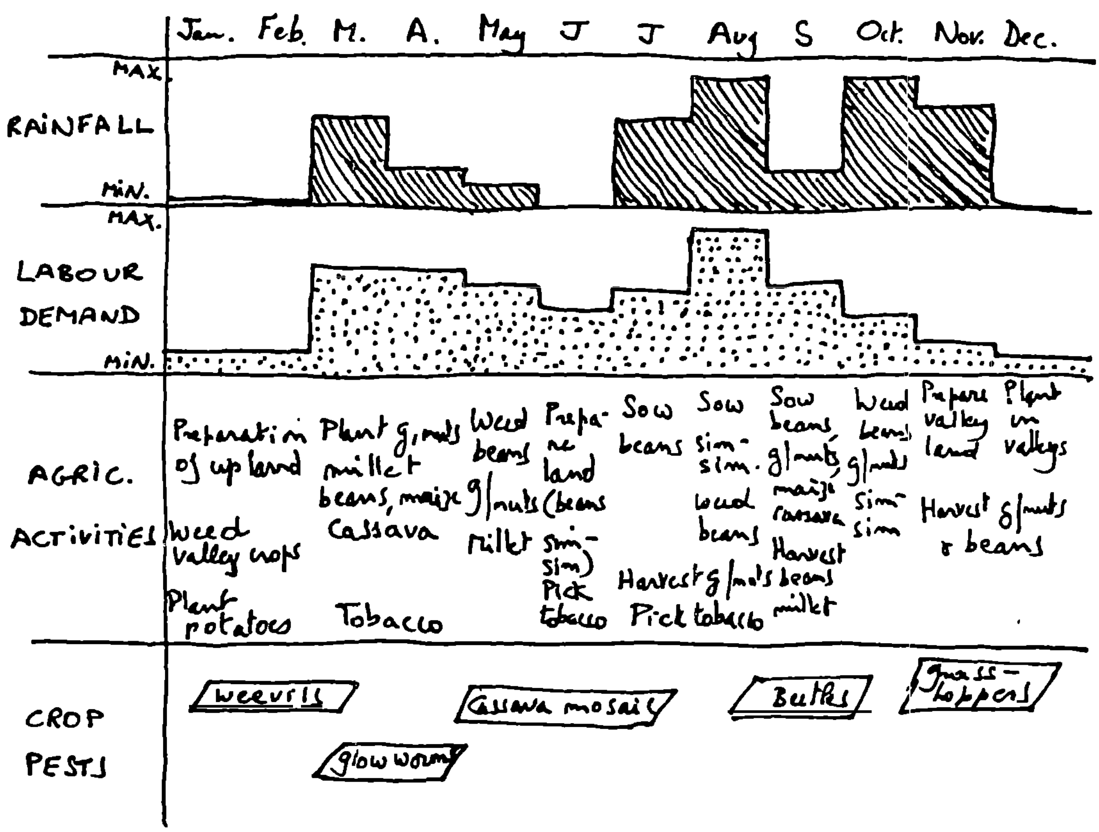
5. Once you have finished the walk, draw the completed transect and discuss the results. Leave a copy behind if you can!

3.5. Seasonal and daily calendars.

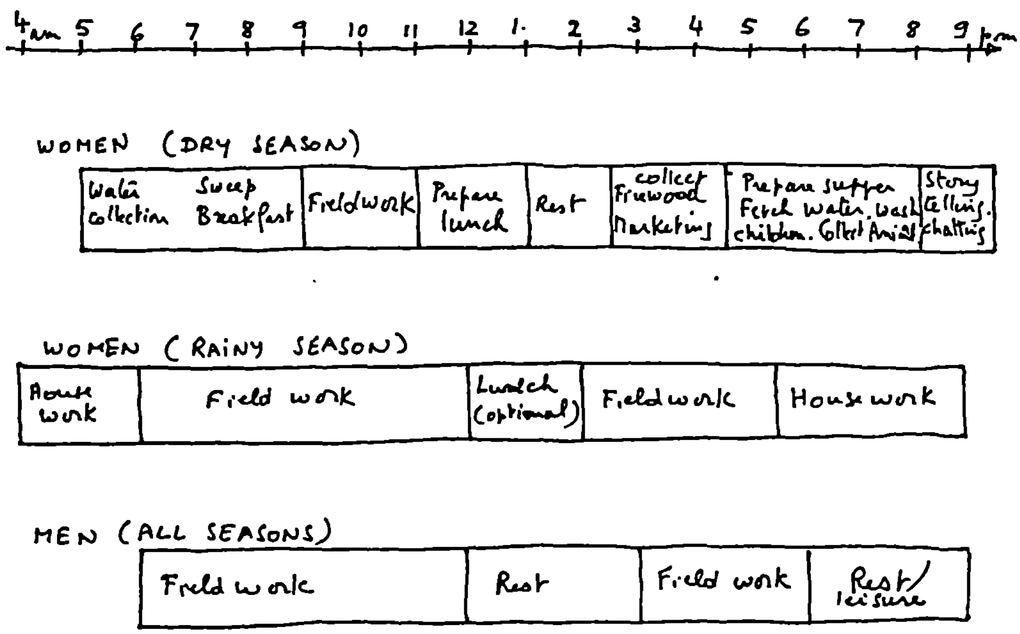
Calendars are very useful to understand and discuss with partners how seasons affect village life and how daily routines are organised.

Seasonal calendars can be used to show the main activities, problems and opportunities throughout the year using simple diagrams (this may include weather changes, rainfall, cropping and livestock activities, human and other diseases, labour demand, social events, income and expenditure, etc.). Seasonal calendars are useful to show the relationships between these various events (for instance the relationship between malaria prevalence and rainfall).

Seasonal calendars drawn in Anzu, Arua district



Women's and men's calendars, Aliba, Arua district.



Information collected through calendars will help you and your partners identify problems and opportunities, the times of the year and of the day when people might face the greatest difficulties or, alternatively, be free for "development" activities, etc.

Calendars: how to proceed.

1. Determine with your partners what you want to discuss and analyse. Explain how you wish to proceed.

2. If you wish to discuss women's and men's daily calendars, it is best to have 2 separate groups of respondents (men and women).

3. Start drawing a calendar using a stick on the ground. Remember that a seasonal calendar is unlikely to start in January.

4. Gradually let the partners fill in the calendars using local materials like leaves, stones, etc.indicating for instance the busiest months first, or the wettest, etc.

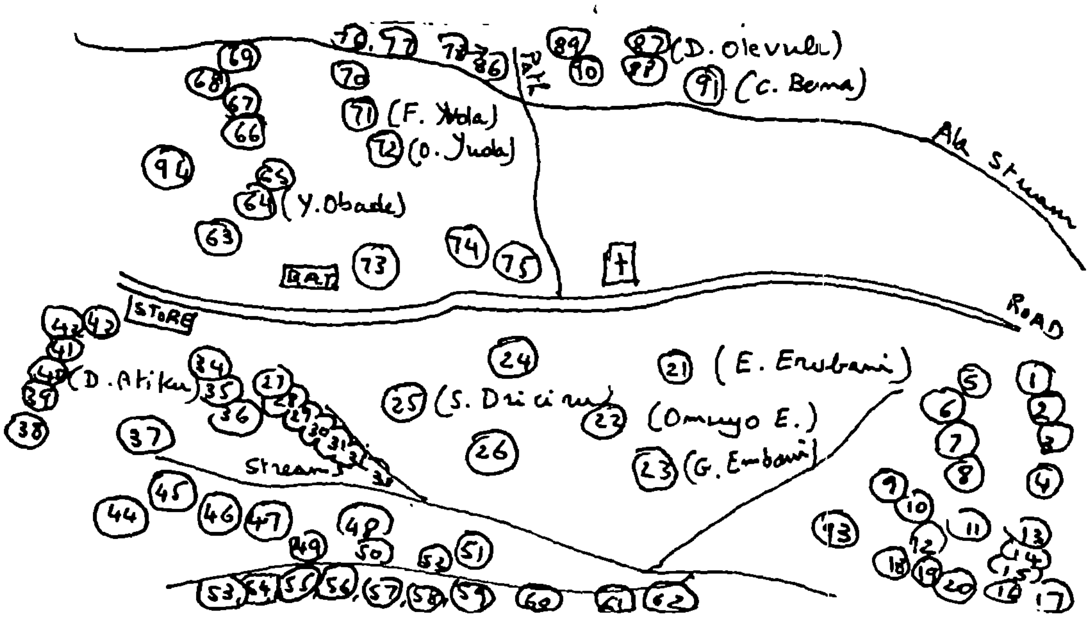
5. Proceed by asking such questions as "when is there the most (or the least) of something?" and then "is there more/less of this in March than in October, in April than in December?" etc.

6. Once finished, the calendars can be reproduced on a piece of paper for future use.

3.6. Social mapping.

Social maps are community-drawn maps indicating the numbers, names, location and other important information concerning households in a particular community. Although (where a community incorporates more than, say, 150 households), this may take one hour or two, such a map is extremely useful to gather information on, for instance, the composition of households, who goes to school, who has been vaccinated, who is rich/poor, who is ill, etc.

Example of social map (from Anzu), showing name and location of households.



Making a social map.

1. Be clear about what you want to find out/discuss (e.g.numbers of women-headed households, who goes to school etc.)

2. Use the resource map if you have already prepared one. If not, proceed as indicated for the resource map above.

3. If the number of households is very large, it may be necessary to use paper (rather than the ground) once the partners have understood the process and gained confidence.

4. Copy the map on paper for future use. If possible, make a copy for your partners!

3.7. Wealth ranking.

We have seen above that a typical community is differentiated. One of the most important source of difference is disparity in wealth or poverty. As CAP wishes to work with the most disadvantaged, it is important to know who they are and wealth ranking is a PRA tool which enables us to find this out, in spite of the fact that this is a delicate subject!

Wealth ranking, however, is not only used to find out who the poor (or the rich) are, but also (and often more importantly), what are the criteria local people use to determine wealth (for instance access to land, or number of wives, or number of cattle, or a smart house, or a radio) and how one can become richer/poorer.

Wealth ranking: how to proceed.

1. Make a list of all household heads (a social map will help here) and write the name of each on a separate piece of paper (each with a number).
2. Interview a group of respondents who know their community well, asking them to sort all the names into different piles according to their wealth.
3. This will generate much discussion! Listen to the criteria your partners use to put this or that person on a particular pile.
4. Write down the names of households (or their number) according to their wealth class on a piece of paper.
5. Ask how one can "travel" from one pile to another.
6. Move on to another group of informants and repeat the exercise. Do so at least three times.
7. You can now analyse the results by reviewing the criteria used and understand better what makes people poor/rich in the eyes of their neighbours. Knowing how people can "travel" from one pile to another will help to understand how people become poorer or less poor.
8. By working out the average "position" of each house-hold according to each group of informants, you can make your own list of households according to wealth and define wealth classes (see example below).

