A handbook for trainers on participatory local development

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The *Panchayati Raj* model in India

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Contents

Foreword

"A handbook for trainers on participatory local development: The *Panchayati Raj* model in India" supports the world's biggest endeavour in grassroots governance taking place in India. The 73rd Constitutional Amendment, adopted in 1992, established a solid legal base for participation of the rural poor in local (district, sub-district and village level) government institutions. Some 238 000 *Panchayats* (village councils) representing about 600 000 villages have been constituted and about three million rural people, a third of whom, by law have to be women, elected to *Panchayat* bodies. The handbook is focused on the training needs of these three million newly elected *Panchayat* members, the majority of them semi- or even non-literate and unprepared for the responsibility of local governance. The Government of India has recognized the need for training of these *Panchayat* members for capacity-building on participatory local development.

Preparing the *Panchayat* members, especially the women among them, for their new roles as local decision-makers, calls for education and training on a massive scale, for which adapted training methods and tools are needed. As a first step, there is a need to provide education and training to impart self-confidence to those who have been socially marginalized on caste, ethnic and gender considerations. At the same time, it is necessary to change the attitudes of the socially powerful towards full acceptance of grassroots participation in planning and management of local level development. *A major area of training for village council members is awareness and capacity-building for mobilization and sustainable management of social, physical and financial resources in order to improve the livelihoods of the rural poor who, according to latest official government estimates, make up about 19 percent of the country's 1 billion people.* Village council members must also be empowered to participate in the planning and implementation of poverty reduction policies/programmes and activities initiated by state and federal level governments.

As the United Nations specialized agency with the mandate to promote sustainable agriculture, rural development and food security, the Food and Agriculture Organization (FAO) of the United Nations has embarked on rural development activities to strengthen local institutional capacities for improving livelihoods of the rural poor in this region who form the majority of the world's poorest people. Home to nearly two-thirds of the 800 million hungry people in the world, with more than one-fourth of these in India, the region is the focus of the November 1996 World Food Summit (WFS) goal to reduce global hunger by half by the year 2015.

A key FAO rural development priority in Asia and the Pacific is to improve grassroots participation in decision-making and delivery of support services through decentralization and good regional and local governance. This is in line with the FAO medium-term plan to ensure that decentralization processes contribute to overall development benefiting rural people, particularly the most disadvantaged. It also supports one of the FAO global *priority areas for interdisciplinary action* – local institution building to improve capacity for achieving sustainable rural livelihoods.

As part of its priorities in the region, the FAO Regional Office for Asia and the Pacific promotes networking on strengthening institutional capacities for decentralized decision-making in agriculture and rural development, and small-scale enterprise development in member countries. These activities aim to:

- enhance awareness and self-help capacities of the rural poor, including small and landless farmers, small-scale rural producers, rural women, indigenous people and rural people with disabilities;
- enable the rural poor to mobilize local resources; and
- bring about a more equitable sharing of the benefits of local and national socio-economic development.

The development of "A handbook for trainers on participatory local development" for elected village *Panchayat* officials and government staff is the outcome of a process that began

with the *International Conference on Decentralization* jointly organized in 1996 by the FAO Rural Development Division, the World Bank and other UN agencies.

As a follow-up, the FAO Regional Office organized, in November 1998 in Thailand, a regional workshop on *Decentralized Rural Development and the Role of Self–Help Organizations*. The workshop brought together rural development experts from ten Asian countries which are members of the Regional Center for Integrated Rural Development for Asia and Pacific (CIRDAP). The participants discussed action plans for follow-up by governments, non-governmental organizations (NGOs) and the private sector within their countries.

Among others, the meeting recommended that the FAO Regional Office and donor agencies continue to actively promote capacity-building programmes to strengthen awareness and skills of local government staff and elected officials and enhance their decision-making ability for participatory planning and implementation of poverty reduction programmes. It also recommended that FAO sponsor relevant skills-training, such as the preparation and use of training of trainers' manuals by rural development training centres.

In collaboration with the Bangladesh-based CIRDAP and the National Institute of Rural Development (NIRD) – an organization of the Ministry of Rural Development, Government of India – FAO sponsored a series of workshops in India on developing a training of trainers' handbook.

The handbook aims to improve training capacities of NIRD and non-governmental expert agencies for awareness-building and skills-training of the newly elected *Panchayat* members. It focuses on the training of elected local officials in two key institutions of *Panchayati Raj* – the *Gram Sabha* (body comprising all registered voters in a village) and the *Sarpanch* (head of the elected village council). The handbook modules were field-tested in India in collaboration with selected stakeholder groups – government and district level planners, trainers from rural development planning and training institutions as well as NGO/village leaders. Indeed, one of the training modules was prepared by an elected *Gram Panchayat* head.

Although designed for the training needs of all categories of local functionaries associated with the decentralization process in India, the handbook provides guidance on core issues in institutional capacity-building for local development planning, which are, to a large degree, similar in other developing countries within the region. Accordingly, the handbook could be a model for capacity-building training in other countries in the region which have initiated decentralization. Follow-up RAP initiatives are planned for the wide dissemination of the handbook among policy-makers, rural development experts and practitioners within the South and Southeast Asian region.

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Acknowledgements

I

Decentralization for empowerment of rural poor

Why decentralization is important for empowerment of rural poor

Persistent poverty in South Asia

South Asia is still a long way from eradicating hunger and poverty while the gulf between the rich and poor continues to widen in most countries in the sub-region. According to *Human Development in South Asia 2002*, more than one-third of South Asia's 1.4 billion people live on less than US$1 a day.[1] The substantial progress in agricultural production in the region has been "neither adequate nor equitable enough to reduce the region's huge backlog of poverty", says the report.

Ineffectiveness of centrally administered local development programmes

Aware that the 'trickle down' effects of economic growth take too long to reach the poor, governments in the region have relied on centrally administered support programmes and planned interventions to raise living standards, such as:

- subsidized food at below market rates
- micro finance
- relief employment or food-for-work programmes.

These have produced mixed results. Subsidized food has often not reached the needy due to faulty targeting and the unscrupulous diversion of supplies. Micro-finance loans have been used more for consumption than investment and generally not repaid fully. For example, about 60 percent of the loans given out under India's Integrated Rural Development Programme (IRDP) are estimated to be in default (UNDP: 1993).

The food-for-work programmes have been more effective since these involve manual work where daily labour wages are paid partly in food and partly in cash and which, therefore, attract only the really needy. However, in many instances, information regarding periods of slack work in rural areas is not available in time for food-for-work programmes to be organized when they are most needed.

Weaknesses in rural development policies and programmes in India

- Lack of involvement of rural poor in development, resulting in marginalization of non-agricultural workers and landless labourers in economic development.
- Disregard of local resources, knowledge, skills and collective wisdom.
- A 'superior' attitude in government machinery at various levels and a 'passive' and 'servile' attitude among the rural poor.
- Imposition of development programmes without understanding local conditions; technology disseminators not tuned to local socio-economic and cultural realities.

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[1] MHHDC. *Human development in South Asia 2002: Agriculture and Rural Development, (*Islamabad. Mahbub-ul Haq Human Development Centre, 2003), page 4.

Decentralization for empowerment of rural poor

These shortcomings led to the realization that poverty alleviation programmes cannot be effective unless the poor have a voice in the planning and implementation of schemes meant to help them. This, in turn, necessitates decentralization of key government functions.

Decentralization is the transfer of power and authority from the central/state government to the local level government, and to non-government and private organizations. Decentralization enables rural poor people to: a) share in decision-making that affects their daily lives; b) evaluate the outcome of their own decisions; c) minimize chances of misunderstanding; d) understand the difficulties and complexities of administration, planning and management; e) accept responsibility for failure; and f) develop a sense of belonging and commitment to civil society.

Basics of decentralization

- Political and administrative autonomy to local bodies.
- Devolution of revenues to local bodies and empowering them to levy taxes to fund part of their expenditure.
- Periodic local body elections. Reservation of seats on local bodies for weaker social sections.
- Local database on administration.
- Local voluntary and private sector organizations collaborate with local governments in addressing development issues.
- Build local human capacities through improved access to health care, education and productive assets to ensure that decentralization empowers the poor.

Types of decentralization

Political – provides citizens or their elected representatives at the local level with more power in decision making and supports democratization by giving them more influence in the formulation and implementation of policies. The process is known as 'devolution' and is inherently tied with local autonomy.

Administrative – redistribution of authority, responsibility and financial resources among different levels of government. This includes:

Deconcentration – transfer of power, authority, responsibility or the discretion to plan, decide and manage.

Delegation – creation of autonomous units with a great deal of discretion in decision making.

Fiscal – delegation of fiscal and financial powers, including taxation powers to the local self-government bodies.

Leading forces behind decentralization

- Democratization process.
- Structural adjustments and disengagement of the state.
- Emergence of civil society organizations and new stakeholders.
- Growth of local and regional forces in search of their own socio-political identities.

As many Asian countries adopt decentralized development models, they are searching for best ways to:

- motivate and mobilize people to participate in local development;
- strengthen capability for participatory local development;
- strengthen institutional capabilities for training of local decision-makers for their varied and demanding tasks; and
- enhance sharing in knowledge and understanding of good practices in local development.

A number of training tools, methods, courses and information systems have been developed in India and across Asia to address these issues, with participatory training approaches becoming increasingly important. Training methods in India on strengthening local governance within *Panchayati Ra*j also focus on bringing about changes in values, attitudes and behaviour – for e.g. accepting illiterate women as leaders in local development – which are now recognized as preconditions for successful decentralization. Effective training of both local government officials and local elected representatives is urgently needed because without appropriate knowledge and skill development programmes, decentralization initiatives may not yield the desired results.

This handbook has been designed to cover identified gaps in training needs of both local government functionaries and elected grassroots representatives associated with the *Panchayati Raj* decentralization process in India. These include the following training modules: ***participatory planning and management; s*ocial mobilization; enhancing women's participation; social audit; participatory local resources management; partnership building; conflict management; planning for disaster preparedness and mitigation; participatory community monitoring and evaluation; and PRA tools.***

The topics covered in this handbook will be relevant for Asian countries with programmes and activities in support of participatory local development.

Decentralization policies and legislation in India

The Constitution of India has set up a republican parliamentary democracy at the national level with the Council of Ministers chosen from and collectively responsible to the elected House of People. This structure of governance is replicated at the level of states, which form the Union of India. The Constitution provided for decentralization in the form of a general directive to the state to establish *Panchayati Raj* institutions (PRIs) at the village level as the lowest rung of governance. According to Article 40 of the Constitution:

"The State shall take steps to organize village *panchayats* and endow them with such powers and authority as may be necessary to enable them to function as units of self-government."

The true potential of Article 40 lies not merely in its directive to set up village *panchayats* as part of a constitutionally formulated principle of state policy, but in the significant concomitant mandate that *panchayats* be endowed with "such powers and authority as may be necessary to enable them to function as units of self-government". This means that the task would remain incomplete unless village *panchayats* begin to function as units of self-government as a part of a democratic polity.

The vision of village-based self-government came to be appreciated a few years after the Constitution's adoption in January 1950 when it became increasingly self-evident that socio-economic transformation could not be achieved without democratic participation. The Community Development Programme, launched in 1952, had a 'top-down' approach. Although this was soon strengthened by a National Extension Service to tackle the problems of growth and development at different local and functional levels, there was, relatively speaking, only token public participation through nominated representatives of the public.

The growing awareness that lack of public involvement and participation was a major impediment to the implementation of the Community Development and National Extension Service Programmes, was reflected in the government's Second Five-Year Plan. "Unless there is a comprehensive village planning which takes into account the needs of the entire community, weaker sections like tenant-cultivators, landless workers and artisans may not benefit sufficiently from assistance provided by the Government," the Plan document noted.

"Indeed, rural progress depends entirely on the existence of an active organisation in the village which can bring all the people including the weaker sections into common programmes to be carried out with the assistance of the administration," it added. The document emphasized the need for "an agency in the village which represents the community as a whole and can assume responsibility and initiative for developing the resources of the village and providing the necessary leadership".

The thinking underlying the Second Five-Year Plan was that village panchayats, along with co-operatives, could play a major role in bringing about a more equitable and integrated social structure in rural areas. However, the Plan's thrust was to establish statutory *panchayats* in all villages, more as vehicles for national extension and community development projects rather than as units of self-government. It was primarily from this angle that it set the target of more than doubling the number of *panchayats* by 1960-61.

The Balwantrai Mehta Study Team, appointed in January 1957 to assess the Community Development and National Extension Service programmes, observed: "Development cannot progress without responsibility and power. Community Development can be real only when the community understands its problems; realizes its responsibilities; exercises the necessary powers through its chosen representatives and maintains a constant and intelligent vigilance on local administration."

The Team's recommendation for early establishment of statutory elective local bodies with the necessary resources, powers and authority led to the enactment of a three-tier *Panchayati Raj* system in different states in 1959 with two basic objectives viz., democratic decentralization and local participation in planned programmes.

The three tiers of the system consisted of the Zilla Parishad (district council) at the apex district level, the Block Samiti (council) at the intermediate level and village panchayat (council) at the grassroots level. The States of Rajasthan and Andhra Pradesh were the first to adopt the system. By 1959, most states had Panchayat Acts and by the year 1960 *Panchayati Raj* institutions had been set up in all parts of the country.

The introduction of Panchayati Raj signified the beginning of a new era of participatory development and laid the foundation of 'democratic decentralization' to:

- *promote people's participation in rural development programmes;*
- *provide an institutional framework for popular administration;*
- *act as a medium of social and political change;*
- *facilitate local mobilization; and*
- *prepare and assist in the implementation of development plans.*

However, the promising start towards decentralization in most states soon began to fade, either under political pressure or due to changes in the growth strategies and policies of the government. The creation of *panchayats* was not followed up by the devolution of powers and resources to these bodies, stalling progress of the decentralization process in the country.

Phases in *Panchayati Raj* evolution

1959 to 1966: *Panchayati Raj* institutions established in most states.

1967 to 1976: Little attention paid to the growth of *Panchayati Raj* institutions with no devolution of powers and resources to these bodies. A new trend favoured creation of new government departments for development programmes meant to improve the lives of the poor.

1977 to 1991: The year 1977 marks the beginning of the revival of decentralization efforts in the country, when the Asoka Mehta Committee identified these factors for the decline of *Panchayati Raj*:

i.) dissociation of development programmes from *Panchayati Raj*;
ii) bureaucratic inability to involve *panchayats* in implementation of development programmes;
iii) internal deficiencies within the *panchayat* institutions;
iv) lack of clarity about the concept itself.

The Mehta Committee recommended a two-tier system with the Zilla Parishad at the district level as the first point of decentralization. At the second level, a conclave of villages would

form Mandal (block) Panchayats to provide a better link between higher and local government levels.

The working of *Panchayati Raj* was examined by subsequent expert panels set up by the government, notable among them being the G. V. K. Rao Committee in 1985 and the L. M. Singhvi Committee in 1986.

In view of the limited impact of centrally directed development, the increasing burden on the state of expensive monitoring and the consequent increase in corruption, the committees concluded that there was a need to revitalize *Panchayati Raj*. Its role and powers were limited, elections were not regular and there was little or no accountability to the people at the grassroots. Some states, especially Andhra Pradesh and Karnataka, took steps to reactivate *Panchayati Raj* through institutional reforms to make the lower tiers financially and administratively viable and closer to the people.

1992 to present: The year 1992 marks a watershed in the evolution of *Panchayati Raj* with the modification of the country's basic law by the Constitution's 73rd Amendment Act to confer constitutional sanctity and power on *panchayats*. It also gives them an important role in shaping rural progress with the goal of integrating the poorest and most marginalized into the mainstream of development.

The 73rd Amendment calls for a uniform three-tier *panchayat* system throughout the country. It reserves a quota of *panchayat* membership and chairperson positions for Scheduled Castes/Tribes and women; enables the weaker social sections to voice their problems and encourages the emergence of leadership among them.

The *panchayats* were given the power and responsibility to plan and implement programmes to promote economic growth and social justice as set out in a comprehensive list of activities appended to the Act. (See Annex for details of PRI and elected representative numbers in different states of India.)

However, the implementation of the Constitution 73rd Amendment at the field level has been gradual. Although the Amendment has visualized *panchayats* as institutions of self-government, these bodies have generally been viewed only as agents carrying out federal and state government programmes. Even for these, timely funds have not been made available to the *panchayats.*

Transparency - an essential condition for effective monitoring and evaluation - envisaged by the Amendment to be achieved through the *Gram Sabha* (village council) has not been effectively implemented at the field level. Studies have found that *Gram Sabhas* have not been convened even once in many *panchayats* across the country. The difficulty in convening the *Gram Sabha* is attributed to the quorum fixed by the respective State Act.

Despite the recognition of the need for micro-planning in India's Ninth Five-Year Plan, the planning process did not make much headway due to the lack of expertise and necessary information at the local level.

Another dimension, which has become increasingly important, is the role of civil society organizations in local development with India's 7th Five-Year Plan outlining the possible involvement of NGOs in development programmes.

The following conditions are considered necessary for the successful implementation of the 73rd Amendment Act:
- people's participation for development and management of resources;
- simple, low cost, people-friendly technologies based on self-regenerative measures;
- sensitizing and training rural people and their elected representatives to take up their new roles.

Power to the *panchayats*; 73rd constitutional amendment

The *Eleventh Schedule* added to the Constitution of India by the 73rd Amendment Act lists a comprehensive range of development activities to be entrusted to PRIs as part of the decentralization process.

1. Programmes for productive activities – agriculture, irrigation, animal husbandry, fuel and fodder, poultry, fishery, small-scale industries including food processing and cottage industries;
2. Land development programmes – land reforms, soil conservation, minor irrigation, water management and watershed development, wasteland development, social forestry and grazing lands;
3. Education and cultural activities – primary schools, adult education, technical education and libraries;
4. Social welfare – women and child development, family welfare, care of people with physical and mental disabilities;
5. Provisions of civic amenities – drinking water, rural electrification, non-conventional sources of energy, rural roads, bridges, culverts, waterways, sanitation, rural housing and health;
6. Poverty alleviation and allied programmes for social and economic advancement of the weaker sections;
7. Maintenance of community assets and public distribution system;
8. Organization and control of rural markets and village fairs.

The Constitution of India directs state governments to endow *panchayats* with the powers and authority necessary for their functioning as institutions of self-governance with the key responsibility of preparing and implementing plans for economic development and social justice. *Local bodies have been given direct responsibility for decentralized development planning with the introduction of Article 243 ZD in the Constitution. This establishes a District Planning Committee in every district "to consolidate the plans prepared by the panchayats and the Municipalities in the district and to prepare a draft development plan for the district as a whole".*

Decentralized planning has thus become a constitutionally recognized key function of the *panchayats* and many state governments have taken steps to enable elected PRIs to discharge this responsibility. (See Annex I, pp. 95 and 96).

