REPUBLIC OF ZAMBIA

MINISTRY OF AGRICULTURE AND COOPERATIVES

PARTICIPATORY EXTENSION APPROACH

TRAINERS' MANUAL

Third Edition, 2009

FOREWORD

The Ministry of Agriculture and Cooperatives recognizes the presence of several players in Participatory Agricultural Extension Innovation Delivery. There is currently some notable differences in levels and forms of target group participation applied by different stakeholders which has often led to confusion among farmer beneficiaries.

This manual is designed to provide guidelines on key elements of participatory extension approach. It is recommended for all field workers in the Agricultural sector and development workers involved in the facilitation of community development.

The manual is one in a set of three and it is to be used along with the Field Implementation, and Monitoring and Evaluation Manuals.

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CHAPTER 1

1.0 AN INTRODUCTION TO PARTICIPATORY APPROACHES.

1.1: INTRODUCTION

There are many approaches being adopted to strengthen the delivery of Agricultural Services in Africa in general and in Zambia in particular. In all these approaches, the emphasis has been to organize Extension and Research without giving due attention to organizing the client systems. Involvement of client systems in planning, managing and implementation of programmes is, however, important for improving the adoption rates, incomes and welfare of the rural population.

Agricultural Extension services in Zambia have gone through a number of stages over the years, from the military approach, individual farm visits approach, to the training and visit system approach, all characterized to a greater or lesser extent, by a "top-down" planning.

Furthermore, various agencies in Zambia are increasingly recognizing the need to involve rural communities in all stages of development interventions intended to improve their livelihood. In efforts to promote rural development, the importance of community participation and empowerment is being acknowledged.

1.2: Participatory Approaches

Participation aims at bringing about change in people's attitude towards their environment and the adoption of interventions for agricultural and rural development. There have been a lot of developments in the use of participatory approaches. Some of these focus more on problem diagnosis, others are more oriented to community empowerment, while some concentrate on facilitating farmer-led research and extension. In all cases, the design involves professionals in the field to listening to, and learning from, farmers.

Some of the tools used in participatory approaches are:

- Rapid Rural Appraisal
- Participatory Rural Appraisal

- Participatory Needs Assessment
- Participatory Learning and Action
- Participatory Monitoring and Evaluation (PME)

1.2.1: Rapid Rural Appraisal (RRA)

A tool for extracting information and data from rural communities and individuals for use by outsiders. Involves semi-structured interviews, written information/data if available, observations, walks, etc. Lacks precision and its value is heavily dependent on judgment of outsider individual or group. Useful for familiarization and perhaps ground proofing/confirmation of more detailed analyses. Has advantage of being comparatively quick.

1.2.2: Participatory Rural Appraisal (PRA)

Similar to RRA except that community participates in the information gathering and interpretation process and is primary user of that information – insider orientation compared to outsider as in RRA. Community/individuals fully involved in providing information, identifying and analyzing problems, priorities, developing solutions, implementing and evaluating impact. Assists communities to identify the skills they need for controlling their own development activities.

1.2.3: Participatory Needs Assessment (PNA)

Community is informers and fully involved in assessing needs and constraints. Following a process of participation of all interest groups and formal and informal organizations leads to definition of priorities and provides basic information from which community action plans can be prepared.

1.2.4: Participatory Monitoring and Evaluation (PME)

The process by which the community continually monitors the status of action plan implementation. Also involves the community in periodically conducting a participatory evaluation exercise to determine the impact of the actions implemented. Communities define the performance indicators for judging the success or failure of the action, the lessons learned and the overall impact.

1.2.5: Participatory Learning and Action

Participatory Learning and action is participatory development process in which facilitators, change agents and extension staff engage rural communities. This process starts with a collection, exchange and analysis of local data, continues through a long distance and intense learning phase and eventually ends with a proactive community members taking action to further their own development.

1.3: Common Principles of Participatory Approaches

Some of the common principles of Participatory Approaches are as defined below:

1.3.1: Multiple perspectives

Participatory Approaches have multiple perspectives and defined as a methodology and systematic learning process. The focus is on cumulative joint learning between professionals and local people. The objective is to seek diversity rather than simplifying complexity. Everyone is different and important; perceptions vary but all are accommodative. There is no single and uniform participatory approach, all approaches conform to the same common principles.

1.3.2: Group learning process

All approaches/methods recognize that the complexity of the world will only be revealed through group analysis and interaction (multi-disciplinary teams, heterogeneous communities).

1.3.3: Context specific

The approaches are flexible enough to be adapted to suit each new situation or new group of actors. Allowing participants to invent new methods, terms and names will encourage a greater sense of ownership; encourage the community/participants to take responsibility for their own development.

1.3.4: Facilitating experts and stakeholders.

The methodology is concerned with the transformation of existing activities and improving people's situation. The role of the external expert is best thought of as helping people carry out their own study and so achieve something which is their "own". The professionals/ experts are facilitators of other people's learning. The facilitating team should involve people from different service agencies as to benefit from their knowledge experiences and perspectives.

1.3.5: Leading to change.

The participatory process leads to debate about change. The process of joint analysis and dialogue helps to define changes that bring about improvement, and seeks to motivate people to take action to implement the defined change. Top-down messages/instructions do not necessarily solve people's problems.

1.4: Basic Features and Considerations of Participatory Approaches

The following are some of the basic features of Participatory Approaches:

1.4.1: Involvement of the whole community

Farmer communities are not homogeneous hence Participatory Approaches take into consideration the contribution from different socio-interest groups (women, men and youth). The facilitator should make sure that people from disadvantaged groups are involved and participate actively.

1.4.2: Triangulation

This principle examines the problem by using at least three different tools of diagnosis **eg Mapping, Transect and Semi Structured Interview.** There are many others that can be used depending on the particular community. Approaching a problem with only one point of view, based on one tool or technique can lead to wrong solutions. The diagnosis is facilitated by multi-disciplinary teams, and the discussion involves the various socio-interest groups.

1.4.3: The Community/Village residents leadership role in all phases

Successful activities at community level require that farmers take up the leadership role. Participatory Approach emphasis is on empowering farmers to implement their own decisions. The role of an extension worker is very much that of a facilitator.

1.4.4: Development

Is a process that leads to both quantitative and qualitative improvement in the social, economic and political spheres. All residents are given opportunities in planning, implementation monitoring and evaluation.

1.4.5: Self-Help

Community/Village residents use their own expertise, resources, labor and organizations to solve their problems. All members of the community have capacities (time resources, skills, decision-making powers, to mention but a few), to participate in their development activities. The community has the power to effect changes through their own efforts.

1.4.6: Mutual Help

The community residents should understand that to bring about change, they have to rely largely on their own efforts and be willing to help one another. Working together achieves better results quicker.

1.4.7: Change of Attitude and Behaviour

Extension and other rural service agents need to have a complete transformation of attitude and behaviour towards rural people. In many cases, extension agents tend to impose ideas on communities and give insufficient consideration of their views, knowledge and experience. Experience has shown, however, that the communities know their situation and problems better than outsiders do. PEA requires extension staff to be patient, to listen, and to accept criticism. The challenge is to guide and facilitate the process and share his/her experience and knowledge with others.

A complete transformation of attitude & behaviour towards rural people

"Nobody knows nothing and nobody knows everything"

1.5: Terminologies Used in Participatory Processes

1.5.1 Empowerment is a process through which individuals, as well as local groups and communities, identify and shape their lives and the kind of society in which they live. It can be experienced on an individual level or in terms of the household, local groups, community or a larger entity. Empowerment means that people are able to organize and influence change on the basis of their access to knowledge, to political processes and to financial, social and natural resources as well as their own individual efforts.

1.5.2 Participation is the active involvement of community members in analyzing their situation and in all decisions related to development objectives and activities, as well as in the activities themselves. The primary purpose of participation is to encourage community self-determination and thus foster sustainable development.

1.5.3 Development is a change for the better. It is a process of improving the lives of people, especially the lives of those people whose elementary basic needs are not fulfilled. The people in the communities know what improvements they need. By setting their priorities, they define what development means to them. Defined in another way, development is occurring where people are gaining the self-confidence, motivation, character traits, and knowledge needed to tackle and solve their problems.

1.5.4 Gender refers to the social differences between men and women that are learned, changeable over time and have wide variations within and between cultures. It is a socio-economic variable to analyze roles, responsibilities, constraints, opportunities and needs of men and women in any context. On the other hand, **SEX** refers to the biologically determined differences between men and women that are universal.

1.5.5 Facilitation is a process of creating an environment that helps (or enables/empowers) people become more expert managers of their own situation by enhancing their ability to learn. It uses (self) discovery learning methods and participatory approaches, makes things visible, asks people (farmers) to draw their own conclusions, and helps them become researchers, observers and decision-makers based on their own potential.

1.5.6 Farmer experimentation means farmers trying out ideas and techniques in practice with the aim to learn. The results/outcomes can be either positive or negative. A negative outcome does not mean that nothing is learnt. Generally, farmers experiment (i.e. try out)

- out of curiosity,
- to solve specific problems, or
- to adapt a given technology/practice

1.5.7 Indigenous knowledge refers to ideas, experiences, practices and information that have been generated locally, or are generated elsewhere but have been adapted by local people and incorporated in the local way of life. Indigenous knowledge includes local technologies but also local cultural, social and economic aspects.

1.5.8 Self-help/self-reliance is a process of development characterized by the initiative of the people/community to analyze their situation, identify problems, plan how to solve these problems, mobilize their own resources, organize themselves, and solve the problems without relying on outsiders to do it for them. The definition is still valid in cases where external input becomes part of the process just so long as the external input catalyses and not substitutes the local initiative.

1.5.9 Extension is a process through which communities/farmers, researchers and change agents (extensionists, facilitators) interact, share and learn together for the purpose of understanding situations and exploring options for problem solving at community/farm-level. It is characterized by multi-way communication.

1.5.10 Local institutions are formal as well as non-formal groups and authorities that fulfill certain purposes in a given community, e.g. traditional leadership structures, government departments represented in the community, savings clubs, local healers, traditional midwives etc.

1.5.11 Community is used to describe a group(s) of people informal and formal, who identify themselves both socially and geographically. Such people can be associated culturally, through kinship or other common objective.

1.6: Key conceptual words used in participatory approaches

Successful Implementation of the Participatory learning cycle requires extension facilitators and decision-makers to be conversant with key conceptual words used in the processes. Some of these are presented in the table below;

Table 1: Key Conceptual Words

Change	Ownership
Transformation	Diagnosis
Commitment	Situation analysis
Empowerment	Problem identification
Attitude	problem solving
Indigenous knowledge	Priority setting
Continuous learning process	Sustainability
Partnership and Sharing	Self-reliance and Self-help
Listening	Capacity building and knowledge
Patience	Enthusiasm
Facilitation	Coordination
Flexibility	cooperation
Learning together	

CHAPTER 2

2.0 PARTICIPATORY EXTENSION APPROACH (PEA)

2.1: Introduction

This chapter is aimed at building on the existing knowledge, understanding of PEA and sharpening skills for utilization of its tools and techniques in the implementation of the activities of the Ministry of Agriculture and Cooperatives (MACO) and other organizations.

Zambia has had various approaches for the purpose of executing extension duties. During the 80s the Training and Visit (T & V) approach was the official extension approach in Zambia. Later in the 90s it was found that:

- It was expensive
- Promoted the belief that extension workers are the teachers while farmers are passive recipients of skills and knowledge
- It was technology focused rather than people focused
- It was top-down and did not promote self initiative among extension workers and farmers
- It was prescriptive, preconceived
- It was inflexible and manifested inability to address the diverse and complex farming problems in Zambia

As a result of this realization, MACO and other organizations sought to adopt more participatory approaches.

2.2: What is Participatory Extension Approach?

PEA is a participatory learning process

Participatory Extension Approach is a participatory learning process in which all village residents are involved in identifying, prioritizing and analyzing problems, making action plans to address the problems, implementing and monitoring the activities through the village organization committees. PEA Provides a methodology to empowering rural people at community levels to get involved in implementing those action plans that address priority problems that have been identified by the communities themselves.

It is a community based extension system and the focus is on cumulative joint learning between professionals and local people.

PEA covers the whole spectrum of agricultural and rural development. Through PEA, the community residents may be able to seek assistance from the services of other rural service providers and development organizations active in the area.

2.3: Objectives of PEA

The overall objectives of the PEA process are:

- To mobilize and empower the rural population by involving them in every step of planning and implementation of activities,
- To strengthen on-going decentralization process,
- To strengthen the planning, co-ordination and delivery of rural services,
- To strengthen the management of social and rural development,

The specific objectives include:

- To facilitate the community to identify their problems, potentials and opportunities and prioritize them
- To enable community residents to analyze their problems, causes and propose solutions
- To involve community residents in the formulation of action plans to solve their problems
- To legitimize the community problems. The residents recognize and own the plans since they are a product of their efforts
- To aid mobilization of resources from within and outside the community to implement the action plan, and to put pressure on different partners (government services, NGOs and other active institutions in the rural area) to deliver quality services in a timely fashion
- To encourage the residents to monitor and evaluate the implementation of their action plans.

NB: The above specific objectives show the process envisaged by the PEA

2.4: Key features of PEA

The key features of PEA are: -

1. All community residents are involved
2. The community residents identify their priorities, make their own decisions and set their own agenda
3. More comprehensive and systematic approach to planning
4. Plans are broad based to address all the concerns of rural development

5. Establishment of community committees to oversee implementation of the community action plans
6. Empowers community to demand for quality and timely services.
7. Communities are responsible for conducting participatory monitoring of implementation and assessment of the impact and results.

2.5: General Principles of PEA

2.5.1 Group Learning Process / Community Mobilization

- The strength of the poor depends on their numbers but their numbers are nothing if they are not organized.
- The complexity of the world will only be revealed through group analysis and interaction.
- People need to be mobilized for planning and action, taking equal partnership, contributing knowledge and skills and learning from each other.

2.5.2 Building Community Capacity

- To identify problems, plan and manage actions to solving them,
- To getting involved in technology development i.e blending indigenous and outside ideas,
- For specificity, Appropriate interventions, negotiating and reconciling to attain sustainable growth,
- To seeking diversity, every one is different and important, perceptions vary but all are accommodated,

2.6: Defining the PEA Cycle and the Key Stages

The participatory process involves a logical sequence of stages:

1. Preparation
2. Diagnosis
3. Needs assessment
4. Training and exposure
5. Action planning
6. Resource mobilization
7. Implementation
8. Monitoring and evaluation

The process is interactive. After a period of time the action plans are evaluated and the diagnosis updated to reflect the progress, the short comings and the lessons learned during the previous period.

2.6.1: STAGE 1: Preparation

This is the first step in the PEA cycle and it involves various activities;

a) **Training of a core team of trainers/facilitators** in order to equip them with the knowledge and skills to train other extension workers and community residents and provide continuous backup as well as learning.
b) Creating Awareness Among Key District Stakeholders which is the first task of the National Core Training Team in order to create awareness of the concepts, objectives and methodology of the PEA learning cycle among key District stakeholders and actors.
c) Building a District Training Team
The core team of trainers in the districts should preferably be multi-disciplinary. Trainers should be drawn from a range of organizations or departments.
d) Identification of the community; The fourth step of PEA activities involves selection of the Community. The District leadership and the civic leaders must agree upon the choice of the community.
e) Entering the community and building trust; During the first meeting with the community leaders, PEA trained extension worker explains the purpose for their being there and the PEA process. They must be precise enough in order to build confidence and trust in the community. The community leaders should be requested to take responsibility of the activities.

2.6.2: Stage 2: Diagnosis

Diagnosis is an examination and analysis of any given situation. In the context of PEA, diagnosis examines the community, practices, opportunities, the problems they encounter, and their causes. This crucial information is obtained by using various tools such as secondary data (earlier discussed), mapping, transect, vein diagram and semi structured interviews.

This is the second step in the participatory process. It examines and analyses the village situation. This is a very important stage in the cycle of PEA. It avails an opportunity for the facilitators to understand and appreciate the community and the environment they will be working in. Similarly the community residents get to analyze the economic, social and environmental conditions of their village as a first step in identifying problems and suggesting solutions to them. A full understanding of the limitations and potential of an area, and of the physical and social-economic landscape makes it easier to find appropriate solutions.
With the help of the multidisciplinary team acting as facilitators, the community residents learn how to analyze the current situation using various steps.

However, it should be noted not to exclude the resource-poor community members, including women who have different needs from the other subgroups.

2.6.3 Stage 3: Needs Assessment

Needs assessment entails participatory identification of needs felt and experienced by farmers and small scale entrepreneurs. The needs are classified by category to help the identification of programme responses. The objective is to identify needs which when addressed will help individuals, interest groups and community at large to implement a chosen economic activity productively and profitably.

Interest Group members are identified (both individual and collective) and classified accordingly. Then Action Plans are formulated to address the member's needs. At household level assess needs of individuals and individual households and classify them with a gender perspective: assessing critical constraints to women's participation. At community level if a number of Interest Groups identify the same infrastructure constraint to local economic development, then assess the extent of the community's need for the infrastructure; whether it is a real community priority, and how to access funds to supplement the community's own effort in acquiring the infrastructure.

The needs may include; technical, information, management, exposure, financial, infrastructural, security, networks and commercial needs.

2.6.4 Stage 4 Training and exposure

This step constitutes the various responses which MACO or other agricultural oriented organizations are able to contribute to address felt needs identified under the needs assessment. The responses are also classified according to the same categories and the table below shows possible responses;

Table 2: Possible Responses to Felt Needs

Type of Need	Type of appropriate response
Technical	Micro training
Information	Source information; information packs; networks
Exposure	Exposure visit
Commercial	Marketing; networking
Management	Training, Business micro training
Networks	Networking (collaborator links)
Financial	Savings' group; IG links to micro finance
Security	Interventions by Chiefs and local leadership, area development committees

2.6.5: Stage 5: Action Planning

Action Planning is the next step which involves determining the activities to be carried out, the resources required, the timing as well as the responsibility. In the action plan the objectives of the community are operationalised. With regard to responsibilities, this can relate to community leaders or institutions that have to support specific activities.

The planning stage involves three sessions. During the first session, the community residents propose actions that can help reach their objectives. During the second session, the facilitators with a small group of village residents examine the list, and eliminate actions that are not feasible, propose alternatives, and add technical solutions the villagers were not aware of. The revised list is then discussed with the community. During the third session, the community residents name the practical steps needed to implement the activities and specify the tasks and roles of all the partners involved in the process.

2.6.6: Stage 6; Resource Mobilization

Resource mobilization means sourcing a number of necessary resources for the enterprise to proceed. For example Cash, Land, physical inputs (equipment, materials-fertilizers, seeds, feeds etc) and labor. The objective is to discuss, support and network sufficiently to source the logistics necessary to implement the action plan.

2.6.7: Stage 7: Implementation

The activities in the action plan need to be implemented or carried out in order to achieve the objectives. It must be noted that the activities can relate to agricultural development, sanitation, nutrition, water supply, experimentation and others.

During this stage the community residents decide on the kind of organization they need to coordinate and implement the development activities.

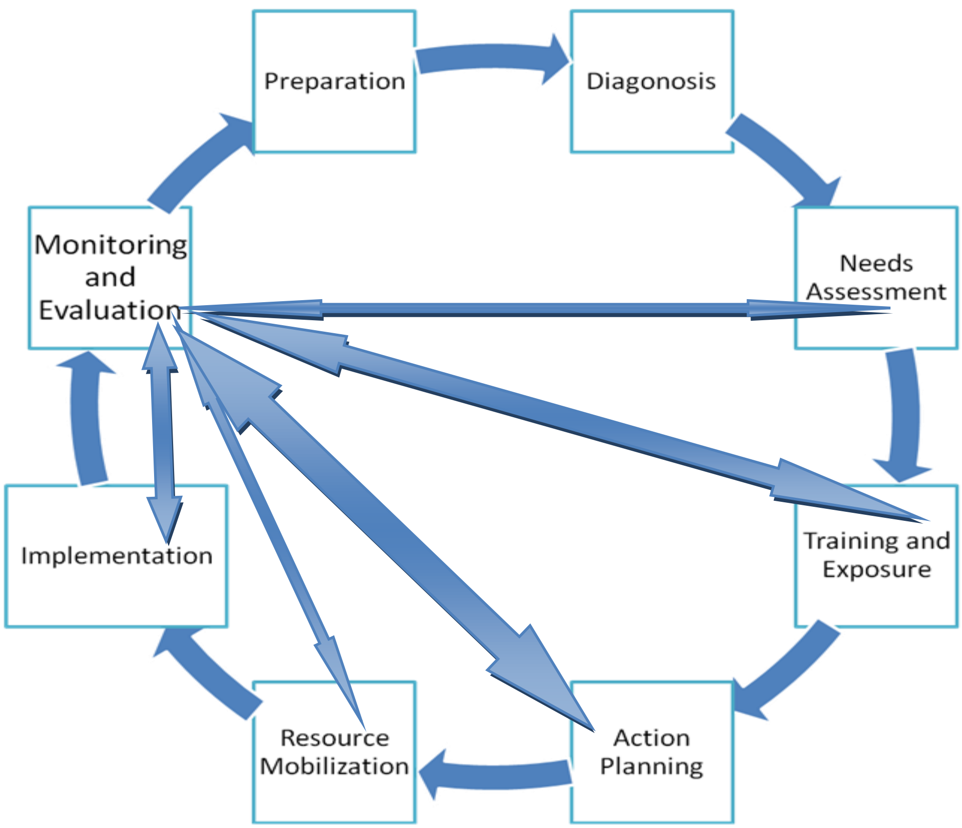
2.6.8: Stage 8: Monitoring and Evaluation and Impact assessment

Depending on the type of activity being carried out, e.g. agricultural innovation development/experimentation, an interim (mid-season) evaluation can be carried out. This can go hand in hand with sharing of experiences in order to achieve multiplier effects. A participatory approach is employed for monitoring and impact assessment. The indicators to be used will be those decided upon by the community or the particular interest group. An annual impact assessment is made to gauge the progress or otherwise being made and the impact of this progress on the well being of the community.