Here is an example from Eleku, where the views of 4 groups of informants were sought on the 91 households in their community:

Example of wealth ranking: Eleku,

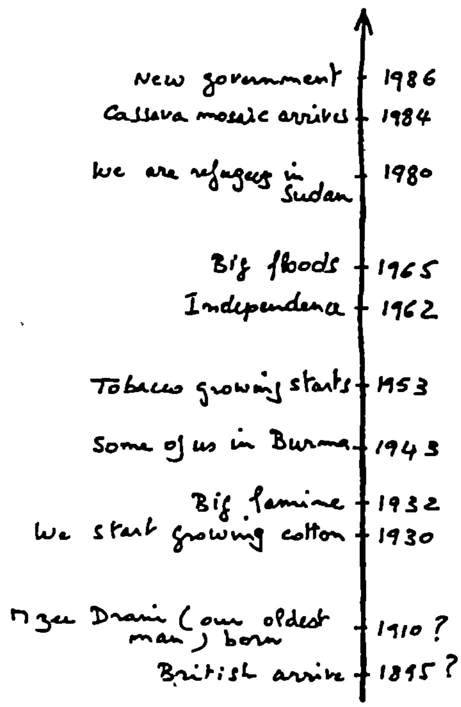
Household No.	Group A	Group B	Group C	Group D	Av. Score	Wealth Group	
30	17	17	25	25	21	A	Richest
75	17	34	25	50	32		
76	–	34	–	–	34		
8	–	34	50	50	45	B	
24	–	34	50	50	45		
34	68	17	50	50	46		
68	34	68	50	50	51		
4	–	51	50	–	51		
15	–	34	50	75	53		
10	51	51	25	100	57	C	
70	34	68	50	75	57		
50	34	68	–	75	59		
21	–	51	50	75	59		
36	–	34	75	75	61		
17	–	34	75	75	61		
74	68	34	75	75	63		
84	–	68	50	75	64		
23	–	68	50	75	64		
47	68	51	–	75	65		
58	–	51	75	75	67		
77	51	51	–	100	67		
72	68	51	75	75	67		
51	–	68	–	–	68		
7	–	68	–	–	68		
83	–	68	–	–	68		
38	–	68	75	–	72	D	
40	–	68	75	75	73		
42	–	68	75	75	73		
62	–	68	75	75	73		
64	–	68	50	100	73		
20	68	51	75	100	74		
11	100	51	50	100	75		
12	100	51	50	100	75		
6	–	51	75	100	75		
89	–	51	75	100	75		
81	–	–	100	50	75		
28	–	–	75	–	75		
27	–	–	–	75	75		
37	–	51	100	–	76		
90	–	51	50	50	76		
60	85	68	75	75	76		
39	68	34	100	100	76		
25	–	85	75	75	78		
26	100	68	75	75	78		
45	–	34	100	100	78		
44	–	68	100	100	78		
52	85	–	–	75	80		
57	–	68	75	100	81		
55	–	68	75	100	81		
33	–	68	75	100	81		
79	–	68	100	75	81		
16	100	51	100	75	82		
32	68	68	100	100	84		
80	68	68	100	100	84		
73	68	68	100	100	84		
39	68	68	100	100	84		
49	85	68	–	100	84		
85	–	51	100	100	84		
35	–	51	100	100	84		
59	–	51	100	100	84		
84	–	51	100	100	84		
56	–	51	100	100	84		
61	–	68	–	100	84		
91	–	68	–	100	84		
48	–	68	100	–	84		
86	–	68	–	100	84		
78	100	68	100	75	86		
2	–	85	100	100	87		
87	85	68	100	100	88		
69	85	68	100	100	88		
5	85	68	100	100	88		
71	68	–	100	100	89		
19	–	68	100	100	89		
22	–	68	100	100	89		
46	–	68	100	100	89		
41	–	68	100	100	89		
13	–	68	100	100	89		
63	–	68	100	100	89		
31	–	68	100	100	89		
14	–	68	100	100	89		
38	–	85	100	100	95		
53	–	100	100	75	92		
65	85	–	100	100	95		
88	–	85	100	100	95		
43	–	85	100	100	95		
9	–	85	100	100	95		
1	100	85	100	100	96		
82	–	–	100	100	100	E	Poorest
67	–	–	100	100	100		
73	100	–	–	–	100		
66	100	–	100	100	100		
18	–	100	–	–	100		
No. of categories	6	6	4	4			

3.8. Historical profiles and time trends.

Understanding the past of a particular community is often necessary to analyse present conditions and to try and forecast how present conditions may evolve in the future.

Historical profiles and time trends are two PRA tools which may help us in understanding the past better.

Example of historical profile



Historical profile: how to proceed.

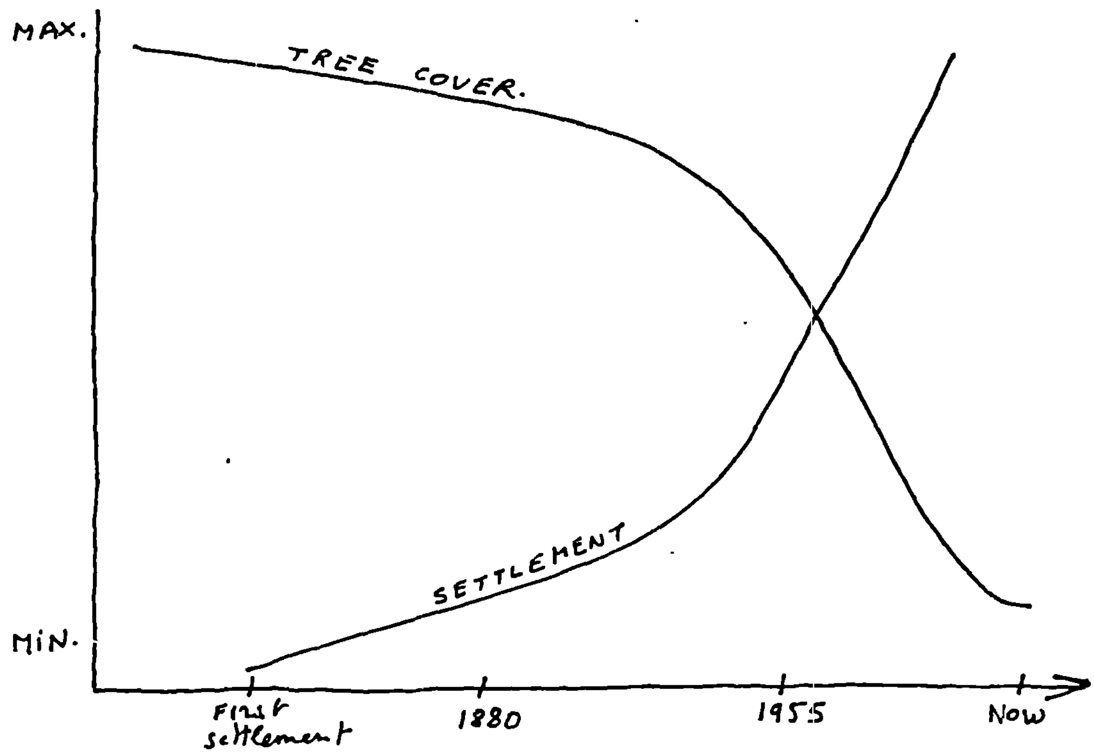
1. Select a group of informants who know the history of their community well (such as older people). Discuss with them the topic you want to investigate (and why you have this interest).

2. Draw a long line on the ground with one end representing the distant past and the other "today".

3. Ask your respondents to indicate the main events in the village (such as drought, a war, the building of a school, independence, etc) along the line. Use symbols to represent these events.

4. Orient the discussion in the direction of the topic of interest. You can later draw the line and main events on a piece of paper to give to your respondents.

Example of time trends: evolution of settlement and tree cover (Abindi)

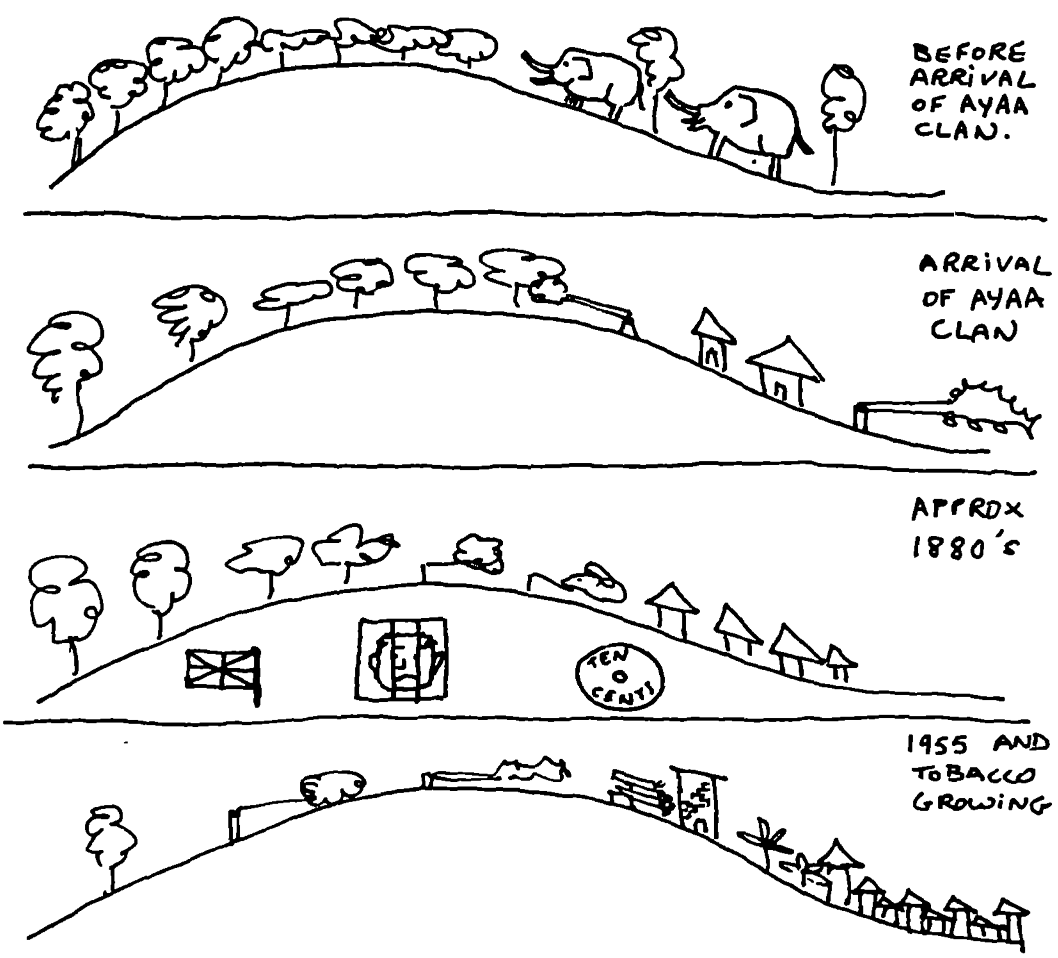


Time trends: how to proceed.

1. Select the indicators (2 or more).
2. Obtain the information (some of which might come from sources other than from the community).
3. Draw the diagram using a qualitative approach (see calendars above) where necessary by asking such questions as "when was the most, the least?", "was it more in this year than that year?" etc.
4. Discuss the results with your respondents.

Other tools can be adapted to help discussing and analysing historical change with local partners. Here is an example of transects (see p.30 above) being used to show how the environment changed in Abindi over the last 150 years or so.

Example of the use of transects to indicate environmental change (Abindi).



Similarly, we could help a community draw a series of transects showing how land use has changed over the years (for instance by asking older women to draw a transect of the village when they just got married).

3.9. Livelihood analysis.

Livelihood analysis is useful to understand better how households cope with day-to-day realities. It is often especially useful to compare the livelihoods of relatively poor and relatively better-off households (these can be selected from the household list drawn up if wealth ranking has previously been undertaken). Of particular interest may be the size and composition of households, their sources of income, their patterns of expenditure, their access to land and to livestock, etc.

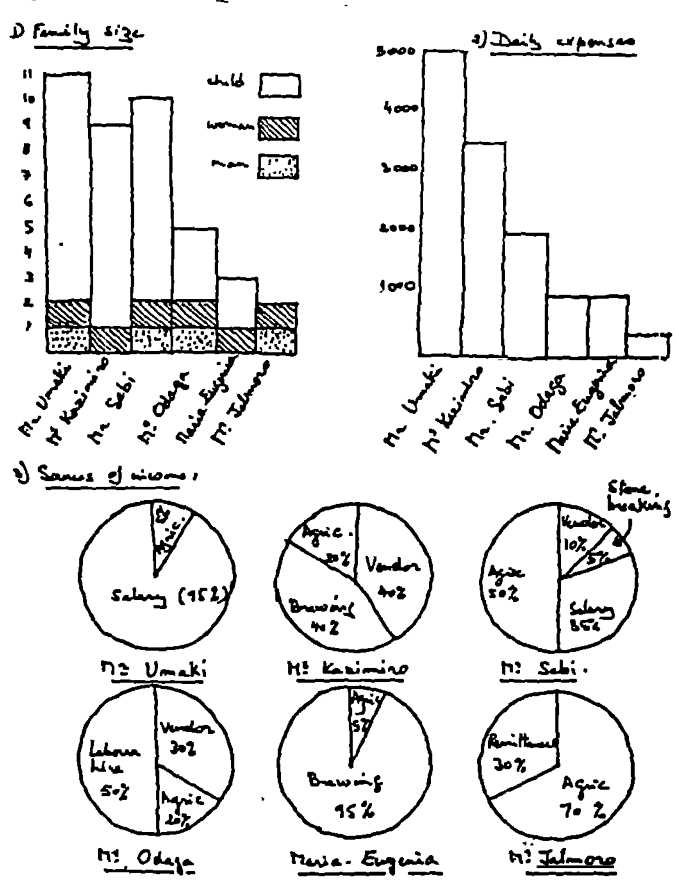
Livelihood analysis: how to proceed.