PRIs as a model for participatory local development in the states of Andhra Pradesh, Karnataka and Kerala

*Panchayati Ra*j in Andhra Pradesh

Legislative framework for the establishment of *Panchayati Raj*

The Andhra Pradesh *Panchayat Raj* Act, framed in the light of the Constitution's 73rd Amendment, came into effect in May 1994, setting up a three-tier PRI structure with a *Zilla Parishad* at the district, *Mandal Praja Parishad* at the intermediate and *Gram Panchayat* at the village level. It also provides for the constitution of village *Gram Sabhas* made up of all registered voters in the village.

The state government has satisfactorily conducted elections to constitute the PRIs and has devolved functions, powers, and resources to these bodies.

Election, tenure and composition of members at the three *Panchayati Raj* levels

The PRIs have a five-year term. Members are to be directly elected on the basis of Wards of the *Gram Panchayat* and Territorial Constituencies in the case of *Mandal Parishad* and *Zilla Parishad*, with reservations for Scheduled Castes and Scheduled Tribes in proportion to their population.

One-third of the total number of directly elected seats in each of these bodies is reserved for the backward classes and another one-third for women. The *Mandal* and *Zilla Parishad* have one or two members co-opted from the minority communities. The Head of the *Gram Panchayat* is elected directly by the electorate in the village whereas the *Mandal Parishad* President and the *Zilla Parishad* Chairperson are elected from among the directly elected members of these bodies. One-third of the top PRI posts are reserved for Scheduled Castes/Tribes and another one-third for women.

There is an organic linkage among the three PRI tiers with the elected heads of the lower levels being permanent invitees to the meetings of the next higher tier. Thus, all *Gram Panchayat* Heads in a *Mandal* participate in *Mandal Parishad* meetings and *Mandal Parishad* Presidents within a district attend the *Zilla Parishad* meetings. The District Collector (top district administration official) is also a permanent invitee to the meetings of the *Mandal* and *Zilla Parishad* Standing Committees. Permanent invitees can join the discussions but without the right to vote.

Powers, functions and resources at each *Panchayati Raj* level

Ten out of 29 subjects in the Eleventh Schedule of the Constitution of India have been transferred to *Gram Panchayats*. These include minor irrigation, water management, watershed development, drinking water, roads, culverts and bridges.

The *Gram Sabha* is expected to meet at least twice a year to consider matters placed before it by the *Gram Panchayat.* These generally include the annual statement of accounts and the audit report on the administration of the preceding year; programmes of works for the current year; proposals for fresh taxation or for increasing existing taxes; and selection of schemes, beneficiaries and locations. While implementing programmes, the *Gram Panchayat* gives due consideration to suggestions made during the *Gram Sabha* meetings.

There is provision for seven Standing Committees at the *Zilla Parishad* level, dealing with planning and finance, rural development, agriculture, education and medical services, women's welfare, social welfare, communications, rural water supply and power. Each Standing Committee has the *Zilla Parishad* Chairman as ex-officio member and others nominated by him or her according to prescribed rules. The Standing Committee is the decision-making body in its respective field, subject to the ratification of the general body of the *Zilla Parishad.*

Development areas under direct responsibility of each *Panchayati Raj* level

Gram Panchayat
- Implementing land reform measures, including consolidation of land holdings and cooperative management of community lands.
- Implementing programmes related to agriculture, animal husbandry, cottage industry, pre-primary and primary education, health and sanitation, women, children, destitute people and people with disabilities.
- Resource planning by preparing an inventory of human and natural resources and other assets at the village level.
- Preparing and prioritizing plans/programmes to harness these resources to meet local needs and aspirations.
- Disseminating technology to increase farm and related production; expanding services like health, veterinary and sanitation services in their jurisdiction.

Mandal Parishad
- Co-ordinating rural development activities within their jurisdiction and consolidating *panchayat* plans into a *Mandal Parishad* plan.

Zilla Parishad
- Organizing data collection and consolidation of *Mandal Parishad* plans, allocation of funds and approval of *Mandal Parishads* budgets.

Mobilization of resources and responsibilities at each *Panchayati Raj* level

Gram Panchayat

Only the *Gram Panchayat* can levy taxes. This includes a house tax, a tax on the produce sold in the villages (*Kolagaram* or *Katarusum)* a tax on agricultural land and a land cess at the rate of two *paise* to a rupee (2 percent) on the annual rental value of occupied land.

It can also charge fees such as for the use of land and for the occupation of public buildings such as shelter homes, and duty on land in the form of a surcharge at a rate not exceeding twenty-five *paise* to the rupee (25 percent). The state government also shares with local governments the revenue collected under certain items by way of land/local cess,

surcharges on stamp duty, taxes on minor minerals and entertainment taxes. The government also provides a variety of grants to PRIs.

Mandal Parishad

The main sources of income are funds relating to institutions and schemes transferred by the government, or heads of departments funds relating to different development programmes. Other sources include funds or aid from central, state and other national bodies promoting *khadi*, silk, coir and handicraft; contributions from *Gram Panchayat/Zilla Parishad*; shares of land revenue; and annual grants at the rate of five rupees per person residing in the *Mandal*. A *Mandal Parishad's* own resources account for only five percent of the total income.

Zilla Parishad

It derives 5 percent of its income from rents on buildings and commercial complexes, market/industrial fees, etc. The *Zilla Parishad* (ZP) is paid a per capita grant of two rupees per person residing in its jurisdiction. An important grant is for salaries of *ZP* staff and school teachers, which accounts for 50 percent of the receipts.

The *Janmabhoomi* programme (See Training module on social mobilization. Pg 40)

The programme shows how the administrative machinery can be made more responsive to local needs and to facilitate participation by rural poor in local governance.

Panchayati Raj in Karnataka

Legislative framework for the establishment of *Panchayati Raj*

The Karnataka *Panchayati Raj* Act of 1993 incorporates the institutional structure set out by the 73rd Amendment. It has established the *Gram Panchayat* at the village, *Taluka Panchayat* at the intermediate and *Zilla Panchayat* at the district levels.

Local development planning, participation and resource mobilization

The PRIs are responsible, among other things, for development planning at the district, *taluk* (intermediate) and village level. This involves identification of local needs and resources for formulating local development projects, determining resource allocation priorities and locating projects within the integrated area development framework.

Although the *Gram Sabha* is expected to prepare and promote village development schemes during its open meetings, in practice, such meetings produce a list of demands, such as for school facilities, drinking water supply, a primary health centre, veterinary dispensary or a market link road. The demands are considered by the *Gram Panchayat* (GP), which prepares a GP sub-plan to accommodate the needs of individual villages as far as possible. The GP plans are incorporated into the *Taluka Panchayat* (TP) plans, which form part of the *Zilla Panchayat* (ZP) Plan. This process is designed to ensure that every local aspiration is taken note of.

To promote regional balance, the State Finance Commission (SFC), set up by the Karnataka Government in 1996, recommended criteria for distribution of resources among the PRIs, giving a relatively higher share to backward areas/regions. Moreover, an untied grant of Rs 100 000 is being given to every GP as additional financial assistance, which should not be adjusted against the funds recommended for devolution by the SFC.

The GPs are also empowered to levy taxes on buildings and lands, which are not subject to agricultural assessment within the limits of the *panchayat* area. The GP can fix the rate for supply of water for drinking and other purposes and levy charges such as tax on entertainment, market fee, pilgrim fee, etc.

However, there is insufficient resource mobilization at GP level. This has continued their reliance on the transfer of state resources on the basis of SFC recommendations, which is limiting the realization of the objective of promoting more autonomous planning and administration by local elected bodies within *Panchayati Raj.*

Panchayati Raj in Kerala

Legislative framework for the establishment of *Panchayati Raj*

Kerala enacted the *Panchayat Raj* Act in 1994 in compliance with the 73rd Constitutional Amendment to set up a three-tier PRI structure of *Gram* (village), block and district level *panchayats*.

Local development planning, participation and resource mobilization

Panchayati Raj institutions came into prominence during the unique People's Planning movement launched by the state government in 1996. Initiated after a major devolution of power and resources to local government institutions, the *Ninth Plan - people's plan* campaign was an attempt to prepare and subsequently implement the ninth state plan with people's participation through these bodies.

The programme involved five phases starting from identification of needs by the *gram sabha*s to implementation of the projects using local expertise and resources. Nearly 40 percent of the state's annual plan outlay was set aside for local bodies, ensuring a liberal measure of autonomy to the PRIs to draw up development programmes.

Phases in the People's Planning Campaign – a learning model

First phase – *Gram Sabhas* were convened to identify local development priorities, with meetings held on holidays to ensure maximum participation. Volunteer squads visited households to explain the importance of participation while public meetings and different mass media were used to generate mass awareness. Group discussions were organized on 12 identified development sectors. The most important outcome of the *gram sabha*s was development reports covering local development aspirations, information on natural resources, available statistics and problems.

It is estimated that about 2.7 million men and women took part in the *Gram Sabhas*. Twenty-seven per cent of the participants were women. About 650 resource persons at the state level, 12 000 at the district level and more than 100 000 at the local level, were trained for active participation in the *Gram Sabhas*.

Second phase – Local development seminars were organized to suggest action to address the identified development priorities. To facilitate the discussions, participants were given reports of the socio-economic status of the G*ram Panchayat*. The state of resources was assessed from existing government data, and survey of local geography and history. These exercises were guided by a group of trained local resource persons, elected PRI representatives, and government officials. This involved a massive programme to train resource persons from the state to local level.

The second phase produced an extensive local database, a comprehensive survey of the development status of the *panchayat* and a list of likely solutions to development problems. Task forces were set up to prepare development projects for each development sector.

Third phase – Sector-wise task forces prepared projects based on suggestions emerging from the development seminars. All the 12 development sectors had a task force of 10 to 15

members each and chaired by an elected representative with an officer from the relevant line department as the convenor.

As many as 12 000 task forces were functioning at the village level alone with a total participation of at least 120 000 persons. The task forces prepared about 100 000 projects for consideration by the *panchayats*. Special efforts were made to ensure the participation of officials and local level experts in the preparation of the projects. Guidelines were issued by the State Planning Board to ensure uniformity in the project reports.

Fourth phase – Projects prepared by the task forces prioritized for incorporation into the five-year plans of the *panchayats*.

Fifth phase – Plans are vetted by a panel of experts for their technical viability and conformity with the mandatory government guidelines on planning and costing, before they are forwarded to the District Planning Committee (DPC).

Final phase – The DPC gives formal approval to the plans. It is to be noted that even the DPC cannot change the PRI priority, but only ensure compliance with government guidelines. The final development plan for each district in Kerala thus reflects people's needs and aspirations.

Impact of participatory planning model within *Panchayati Raj* in Kerala

The People's Planning Campaign generated a successful methodology for participatory planning for local level development. The methodology is built upon lessons learnt from earlier pilot activities in participatory local development in the state.

How *panchayats* can make a difference

LGIs prevent water pollution

This example of the role of the middle-tier Panchayat Union Council (PUC) in Tamil Nadu State during 1986-1991 shows how elected local bodies can protect the interests of the weak.

The PUC convened an urgent meeting on 30 March 1998 to discuss the grant of a license to start a distillery in the area under the jurisdiction of one of its constituent village panchayats. In village panchayat areas, the authority to grant a license for any trade classified under the category of Dangerous and Offensive Trades rests with the PUC.

It was decided unanimously not to grant permission on the following grounds: i) the distillery could affect village drinking water sources and cause air pollution. A similar case of a distillery causing many problems in another part of the district was cited as an example; and ii) people in surrounding areas were dependent on the ground water for irrigation, which could be depleted by the distillery.

However, the distillery was to be set up by an influential businessman, whose spouse was active in state-level politics and who allegedly employed some panchayat presidents to mobilize support, besides trying to influence leaders in areas that were not likely to be affected. Knowledgeable sources mentioned that a few active presidents of these areas took upon themselves the task of mobilizing support from the other members for this purpose. Panchayat presidents from areas that were likely to be affected were also allegedly offered large sums of money and given assurances that certain development activities would be taken up in their areas if they agreed to back the resolution. There were also promises of jobs in the proposed distillery for a large number of people from these areas. Public meetings were convened in some of these villages where representatives of the businessman explained the direct and indirect benefits to the area once the distillery was set up.

Assured of the support of several PUC members, the industrialist urged some of them to demand reconsideration of the license application by the PUC. According to some respondents of this study, even the PUC Chairman was inclined to permit the distillery after being influenced by the industrialist.

Local people, angered by these developments gathered outside the PUC office in large numbers on the day of the meeting. Anticipating trouble, the police were called and the meeting postponed to later in the day. However, the crowd did not give up. When the PUC met it decided by majority to adopt a secret vote on the issue. However, six Panchayat Presidents, including the Vice-Chairman and three nominated/co-opted members, did not accept this and walked out in protest. The resolution in favour of the distillery was supported by 28 votes and only one against.

But local people petitioned the court against this permission and subsequently, when Tamil Nadu State was put under central government rule, they made representations to the State Governor. The State Government eventually refused to give clearance for the distillery, reportedly on the suggestion of a very high level functionary who, in turn, was impressed by the effective representation made by the villagers.

The case study shows that while many pressure groups can influence PRI decision making, people have ample opportunities for expressing open dissent. The fact that the people did not give up, despite the passage of the resolution allowing the distillery, deserves special

mention. It may be mentioned that the proposed distillery building was abandoned without completion and now houses a religious training institution.

However, the distillery was set up in another part of the same PUC area after the term of the elected PRI representatives ended in March 1991. Since there was no elected PRI representative at the time of granting permission to start the distillery, this did not attract the attention of the people. It may be concluded that the presence of elected PRI representatives is essential for giving voice to the people.

Ex-sarpanches to the rescue of earthquake-affected people

This account of a village affected by the disastrous January 2001 earthquake in India's western Gujarat State shows how elected panchayat leaders can expedite relief and rehabilitation following natural disasters.

"Khangarpur, 30 km off the devastated Bhuj region, presented quite a different picture in the midst of depressing news that even ten days after the earthquake hit the state, people from many villages were wandering helplessly and nobody, including the local authorities, could tell where one could expect some relief."

The former Sarpanch of Khangarpur called a meeting of the villagers and set up a committee to keep watch on the distribution of relief. All relief material arriving in the village was stored in the community hall and given out to families on the basis of the number of members in the household, without regard to caste or position.

"I heard similar stories in most villages of Saurashtra and the surviving ones of Kuchh. The former Sarpanches and Panches have done a splendid job by coming to the rescue of their fellow villagers." Some ex-Sarpanches maintained complete data on the loss of life, injuries, damaged property and relief received by their village. "However, there were some black sheep too. Some ex-Sarpanches exploited the opportunity for enriching themselves and their kith and kin. When people in Moti Malwari village found that their ex-Sarpanch was favouring members of his own caste, they forced him to form a village committee comprising representatives belonging to all castes to supervise the distribution work."
(Source: Neelam Gupta, Panchayati Raj Update: 2001)

Villagers treat water as an economic good – Olavanna, Kerala State

The Olavanna Gram Panchayat in Kozhikode district of Kerala has received global attention for its initiative in providing safe drinking water in an area with three saline water rivers and potable water sources that dry up at the start of summer. During a severe water scarcity in 1985, only 1 600 of the 7 000 households in the Panchayat area were covered by the solitary Kerala Water Authority (KWA) water supply scheme.

The Panchayat commissioned a piped water scheme in 1987 in its Vettuvedankunnu ward, funded by government grants. It consisted of an intake well, an overhead tank and pipelines to distribute drinking water through public stand posts to 400 households. Some 18 piped water schemes have been built to provide drinking water to more than 1 300 families through public and house taps. The KWA implemented two more schemes in 1990 and 1998 to serve 2 400 households. Since the quality of KWA services was not up to the expectations of the people, Olavanna villagers were encouraged by the Panchayat president to meet their drinking water needs themselves.

The Panchayat scheme generated enthusiasm and applause in three villages. The Panchayat's financial constraints led a retired school teacher to collect money from the community and install a small 1 HP pump with an intake well to serve five neighboring families in the hamlet of Kambiliparamba, with the support of the Panchayat.

With the support of the Panchayat president, 54 other households of this hamlet got together in 1989 and, with a contribution of Rs 4 500 each, formed a registered co-operative society to run a drinking water scheme. There are now more than 26 successful private cooperative societies in this Panchayat and many more are being set up. Thus, the Panchayat has enabled the villagers to start their own schemes and its role has been modified from being a provider to a facilitator and regulator.

Ralegaon Siddhi – a model of water-harvesting

Located in a semi-arid region in Maharashtra State, the village of Ralegaon Siddhi has demonstrated the power of community-based partnership and networking. The centerpiece of its success is a water-harvesting system set up by community initiative. This has led to other gains such as the advancement of women, improved school enrolment, especially of girl children and a ban on liquor sales in the village.

The initiative was a joint endeavour of the block administration, two NGOs, some schools, parent-teacher associations, media and local foresters. It has transformed Ralegaon's highly degraded eco-system and made it one of India's most prosperous villages. A survey commissioned by the New Delhi-based Centre for Science and Environment found that a quarter of all Ralegaon households registered annual incomes over Rs 450 000 each.

The Government of Andhra Pradesh State is learning from Ralegaon's example to implement its own watershed project. The legendary Anna Hazare, who is the main driving force behind Ralegaon's success, is advising the Andhra Pradesh Government.

Sukhomajri – community action transforms once barren village

Located in the rainfed Shivalik hill region in Haryana State, Sukhomajri village was once incapable of feeding its people, most of whom preferred to migrate to the cities in search of a livelihood. Today, it is a model watershed development village and produces three crops every year. Sukhomajri now has a forest of Acacia Catechu, locally known as khair, valued at Rs 900 million.

As with Ralegaon, Sukhomajri's success is based on partnerships among communities, biologists, holders of traditional knowledge, NGOs and foresters, which have transformed the once poverty-stricken area into one of India's richest villages.

Community action enables farmers to counter drought

Under the leadership of a local NGO, 500 semi-arid villages situated in the Aravalli hills in Alwar district of Rajasthan State are reviving the local tradition of water harvesting and restoring depleted groundwater resources. This has enabled local farmers to withstand consecutive years of drought. As in Ralegaon Siddhi and Sukhomajri, distress out-migration has been largely arrested. Studies show that the Village Domestic Product has increased in proportion to the investments made in water conservation.

With dozens of villages undertaking water-harvesting activities in the same watershed, the five rivers in the area are no longer 'monsoonal drains' and flow round the year. Over 25

villages in one river basin have come together to form India's first community-based River Water Parliament to jointly manage the regenerated rivers.

The success of the Alwar villages is rooted in a solid community network and its links with the district administration, research institutions and environmental activists. The concept of a Water Parliament, initiated by inspirational leader Rajendra Singh, is now inspiring similar ventures in other arid areas of the country.