The whole process is then reviewed in a last step, and new actions planned. The whole process constitutes the cycle of action and reflection (the learning cycle).

Note: Each step has a tool(s) used for it. The facilitator needs to apply the relevant tool(s) in each of the steps.

Figure 1: Pea Facilitation Cycle



2.7 The PEA phases, Stages, Activities and Possible Tools Summary

Development does not come by accident. It is usually a result of good planning, logical sequencing of activities, long term commitment and financial support. Therefore a facilitation cycle has been developed for the PEA with specific stages and activities. Further, each stage has specific tools and techniques that should be applied. The summary of stages, activities and tools are illustrated in the table below:

Table 3: summary of stages, activities and tools

Phases of PEA	**STAGE**	**ACTIVITIES**	**POSSIBLE TOOLS**
PHASE I PREPATORY	Preparation	Training of trainers Selecting Communities Contacting authorities Awareness, meeting data collection	Secondary data collection/review
	Diagnosis	Primary data collection and analysis Problem and solution identification and analysis, Institutional analysis	PRA/PLA tools Mapping, transect walk, vein diagrams, SSI, Historical analysis, seasonal calenders, HIV/AIDS analysis, Ranking and scoring, problem tree, objective tree, table of community solutions
PHASE II ANALYSIS	Needs assessment	Identification of various needs (technical, information, exposure, commercial, management, financial, networking, infrastructure, security etc	SSI, Ranking
	Training and exposure	Mobile Training, exchange visits, tours, net working, access	Training Needs assessment
PHASE III PLANNING	Action planning	Individual action planning Community action planning Group action planning Household action planning	Solution seeking, Action planning
	Resource mobilization	Listing resource requirements(land, inputs, finances,etc)	SSI
PHASE IV	Implementation	Taking action, monitoring, reporting/reviewing	
PHASE V	Monitoring and evaluation	Reviewing progress, achievement, impact	Progress reports, Review meetings, Special study, key individual interviews

2.8 Benefits, Cost-Effectiveness, Sustainability, Challenges and Risks of PEA

2.8.1 Benefits

The successful implementation of PEA will result, over time, in the following benefits:-

- PEA will generate community self-confidence, self-reliance and a belief in their capacity to improve their standard of living largely on their own.

- PEA will generate a sense of pride in community and result in the community taking ownership of their own development including generating truly demand-driven services. Communities will progressively begin to tell service providers what they expect of them and the type of service they need.

- PEA will support participatory planning, implementation, monitoring and evaluation. This will enhance ownership and implementation of the planned activities.

- PEA will contribute towards capacity building (human resource development) of the village residents, extension staff and other stakeholders.

- PEA will increase the beneficiaries' demand for services

- PEA will strengthen extension services delivery mechanism, which will improve crop and livestock management and technology adoption among the rural communities. These improvements in turn are expected to lead to increased agricultural production, enhanced food security and higher incomes for the communities.

- PEA will contribute to improved community resource utilization, poverty reduction and sustainable rural development.

- PEA will generate data that will be used as a basis for planning future programmes.

- PEA will help to build co-operative spirit among community membership. This will facilitate formation of viable associations/co-operative movements.

- PEA will also result in a transformation of the service delivery organizations as they develop a new attitude to rural communities, and towards themselves. The practice of participatory management will result in a new attitude of all staff towards the organization and its managers.

- Through the community action plans and the full participation of the target communities in their formulation and implementation, rural development will become more sustainable. Resources will be more cost-efficient. It will also result in resources being focused and therefore allocated, towards actions that are the priority of the target communities.

- PEA is farmers' participatory research tool. As such, farmers learn new skills and build their capacity to adapt technologies and practices so as to make the most efficient use of their limited resources and their environment.

2.8.2 Cost-Effectiveness

PEA is very cost –effective as it embraces the tenets of group approach, farmer contribution, team work and collective management decision making.

2.8.3 Sustainability

PEA sustainability entails institutional, financial and environmental aspects:-

- PEA aims at human resource development to plan, implement and maintain the activities on a sustainable basis.
- By the mere fact that the planning is participatory, there will be high commitment in implementation of planned activities.
- **Cost-sharing**: It is hoped that when services are demand driven, adoption of improved practices/technologies will be high and thus higher productivity and incomes. This will empower the rural communities to cost share some of the activities
- Integration of PEA in extension implies that implementation of community action plans will be facilitated by the extension services.
- Collaboration with NGOs involved in rural development, Donors and other stakeholders will maximize the efficiency of use of the resources available from the different sources.
- Demand driven extension services will be more cost-effective.
- With decentralization, the local authorities will readily supervise staff to ascertain implementation status.
- Use of community residents as trainers/volunteer leaders and facilitators can reduce on the cost of implementing PEA as the Livingstone Food Security Programme and the Western Province PPP programme has shown.

2.8.4 Challenges of PEA

Soliciting support for the Community Action Plan by the community residents; the community residents' problems cut across different sectors (Education, Health, Community Development, Works, etc). Consequently, the agencies in charge of these sectors should support the community residents for the successful implementation of the Action Plans. These sectors, however, belong to different ministries and NGOs and their priorities differ. The situation may be addressed as follows:-

- Linking Community Concerns with Camp, District and National development priorities so that these concerns are put into consideration when allocating resources.

- Putting in place a body to coordinate PEA activities, publicize achievements and ensure flow of communication among all rural actors at district and national level.

- The implementation committees at all levels are to sustain the people's commitment and interest to implement the Action Plans.

- Field staff should cope with increased demand for their services

- The community residents should build strong capacity to monitor and evaluate the implementation of the Action Plan.

2.8.5 Risks

The approach, which will be in-built in the extension system, is likely to be faced with organizational, financial and macro-economic risks. Promoting partnerships among the intervening agencies would contain safeguards against these. Resources should be devoted for human resource development and strengthening planning and management capacity. Involvement of various partners having different concepts and approaches to extension is likely to affect the speed with which decisions are reached and implemented.

Coordination with decentralized extension services may experience bottlenecks if effective linkage mechanisms between districts and the center are not clearly spelt out. Increased work load due to integration of PEA in extension will constrain the extension workers. However by provision of motorcycles to Field Extension Workers and adequate logistical support this should be minimized.

Central government and district authorities will have to accord rural development activity priority in their budget allocations. This will be necessary for implementation of the PEA approach and particularly for micro projects not to be hampered by inadequate funding. This risk will be partially minimized by phasing of district coverage and allocation of funds for rural development. Risks of delays and dilution of focus on programme objectives will be addressed through clear scheduled action plans and the participatory monitoring and evaluation.

2.9 The Role of PEA in Strengthening Extension Delivery

PEA strengthens the delivery of extension services in the following ways:

2.9.1 Education

All those involved in the PEA process benefit through learning. The community residents learn how to identify, prioritize, analyze their problems and make action plans to address these problems. In this way, the educational element in PEA facilitates better understanding between the community residents and the extension staff and leads to faster adoption. Extension staff also increases their knowledge of the community socio-economic environment and the community dynamics. This improves their effectiveness.

2.9.2 Involvement

Community resident's involvement in every step in planning and implementation makes them recognize the plan as their own and this creates a sense of commitment to implement it. Sustainable rural development and improving the living standards of rural communities can only be achieved through a process of their complete involvement in the planning, implementation and evaluation of actions which reflect their priorities and needs rather than those of external agents..

Community residents who are involved in the planning process act as disciplines to all corners of the community. This leads to a higher multiplier effect and accelerated pace of adoption of recommended practices.

2.9.3 Empowerment

The empowerment of individuals and communities results in residents gaining more self-confidence in making decisions to determine their own programmes for improving their welfare, as well as to demand for services.

2.9.4 Participation

The community residents are actively involved in decision making and execution of their plans. This generates higher levels of motivation, enthusiasm and change of attitudes. This helps the community to development a vision and aspirations for progress.

2.9.5 Equity

The participation of all the socio-interest groups with different socio-economic status and resource structure (fisher folk, vulnerable and marginalized groups, women farmers, etc) ensure that no sub-group is marginalized in terms of resources utilization and benefits.

2.9.6 Partnership

PEA promotes partnerships among NGOs, Private sector, Government Agencies, and other Stakeholders with rural communities by involving them right from planning up to implementation stage. This strengthens the extension and other rural services and helps to harmonize and rationalize resource use.

CHAPTER 3

3.0 TOOLS AND TECHNIQUES FOR PEA

3.1 Introduction

This section deals with KNOWLEDGE AND SKILLS DEVELOPMENT in the use of tools and techniques of PEA.

3.1.1 Basket full of tools and techniques

In the PEA cycle a "Basket full of tools and techniques" are used. The most common tools and techniques are categorized as follows:

a) Diagramming, Mapping and Modeling:

- Transect Walk
- Maps (resource, social, farm)
- Venn diagrams (institutional analysis)
- Seasonal analysis (seasonal calenderisation)
- Historical analysis (time lines, trend lines, activity profiles)

b) Ranking and scoring

- Pair wise ranking
- Matrix ranking
- Matrix scoring
- Well-being analysis and Wealth ranking
- Proportional piling
- Pie charts c) Problem analysis
- Problem tree
- Objective tree

3.1.2 Selection of tools and techniques to use

There is a wide range of techniques and methods for PEA, and it is not possible to use all of them in a given situation. Selecting the right and suitable techniques is very important and a pre-requisite to successful PEA.

The methods and tools presented here can be considered as a tool box: the facilitating team selects the tools from the tool box that are most likely to achieve the desired objectives within time available.

Field experience from other countries show the tools most often used are village mapping semi-structured interviews, transect, Venn diagrams and tools dealing with HIV/AIDS.

Use of the various tools require different skills. The team facilitating should decide who to use which tools, based on each member's skills and interest.

A wide range of techniques are used under PEA for different purposes. Some tools and techniques are used for collecting information and others are for collection and analysis at the same time. This also guides selection of the tools and techniques to use.

A) Techniques for data collection
   - Secondary data review
   - Direct observation
   - Semi-structured interviews

B) Techniques for both data collection and analysis e.g.
   - Ranking
   - Diagramming
   - Small group discussions

3.2. Tools for preparation stage

3.2.1 Tool 1: Secondary Data Review

Introduction

Secondary data refers to information gathered from reports, newspapers, leaflets, pamphlets, library sources, surveys, studies, folklore and other classified documents. This information is derived from researchers, NGOs, departmental reports and documentaries. It is desirable to gather information on a community before going to the field to conduct the actual information collection and diagnosis with the people.

After the selection and approval of the village, the survey team or the PEA lead person must ensure that collection and synthesis of the basic data on the community is done before the in-depth exercise.

Secondary data review helps to save time, avoid duplication, develop gaps and issues for follow up, clarify the PRA topic by reviewing what has been said, written about and missed before. Secondary data can be written in form of diagrams, tables and lists, brief summary paragraphs and copies of maps and photographs.

Objectives

The objectives of secondary data collection are to provide basic knowledge about the community and its level of development, and to synthesize the available data from which the general diagnosis will be undertaken by the multi-disciplinary team.

Methodology

Types of data to be collected include:

- Demography of the village (number, ethnic groups, men/women, etc)
- Important historical facts and events total population size
- Religious data
- Natural resources (land, water, forests)
- Farming system, types of crops and yields
- Livestock; types, numbers and yields
- Socio-economic infrastructure (roads, schools, health centres, markets, etc)
- Community organizations – formal and informal
- Past and ongoing development initiatives, if any.
- Any special reports and or studies relevant to the respective community.
- Social cultural features (marketing days, cerebrations and others)
- Infrastructure (schools, health. Clinics, water supply and others
- Impact of HIV/AIDS (number of orphans, HIV/AIDS prevalence changes in mortality and the like.
- Others

If there is not sufficient data available on a village/community, the multi-disciplinary team(s) should undertake a simple survey using checklists. Formats for the presentation of the basic information collected are presented in **table 4**

Table 4: Format for presenting Secondary data

Information requirement	**Simple short notes, comments**
District, Community name, Name of headman, name of chief, name of councilor,	
Social cultural data	
Total population, number of villages, number of female headed households, dominant ethnic groups, other ethnic groups, religions, dominant religion, existing organizations, social professional groups, market day, markets frequented, distance to markets, ceremonial and festival periods	
Social economical data	
Number/types of agricultural enterprises/farming systems, dominant farming systems, other agricultural activities, other economical activities, numbers of cattle and other livestock, agricultural equipment, food security status, income generating activities.	
Amenities / services	
Community infrastructure, road access, services available (health, education, transport etc), other agencies (government, ngos, etc) present, known household water supply, known problems.	

Presenting the data

The data are synthesized and presented in a village data sheet which provides a summary description of:

- Socio cultural characteristics of the population
- The natural resource base of the area
- Agricultural and land management practices
- Other aspects of the village economy.

Before going to the village to conduct an in-depth planning exercise, several members of the team of facilitators collect and synthesize the suitable data, then present it to other members.

Sources of Information

These can include:

- Reports prepared by the extension agents and other development organizations providing services in the community/village

- Census reports
- Topographical maps to indicate the location of the village
- Thematic maps (soil types, geology, vegetation)
- Documentation through videotapes, baseline data, pictures etc.

Note the existing data may not always be reliable. It is therefore important to enter this exercise with an open, inquiring mind.

Application of Secondary Data

The data collected and synthesized by the multi-disciplinary team can be used as background information to the Action Plans to be developed by the community. Furthermore, this data can be used to validate information obtained from the semi-structured interviews.

3.3 Tools for diagnosis stage

3.3.1 Tool 2: Community Mapping

Introduction

Mapping, as a diagnostic tool, is used as a reference throughout the village level participatory exercise.

Community mapping is the methodology used to help the village residents know and understand clearly the actual situation of their village. It provides information on how the village is being utilized. The village mapping is used as a mirror to see clearly and identify problems, constraints and the potential of the community.

Since the community is not homogeneous, it is necessary to let each socio-interest group come up with its map. This helps the community residents to exchange ideas about their village and increase their knowledge and understanding of their situation. The maps prepared by the socio-interest groups may present different impressions of the community and this enhances complementarily in the synthesis map.

Note that whether literate or not, community residents are generally capable of drawing the map.

Objectives

- To draw the map of the community
- To gain a deeper understanding of the actual village situation and how the village resources are utilized
- To instill self-confidence and interest among the residents by physically drawing the map themselves

- To highlight the different perceptions and center of interest of the various socio-interest groups.

Methodology

The village mapping includes four stages:

- an introduction where explanation is given about the mapping exercise
- the physical drawing of the maps by the socio-interest groups
- presentation of the maps by each group to all the community residents in a plenary meeting
- integration of the socio-interest group maps into a final synthesis map of the community

Explanation of the mapping exercise:

Before the community residents start on the mapping exercise, they must understand very clearly the objectives of the map.

The community residents are then divided into the socio-interest groups for example women, men, youth, and elders.

The socio-interest groups move to a suitable site where they can draw the Map.

Drawing of the community map:

Drawing the community map comprises of the steps indicated in **Table 5**.

Presentation of the map at the plenary:

Each socio-interest group presents their map in the plenary.

Community residents are allowed to express their views on the maps presented to stimulate discussion and clarification of issues.

The facilitator wraps up this session by requesting the community residents to select the map, which has the most representative features of the village. He/she should point out that the maps could be further improved by indicating the various agricultural activities in the village and other features, which might have been left out.

Table 5: Steps in drawing the village map

Steps	**Practical Tips**
Selection of draft persons	Two people should sketch the map. The group is stimulated to sketch by asking "in which direction does the sum rise and set?" (Compass direction)
Drawing the map on paper	Place the paper on the ground Orient the paper facing northwards direction One of the draught persons then copies the map from the ground on to the paper. Attention should be given to the choice and correct use of the symbols and colours. The key, title and date of the map should be included for completeness.
Selection of reporter per sub-group	The selection of a reporter is left to each socio-interest group initiative. This is followed by a simulation session (lasting about 10 minutes) by the presentation to the sub-group.

Integration of the maps

The facilitator guides the plenary to select a committee consisting of two people from each of the socio-interest group to draw the comprehensive map of the community. This map is referred to as the Synthesis Map. It is then presented to the participants in a plenary session for their comments, approval and adoption as the community map. When completed this map is used as a tool for discussions. Steps to be taken for the integration of the maps of the sub-groups are shown in **Table 6.** An example of the community map is shown in **Fig 2:**

Points to note

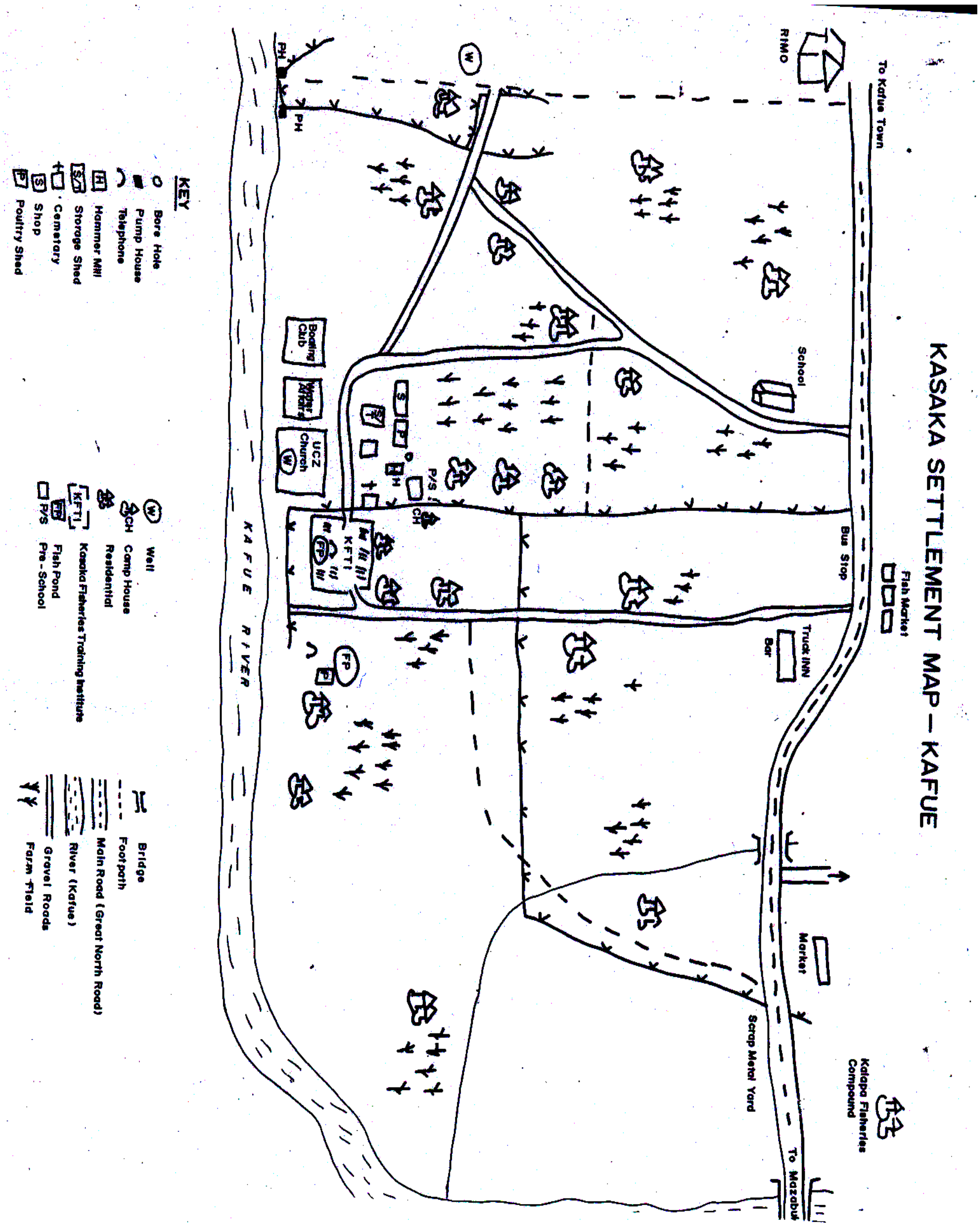
Although the map drawn by the socio-interest group is a sketch and not drawn to scale, this does not prevent the community residents from utilizing the information conveyed by the map. What is important is the representation of the essential elements and land use patterns. The presence of these elements of the landscape (agricultural land, pasture land, valleys, hills etc) encourages discussions about the natural resources of the village (soils, vegetation covers, etc).

Explain that the map is not a tool to formally demarcate the boundaries of the village or community.

Table 6: Steps for integrating the sub-group maps

Phases	**Measures to be taken – practical suggestions**
Introduction by the lead facilitator	Explain the objective of the meeting, indicate the context in a sense of complementarity of each map and not of confrontation between the groups
Presentation and explanation of maps per sub-group	Ask advice of old people for the correct order of presenting maps. Invite members of each sub-group to support the reporter in his/her presentation. Subsequently, invite participants to ask questions for clarification and reactions. It is not so much a question of appreciation of the map, but of comprehension from the sub-group's perspective.
Synthesis of presentation by the lead facilitator	Prepare a summary of the presentations of various sub-groups emphasizing the focal points of the various groups, which shows that reality is different for every sub-group. If we only have a map of one group it is not enough to fully describe the community. It has to be completed by other groups
Organization for the drawing of the synthesis map	Establish a committee for drawing of the final map. Each sub-group and the extension facilitator must be represented. The committee selects the map with the largest coverage of the various aspects after which it is complemented by elements of other maps
Following activities	Explain to the meeting the phases of interviews and transects. Choose axis(es) for the transects. Start selecting those residents who will participate in the mixed groups for the transects before wrapping up the meeting. The semi-structured interviews are also conducted in small groups. Invite all community members for the wrap up meeting

Figure 2: Map of the community



3.2.2 Tool 3. Transect

Introduction

A transect is a walk across the community/village following a pre-determined route on the map which indicates environmental, physical and socio-economic diversity. It involves recording the landscape, soil types, vegetation, farming activities, degradation tendencies, services and other socio-economic activities. This walk verifies what has been indicated on the map. It enriches the resident's knowledge about their community and fills in the information gaps missed during mapping. Transects take place in mixed groups (men, women, youth) to stimulate discussion from various points of view.