1. Select the indicators which you feel are important to analyse households' coping strategies and the categories of households of particular interest (such as the poor, the landless, women-headed households, etc).

2. Select your respondents and obtain the information from them on their individual households: it is often easier to use the "more than/less than" approach (see calendars, above) where quantified information is needed.

3. As for other PRA tools, diagrams will help in the discussion and the analysis: make them with your partners if possible!

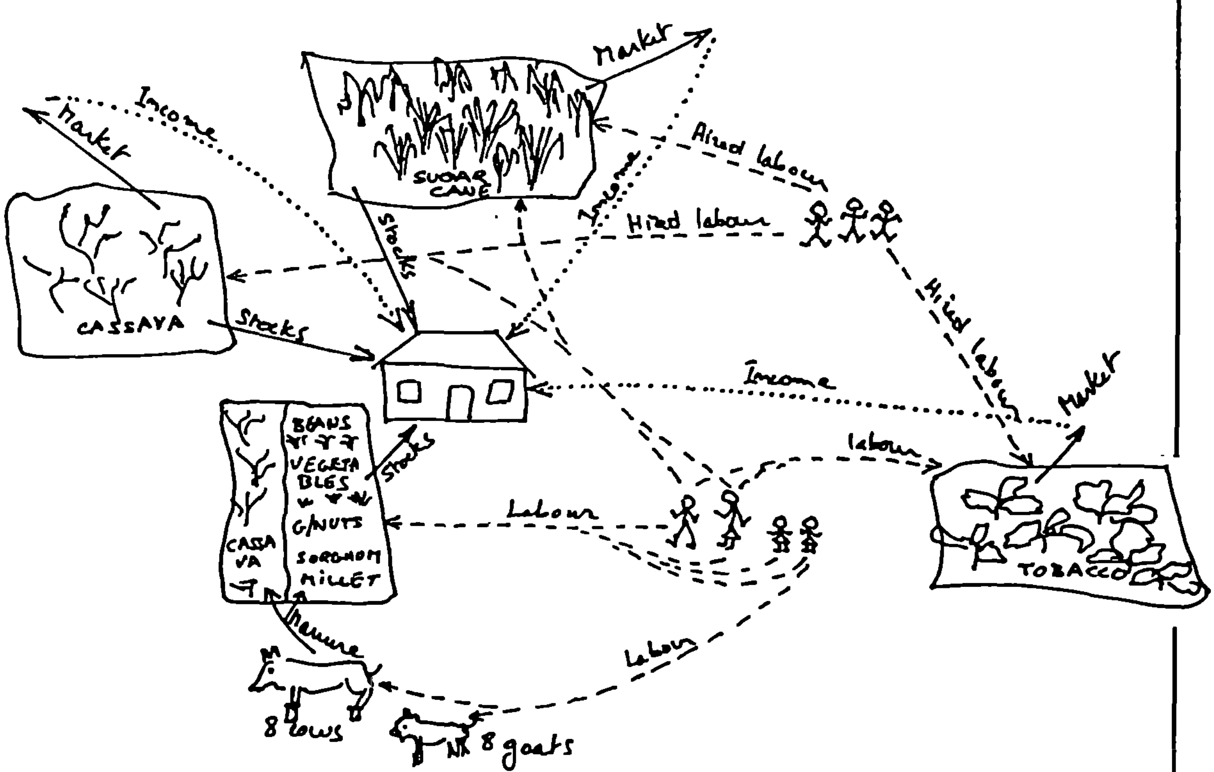
Livelihood analysis: some examples of diagrams from Awindiri.



3.10. Farming systems analysis.

The analysis of farms helps us to understand how the vast majority of our partners survive. With the help of a diagram drawn on the ground, we can look at a farm as a system, that is how a farm is almost like a living organism with inputs (those items that go into the farm, such as labour, seeds, manure, etc) being changed into outputs (what is produced by the farm, such as crops, livestock, building materials, firewood, etc). Farming systems analysis is a way of looking at all these inputs and outputs, of looking at the relationship between the farm and external (off-farm) people (such as labourers, agricultural extensionists or traders) or things (markets, shops, water sources...)

Example of farming analysis diagram (better-off farmer. Aliba)



Farming system analysis will help us to understand what are the main constraints that our partners meet in their daily activities. It is often very enlightening to compare the farming system of a relatively better-off and a poor farmer. It is often the case that the farming systems of the poorer have a very uncertain future. Such uncertainity can be usefully discussed with a diagram such as the one above.

Farming system analysis: how to proceed

1. Select the households you are interested in (the information collected from wealth ranking will be very useful here).
2. Interview households separately (your informants might feel that some of the information given is too sensitive to share with their neighbours).
3. Start by drawing the main house of the compound on the ground and gradually pass the stick to your partners by asking them to indicate other resources they have such as their various fields.
4. Use symbols whenever possible (such as a cassava leaf to indicate the cassava field).
5. Ask your partners to indicate the various inputs (by asking "what do you use to grow your crops?") and their use. These can be indicated with arrows.
6. Discuss the potential and constraints on the system as you go along.
7. You can then make a copy on a sheet of paper for further discussion or/and to give to your partners.

We can look at other kinds of systems, such as a family unit, or the entire community, or even our sub-county!

3.11. Gender analysis.

As we have noted above, CAP places much emphasis on ensuring that gender imbalances are not worsened and, if possible, corrected by the activities it supports. To make this possible, we need to understand the current gender status and relations in our local communities.

"Gender" describes the social differences between men and women, learnt over time (and different from culture to culture) and therefore subject to change (contrary to "sex", which describes biological differences).

Gender analysis helps us to better understand these differences and therefore predict how community members will participate in activities, whether these will be effective and how men and women might benefit from them. To organise our information and discuss it with our partners, it may be useful to divide it into three main parts as shown below. The first part (activity profile) looks at the division of labour (or the different roles) of men and women: this is in turn divided into reproductive work (related to immediate survival of the family), productive work (agriculture, trade, crafts, etc) and community work (politics, community projects, etc). The activities listed here provide an example: they may be many others in our sub-county.

Gender Analysis Format

	Men	Women
Part 1: activity profile a) reproductive activities: - child rearing - house-keeping - family health care - water collecting - firewood collecting b) productive activities: - clearing - sowing - weeding, etc. - trade - crafts, etc. c) community activities: - ceremonies - local RC politics - school construction - church activities		

Part 2 looks at the resources necessary to undertake the activities listed in Part 1 and at the benefits which arise from these activities: in particular, it analyses whether women and men have **access** to these resources and benefits (in other words the opportunity to make use of them) and whether they **control** them (the right to decide how these resources and benefits are used and to impose this choice on others).

Part 2: Access & control profile	Access		Control	
1. Resources.	Men	Women	Men	Women
a) Economic resources - land - tools - seeds				
b) Political resources - leadership - information - education - contacts with outsiders				
c) Time				
2. Benefits				
- income - ownership of assets - food - prestige - education				

The third Part deals with influencing factors, that is those factors which, over time, may change the gender situation in a particular place. It may be useful to look at the impact of these factors, the opportunities they may offer and the constraints they may entail. Again, in the list below, examples are given: in our sub-county, other influencing factors may well exist.

Part 3: Influencing factors	Impact	Opportunities	Constraints
Drought Migration to town Incr. tobacco price New marriage laws Education Religion			

The following example of gender analysis comes from Awindiri:

Gender analysis for Awindiri.

Part 1: activity profile		
a) reproductive activities:		
- child bearing		✓
- child rearing	✓	✓
- provision of food	✓	✓
- water collecting		✓
- firewood collecting	✓	✓
- house-keeping/cleaning		✓
- cooking of food		✓
- provide school fees	✓	✓
b) productive activities:		
- clearing/opening land	✓	some
- sowing/planting	✓	✓
- harrowing		✓
- weeding	some crops	✓
- harvesting		✓
- trade in hides/skins	✓	
- handicrafts		✓
- carpentry	✓	
- excavating stones	✓	
- stone breaking		✓
- brick making:		
- piling, mixing mud	✓	
- covering & burning	✓	
- water collection		✓
- food processing		✓
- vendor trade		✓
- baking bread		✓
c) community activities:		
- ceremonies/funerals	✓	✓
- child rearing	✓	✓
- religious activities	✓	✓
- meetings/leadership	✓	✓

Part 2: Access & control profile	Access		Control	
	Men	Women	Men	Women
1. Resources.				
a) Economic resources				
- land	✓	✓	✓	–
- food crops	✓	✓	✓	✓
- education	✓	✓	✓	–
- cash income	✓	if own source	✓	if own source
- assets: radio	✓	✓	✓	–
bicycle	✓	✓	✓	–
furniture	✓	✓	✓	✓
- labour	✓	✓	✓	✓
- trees	✓	✓	✓	–
b) Political resources	✓	limited	✓	–
- within household	✓	limited	✓	–
- outside household				
2. Benefits				
- food	✓	✓	✓	✓
- income	✓	✓	✓	✓
- ownership of assets	✓	✓	✓	limited
- knowledge/skills	✓	✓	✓	–
- prestige/recognition	✓	some	✓	limited

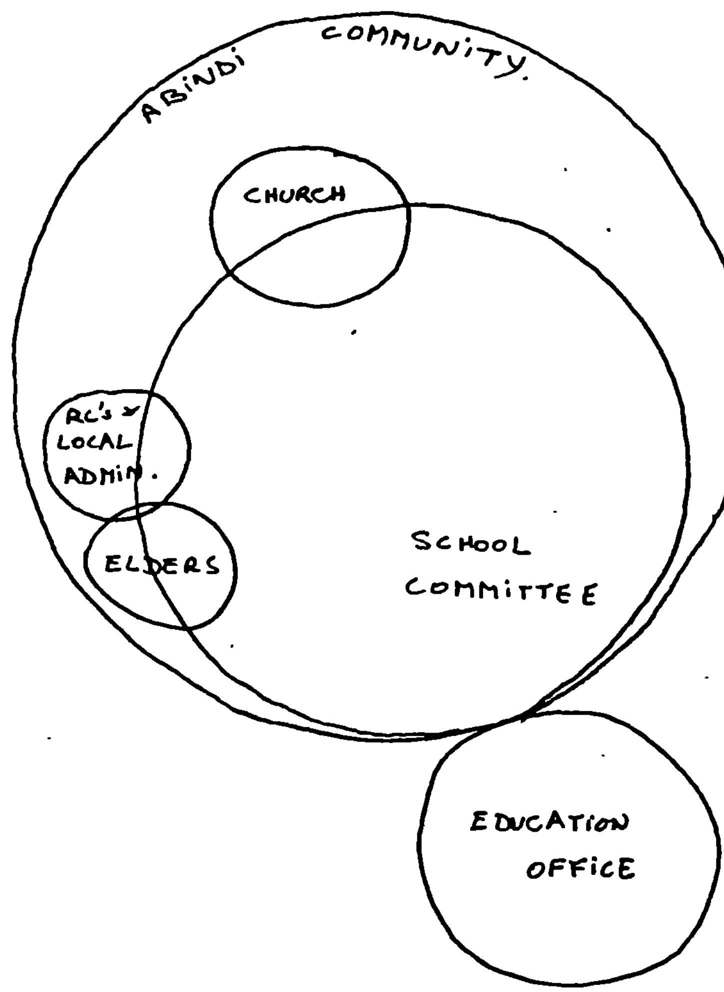
Part 3: Influencing factors.	Impact	Opportunities	Constraints
Education	More knowledge. Good planning	Group formation	Poor economic status of families
Religion/culture	Oppression (women have to join husband's religion	Group formation	Dressing, lack of skill, poor communication, deprivation of knowledge.

3.12. Venn diagrams.

Venn diagrams (also known as "chapatti diagrams" because of their shape!) are a useful PRA tool to discuss community structures with our partners and to better understand how particular decisions are arrived at. This may prove very useful information when we start planning an activity or project with a local community later on.

Venn diagrams are easier to construct if we select a particular topic (e.g. building a school, or resolving land disputes, or looking after a spring), rather than having a general discussion on community structures in the abstract.

Example of a Venn diagram: construction of classrooms in Abindi.