II

Training of trainers on participatory local development

Participatory training methods

The recognition of the benefits of participatory local development planning has engendered changes in the needs, concepts, approaches, techniques, the general conduct of and ways of measuring the effectiveness of training. This has led to a number of innovations, including a shift from instructional to interactive to the greater use of a participatory approach in training.

The conventional approach of 'giving' in a training situation is being gradually replaced by 'sharing', 'learning together' or acting as a 'facilitator' (See Annex II, page 89). The role of a facilitator is to encourage participation without being judgmental and by listening with interest and empathy to help the trainees (participants) to tap into the reservoir of their own abilities gained through their experiences. This is known as the 'participatory approach' having a strong content of interaction.

Training that aspires to promote stakeholder participation in local development planning must use participatory methods in its design, context and conduct. It should

1. bring about changes in attitudes, behaviour and functioning of various governmental and non-governmental development functionaries and elected representatives through a change in their perception of the abilities and needs of rural people;

2. change attitudes and behaviour of rural people through empowerment by a) arming them with the information to take right decisions, and b) equipping them with the skills/means to implement these;

3. be need-based, a continuous process, an integral part of any development strategy and include institutional development; and

4. be able to measure progress against identified key indicators and goals.

The trainer should judiciously assume the role of a facilitator/catalyst; facilitating the trainees/participants to effectively use their knowledge/skills and experience for solving development problems.

This is also in keeping with the changing perceptions of rural development as reflected in the Eighth and Ninth Five Year Plans as well as the 73rd Constitutional Amendment and innovative decentralization of rural development efforts such as *Janmabhoomi* in Andhra Pradesh.

Training needs assessment (TNA)

An assessment of training needs for participatory local development must take into account rural development programmes and strategies, organizational culture and functioning of the decision-making process, in particular the attitudes, behaviour and local livelihood conditions and needs of rural people concerned.

TNA provides answers to the following:

- where training is needed?
- who needs training?
- who will organize the training?
- where will it be organized?
- what will be the content of training?
- what skills and knowledge are needed?
- will it be institutional or non-institutional?
- are requisite training facilities available?
- are resource persons of requisite calibre available?
- who will finance the training?
- what are the likely outcomes of training?

Table 2.1 **TNA for capacity-building on main local development activities at each PRI level**

*Zilla Parishad (*District)	Blocks (*Mandal Parishad*)	*Gram Panchayat* (village level)
Collection of data and dissemination of information	Implementation of rural development programmes in collaboration with *panchayats*, NGOs and other local-level institutions	Resource planning through preparation of an inventory of human, physical and natural resources and assets available in the village
Consolidation of plans of action of the Blocks within the district	Propagation of improved methods of cultivation	Assessment of their potential for development, cost and technical support needed for exploiting the potential.
Distribution of funds to Blocks or *Mandals*	Improvement of livestock and establishing minor veterinary dispensaries,	Preparation of village development plan
Examination and approval of their budgets.	Expansion and maintenance of medical and health services and elementary education	Active involvement in plan implementation and monitoring

Identification of stakeholders

The stakeholders to be trained at district, sub-district, block (or *Mandal* or *Taluk*) and village levels are:
1. senior state government officials responsible for local development planning;
2. PRI members, including *Gram Panchayat* elected officials and the *Sarpanch* at village level;
3. new entrants, especially women and those from weaker sections elected under the one-third quota provided by the 73rd Constitution Amendment;
4. functionaries of government line departments; and
5. representatives of NGOs/CBOs/SHGs/media.

The training can be to upgrade skills and refresher courses; pre-posting and refresher courses for higher level central and state officials; specially for certain implementing staff of various rural development programmes; refresher courses for new entrants to political parties; special courses run by different government agencies/institutions for women and functionaries from other weaker social sections; or run by NGOs for their staff,

representatives of other NGOs and for self-help groups of women, other weaker sections and youth.

Training of PRI officials is a big challenge because of the vast and varied nature of local needs and situations. Training courses can be i) pre-service training; ii) orientation training; iii) induction training, iv) in-service training; v) on-the-job training; and vi) refresher training/orientation. These can be residential programmes in training institutions or on-the-job, conducted by mobile training units. Women who are unable to leave family responsibilities need training within the home environment. Adult/non-formal education, health, nutrition and hygiene programmes for women, are examples of mobile training where training facilities go to the trainees instead of the other way round.

SPATIAL-SPECIFIC TRAINING

Residential training programmes on theory and practice have the advantage of giving the trainees confidence and time for self-assessment in terms of peer values and help in attitude-building and behavioural change.

TARGET GROUP-SPECIFIC TRAINING

This training is geared to the needs of marginalized social groups who need special attention for mainstream integration, e.g. Scheduled Castes and Scheduled Tribes in India.

GENDER-SPECIFIC TRAINING

Women in most developing countries are now recognized as an important part of decision making in society and are being mobilized to participate in development. This has given them newer roles and functions, generating the need for new capacity-building programmes. Women are also actively involved in political administration and need to be specially trained for their new roles and responsibilities.

For instance, a large number of women, on being elected as *Panchayati Raj* representatives, have a crucial role in the grassroots decision-making process. Gender-specific training is essential to develop and nurture potential skills in women for their successful integration into the development process.

Capacity-building areas for training

Capacity-building areas for training of trainers on participatory local development, which have been identified on the basis of the assessment of training needs of PRI council members, government officials, NGOs and CBOs are: i) advocacy/promotion/learning; ii) social mobilization/participation; iii) local leadership; iv) social development/gender issues; v) technical/professional/managerial skills development; and vi) thematic topics.

Table 2.2 **Content of training modules for training of trainers on participatory local development**

For elected PRI council members	*For PRI government officials, NGOs & CBOs*
Powers, functions and resources of local government	Powers, functions and resources of local governments
Poverty alleviation/human resource development schemes	Social mobilization
Identification and prioritization of local needs	Participatory planning for social development and poverty alleviation
Self-governance	Management of project implementation
Participatory monitoring	Participatory monitoring
Social auditing	Gender sensitization
	Coordination between the local governments, NGOs and CBOs

Table 2.3 **Concepts of training**

Instructional	Interactive	Participatory
The acquisition of knowledge by a participant leads to action.	Motivations and skills lead to action. Skills are acquired through practice.	Awareness of problems and confidence in the ability to find their solutions precedes receptivity to motivation and learning skills.
The participant learns what the trainer teaches. Learning is a function of the capacity of the participant to learn and the ability of the trainer to teach.	Learning is a complex function of the motivation and capacity of individual participants, the norms of the training group, the training methods, the behaviour of the trainers and the general climate of the institution. The participant's motivation is influenced by the climate of his/her work organization.	When the trainee/participant contributes to the design and conduct of the training course, it increases his motivation and the relevance of his/her training and provides practice in the use of popular participation as the mobilizing device for development.
Individual action leads to improvement on the job.	Improvement on the job is a complex function of individual learning, the norms of the working group and the general climate of the organization. Individual learning, unused, leads to frustration.	
Training is the responsibility of the training institution. It begins and ends with the course.	Training is the responsibility of three partners; the participants' organization, the participants and the training institution. It has a preparatory pre-training and a subsequent post-training phase. All these factors are of key importance to the success of training.	The use of participatory approaches on the job increases the capacity of the trainee to transmit his/her knowledge and influences the norms and the climate of the activity in which training effectiveness is measured.
		Training involves the exchange of knowledge between the facilitator and the participant and in defining the nature and environment of the learning problem. It is a combined effort to ensure that the skills learned are adapted to the problem that the participant will face. The web of relationships of the training institution will, if it is to be effective, have many linkages.

Source – United Nations, 1978, New York. *A Manual and Resource Book for Popular Participation Training*, Vol -1, Introduction.

III

Training modules for training of trainers on participatory local development

Introduction

The training modules are meant to cover gaps in existing training programmes that were identified by a broad-based training needs assessment among stakeholders. The focus is on two key *Panchayati Raj* institutions – the *Gram Sabha* including all registered voters at village level and the *Sarpanch* (head of the lowest elected tier of *Panchayati Raj* institutions – the *Gram Panchayat*). The main issues here are lack of participation of the rural poor and the lack of preparedness of local elected officials. Hence the need for training for good local governance.

Although tailored to the training needs of *Panchayati Raj* functionaries in India, the modules provide guidance on core issues in institutional capacity-building for local development planning, which are, to a large degree, similar in other developing countries within the region.

Objectives

1. To equip trainers with the means to enhance the awareness and skills of *panchayat* functionaries, including women, in order to increase their confidence in their capabilities to address the core issues of day-to-day local governance. In many cases, the *Sarpanch* is a woman who is least prepared for her new role.

2. To familiarize trainers with participatory training tools and to assist them in acting as facilitators, offering alternatives/new methods to tackle problems/issues faced by elected *panchayat* functionaries.

Structure

The modules cover the different stages of participatory local governance ranging from social mobilization to participatory community monitoring and evaluation. An additional module explains the use of the different participatory training tools. Reference information and case studies/examples relevant to the training are also included in the annex.

1

Training module on participatory planning and management

Participatory planning

Participatory planning is a process by which a community undertakes to reach a given socio-economic goal by consciously diagnosing its problems and charting a course of action to resolve those problems. Experts are needed, but only as facilitators. Moreover, no one likes to participate in something which is not of his/her own creation. Plans prepared by outside experts, irrespective of their technical soundness, cannot inspire the people to participate in their implementation.

However, the training on participatory local planning and management of the three million newly elected local government Panchayati Raj officials, one-third of them women, is a major challenge. The handbook module on this topic is intended to be utilized by NIRD and State-level government and non-government agencies to build awareness of both government officials and grassroots representatives, elected to district, mandal and local village-level councils, including the village head, called the Sarpanch, who is often a woman.

Awareness building on principles of participatory planning

1. Development should be seen more as a change from the bottom up than from top down.

2. The development process should be managed as a natural organic process rather than according to plans, goals, objectives, targets and schedules, implying that goals and targets may change and, therefore, their timing should be tentative and flexible to make room for adaptation to local conditions.

3. Development programmes should aim to strengthen local organizations and not state and central government bureaucracies. New programmes should be chosen according to their ability to increase local development management capacity. Start with a few schemes to solve some immediate local problems to build local confidence and experience.

4. The development process is supported by local institutions with village panchayats, primary cooperatives, religious, youth, community-based users' and self-help groups playing a lead role. It is more important to make sure that the development process is rooted in a strong local institution than ensuring that local institutions have a grasp of all the finer technical points. It is comparatively easy to arrange technical services from outside than to bring about social involvement and willing popular participation in the development process. Strong local institutions are necessary as support posts quite independently of whatever technical skills and other background they may have.

5. It follows from the above that the development process must be based primarily on confidence and learning rather than on experts and training. It is more important for the people who will take decisions at the local level to have full confidence of the people they represent, than to be trained experts. This also implies that technical staff of departments should work in tandem with local institutions rather than sit on judgement on the plans prepared by these institutions.

Simple is practical

The participatory planning process has implications for the working methods of a conventional local development planner. Current decentralized planning techniques often keep people out of the planning process, which severely limits their ability to deliver the intended results at local level and reinforces the centralizing tendencies in decision-making. The basic issue of whether people or planning techniques should be changed first, has not yet been answered.

As a facilitator of local change, the development planner will have to shed much of the planning jargon and simplify his planning techniques so that these are widely understood. In view of the training needs of the three million newly elected local decision-makers and the limited local expertise, there is an urgent need for training material on the introduction of simple local planning methodologies and techniques that can be used at the village level, with minimal need for external assistance.

How to initiate participatory planning

(i)Identify local needs, particularly of rural poor families

- The best way to find what people need and what they see as possible solutions to their problems is to ask them directly. This also creates awareness and willingness among the people to take part in any action that will follow.

- But before asking what they want, it is necessary to establish a common ground of understanding with them. There are bound to be conflicting interests within a community. Special skills and sincerity are needed to build consensus.

- It is important to ensure steadfast community support for a pro-poor development initiative. Local officials, CBOs, field workers of voluntary organizations, teachers, women, and retired people, must be involved in the consultations and discussions.

(ii)Collect basic data

- Once local contacts are established, the next step is to collect, with the people's help, basic data about the community, characteristics of the area, resources situation, socio-economic status and other relevant facts.

- The aim is to get a factual baseline picture which will help in setting goals and measuring changes brought about by the project at a later stage.

- It is helpful at this stage is to associate with local officials and NGO functionaries in collecting and verifying facts from different sources.

- To seek people's cooperation, it is important to respect their ideas and abilities. The focus should be on the community as a whole and seeking its commitment to helping the poor.

- Participatory rural appraisal (PRA) is a practical tool for participatory data collection and analysis.

(iii)Formation of working groups

- It is helpful is to form working groups that include local officials, to prepare status reports and develop perspectives.

- The aim of the working groups is to analyse and compare data, draw inferences and identify priority areas for intervention. This is aimed at greater clarity and strengthening of participation of local people, particularly the rural poor, by giving greater local planning responsibility and establishment of good working relationship between technical planning experts and the local people. Importance is to be given to detailed specification of the roles of participant individuals, groups and committees in carrying out the tasks.

- Conflicts and disagreements may arise in the process, which are not in themselves a negative factor, but have to be properly resolved and managed at every stage of decision-making.

(iv)Formulation of the objectives

- The first step in participatory local planning is to define precisely what specific objectives are to be achieved, which should be stated in concrete terms, e.g. increasing i) incomes of identified households, ii) production of certain crops and iii) literacy among locally elected women officials .
- The objective may not always be quantifiable, particularly when it involves attitudinal changes. Its still helps to be as specific as possible so that people can see how much change has taken place.

(v)Deciding the strategy

- This is the most difficult part of participatory local planning as it involves assessing and mobilizing needed resources and choosing the planning methods. It is important to specify: a) resources that are locally available and those needed from outside. (people with skills, funds, raw material inputs, etc.); b) if resources are available when needed; and c) who should be approached, who will approach and with whose help to secure these.

- Consider alternative local planning methods and approaches such as (i) whether to contract a job to private individuals or to do it on a cooperative basis; ii) whether to focus on several small household-based units or one big unit; and iii) whether to train local people as trainers for the jobs or to hire trained personnel from outside.

- Once a course of action is chosen, it should be explained and specified in clear terms to avoid confusion and misunderstanding among the local stakeholders.

(vi)Ensuring feasibility

- The working groups at this point should consider whether the objectives are realistic. It is important to ensure that: i) assumptions and stipulations regarding the availability of resources, managerial competence and technical expertise are realistic; ii) proposed activities are economically viable; and iii) local market can absorb the expected outputs.

- It is important to identify potential project beneficiaries and check how the benefits would flow to them.

(vii)Preparing the work plan

- This is a blueprint for decentralized project management drawn up by the project implementation committee, specifying the 'what, who, when and how' of local project implementation.

- The work plan should contain the following information in simple tabular form: (i) all activities for implementation of the project; (ii) names(s) of the person(s) responsible for each activity; (iii) starting and completion time for each activity; and (iv) the means to carry out the activities.

- It should also define the outputs expected from each activity to measure performance during implementation or on completion of the project, for effective monitoring and evaluation.

Project work plan format

Name of the activity	Name(s) of the persons responsible	Time Schedule		Resources required (money, material, manpower)	Checking for acceptance, availability
		When to start	When to complete		

(viii)Preparing the budget

- The material and human resources must be given a monetary cost, which form the project budget.

- The cost is further broken down in terms of each period of time and also in terms of availability - whether locally available or to be secured from outside.

- External resources can be government grants or loans from financial institutions, etc.

Budget format

Item	Cost			Total	Sources of funds		
	1st Year	2nd Year	3rd Year		Local contribution	Outside	
						Grant	Loan
Material							
Equipment							
Personnel							
Travel							
Training							
Official							
Others							

**Participatory Planning
Operational
Steps**

**Ascertain
feasibility**
Check consensus
Acceptance
Availability. etc.

Set objectives
Targets
Strategies
Schemes

Form working groups
Identify needs
Resources, analyse data
Why poor are poor?

Involve people
Collect data, community profiles
Area characteristics,
Who are poor, PRA

Local People
Give ideas
Define problems
Suggest solution
Determine priorities
Community support bases

Preparatory work
Informal contacts
Rapport building

Steps in implementation of local development projects

1. Appointing a project coordinator

- After hiring staff and technical persons for different jobs according to the schedule, the organization/agency in charge of the project should appoint a coordinator for the project.

- The coordinator can be hired from outside or someone from within the community with the commitment and demonstrated leadership qualities can be chosen for the job.

2. Setting up a project implementation and monitoring committee

This is made up of the project coordinator, representatives of the local community and a representative of the funding agency. Its role is to supervise implementation on a day-to-day basis and to work as a crisis management group.

3. Staff training

This is needed to reorient project planning staff for the jobs to be performed.

4. Transparency

- Important for retaining community interest and support for the project to ensure its smooth progress. Maintain total transparency in procurement and use of resources. Project details, budget and sources of funds can be displayed publicly at different places in the project area.

- Involve more and more local people in various activities with daily/weekly briefings to inform community leaders about ongoing activities and problems, if any. Care is needed to ensure the quality of inputs procured and used.

5. Anticipating obstacles

The project coordinator should be aware of likely difficulties, be able to anticipate obstacles and take preventive action. Advance action is needed to ensure timely availability of workers, especially technical people. Plans should be ready to deal with any contingency.

6. Timely release of funds

- Implementation is often delayed by the non-availability or inadequacy of funds. Various bureaucratic formalities, postal delays, etc. may delay commencement.

- If there is more than one source of funding, it is all the more necessary to ensure that no mistake is made in completing formalities of Terms and Condition (T&C) documents and also in submitting timely progress reports, which are needed for timely release of fund installments.

- The project coordinator should ensure that there are enough funds for the activities as well as for paying project staff salaries.

- It is important to be prepared for delays by having flexibility in project design for such eventualities. Sticking to the guidelines and instructions of funding agencies and adherence to the project schedule are the best way to ensure timely releases of fund instalments.

Monitoring

This is important for timely and proper project implementation. Monitoring provides feedback so that necessary adjustments can be made in the work plan and budget. Therefore, monitoring schedules are often based on the project work plan. It is essentially a tool that helps both project-implementing and funding agencies.

1. Monitoring parameters

- Time schedule;
- Cost; and
- Process.

These are already specified in the work plan. Monitoring reports must be reviewed by the project implementation committee, focusing on information about delays – the extent and implications, needed corrective action and the person or agency responsible for it. This not only points out the source of the fault but also protects project management from blame for the delay.

An honest assessment of the implications of delay, under or over-utilization of funds, leads to timely corrective action. It also helps in building a reasonable case for additional funds in case the delay is caused by the late release of funds and results in escalation of project costs.

Periodic monitoring format

Name of activity	Due on	Actual on	On time	Implications of delay	Action required	By whom

2. Integrity

- It is important for the implementing agency to maintain a high level of financial credibility, which is closely watched by funding agencies.