Generally, the community residents appreciate this "trip to the field" for it helps them to internalize problems related to farming, health, roads and other socio-economic aspects, which affect development. Transects portray the interactions between the physical environment and human activities over space and time.

Objectives of the Transect

- On spot verification of the information obtained through mapping of the community and to provide source of information for semi-structured interviews

- To discover the diversity of resources, potential and problems in the community

- To identify the tendencies and problems of each zone of the village

Importance of the Transect

During the walk, farmers make visual observations of their village and get to know it better

It instills a sense of participation in the community residents

It enables the community residents to discover new aspects of their community and make on spot observations and discussions

It instills a deeper appreciation of the community problems and opportunities

Process

Step 1: **The facilitator of the day introduces the topic** of the transect to the village plenary meeting. The objective of transect are explained.

Step 2: **Selection of transect routes** using the synthesis map.

Together with representative of the community, decide on a line through a cross-section of the landscape.

The routes for the transect should preferably be determined taking into consideration the diversity of the environment and agricultural activities.

Step 3: **Composition of the transect sub-groups**

The transect is made by mixed sub-groups with representatives from the various socio-interest groups. The multidisciplinary team is divided ensuring that the various disciplines are equally represented to probe and give technical explanations during the walk.

Step 4: **Selection of a pacesetter and recorder**. Each subgroup should select a pacesetter and recorder to take notes of what will be observed.

Step 5: **The transect walk**

- Each subgroup is assigned a transect route
- The groups are flagged off from a common starting point
- Before starting the walk, the facilitator for each group again briefs them on what to do.
- During the course of the walk, attention is paid to the different soils (using indigenous names), vegetation, crops, livestock, socio-economic activities, opportunities, exploitation problems, erosion, deforestation, extensive cultivation and the solutions put in place.

Going from one zone to the next, the village residents indicate the boundaries and specify characteristics distinguishing one zone from the other. These characteristics may concern soil, vegetation, and slope or land use.

Step 6: **Drawing the transect diagram**

At the end of the walk, the information collected from the transect conducted is presented in a tabulated form. The recorder makes the drawings with the approval of the subgroup. A rehearsal on the presentation of the transect diagram should be made in the subgroup before the plenary session.

Step 7: **Presentation of the transect diagram**

A member of the sub-group volunteers to present the drawing of the transect to other community residents during the plenary session.

An example of the transect axis and transect diagram are indicated in **Table7 and Fig 3:** respectively.

Table 7: Transect Axis

Distance				
Zone				
Soil (local name)				
Vegetation				
Crops				
Livestock				
Fisheries				
Socio-economic activities/facilities				
Problems				
Tendencies (trend as a result of human activity)				
Applied solutions				
Solutions to be applied				
Opportunities				

Figure 3: Example of a Transect

TRANSECT AXIS AND DIAGRAM OF KASAKA SETTLEMENT – KAFUE

Distance (Metres)	0 – 180	80	180
Zone	1	2	3
Soil type	Sand	Sandy clay	Sandy clay
Crops	Maize	Maize	—
Vegetation	Short trees and dry grass	Scattered shrubs	Thick trees/ Bush / Dry g
Fisheries	—	—	—
Socio-Economic Activities	Pre-School Hammer-Mill	Tarven/Beer Hall Irrigation Trench	—
Tendencies	Cultivation by hand, Mono cropping	Cultivation by hand, Mono cropping	—
Problems	Stunted crop Poor soils	Stunted crop, Soil erosion Termites attack	—
Applied solutions	—	Leave grass after weeding Apply wood ash	—
Solutions to be applied	Crop rotation, Manuring Apply fertilizers	Reave crop resdue, Crop rotation Apply fertilizers, Plant vertiver grass	—

Points to Note:

In order to undertake a successful transect exercise, the following points should be noted: -

- .The whole exercise requires time management, so the routes selected should not be too long
- .The routes selected should show diversity of the environment, agricultural and socio-economic activities
- .Where possible a vehicle should be availed to drop or pick the group at agreed points of the route
- .The objective of this exercise should be clearly explained to community residents to alley such fears as land grabbing

3.2.3 Tool 4. The Venn Diagram

Introduction

The Venn diagram is a tool used to illustrate the roles and inter-relationships of external and internal organizations and also key individuals in the community. It is also very useful when deciding on which organization to coordinate implementation. The analysis of the organizations is carried out in a participatory manner. The Venn diagram is prepared during the time of the transect walk. It involves representatives of the different socio-interest groups and other individuals who, for various reasons, cannot take part in the transect walk.

The Purpose

This tool helps a facilitator to understand the roles of local organizations and the perceptions that people have about them. It clarifies which institutions are the most important, which have the respect and confidence of different social groups in a community, and who participates and is represented by which ones. It also helps to identify what outside group's work with which community groups and which groups can effectively engage in sustainable development activities. The tool furthermore highlights the strengths and weaknesses of the different organizations and this informs other steps of the PEA cycle, particularly those that deal with strengthening of local institutions' capacity for implementation.

Specifically this tool will help to:

- Understand how important decisions are made in the village
- Identify and obtain information on the activities of key individuals, NGOs and institutions and other organizations in the community
- Collect information on relationships between organizations
- Get the population's perceptions of the roles and contribution of these organizations to the development of the village
- Highlight interpersonal interactions and institutional linkages

Methodology

- Get to know the names of the different institutions prior to using the tool. This helps the planning as well as the subsequent steps of the process. Make a list of the existing organizations both internal and external
- Divide group by gender, age or other criteria. Alternatively, you can use the tool without dividing people and in this case you can use the tool with representatives from the community.

- Ask each group to determine criteria for the importance of an organization and to rank them according to these criteria.

- Let the participants write the name or put a symbol on the appropriate square or circle to represent an organization.

A large circle is drawn representing the community/village. Inside this circle other smaller circles are drawn to represent organizations which exist within the community. Other smaller circles are drawn outside the large circle to represent organizations which are external to the community.

The size of the circle reflects the importance and impact of the organization on the development activities of the community. Ask the participants about the relative sizes of the circles and to indicate where the arrows from the outside circles should stop (whether they should penetrate and how deep inside the big circle).

The location of the circle and degree of penetration of the arrow indicates the extent to which the organization has reached the village residents.

The interaction between organizations is symbolized by the direction of arrows.

If the services of the institution/organization are not reaching the village residents, the arrow from that circle should be drawn hanging (not touching the community circle) to indicate that services of that particular unit do not reach the community residents.

Simulation is done in the sub-groups. One of the participants is later called upon to present the Venn diagram to the plenary.

An example of Venn diagram is shown in '**Figure 4 – Figure 5, Figure 6** while **Figure 7** summarize the key points on the Venn diagram.

FIGURE 5: Example of a Venn Diagram

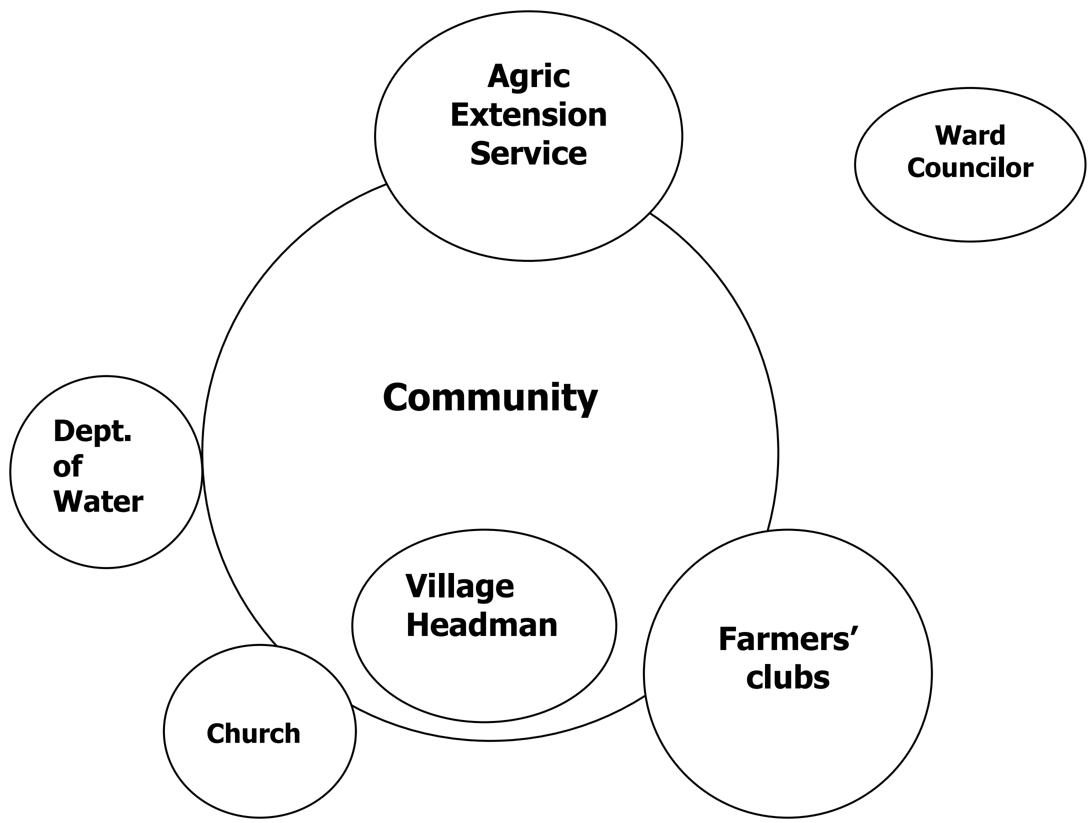
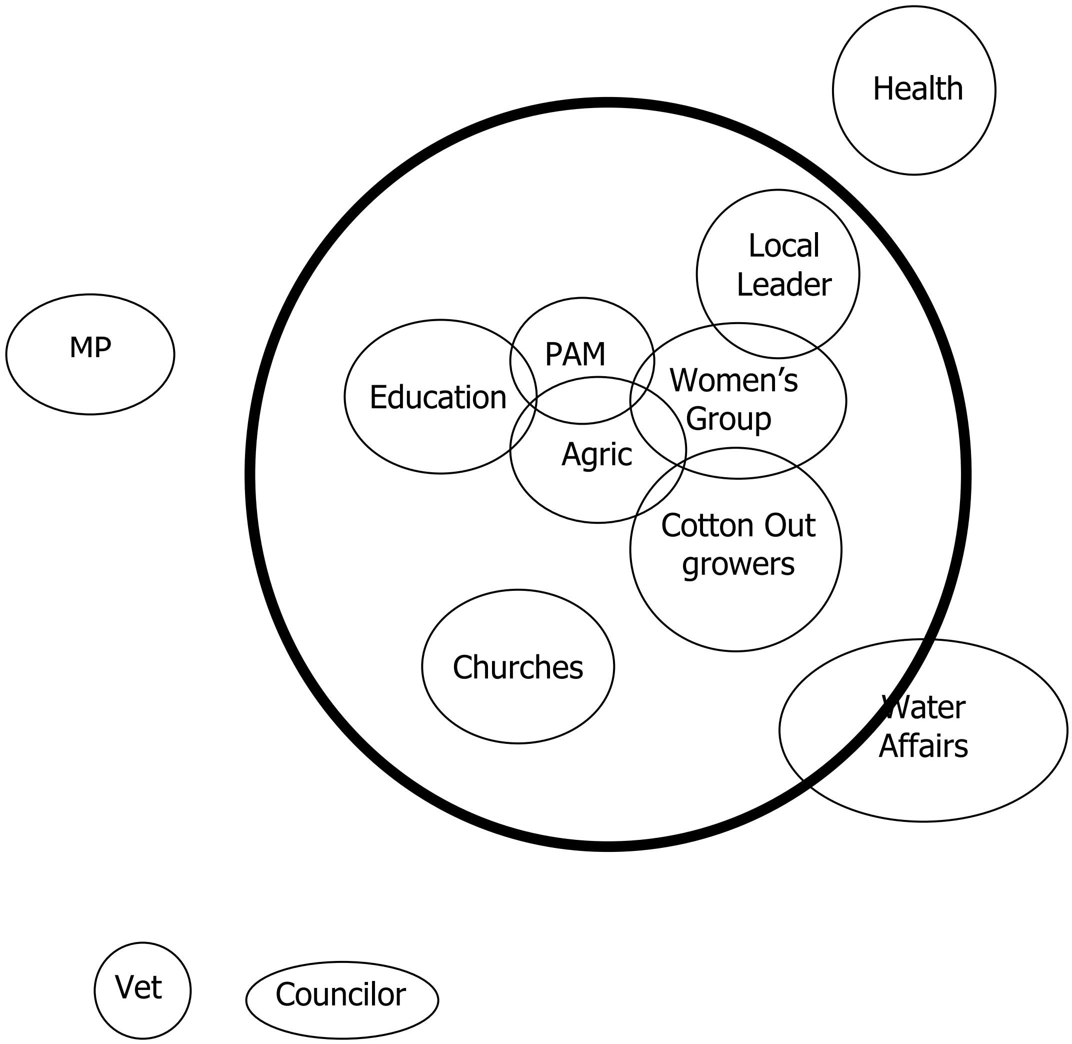


Figure 6: Lyumbika Village Venn Diagram



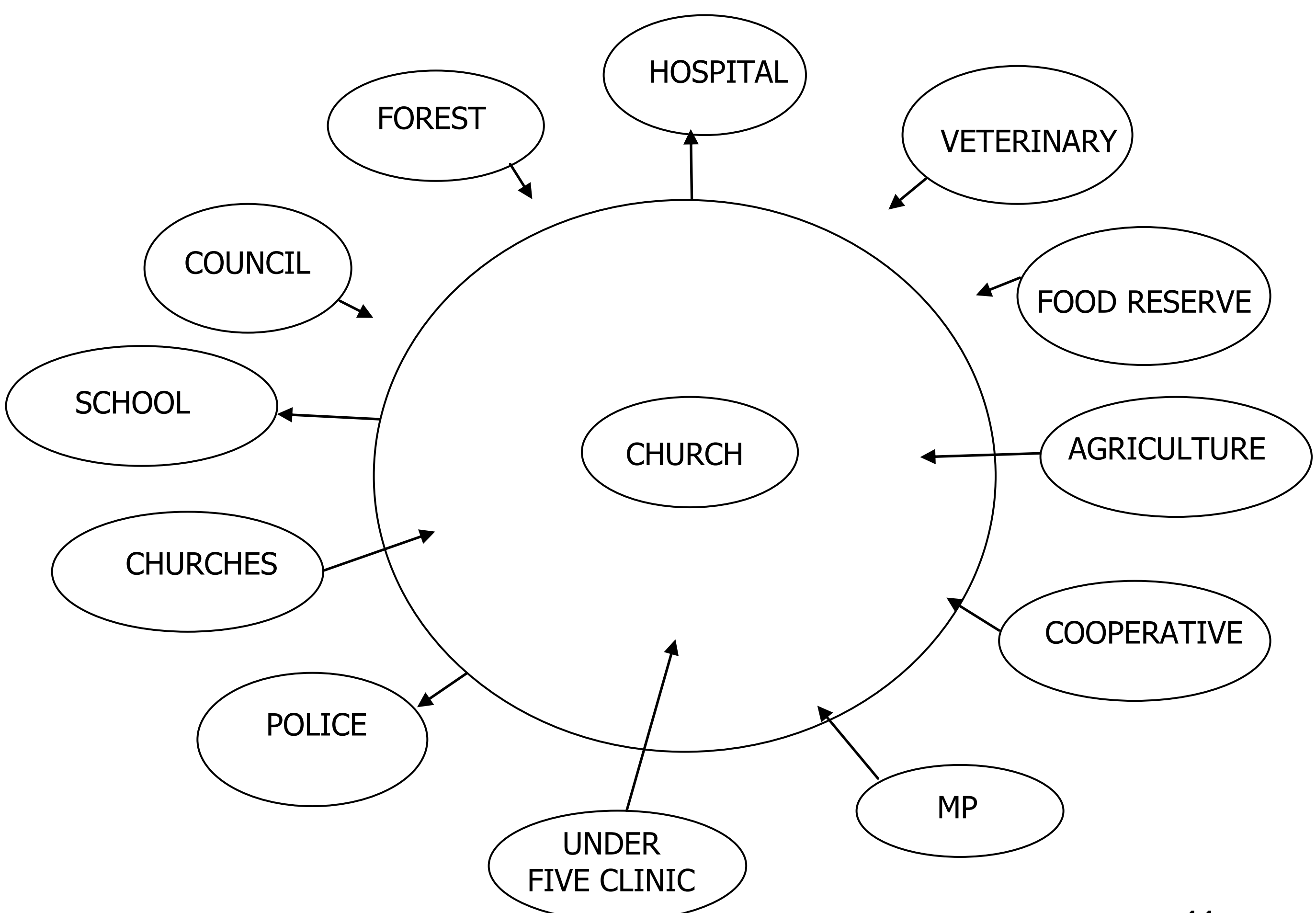
KEY
PAM - Programme Against Malnutrition
Vet - Veterinary department
MP - Member of Parliament

The Venn diagram for Lyumbika Village shows the main stakeholders in Lyumbika village and the perceptions of farmers of the services rendered.

The institutions interacting with the community in one way or the other are local leadership PAM (NGO) Education, Agriculture, Women groups, Cotton Marketing

Institutions, (Amaka, SWARP, LONRHO), Churches (SDA, Roman Catholic, Watch Tower) Water Affairs, Health, Veterinary services, councilors and member of Parliament.
The main stakeholders of importance in the community were PAM, Education, Women groups, Local leadership, cotton Marketing Institutions and Agriculture. These were collaborating and interacting between each other and the community
The churches interacted with the community in the spiritual but not in a developmental way.
Water Affairs Department had just solved the water problem partially in the community.
There was very little interaction in respect to health, councilors and Veterinary services
The smaller circle far away from community circle reflects that there is little interaction between the community and Member of Parliament.

Figure 7: Lukanda Turnoff Community Venn Diagram



Explanation of the Venn diagram for Lukanda Turn off Community

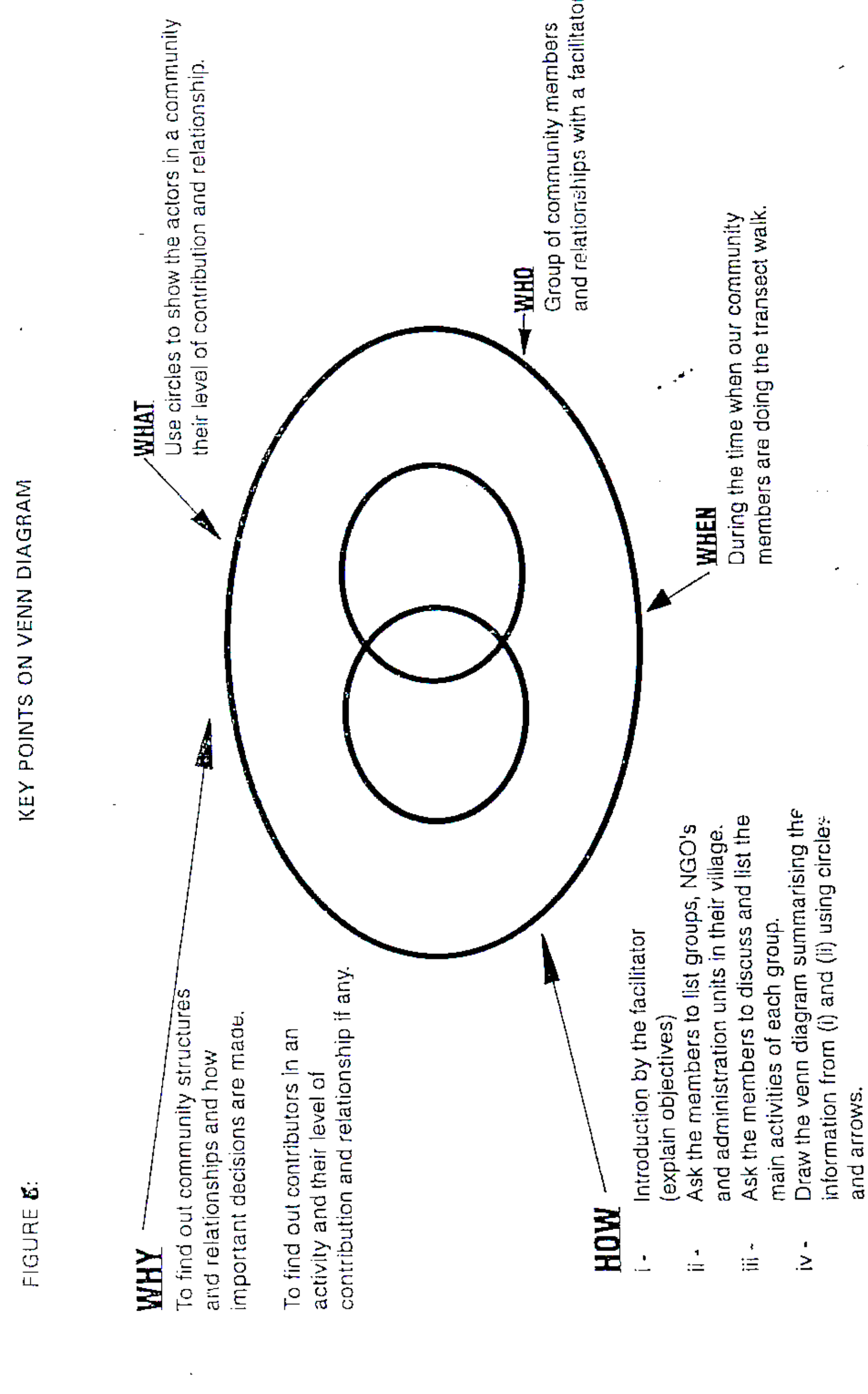
With the example of the Venn diagram **(Figure 6**), the explanation is as follows:-The large circle is representing the community. The inside circle is the Church which exists within the community. The small circle outside the community represents organizations which are outside the community.
The penetration of the arrow indicates the extent to which the organization has reached the community.
The arrows which are drawn hanging (not touching the community circle) mean the services of the organization or institution do not reach the community.