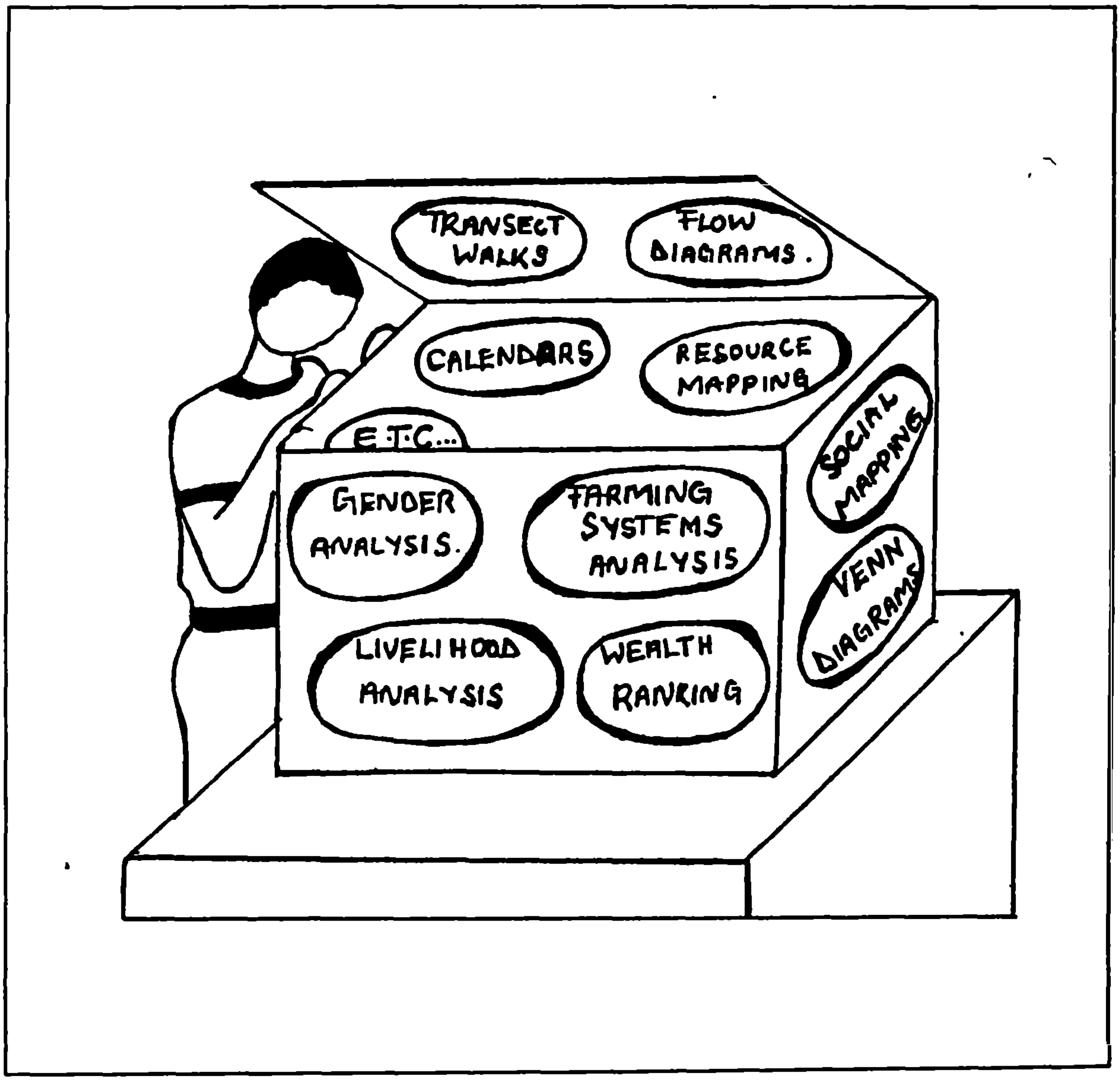
How to construct a Venn diagram

1. Select your topic.
2. Explain to your respondents the purpose of your discussion and start by representing the local community by a large circle drawn on the ground.
3. Ask your respondents to list the main actors involved in the particular activity you are discussing (such as, in the case of a school, the RC committee, the PTA, the church, etc.)
4. Explain that each actor will be represented by a circle. The largest the circle, the more important he/she is.
5. Where actors communicate with each other, their respective circles must touch. The more they collaborate with each other in taking decisions, the more their circles will overlap. If there is neither communication nor collaboration, the relevant circles will not touch each other.
6. Take notes as the discussion proceeds and allow your respondents to change the size and position of the circles on the ground as they go on.
7. Once finished, you can make a copy of the diagram on a sheet of paper and leave it with your partners for later reference.

3.13. Research plan and analysis.

This section of the handbook has described various PRA tools which we can use to collect information and analyse a local situation with our partners. Depending on circumstances, we may select this or that set of tools: it is unlikely that we will have the time to use them all with most of the communities in our sub-county.

PRA tools therefore are like the carpenter's tool box: *certain tools are only used for certain jobs.* Experience has shown, however, that a resource map is, in most cases, a very good starting point.



So it is necessary to plan our information collection carefully and, in particular, to prepare ourselves **prior** to fieldwork. It may be useful to keep in mind the following preparation steps:

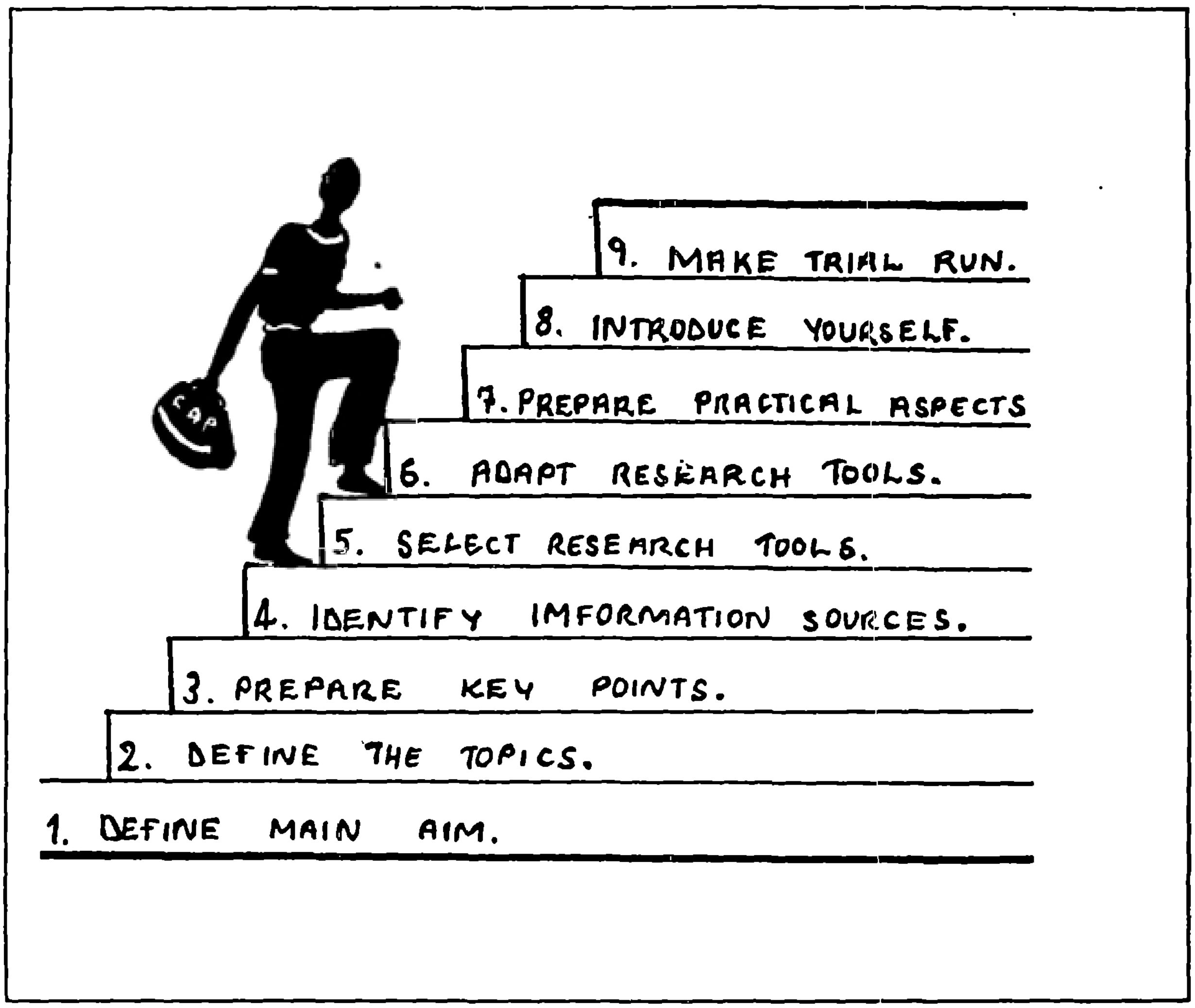
Step 1:	Carefully define your research objective (what are we trying to find out? What is the main aim of our research effort?) Example: the past experience of development projects in my sub-county.
Step 2:	Define the topics which need analysis as precisely as possible. Examples: classroom construction, local community structures, the role of women's groups, etc.
Step 3:	Prepare the "thread" of the research (the key sub-topics, key questions and key indicators).
Step 4:	Identify the source (or sources) of information for each topic to be analysed. Remember to cross-check whenever possible. Examples: RC officials, local women's groups, agricultural extensionist, other NGO working in the same area, etc.
Step 5:	Select the research tools which are appropriate for each topic. Example: resource maps, Venn diagram, semi-structured interview with older men, etc.
Step 6:	Adapt these research tools if necessary. Example: work out key questions for semi-structures interviews, make a summary of NGO reports, etc.
Step 7:	Prepare practical aspects (by making appointments with resource persons, by gathering research materials, etc.)
Step 8:	Introduce yourself to the local communities and their leaders.
Step 9:	Where practical, make a "trial run" or experiment (with your sub-county colleague perhaps?) to make sure you are quite ready.
Steps 1 - 9:	Make sure that the basic PRA principles are followed (see page 17), review the fieldwork from time to time and analyse the results with your partners.

A table may help us to plan this work, by designing a matrix where the various topics and sub-topics are listed along one axis and the different research tools available along the other axis. Each cell can then indicate if this or that technique is to be used for the study of this or that (sub)-topic:

Example of research plan.

Research objective: past experience with development projects in sub-county "2."

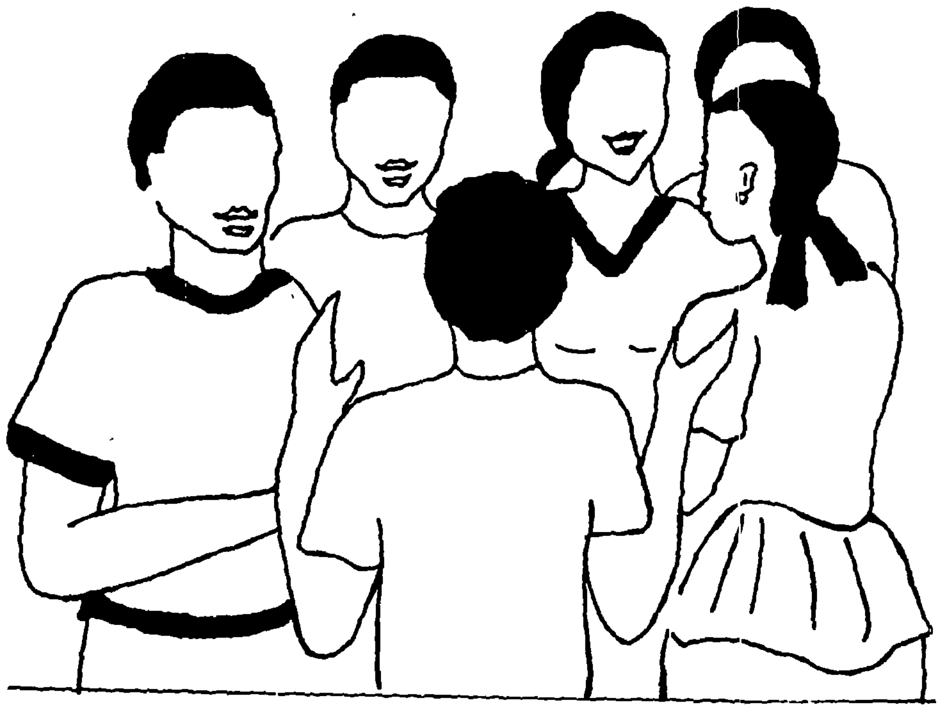
Topic	Sub-topic	Semi-structured interview (SSI) with group	Focus group SSI.	SSI with resource persons	Other PRA tool.
Identity of past project	- history, nature	✓		✓ (RC's)	Historical profile
	- location	✓			Resource map
	- level of participation	✓	✓ (women)	✓ (RC's, teachers)	
Performance of community institutions	- RC's		✓ (women)	✓ (RC's)	Venn diagram
	- churches		✓ (women)	✓ (RC's teachers)	"
	- groups.		✓ (groups)		"
Evaluation of current situation	- usefulness to worse-off people	✓	✓ (poor)	✓ (priests)	Wealth ranking + services + opportunities map.
	- usefulness to women	✓	✓ (women)	✓ (women council)	Services & opportunities map.
	- problems	✓	✓ (poor, women)	✓ (all above)	pairwise ranking (see below)
	- solutions proposed	✓	✓ (poor women)	✓ (all above)	"


9. MAKE TRIAL RUN.
8. INTRODUCE YOURSELF.
7. PREPARE PRACTICAL ASPECTS
6. ADAPT RESEARCH TOOLS.
5. SELECT RESEARCH TOOLS.
4. IDENTIFY IMFORMATION SOURCES.
3. PREPARE KEY POINTS.
2. DEFINE THE TOPICS.
1. DEFINE MAIN AIM.