- Monitoring, therefore focuses on cost-flows and wherever there is under or over-expenditure, this should be brought to the immediate attention of the funding agencies. It should be discussed frankly with them in order to reach agreement on the best course of action.

- Implications of delay or cost-overrun can also be discussed with the village community to explore possibilities of mobilizing local contributions to compensate for the extra cost. Integrity pays in the long run.

Contributed by B. P. Maithani, Professor and Head (CIBT), National Institute of Rural Development (NIRD), Hyderabad, India.

2

Training module on social mobilization

Social mobilization enhances participation of rural poor in local governance

Social mobilization is the cornerstone of participatory approaches in rural development and poverty alleviation programmes. It is a powerful instrument in decentralization policies and programmes aimed at strengthening human and institutional resources development at local level. Social mobilization strengthens participation of rural poor in local decision-making, improves their access to social and production services and efficiency in the use of locally available financial resources, and enhances opportunities for asset-building by the poorest of the poor.

Role of *Gram Sabha* and public information in social mobilization

The Constitution's 73rd Amendment has made the village council, the *Gram Sabha*, into a very powerful tool of social mobilization. Many types of neighbourhood groups, health and literacy programmes, *Mahila Mandals* (village women's groups) and the mass media - newspapers, radio and TV – also play a vital role in social mobilization at the community level. Social mobilization of rural poor at community level will be successful if directly linked with issues affecting their livelihoods. For successful social mobilization of the rural poor, there is a need for improved access to public information on local development issues directly linked with their livelihood interests. An effective way of doing this is by facilitating free access to public information on local development programmes and activities, which has been a critical factor in the success of *Panchayati Raj* in the States of Kerala and Andhra Pradesh.

Examples of successful social mobilization

Total sanitation programme in Avanur *Gram Panchayat*, Kerala, India

This example of successful mobilization of the entire community by a gram panchayat to meet a basic need has been widely recognized. It has brought national honour and a cash prize of Rs 1.2 million to the panchayat. In 1996, a survey held by the Avanur Gram Panchayat in Kerala State found that over 2 000 of Avanur's 5 000 households were too poor to afford basic sanitation facilities. The Gram Panchayat President convened a series of awareness-building meetings for all families below the poverty line.

As an outcome of these meetings it was agreed that the Gram Panchayat would provide all these families building material for a sanitation unit, with the condition that each beneficiary family would complete 20 percent of the work on its own. The meetings focused on awareness-building of women as main beneficiaries. Much to the surprise of all, the campaign was successfully completed within three months. The Gram Panchayat spent only 20 percent of allocated resources because 80 percent of the work was done by the

beneficiary families themselves. In this way, a total of about Rs 12 million in assets could be mobilized for the poorest families.

Total housing scheme in Avanur Gram Panchyat, Kerala State, India

The Avanur Gram Panchayat used the cash award of Rs 1.2 million to start a Total Housing Scheme for families below the poverty line. This led to 500 houses being built during 1997-2000. The Gram Panchayat gave each family an amount of Rs 20 000 in three stages, as a grant. The beneficiary families contributed their own labour and material worth Rs 30 000 for each unit. The scheme created assets worth more than Rs 25 million.

The Gram Panchayat has also successfully implemented a drinking water scheme and neighbourhood units in Avanur, and was declared the 'Best Panchayat' in Kerala for its innovative work.

The Janmabhoomi programme in Andhra Pradesh: a learning model for capacity-building for participatory local development planning

Janmabhoomi was inspired by South Korea's Saemaul Undong programme and launched in January 1997 as a mass mobilization effort to involve people in rural development planning and decision making through PRIs in Andhra Pradesh.

It aims to take the administration closer to the people, make it more responsive to their felt needs and to promote transparency and accountability in public affairs. It is also directed against the caste system. It has specific programmes for disadvantaged groups like women, the Scheduled Castes and Tribes and people with disabilities to integrate them into the mainstream of development.

Janmabhoomi has activated the Gram Sabha, which is convened every three months and presided over by the Sarpanch, the Mandal president, the ward member and government officials.

Janmabhoomi objectives/methodology

Objectives
- Bring governance nearer to the people
- Participation of people, especially weaker social sections, in development process
- Responsive, transparent governance, accountable to people
- Through above, achieve goals of poverty alleviation and equity.

Methodology
- Large-scale information dissemination
- Formation of self-help groups (SHGs) of stakeholders in key sectors of the rural economy to promote mass mobilization. Development funds routed through SHGs, which are statutorily recognized.

Institutional arrangements
- *Gram sabha* at the habitation level
- Habitation committee at the habitation level
- Nodal team at the *Mandal* level
- *Janmabhoomi* volunteers' team
- Social animators

- District level committee (Collector as its Chairperson)
- State level committee (Chief Minister as its Chairperson).

Box 4.1 **Rural development activities under *Janmabhoomi***

1. Verification of data on below poverty line (BPL) families.
2. Formation of SHGs in 36 543 habitations, with 13 269 habitations still to be covered.
3. Finalization of rural artisan survey information for the Artisan Action Plan.
4. Entry point activities in watershed and joint forest management areas, as part of a 10-year Wasteland Development Action Plan.
5. A total of 13 903 water-harvesting structures worth Rs.430 million completed as against a target of 20 312 structures.
6. More than 24 000 irrigation works, bringing 512 000 hectares under irrigation.
7. Women mobilized to set up micro-enterprises.

Impact of the Janmabhoomi decentralization experiment in local development planning

The programme has so far completed 13 rounds of participatory decision-making in local development. The most important impact has been to generate public awareness, galvanize the administrative machinery and open up access of rural poor to local governance. *Janmabhoomi* has also developed a strong community spirit among the people and improved transparency in administration.

Participation of rural poor in social mobilization programs as part of decentralization in Nepal

In Nepal, a citizens' charter has been prepared and district development councils (DDCs) organized under the Local Self Government Act (LSGA) with subject-wise sections (for e.g. on agriculture & livestock), each equipped with computers and accessories. Job descriptions of the section have been prepared and staff trained in different areas to become more professional. Institutional reviews to identify DDC capacity gaps have been initiated and an internal communication system established.

Local development fund (LDF) bylaws have been approved and the LDF made operational from July 2002. The LDF has developed pro-poor policies with at least 50 percent credit capital earmarked for the poorest of the poor. The repayment period and credit activities are defined according to the local poverty profile and first priority for seed grant utilization is given to the poorest of the poor.

District development plans are published annually and all village development committees have prepared and published five-year plans. There are regular meetings, interaction and coordination and initiation of different development activities with line agencies, I/NGOs and private sector. Development activities, income and expenditure are published regularly in district bulletins. Internal revenue increased from NRs3 328 882 in 1997 to NRs12 281 500 in 2001. External resources are mobilized from various international donor agencies.

Decentralization programmes in Nepal emphasize social mobilization as an instrument for the more efficient allocation of local resources.As an example, community organizations in the country's Kavre district identified the poorest of the poor on the basis of consensus, which facilitated their participation in village development programmes.

For example, the local women's group built a community centre without outside help. They organized weekly meetings for members of their group, who contributed only five rupees each, every week. Yet, this enabled the women's group to mobilize NRs 48 000 and invest NRs 85 000. This example was followed by village men, who established 34 men's groups, which met every Saturday, with each member contributing NRs 15. These local women's and men's groups were able to save and invest their capital for the construction of a bridge near the centre of the village at a total cost of NRs 140 000, which is a sizeable contribution from the local poor.

The core elements in the strategy for social mobilization and capital formation among the poorest in the Kavre District, are self-governance; institutional development of community organizations (COs); social capital development; skill and enterprise development; micro-finance activities; and infrastructure support. Local capacity has also been developed and strengthened by human resource development, strategic management, organization structure and culture financial and information management.

The guiding principles are sustainability, a participatory approach, gender equity, good governance, decentralization and human rights.

Contributed by K. P. Mukundan, President of Avanur *Gram Panchayat*, Kerala, India.

3

Training module on enhancing women's participation

Main objectives of the training module for women local council members

1. To explain the 73rd Constitutional Amendment to newly elected women *panchayat* members.
2. To make women local council representatives aware of laws protecting women's rights.
3. To make women council members aware of their roles and responsibilities in local development.
4. To enhance participation of women members in development planning within *panchayats*.
5. To develop women's leadership and communication skills for enhancing social mobilization.
6. To make them find ways and means to interface with other layers of local self-governance within the State and claim the *panchayat*'s entitlements.
7. To familiarize them with rural/women/child development programmes to reduce poverty
8. To empower them to identify and break cultural barriers and improve their social-economic condition.

The 73rd Constitutional Amendment Act strengthens women's participation in local development planning

- Provides for reservation of seats in favour of Scheduled Castes and Scheduled Tribes in proportion to their population and for *reservation of one-third seats for women at all levels.*

- Provides for *reservation of the office of Chairperson at all levels in favour of* Scheduled Castes and Scheduled Tribes and *women.*

Capacity-building of women in participatory local development planning

Systematic awareness-building and training is needed for enhancing rural women's capacity to take up their new responsibilities as local legislators and decision-makers under *Panchayati Raj*.

The local government bureaucracy is also in urgent need of sensitization to women's problems and issues linked to gender bias in local development planning. The panel responsible for formulating the training agenda should include elected women representatives besides local development personnel.

The training of women *panchayat* members should be based on their own local experiences and elicit their involvement in preparing a framework that will enable them to analyse and understand their roles and responsibilities in accordance with the 73rd Constitutional Amendment.

Design of a training programme for women village council members and *Sarpanch*

- Training should be both for trainees and trainers.
- Training programme should have a focus area and relevant content areas.
- Framework should be flexible and flow according to the participation of members and their viewpoint.
- Process of training should not be fluid but tailored to the needs and expectations of the trainees.
- The content should not be lecture-oriented, but based on interactions and discussions.
- Resource persons could function as catalysts to help local women council members understand roles and responsibilities.
- Local experts should have working knowledge of the local language and training methods and material should take into account sensitivities of women council members.
- Trainers should use participatory training methods and tools, which meet women trainees' expectations in the area of decentralized rural local governance, both in method and design. Field visits should be an integral part of the training programme for women council members.
- The training material should be, wherever necessary, pictorial.

Broad contents of the training module for women local council members

Empowerment

- Institutional empowerment; empowerment of different segments of rural society
- Empowerment of PRIs empowers different segments of society
- Political, economic and social dimensions with special reference to SC/ST, BC (backward castes) and women
- Socio-cultural milieu and women's empowerment

Leadership

- Meaning and importance in any institution or organization
- Context of leadership *in Panchayati Raj*, its significance
- Women leadership, male leadership, leadership among other weaker sections – SC/ST & OBC (other backward castes)
- Leadership – socio-economic and political profile of the state in the context of PRIs.
- Capacity building of *Panchayati Raj* representatives/leaders
- Qualities of a good leader for good governance
- Leadership and ethics
- Developing systemic thinking abilities

Communication skills

- Confidence-building
- Capacity and awareness-building
- Access to information through Information Technology
- Ability to communicate in any language

Stress management

- Coping with day-to-day affairs
- Group interactions and discussions
- Consultations for remedial measures
- Ability to resolve conflicts at the local level

Gender sensitization

- Sex and gender issues in the process of development, specifically rural development
- Socio-cultural and related factors leading to gender discrimination, analysis of rural society
- Awareness and capacity-building in PRIs
- Gender considerations in the process of local planning
- Gender issues and problems, capacity-building of women representatives in *Panchayati Raj* especially their role in decision-making coupled with different centrally and state-sponsored programmes for women's development and empowerment.

Training needs assessment of women council members

A quick appraisal of the trainees before the start of the training will help the trainer in designing the training programme. This can be done by: i) obtaining a brief bio-data of the participants and ii) SWOT (Strengths, Weaknesses, Opportunities and Threats) analysis. Since the training is for elected women members at all three PRI levels and for officials dealing with PRIs, it will not be difficult to obtain their personal particulars.

Who are the women trainers/trainees?

- Core women trainers from national training/research institutes/department of personnel & training/training and development cells/university teachers/NGOs.

- Women master trainers from state training/research institutes/department of personnel & training/training and development cells/university teachers/NGOs.

- District/divisional level women trainers from regional training centres/college teachers.

- Sub-district/divisional women trainers from extension training centres (ETCs)/college teachers.

- Elected women representatives at *mandal* or block level and women local development officials.

- Women elected as village council members.

- Retired women teachers/officers.

- Women staff in NGOs/CBOs.

- Women government/bank officials.

What are the requirements for women trainers?

- It is important for the trainer to be in constant touch with the trainees. *Not much can be accomplished if 'trainers' suddenly appear on the scene, conduct 'training' and vanish. This should be discouraged. It is necessary to be one among them.*

- Trainers can build rapport by residing in the field for some period while conducting the training.

- Links with established voluntary organizations with clear knowledge of the field is essential.

Examples of capacity-building programmes for elected women council members

Karnataka: use of satellite broadcasting, computers and promotion of social safety nets for women

The experimental programme launched by the Government of Karnataka was the second of its kind in the country. It used one-way video and two-way audio satellite broadcasting technology developed by ISRO (Indian Space Research Organisation) to beam programmes to 17 districts of Karnataka. The Department of Women and Child Welfare beamed programmes for elected women gram panchaya representatives. It is possible to organize video-conferencing among women panchayat members in villages, taluks and districts, and with anybody anywhere in the country.

In the Bellandur village Gram Panchayat, 30 km from the Karnataka State capital Bangalore, women panchayat members can access administrative data for five villages with the click of a computer mouse such as size of family land holdings, taxes due from them and the number of beneficiaries under various housing and employment schemes. The status of applications for power and water connections can also be seen on the two computers at the Panchayat office.

Set up in 1977, the Women's Welfare Society, Belgaum, has been working to assist women in distress and children from poor families. Over the years, it has expanded its work in Belgaum city and to nearby rural areas like Hidkal, Hunnur and Aralikatti.

Sangathi, a family counselling centre started by the Society in 1993 in Belgaum, has helped settle matrimonial disputes amicably in some 900 families. Women in distress can get immediate assistance from Santwana, a 24-hour help-line. The Society has also established a short stay home at Hidkal in Hukkeri taluk for women and girls in distress, which offers food and accommodation free of cost. It also provides vocational training, like tailoring. Two printing press units in Belgaum and another in Hidkal, teach women composing, printing and book binding, to start their own ventures. The Society runs seven creches for children of working women.

Its Urban Family Welfare Centre at Vadagaon in Belgaum, provides health check-up and family planning services to the people. The Society is also providing education to slum children and has organized campaigns on AIDS awareness.

Project expenses are met from public donations and assistance from organizations like the Central Social Welfare Board, the Department of Women and Child Development, the Directorate of Health and Family Welfare Services, the Karnataka State Women Development Corporation and Nehru Yuva Kendra. The society has about 700 staff. Its efforts won the Society the 1996 State Award and the Rani Kittur Chennamma Award in 1999.

Kerala: exchange programme for women council members

The Centre for Rural Management in Kerala State and the Institute of Social Sciences, Southern Regional Centre, Bangalore, organized an exchange programme for women panchayat members in the two states. It enabled Panchayati Raj functionaries to understand and gain first-hand experience of panchayat functioning in states other than their own. Stressing the vital role of training and education in preparing effective and dynamic women panchayat leaders, the field visits also developed bonding with counterparts in other states, adding to their self-confidence. Unlike formal training programmes, exchange programmes are more responsive to specific local training needs.

Andhra Pradesh: women's group enterprise development

Bindu Mahila Sangham of Srirangam village in Nizamabad mandal saved Rs.17 000, got a revolving fund of Rs. 25 000 and 80 000 from the National Bank for Agricultural and Rural Development (NABARD). Anjaana Mahila Sangham and Sai Mahila Sangham make ready-made garments. Rudramma Mahila Sangham of Yedapally village makes leaf plates and earns at least Rs.10 000 in two months.

The groups use a marketing network set up with the help of the Mandal Development Officers. Similarly, Arvind Mahila Sangham was able to sell 200 000 rupees worth of soft toys at the annual industrial exhibition held in Hyderabad. Arvind Mahila Sangham of Dharmavarm village also successfully marketed their goods at the bazaar arranged by the state government.
The Baba Mahila Sangham of the Lambda's is an interesting case. Located in Ausali Thanda, a hamlet of around 40 houses, two SHG groups made Bnjara garments and assorted ornaments made from German silver.

Nepal: women's group enterprise development in Kushadevei village, Kavera District

The female community organization (FCO) in Kushadevei village, Kavera district of Nepal is a classic example for the study of social mobilization. The Kushadevei FCO initiated individual economic enterprises as well as collective, village enterprise development schemes. The self-rule adopted by the FCO is the backbone of their achievement.

At least eighty percent of the members actively participate in the meetings conducted regularly at settlement level. Each member regularly saves the amount decided by the CO. The manager takes decision on the basis of consensus on the agenda presented in the meetings.

The CO keeps account of the savings and investment, which are examined at every meeting. Members put forward suggestions on development initiatives and improving their settlement, which are subject to intense discussion during the meetings. The CO members have jointly undertaken some activities for the community through their own resources without any external support.

Examples of women panchayat leaders as effective local development managers

A large number of women grassroots leaders across India are disproving the perception in a section of the media that women panchayat representatives are merely proxies for their male relatives who do not take active interest in the affairs of their panchayats. The following examples demonstrate that women can run panchayats successfully:

1. Struggle against corruption

- *Pushpa Rana, Pradhan of Atakfarm panchayat in Dehradun district, Uttaranchal State strongly resisted the officials' demands for bribes. Although this created a lot of delays and other problems, she finally had her way.*

- *Sojar Bai of Ramtek panchayat in Harda district, Madhya Pradesh State went one step ahead and got the corrupt official, who was demanding a bribe, suspended.*

2. Efficient use of resources

- *Alka Chauhan taught a lesson in public finance to government engineers. A support wall built in her Nalapani village in Dehradun district at a cost of Rs 42 000 had collapsed and a junior government engineer estimated it would cost Rs 45 000 to rebuild. But Chauhan organized the villagers to build the support wall at a cost of only Rs 25 000, and the money thus saved was spent on other development works.*

- *When Suraiya Begum became chairperson of Sultanpur Chilkana Nagar panchayat, it was burdened with debts. Even some of her supporters feared that new development works would not be taken up till old debts were cleared. But by the time she completed her five-year tenure, a record number of development works worth Rs 8 million had been completed.*

3. Resolving disputes

- *Suraiya Begum has helped resolve many family disputes. Pushpa Rana prevailed upon villagers to settle all disputes among themselves before approaching the police, saving them the money they had to spend on bribing the police and middlemen.*

4. Fighting alcoholism

- *In Gazidipur village of Sharanpur district in Uttaranchal State, panchayat member Kamia confronted the Pradhan who favoured setting up of a liquor shop in the village and successfully organized village women to get it removed.*

- *On being elected Pradhan of Bhilangana block of Tehri Garhwal district in Uttaranchal State at the young age of 23, Veena Sajwan began mobilising local women against the*

sale of liquor that was promoting alcoholism among local men. She even met the State Chief Minister and reminded him of his promise to curb the liquor menace.