The arrows from the community pointing to the organisation/institution show that the community goes out from the village to get the service of that institution or organisation which is located in another village. In other words the community does not have that service in their village or the service is not brought to the community

Scope of the Venn diagram

Plotting the interpersonal interactions and the flow of information and knowledge from one individual/organization to the other can also further extend the scope of the Venn diagram. Besides, this will help to identify the key individuals (opinion leaders) who will be instrumental in influencing the behaviour of others in the village. Such knowledge of interpersonal and inter-organizational interactions will facilitate the intervening agencies in general and Extension Workers in particular, to use them in accelerating the pace of technology transfer and promoting cooperative spirit. The concepts of self-help, mutual help and cooperation can also be promoted.

Figure 6: Key points on the Venn diagram



3.2.4 Tool 5: Semi-Structured Interviews

Introduction

A semi-structured interview (SSI) is an informal discussion based on a pre-formulated guideline containing the essential subjects or topics to be discussed. In order for a semi-structured interview to be successfully carried out, the facilitator should prepare an interview guide and should be flexible in his/her approach. It is also important for both the facilitator and the members of the sub-group to be at ease in order to establish a dialogue.

In other words, a semi-structured interview is a guided conversation in which only the topics are pre-determined and new questions or insights arise as a result of the discussion and visualized analysis.

Objectives:

The Semi-structured interviews help to:

- Fill in the gaps on the knowledge obtained from the village maps, transect and Venn diagram
- Discover the problems and opportunities of the village as perceived by the various socio-interest groups

Effective interviewing depends on:

- self-critical awareness
- perceptive listening and
- careful observation

Although all these are difficult to master, plenty of practice and constructive feedback from colleagues can greatly help one to be an effective interviewer.

Methodology

The following are the steps for conducting SSI:-

Preparatory stage:

Step 1: The facilitators of the multi-disciplinary team are divided into sub-teams to conduct interviews with various socio-interest groups

Step 2: Each sub-team must have a principle facilitator and a recorder. The principle facilitator should know properly the local language or use an interpreter where necessary

Step 3: Each multi-sub-team must prepare an interview guide based on the following:

- the general checklist which is simple
- specific information based on the map of that sub-group, transect and Venn diagram
- specific points pertaining to that socio-interest group or with individuals based on secondary data
- various natural resources, constraints and their uses
- the state and quality of the soil, vegetation, water points etc.
- decision making on use of resources in the community and at home
- farming enterprises and access to means of production
- changes in the use on natural resources for the past 20 years and reasons for change
- favorable and unfavorable factors to promote land improvement
- agriculture and related activities; major crops, rotation, manuring of the fields, working hours per day, sowing, weeding, harvesting, agricultural calendar, afforestation, etc.
- Animal production/husbandry, fisheries, storage, marketing of produce, etc.

Tasks of members of the multi-disciplinary sub-group:

Principal Facilitator

- Makes the introduction and supervises the process of the interview
- Should be able to quickly formulate questions following the responses of the village residents
- Should encourage everybody in the group to express his/her views and help the group to develop consensus

Recorder

- Responsible for taking notes during the interview
- Records the information **as it is presented by the village residents** and not to interpret or translate it into technical terms

Conducting the interview

- To facilitate group discussions, it is essential that all those present are able to face and hear each other
- The facilitator should create an atmosphere that is conducive for discussion and request the members of the sub-group to select a recorder who will note the problems identified.
- The facilitator tells the group the objective of the interview and how it will be conducted (topic and time required)
- Use the village map made by the subgroup
- Ask simple questions first to make people feel at ease and ask more complex ones later. The facilitator should avoid unclear questions as indicated in **Table 8**.
- Listen to the various opinions of the group and do not rush members
- Each member of the multi-disciplinary team should pay full attention to the responses from the village residents so as to be able to formulate other questions
- In concluding each topic the facilitator summarizes the discussion with the assistance of the group to make sure that the topic was understood.

Table 8: Questions to be avoided

- **Closed questions**: Do you go to the market in Lusaka?
  Alternative question: Where do you go shopping?

- **Questions for orientation**: This is a good maize variety; don't you think so?
- **Alternative question**: What do you think of this maize variety?

- **Implicit presumptions**: What have you prepared for dinner, sweet potatoes or rice?
  Alternative question: What did you have as your main meal?

- **Vague questions**: Is it difficult to grind millet?
  Alternative question: How much time do you spend to grind millet for one meal?

- **Unknown measuring units**: How many kg of yam are you going to prepare?
  Alternative question: How many yams are you going to prepare?

Conclusion of semi-structured interview

- The facilitator should inform the group that he/she is winding up the discussion
- He/she should ask them if they have questions to clarify on any issues
- He/she should request them to finalize the list of problems identified in their sub-group.

Fig 8: Semi-structured interviews in Social-interest groups

Presentation of lists of problems by the sub-groups

- Each socio-interest group presents the list of problems identified during the SSI.
- At the end of each presentation, similar problems are merged while differing ones are added onto the list
- This forms the general list of problems of the community as indicated in

Fig 9: Presentation of lists of problems by the sub-groups in the plenary session

Table 9: General list of problems of the community

• Unsafe drinking water • Land shortage • Idleness • Poor roads • Unemployment • High mortality rate (among infants) • Soil erosion • Diseases and pests in livestock • Uncooperativeness between husbands and wife • Undisciplined children • Malnutrition • Recreational facilities not available • Post harvest losses • Drunkard ness	• Broken bridges • Low milk yields • Cassava mosaic • Poor farming methods • Theft of crop produce • Poor marketing • Low incomes • Large family size • Diseases and pests in crops • Unreliable weather • Floods • High taxes • High cost of inputs • Illiteracy • Insecurity • Dilapidated school structures

3.2.5 Tool 6: Historical Background

Introduction

This tool enables the community to go back over a certain time period or number of years and establish the major historical events.

It merits special attention as it yields information linking the history of change in a community with the institutions and organizations which have influenced that change.

Objective:

- To learn about the major historical events that have taken place in the community.
- The historical event exercise serves as the basis for identifying changes in the production systems over time.
- To identify major changes in the community which have influenced the communities activities and livelihood
- To get logical order of events

Methodology

- The team of facilitators discusses among themselves and decides on the type of information to be collected.
- The team may also decide to ask the community residents to think as far back as they can remember or it may chose to use a certain period of years say 20 or 30 years back depending on the situation.
- This exercise is usually done in a mixed group setting as each generation has something to offer, both the young and old. However, the community may be asked about the sort of grouping it prefers.

The Process

- Ask the participants to identify the important events that have occurred in the community.

- Each event is written and the year it took place.
- Try to focus on the local events in the community such as famine, droughts production and marketing patterns, wars, diseases and many others, let it be an open discussion.
- Ask what major changes have taken place in the area.
- What problems have been experienced because of these changes and what activities have been adapted to couple up with the change.
- Write each event on the card and the change on another card.
- Ask the members of the sub-group one to volunteer to present the historical profile during the plenary session to rehearse his or her presentation.

The Facilitators Meeting

After the plenary, the facilitators with a few representatives from the community meet to evaluate and complete the list of problems and resources.

Important Points to note

- There is a tendency during discussion one elder to dominate the discussion which discourages other members of the group to contribute.
  Try to use your facilitation skills to allow others to contribute
- The key historical events may be written on cards arranged in a logical sequence. Or they may be written on a large sheet of papers.

Duration:
The whole exercise may take 2 – 3 hours or more depending on the situation.

Table 10: Example of Community Historical Key Events

TITLE: TIMELINES FOR MWANUNGAMA VILLAGE

YEAR	EVENTS
1936	Village started
1946	Village shifted to new site owing to dwindling soil fertility at the original site
1947	Smallpox outbreak
1948	Famine in the village due to drought
1949	Flood in the village
1953	Famine owing to drought. People survived on wild fruits (Parinari culaterifolia sp.)
1954	Blackleg outbreak. Cattle died Village well dug
1960	Maize growing introduced in the village
1962	Village school (Mukalashi Primary) built on self basis Corridor disease outbreak
1977	Fertilizer use introduced in the village
1998	Government renovated the existing well
1999	Famine in the village (due to excessive rains)

3.2.6 Tool 7: Seasonal Calender And Schedule Of Activities

Introduction

This tool is used to increase the community's understanding and analysis of the activities that take place in the locality.

It helps to identify daily tasks and show how responsibilities are shared over seasons between gender and age.

The information gathered from the community is extremely useful in coming up with action plans of the projects/Activities the community wants to undertake.

Objectives

- To understand seasonal activities
- To get deeper understanding of the division of labour according to the various seasons between men and women.
- The information gathered helps in coming up with a more practical plan of action.

Methodology

Explanation of the Exercise

- In the resident meeting (plenary session) explain the objective of the exercise and then form mixed groups.

  The facilitator can ask the people how they would like the groups to be formed (according to gender, age, activity interest groups).

- Mixed groups help the community to understand the different roles played in carrying out various activities.

Process

- In the sub-groups ask the members of the group to describe the various seasons in a year. Usually the local people have different names for the various months, use these names for describing the different seasons because they have a deeper meaning to the community.

- Ask the members of the group to describe the primary activities in each season using words or symbols or different colours.

- Draw the outline of the calendar on the ground first using stones, leaves, wood, charcoal, ash, colored paper.

  Alternatively the calendar can be straight away and be drawn on a large sheet of paper using markers. Ask the group what they prefer.

- Facilitate the village residents to discuss the various activities carried out in different seasons/months.
  For example ask when the following activities are carried out.
- Agricultural activities
- Economic activities (marketing)
- Certain cultural celebrations and ceremonies
- What are the peak periods for agricultural activities
- The period vaccination of animals.

Plenary

Let the representatives of the group report to the plenary, so as to get consensus of the whole community.

FIGURE 9: Example of Seasonal Calendar. LABOUR DEMAND AND SUPPLY – MWANUNGAMA VILLAGE

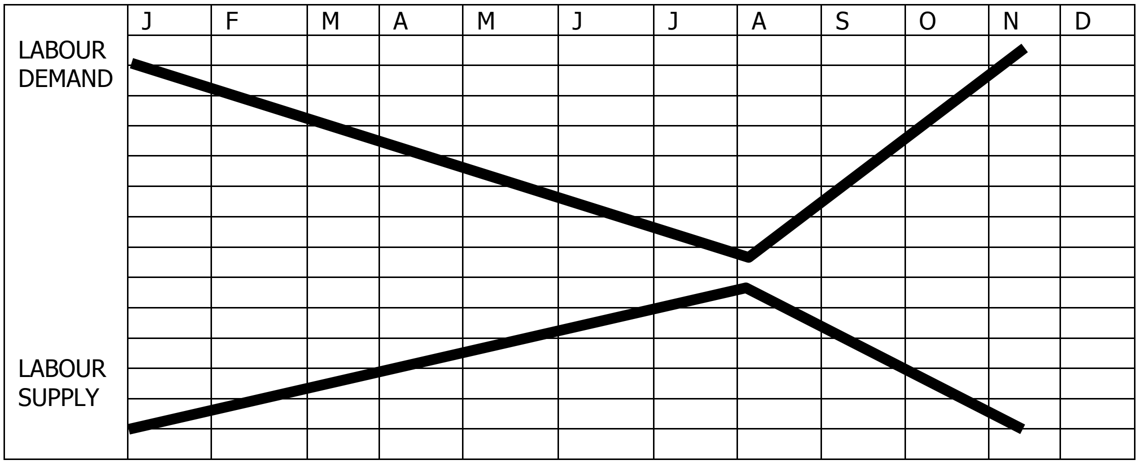


Table 11: Men Daily Calendar (Monday to Saturday, Sunday No Work But Church)

TIME	**ACTIVITY**
05:00 hours	- waking up
	- yoke oxen, ready for ploughing
	- leave for field (no B/fast) even hand hoes group
05:30	- start ploughing
06:00	- rest (and eating for those with food)
	- back to field for ploughing
09:00	- knock off
09:30	- release oxen and take for grazing
11:00	- resting and taking lunch
12:00 – 14:00	- go for various jobs:
	- garden (recreation during weekends)
15:00	- weeding
	- watering
	- repair house
	- collecting firewood by ox-card
	- planting and transplanting vegetable (rape, Cabbage tomato, onion, etc (This is all year round)
18:00 hours	- knock off
19:00 – 20:00	- supper
20:00 – 2200	- resting and planning/Beer drinking
22:00 hours	- sleeping/go to bed

Table 12: Women Daily Calender (RAIN SEASONS)

TIME	ACTIVITY
04:05 hours	- Wake up and leave for the field to work
12:00 hours	- Knock off
12:00 hours	- Prepare lunch
13:00 hours	- lunch
14:00 hours	- clean plates and work in the field around the homestead
16:00 hours	- knock off, starts to prepare supper, washing if any, bath kids
18:00 hours	- cook nshima
18:30 hours	- supper
19:00 hours	- bathing
20:00 – 2200	- chatting/but husbands still send for petty things like fetching water or tobacco
23:00 hours	- retires to bed

NB: single households have got slightly different daily calendars, mostly from 14:00 – Recreation starts. No fixed time for , lunch or supper.

3.2.7 Tool 8: Hiv/Aids Analysis

Introduction

What is HIV/AIDS?

AIDS stands for Acquired Immune Deficiency Syndrome. It is a disease caused by the Human Immunodeficiency Virus or HIV. It weakens the immune system, making the body susceptible to and unable to recover from other diseases.

AIDS is for real and it is a killer

Once a person's immune system is impaired, the body is unable to fight any infections or diseases which may occur. Thus when the immune system is attacked by the HIV virus and the person starts having infections he/she has the disease AIDS. HIV/AIDS is real and it is a killer disease.

HIV/AIDS is a human tragedy of modern times. Besides the magnitude of infected persons, there is increased number of orphans manpower loss, reduced production, budget distortions within families and institutions which put a lot of strain on resources and related development efforts.

In Zambia the HIV prevalence is high and the impact of AIDS is increasingly severe. Almost every family has been affected in one way or another. The epidemic is emerging everyday with frightening speed and Zambia is one of the countries that is hit hardest in the world.

Nonetheless, much can be done to lessen the impact of the disease and eventually bring the epidemic under control. Different intervention can be adopted to influence the transmission of HIV and AIDS.

It is, therefore, important that for effective national response to HIV/AIDS this epidemic be based on a multisectoral approach where all people are committed to prevent and control and each one making a contribution according to their expertise and experience. The Extension Agent can play a vital role.

Unfortunately, during the diagnosis stage the communities rarely, bring up HIV/AIDS as one of their major problem. This is because of the nature of the disease and how it is transmitted. There is still stigma attached to this disease. It is important, therefore, that the facilitators encourage villagers to discuss the disease and identify ways to reduce its spread.

How to handle HIV/AIDS Topic

This is a sensitive subject and if you are not conversant on the subject and sure of yourself invite somebody else who knows the subject and can handle the discussion with the villagers well.
People often do not like to discuss this subject, which touches on the sensitive areas of sexuality and death. But it is only an open discussion with the communities that the realities of the epidemic in all its aspects that the community can come up with an action plan to deal with the disease.

Tools like mapping of areas where HIV/AIDS can be contracted, semi-structured interviews, problem tree and, any other tools the facilitators feel are most useful to stimulate discussion of this critical issue may be used.

Methodology

- After the introduction in the Plenary by the facilitator, the community residents can be divided into homogeneous groups (women, men, youth and adults).

- The facilitator may use pictures to tell a story or introduce the topic in a way that encourages the individual members to contribute. It is very important that the facilitator is knowledgeable of the cultural norms so as not to offend the community. The facilitator can use some of the tools already suggested.

- At the end of the discussion ask somebody to volunteer to present the group work to the plenary. After the discussions in the homogeneous groups, the residents will feel more comfortable to discuss and report to all the community residents.

Interventions to limit transmission

- It is important for the facilitator to have some knowledge of some of the interventions that may help in stopping the spread of the disease to others.

  This knowledge helps residents to be able to come up with some solutions and actions.

Some of these interventions are:-

- Reduce the overall number of sexual partners

- Promote abstinence before marriage and mutual faithfulness to one partner.

- Control other sexually transmitted diseases.

- Voluntary counseling and testing

- While there is no special food for HIV/AIDS patients the food must be balanced. All the nutrients are essential because they play different roles in maintenance of a healthy body. It is important therefore, to eat a variety of foods. Foods containing vitamins and minerals are usually neglected; they should always form part of the diet.

- Malnutrition increases the progression of HIV to developing AIDS. This further predisposes the individual to opportunistic infections which aggravates his/her conditions. This is why an HIV/AIDS person should have a balanced diet to prolong life.

- Organic farming, proper food storage and utilization should be encouraged to enhance good nutrition.

- Extension agents should encourage extended support systems and networks in sharing workloads within the family. This helps to reduce the workload and caring burden which often is left to women and the girl child.

Points to note

It is important to stimulate discussion on the daily lives and activities in the village.

The atmosphere should be conducive to stimulate a discussion to enable the community to identify this disease as one of the problem. This will lead the community to come up with possible solutions to combat the disease.

REMEMBER: AIDS IS FOR REAL!

3.2.8 Tool 9: Ranking

Introduction

At the end of the semi-structured interviews the social interest groups came up with a list of problems which were presented in the plenary session.

Prioritization of Problems Identified

- The facilitator asks the socio-interest groups to prioritize say, the five most important problems from the general list.

- Each socio-interest group presents the prioritized problems in the plenary (refer to priority problems from sub-groups, **Table 13**).

Table 13: Priority problems from sub-groups

Group 1	• unsafe drinking water • poor roads • soil erosion • low milk yields
Group 2	• high pest infestation in livestock • low incomes • soil erosion • Malnutrition • high cost of inputs
Group 3	• dilapidated school • large family size • drunkardness • diseases and pests in crops and livestock

- The list of priority problems is developed in the plenary by merging similar problems while differing problems get added on to the list (**Table 14**).

Table 14: List of priority problems in the community

• Unsafe of drinking water • Poor roads • Soil erosion • Low milk yields • Poor marketing • Diseases and pests in crops and livestock • Malnutrition • High cost of inputs • Dilapidated school structures • Large family size • Drunkardness • Poor farming methods

Methodology for Prioritizing Problems

Ranking can do prioritization of problems. Ranking means giving scores to items and then placing them in order of importance. Common methods include:

- General Consensus
- Reference ranking
- Pair wise matrix ranking
- Wealth ranking

1. Ranking by General Consensus

Community residents brainstorm on each of the identified problems in a plenary and agree on which ones are most critical. The advantage with this method is it is time saving, ad generates more participation and commitment. However, it is not very accurate as a few individuals may dominate the discussion.

2. Ranking by Preference

Community residents work in socio-interest groups and determine the main problems or preferences.

Steps:

- Choose a set of problems or preferences to be prioritized
- Use stones or beans, or any other objects for scoring
- Ask community residents to assign scores to each problem (5 stones most critical problem, 1 stone less critical)
- Tabulate the response
- Sum up the scores from each socio-interest group for a particular problem and rank according to order of priority.

Table 15: Preference ranking by group and total

Socio-Interest Group / **Problems**	Group 1	Group 2	Group 3	Total score	Rank
1. Unsafe drinking water	4	4	4	12	2
2. Soil erosion	2	1	5	8	3
3. Low milk yields	5	5	4	14	1
4. Malnutrition	3	2	3	8	3
5. Dilapidated school	1	3	1	5	5

Guide: 5 = Most important, 1 = Least important

In this example, the most critical problem is low milk yields, followed by unsafe drinking water, soil erosion and malnutrition, and lastly dilapidated schools. This method encourages effective participation and minimizes bias in ranking.

3. Pair wise Matrix Ranking

Pair wise ranking determines the main problems of preference by individual community members and easily compares the priorities of different individuals.

Steps to be followed:-

1. Choose a set of problems or preferences to be prioritized.
2. Choose with the help of the community members/key individuals, six or less of the most important problems
3. Note down each of the six items on a separate card
4. Place two of the cards in front of the community residents and ask them to choose the more critical problem giving reasons for their choice. Mark down the response in the appropriate box (**Table 16)** in the priority ranking matrix.
5. Present different pairs and repeat the comparison
6. Repeat steps 4 to 5 until all boxes have been filled.
7. List the problems/preferences in the order in which the community residents have ranked them by sorting the cards in order of priority.
8. Check with the community residents whether any important problems/preferences have been omitted from the list. If there are any, place them into the appropriate position in the ranking table.
9. As a useful cross check to the responses, complete the ranking session by asking the Community residents the most critical problem.