PART 4: IDENTIFYING PROBLEMS AND THEIR CAUSES.

4.1. Introduction.

This section of the handbook looks at the identification and planning stages of the programme cycle (see p.23): these should enable us to define possible actions or activities which may contribute towards solving local problems, and how these may be undertaken. The identification stage must of course be based on a sound collection of initial information with the local community: some techniques that may help us and our partners do so have been outlined in the previous section of the handbook.



4.2. Problem and decision trees.

Problem trees are a useful way to analyse problems and their causes. This is especially important because the project or activity which we may later be involved in with a local community should not address the symptom of the problem but rather its cause.

Problems: symptoms, immediate and root causes.

My problem: Malaria!

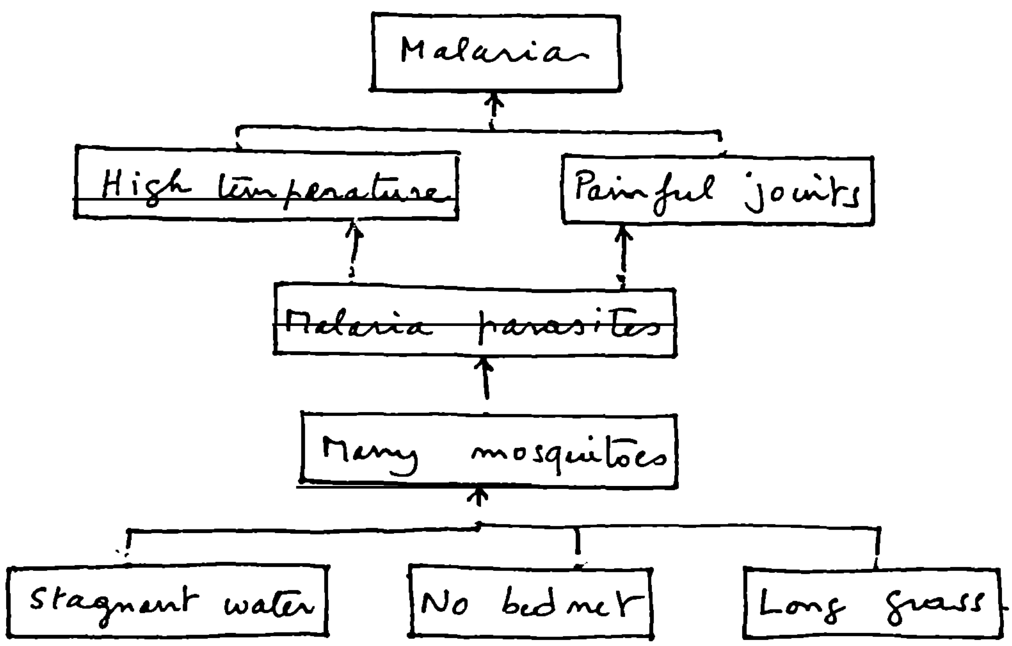
The symptoms of my problem: high temperature and painful joints. By splashing cold water on my body, I can address one of these symptoms: this may help a little but it will not solve my problem (malaria).

The immediate cause of my problem: malaria parasites. If I take chloroquin tablets, this will solve my immediate problem.

The root cause of my problem: too many mosquitoes, causing malaria. This is in turn caused by stagnant water, the lack of a bed net and long grass around my house. By tackling these, I will be less likely to get malaria from now on.

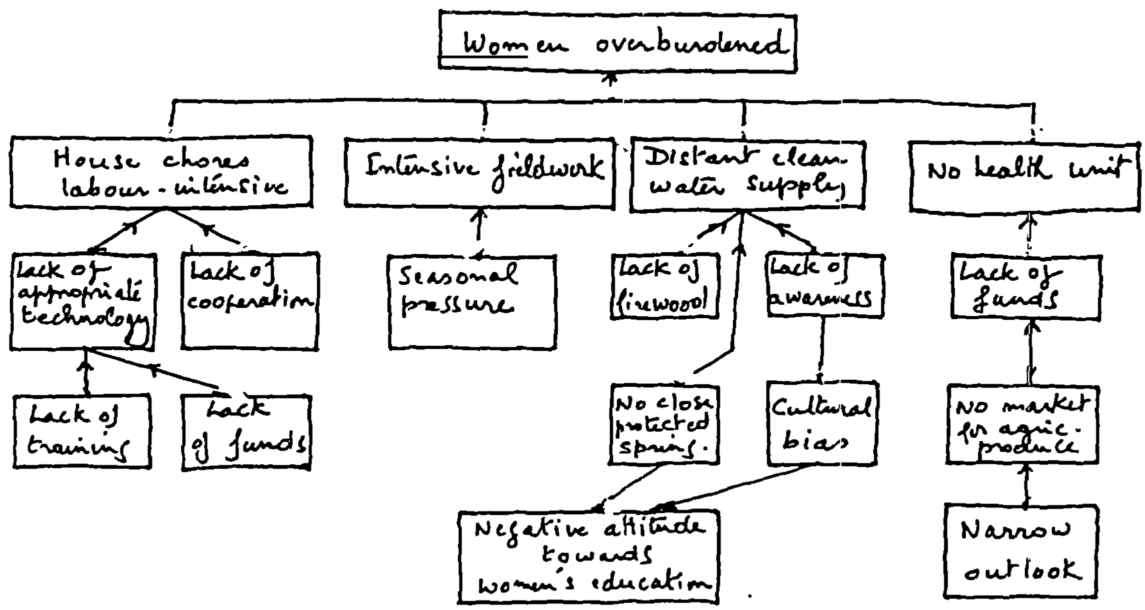
In this way, I can address the real cause of the problem, not just its symptom which, in the long run, will not solve anything at all.

This is how my problem tree could look like:



As we can see, a problem tree can help us understand the root causes of problems, to help us understand why a particular situation has arisen. Here is an example of a problem tree drawn with a group of women in Anzu:

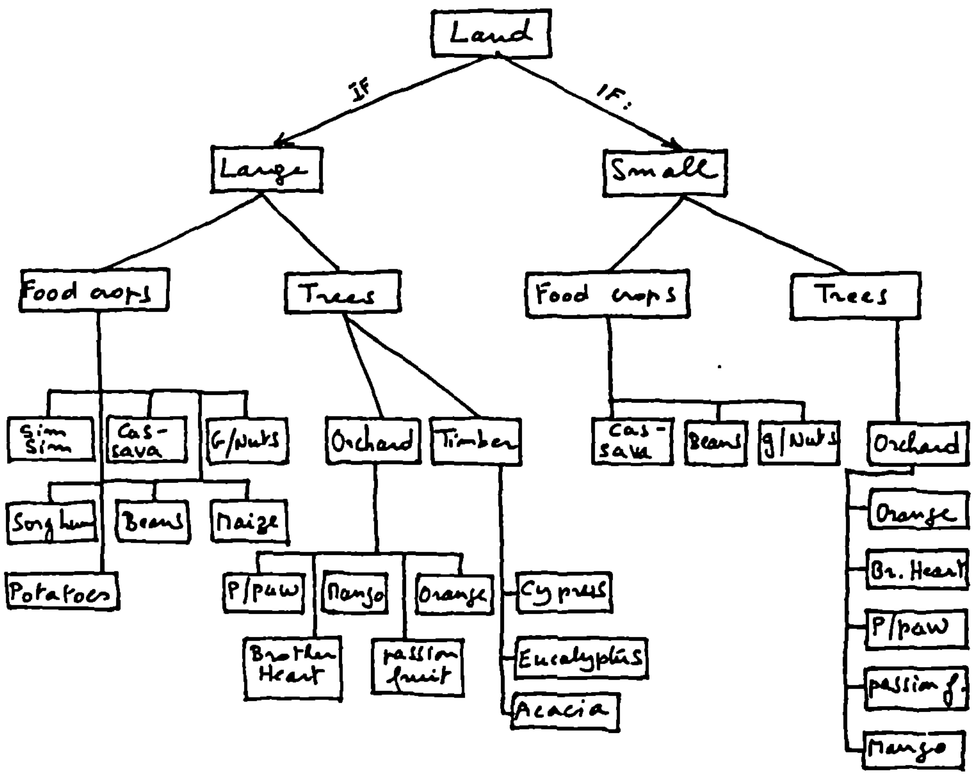
Women's problem tree in Anzu.



As usual, using symbols and local materials will help in the discussion and involve those who cannot read. Let us start with the immediate problem at the top of the tree, and, by asking "why has this happened?" or "why does this occur?", that way we can gradually build up the roots.

We can also draw a different type of tree, a "decision tree": this looks at the consequences of certain choices, for instance, what happens if we build a dispensary. Then several things may occur: some employment, less disease prevalence, etc. In turn, these will lead to more money in the community, more crops grown, etc. And so on. This is an example from Abindi: respondants were asked what crops they would grow. This depended, they said, on the size of land available.

Decision tree (size of land and crops grown in Abindi).



4.3. Flow diagrams.

A flow diagram is similar to a decision tree and also helps us to understand how a certain situation has come about and, in particular, the consequences of a particular event. In addition, a flow diagram helps us to understand the relationships between different events, causes, and/or consequences.

Flow diagrams: how to proceed.

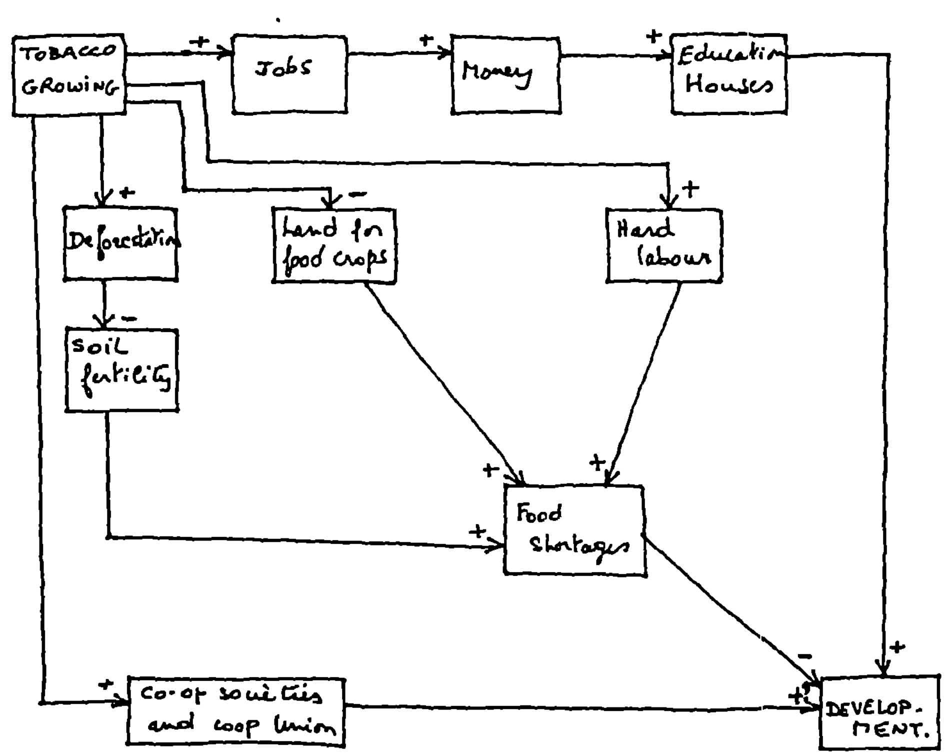
1. Select the event or the relationships you want to analyse (for instance, the impact of the introduction of tobacco in a particular community, or the relationships between different factors affecting the environment).