Source: *Bharat Dogra's report on 'Women justify reservation policy in Panchayats'* (Panchayati Raj Update: 2001)

Contributed by K. Subha, Institute of Social Sciences, Bangalore, India & M. Sarumathy, Assistant Professor, Centre for *Panchayati Raj*, National Institute of Rural Development (NIRD), Hyderabad, India.

4

Training module on social audit

Basis of social audit

Social audit as a term was used as far back as the 1950s. There has been a flurry of activity and interest in the last seven to eight years in India and neighboring countries. Voluntary development organizations are also actively concerned.

Social audit is based on the principle that democratic local governance should be carried out, as far as possible, with the consent and understanding of all concerned. It is thus a process and not an event.

What is a social audit?

A social audit is a way of measuring, understanding, reporting and ultimately improving an organization's social and ethical performance. A social audit helps to narrow gaps between vision/goal and reality, between efficiency and effectiveness. It is a technique to understand, measure, verify, report on and to improve the social performance of the organization.

Social auditing creates an impact upon governance. It values the voice of stakeholders, including marginalized/poor groups whose voices are rarely heard. Social auditing is taken up for the purpose of enhancing local governance, particularly for strengthening accountability and transparency in local bodies.

The key difference between development and social audit is that a social audit focuses on the neglected issue of social impacts, while a development audit has a broader focus including environment and economic issues, such as the efficiency of a project or programme.

Objectives of social audit

1. Assessing the physical and financial gaps between needs and resources available for local development.
2. Creating awareness among beneficiaries and providers of local social and productive services.
3. Increasing efficacy and effectiveness of local development programmes.
4. Scrutiny of various policy decisions, keeping in view stakeholder interests and priorities, particularly of rural poor.
5. Estimation of the opportunity cost for stakeholders of not getting timely access to public services.

Advantages of social audit

(a) Trains the community on participatory local planning.
(b) Encourages local democracy.
(c) Encourages community participation.

(d) Benefits disadvantaged groups.
(e) Promotes collective decision making and sharing responsibilities.
(f) Develops human resources and social capital

To be effective, the social auditor must have the right to:

1. seek clarifications from the implementing agency about any decision-making, activity, scheme, income and expenditure incurred by the agency;
2. consider and scrutinize existing schemes and local activities of the agency; and
3. access registers and documents relating to all development activities undertaken by the implementing agency or by any other government department.

This requires transparency in the decision-making and activities of the implementing agencies. In a way, social audit includes measures for enhancing transparency by enforcing the right to information in the planning and implementation of local development activities.

Box 6.1 **Public documents for social audit**

(a)   All budget allocations, beneficiary lists, muster rolls, bills, vouchers, accounts, etc. must be available for public scrutiny.

(b)   All applications for licenses/permits and certificates issued by local self-government institutions must have a serial number. Registers indicating date of application and date of clearance in each case should be available for reference by any applicant. If possible, copies should be publicly displayed.

(c)   Public assessment of tax, exemptions, grants, etc., to ensure there are no complaints of undue preferential treatment.

Several states have declared all *Gram Panchayat* plan documents related to beneficiary selection, budget cost estimates, etc. to be public documents. A daily notice to be posted at the site of all development works, lists names of workers, wages paid, cost and quantities of material, transport charges, etc.

However, social audit arrangements have mostly been ineffective because there is no legal provision for punitive action. States should enact legislation to facilitate social audit by the *Gram Sabha*.

Appropriate institutional level for social audit

The most appropriate institutional level for social audit is the *Gram Sabha,* which has been given 'watchdog' powers and responsibilities by the *Panchayati Raj* Acts in most States to supervise and monitor the functioning of *panchayat* elected representatives and government functionaries, and examine the annual statement of accounts and audit reports. These are implied powers indirectly empowering *Gram Sabhas* to carry out social audits in addition to other functions. Members of the *Gram Sabha* and the village *panchayat*, intermediate *panchayat* and district p*anchayat* through their representatives, can raise issues of social concern and public interest and demand an explanation.

Box 6.2 **Right to information for members of *Gram Sabha***

Some States have already passed Right to Information Acts. Notwithstanding some weaknesses, the Acts have opened the way for transparency in administration from the State to the *panchayat* level.

The Right to Information Acts specify the modalities for obtaining information and provide penalties or failing to furnish or supplying false information. The Acts facilitate social legislation such as on minimum wages and gender rights and, more importantly, pave the way for public debate on government development projects.

However, none of the Acts have defined the right to information to include inspection of works and documents, and the taking of notes and extracts. This is needed to make the social audit by the *Gram Sabha* more effective.

The *Gram Sabha* should have the mandate to: inspect all public documents related to budget allocations, list of beneficiaries, assistance under each scheme, muster rolls, bills, vouchers, accounts, etc., for scrutiny; examine annual statements of accounts and audit reports; discuss the report on the local administration of the preceding year; review local development for the year or any new activity programme; establish accountability of functionaries found guilty of violating established norms/rules;
suggest measures for promoting transparency in identifying, planning, implementing, monitoring and evaluating relevant local development programmes; and ensure opportunity for rural poor to voice their concerns while participating in social audit meetings.

Social audit committees

Social audit can also be used for auditing the performance of all three PRI tiers with a social audit committee at each level. These committees should not be permanent, but can be set up depending on the nature of programmes/schemes to be audited.

Social audit committee members can be drawn from among programme stakeholders. It is advisable to use the services of retired functionaries of different organizations, teachers or persons of impeccable integrity living in the *Zilla Panchayat*/Block *Panchayat/Gram Panchayat* jurisdiction. Both facilitators and social audit committee members can be trained by social audit experts.

Steps in social audit in local bodies

1. Clarity of purpose and goal of the local elected body.

2. Identify stakeholders with a focus on their specific roles and duties. Social auditing aims to ensure a say for all stakeholders. It is particularly important that marginalized social groups, which are normally excluded, have a say on local development issues and activities and have their views on the actual performance of local elected bodies.

3. Definition of performance indicators which must be understood and accepted by all. Indicator data must be collected by stakeholders on a regular basis.

4. Regular meetings to review and discuss data/information on performance indicators.

5. Follow-up of social audit meeting with the *panchayat* body reviewing stakeholders' actions, activities and viewpoints, making commitments on changes and agreeing on future action as recommended by the stakeholders.

6. Establishment of a group of trusted local people including elderly people, teachers and others who are committed and independent, to be involved in the verification and to judge if the decisions based upon social audit have been implemented.

7. The findings of the social audit should be shared with all local stakeholders. This encourages transparency and accountability. A report of the social audit meeting should be distributed for *Gram Panchayat* auditing. In addition, key decisions should be written on walls and boards and communicated orally.

Key factors for successful social audit

- Level of information shared with and involvement of stakeholders, particularly of the rural poor, women, and other marginalized sections.
- Commitment, seriousness and clear responsibilities for follow-up actions by elected members of the *Gram Panchayat*.
- Involvement of key facilitators in the process.

How to enhance local capacities for social audit

- Organization of a mass campaign to increase public awareness about the meaning, scope, purpose and objectives of social audit.
- Establishment of a team of social audit experts in each district who are responsible for training social audit committee members (stakeholders).
- Implementation of training programmes on social auditing methods - conducting and preparing social audit reports, and presentation at *Gram Sabha* meetings.

Social development monitoring (SDM): a social audit process

SDM is a periodic observation activity by socially disadvantaged groups as local citizens who are project participants or target beneficiaries. It could also take the form of action intended to enhance participation, ensure inclusiveness, articulation of accountability, responsiveness and transparency by implementing agencies or local institutions, with a declared purpose of making an impact on their socio-economic status.

Conclusion

To sum up, the following proposals can be made to make social audit a regular and effective institution to promote the culture of transparency and accountability through the *Gram Sabha.*

1. States should enhance *Gram Sabha* powers to make them effective instruments of participatory decision-making and ensuring accountability of PRIs in local development planning.

2. An agency like the Ombudsman can be set up to look into complaints of local maladministration.

3. Development functionaries found guilty of violating established norms for local development planning should be punished.

4. It is important to ensure that rural poor are given due protection when they wish to stand up to speak against any misconduct.

GRAM PANCHAYAT STAKEHOLDERS
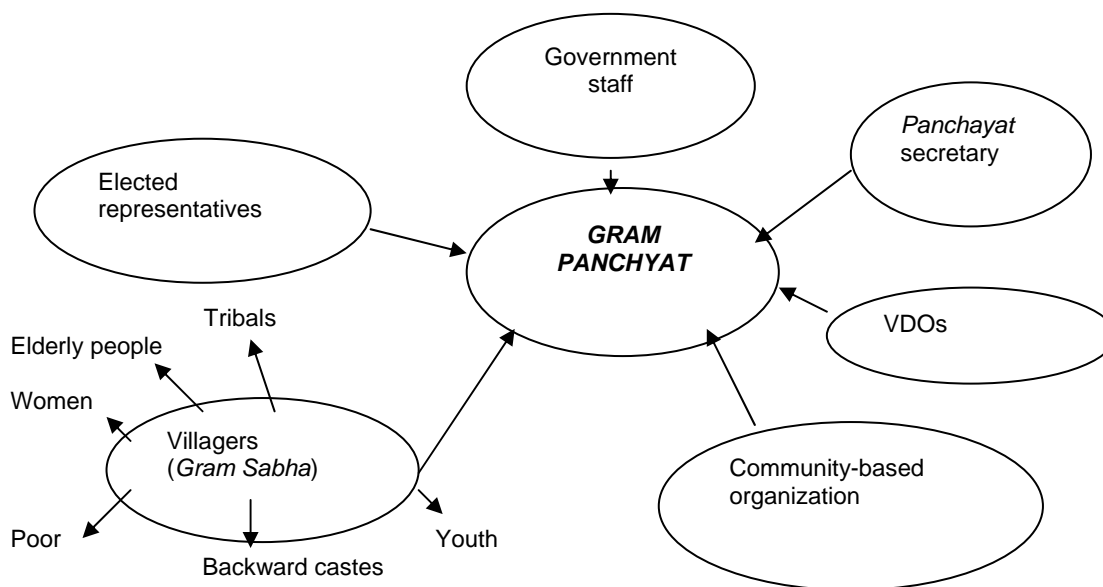
Examples of social audit

1. Social audit in Jharnipalli Panchayat, Agaipur block, Bolangir district, Orissa

In October 2001, the gram sabha members of Jharnipalli Panchayat conducted a one-day social audit of development works carried out in the panchayat over the preceding three years. This audit took place with the active participation of many individuals and agencies, including block and district administration officials, MKSS [Mazdoor Kisan Shakti Sanghatan], NCPRI [National Campaign for People's Right to Information] and Action Aid India.

The audit found that:

- *Although the works were not carried out, the sanctioned funds were shown in the records as having been utilized.*
- *Contractors were banned under government guidelines, but 31 contractors were working on the project.*
- *Muster rolls were not maintained by the contractors.*

- *Instead of the target of 100 man-days of employment for families below the poverty line (BPL), only 12 half days of work were generated.*
- *The BPL families could not buy subsidized food from the public distribution system (PDS) shops as partial wages because they did not possess the needed ration cards.*

2. Micro-development planning as part of social audit

A voluntary development organization Samarthan and PRIA (Society for Participatory Research in Asia) collaborated in a participatory micro–planning exercise with local officials, panchayat members, members of different castes, etc. The process was a way to bring resources to the local community and to increase its involvement in Gram Sabha meetings which took place four times a year.

This led to the identification of several goals. One was to construct a drain. Inspired by the participatory local planning process, the community contributed half the cost of the drain (Rs 50 000). Those who could not give money offered their labour. The rest of the money came from the district office and was mobilized by the Gram Panchayat and its pro-active woman president, the Sarpanch.

Every member of the Gram Sabha developed a sense of ownership of the project. The Gram Sabha monitors the work. Gram Panchayat representatives also hold regular ward-level meetings. The relationship between people and their local representatives developed quickly into one of mutual support.

3. SDM of schools for 'rehabilitated' child workers, Jamtara district, Jharkhand State, India

In 1995, the non-governmental Child Labour Elimination Society (CLES) initiated a project to set up 40 Vidyalayas (schools) in three blocks with a high incidence of child labour in Jamtara district. The funds for the project were provided by the Ministry of Labour, Government of India.

To supervise the schools, three-tier committees were formed at the district, block and panchayat/village levels, with the district-level committee having the Deputy Commissioner as its ex-officio chairperson. At the block level, the circle officer (CO) is the nodal officer entrusted with the responsibility for smooth functioning of the schools. The committee at the panchayat and village level includes members who were active during the mass literacy campaigns in the district. However, most committees at the lowest level are either defunct and not functional or not properly constituted. Visibly, this particular weakness has resulted in the diminution of an important forum of citizen interaction, reflection and action.

Programme activities

1. *A series of block and village level meetings with parents were followed by meetings with local civil society groups/activists and schoolteachers and generated a lot of optimism. Some parents showed keen interest in monitoring the school.*

2. *Parents formed a committee of five to eight members, decided on indicators and modalities of monitoring and the role and responsibilities of monitors. Committee membership was kept small to ensure easy consensus and spontaneity. Women showed remarkable interest and had a strong presence on the committee.*

3. *After much argument and discussion, the parents finally decided on three indicators for the purpose of monitoring, viz. – the presence or absence of two teachers; serving of midday meals to the children; and routine health checks for children by the local health department.*

4. *The committee was entrusted with the task of monitoring the first two indicators four to five days a month and the health check, once a month, usually on the last working day of each month. It was also agreed to devise a suitable format to record data, keeping in view the limited ability of parents in recording detailed observations. Data was to be recorded on simply designed but ingenious worksheets with suitable pictures/drawings depicting the three broad indicators.*

5. *An important aspect of the indicator development exercise was the clarity in the minds of parents about the larger objectives of the monitoring i.e. to ensure responsiveness, efficiency and accountability in teachers, doctors and block level government officials. Parents who were initially concerned that monitoring would be seen by other stakeholders as 'encroaching on their territory', gradually began to realize that building an atmosphere of trust holds the key to realizing their long-term objective.*

6. *The very process of engaging themselves in monitoring the working of the schools not only helped build confidence in the parents, but also imparted the necessary basic skills of negotiating with government officials. Committee members met the medical officer and circle officer armed with reliable data from their monitoring and apprised them of the working of the schools along with their concerns and suggestions. They also held regular discussions with the teachers on school functioning to understand their perspective and problems and suggest remedial measures. The schoolteachers extended complete support to the parents based on a shared perception that the future of the school lies in working closely with other stakeholders.*

Impact

The parents met the circle officer and apprised him of their findings, concerns and suggestions for improved school functioning, such as slackness on the part of doctors in conducting routine health checks, difficulties in the running of one school due to a vacant teacher's post, need for roof construction/repair in another school and sports equipment for all schools. The district official accepted some of the demands. This and other such meetings helped citizens to understand the way government business is conducted and the skills of negotiating with officials.

Contributed by K. B. Srivastava, former Professor and Head, Centre for *Panchayati Raj*, National Institute of Rural Development (NIRD), Hyderabad, India & Chandan Datta, PRIA, New Delhi.

5

Training module on participatory local resources management

Types of local resources

Resources are natural, physical, human and financial. The participatory management of natural resources by local government institutions (LGIs) and development of human resources are very important for local social and economic development.

1. Natural and physical resources

The rights of LGIs over natural resources vary from State to State, while there are also variations among different PRI levels. It is, therefore, essential to make the LGI functionaries aware of the existing status of the natural resources and their responsibilities within their jurisdiction.

LGI responsibilities related to land include among others:

1. agricultural development, including agricultural extension
2. land improvement
3. implementation of land reforms.

Table 7.1 **LGI role in promoting agricultural production/marketing**

LGI Production functions	LGI Marketing functions
• Increase of agricultural production	• Promote agricultural Haat (markets)
• Training of farmers	• Establishment of grain stores
• Extension and field demonstrations	• Agricultural fairs and exhibitions
• Seeds, fertilizers, pesticides, mini-kit supply	• Processing and preservation of fruits and vegetables
• Improved methods of cultivation	
• Horticultural nurseries	
• Plant protection measures	

Examples of successful LGI implementation of agricultural development activities including extension can be presented to enable local elected leaders and officials to understand the important role of LGIs in this field of local development planning.

Land improvement and soil conservation

Local government institutions are, among others, also responsible for planning and implementing land improvement and soil conservation measures. Local capacity-building programmes are needed on: i) soil-erosion and river control; ii) land improvement; iii) construction of check dams; iv) soil conservation on a watershed basis; and v) soil conservation as field trials and dry farming technology

Land reforms

The p*anchayats* in West Bengal State of India are leading the way in local-managed land reforms which provide land to the landless and rural poor. In several village *panchayat* areas in Haryana State of India, landless cattle owners have been provided with rights to cut the grass in common lands to feed their cattle.

Water and irrigation

Ensuring equitable water use by all stakeholders is an important LGI function.

Table 7.2 **LGI functions related to ensuring access to water for domestic and farm use**

Drinking water	*Minor irrigation, water management and watershed development*
• Prepare drinking water projects • Construct, maintain and repair wells, ponds, and taps • Preserve water sources • Prevent and control water pollution • Maintain rural water supply schemes • Rural sanitation programmes • Piped water supply	• Prepare and implement projects of minor irrigation, dams, canals, water channel, water bank, etc. • Generate and distribute electricity • Implement community irrigation works • Water management • Watershed development • Ferries • Waterways • Groundwater resources development

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Box 7.1 **Example of regulation of cropping pattern/irrigation water use by Gram Sabha in Madhya Pradesh, India.**

The Gram Sabha in a village in Madhya Pradesh State, where the main source of farm irrigation was a 12.5 ha lake, decided that since the water level had gone below 40 percent of capacity, certain water-intensive crops could not be cultivated during the current year. It was decided (a) not to supply water to individual farmers with a view to conserve the water for cattle during summer and (b) to stop issuing no-objection certificates needed by the State Electricity Board for providing individual electricity connections to pump water from the lake.

**LGI functions related to forest
resources**

- Planting and preservation of trees on road sides and other public lands.
- Fuel plantation and fodder development.
- Promotion of farm forestry.
- Development of social forestry.
- Afforestation.
- Preparing programmes on biological diversity.
- Integrated wasteland development.
- Management of minor produce of forests on community lands.

Besides meeting the domestic energy needs of the rural poor from fuel plantations, afforestation on barren land, together with integrated wasteland development can provide cattle-grazing facilities. Minor forest produce programmes can generate additional income for marginalized communities.