Table 16: Pair-wise problem ranking

Problems	**Unsafe drinking water**	**Soil erosion**	**Low milk yields**	**Mal-nutrition**	**Dilapid. schools**	**Diseases & pests**	**Poor farming methods**
Unsafe drinking water	///////// /////////	Unsafe drinking water	Low milk yields	Unsafe drinking water	Unsafe drinking water	Unsafe drinking water	Unsafe drinking water
Soil erosion	///////// /////////	///////// /////////	Low milk yields	Mal-nutrition	Soil erosion	Diseases & pests	Soil erosion
Low milk yields	///////// /////////	///////// /////////	//////// ////////	Low milk yields	Low milk yields	Low milk yields	Low milk yields
Mal-nutrition	///////// /////////	///////// /////////	//////// ////////	///////// /////////	Mal-nutrition	Mal-nutrition	Mal-nutrition
Dilapid. Schools	///////// /////////	///////// /////////	//////// ////////	///////// /////////	///////// /////////	Diseases & pests	Dilapid. schools
Diseases & pests	///////// /////////	///////// /////////	//////// ////////	///////// /////////	///////// /////////	///////// /////////	Diseases & pests
Poor farming methods	///////// /////////	///////// /////////	//////// ////////	///////// /////////	///////// /////////	///////// /////////	///////// /////////

Problems	**Number of Preferred times**	**Rank**
Unsafe drinking water	5	2
Soil erosion	2	5
Low milk yields	6	1
Malnutrition	4	3
Dilapidated schools	1	6
Diseases and pests in crops and livestock	3	4
Poor farming methods	0	7

- From the above example, low milk yields ranks first while poor farming methods ranks last.

The major advantage with this approach is that it enables concise comparison between the problems. However, it is time consuming and therefore not suitable for application where problems are many.

4. Wealth ranking

Purpose

This tools helps to identify the different wealth categories in a community and to bring out its values and aspirations. In addition to identification of wealth categories, the wealth ranking exercise shows the spread of the community over different wealth categories. Further analysis of this information could show gender, age, and other social factors associated with wealth. The wealth ranking exercise informs other tools that may want to generate perception of different social groups of the community into different issues. Such tools can be resources for mapping and problem and needs identification survey. Wealth ranking allows both the well off and the worse-off to be identified and their views actively sought.

Process

The techniques discussed under semi-structured interviews are useful and applicable for a wealth ranking exercise. Wealth ranking may be carried out using the following steps:

- Identify a group of people in a community to be ranked who know reasonably well all members of the community and ask these to meet with you at their convenient time and venue.
- Before the meeting, obtain all the community household names and write these on some cards, one name to each card.
- At the meeting explain clearly the intention and the purpose of the exercise and dispel suspicion as much as possible. Ensure confidentiality of the results of the exercise in terms of who fell into what rank.
- Ask each member of the small group of community representatives to group the rest of the community households according to how well off they are using the names on the cards. The cards should be placed in-groups on the ground.
- After all the households have been grouped, interview the community representatives to find out what criteria they used to make the difference wealth groups. In this way the wealth categories are defined.
- Repeat the exercise with different community representatives to generate the community's common view.

An example from an actual wealth ranking exercise is presented in **Table 17.**
In this actual exercise, the information was used to draw a sample for the problem and needs analysis with a heavy bias towards the worse-off families. The needs and problem identification survey used semi-structured interviews and diagramming.

Caution. Wealth ranking is a very sensitive exercise. If not carried out with due sensitivity, it can prove counter-productive and arouse great suspicion as to the purpose of the exercise. This can lead later to a lack of cooperation among certain members of the community. Wealth ranking should be used only in special circumstances and then only by very experienced and skilled facilitators.

Table 17: Results of a community wealth ranking exercise

Wealth rank	**Indicators of wealth rank**	**Percentage households in each rank**
1	enough assets (cattle, ploughs, carts, etc) for own use and or share	22
2	enough assets for own use but not to share	22
3	some assets but not livestock or draught power which they have to borrow	20
4	own very little or no assets	36

3.4 Tools for Problem Analysis

3.4. 1 Tool 10: Problem Tree

Introduction

The problem tree is one of the tools used to analyze problems. The image of a tree is used for identifying causes and effects (**Figure 6)**. The roots represent the causes. The trunk represents the main problem while the branches and fruits represent the effect and consequences. Like the roots of the tree, the cause(s) of a problem are hidden and not easy to identify unless you dig into the ground. That is why it is important to have a detailed analysis of the problem to unearth the real causes. On the other hand, the effects of the problem are easy to identify just as it is easy to see the branches and fruits of the tree. **Figure 6** demonstrates a design of a problem tree.

Objectives

To enable community residents to analyze with a visual tool the causes and effects of the problem.

Identify the most relevant causes for the search for solutions

Methodology

The steps in developing the problem tree include:-

Explanation of the problem tree tool and the procedure

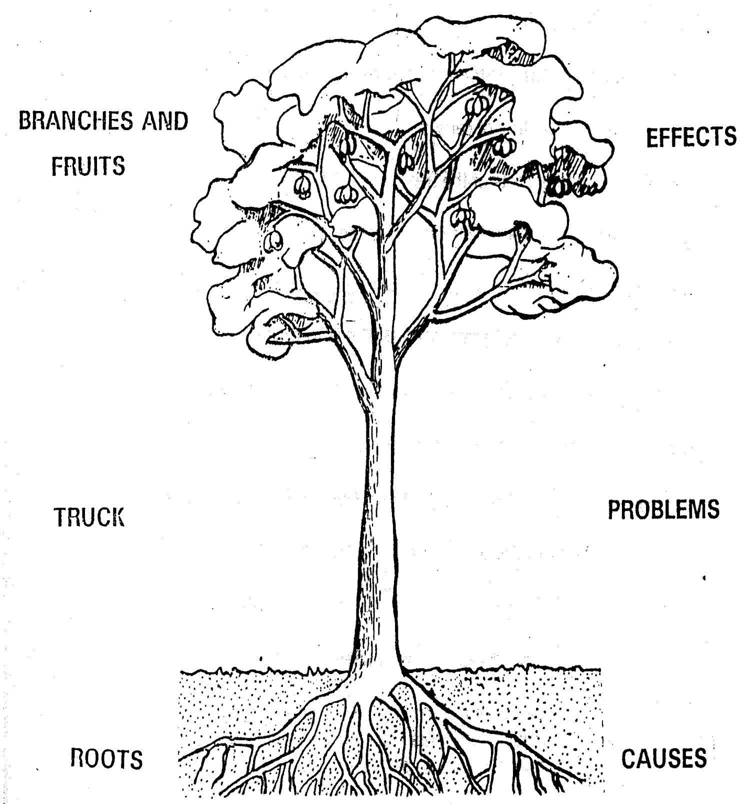
- The facilitator uses the image of the tree to introduce the tool
- He/she explains the steps to follow in its construction
- Making an inventory of causes
- Construction of roots of the tree
- Making an inventory of effects and consequences
- Construction of the branches of the tree and fruits

Verification of the tree

-Selection of causes on which actions are feasible.

-Presentation of the problem tree to the plenary:

Figure 10: Problem Tree



iii) Making an inventory of effects and Consequences

The facilitator asks what would happen if the problem is not solved, i.e. the effects of the problem.

Participants submit ideas, which are then discussed. Every idea agreed upon is recorded on a card or paper/board. A list of effects is then developed.

iv) Construction of the Branches and Fruits

The same procedure is followed as for roots.

The effects of the problem should be studied.

The Facilitator requests the participants to select the direct effect of the problem.

For each direct effect, its consequences are selected and placed above it.

It is important to consider the realistic effect, not those that are imaginary.

An example of a problem tree for low milk yield is shown in **Figure 11.**

v) Verification of the tree

During the development of the problem tree, it is important to verify the logic or reasoning.

Reasoning is done starting from the sub-causes, to main causes, to the trunk (problem), effects and consequences (leaves and branches). For example, in the case of the problem tree of low milk yield, the farmers' lack of knowledge results into poor hygiene which leads to high incidence of mastitis. The high incidence of mastitis together with internal parasites leads to poor animal health. This, together with inadequate watering and poor nutrition, leads to low milk production.

vi) Selection of causes on which actions are feasible

The facilitator explains that the impact of certain causes may be greater than others, and it may be more difficult to deal with certain causes.

He/she requests the village residents to identify causes, which they could and would like to deal with.

A selection of causes on which actions are feasible is then made.

vii) Presentation of the problem tree to the plenary

Each sub-group selects one of the members to present the problem tree.

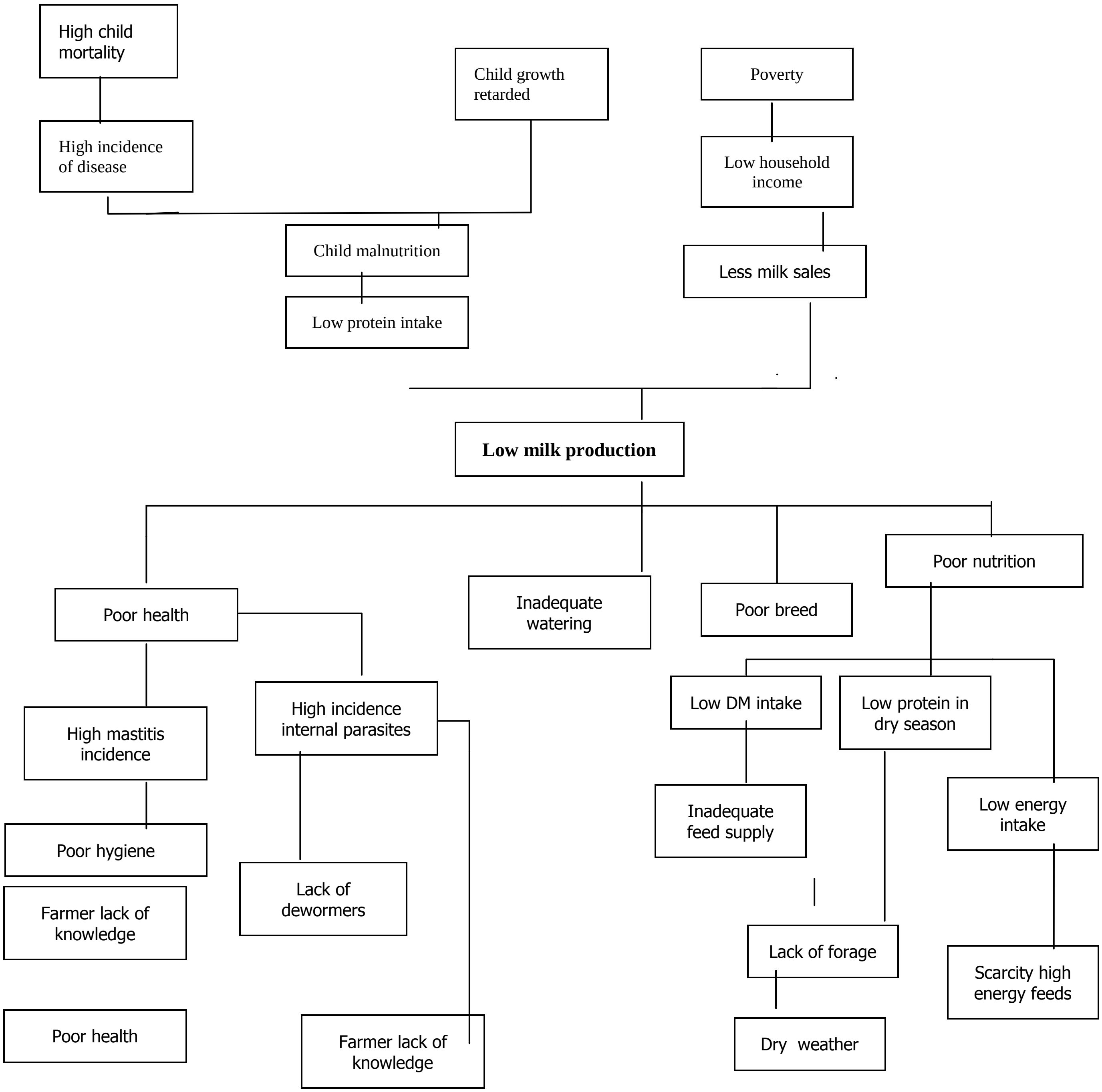
A simulation exercise is carried out in the sub-group.

Following each presentation, the facilitator asks the village residents to make comments.

The facilitator summarizes the major points and concludes the discussion of the problem tree.

The causes and effects of simple problems are presented in tabular form during the plenary.

Figure 11:
Example of a Problem Tree for Low Milk Production



3.5 Tools For Searching For Possible Solutions

Introduction

Following completion of the problem analysis, a list of relevant causes will have been developed. The next stage is to formulate solutions to solve the problem. This is the tool used for searching for possible solutions.

The solutions should be practical, action-oriented and realistic.

Tools are:

1. Objective tree
2. Table of village solutions

3.5.1 Tool 11: Objective Tree

An objective is an expression of the ends towards which development efforts are directed.

The objective tree can be used to translate problems identified during the diagnosis into objectives.

- This is achieved by translating the problem tree (developed in the course of the problem analysis stage into positive situation which is desirable.

Objective

- To translate problems into positive objectives so as to come up with an inventory of actions needed to achieve desired situations based on the problems and causes identified in the problem tree.
- Determine the feasible activities which may be carried out successfully.
- To provide the community with an overview of prerequisites necessary for a realistic plan of action.

Methodology

The exercise is carried out in mixed groups, preferably in the same groups that developed the problem tree.

Introducing the exercise

During the introductory meeting the facilitator explains the objectives and asks the participant's if they want to discuss the solutions to solve the problems identified. This stimulates the villagers in desiring to deal with village problems.

Constructing the objective tree

The objective tree is similar to the problem tree in arrangement.

If the problem has not been well formulated it will often be difficult to translate the problem into an objective.

- The trunk becomes the objective
- The activities and actions to be undertaken to attain the objective are the roots.
- The desired consequences are the branches and leaves.

(i) Developing the objective tree

- The starting point is the "problem tree" with the "Problem" being transformed into "objective".
- The facilitator stimulates discussion and creative thinking among the group members by asking them to reflect on the problem tree.
- The community residents brainstorm on the solutions and activities that will lead to the attainment of the objective.
- The facilitator guides the village residents to examine the feasibility of the actions, and retain only those which are realistic (attainable) under the village residents' circumstances.
- The construction of roots of the objective tree should follow a logical sequence of actions (i.e. what should happen first to make this action possible? What will this action lead to?)
- Following the same principle, the branches and leaves (consequences) are constructed.

- An example of an objective tree is shown in **Figure 12** it was developed from the problem tree **Figure 11**

(ii) Verification of objective

- As was the case with the problem tree, it is now important to verify the logic of activities/actions and how they lead to the objective and consequences.
- What conditions must be met and what proposals should be made so that one action leads to another. A list of conditions and proposals is made.

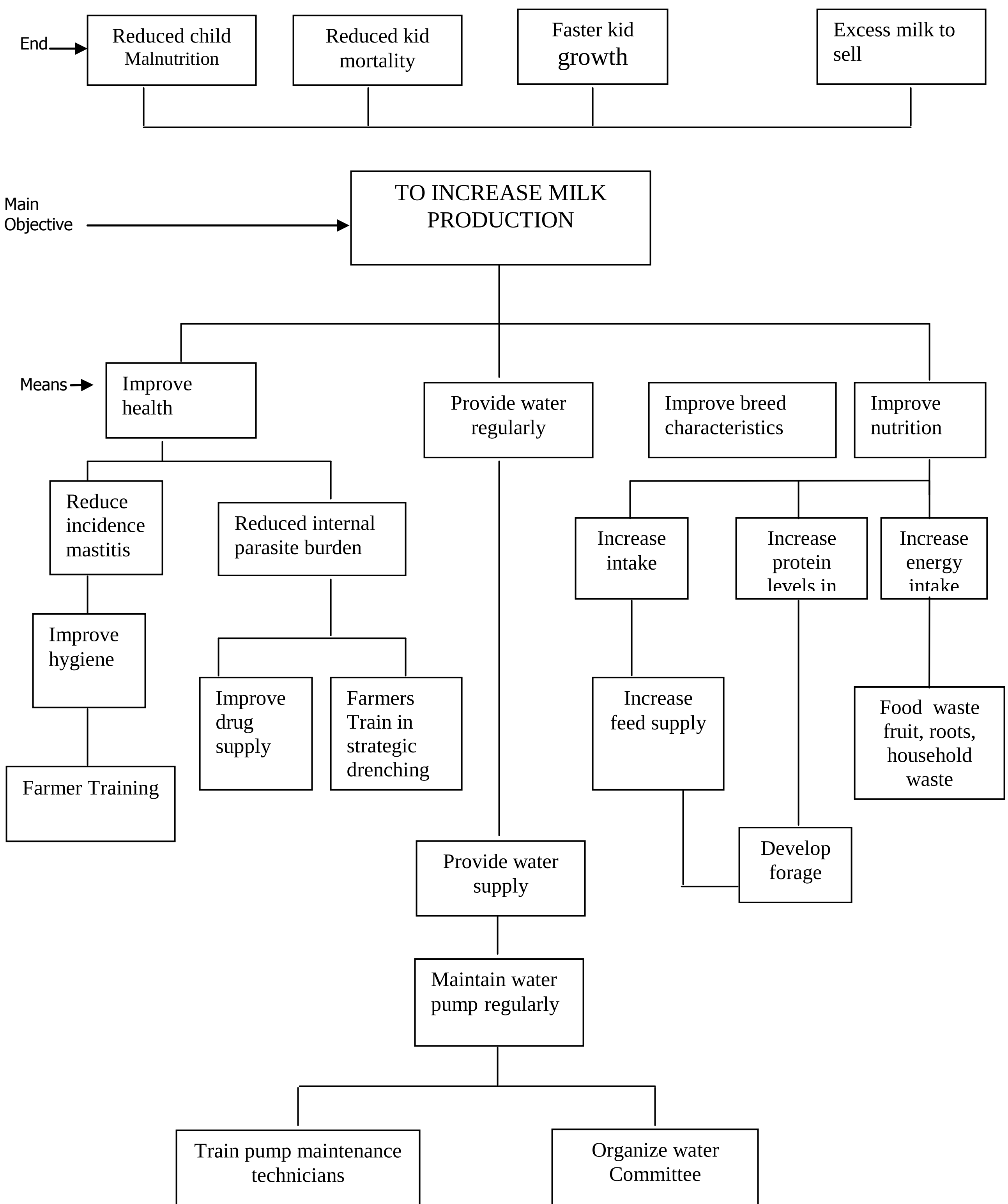
- Are these conditions and proposals feasible? If so, what must be done to reach the objective? What actions should be planned to reach the objective? If not, the action should not be carried out because there is little chance it will succeed.

Points to note

- If a problem is not properly formulated or analyzed, it will be difficult to translate it into objectives. It may be necessary to re-examine its analysis.

- Experiences of intervening agencies, the community and studies already undertaken should be utilized.

FIGURE **12: AN EXAMPLE OF AN OBJECTIVE TREE**



3.5.2 Tool 12: Table Of Community Solutions

Introduction

Having developed the objective tree, the next stage is for the community residents to propose solutions to the problems. The participants from the community are asked to reflect on the list of opportunities, potential and resources available in the community. This enables them to propose solutions that are feasible. These are then tabulated in a table of village solutions.

This exercise is done in the same mixed subgroups established for the problem and objective tree analysis.

Objectives

To make an inventory of solutions as proposed by the community residents to solve the problem.

To analyze the feasibility of solutions proposed.

Methodology

The facilitator explains to the community residents the objective of the Table of community Solutions.

The next stage is for the community residents to propose solutions to the problems.

The facilitator stimulates the residents to propose and list possible solutions to the selected causes whose activities will lead to desired situations.

Help the community to list possible solutions by asking questions such as

- What need to change to overcome this problem?
- What can you do to bring about change?
- What are the necessary steps to be carried out?
- What resources do you have that could bring about this change?

The community residents are asked to reflect on the list of opportunities, potential and resources available in the community. This enables them to propose feasible solutions. These are then tabulated in a table of village solutions. This work is done in the same mixed sub-group established for the problem and objective analysis.

Step 1. Inventory of village solutions

Facilitator stimulates the residents to propose solutions to the selected causes whose activities will lead to a desired situation. For example:

- If the problem is unsafe drinking water, the community residents reflect on the water sources opportunities/potentials in the village (rivers, lakes, boreholes, etc), their numbers, location and status.

- For low crop yields, the community residents discuss the state of soils, farming methods, land tenure systems, level of knowledge and skills of farmers, etc.

For each relevant cause, the proposed solutions are discussed to examine the possibility of realization. The solutions agreed upon are tabulated

Step 2. Discussion of other solutions

- The multi-disciplinary team studies the solutions proposed by the community residents.
- If there are solutions known but not identified by the residents, the team introduces them.
- The residents discuss the feasibility of the new solutions.

Step 3. The facilitator summarizes the solutions proposed for each problem.

Step 4. Preparation for presentation to the plenary

- The sub-group selects one of the members to present.
- A simulation exercise is carried out before presentation.

Table 19 illustrates an example of a table of community solutions derived from the problem of low milk yield.

Table 19: Example of a Table of Community Solutions

Problem	Causes	Community solutions	Possibilities for realization (if not, why not)
Low milk production	**Poor nutrition**	Improved pastures	Yes
	Poor health	Reduce incidence of mastitis	Yes
	Poor breed	Upgrade local cattle	No (no A.I. service. No improved bull

Step 5. Wrap – Up meeting

During the wrap-up meeting all sub-groups present the results of the table of community solutions. Each sub-group comment on the results and the plenary meeting expresses its opinion about the relevance and feasibility of the various solutions proposed. This facilitates exchange of ideas on possible solutions and agreement on continuation of activities.

- The main facilitator introduces the objective of the wrap up meeting. Subsequently he/she requests the various groups to present their results.
- Each group presents the list of solutions and the table of solutions.
- Following each presentation, he/she requests the community residents to make comments. The facilitator summarizes the major points and concludes the discussion of the work of the group before continuing with the next presentation.