2. Identify the key factors (which appear in boxes in the example below), in order of importance.

3. Indicate the direction of the effect by using arrows (for instance, an effect of more tobacco growing is more jobs).

4. A (+) sign can be used to indicate a positive effect (for instance, an effect of more tobacco growing is more deforestation) and a (-) sign can be used to indicate a negative effect (for instance, an effect of more tobacco growing is less land for food crops).

Example of flow diagram: introduction of tobacco (class exercise).



4.4. Ranking techniques.

To rank a series of items is to place them in a certain order. Ranking can be very useful, for instance to find out from a community which are their most pressing problems, or which is a preferred solution to a particular problem. Generally, ranking allows us to involve a local community in discussing their preference about something.

We have already reviewed a form of ranking (wealth ranking, see p. 35). Other useful types of ranking are: preference ranking, pairwise ranking and matrix ranking. In all cases the following principles apply:

Ranking principles

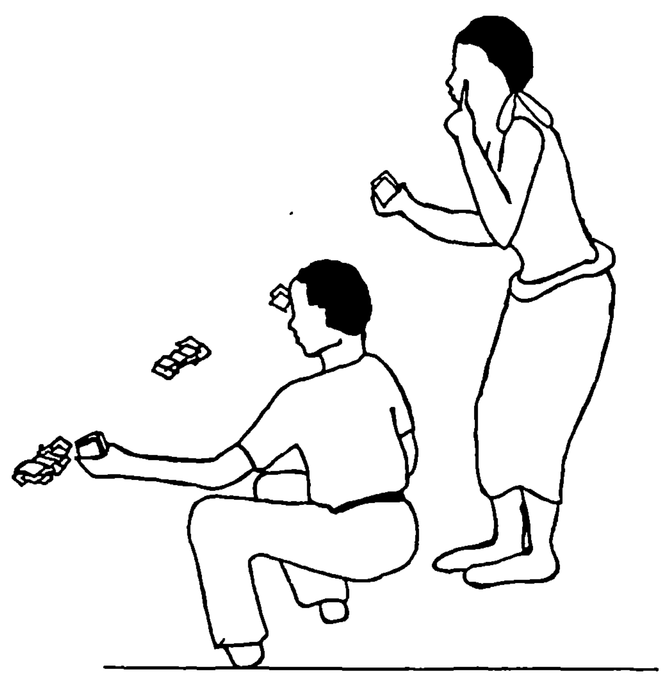
1. Allow your respondents to identify the various choices or possibilities.

2. Use the community's measuring units rather than your own (for instance, the time spent by women to collect water, rather than a distance in kilometers).

3. Use the community's terminology rather than your own (for instance, "borehole water does not taste nice", rather than "borehole water is saline".)

4. Spend time discussing the **reasons** for a particular choice or preference: this will give you valuable information.

5. Use symbols (either with local materials or by drawing on little cards.



4.4 (a). Preference ranking.

Preference ranking is a very quick method to identify the preferences of a group (or groups) of people. It is similar to voting and involves asking each respondent in turn to rank his/her preferences about a particular topic. In the example below, a group of 6 individuals in Abindi (person A to person F) were asked about their most pressing problems. They identified 7 of them and the highest score (the "best choice" or most important problem) is given 7, while the least important is given a score of 1. By adding up all the scores, we can have an idea of the group's overall preference (in this case, their most pressing problem is poor health). It will also be very useful to ask about the **reasons** for these choices as we go along.

Example of preference ranking (Abindi)

Problem	A	B	C	D	E	F	Total Score	Rank
Lack of clean water	6	3	6	3	6	5	29	C
Poor health	3	5	5	7	5	6	31	A
Lack of school	7	4	7	1	4	7	30	B
Deforestation	2	7	1	6	3	4	23	D
Land shortage	5	6	4	5	1	2	23	D
Women's burden	1	2	2	2	7	1	15	G
Lack of bridge	4	3	3	4	2	3	19	F

4.4. (b) Pair-wise ranking.

Pairwise ranking is a useful technique to find out about the reasons for a particular choice, but it can only be used when there are not too many possible options (a maximum of 6 or 7).

Pair-wise ranking: how to proceed.

1. Having determined what you want to analyse, decide with the community what are the most important options related to this issue (no more than 6 or 7). Example: the preferred food crop to plant when one has little land.

2. You then present a choice of two options (say maize or millet) and write down the preferred option. You also ask and record the reasons for that particular choice.

3. You go on with all possible combinations of pairs (for instance maize and tobacco, tobacco and millet, tobacco and sorghum, sorghum and millet, etc) and record the results each time. This could be done in a table like this:

Maize	Millet	Tobacco	Sorghum		
	Maize	Maize	Maize	Maize	3
		Tobacco	Sorghum	Millet	0
			Sorghum	Tobacco	1
				Sorghum	2

This shows that, when presented with a choice of either maize or tobacco, these respondents selected maize; when the choice was maize or sorghum, they still selected maize, and so on for the other choices. The preferred crop in this example is maize (selected 3 times, followed by sorghum (selected twice). You can also show the positive and negative reasons for each choice in a table like the following one:

Pair-wise ranking: how to proceed (continued)

Maize	Millet	Tobacco	Sorghum			Positive reason	Negative reason
	Maize	Maize	Maize	Maize	3	quick. good market. Easy to cook	—
		Tobacco	Sorghum	Millet	0	—	Attracts birds; too much work.
			Sorghum	Tobacco	1	good price.	Expensive to dry. Coop. does not work
				Sorghum	2	Resists drought. Tasty. Makes good beer.	Difficult to sell.

4. Using symbols on little cards is often very useful. In our example, when presenting the choice maize or sorghum, you can use real seeds or leaves of maize and sorghum or cards with the plant drawn on them.

Example of pairwise ranking: project preferred by women in Anzu.

Health unit	Bridge	School	Spring	Grinding Mill	Store		
	Health U.	School	Health U.	Health U.	Health U.	Health U.	4
		School	Spring	Bridge	Bridge	Bridge	2
			School	School	School	School	5
				Spring	Spring	Spring	3
					gr. Mill.	gr. Mill	1
						Store	0

4.4. (c) Matrix ranking.

A matrix is a table divided into little boxes (cells), in each of which is written the results of combining an item written in a column and one written in a row. Using a matrix to rank can be useful in order to understand reasons for a choice, especially when there are many reasons for such a choice.

Matrix ranking: how to proceed

1. Determine the various items you want to rank (for instance the various crops grown when one has little land).

2. Determine the various criteria that apply in selecting this or that crop (for instance, quick to mature or drought resistant): this can be done by asking the advantages and disadvantages of each item (each crop in our example), but make sure you use **all** positive (or **all** negative) criteria.

3. You can then draw a table and ask your partners to give a score in relation to each criterion (in this case, by asking: "Which crop is the most drought resistant?". Then: "Which crop is the least drought resistant?" and so on until each crop has a score for each of the criteria).

4. You can of course probe further by asking, for instance, about the most important criterion or, if only one crop were available, which would you choose, etc.

Example of matrix ranking: effectiveness of different community structures in Awindiri.

Criteria	Family heads	Elders	Chiefs	R.C.'s
Can solve family problem	4	3	2	1
Can solve community dispute	2	3	1	4
Can plan for the community	1	3	2	4
Can raise funds/taxes	–	2	4	3
Can influence the community	1	4	2	3
Are trustworthy	4	3	2	1

4.5. Advantages and disadvantages of different ranking techniques.

We will want to use different ranking techniques depending on the circumstances in which we find yourself and depending on what it is we want to rank. Each of the ranking techniques reviewed above have advantages and disadvantages. These are summarised in the table below.

	Advantages	Disadvantages
1. Preference ranking:	* Very fast. * Many people consulted. * Good for making comparisons.	* Low information quality. * 1 person may easily influence another. * Little information on reasons
2. Pair-wise ranking:	* Very thorough. * Good for finding reasons. * Good for making comparisons.	* Slow. * Limited number of choices possible.
3. Matrix ranking:	* Explains preference well. * Good for finding out all important criteria used for making a choice. * Good to compare criteria used by different groups of people.	* Sometimes too detailed. * Not so good for making comparisons.

4.6. Checking and re-checking.

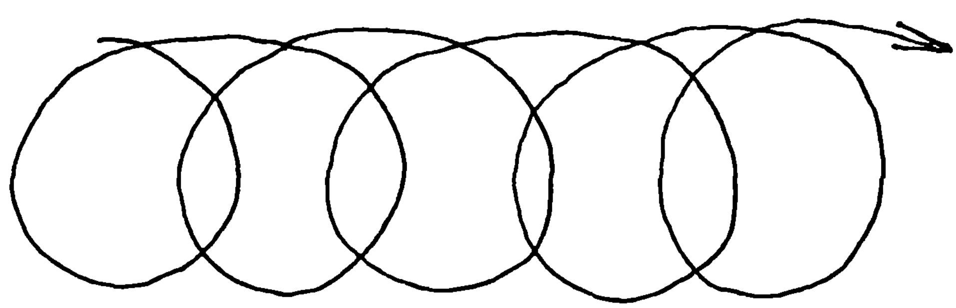
As we have said before, understanding the local situation and analysing problems correctly are vital if, as facilitators, we wish to help in finding appropriate solutions. Techniques in this section may help us to understand and discuss with local communities the causes and consequences of problems and to rank problems in relation to each other.

Before planning activities, however, this is a good opportunity to make sure once again that we have identified problems and their causes correctly: going back to the starting point is a necessary part of project identification and planning.

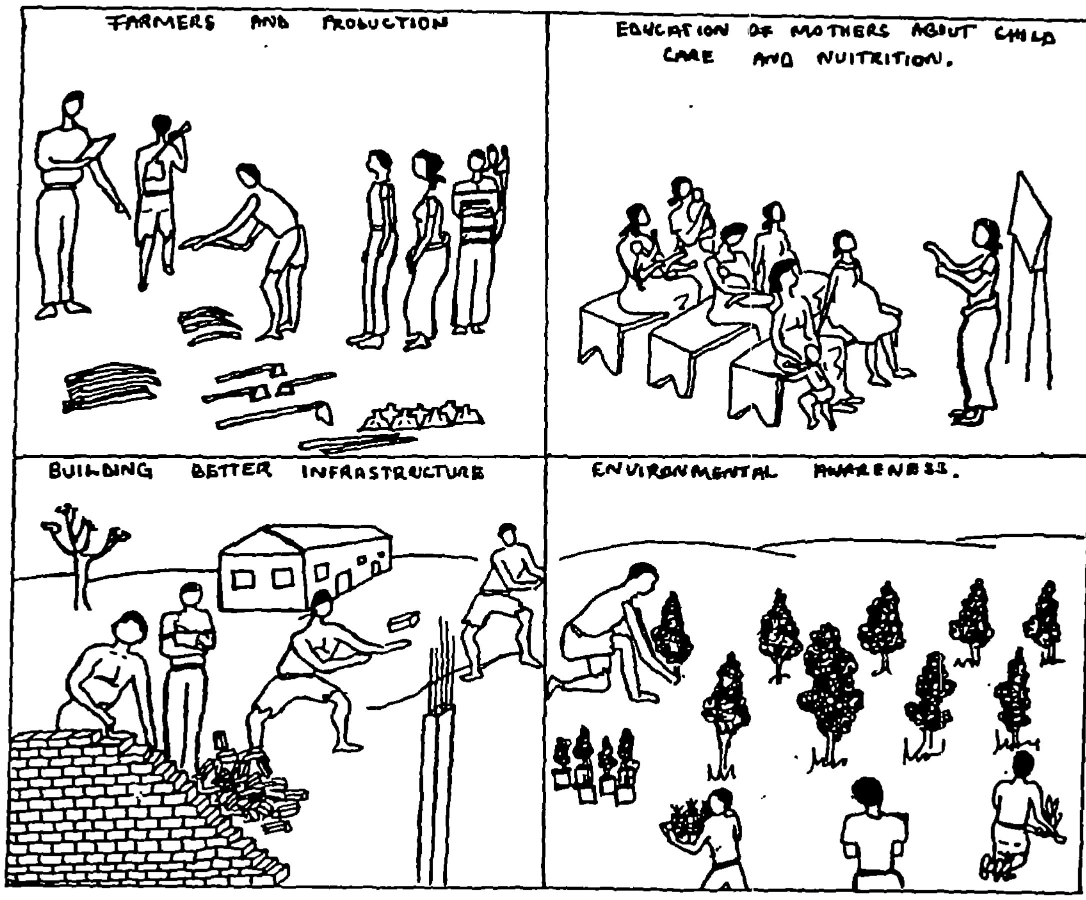
Going back to the starting point.