LGI functions related to physical assets and local infrastructure

- Construction and maintenance of village roads, drains and culverts.
- Maintenance of buildings under their control or transferred to them.
- Construction and maintenance of community buildings, rest houses and public toilets.
- Providing sanitation facilities in settlements.

Conclusion

- In view of the lack of awareness among LGI functionaries about their responsibilities for the management of natural and physical resources under their control, there is an urgent need for developing an inventory of local natural and physical resources, covering all LGIs. Maps of local resources should be prepared with the participation of local people. As has happened in some parts of Kerala State, such participatory mapping of local resources promotes awareness about management issues related to available local natural resources and relevant environmental implications for the local community.

- A case study of a Kerala village *panchayat's* success in resource mapping could be presented and discussed as training material.

- Legal provisions with regard to LGI's mandate for natural resources management need to be highlighted. The ownership and rights of other public institutions within the PRI over natural resources should be clarified so that the LGIs have a better understanding of their role and function as natural resource custodians.

2. Human resources

LGI responsibilities related to basic education

The LGI's responsibilities cover provision of access to primary and secondary education, technical and vocational training, adult and non-formal education, libraries, etc. Training of LGI members needs to take into account all these aspects. Education committee members must be trained to evaluate the performance of teachers on various counts such as attendance, involvement in extra-curricular activities and the attention paid by them to

students with special needs. They may be trained to deal in the right way with teachers in view of past complaints of disrespect shown to teachers by elected LGI representatives.

LGI responsibilities related to non-formal education

- Campaign for total literacy.
- Supporting neo-literates with reading material to sustain their interest in learning.
- Establish and operate libraries and reading halls.
- Promote social education through youth clubs and *mahila mandals.*

LGI responsibilities related to formal education

Promotion (*usually assigned to lowest LGI tier*)
- Identify places where school facilities needed.
- Mobilize local funds.
- Ensure universal enrolment.
- Conduct sports and cultural activities for children.
- Provide scholarships to deserving children.

Supervision
- Ensure that teachers are regular and perform duties properly.
- Evaluate performance by i) status of infrastructure ii) school results.

Recruitment (u*sually by higher LGI tiers*)
- Evaluate quality of teachers to be recruited.

Establishment of schools
- Find suitable location for school building.
- Ensure that construction meets specific needs of children.
- Periodic inspection of buildings.
- Repairs and maintenance.

Public health and family welfare

LGI responsibilities for providing services for health and family welfare

- Working of village health centre, health and sub-health posts.
- Programmes on primary health education and disposal of wastes.
- Programmes on family planning, maternity and child care.
- Vaccination, immunization, nutrition and public health education.
- Prevention and control of epidemics.
- Regulation of dangerous and offensive tra*des.*

LGI responsibilities for family welfare

- Protection and advancement of girls/women.
- Tackling social ills.
- Welfare of weaker sections/ Voluntary organizations for women and child development.
- Promotion of educational, economic, social, cultural and other interests of Scheduled Castes/Tribes and Backward Classes.

3. Mobilization of local financial resources

1. What local financial resources – internal/external – are available to the LGI?
2. Are they available in time?
3. Who is responsible for local financial management in the LGI?
4. What are the major items of expenditure within the LGI?

Why is mobilization of local financial resources needed?

1. Government/donor agencies alone cannot satisfy all local financial needs
2. Enables local communities to solve the most immediate local development problems on their own
3. Local community becomes more self-reliant
4. Ownership of local projects makes them more sustainable

Table 7.3 **Resource analysis table format**

Name of the resource	Unit	Quantity/ Time	Availability		Remarks
			Locally	Externally	
–	–	–	–	–	–

Table 7.4 **Financial resources available to LGIs**

Local government taxes	Local government charges	Inter-governmental grants	Loans	Others (rent, fees, fines, etc)
• House tax • Land tax • Water tax • Profession tax • Entertainment tax • Vehicle tax • Pilgrim tax • Rent tax • Advertisement tax • Business tax • Natural resource use tax	• Sanitation service charge • Tourist charge • Entry charges for gardens, parking lots, etc • Market/ license registration fees • Recommendation/local development fees			

There will be five training sessions on resource management covering each type of local resource. Efforts to tap such resources, the difficulties faced, limitations imposed by higher government levels and the possibility of raising finance from untapped sources are among the issues that need to be highlighted in each session. The session on taxes needs to concentrate on efforts to rationalize LGI taxes, disputes and their settlement mechanisms, methods of tax collection, efficiency in tax collection, etc. The tax-paying capacity of the poor should be kept in mind while levying tax on their houses. It should also be realized that waiving the house tax would deprive them of their sense of belonging to and participation in the local development activities by the LGIs.

The session on grants from higher levels of government should distinguish between types of grants:

i)   those made with specific conditions, such as grants for maintenance of school buildings and common property resources like tanks, irrigation canals, etc.; and

ii)   matching grants where part of the expenditure has to be provided by the LGI itself from its   own resources.

Income from local sales

The LGIs can raise local financial resources from sales of common property resources found within their jurisdiction, such as sand along rivers and canals, stones, soil, wood carried by rivers, animal carcasses, etc. However, over-exploitation must be avoided. It is also important to ensure that the rural poor have access to these common resources, which are vital for their livelihoods.

Box 7.2 **Training on local financial resources management for LGIs**

- Taxes and tax procedures

- By-laws relating to the taxes

- All sources of revenue other than taxes

- Methods of raising the above

- Write off, remission of tax and other charges

- Auditing and accounting

- Withdrawal and payments

- Maintenance of cash book, control of expenditure, audit objection and replies.

Contributed by V. Venkatakrishnan, Institute of Rural Management, Anand, India.

6

Training module on partnership building

What is partnership?

Partnerships are intended for joint solving of problems, resource exchange, cooperation, coordination and coalition building. The relationship among partners can be temporary (local bodies, including government, grassroots NGO's) or permanent.

A partnership brings together institutional capabilities and human resources in the form of skills, experiences and ideas to tackle common problems that are often beyond the capacity of a single organization or group. Examples: (i) government agency like the Ministry of Education accepting the 'help' of a local NGO and local elected body to enhance literacy in a village; (ii) a local community-based organization (CBO) jointly with local industry associations and elected members of local council, discuss the problem of land degradation caused by industrial activities and agree on the implementation of a joint activity to address the problem.

Types of partnership

Networks – The relationships among partners within networks are often less formal or informal. The main purpose of most networks is to exchange information among members [e.g. Voluntary Action Network India (VANI), a network of voluntary agencies, NGOs, CBOs] and to share experiences in their local activities.

Coordination – Relations among members are more closely linked. Definition of specific tasks among organizations, which require resources (for representation, management, fulfillment of specific tasks) beyond information sharing.

Collaboration – Relations among members are strong with functional more broad ranging areas defined for joint activities. (e.g. Network of Collaborating Regional Support Organizations – India).

Principles of partnership

Trust

Trust is the most important if the partnership crosses many boundaries – interpersonal, inter-institutional, cross cultural – at the same time. In such conditions, relationships are open to risk of misunderstanding and there is need for a clear expression of interest and aspiration on both sides.

Transparency among partners is the basis for a solid and honest relationship. A relationship that involves the transfer of resources (e.g. from a government department to local bodies or from a government department to NGOs or from a donor to NGOs/local bodies, etc.) requires that strict business principles be followed, such as reporting, accountability and good stewardship. Yet, in most cases we have to depend on a relationship based on trust rather than legal conditions and threats of punitive action.

Mutuality

In this case, the partnership relations are open to dialogue and exchange of views. Respect is of utmost importance.

Solidarity

Solidarity means sensitivity and commitment to the problems, efforts and constraints of other partners particularly of those living in conditions of poverty and oppression. It implies a readiness to respond appropriately and in a timely manner to varied needs. If partners (even just one of the partners) are only 'doing' for the poor without 'commitment', it will be difficult to attack the roots of the real problems. Solidarity is not just a catch word; it means response to real needs and constraints based upon respect and equality in the partner relationships.

Accountability

Any partnership involves rights and obligations. It is a major challenge when one partner has the resources and the other has to ask for it, or one has the power to decide who gets funds and how much, and the other is accountable for their use. There is no fully satisfactory answer to this dilemma. That fact, however, does not make partnership a less desirable ideal. It is an ideal worthy of much effort.

Requirements of effective partnership

- Government must be open, receptive, sensitive, responsive and must internalize, accept and institutionalize partnership at appropriate levels;

- Local people, particularly the rural poor must develop skills in negotiation and claim-making to effectively engage the government in participatory local development planning and partnership- building; and

- NGOs must be open to collaboration with the government, share risks and be creative.

Governments in many Asian countries have launched a massive programme of decentralization and have empowered their community institutions through local democracy. Many governments and NGOs are extending support to make this programme a success. Yet, NGOs are often skeptical of the role of local bodies in rural development.

There is also a certain amount of tension in the relationship between grassroots voluntary organizations and public agencies, despite some common interests. Both believe in decentralization and the great potential of civic action at the grassroots level. Yet, the cooperative relationship, which ought to exist between elected local bodies and the NGOs, is often lacking. Similarly, cooperation between government staff and the members of local elected bodies is missing.

Sources of conflicts in a partnership

1. Value disagreements.
2. Personality conflicts.
3. Communication misunderstandings.
4. Doubts about priority need for partnership.
5. Confusion over differing degrees of members' autonomy.
6. Different power interests.

Table 8.1 **Exercise on collecting data on sources of conflict in a partnership.** (Format to be used)

Example of possible conflict sources	*Exists*		*Level of Importance*		
This is a source of conflict because of differences over:	Agree	Disagree	Low	Moderate	High
Perceived power to influence decision					
The importance of resources received or expected from other partner.					
How little some members know about the partnership					
The acceptance of partnership's purpose and objectives					
Interpersonal styles					
Perceptions of other partner's ability to contribute constructively					
The real or hidden motive of the other partner					
The impact of the external environment on the partnership.					

How to address/reduce partnership conflicts

Conflict management in partnerships should focus on encouraging open communication and ways of negotiating expressed differences to meet at least some of the needs of all partners.

1. Choose a person who is seen as being neutral to serve as a process observer. The role of this observer can vary from keeping time, offering clarification or remarks, to suggesting possible ways of managing or resolving the conflict. It is important, however, that all partners agree upon the process observer's role.

2. Select a specific conflict that is important to the partnership and the partners concerned.

3. Have the conflicting partners state their positions without interruption.

4. Have each opposing partner paraphrase the other side's explanations or point of view. This effort to understand more clearly and fully each other's position often results in useful conflict management. However, more work may be needed.

5. Start an open dialogue for questioning, obtaining more information and further explanation. This helps ensure that each side understands the other. As the dialogue continues, it is necessary to move beyond explanations. This would require two interacting skills – both parties should behave assertively and cooperatively.

6. Summarize the position of each party, emphasizing their major points of view. Provide an opportunity to each party to correct misinformation or clarify points.

Future perspectives

A community meeting on future perspectives in local development planning is a way to create a shared vision for partnership building. It enrols those stakeholders, who have the power of information on the topics at hand and those who are affected by the outcomes.

For this exercise, 64 people are involved in local networking. Form eight tables of eight stakeholder groups. Examples of such groups are young people, local authorities, local bodies, etc. They take part in a highly structured two-and-a half day process covering five stages:

Stage	*Activity*
Day one	
Review the past	Participants write key events in their lives, in the community and the world as a whole, in three parallel time lines
Explore the present	Trends affecting the local community are analysed
	Stakeholder groups identify important current trends and future perspectives
	Groups share what they are proud of and sorry about in their community
Day two	
Create ideal future scenarios	Small mixed groups develop visions Barriers to the visions are identified Each group acts out its vision
Identify shared vision	First the small groups, then the whole group, work out the shared vision; what potential projects can help realize it and any unresolved differences
Day three	
Make action plans	Groups plan projects and publicly commit to their action as a collective

Features to empower participants:

1. Principle that people are experts in their own lives. There are facilitators, but no other experts.
2. Emphasis on self-management in small group work.
3. Openness – everything is written on flip charts and displayed.

A future perspectives exercise is worth considering when:

- there are influential people within the sponsoring body (e.g. a local authority) who are prepared to support the idea strongly;
- there is (or can be) a group of local people representing the entire community;
- there is plenty of time to prepare for the event, especially to recruit people;
- there are people with time for recruiting; and
- there is a venue available with natural light, plenty of wall space and good acoustics.

Resources

People: At least one facilitator and a committed partnership group to plan and invite people.
Venue: A room large enough for 64 people to be seated in separate groups of eight and plenty of space for display.
Source: *Participation works – 21 techniques of community participation for the 21st century*, New Economics Foundation, London.

Joint management of sectoral programmes

A partnership between the state and civil society for the management and delivery of social and productive services to local population, particularly rural poor, is an ideal form of responsive networking by the government, with the boundaries between the citizens and the state blurred and citizens themselves making decisions.

Reasons for joint partnership in management of sectoral programs:

- where resources (staff and money) are limited;
- where client communities are geographically distant;
- where the state's role in managing common property resources is fundamentally disputed; and
- where certain social groups have historically rejected the state's authority, making it practically and politically expedient to cede aspects of service delivery to the community.

Case studies

Forest protection committees (FPC), West Bengal, India

There are local partnerships between forest dwellers and frontline forest officials for implementing the joint forestry management (JFM) programme in West Bengal State. This programme aims to end the adversarial relationship between forestry workers and villagers living on the forest fringe who were blamed for forest degradation. In some instances, conflicts led to violent assaults on forestry workers.

The FPCs engage local residents in the regeneration, protection, and maintenance of forests and plantation, and to keep encroachers out. In exchange, each FPC is entitled to 25 percent of the net income form timber sales and certain categories of forest produce.

However, JFM has not met with success elsewhere in India where service providers from the bottom to the top of the forest department have been reluctant to cede management responsibilities and rights of forest produce to the local people.

In this successful west Bengal case, frontline workers were responsible for pushing the forest administration for full implementation of JFM. Indeed, they mobilized client communities to seek more participation and rights to forest produce. They did so because of a collective interest – expressed through their union – in ending the violence and intimidation they faced from villagers and in improving their working conditions.

Watershed management, India

According to Government of India guidelines issued in 1994, local level watershed management in rainfed areas is to be subject to community control. The guidelines list progressive arrangements to ensure community mobilization and autonomous planning and management of rainwater conservation constructions.

All community residents in the watershed area are members of a watershed association, which appoints a committee with representatives of user groups, a local community-based organization, and the Gram Panchayat. This committee conveys local needs to the Project Implementation Agency (PIA), which can be a government agency or an NGO appointed by the District Rural Development Agency. The PIA can seek the committee's help in mobilizing community funding or labour to implement or manage watershed control facilities.

There are very few cases of full or successful implementation of these guidelines and the rare successes depend on proactive NGOs or community groups putting pressure on authorities for proper implementation. Otherwise, watershed committees and user groups are simply set up by authorities to meet targets. Success also depends on the capacity of the civil society partner to generate substantial funds to compensate for resource scarcities in the administration with just 50 percent of PIA staff costs being covered by the government.

Education guarantee scheme (EGS), Madhya Pradesh, India

Set up in 1997 by the Madhya Pradesh State Government, this is a rights-based initiative to universalize primary education under which the state government has guaranteed establishment of a school within 90 days of its demand by a community, which lacks easy access to a school.

The community has to show that it has 40 learners (25 in the case of tribal communities). The district provides the teacher, training and basic learning materials, while the community provides the land for the school and the Gram Panchayat appoints the teacher. Communities are encouraged to suggest a suitable local resident as the teacher to avoid teacher absenteeism.

The community supervises the functioning of the school and the maintenance of its physical facilities. Community involvement is encouraged by the threat of withdrawal of funding if dropout rates are high. Over 15 500 EGS schools were established in the first year of the scheme.

Source: Bringing citizens' voice and client focus into service delivery. Anne Marie Goetz and John Goventa, *Working paper no. 138, Institute of Development Studies (IDS) 2001.*

Contributed by Chandan Datta, PRIA, New Delhi.

7

Training module on conflict management

Definition of conflict management

Differences are inevitable in a local group having members with different experiences, attitudes and expectations. However, some conflicts can support organizational goals. Indeed, too little conflict may lead to apathy, lack of creativity, indecision and missed-out deadlines. Clashes of ideas about tasks also help in choosing better tasks and projects. These are 'functional conflicts'.

Functional conflicts can emerge from leaving a selected incidence of conflict to persist, which can be overcome by 'programming' a conflict in the process decision-making by the group by assigning someone the role of a critic. This also helps to avoid 'group thinking' where group members publicly agree with a course of action, while privately having serious reservations about it.

The most difficult conflicts are those arising out of value differences. The most important thing is to understand the real cause of the differences. Yet every resolution of a conflict can also feed a new conflict in a group. It is, therefore, useful to see conflicts as a series of expressions of existing differences within a group, having some links to each other. How effectively a group deals with conflict management largely affects the efficiency level of its functioning.

Common ways of dealing with conflicts within a group

1. *Avoiding* – withdraw from the conflict situation, leaving it to chance.

2. *Harmonizing* – generally cover up the differences and claim that things are fine.

3. *Bargaining* – negotiate to arrive at a compromise, bargaining for gains by both parties

4. *Forcing* – push a party to accept the decision made by a leader or majority.

5. *Problem solving* – confront differences and resolve them on a collaborative basis.

Conflict-management styles

Collaborating – Conflicting parties jointly identify the problem, weigh and choose a solution.

Accommodating – Playing down differences while emphasizing commonalties.

Competing – Shows high concern for self-interest and less concern for the other's interest. Encourages 'I win, you lose' tactics.

Avoiding – Either passive withdrawal from the problem or active suppression of the issue.

Compromising – A give-and-take approach involving moderate concern for both self and others. Each party has to give up something of value. It may include external or third party intervention.

Managing conflict

- Allow time for cooling down.
- Analyse the situation.
- State the problem to the other person.
- Leave the person for some time.
- Use a win-win approach.

Factors affecting conflict

- Personality traits affect how people handle conflict.
- Threats from one party in a disagreement tend to produce more threats from the other.
- Conflict decreases as goal difficulty decreases and goal clarity increases.
- Men and women tend to handle conflict similarly. There is no 'gender effect'.