At the end of the presentations, the facilitator informs the group about continuation of activities. He/she stresses that the proposed solutions will be analyzed in greater detail by the various intervening agencies to study their feasibility and the conditions to implement these activities. The intervening agencies will present their ideas in the course of the next meeting. The village residents are also requested to reflect on the implementation of these proposals. This will enable the people to exchange ideas at the next meeting and to jointly decide on what action to take and to draft a programme.

Note: Ideally the problem tree should be presented separately (as indicated in the problem analysis) followed by discussion, before presentation of table of solutions. However, in some cases, if time is a limiting factor, all may be presented in one session.

3.6 Tools For Planning

Introduction

Planning is a process which translates objectives into activities/actions for implementation within a given time frame and budget. In this planning phase, action plans are developed from the table of community solutions. The planning format indicates objectives, activities/actions to be undertaken by persons responsible for implementation, period and target group(s). The plan also indicates the resource requirements and indicators of achievement. In short, a timetable of activities or actions jointly programmed by intervening agencies and the community residents is developed.

3.6.1 Tool 13: Community Planning Table

The activities during this planning phase include preparation of draft action plans by intervening agencies, preparation of the action plans in the sub-groups and presentation in the plenary for adoption and implementation. The Phase also details out mechanisms of confirmation in other communities of the ward/block to develop wider Community Action Plans (Block and or Camp).

Objectives

The objectives of planning are to:

- Make an inventory of technical solutions that complement the village solutions.
- Translate the village residents solutions into short term and long term
- Make a feasibility analysis of the proposed solutions
- Develop a detailed action plan enabling the village residents and the intervening agencies to monitor and evaluate implementation of activities.

Methodology

Step 1. Brainstorm in plenary on:

- What is action planning?
- Why should action plans be produced?
- What types of action plans do you know?

Give participants cards and markers and pin all the responses on the board. Group cards that have the same idea on their own. Take out a card or come up with a new card that best summarizes all the other cards according to the participants. Do this for all the questions until a final product is produced.

Step 2. The facilitator explains what a Community Action Plan is

- He/she asks the community/participants whether they have experience in organizing an activity or a project together. This could be a marriage, a journey, a garden project, school block construction etc.
- Take for example a school and ask what they have done and who did benefit from this project?
- Explain that this benefit was at that time their goal, i.e. a better learning environment. Beneficiaries in this example are students.

The steps include:

- Preparation of draft plans by intervening agencies
- Preparation of community planning formats for completion in the subgroups
- Completion of the draft action plan with community residents in subgroups
- Presentation of action plans for approval and adoption prior to implementation
- Wrap-up meeting

Step 3. The facilitator explains that this is how a CAP is formulated, and it's not new; communities have been doing it in their own ways.

- Now the community has to **formulate its CAP for a project developed from the priority ranking.**
- Explain carefully that the elaboration of a CAP and keeping track of the follow-up will need good co-ordination within the community. Therefore, a community committee could be a suitable organization to co-ordinate the activities that will start after the end of the exercise.
- The key elements of action plan are as follows:

Objective

- Activities to be carried out
- By who
- Period
- Target group
- Resources
- Budget
- Indicators of achievement
- Assumptions.

Step 4. Preparation of plans by Intervening Agencies

Having obtained the community solutions, the multi-sectoral teams examine these solutions in detail and prepare the Intervening Agencies draft plan. These plans are discussed by the intervening agencies in the context of their feasibility and resource requirements to avoid proposing actions that cannot be implemented. The different solutions as suggested by the community residents and multi-sectoral team are then arranged in a tabular form (refer **Table…21)**

The intervening agencies and multi-sectoral teams should examine the opportunities, potential and resources of the community and relate them to the solutions they propose. Examples of these opportunities include roads, infrastructure, market centres, knowledge and skills of the community residents and the existing community organizations.

In some cases, the intervening agencies are already part of the multi-sectoral teams, and this enables them to complete their sector plans. However, where the relevant intervening agencies are not available, they should be consulted as a later stage to fine-tune the plan.

Step 5. Preparation of Community Planning Formats

After preparing the draft plan by the intervening agencies, the multi-sectoral agencies prepare planning formats for developing action plans with the community residents.

- The community planning formats are presented in the sub-groups for completion
- The role of the multi-sectoral team is to facilitate discussions within the subgroups. The village residents analyze the logic and feasibility of each activity themselves before filling in the various sections of the planning format.

- The format for preparing the community action plan is as shown in **Table 20** and an example of a section of a community action plan is as

Shown in **Table 21, Table 22 & Table 23**

Table 20: Format for Community Action Plan

Objective	Activity	By who	Period	Target Group	Resources		Budget		Indicators	Assumptions
					Com	Others	Com.	Others		

Table 21: Draft Plan of Intervening Agencies. Problem: low milk yield

Objective	Solution/actions	By who	Period	Target group	Resources	Indicators	Remarks
Increase milk yields	**Improve animal health**						
	1. train farmers in herd hygiene	FEW, SMS, NGOs	May	Dairy farmers	pamphlets in local language, transport for FEW, demonstration materials	No. farmers trained	Contact ACC, Hiefer Improvement Project
	2. routine deworming	Dairy farmers	Continuous	Dairy farmers	Dewormers, drench gun	No. animals treated Frequency of treatment	Contact DEC
	3. Access to drugs	Input stockists	Continuous	Dairy farmers	Funds for purchase	No. input stockists in place	Purchase from licensed stockists
	Improve nutrition						
	1. Train farmers in pasture mgmt	FEW, SMS	July	Dairy farmers	Pasture seeds, transport for FEW, SMS	Quantities & types dewormers purchased	Seeds to be provided by ZAMSEED

	2. Access to pasture seeds / planting material	FEW, farmers	August	Dairy farmers	Funds for purchase	No. farmers trained. Area planted	Farmers provide labour for land preparation & planting
	3. Train farmers in supplementary feeding	FEW, SMS. NGO, feed stockists	September	Dairy farmers	Pamphlets, feed samples	No. farmers trained	Contact feed agencies

Table 22: Example of Community Action Plan for Specific Problem

Problem: low milk production

Objective	**Activities**	**By who**	**Period**	**Target group**	**Resources**		**Budget**		**Indicators**	**Assumptions**
					Community	**Others**	**Comm-unity**	**Other**		
Increase milk yield	Training farmers in herd hygiene	FEW, SMS, NGO	May	Dairy farmers	demonstration animals	NGO pamphlets	30,000	20,000	No. farmers trained	Funds released by FMU on time
	Routine deworming	dairy farmers, FEW	every 3 months	dairy famers	Dewormers drench guns	transport	20,000		No. animals treated Frequency deworming	dewormers available Farmers have funds to purchase dewormers
	Train farmers in pasture mgmt.	FEW, SMS	July	Dairy farmers	land for demo plot labour	pasture seeds transport	40,000	10,000	No. farmers trained	Pasture seed will be available
	Establish improved pasture	Farmers	August	Dairy farmers	land labour funds for seed		60,000 per acre		No. farmers trained. Area planted	Farmers have funds Seed available on time
	Train farmers on supplementary feeding	FEW, SMS, NGO	September	Dairy farmers	Agricultural by-products	demonstration materials transport		50,000	No. farmers trained	

Table 23: Action plan for Mansense at Masansa Camp

Objective	Activity	Period	Target	Resources		Budget		Indicators	Assumptions
				Community	Others	Community	Others		
1.Increased access to fertilizer	(a) Sensitization on the need to repay loans (b) change of inefficient leadership	June June	Msense Community as above	 Coop	CEO DMCO		85 193	More farmers repaying loans New leadership	Farmers are willing to change attitudes The old leadership is willing to accept change
2. Availability of farm power	(a) To purchase donkeys (b) Train in harnessing material(s) making	June/July As above	As above As above	Funds local materials	NGO Undp As above	600 500	3500 1500	Donkey bought Harnessing materials made	Funds are available Funds and materials are available
3. To build a School	(a) Site selection	May - 01	Daka Comm.	Tools & Labor	Nil	200	Nil	Cleared site	Community is agreeable
	(b) Mould bricks for the school	May -01	As above	As above	Nil	10,000	Nil	Bricks made	Community is cooperative
	© Digging and construction of foundation	July-01	As above	As above		3600	500	Foundation dug	As above
	(d) Building of school	July-01	As above	As above	Cement	10,000	18000	Structure seen	Funds being available Commitment to work by community
	(e) Roofing (1)	Aug.-01	As above	As above	Nails & timer	2000	8000	Roof done	Materials and funds are available
	(f) Roofing (2)	Sept.-01	As above	As above	Asbestos sheets	2000	12,000	Roof done	Asbestos are on site
	(h) Plastering	Oct.-01	As above	As above	Cement	2000	8,000	School plastered	Funds being available
	(i) Door, window frame + glass panes purchase and fitting	Nov-01	As above	As above	Panes Door & Window Frames & doors	Nil	14000	All items fitted	Funds being available

Step 6. Completion of draft action plan

The discussions of the draft planning tables with the community residents are conducted in the subgroups. This is mainly to enable more effective participation, and understanding of their plan. The operational steps are as indicated in **Table 24**.

Table 24: Operational steps for the draft action plan

Step	What to do
Introductory meeting	Overview of activities & results of previous phases Explanation on work done by the multi-sectoral teams
Division of work in mixed groups	The sub-groups are constituted. Each group should have representatives of various socio-economic groups Members of multi-sectoral team are distributed among the sub-groups. In each group there should be at least one facilitator & an expert in the field in question. The expert fulfils the role of resource person & should not play the role of facilitator so as not to influence the discussions too much
Completion of draft action plan	The facilitator starts by explaining the progress of the work. He/she encourages the community residents to freely express themselves, analyze the feasibility of each activity & encourages them to suggest actions for which tangible results can be obtained. The community residents are encouraged to complete the action plans for their sub-group. If required, planning tables for intervening agencies will provide support, but these are not discussed with the community residents. Each solution, action, target groups, resources, etc, must be clearly specified. Monitoring indicators are identified to enable the community to evaluate the impact of actions.

Step 7. Presentation of the Community Action Plans for approval and adoption

This is undertaken in the wrap-up meeting.

- The main facilitator explains to the community residents the objectives of the wrap-up meeting and calls upon the sub-groups to present their action plans.

- After each presentation, members of the sub-group make additional contributions and clarifications before the rest of the community residents express their views. This enables the community residents to approve the activities in the plan.

- Following the presentations, the main facilitator synthesizes the proposed plan. He/she explains the progress the activities and for each activity, the intervening agencies responsible; the monitoring and evaluation programme. He informs the community residents that they are also required to take responsibility for monitoring the activities.

- Thereafter, he/she explains to the community residents the concept and the need to form a community implementation committee.

3.7 Tools For Community Organization/Implementation

Introduction

Implementation arrangements deal with actions to execute planned activities. On completion of the community action plan, a community coordinating body to oversee implementation has to be constituted. This body is called the Community Implementation Committee (CIC).

Community Action Plans in order to be successful require careful attention of the community residents to communicate and coordinate among themselves, the local organizations in the area, the local administration authorities and various development partners.

It is, therefore, important to create or strengthen a village organization to lead the development efforts, coordinate and evaluate planned activities and communicate to external partners.

3.7.1 Tool 14: Community Organization

Once the planning stage is completed community residents should decide on the kind of organization they need to coordinate the activities.

The Community Development Committee should have representatives from the various socio and vulnerable groups such as women, youth, HIV/AIDS victims and others.

The Community Implementation Committee

The above committee is changed with the following tasks:

- Organize the work plan
- Mobilize resource to carry out the planned activities
- Serves as the point of contact between the community and the external partners and service providers.
- Take charge of participatory monitoring and evaluation of activities in the action plan.

This stage presents an overview of objectives, methodology, composition and functions of Community Implementation Committee.

Objectives

The objectives are:

- To establish a functioning body to oversee the implementation of the community action plan.

- To establish a co-coordinating body at community level to liaise with service delivery agencies.

Methodology

The steps to elect the community implementation committee are:-

- Introductory meeting
- Discuss the need to create the CIC
- Explaining the roles and the CIC
- Informing the community residents the composition of the CIC
- Election of the CIC
- Follow on activities

Introductory meeting

The facilitator, together with the community residents review activities accomplished since the beginning of the in-depth exercise.

Discuss the need to create the CIC

- The facilitator together with community residents makes a list of all development activities reflected in the CAP. The community residents are given a chance to indicate which action they will implement initially, using their own resources.

- The Venn diagram is used to identify and analyze existing organizations and their importance for community development.

- After thorough analysis of the development activities, existing internal and external organizations, and deciding on the required institutional situation, the community residents become convinced on the need to create the CIC.

Roles of the CIC

- To oversee the implementation of the community action plan,
- Mobilizing community residents to implement the planned activities
- Facilitating communication and dialogue within the community, neighboring communities and intervening agencies.
- Liaison with external actors to spearhead the demand for services as indicated in the action plan
- Undertaking competition and motivational programmes to foster a competitive spirit in implementation of community action plans.
- Organizing exchange visits within the community
- Preparing regular reports on implementation of the planned activities
- Organize savings and credit schemes at community level to finance grass root project.

The number of members on the CIC may vary from community to community depending on the planned activities in the community action plan.

Election of the CIC

- The CIC is elected in the general meeting after presentation and adoption of the Community Action Plan.
- The community residents nominate the individuals to be on the committee. These have to be seconded before voting.
- Voting is done by a show of hands
- The elected team stand up to be acknowledged
- The community residents discuss and decide on the term of office for the CIC
- Finally, the community residents discuss and agree on the schedule of feed back meetings
- The CIC also decide on the schedule of their review meetings.

It is important to encourage development of good leadership and good leadership is one, which encourages the following qualities:

- Multi-direction communication,
- Open sharing of information, and
- Active participation in decision-making by all its members.

In other words, the leaders of an effective community organization must be good facilitators. And the role and challenge of outsiders in facilitating rural development is to help the process of community leaders developing into good community facilitators.

Follow-on Activities

- Election of sub-committees of the CIC
- The members of the CIC form sub-committees among themselves to oversee implementation of specific programmes e.g. on health, education, production, fuel saving stoves, soil and water conservation, etc.
- These sub-committees may co-opt members from the community
- Following the in-depth study, the CICs should spearhead profile studies to identify micro-projects for the community.

Points for future direction

- Members of the CIC need to be trained to equip them with planning, organizational skills and project proposal write-up skills to build grass root capacity.
- CICs could eventually become community based NGOs that oversee development in their areas of operation.

3.8 Tools for Participatory Monitoring and Evaluation

Introduction

Participatory Monitoring and Evaluation are important functions that have to be undertaken in any activity. Whereas Monitoring is a continuous process that starts from the initiation through all the phases of PEA, evaluation is a periodic assessment of the implementation and impact. These two functions are important in gauging the success in implementation of the planned activities.

- The objective of monitoring and evaluation is to track implementation progress, identify shortfalls and then take remedial actions.
- The objective of evaluation is to examine the relevance, efficiency, effectiveness and impact of implemented activities.

3.8.1 Tools 14: Monitoring

Participatory Monitoring is a continuous process that starts from the initiation through all the phases of PEA. Monitoring and evaluation of system needs to answer the following questions:

i) Relevance (does PEA address community resident's needs)?
ii) Efficiency (are the resources utilized wisely)?
iii) Effectiveness (are the defined results achieved)?
iv) Impact (to what extent have PEA activities brought about changes for the betterment of community residents)?

Methodology

Emphasize that monitoring and evaluation involves the process of measuring, recording, collecting, processing and communicating information about the performance of the project in different stages.
Let participants brainstorm "who should monitor a community project?"

The outcome could be:

- The community itself as a whole
- The community's committee
- The government extension agents
- The councilor, chiefs
- Women should monitor women-specific projects, etc.

Monitoring and evaluation is only useful if the people involved in the implementation of the project are willing to take the necessary corrective measures. Community self-monitoring is an integral part of the empowering process.

The tools for monitoring and evaluation of PEA include:

- Focus group reviews, both special groups representative of each socio-economic and or interest group, and the interest groups themselves
- Progress reports
- Review meetings

- Field supervision reports
- Key individuals
- Special studies

Communities should be encouraged to use those performance indicators of progress, success, failure, and impact that they would normally use. Communities have their own indicators and these will vary according to farming system, wealth ranking, socio-economic status, and so on.

Progress Reports

- Progress reports should be bi-monthly/quarterly

- The Field Extension Worker should submit the report to his/her Supervisor and copies to the community implementation committee. The supervisor then reports to the District Extension Co-coordinator in addition to assessment made by the responsible agencies. Indicators for these include:

- Regularity of the visits by the extension agents compared to agreed upon schedules
- Relevancy of the technical messages communicated to the Community residents.
- The quality of training and demonstrations communicated to the village residents.
- The quality of training and demonstrations conducted which would reflect the knowledge and skills of the extension agents.

3.7.2 Tools 15: Participatory Evaluation

Participatory evaluation requires the facilitators/beneficiaries of a project to take an active part in its evaluation. The people themselves examine the strengths and weaknesses so that they can contribute more to the success of their own work.

There are different steps for M&E;

Step 1: Preparation (clarifying and defining)

- ♦ Why M&E is wanted
- ♦ What to monitor
- ♦ Who and When
- ♦ How (tools and techniques to use)

Step 2: Gathering Information

- ♦ Actual process of collecting information needed.

Step 3: Diagnosis and Conclusion

  - ♦ Analyzing information
  - ♦ Draw conclusion

- ♦ Adjust future course of action accordingly or recommend future course of action

Evaluation by extension

The extension system as a whole would be evaluated in terms of comparing the current status with the past by both the Facilitators and the community, in regard to:

- Attitude of extension staff and those of other rural service providers
- Accessibility to extension services
- Changes in production, productivity, etc
- Participation in extension services
- Ability for extension to respond to the needs of the community residents

One important aspect of evaluation is the development of the checklist that should be used by the facilitators during the fieldwork in order to evaluate the PEA process. Results of such an evaluation by the facilitators would be important for making improvements in PEA.

The checklist or questionnaire for evaluation is based on the points given below. Before using the checklist discuss, explain your practices and identify their strong and weak points.

Points for what to evaluate and monitor under the PEA

a. Responsibilities for organization and execution of the PEA
b. Responsibilities for organization and execution of the PEA phases and the community residents

c. Participation during the PEA phases
d. Scope and sequence of the PEA phases

e. Duration of the PEA phases
f. Type of Information sought, source and methods used
g. Tools used in PEA
h. Preparation and programming of the PEA phases
i. Feasibility of action plan, Monitoring and Evaluation and Information strategy
j. Budget (costs and financing) of the PEA exercise for both the human and material resources

FACILITATORS' EVALUATION CHECKLIST FOR PEA

a. Objectives of PEA

- What are the objectives of PEA
- Are they different or similar to other participatory methods? In what ways?

b. Responsibilities for organization and execution of the PEA phases and the community residents

- Responsibilities of the trainers
- Responsibilities and roles of the multi-disciplinary teams
- Who were the personnel in your team and the participants
- Have each of the above fulfilled their roles?

c. Participation during the PEA phases

- What was the extent of participation by; (a) the Community residents (b) the multidisciplinary teams and (c) the intervening agencies
- During work with groups, what was the composition of the groups; how were they formed?
- During the discussions in mixed groups, what was the participation of the special interest groups (women, youth, disabled, etc)
- Local authorities participation:
- Where applicable rank the levels e.g. Very high = 4, High 3, Average = 2, Low = 1, etc.

d. Scope and sequence of the PEA phases

- Scope and sequence of the planning process
- What activities constituted the plan
- Do they address rural development as a sector?

e. Duration of the PEA phases

How many hours and what percentage of the time was spent on:-

- diagnosis
- problem analysis
- search for solutions and
- planning

Is the time adequate for each of the above phases.

- Do you consider the planning process with the community residents to be finished or to be a regular activity

f. Type of Information sought, source and methods used

- During the diagnostic phase was the information obtained adequate to prepare realistic plans?

g. Tools used in PEA

What was the relative importance of:

- Secondary date collection
- Village mapping
- transect
- Semi-structured interviews
- Venn diagram
- Historical background
- Seasonal
- Problem and objective analysis

h. Preparation and programming of the PEA phases

- Did you prepare adequately for the field work
- Was the timing suitable for the community residents, what would be the most appropriate time
- Were the intervening agencies informed timely
- Was information to the community residents and intervening agencies sent in time

i. Feasibility of action plan, monitoring and Evaluation and Information strategy

- Are the plans feasible?
- What mechanisms have been put in place for monitoring and evaluating implementation
- Have the indicators for monitoring been identified and clearly spelt out
- What mechanisms are in place for information flow between the stakeholders

j. Budget (costs and financing) of the PEA exercise for both the human and material resources

- What is your estimation of the costs of the planning exercise you have conducted

Can this budget be sustained

- How can resources be saved without affecting the quality of the plans?

Evaluation by the Community

The above evaluation can also be extended to the beneficiaries through the CICs. However at this level the issues to examine may differ but the checklist to be developed ought to include the points in the table below:-

Checklist for evaluation by community

- Is this approach new, in what way?
- Is it useful (explain)
- Areas of benefits (usefulness)
- Did you understand the process
- The timing of activities, period, duration, adequacy
- Methods and tools used, usefulness, any changes required
- Action plans, are they realistic and implementable

3.7.3 Tool 16: Reconsideration

Introduction

The Reconsideration tool addresses the lessons learnt from the annual assessment studies/reviews undertaken to establish the implementation status of the Community Action Plans. This tool brings together the multi-sectoral team, the community implementing committees and Intervening Agencies, to search for ways to improve on performance as well as to chart the way forward. Along with community groups, it is also important for assessing impact and the status of qualitative indicators such as community and family welfare, attitude of extension and other service providers, changes in wealth status, improved access to rural amenities, and so on.