Remember one of the PRA principles? "Learn progressively". So planning should not follow an arrow where we go blindly from one step to another. Rather we should constantly question ourselves. Sometimes this may mean going back to the information collecting stage to clarify points or, for instance, to earlier options or problem analysis to make sure women's interests are fully represented.

So, perhaps, rather than a simple circle as on p.23, our programme cycle should look something like this:



PART 5: PROGRAMME PLANNING AND WORKING WITH GROUPS.



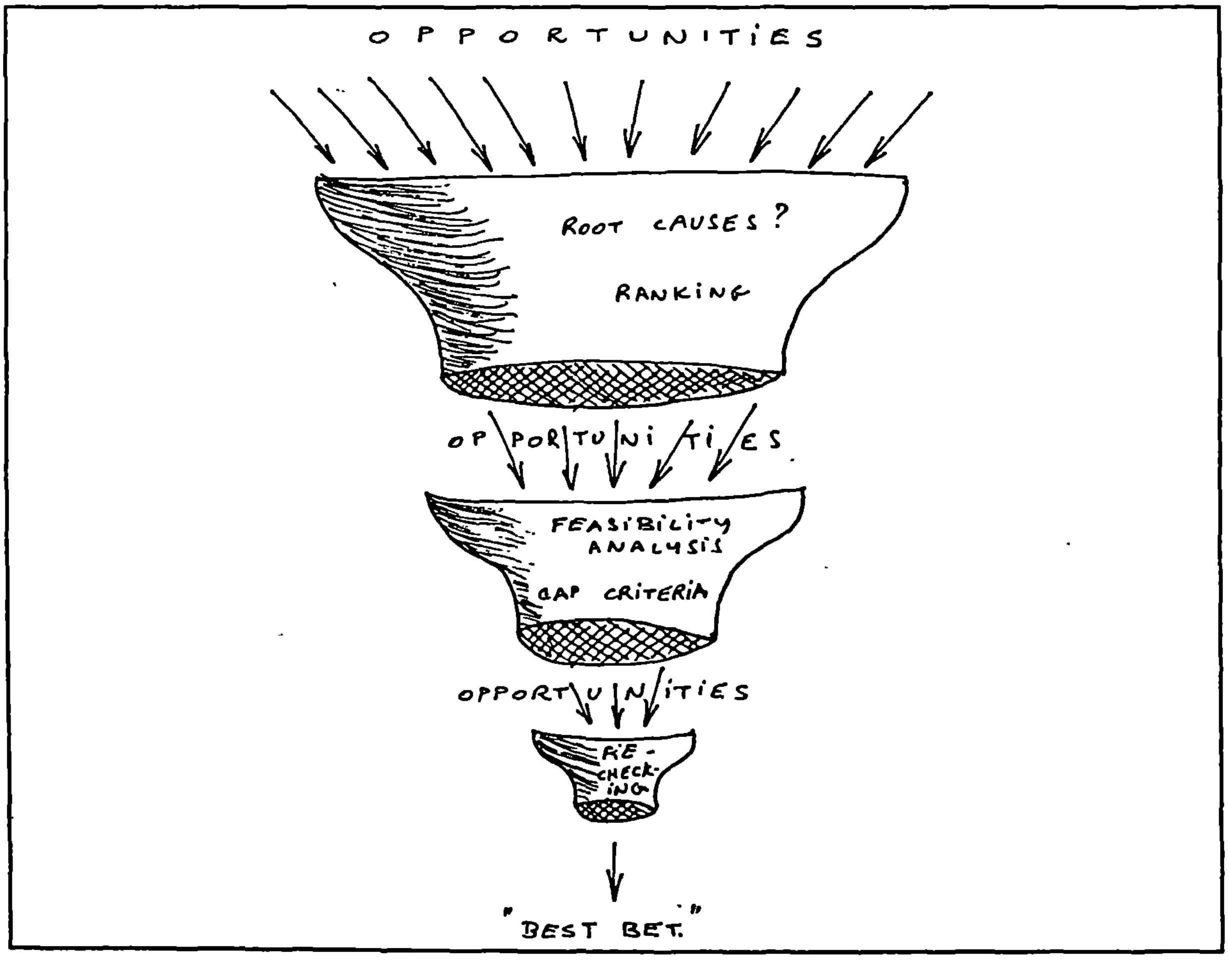
5.1. Introduction.

Having correctly identified problems and their causes with our local partners, we can now start thinking with them about what could be done to solve (perhaps only in part) the most important problems. Our analysis should have shown us that:

1. local communities are not homogenous: the interests and problems of one part of the population may well be very different from other people (men and women, for instance). These differences need to be discussed and a consensus arrived at with our partners.

2. it is easy to look at the symptoms of a problem rather than its causes: but it is better to address causes (mosquitoes in our example about malaria) rather than symptoms (fever in our example).

At this stage we might however have discussed quite a large number of problems with our partners (and perhaps an equal number of opportunities to address these problems!). With the community, we need to identify one activity or project only to start with. To do this, we can rank problems and/or opportunities in order of importance. Once we have 3 or 4 options, we can undertake a "feasibility analysis" and look in more detail at gender and environmental implications that are of concern to CAP. It is as if we were "filtering" our options until the "best bet" is identified:



5.2. Feasibility analysis.

Having identified one or two major problems, we can subject proposals to tackle these problems to a "feasibility analysis". To do this, we need to:

1. define objective(s) as precisely as possible.

2. discuss who will be the beneficiaries of the project and to whom it will belong.

3. define the various activities which are necessary to reach the objectives, when and how these activities will be undertaken.

We can then look at the feasibility of the project (in other words, ask oneself the question: "is the project likely to succeed?":

Some key questions for a feasibility analysis.

1. **Resources:** what resources are needed, how can they be obtained (e.g. labour, tools, skills, time, etc.)?

2. **Capacity:** is the proposed project within local capacity? Is it not too ambitious in view of local constraints?

3. **Conditions:** are there any conditions that have to be met for the project to be successful (such as certain types of skills, or a market for a new product)?

4. **Cost effectiveness:** is the proposed project cost effective? Can it be implemented within a reasonable time frame?

5. **Culture:** are there any reasons to believe that the proposed project will conflict with tradition, customs and beliefs?

6. **Timing:** is it realistic to expect the project to succeed now? Would it be better left for later?

7. **Risks:** all in all, can we reasonably expect the project to succeed? Are there risks involved and, if so,how can we minimize them? Has there been any experience with this type of project in the past. Are there alternatives to be investigated, precautions to be taken?

Example of feasibility analysis:
Installation of a borehole.

1. Resources: local community could contribute some local materials, but most resources would have to come from outside (drilling rig, pipes, pump).

2. Capacity: local community unable to mobilise these resources on its own. As a facilitator, I could help and contact the water department.

3. Conditions: the main conditions is availability of funds and external technical skills (both doubtful).

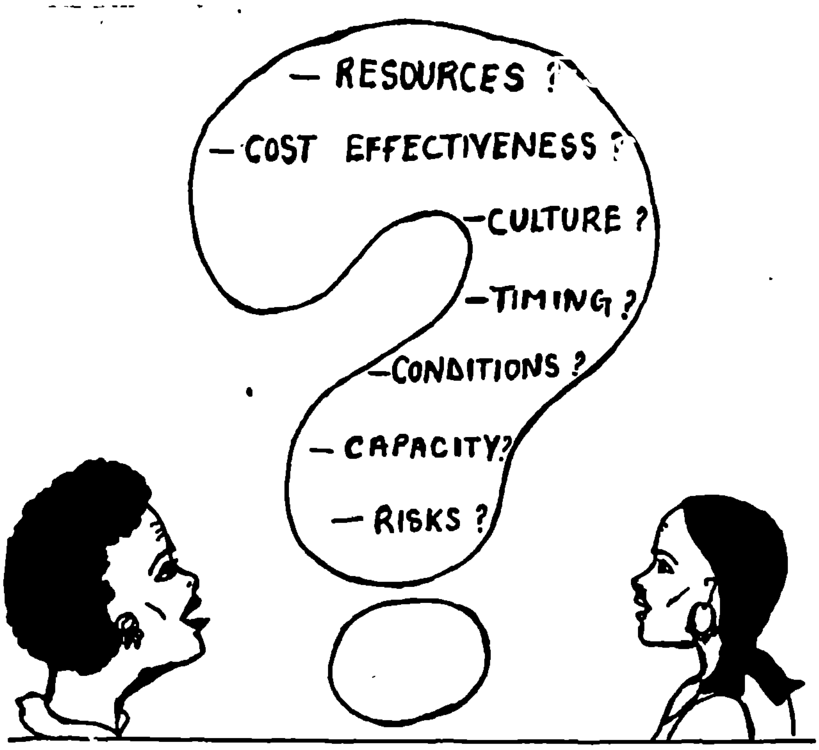
4. Cost effectiveness: considering the very high cost of borehole drilling, we may be able to provide several protected spring for the same amount.

5. Culture: local community feels that there are no constraints, although some people feel that borehole water is not "natural".

6. Timing: entirely out of the hands of the local community: it would depend entirely on the availability of external funds and of the Water Department.

7. Risks: the main risk is that boreholes frequently break down, although we could reduce this risk by training a local team to carry out the simpler repairs.

In conclusion, we decided to investigate alternatives: in particular, protecting springs (or investigating another activity altogether).



5.3. CAP eligibility criteria for supporting activities.

1. The micro-project must be based on a primary felt need of the community emerging from a community appraisal facilitated by the CAP Community Facilitators.
   The facilitator will assist the community in a process of analyzing their situation (resources, potentials, constraints and felt needs), identifying opportunities and solutions, prioritising activities, and designing projects. Apart from the learning aspect, these steps should be taken in order to assure the relevance of the micro-project for the community and their full support and commitment.

2. The micro-project must be contributing to the achievement of the main objectives of CAP.
   In the view of CAP a micro-projects is not only an end in itself but is notably a means to enhance the capacities and capabilities of the community. Hence the preparation and implementation of a micro-project should also be perceived as a learning process which strengthens the community organisation, builds awareness, increases skills, and encourages links with other communities and institutions.

3. The beneficiary community should contribute to the micro-project, as appropriate in kind or in cash, a substantial share in terms of their available resources. The beneficiary community will contribute 5,000 UShs per month to the community facilitator from the start of the implementation until the completion of the micro-project.
   The most crucial consideration is not the percentage of their contribution but (a) the fact that they are committed to implement the project and are willing to contribute whatever is within the bounds of their possibilities and (b) that the required CAP contribution is not overwhelming the community contribution to an extent which endangers the self-management of the micro-project by the community.

4. The required contribution from CAP to the micro-project should only include items which the community or other involved organisations are not able to provide.
   As the community will be able to provide unskilled labour, local materials and to a certain degree additional funding, CAP's contribution could include transport, materials, skilled labour, expertise on specific issues like gender and environment, and support by facilitators as well as by CAP staff.

5. The micro-project is to be capable of completion within one year or less.
   In order to assure the manageability of the micro-project the project duration should be limited. More complex project with a longer duration could be divided into several micro-projects.

6. The micro-project should as much as possible make use of local resources.
   CAP intends to stimulate the local economy thus even when local prices are higher, without being unreasonable, local resources will be preferred.

7. Only one infrastructure micro-project should be implemented in a parish at any one time.
   Availability of time and materials will impede the simultaneous implementation of infrastructure micro-projects and will not be conducive for a more equal coverage.