Table 9.1 **Matching conflict-management approaches with group level conditions**

Situation	*Conflict-management approach*				
Considerations	*Forcing*	*Accommodating*	*Compromising*	*Collaborating*	*Avoiding*
Issue importance	High	Low	Medium	High	Low
Relationship importance	Low	High	Medium	High	Low
Relative power	High	Low	Equal-High	Low-High	Equal-High
Time constraints	Med-High	Med-High	Low	Low	Med-High

Table 9.2 **Matching conflict management with process of goals-setting by the group**

Conflict-handling style	Appropriate situations
Collaborating	• When both sets of concerns are too important to be compromised • When objective is to learn • To merge insights from people with different perspectives • To gain commitment by incorporating concerns into a consensus • To work through feelings that have interfered with a relationship
Accommodating	• To allow a better position to be heard and to show reasonableness • When issues are more important to others than yourself • To build social credit for later issues • To minimize loss when you are outmatched and losing • When harmony and stability are especially important • To allow subordinates to develop by learning from mistakes
Competing	• When quick, decisive action is vital • On important issues where unpopular actions need implementing • On issues vital to organization and when you know you are right • Against people who take advantage of non-competitive behaviour
Avoiding	• When an issue is trivial, or more important issues are pressing • When you see no chance of satisfying your concerns • To let people 'cool down' and regain perspective • Gathering information supersedes the immediate decision • When others can resolve the conflict more effectively
Compromising	• When goals are important, but not worth potential disruption of more assertive modes • When equal power opponents are committed to mutually exclusive goals • To find temporary settlements of complex issues • To arrive at expedient solutions under time pressure • As a backup when collaboration or competition is unsuccessful

What to do when you are:

The lead person to present and clarify the background of the conflict

Problem identification

i) Clearly explain your problem in terms of behaviour, consequences, and feelings.
• Maintain personal ownership of the problem.
• Use a specific incident to illustrate the expectations or standards violated.
• Stick to the facts, avoid drawing evaluative conclusions and attributing motives to the respondent.

ii) Persist until understood and encourage two-way discussion.
• Restate your concerns or give additional examples.
• Avoid introducing additional issues or letting your frustration and emotions grow.
• Invite the respondent to ask questions and express another perspective.

iii) Manage the agenda carefully.
- Approach multiple problems, proceeding from simple to complex, easy to difficult, concrete to abstract.
- Conversely, don't become fixed up on one issue. If you reach an impasse, expand the discussion to increase the likelihood of an integrative outcome.

Solution

Make a request. Focus on things you share in common (principles, goals and constraints) as the basis for recommending preferred alternatives.

A chairperson in the group conflict management

Problem identification

i) Establish a climate for joint problem solving
- Show genuine concern and interest. Respond empathetically, even if you disagree with the complaint
- Respond appropriately to the lead person's emotions.

ii) Seek additional information about the problem
- Ask questions that channel the lead person's statement from general to specific and from evaluative to descriptive.

iii) Agree with some aspects of the complaint(s)
- Signal your willingness to consider making changes by agreeing with facts, perceptions, feelings or principles.

Solution

Ask for recommendations – to avoid debating the merits of a single suggestion, brainstorm and seek multiple alternatives.

A mediator for managing conflict

Problem identification

i) Acknowledge that a conflict exists
- Select the most appropriate setting (one-on-one conference vs. group meeting) for coaching and fact-finding.
- Propose a problem-solving approach for resolving the dispute.

ii) Maintain a neutral posture
- Assume role of a facilitator and not judge. Do not belittle the problem or criticize the disputants for their inability to resolve their differences.
- Be impartial towards the disputants and the issues (as long as policy has not been violated).
- If correction is necessary, do it in private.

iii) Manage the discussion to ensure fairness
- Focus discussion on the conflict's impact on performance and the detrimental effect of a continued conflict.

- Keep the discussion issue-oriented, not personality-oriented.
- Do not allow one party to dominate the discussion. Ask directed questions to maintain balance.

Solution

Explore options by focusing on interests behind stated positions
- Explore the 'why' behind the disputants' arguments/claims.
- Help disputants see what is common among their goals, values and principles.
- Use this to generate multiple alternatives.
- Maintain a non-judgmental manner.

Table 9.3 **Comparison of conflict-handling styles**

Approach	Objective	Your posture	Supporting raionale	Likely outcome
I. Collaborating	Solve the problem together	"This is my position, what is yours?" "I am committed to finding the best possible solution." "What do the facts suggest?"	The positions of both parties are equally important (though not necessarily equally valid). Equal emphasis should be placed on the quality, outcome and fairness of the decision-making process.	The problem is most likely to be resolved. Also, both parties are committed to the solution and satisfied that they have been treated fairly.
II. Accommodating	Don't upset the other person	"How can I help you feel good about this en-counter?" My position isn't so important that it is worth risking bad feelings between us."	Maintaining harmonious relationships should be our top priority.	Other person is likely to take advantage.
III. Competing	Get your way	"I know what's right" Don't question my judgement or authority."	It is better to risk causing a few hard feelings than to abandon an issue you are committed to.	You feel vindicated, but other party feels defeated and possibly humiliated.
IV. Avoiding	Avoid having to deal with conflict	"I'm neutral to this issue." Let me think about it." "That's someone else's problem."	Disagreements are inherently bad because they create tension.	Interpersonal problems don't get resolved, causing long-term frustration mani-fested in many ways.
V. Compromising	Reach an agreement quickly	"Let's search for a solution we can both live with so we can get on our work."	Prolonged conflicts alienate people from their work and engender bitter feelings.	The participants become conditioned to seek expedient rather than effective solutions.

Training module on conflict management

Table 9.4 **Contents, objectives and methodology on partnership and conflict management**

Partnership content	*Sub-content*	*Specific objective*	*Methodology*
Role of stakeholders in poverty alleviation Behavioural aspects of building partnership Knowledge of basic government management functions; tendering, budgeting etc. Organizational abilities for PRI meetings Communication skills	Role of officials, elected representatives, NGO representatives and civil society including beneficiaries	1. Clarification of role of local development agencies like DRDA, banks, PRIs and NGOs 2 Understanding the attitudes, beliefs, motivation, awareness, socio-cultural aspects and development of partnership among all stakeholders for poverty alleviation	Lecture-cum-discussion Role-playing Brainstorming Self-analysis techniques Simulation game Story telling and problem-solving Field visit to success and failure sites
Conflict-resolution content	*Sub-content*	*Objectives*	*Methodology*
Concept and sources of conflict Collaboration Methods of conflict resolution Institutional mechanism for conflict management among government and NGOs at *panchayat* level Leadership development on problem-solving, development-oriented attitude and social communication skills Negotiating skills	*Panchayat* role in summoning development officers	To clarify the concept of conflict and collaboration To identify the sources of conflict To understand the process of effective conflict management To plan collaboration with stakeholders To clarify the institutional set-up and interests of stakeholders in conflict-resolution	Lecture-cum-discussion Brainstorming Role-playing Simulation game Case study PRA

Source: *Conservation Extension Manual for Mid-Level Technicians*, Local Development Training Academy, Kathmandu, Nepal. pp.113-119.

Contributed by C. S. Singhal, Associate Professor, Centre for Behavioural and Organisational Development, National Institute of Rural Development (NIRD), Hyderabad, India.

8

Training module on planning for disaster preparedness and mitigation

Definition of disaster

A disaster is any event, natural or man made, which threatens human lives, damages private and public property and infrastructure, and disrupts social and economic life.

Classification of disasters

Disasters can be classified by nature, timing, predictability, response time and type of impact.

Table 10.1 **Disasters according to timing and predictability**

SLOW	QUICK	
	Predictable	*Unpredictable/Sudden*
Drought	Cyclone	Earthquake
Famine	Flood	Landslide
Food shortage	Typhoon	Avalanche

Table 10.2 **Disasters according to response time**

Long response time	*Short response time*	*No response time*
Drought	Cyclone	Earthquake
Famine	Floods	Landslide

Table 10.3 **Disasters according to impact**

Affect all aspects of life	*Loss of life and damage to physical infrastructure*	*Affect livelihood and cause environmental degradation*	*Threaten only lives*
Cyclone/Tornado Flood Landslide	Earthquake	Drought/Forest Fire	Famine/Epidemic

Table 10.4 **Impact of disasters on different sections of rural people**

Effect	Impact on different sections of rural people	
	Medium and big farmers/ traders	*Small and marginal farmers, artisans, labourers*
Loss of human and animal lives	Low as they have means for protection	High as they have very little or even no means for protection
Loss of property and economic assets	High	Low
Loss of means of livelihood	Low	High
Recovery period	Short	Long

Table 10.5 **Natural disasters in India**

Type of hazard	Vulnerable area in sq km	Population in million
1. Cyclone	180 000	110
2.Flood	400 000	260
3. Drought	915 000	72.25
4. Earthquake	1 760 000	375

Disaster management

Natural disasters cannot be prevented, but their impact on people's lives can be reduced to a considerable extent. Disaster management covers all aspects of preventive and protective measures, preparedness, rescue, relief and rehabilitation operations. It has three phases:

*1. **Impact phase**:* This has three stages.

Pre–impact/response

- Forecast
- Early warning
- Preparedness
- Tracking/monitoring approach of disaster
- Alertness/evacuation.

Impact

- Close monitoring of impact; establishing emergency communication; deploying rescue teams; medical support and other life-saving activities. Supply/air dropping of food, drinking water and essential items.

Post-impact

- Medical care
- Food, clothing and shelter for rescued people

- Estimating loss of life and property

- Disposal of bodies/animal carcasses, prevention of epidemics
- Repair and restoration of essential services/infrastructure.

2. Relief and rehabilitation phase

- Temporary shelter/drinking water/food/clothing/minimum household utility goods for victims
- Repair of roads, electricity and communication networks
- Salvaging damage to agriculture/distribution of seeds, fertilizer, etc.
- Restoration of health/educational facilities or temporary alternative arrangements
- Distribution of ex-gratia relief for those killed and compensation for the losses
- Building durable houses for victims.

3. Long-term mitigation and preparedness phase

This is a crucial period and devoted to long-term development of disaster prone areas to minimize the impact of the hazard and prepare the people as well as all supporting systems in the area to face future disasters.

Long-term planning for preventive measures

- Soil conservation/afforestation in river catchments
- Planting shelter belts/mangroves in coastal areas
- New cropping patterns to minimize crop loss
- Prevent human settlements in low-lying areas, relocate settlements to safer places.

Long-term protective measures

- Safe construction for houses/strict implementation of safety codes
- Hazard-proof roads, bridges, canals, water reservoirs, power transmission lines, etc.
- Flood-protection measures
- Improvement of warning systems
- Organizing people for counter-disaster activities.

Role of *Panchayati Raj* bodies in local disaster management

While the government has the duty to help people in distress, the latter have a greater responsibility to help the government help them to cope with disasters. *Panchayati Raj* bodies are the most appropriate local institutions for involving people in natural disaster preparedness. *Panchayati Raj* bodies have a role to play in all phases of disaster management.

Panchayat role during first phase of natural disaster management

<u>*Gram Panchayat*</u> or village level

- Convene meetings to ensure timely warning
- Update information on civic amenities/population, etc.
- Select safe locations for people and livestock

- Arrangements to evacuate the elderly, the disabled, children and women

- Medical and sanitation facilities at relief camps
- Disconnecting power lines during high winds/gales; storing foodgrain, drinking water, etc.

<u>Block/*Mandal Panchayat*</u>

- Supervise preparedness of *Gram Panchayats* (GP)
- Consolidate village-level information on items listed under GP
- Assessing preparedness of: primary health centres /evacuation arrangements*, etc.*
- Engineering staff at the Block/*Mandal* level should repair drainage/canal/roads, etc.
- Contact ex-army/security forces personal/volunteers to organize task force for assistance
- Procure and keep ready rescue material, including boats
- Function as link between district and village-level counter-disaster activities.

<u>*Zilla Panchaya* or district level</u>

- The District Collector/CEO should convene a meeting of all District Heads of sectoral departments and ZP members before the start of likely cyclone periods (May to June & Oct. to Nov.)
- All concerned departments to take up necessary repair and maintenance and related works for preparedness
- Organize 'Task Forces' at district, block and village levels
- Identify NGOs useful in providing assistance during disasters
- Check inventories of items required at short notice for rescue and relief operations
- At first warning, call meeting of Crisis Management Group (CMG) and alert blocks/villages
- All CMG members should be asked to keep their personnel in full preparedness
- District Collector should be CMG Leader and establish a control room managed by senior officers round the clock during the crisis.

Panchayat role in rescue and relief before and during natural disaster impact

<u>*Gram Panchayat* or village level</u>

- Set up temporary shelters/relief camps after initial warning/store food and water for people/livestock
- Evacuation of people and livestock should start immediately after final warning
- Keep rescue volunteers and task forces ready
- District/block medical/relief teams may be asked take position at strategic points and coordinate with village volunteers/task forces
- Organize veterinary aid teams for taking care of livestock and removal of carcasses
- Disposal of dead bodies and measures to prevent likely epidemics
- Assessing loss of life, livestock and damage to farming, property, etc.

<u>Block/*Mandal Panchayat*</u>

- Identify vulnerable areas and send task forces/volunteers to supervise safety measures
- Evacuate people from these areas and help GPs in organizing relief camps
- Arrange for emergency communication through police wireless/ ham radio, etc.
- Arrange supply of food and other items to relief camps in adequate quantities

- Supervise rescue and relief activities with district-level officers

- Inform CMG in case help needed from police and defence forces
- Assist armed forces in rescue and relief operations
- Supervise rescue and relief and coordinate with various agencies including NGOs.

<u>*Zilla Panchayat* or district level</u>

- Monitor situation, identify blocks and villages most likely to be affected and issue warnings
- Activate control room and keep a full watch on the situation
- Arrange emergency communication with the help of police wireless/ham radio, etc.
- Put CMG on the job of assisting block and village *Panchayats* with counter-disaster steps
- Arrange transport for evacuation of people and livestock
- Arrange for temporary shelters/relief camps
- Seek assistance of the armed forces if necessary
- Monitor rescue and relief operations at village and block levels
- Assist lower *panchayats* in mobilizing task forces/volunteers/NGOs for rescue and relief.

Panchayat role in reconstruction and long-term mitigation planning

<u>*Gram Panchayat* or village level</u>

- Assist in identifying victims for compensation, and then in its distribution
- Formulate reconstruction plans for houses, community buildings, roads, etc. within GP jurisdiction with the assistance of technical departments at block and district levels
- Enforce minimum specifications for safe construction
- Help district and block level organizations in arranging awareness camps for management and mitigation of disasters and ensure participation of the villagers
- Organize village-level task force/volunteers and train them in counter-disaster measures
- Assist in supervising and monitoring reconstruction and development projects
- Encourage local people to insure assets/livestock, which should be mandatory for those who can afford. Seek government help for those who are too poor to afford insurance.

<u>Block/*Mandal Panchayat*</u>

- Assist in rehabilitation, repair and reconstruction
- Assist *gram panchayats* in identifying victims for payment of compensation and in its distribution
- Prepare village and block-level mitigation plans; consolidate/integrate these with the block plan
- Enforce minimum safety specifications for construction
- Assist in long-term mitigation planning and its integration with block/district development plans
- Supervise and monitor reconstruction and long-term mitigation projects implemented by GPs and Block *Panchayats*.

<u>*Zilla Panchayat* or district level</u>

- Planning and implementation of rehabilitation, repair and reconstruction
- Compensation for loss of life, property, etc.
- Hazard and vulnerability mapping
- Anti-disaster measures to be integrated in all development projects
- Special funding to use disaster-resistant construction technologies in vulnerable areas

- Supervision of all construction and developmental activities.

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9

Training module on participatory community monitoring and evaluation

Why participatory community monitoring and evaluation?

Participatory community monitoring and evaluation are extremely important for learning about the achievement/deviation from original concerns and problems faced by local development projects/programmes being implemented, so that corrective measures can be taken in time.

Evaluation is often carried out by donor agencies or policy makers and helps in assessing whether the project has brought benefits to those for whom it was intended. An evaluator is expected to examine:

- whether it was right to have invested resources in the project in the context of competing needs;
- whether the underlying assumptions and design were right;
- whether progress was made towards planning changes, and if not, why; and
- unplanned changes that may have occurred.

Monitoring ensures that i) inputs are ready in time; ii) works plans are followed closely; iii) adjustments can be made and corrective action taken as and when necessary; iv) people who need to know are kept informed; v) constraints and bottlenecks are found; and vi) resources are used efficiently.

Aim of participatory monitoring and evaluation (pme)

1. To assess information or generate data on development activities being carried out at the local community level.

2. To facilitate monitoring and evaluation by beneficiaries of different development activities.

3. To increase beneficiaries' commitment and understanding in designing, planning and implementing community-based development projects or programmes.

Participatory monitoring involves local beneficiaries in measuring, recording, collecting, processing and communicating information to assist local development project extension workers and local group members in decision-making.

Participatory evaluation assists in adjusting and redefining objectives, reorganizing institutional arrangements or re-allocating resources as necessary. Monitoring and evaluation system (MES) allows continuous surveillance in order to assess the local development project's impact on intended beneficiaries.

Involving local people in project evaluation is one of the learning objectives of participatory management. Apart from project's impact on the life of the people, it is also worthwhile to evaluate:

i) attitudinal changes in the local community about their role and sense of responsibility;
ii) if people have gained confidence in their ability to undertake new activities; and
iii) lessons about people's capacity, extent of participation and community responsibilities.

It provides an opportunity to the project implementation committee to assess deficiencies in the project design – if objectives and work plan were realistic, if local funding was adequate and whether project actually owned by the people. Answers to these questions indicate future precautions and modifications in the method and approach. This in itself is an achievement in capacity building at the local level.

Role of community extension workers

1. It is the responsibility of extension workers/community development motivators to make beneficiaries aware about the project/programmes and their objectives.

2. Extension workers should develop and help beneficiaries identify **indicators and measurements** for each project activity. Based on these, extension workers should collect data on inputs and outputs by using simple formats and tables.

3. Extension workers should **process, organize and analyse** the data for evaluation. For participatory evaluation, they should assist beneficiaries to understand the process, using simple procedures. After processing, organizing and analysing the data, extension workers must **assess the impact** of local development project activities.

Box 11.1 **PME should be:**

1. Demonstrative, not instructive in writing
2. Collaborative, not individualist or directive
3. Explorative, not repetitive
4. Listening to, not lecturing
5. Interactive, not dominating
6. Qualitative, not quantitative
7. For community/people, not project-oriented.

Steps in participatory monitoring and evaluation (PME)

Step I   Understanding goal/objectives of local development project/programme.

Step II   Identifying activities to achieve objectives.

Step III   Identifying measurements to assess results or show extent of progress achieved.

Step IV   Developing measurement indicators.

Step V   Identifying methods and techniques of collecting information.

Step VI   Selecting formats/visual tools for presenting information

Step I Goal: *sustainable increase in productivity of sub-watershed within local community*

Objectives

- Soil conservation techniques adopted by 50 percent households.
- Rehabilitation of 40 percent of identified, critical soil erosion sites.
- Trees planted by users' groups in 300 ha.
- Protection of 500 ha of forest by users' group.
- Increase in capability of 100 users' groups to identify, plan and manage watersheds.

Step II

Activities
- Planting fodder, fuel wood trees, sowing grass, improved cropping.
- Check dams, landslide control, wall to protect riverbank.
- Establish nursery; seedling production; planting trees.
- Discussion on forest protection, handing over forest to community and prepare forest protection measures.
- Training for users' groups, workshop/seminar, observation tour.