Objectives

The objectives of the Reconsideration tool are:

- to address constraints/weaknesses in the Community Action Plans highlighted in the Evaluation reports
- to consider complementary interventions or New Action Plans for the follow-on phase
- to chart out new strategies to improve effectiveness of implementation
- to review the performance of CIC and the organizations
- to evaluate the impact of the activities under taken

Methodology

Steps to be followed:

- Community Implementation Committees present their reports

- Discussion of Evaluation Report(s)
- Planning meetings for Community Implementation Committees, Multi-disciplinary teams and intervening Agencies.
- Discussion of PEA follow-on Action Plans for approval by community residents.
- Reviewing the performance of the committees.
- Focus and sub-group assessment of impact and qualitative indicators.
- Reconsider the relevance of criteria/indicators and consider whether new ones should be used.

Discussion of Evaluation Report(s)

The meeting to discuss the Evaluation Report(s) brings together the multi-disciplinary team, community implementation committee members and intervening agencies. This session highlights the extent to which set targets were achieved, resources used, constraints and lessons learned by all stakeholders.

Planning Meetings

Following thorough appraisal of the Evaluation reports, the multi-disciplinary team, members of the community implementing committees, and intervening agencies form working sub-committee on health, agriculture, education, works, status of women, welfare of community, amenity improvement, responsiveness of service providers and so on. Each sub-committee and or focus group plans on ways to:

- improve service delivery to the beneficiaries
- include additional and/or complementary interventions
- Reformulate or design new micro-projects for the follow-on Action Plans.

Discussion of the PEA Follow-on Action Plans

The community planning meeting is called to discuss the Action Plans developed. This meeting:

- informs on the targets achieved in the previous Community action plan
- analyses the successes and failures
- highlights the Follow on Action plans
- allows community residents to discuss how to improve the Draft Follow on Action Plan
- Adopts and approves the final Follow-on Action Plan

Reviewing the Performance of the Committees

Following approval of the PEA Follow-on Action Plans, the community residents are also required to reconsider and if acceptable, endorse the committee(s) to oversee implementation. If the community residents are satisfied with the performance of the CICs, they can renew their mandate by extending their term of service. If they are dissatisfied with the committees then new ones have to be elected.

Points to Note

It is important for the multi-sectoral team to review the opportunities, potential and resources in the community and uses the venn diagram to relate to the solutions in the Follow-on-Action Plans. The procedure used in developing the Follow-on Action Plan is similar to those in the Planning Stage

CHAPTER 4

4.0 ADDITIONAL TRAINING NEEDS FOR PARTICIPATORY EXTENSION AGENTS

In order to make extension service delivery more effective and efficient, extension agents/facilitators, will need their abilities and skills in various aspects to be sharpened. The important aspects include;

- Facilitation
- Training
- Communication
- Group dynamics
- Community organization
- Gender sensitization
- Innovation dissemination methods

4.1 FACILITATION

4.1.1 Introduction

Facilitation is the employment of approaches for realizing community involvement. It is a process where the facilitator or an agent of change assists engagement in meaningful dialogue, activities and projects.

Food for Thought
How do You help farmers engage in meaningful, **Dialogue, Activities, Projects?**

OTHER DEFINITIONS

- Facilitation is a process, which involves, problem identification, causes of the problem and finding solutions to the problems where full participation is allowed in a community.
- To facilitate is to transmit certain ideas from e.g. policy makers, research and down to the receiving community.
- It is the process of which the facilitator and the community identify a problem and come out with the solution.
- Is the ability to combine leadership skills in order to create awareness, interest, and desire so as to achieve the set objectives of the community.
- It is a process where the community is fully involved in bringing development to the area but with initiated by an individual or a small group of people.
- Is the process where you guide and lead while allowing free participation in order to have a voluntary change.
- Is the process of helping the community go through the project cycles of their choice.

4.1.2 Becoming a Facilitator

Today's demand is for Extension agents to change from manipulating to facilitating farmers' aspirations. The way in which you communicate with the participants depends on whether you are manipulating the group or you are facilitating it.

What is the difference?

- MANIPULATING (is trainer centered, you are in charge and everyone knows it, you know it all,)
- FACILITATION (is learner centered, you are helping others to learn, you are learning too) . Facilitation encourages creativity and reflection by participant, leading to shifts in attitudes and awareness.

But manipulation should not be seen as entirely wrong. You may combine the two but you ought to be careful of when and how to do that. At the beginning of a subject the trainer is the dominant figure, directing the training. But as the lesson progresses the trainees need to be facilitated to grow more comfortable with one another and overall process, group cohesion will increase and they will begin to assert their own authority over the training. This will enhance active participation.

4.1.3 Qualities of a good facilitator?

A good facilitator ought to have most if not all of these qualities in the table below;

• Unbiased • Understanding and experienced in the application of training methods • Good listener • Exposure • Appropriate approaches • Knowledge of subject matter • Time manager • Patience/tolerance • Motivator • Builds the process • Good communicator • Sensitive • Good planner • Good documented (recording and report writing) • Good personality (sober mind) • Presentable • Flexibility to accommodate eventualities • Approachable • Sense of humor • Good organizerl • Confidence/confidentiality • Integrity and credibility • Provision of feedbacks and acknowledgements • Good facilitator • Team work/spirit promoter • Willingness to learn from the trainees/others • Willingness to "hand over the stick" to the trainees/community

4.1.4 Facilitation skills

A Facilitator acts as catalysts in group learning; he/she encourages interaction among community members by asking questions that are conducive to learning. The facilitator should aim at having local knowledge and experience as integral parts of the communication. This ensures a high degree of local relevance and promotes empowerment through local control.

The key elements of facilitation skills:

- Sharing the knowledge
- Sharing the information
- Sharing experiences
- Skill to communicate
- Skill to notice and resolve participant's problems
- Skill to organize
- Skill to plan
- Social skills
- Skill to manage time
- Skill to resolve conflict
- Skill to add clarity to issues
- Skill to control a process
- Teaching/training skills
- Skill to facilitate a discussion and reach conclusion
- etc

4.1.5 What makes a good Facilitator?

Becoming a good Facilitator requires time, experience and learning by doing. Most effective facilitators have the following range of key characteristics;

a **warm personality**, with the ability to show approval and acceptance of trainees

Social skills, with an ability to bring the group together and control without disorganizing or destabilizing it

A **manner of teaching** which generates and uses the ideas and skills of participants

Organizing ability, so that resources are booked and logistical arrangements smoothly handled

Problem analysis skills in noticing and resolving participants problems

Enthusiasm for the subject and capacity to put it across in an interesting way

Flexibility in responding to participants' changing needs

Knowledge of the subject

N.B. Some of the above can be attributed to one's personality BUT some can be learnt or improved through experience and practice.

4.1.6 Facilitative attitudes

The following attitudes are important for good facilitators;

Neutrality

Suspending or deferring your own thoughts, opinions and feelings about the task before the group is the basis for your credibility and effectiveness. It is your overview of where they are and where they want to go, separate from you opinion about either of them, that will enable you to assist in accomplishing their tasks.

This should be interpreted to mean that the facilitator should not make contributions of content or provide direction for the group. In areas of your expertise it important that you act as an expert – while at the same time being attentive to the knowledge that group members can contribute. One way to walk this knife-edge is to be clear about what role you are taking at any given moment. For example, you might present the content that you wish them to hear – and present it as an expert and then move into a more neutral role as the participants strive to understand the information you have shared – your role here is to facilitate their learning.

Win/Win Attitude

If you do not believe and do not demonstrate a belief that agreements are possible or desirable, they probably won't be. Your responsibility is to advocate for decisions that everyone is willing to support.

Flexibility

It is important for you to plan the meeting based on your knowledge and experience enriched by the data you have about the participants' needs and identify strategies and tools beforehand. It is equally important that you be able to let go of the preplanned roadmap and move with the group.

Being Non-Defensive

The mediating influence of a trainer depends on neutrality and a non-defensive attitude. When a trainer becomes defensive, he or she can easily become the focus for the session. At times you will be called upon to put the group's needs before your own and not allow your feelings to add another dynamic to a complex situation.

4.1.7 Facilitation Techniques

The following techniques are important in playing the role of a facilitator;

Beginning the facilitation process

i) Clearly define your role at the start of the meeting. Be brief but be sure and do this. Check if there are any questions

ii) If there is skepticism about the role, ask if they are willing t try if for an hour or so. Indicate that you will check to see what they think after they experience it. Remember to use a negative vote, e.g., "Any objections or concerns you have about the role?

iii) Periodically ask for feedback (at halfway point or after a break) e.g. "How are you doing? Is there anything you want me to do more of less of?

iv) Get as many "small" agreements as early as you can, e.g. agreement on a time for closure, agreement on the outcomes, agreements on the first step of the meeting etc.

v) Use the group memory to remind them of what they have accomplished, what they are trying to accomplish at the moment, and what they are trying to accomplish for the entire meeting.

vi) Use the group memory to help them make process decision, Remember, in making process decision, you are helping them move through the same phases of problem solving, only about process instead of content.

vii) Boomerang questions back to the group. "I don't know. What do you think is the next step here?

viii) Make suggestions "lightly", e.g., "You may want to defer on evaluating until you have got all of your ideas out," or, "Lets try listing the advantages and disadvantages of these options before deciding. Any objection to taking a few minutes to do that?

Controlling the facilitation process

The facilitator need to be mindful of certain participants' characteristics and behaviors that may be detrimental to the learning or discussion process e.g.

- Discouraging others
- Being talkative
- Reluctant to mix with others due to age differences
- Noisy
- Being Sabotage
- Reluctant to mix with others due to different political affiliations in a multi-party
- Bringing in a political climate
- Ambitious demands
- Having participants with different levels of understanding of issues at hand due to different levels of education (Literacy)

What would you do if one or more people have above characteristics and behaviors in the group you are facilitating? This culminates into conflict management.

4.1.8 Facilitation Cycle

FACILITATING community aspirations for meaningful benefits is not so easy. The complexity of it all is that it ought to be carried out in a systematic and iterative manner. It is a process and each step leads to another but also gives feed back to others. (*Refer to Figure …22 PEA Facilitation Cycle*)

RESULTS OF GOOD FACILITATION

1. Sustainability
2. Raised community ability to making decisions (well informed)
3. Community benefits realized
4. Development will take place
5. Community ownership promoted
6. Good name for the facilitator
7. Community made ready for other interventions and assistance
8. Good leadership
9. Strong community groups
10. Reduced dependence syndrome
11. Promoted confidence
12. Experienced staff
13. Raised community capacity
14. People who cannot easily be deceived
15. Self reliant

Incorporate the following in facilitation

Facilitation requires experience & intuition

The success or failure of an interactive learning programme depends on skilled facilitation. Facilitation requires experience and intuition in creating a sequence of activities that allow the group to give all of its potential to the learning process. Additionally, facilitators need skills in introducing rules for interaction, in posing the right questions at the right moment, in dealing with group dynamics and in writing and visualising clearly.

4.1.9 Role of the facilitator

In a training course, the facilitator assumes two roles:

1. **A methodological resource person**: The facilitator designs a daily schedule of activities and proposes different methods for interaction to the group.

2. **A technical resource person**: Presenting a conceptual frame and tools for diagnosing and analyzing problem situations and for elaborating strategies for improving them.

The facilitator is not the leader or teacher of the group. If the facilitator dominates the group by imposing his/her scientific wisdom and professional experiences by giving lectures using, for example, the overhead projector with uncountable and unreadable transparencies, little learning takes place.

The primary task of a facilitator is to enable the group to manage and to assume the responsibility for its own learning

Instead, the primary task of a facilitator is to enable the group to manage and to assume the responsibility for its own learning. The facilitator merely takes part in the learning activities initiated and controlled by the participants themselves. Participants initiate and control their learning and become the directors of the training programme, while the facilitator is just an assistant to the group in making the learning adventures as fruitful as possible.

Some Key Points For the Facilitator to Consider

- Communities that are empowered to solve their own problems are more successful than those which rely on instructions from outsiders.
- Only the communities themselves can achieve liberation and empowerment of communities.
- People themselves know how they got into problems, and they know best how to solve them.
- Self-organization is important.
- The group approach is more effective for problem solving.
- Team spirit and common understanding are important.
- Top-down messages/instructions do not necessarily solve people's problems.
- Extension workers cannot do things for communities; they can only work with them as equal partners. They are catalysts and facilitators, not teachers.

4.2 TRAINING OF TRAINERS FOR PEA

4.2.1 Introduction

Training of trainers/facilitators in order to equip them with the knowledge and skills to train other extension workers and community residents, and provide continuous backup as well as learning is very important for PEA. Besides knowledge of subject matter, the extension facilitators and agents of change need to have community training skills.

OBJECTIVE

To impart knowledge and skills for community training

4.2.2 Introduction To Basics

Teaching and Learning

Teaching assumes one person knows and tries to encourage others to know too (Empty tank filling). **Learning** is not usually an outcome of formal teaching. It comes from a process of self-development through experience. Our Learners are Adults. Adults have particular problems with learning e.g.

- The process of learning is more important than the actual subject
- As we grow older our short-term memory faculty becomes less efficient and more easily disturbed
- We find it difficult to translate what we see or hear to long-term memory

Any method that relies on short term memory e.g. lectures, demonstrations etc. is doomed to failure.
Active involvement, participation with hands-on ensures learning in adults.

The motivation to Learn

Unless participants are motivated, they will not and cannot learn. You must always tap into and keep refueling the motivation by build strong self-esteem in each participant (e.g. ask participants to mention all things they are able to do)
Lack of Motivation is one of the main reasons why learning fails. Some of the reasons for lack of motivation are:

- Instructed to attend
- Do not know why they are attending
- Aware of work mounting at home
- Teaching style not involving them (their skills, insights)
- The subject is a repeat
- They harbor misconception about you and your organisation

Hints for motivating participants
Motivation may change during workshop. Deal with suspicious participants, make things clearer etc. Start with Workshop Expectations e.g."Why are you attending this…" or "What are the personal reasons for coming to this…"

Common signs of Demoralization: Lateness, absenteeism, poor work, inattentiveness, challenging perceived authority etc.

Adult Learning

- Adults are voluntary learners. They perform best when they have decided to attend the training for particular reasons. They have a right to know why a topic or session is important to them.

- Adults have usually come with an intention to learn. If this motivation is not supported, they will switch off or stop coming.

- Adults have experience and can help each other to learn. Encourage the sharing of that experience and your sessions will become more effective.

- Adults learn best in an atmosphere of active involvement and participation.

- Adults learn best when it is clear that the context of he training is close to their own tasks or jobs. Adults are best taught with real world approach.

What Affects Learning in Adults?

- Presentation
- Relevance of the topic
- Presenter's conduct
- Venue
- Training method
- Language
- etc

Communication

i) Communication Barriers

Good communication and free exchange of information is at the heart of all training and human resource development. But this can be threatened by Barriers constructed or already existing in both trainers and trainees. Despite choosing appropriate exercises and methods, other barriers may reduce the effectiveness of communication between the sender and the receiver.

Some communication Barriers:

- Not confirming if message is received
- Pre-conceived perceptions and notions
- Resistance to change

- Feelings and Emotions
- Making assumptions and ignoring feelings

Typical communication Blocks

Communication is seriously affected by the conduct and tendencies of the trainer. Some of the typical communication blocks are as follows:

a) SOLUTION OR ADVICE (you cant figure this one out? Do it my way)

b) ORDERS (Giving orders can provoke resentment as people are not given a choice and their feelings have not been considered.

c) THREATS (We use our powers to tell people what will happen if they don't do it our way. Their feelings are not important.)

d) MORALISING OR LECTURING (When we tell people what they should do or ought to do, we value our own values more than theirs.)

e) CRITICISM OR RIDICULE (We deny people's feelings by telling them that they are bad people and do not have a right to feel the way they do.)

f) PRAISE OR SYMPHATHY (Ill praise or symphathy.)

g) QUESTIONING (By telling people to think logically, we deny their feelings.)

Promoting Communication

In order to promote communication the trainer is required to apply to :

- **Passive Listening** (showing interest)
- **Acknowledgement** (aha, mmm, I see)
- **Door Openers** (tell me more, I want to hear more, is it so)
- **Content Paraphrase** (you are saying that if the plan works the problem will be solved?)
- **Active listening** (Making positive contributions)
- **Provision of Support** (responding to legitimate needs)

4.2.3 Characteristics of a Good Trainer

Becoming a Good Trainer

Purpose: to learn good characteristics of a trainer, and training skills.

Learning to a large extent depends on the personality and skills of the trainer or Facilitator. To be a good Trainer or Facilitator requires time, experience and learning by doing. Most effective trainers and Facilitators have following range of key characteristics:

- A warm personality, with the ability to show approval and acceptance of trainees
- Social skills, with an ability to bring the group together and control without damaging it
- A manner of teaching which generates and uses the ideas and skills of participants
- Organizing ability, so that resources are booked and logistical arrangements smoothly handled
- Skill in noticing and resolving participants problems
- Enthusiasm for the subject and capacity to put it across in an interesting way
- Flexibility in responding to participants' changing needs
- Knowledge of the subject

NB: Some of the above can be attributed to one's personality BUT some can be learnt or improved through experience and practice.

Purpose: to impart the knowledge, skills and techniques necessary in carrying out a training session.

The basic skills and techniques for training are; preparation, development of training objective, knowledge of participants, choice of venues or training rooms, seating arrangement, timing of sessions, pace and content of session, planning training programme, methods of training, training performance and use of teaching aids for visualization.

a) Basic Preparations

The basic preparation starts with own-self.

b) Development of Training Objective

Developing a training objective starts with answering the questions:Why are you going to do a training? Whom are you training? What is the primary content of your training?

The Six General Objectives for developing training objectives are:To change Behavior, To Persuade, To Inform, To Stimulate Thought, To Entertain, To motivate. However each training must have specific objective for the workshop based on the subject matter.

TYPES OF OBJECTIVES:

Qualitative objectives: Uses words like : to understand, to appreciate, to know and to recognise. These are difficult to measure.
Quantitative Objectives: Centers on what participants will be able to do and uses words like: ABLE to make, to plan, to construct, to solve etc. The skills to be learnt are pronounced.

Examples
a) The trainees will understand the principles underpinning participatory learning approaches for development.
b) At the conclusion of the workshop the participants will be able to plan their own use of participatory methods in their fieldwork.

c) Knowing the Participants

It is important to know the People you are going to train in terms their literacy level and knowledge of the subject matter to help determine the Program, Training Materials and Teaching Aids, and in terms of their culture and religious affiliation ii) It helps to Know their Cultural and Religious affiliations which might have implications on issues like timing, types of meals etc.

Things to Know about the participants:

i) number of participants
ii) reason for attending, own idea or instructed
iii) their hopes and expectations, fears and concerns
iv) their range of experience, discipline, age, gender, status,
v) their biases towards or against you or your organization
vi) their prior knowledge on the subject

d) Choice of Venue and Rooms

It is important for the trainer to choose a suitable venue. If you cannot influence choice of venue, you may need to know the chosen venue and how it will affect your participant's ability to learn. Therefore:

- Visit the venue before participants arrive and set up your materials
- Check on suitability of the room for different assignments
- Identify potential sources of distraction in the room
- Walk around the room before starting
- Check for utility points and adjust positioning and placement of Aids

e) Seating Arrangements

Seating arrangement can have an influence on the session. There are Six Types of seating arrangements i.e.

1. Rows of tables and chairs
2. Hollow U-shape
3. Banquet or Fish born type
4. Conference table
5. Circle of chairs
6. Table trios

Each type has advantages and disadvantages. With Community training you need to be more creative than just suggesting on any of the above.

f) Timing of sessions

Proper timing of training is necessary especially where it concerns community participants. The trainer needs to be mindful of the effects of length of the session and the time of the day, season, and others on concentration.

- **The length of your session;** Avoid lengthy sessions. If the training session is too long the trainer must include interludes e.g. -jokes, active participation, exercises, stories or breaks.

- **The time of the day; A**void lecture type of training especially after people have just had lunch, or make the session more lively and interactive.

- **Season of the year;** the training should take place during the season when there are fewer activities in the field.

- The training period should give ample time for the practical work

g) Pace and Content of Sessions

It is important to structure each session carefully. The Pace depends on: How much do they know already, what do they need to learn, and how much time is available to cover the material. Avoid rushing through at all times.

The Content depends on what the participants: MUST know, SHOULD know, and COULD Know. Always strive at **must know**. You need to play your cards well for this knowing to happen.

h) Planning a training programme

PLANNING is the first step to success. In training different Formats are used. For this manual two types have been suggested below:

1. **DAILY TIME TABLE** . Some daily timetables cover TOPIC/OBJECTIVE, TIME, METHOD, CONTENT and RESPONSIBILITY while others include even PREDICTED ERNEGY LEVEL OF PARTICIPANTS and LOGISTICAL NEEDS. Be careful of the sequence and logical flow of topics.

Table; 25 Format for daily time table

Time	Topic or Objective	Content	Method	Responsib ility	Predicated level of participants (1,2,3,4,5)	Logistical needs

2. **INDICATIVE TRAINING TIME TABLE** . An indicative training timetable shows the DAYS OR DATES and TOPICS or SUBJECTS to be covered each day.

Table 26 Format for indicative training time table

Day/Date	topics/subjects

i) Training methods

Many METHODS of training are available and can be used. No single one is better than the other. For training which stresses active participation and open dialogue, it is essential that methods that are consistent with the values of participation are used. For adult training the methods used are cardinal. Use a combination of learning methods to alter the tempo of the training. Some of the methods commonly used are:

- Lectures or plenary sessions
- Card collection
- Visualized lectures
- Information market
- Modeling
- Case studies
- Field work
- Games and exercises
- Buzz Groups
- Group works
- Brainstorming and Collecting ideas
- Role play
- Notes and Visual Aids

Plenary sessions

The plenary session is the centre of any event. Here is where the discussion starts and where the final evaluation takes place. The participants intervene in the steering process of the event and the conclusions are elaborated. But plenary sessions can become boring so its use must be carefully considered.