8. CAP does not support religious or party-political infrastructure and activities.

Gender

9. During the micro-project identification, design, implementation, monitoring and evaluation women must be full participants in management as well as in technical and support roles.
Women should not be taken as passive beneficiaries or, even worse, be exploited as unskilled labour, but they should also play an equal role in the management committee and in the day-to-day decision-making.

10. The micro-project must involve women in the decision-making process and provide for women's needs and interests.
The design of the micro-project should clearly cater for a positive effect on the position of women in the community.

Environment

11. The micro-project should not have a negative effect on the total environment; negative effects should be off-set by a specially designed component of the micro-project.
The micro-project must favour environmentally sustainable development, i.e. the needs of the present generation should be met without compromising the ability of future generations to meet their own needs. Particular attention should be given to the sustainable use of land and water, the quality of water, soil and air, and the availability of biomass including trees, forests, stock of fish etc.

Sustainability and feasibility

12. The micro-project should be institutionally and organisationally sustainable.
The community should be capable of ensuring the sustainability of the micro-project. Necessary links with other organisations should be established and support from relevant Line Ministries and other institutes should be secured.

13. The micro-project should be cultural-socially, economically, financially and technically feasible.
Chosen solutions, working methods and practical implications should not conflict with traditions, beliefs and customs in a way which makes the micro-project unacceptable for the community at large. The micro-project should have a sound financial plan and be an efficient and cost-effective means to achieve the defined objectives. The technical solutions should be geared to the available skills and other resources in the area.

Priority

14. Micro-projects with a clear positive effect on the position of women and on the environment should be given priority.

15. Other criteria for setting priorities including scores are being developed.

The above criteria are subject to revision after consultation with the parties concerned.

5.4. Gender screening.

This may also be the right moment to check again that the proposed project or activity will meet one of CAP's fundamental principles, gender sensitivity (see p. 5)

To do this, we could see how the proposed activity relates to issues of gender activities, control and access (see our gender analysis on p. 43). In particular, we could ensure once more that:

1. Activity or project objectives are clearly spelled for women and men.
2. Both men and (especially women) have been involved in the identification and planning of the project or activity.
3. Opportunities/constraints for the involvement of women (and men) in the implementation (including decision-making) and monitoring and evaluation of the activity have been discussed and resolved where possible.
4. The project or activity will entail short-term benefits for women as well as men. In particular, women's "practical needs" are being addressed (short-term practical needs related to living conditions).
5. The project or activity will have a long-term impact on women and men. In particular, women's "strategic needs" have been taken into consideration, that is those related to women's position in society - normally tackled in the long run through increasing women's organisational skills, self-confidence, etc.

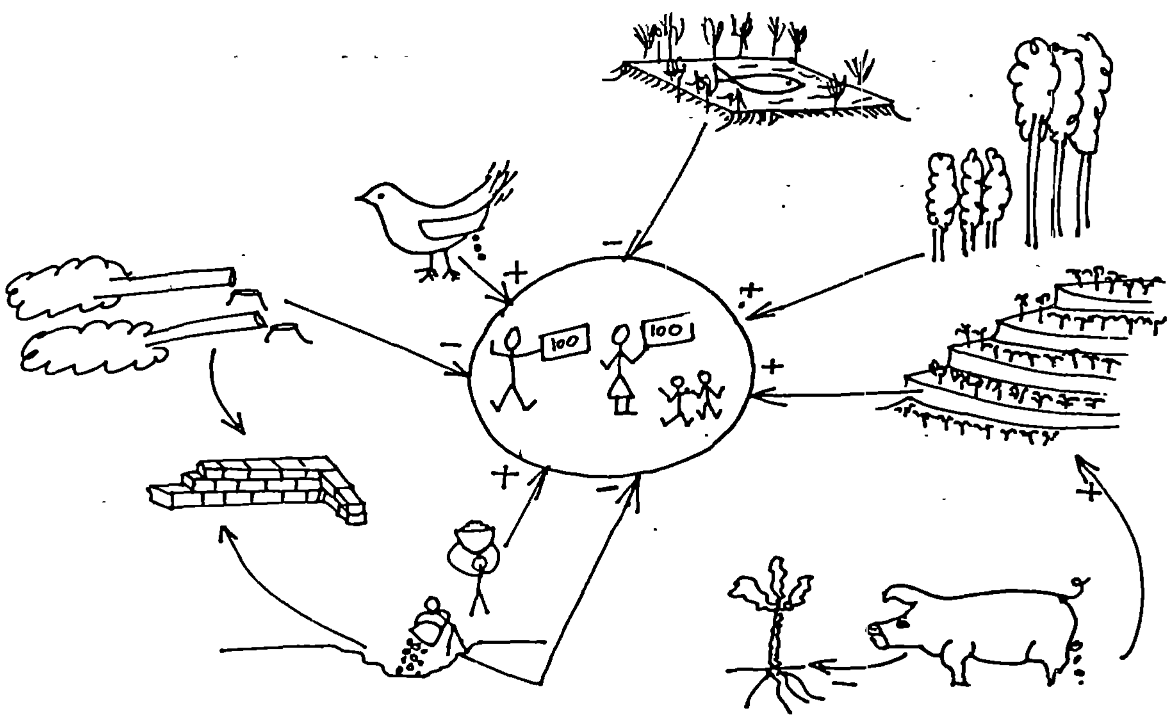
5.5. The environment and the "Ringili tool".

As already stated, CAP is concerned that the activities it supports do not damage the environment. Proposed activities should therefore be subjected to "environmental screening", which will essentially look at the following questions:

> Environmental Screening
>
> 1. Does the proposed project have an environmental impact?
>
> If we feel confident that it does not, we may proceed. If, however, the proposed activity may have an environmental impact, we may wish to look at:
>
> - its **severity**: might there be, for instance, an irreversible change for the worse?
> - its **extent**: will it negatively affect many people, a large area of land?
> - its **duration** and **frequency**: how often and how long will this negative impact be felt.
> - its **probability**: is this impact very likely to occur?
> - its **social** and **cultural impact.**
>
> 2. What measures need to be taken to minimize the impact?
>
> Given that most human activities have an impact on the environment, we need to discuss with our partners what measures can be taken to minimize that impact or, if need be, investigate what other course of action we might take. We may even have to abandon the proposal altogether if there are no measures that can be easily taken.

During the training conducted in Ringili, we developed our own PRA tool, a diagram showing the effects of a particular activity on the environment. The "Ringili tool" shows that PRA tools can be adapted (even invented!) to suit our needs!

The "Ringili tool" and environmental impact: an example from Eleku (introduction of income-generating activities).



5.6. The final "best bet".

After all this screening, we may have arrived at the "final best bet", the project or activity which we feel will have the most beneficial impact on the local community. For a final check, we may wish to use the following formula:

An example of "best bet" analysis: improvement to Eleku's school.

IF	Eleku Primary School is improved (both in quality and quantity)
THEN	many children will not travel long distances to school and the level of education will rise
BECAUSE	new teachers will be attracted to the school, children who had to travel far will have more time to study.
THEREFORE	education standards will rise, more children will attend school (particularly girls who are especially at a disadvantage because of distance), more children will join higher institutions of learning, more employment will be created locally and the community's overall standard of living will improve.

However this will depend on the following conditions:

ASSUMPTIONS:

Local materials are brought to the site by the local community.

Semi-skilled labour is mobilised by the community

We can then plan initial actions:

ACTIONS:

Meet with PTA and management committee to discuss possible project.

Prepare a workplan.

Present workplan to PTA and management committee for final approval and preparation of CAP application form for forwarding to the sub-county steering committee.

5.7. Activity plans.

An activity plan (or implementation plan) is useful to clarify with our partners exactly who will undertake **what, when** and **where.**

Generally a good activity plan will:

(i) be sufficiently detailed so that everyone is clear. about their respective responsibilities ("forming a committee which will report back" does not mean very much, for instance) and

(ii) quantify and rank objectives whenever possible (for example: fire 5,000 bricks or purchase 2,500 tree seedlings).

A good way to do this is to:

Essentials of an activity plan.

1. Divide up the project or activity into components (for example protecting a spring into site survey, collection of stones, collection of sand, fundraising for cement, purchasing cement, hiring a mason, etc.)

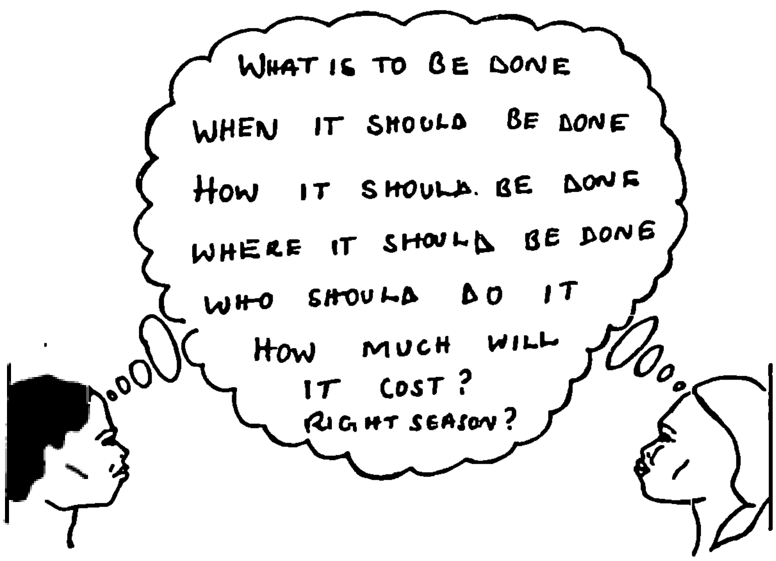
2. Plan for all the practical issues you can think of (even contacts to be made, trips to organize, meetings to hold, etc).

3. Do not forget seasonal considerations (the seasonal calendars will help to discuss this point with your partners).

4. Indicate who will be responsible for each task (a good opportunity to promote womens' participation at the decision-making level).

5. Indicate when (and, if need be, where) each task will take place.

6. Include information about costs for each component.



5.8. Working with committees/groups.

In all cases, we will be working with some kind of local structure (a community group, a committee, etc). Strengthening such local structures, as we have noted, is an important part of CAP's work. Groups will also be useful in our work to **represent** other partners, or to **supervise** some project activities, or to ensure **participation, sustainability,** or to be involved in the **monitoring and evaluation** of project activities.

Yet, we all know of groups and other local structures which have failed to perform as expected or have even altogether disappeared. So what are the main conditions for success for a local group or committee?

Groups: main conditions for success.

1. **Motivation:** a group should not be imposed from outside. Its membership should therefore be voluntary.

2. **Common interest:** a homogenous group (of women, or traders, or landless people) will generally be more successful.

3. **Size:** it is important that all members should be able to participate. So a group, while it should have a certain size to have a strong voice, should be small enough to allow all members to be active.

4. **Autonomy:** a group should be able to take ALL its own decisions; it should not be "directed" by anyone.

5. **Leadership:** should ideally be rotating and seeking consensus on all matters regarding the group through frequent (but not necessarily too formal) meetings.

6. **Objectives and activities:** these are all- important to ensure that the group means something to its members.

   Objectives should be few and realistic; the best type of activities are those that have quick benefits while strengthening group unity and participation.

7. **Rules:** rules that also promote unity and participation within the group are useful, especially if members are allowed to change them! The most important rules are likely to concern leadership issues, frequency of meetings and the distribution of benefits from group activities.

Strengthening groups is, in the end, probably far more important than the number of spring protected or schools built. So what can we as facilitators do to strengthen groups without undermining their autonomy?

Essentially the facilitator can ensure that all issues are debated by group members before any decision is taken while refraining from influencing the decision. This is a challenge very similar to the one described earlier on p.8.

More specifically, we may promote debate on the following issues:

- **composition and common interest:** what are the advantages and disadvantages of a cohesive group.

- **size:** what may the optimum size be in this particular instance and why?

- **objectives and activities:** are they achievable, do they contribute to unity and participation?

- **leadership:** how can leadership rotate, how will it be accountable to the membership? How often will meetings be held?

- **rules:** what rules are necessary (these should ideally be discussed before the need arises)?

- **monitoring and evaluation:** what monitoring is needed, why and for whom?

We return to this last question (and some others related to monitoring and evaluation) in the second volume of this handbook.