Card collection

This technique is very powerful in quickly gathering the ideas, expectations, and interest of participants on a specific topic. It produces a collective mirror on the group's opinion in a visualised and structured manner on a pin board. The facilitator visualizes the question to be answered and distributes a certain number of cards. The participants write their cards silently and these are then pinned by the participants themselves on the board. Alternatively, the facilitator collects the cards, reads the ideas written on them and pins them on the board. In this way, the writer remains anonymous. Associated ideas are put in the same cluster, according to the instructions of the participants.

Once all the cards are on the board, the participant's review the clusters and revise restructure and label them for further discussion, prioritization, analysis and documentation.

Visualised lecturettes

Principally, lectures have no place in an interactive learning programme because it is a rather inefficient method of transmitting ideas and concepts. It is based on the passiveness of the listeners, and rarely geared to the day-to-day professional problems of participants. But brief lecturettes of about 15 minutes duration can be used as motivating inputs for further discussion. If the facilitator visualises the main points with cards in a step-by-step manner, they can hold the attention of the participants, demonstrate the logic of their thinking through progression and arrive at conclusions that can be shared. The contents of a visualised lecturette are not lost because they remain on the pin-board. If the subject matter under discussion is complex, several pin-boards can be placed simultaneously to link the content and highlight inter-relationships. Note taking by participants is not necessary.

Group work

It offers a change, which stimulates and intensifies the exchange between participants. Everybody gets involved. The presentation of group work results may be visualised or may be in the form of a role-play or an interactive exercise. Some rules are essential for the successful functioning of group events. The rules given below are just common sense, but they are important to stimulate interaction and improve understanding.

Information market

The information market is a technique of facilitating the exchange of information among many persons within a limited period of time. The idea behind is to give everyone a chance to freely choose the information she/he wants. The method is based on the idea of a free market, that is, buying and selling. The participants, who exhibit their pin-board, sell their information to other members of the group who function as buyers. The buyers go from one board to another, read the information written, and may raise questions and enter in a discussion on the areas they are interested in. Once the buyer is satisfied with the information obtained from the seller's information shop he may approach another one.

Modeling

Participants arrange their seats in a circle. In the very centre, the facilitator develops with the participants the subject with symbols, drawings, etc. on the floor. Everybody can contribute to the construction of a model by inventing new symbols, adding drawings, visualizing inter-relationship, etc.

Case studies

This method is used to work out, in detail, a problem definition and analysis, solutions, proposals, and actions from which general conclusions can be drawn. The success of the case study method depends to a large extent on how relevant the content of the study is to the day-to-day activities of the group members. To ensure practical relevance, all course participants are requested to prepare their own case studies for the course.

Field work

Fieldwork is an excellent technique for learning and is a very important aspect of the course. It offers a particular chance to link the course process with concrete situations in a real life setting. It provides opportunity for first-hand observation and personal contacts with community members. It also offers a means of exercising some participatory techniques and dialogue. For conducting the field work, the participants are divided into several groups. The methodology (Rapid Rural Appraisal, Participatory Rural Appraisal, Participatory Needs Assessment, Participatory Monitoring and Evaluation) is introduced, the objectives and tasks are discussed and the preparatory arrangements are explained. The group then prepares for the field work. It prepares its checklist, established working procedures, and determines the division of labour for the observations and discussions in the field, the analysis of results, report writing, and presentation back to the plenary.

Group dynamic games and exercises

Ice breakers.

The objectives of icebreakers are to animate participants to motivate them for the next session and to reach a higher level of concentration for the next activity, or for changing an exercise from a purely intellectual activity to one where more senses become involved. A lot of adult games can be adapted as icebreakers. Their use depends entirely on the kind of group, the setting and the mood of the group. An experienced facilitator will be able to decide when to apply each game, e.g. to wake up participants in the morning, to change the subject, to renew concentration after lunch, etc. It is good to link an icebreaker with the course process.

Group dynamic exercises.

A number of group dynamic games and exercises can be conducted to introduce certain topics. The objectives and procedure for conducting these games differ depending on the overall purpose, e.g. the Squares Game for illustrating the importance of co-operation and teamwork.

j) Training Performance

To train well is to give a performance. Remember that the trainer is a living "VISUAL AID". Some of the things that are covered in being a living visual aid are; self presentation, Articulation and expression, Dealing with nerves and Dealing with questions and answers.

Self presentation; this involves the way you PRESENT yourself, your STYLE of performance are important, the WORDS you use and how you use them, the TONE of your voice, and your BODY LANGUAGE (movements and gestures). Your gestures and body language communicates more than just words e.g. looking at participants, smiling and avoiding distractive movements and objects.

Articulation and Expression*;* More than 50% of the message is conveyed by how you say the words. In order to build a favorable learning climate and thought articulation; Do not be afraid of pausing, use a wide range of vocal tones and pitch to strengthen expression and emphasis in your message. Act a little, speak clearly, Speak up but do not shout**.**

Dealing with Nerves; It is normal to be nervous. Even experienced trainers become nervous before beginning training. But it's not a pleasant state. It ought to be controlled. Let your nerves help rather than fail you:

Hints for avoiding being nervous

- Prepare thoroughly
- Do not be defensive in your presentation.
- Visualize how wonderful you are going to perform
- Spend some little time alone
- Do some neck exercise
- Inhale and exhale deeply several times
- Relax by flexing the tense parts
- Start talking to participants as they come
- If possible do a "who we are"
- As you put others at ease, you do to yourself
- Speak to participants as equals (using we, our, not you, your)
- Try a quick easy exercise for the group

Dealing with Questions and Answers; Questions and answers are good for checking on participant understanding, not testing and for seeking clarification on topics and points after you have finished. Always reserve time for questions, and check through questioning participants understanding.

USE OF TEACHING AIDS FOR VISUALIZATION

Introduction

The following equipment/materials must be made available to the training team and, as applicable, to the multi-disciplinary team working in the communities: -

- A blackboard, chalk and duster
- Support for blackboard
- An overhead projector, screen and transparencies prepared in advance (where possible)
- Newsprint/Manila paper, felt pens
- Mask tape, pair of scissors

Purpose

All contributions to a session are written down in key words with big letters, graphic symbols or even pictures, and then pinned on boards. The visualisation serves as a supplement to the spoken word and it also enhances the impact of training.

Materials

Usually, locally available materials can be adapted. For cards, colored chart papers, re-cycled paper or newsprint may be cut; sheets of cloth can be hung on walls and cards can be pinned to the cloth.

Advantages of visual aids

- Increases retention rates
- Improves communication
- Makes group discussion more effective
- Makes though processes of the group visible
- Makes contributions during the discussions visible for documentation

Materials for visualization

- Oval cards in different colours
- Rectangular cards in different colours
- Circles indifferent colours
- Strips in different colours
- Clouds
- Pin boards, pins

How to use the cards

Cards of different sizes and shapes are used in visualisation. Cards should be used for written visualization. Consider the following aspects:

- Write only one idea per card
- Write only three lines on each card
- Use half sentences (a verb and key words), no full sentences!
- Write legibly

4.3 REPORTING

4.3.1 Introduction

Reporting involves communication to relevant authorities and stakeholders the progress, achievements, problems and recommendations concerning the project activities.

At the beginning of the project it is important to report and give feedback most frequently. Later when community capacity is built and all stake holders gain better understanding of roles , responsibilities and general operations of the project the frequency of reporting can be reduced. Reports will be written at all levels on: Monthly, Quarterly and Annual basis. Other information of urgent nature will however be collected /reported during visitations.

Participatory reporting is the involvement of the community people in the monitoring of activities, achievements and progress, and reporting of the results to all stakeholders and relevant authorities. For Community based projects this is important because participating in monitoring and reporting helps to strengthen: ownership, relevance of work, commitment sharing of ideas and knowledge and sustainability.

In reporting it is important to**;** Decide what should be reported, select indicators for doing so, organize the collection of information (*how, who, when*), analyze and interpret data, and use the information generated.

4.3.2 The main purposes of reporting at community level are:

a) Management tool to help people improve their efficiency and effectiveness
b) It is an educational process to increase people's awareness and understanding of various factors that affect their life. It therefore empowers people to control the development process.
c) Creates opportunities for people to exchange ideas.

The Community members or committees need to be able to report on the efficiency and effectiveness of the project intervention and their own contribution, and the impact of the whole project on their lives. The beneficiaries need their own reporting system which enables them to gather, process, analyze and report data which are relevant to them. This is similar to the concept of Beneficiary Contact Reporting.

4.3.3 Objectives of participatory reporting

a) Checking Implementation

- Record inputs, activities and outputs
- Identify deviations from work plans
- Identify constraints

b) Assessing Performance, Quality and Relevance

- Overall efficiency (cost-effectiveness)
- Overall effectiveness (achieving objectives)
- Suitability of new methods
- Long term impact (contribution to development)

c) Reflecting and Learning

- Learn from achievements and mistakes
- Increase capacity to perform better
- Take corrective action

d) Communication

- To share progress and results with others.

4.3.5 The proposed PM&R for PEA

When we decide to involve community members in the reporting about implementation of a given project, then the system immediately demands for dualism of doing that. This becomes so because the communities will require to assess their perform and progress while the implementing organization will also want to check and report on what is going on. Therefore the two types of reporting systems / mechanisms suggested are:

1. Organization reporting

2. Community reporting

4.3.5 The key steps in Reporting

Step 1. Preparation (clarifying and defining)
Step 2. Gathering Information
Step 3. Diagnosis and Conclusion

4.3.6 Monitoring and Reporting by Community Committees

Generally the community committees will be reporting on the implementation of the Community Action Plans which they will have made themselves. The items to report on could include:

a) **Community organization and performance of various committees** in terms of how often they are meeting, attendance and discussions and decisions made. Actions successfully carried out, constraints and problems faced and suggested solutions for the identified problems and actions for the coming period.

c) **Benefits they are accruing:** What benefits they are accruing either physical or in kind.

Community should agree on what things to report on and frequency of reporting on the different activities. Basically reports are made on the PLANS made and ACTIONS taken, achievements, failures/problems and discuss reasons for failure as well as remedies.

Format for reporting by community committees

Community reporting ought not be complicated. Preferably this can be done even in vernacular language. A simple format for reporting could be as follows:

Date	**Name of Activity**	**Target (What planned)**	**Activity Carried out according to Plan**		**Budget**		**Usefulness**		**Comments**
			Yes	No	Yes	No	Yes	No	

The format for reporting should very closely be related to that of the Action plans and stipulating the extents of achievement, failure and reasons for that.

4.3.7 Reporting by MACO

The MACO just like the Community Committees will also report on the Community organization and performance of various committees in terms of how often they are meeting, attendance and discussions and decisions made. Actions successfully carried out, constraints and problems faced and suggested solutions for the identified problems as well as actions for the coming period.

MACO will further report on all the project elements i.e. Objectives, Outputs, Activities and Inputs for their Impact, Effectiveness and Efficiency. Therefore the reporting format will be more elaborate than that of the communities. Achievements will have to be measured quantitatively and qualitatively.

MACO will focus on;

- The progress of each activity
- The effectiveness in reaching objectives
- The relevance to the priorities agreed upon by the community
- How the group in charge of the activity functions
- How the different activities are implemented and how the project evolves as a whole
- How the co-ordinating committee functions
- The relationship of the community with external agencies

The cross-cutting indicators for participatory reporting at community level are:

- The project impact as described above.
- Community participation
- Gender equity in the project
- The interaction of community with external agencies

4.3.8 Types of reports under PEA

Reports of Review meetings

Meetings offer a chance for the community and implementing agencies to monitor and evaluate each other. Meetings offer both the management and implementers a chance to hold each other accountable. But meetings should have a clear agenda, orderly and take proper records and action plans. The frequency of meetings depends on many factors such as agenda and cost. The deliberations of such meetings need to be reported on following the agenda, bringing out discussions and resolutions or decisions or conclusions made.

Periodic Reports to review progress

Progress reports are important monitoring and evaluation tools. The frequency of their production depends on each institution, but Daily Schedules and Dairies, Weekly, Monthly, Quarterly and Annual Reports are common in MACO. A common format for reports is one that compares targets to achievements within any given time period as below;

Common Format for Periodic Reports

Activity	Indicator	Target	Achieved	Comments

4.4 Communication

a) Introduction

One of the most important skills necessary in a facilitator is the ability to generate effective communication. Since a facilitator uses a process of dialogue to help other people identify problems and solutions, realize opportunities, analyse, plan and evaluate, it is important to understand how we communicate, what hinders effective communication, what real dialogue is and how to improve it.

b) Communication through dialogue

Two people of fairly equal status, exchange messeges which are mutually understood. The sender and the receiver of the message are actively involved in this 2-way communication process.

In contrast, a monologue is one-sided. Only one person is sending messages and any other person involved is passive and silent. There is no real exchange of ideas or views.

c) Facilitator skills for perfecting effective communication

Skills for effective communication

- Listening
- Non-verbal communication and body language
- Clarity of speech
- Probing
- Questions

i) Listening

Effective listening means understanding the message as the speaker intended it and also understanding the speaker's perception which are embedded in the message. It therefore requires:

An open mind; if you assume you know in advance what the speaker wants to say, the mind hears one's own assumption instead of what the speaker is actually saying
Attention to what the speaker is saying- it is easy to daydream, only half listen, switch off because we are a bit bored
Impartiality; if you are upset by the speaker's remarks or they contradict your own deeply held views, you tend to rejct inwardly what is being said.

ii) Non-verbal communication and body language

Non-verbal communication is expressed through body language. We communicate a great deal through body language, but often unconsciously.

What is body language?
Facial expressions, gestures, stance, eye contact are all forms of body language which send message about our level of interest, commitment, attitude etc. it is important to be aware of the messages being sent by body language and the consequences of inappropriate body language. For example;

Facial expression – e.g. interest, anger, disdain, boredom, like, dislike etc.
Eye contact- keeping eye contact is a sign of interest and can convey an honest attitude. NB. Bear in mind, however, that there are cultural factors which affect women in particular from looking directly at a "superior".
Gestures – certain gestures are highly charged culturally, especially pointing and dismissive gestures
Where one positions oneself in relation to others – can indicate shyness but it may also be interpreted as showing an assumed superiority

iii) Clarity of speech

To ensure that one's message is clear, it is important to know in one's mind precisely what one wants to communicate. Speaking it out to a friend or colleque can help to clarify one's own thought and get the message into an understandable form. It helps one's own understanding too.

Translation from English into the local language makes the message much longer and it will need more time to convey. It is also very difficult to find exact word for word translation of English terms used in facilitation, development, MACO and other organizational jargon etc. consequently, translation MUST be practiced and tested on colleagues and knowledgeable bilingual members of the target group to ensure that they are correct and appropriate.

iv) Probing

Probing is a skill which is used simultaneously with good listening. It involves making appropriate comments and asking relevant questions as naturally and unobtrusively as possible, whilst listening to a speaker to ensure that the speaker clarifies his thinking and deepens the analysis he is engaged in.

Listening/probing techniques

Type	Purpose	Example
Clarifying	To help the speaker more fully	Can you just clarify…..? is this the problem as you see it now?
Restatement	To check one's understanding, to check on interpretation of facts, to show how well you are listening, to give encouragement to the speaker to continue	As I understand it…., Is this what you have decided to do?, and the reasons are……
Neutral	To convey your interest and that you are really listening	I see…., Yes Yes, I understand, That a good one
Reflective	To show that you understand how the speaker is feeling To help the speaker evaluate his feelings in the matter	You feel that…..? So you were really shocked by that? Do you think that was fair
Summarizing	To bring all the discussion into focus in the form of a summary To move the discussion on to another level To focus attentionon the need to translate words into action	These are the key areas then You have mentioned…… What about…….? What do you think you can do about it

v) Questions

Try to avoid using leading/closed questions e.g. don't you think you should grow onions? This requires only a yes or no answer, do not promote any reflective process and provide external direction instead of helping the person to reason towards their own decision.

Try to use open ended questions e.g. how do you feel about that?, what are some reasons for that?' what do you has happened?, can you help me understand this problem a bit better? These questions do not direct the response but require the other person to expand on what they are.

4.5 Group dynamics

Principles Of Group Dynamics

Group dynamics are the forces at play as group members interact with each other. These dynamics affect the effectiveness of the group.

Groups exist in all situations. The simple act of more than two people coming together to do something, however briefly, constitutes the formation of a group. Groups which function well are more powerful than anyone one individual. If members of the group pull together, they can make things happen. If they are divided amongst themselves, the group will disintegrate.

Stages of group Development

There are said to be four stages that any group passes through i.e.

- Forming,
- Storming,
- Norming and
- Performing.

In the **forming stage**, the group is merely a collection of individuals without shared experience. As a formed group, the members pass through a **storming stage** where individual personalities, strengths and weaknesses become apparent. When the group has worked out its common objectives and agenda, roles and responsibilities are assigned to individual members. If there is too much conflict and disagreement at this stage, the group will collapse. As people get used to each other they will work out **norms** of group behaviors. Then they will be ready to start **performing** as a group.

Groups generally produce fewer ideas than individuals working separately. However, the group is a good place to bring individual ideas for others to help evaluate and refine them. The group's collective experience can help improve criticism, planning, implementation and evaluation of both ideas and activities.

In a good group, members are open to each other, listen to each other, and are constructively critical of each other.

Conflict is inevitable. But it is not always bad. It can help generate more ideas and self-criticism. If the conflict is excessive, and one person or one clique dominates the group, the group will not be able to operate for long.

Symptoms of conflict
Conflict can be expressed in raised voices, sharp language, tense atmosphere, even silence.

Dealing with conflict

Try to diffuse conflict by;

- Taking the individual involved to one side and talking to them, trying ti find out their point of view
- Using others who have a personal relationship with the individuals concerned
- Using influential members to find out the cause of the conflict
- Bring the issue into the open and allow others to comment
- Giving the people concerned special roles to play which will focus their energies and attention away from the conflict
- Do not deal with difficult individuals in a public manner

Mixed group

The mix of the group is very important. It can affect the group's performance. For example, if very junior people are mixed with very senior people, the juniors may never speak. If a Chief is included in the group, his subjects may never criticize.

Roles and responsibilities

If a group is to realize its objectives, members must take on specific roles. Individuals are good at different things e.g. seeking information, planning, organizing, implementing, getting other people involved, keeping everyone informed, keeping and accounting for money.

Ensure that people are given jobs that fit their capabilities – the roles and responsibilities are more important than official titles.

Leadership skills

A leader must earn the respect and trust of the people s/he leads. Therefore s/he must be;

Leadership abilities and characteristics

- Hardworking
- Honest
- Fair
- Knowledge
- Helpful
- Approachable
- Able to allocate tasks
- Able to diffucse conflicts
- Able to promote good teamwork
- Make people feel included and respected
- Keep his/her word
- Do things on time

4.6 Gender sensitivity

Depending on the cultural set-up of the community, the facilitator has to be very conscious of gender imbalances that may exist and try to neutralize the situation. A deliberate effort to allow women to participate will yield useful results. Women play a central role in development but are often denied the information pertaining to their developmental activities and the opportunities to air their views on personal needs and problems.

This requires special focus to the social-interest groups and will contribute to the success of the participatory approach.

4.7 Innovation Dissemination methods

- Mobile trainings
- Demonstrations
- Field days
- Community experimentation
- Farmer field school
- Farmer study circle
- Farmer Business School

4.7.1 Farmer Field Schools

Farmer Field Schools are built upon the principles of adult education, which centers on hands-on, innovative and participatory discovery learning process.

The expression reflects the educational goals;

- That the course takes place in the field,
- That the field is the teacher,
- That the field conditions define most of the curriculum,
- Those real problems are observed and analyzed from planting through to harvest.

A TYPICAL FARMER FIELD SCHOOL IS:

a) One or two crop seasons or livestock production cycle.

b) Made up of a group, usually 20-30 farmers, who set up a group study field on the crop(s) or livestock of their choice.

4.7.2 Farmer Study Circles

A study Circle is basically a small learning group of people made up of individuals that come together to learn about a particular subject in which they are interested. The group identifies someone amongst them who would be responsible for facilitating the discussion and learning. Some form of study material which contains factual information on the subject further guides this learning process.

The study circle method is an effective tool for dialoguing, planning and human capacity development. It is an effective cost saving and complimentary method for training and education.

A typical operation of study circles begins with a participatory extension and information needs assessment by farmers upon which is identified the type of skills to outsource. Study Circle training skills are immediately implemented in farmers' own fields and followed up with field days conducted at selected farmers' fields, as well as exchange visits.

4.7.3 Community experimentation

During the implementation stage, the communities try to "learn by doing". This is a learning experience that encourages them to experiment with ideas and techniques.

Experience has shown that the knowledge and understanding gained through the experimentation process strengthens farmers' confidence in their own capacities and knowledge. This increases their ability to choose the best options, and to develop and adapt solutions appropriate to their specific ecological, economic and socio-cultural circumstances.

During the implementation and experimentation process, new questions and problems that were not seen at the beginning, are likely to arise and will become the community's 'action research agenda'. Ideally, if technical problems are involved, research agents should join in the process of joint learning. It might require some specific on-farm trials on certain issues, which focus on more quantitative results to support the findings. If technical processes are not fully understood, farmers' ideas are taken to the research station for further research under controlled conditions. The research station can then act as a "think tank of options" for exposing farmers to many different ideas and potential technologies.

If the 'spirit of experimentation' is successfully created this triggers a collective learning process. The extension worker keeps track of all new developments in the area and encourages farmers to share any new ideas among each other. Learning through practical experience and trying as well as information sharing is critical to the success of participatory extension and necessary to encourage more widespread trying and testing of ideas and innovative practices.