Step III

Assessment measures
- Percentage of farmers using soil conservation.
- Percentage of critical soil erosion sites rehabilitated.
- Area under forest plantation.
- Capability of users' groups to plan and manage conservation programmes.

Step IV

Developing measurement indicators
- Hold group discussions among farmers and share common experiences.
- Use brainstorming methods (list all possible ideas and select suitable ones).
- Develop indicators for each activity designed to achieve specific objective.

Step V

Identifying methods of collecting information

At community level
- Group discussion among people.
- Direct observation of site activities.
- Interviewing individuals.

Tools
- Resource map
- Pie chart
- Bar chart
- SSI (Semi-structured interview)
- Venn diagram and others

Remember to collect data in
- Simple form
- Local language
- Regular interval (monthly, quarterly, half-yearly or yearly, etc.)

- Remember PRA guidelines

Step VI

Selecting formats/visual tools for presenting information
- Charts/graphs/diagrams.
- Visual presentation is easier for village people to understand.

Table 11.1 **Measurement Indicators**

Indicators of organizational strength	Indicators of group participation	Indicators for gender issues (women in development)	Indicators for environmental issues
Number of villagers who know or who have heard about organization or groups	Number of groups or rural organizations	Funds allocated for women in development activities	Degree of rehabilitation of degraded areas
Frequency of attendance of participants in the meeting	Socio-economic composition of groups	Women's share in benefit	Community forests protected, managed and utilized
Number of meetings held each month	Number of person/days of labour contributed	Women's participation in decision making	Forest area increased
–	Material and money contributed by group	Women trained in various activities	Bio-diversity increased and protected
–	Joint funds collected from local sources and used for maintenance work	Change in time spent by women in domestic and farm activities	Landslide, soil erosion and floods decreased
–	Participation of farmers	Change in women's income, expenditure and savings	Water-source increased and protected
–	Capacity to maintain local facilities	Position of women in different states	Decrease in incidence of environment-related diseases/disasters

 Source: *Conservation extension manual for mid-level technician/s*, **Local Development Training Academy, Kathmandu, Nepal.**

10

Training module on PRA tools

The selection and use of training tools must match the training needs and type of training.

The major challenges are:

a) sensitization to bring about attitudinal and behavioural change; and
b) using participatory techniques to build rapport, elicit support, information and participation of the people in their own development.

Importance of participatory techniques

- Participatory techniques aim to 'break the silence' of the poor and disadvantaged sections, recognize the value of popular collective knowledge and wisdom and legitimize the production of knowledge by the people themselves.

- Participatory approaches seek to be catalysts enabling and empowering the people.

- These have internalized some key techniques in adult training for learning such as
    a) linking learning to problems,
    b) linking learning to people's goals and visions, and
    c) giving trainees control over decisions on training.

- The participatory approach emphasizes flexible learning, is adaptable to the pace set by the learners/trainers and tailored to needs expressed by participants themselves.

Participatory rural appraisal

Participatory rural appraisal (PRA) is a methodology to enhance

1. the development agent's understanding of the rural reality for the planning and development of projects; and

2. the feeling of a greater degree of ownership and responsibility in the rural poor for better results and social acceptance of the programme.

The effectiveness of participatory approaches has led donors, government organizations and NGOs to use PRA in their programmes. Participatory training is based on the belief that

- learners with their life experiences are themselves a rich source of learning;
- learning cannot be imposed; the learner can only be encouraged to learn;
- learners learn best by doing or practising an activity; and
- learning is facilitated by a positive/successful activity/experience resulting in further achievement, thereby building up a 'virtuous circle'.

Aims of participatory methods

Different participatory methods are used for different ends. Sometimes participatory approaches are the means and ends as well.

In the case of decentralized development, the ends are:
- peoples' active participation in prioritizing needs/micro-planning;
- activating the key *Panchayati Raj* institution – the *Gram Sabha; and*
- attitudinal and behavioural change in the bureaucracy.

Since village *panchayats* have to play an active role in initiating the micro-planning exercise, they need a locally relevant database that is validated by the local people. This will form the basis for setting local priorities. This should help, in turn, in the formulation of local action plans in the form of development activities/projects/programmes.

Scope of PRA

PRA is used

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

Areas of application

- Natural resource management
- Agriculture
- Poverty alleviation/women in development programmes
- Health and nutrition
- Preliminary and primary education
- Village and district-level planning
- Institutional and policy analysis.

Table 12.1 **Participatory rural appraisal**

Principles and methods		*Benefits*
From 'they learn from us' to 'we learn from them'.	. From 'we let them participate' to 'they take command of their own process'.	*Empowering* the poor and weak to assert their priorities, make demands and act.
From 'we've done a PRA' to 'we admit being corrected by people'.	From 'we use instruments from our toolbox' to 'they can map, model, estimate, score, analyse, plan themselves'.	Expression and harnessing of *local diversity.*
From 'we share our knowledge analysis with them' to 'we enable them to learn from each other and conduct their own analysis'.	*Offsetting biases*: spatial, project, gender/elite, seasonal calendar.	*Community* participatory appraisal, planning, implementation, monitoring and evaluation.
Rapid progressive learning, which is flexible, exploratory, interactive and inventive.	*Triangulation:* using different methods, sources and disciplines, and a range of informants in a range of places and cross checking to get closer to the truth through successive approximations.	Identification of *research priorities;* experts more receptive to the ability of rural poor to design, implement and evaluate.
Facilitation: to enable people to do more or all of the investigation themselves and own the outcome.		Insights gained from PRA leading to *policy change.*
Sharing: a culture of sharing information, methods, field experiences among NGOs, government and villagers.	*Behaviour and attitudes:* critical self-awareness in external facilitators, learning from errors.	A culture of *open learning* among govt., NGOs and community.

Table 12.2 **Tools of PRA**

Diagram		*Priority matrix*	*Seasonal calendar*	*Time trends*	*Venn diagram*
Map Provides alternative database Depicts differing local perception of local problems/ needs	*Transect* Builds rapport with locals Supports maps of local resources/ needs	Entire community involved in prioritizing needs and development initiatives	Helps to identify lean periods for resources and timing of supply of key farm inputs	Provides local perspective on time changes in natural resources/ecology/etc.	Helps to identify marginalized individuals and groups within the village

For details of PRA tools, please see Annex VII, pages 113-129.

Annexes

Annex I

Number of *panchayats* in States/Union Territories
(as on 31 March 2002**)**

State	Gram Panchayats	Panchayat Samitis	Zilla Parishads	Total
Andhra Pradesh	21 913	1 095	22	23 030
Arunachal Pradesh	2 012	78	13	2 103
Assam	2 487	203	21	2 711
Bihar	8 471	533	38	9 042
Chattisgarh	9 139	146	16	9 301
Goa	189	-	2	191
Gujarat	13 316	224	25	13 565
Haryana	6 020	114	19	6 153
Himachal Pradesh	3 037	75	12	3 124
Jammu & Kashmir	2 683	-	-	2 683
Jharkhand	3 746	211	22	3 979
Karnataka	5 659	175	27	5 861
Kerala	991	152	14	1 157
Madhya Pradesh	22 029	313	45	22 837
Maharashtra	27 684	321	33	28 038
Manipur	166	-	4	170
Meghalaya^	-	-	-	-
Mizoram^	-	-	-	-
Nagaland^	-	-	-	-
Orissa	5 261	314	30	5 605
Punjab	12 369	138	17	12 524
Rajasthan	9 186	237	32	9 455
Sikkim	159	-	4	163
Tamil Nadu	12 618	385	29	13 032
Tripura	540	23	4	567
Uttar Pradesh	52 029	809	70	52 908
Uttaranchal	7 055	95	13	7 163
West Bengal	3 360	341	17	3 718
UTs	-	-	-	-
A & N Islands	67	7	1	75
Chandigarh	17	1	1	19
D&N Haveli	11	-	1	12
Daman and Diu	10	-	1	11
NCT Delhi#	-	-	-	-
Lakshadweep	10	-	1	11
Pondicherry	98	10	-	108
TOTAL	**232 332**	**6 000**	**534**	**238 866**

* Source: MORD, GOI
^ - Traditional Councils
# - Panchayati Raj system is yet to be revived
UT – Union Territory

Number of elected representatives of *panchayats* in the States/Union Territories (as on 31 March 2002)

State	Gram Panchayat	Panchayat Samiti	Zilla Parishad	TOTAL
Andhra Pradesh	230 529	14 644	1 093	246 266
Arunachal Pradesh	5 733	1 205	77	7 015
Assam	30 360	2 564	845	33 769
Bihar	114 721	10 992	1 004	126 717
Chattisgarh	149 968	2 795	290	153 053
Goa	1 281	--	35	1 316
Gujarat	123 470	3 814	761	128 045
Haryana	54 346	2 430	226	57 002
Himachal Pradesh	18 264	1 661	252	20 177
Jammu and Kashmir	--	--	--	--
Jharkhand#	50 731	4 352	581	55 664
Karnataka	80 627	3 340	919	84 886
Kerala	10 270	1 547	300	12 117
Madhya Pradesh	335 263	6 203	764	342 230
Maharashtra	303 545	3 524	1 762	308 831
Manipur	1 556	--	61	1 617
Meghalaya^	--	--	--	--
Mizoram^	--	--	--	--
Nagaland^	--	--	--	--
Orissa	81 077	5 260	854	87 191
Punjab	75 473	2 441	274	78 188
Rajasthan	112 897	5 494	1 028	119 419
Sikkim	1 827	--	145	1 972
Tamil Nadu	125 852	6 499	648	132 999
Tripura	5 421	196	70	5 687
Uttar Pradesh	704 281	5 361	2 266	711 908
Uttaranchal#	95 499	630	421	96 550
West Bengal	62 139	9 516	664	72 319
A & N Islands	750	67	30	847
Chandigarh	109	--	10	119
D&N Haveli	135	--	16	151
Daman and Diu	63	--	15	78
NCT Delhi	--	--	--	--
Lakshadweep	79	--	22	101
Pondicherry	120	--	16	136
TOTAL	**2 776 386**	**94 535**	**15 449**	**2 886 370**

* Source: MORD, GOI
\# Provisional figures
^ Traditional Councils perform duties of local government. 73rd Amendment not applicable

Annex II

Training handbook for training of trainers on PRI capacity-building in NIRD and State-level training institutions

Aim

Participation and empowerment of rural people leading to
- better education, income and environmental standards
- fraternity
- enforcement of social legislation
- effective and efficient utilization of public funds
- social audit.

Important characteristics

- Easy to read and explain to different audiences.
- User can comprehend action points easily.
- Illustrative to enable user to modify these to local conditions.
- Based on felt needs of people associated with decentralization.
- Practical and field-based.
- Universal applicability as far as possible.

Utility

- Information on decentralization in different countries.
- Preparation of short and long-term training programmes.
- Clarifies roles of different functionaries and/or facilitators.
- Awareness that training is a continuous process.
- Provides insights into decentralization and participatory planning.

Training content

For elected PRI members, development officials, NGO and self-help group representatives

Basic concepts
- 73rd Constitutional Amendment, State Acts/Rules.
- Changed PRI roles, responsibilities and functions in relation to other decentralized development actors.
- PRIs and innovative decentralization.

Participatory rural planning:
- Existing rural development initiatives.
- Assessment of local needs.
- Problems of rural/local development.
- Solutions for these.
- Participatory rural planning techniques.

Plan formulation:
- Data needs and creation of alternative database through facilitating people's participation.
- Building up databases for use in plan formulation for block/district.

Promoting appropriate attitudes and behaviour for participatory planning, implementation and concurrent monitoring at different levels.

For role-planning team involved in consolidating district plan

Project appraisal and feasibility:
- Environmental feasibility
- Location and technical feasibility
- Financial feasibility

Phasing and budgeting of plan:
- Identification/strengthening of inter-sectoral linkages and coordination
- Cost-estimation for sectoral programmes and projects
- Identification of sources of finance

Application of cartographic and Geographical Information System (GIS) technique in district planning.

Implementation, management and monitoring:
- Application of computers for data management.
- Monitoring and evaluation in terms of building up participatory evaluation and monitoring reports, triangulating with field visits and reports from lower to the district level.

Training modules

Number of trainees from each level: 35
Duration of training: Five days
Institution: National/state level/NGOs

Methodology

- Lecture
- Discussion
- Field visits/demonstration
- Case study
- Experience sharing
- Role-playing
- Film show

Objectives of training

*For chairman & vice- chairman of zilla parisha/president &
vice-president of panchayat samiti/sarpanch & panch*

- Acquaint with *Panchayati Raj* in the light of constitutional provisions – state government laws, rules and executive orders.
- Acquire knowledge and skills for planning and implementation of rural development programmes by *Panchayati Raj* bodies.

Course content

General orientation

*For chairman & vice- chairman of zilla parisha/president &
vice-president of panchayat samiti/ sarpanch & panch*
- Planning process in the country.
- Rural development programmes in India.
- Democratic decentralization.

Subject orientation (at ZP/GP and sarpanch/panch level)

- *Panchayati Raj: Concepts and status.*
- Salient features of *Panchayati Raj* structure in the concerned State.
- *Zilla parishad* functions.
- Resources of *zilla parishad/panchayat samiti.*
- Staff of *zilla parishad/*Role of p*anchayat samiti* staff.
- Supervision and control over p*anchayat samitis* and village p*anchayat.*

Role orientation

For chairman/vice-chairman zilla parishad
- Role and responsibilities of elected representatives at district level
- Role and responsibilities of officials at the district level
- Relationship between officials and elected representatives

For president and vice-president panchayat samiti
- Role and responsibilities of elected representatives
- Role and responsibilities of officials
- Relationship between officials and elected representatives
- Working in the community

For sarpanch and panch
- Role and responsibilities of village-level elected representatives
- Role and responsibilities of village-level officials
- Relationship between officials and elected representatives
- Collective leadership and community participation.

Activity orientation (for all three levels)

- Agriculture including agriculture extension/Land improvement, land reforms, soil conservation
- Minor irrigation, watershed development
- Animal husbandry, dairy and poultry
- Fisheries
- Social and farm forestry/Minor forest produce
- Small-scale industries including food processing/*Khadi,* village and cottage industries
- Rural housing

- Drinking water
- Fuel and fodder
- Roads, culverts, bridges, ferries and waterways/Rural electrification
- Non-conventional energy
- Poverty alleviation programmes
- Education, including primary and secondary schools/Technical training/vocational education
- Adult/non-formal education/Libraries
- Cultural activities
- Markets and fairs
- Health and sanitation/Family welfare
- Women and child development
- Social welfare, including welfare of people with disabilities
- Welfare of weaker sections and in particular of Scheduled Castes/Scheduled Tribes
- Public distribution system
- Maintenance of community assets

Management orientation

For chairman/vice-chairman ZP
- Administration coordination with different *Panchayat Samities*
- *ZP* role in planning and development/role of district level officials
- Decentralized planning – preparation of plan/identification of resources
- Database
- Implementation of special programmes
- *ZP* budget/powers/functions/resource mobilization
- Conduct of business – *ZP* meeting/agenda/no-confidence vote/quorum
- Training of officials/non-officials/personnel administration
- Maintenance of properties of district p*anchayats*
- Management of primary schools

For president vice-president of panchayat samiti
- Team work
- Administration coordination with *ZP* and different *panchayats*
- Role of p*anchayat samiti* in planning and development
- Role of block-level officials
- Maintenance of records
- Preparation of block-level plans/coordination of village-level plans
- Implementation of special rural development programmes
- *Panchayat samiti* budget/audit and accounts/resource mobilization
- Conduct of business – ZP, p*anchayat samiti* meeting/quorum/agenda/no-confidence vote/disqualification of members/minutes
- Coordinate with state government agencies operating at state/district/block level
- Coordinate with agencies within district – banks/cooperatives/NGOs
- Management of common property resources/environment
- Management of public utility services

For sarpanch and panch
- Administrative management of p*anchayat samiti* programmes
- Emerging role of *panchayats* in planning and development

- Maintenance of records
- Preparation of village plans/resource mobilization
- Implementation of special programmes
- *Panchayat* fund and budget/maintenance of accounts/audit and accounts
- Conduct of business – meetings of *Gram Sabha/panchayats/*quorum/agenda/no-confidence vote/disqualification/minutes
- Coordination with state government agencies at state/district/block level
- Coordinate with agencies within district – banks/cooperatives/NGOs
- Management of community lands
- Management of primary schools

Field observation

Organize visits to successful institutions/demonstration farms, etc. to educate trainees. This may include successful *panchayats* and knowledgeable individuals.

Illustrative list of institutions/organizations

Institutions/programmes
- A successful p*anchayat*
- A successful cooperative society
- A farmers' m*andal, mahila mandal*
- A cooperative bank
- Agriculture research/dairy/cattle farm
- Afforestation programme
- Cottage/village industry centres.

Projects
- An irrigation or hydel project
- A key industry
- A model housing colony

Individuals
- A successful farmer
- A successful cattle breeder and poultry breeder

Annex III

Training module on enhancing women's participation

Selected target groups for training

Government officials (Village level)	*Government officials (Middle level)*	*Government officials (District level)*
Panchayat Secretary	Block/*Mandal* Officer	Project Officer, DRDA
Anganwadi worker*	Extension Officers	CEO
Health worker*	Education Officers	District Project Officer (ICDS)
Village Administrative Officer	Agriculture Co-operative Bank	District Education Officer
Fair price shop dealer	Primary health centre doctor	District Revenue Officer
OHT operator	Health supervisor (female)	District Agricultural Officer
Hand pump operator	PWD - engineer	District Fisheries Officer
Multi-purpose worker	Taluk Revenue Officer	District Forest Officer
Bank officials	Integrated child development services (ICDS) - supervisor	
Agricultural marketing employee	Fisheries Supervisor/Forest Range Officer	
Co-operative society employee		

Format for assessing bio-data of elected women representatives

Name: ---------

Age: ---------

Caste: ---------

Educational qualification: ---------

Position in the panchayat: Member/vice-chairperson/chairperson

Panchayat level: Village level/middle level/District level

Experience with local government institutions: First time/second time

Have you undergone any training: Yes / No

If yes, where: (Mention the place)

What type of training: (Mention title)

SWOT analysis

• To identify the extent to which the current strategy of development of women is relevant and capable of dealing with the changes taking place in the functioning of Panchayati Raj institutions.

• The trainees can be tested through a question and answer session either at the time of registration or at the time of counseling.

Test for women trainees	Yes	No	NR*

1. Gram Sabha (GS) shall meet at least four times in a year
2. All adults are Gram Sabha members
3. There is reservation for women as chairpersons
4. Gram Panchayat (GP) has to prepare agenda for GS
5. Quorum is required for passing resolution
6. Village development is the major focus of the GP
7. Social justice committee has to include:
   Scheduled Caste and Scheduled Tribe women
8. Panchayat assistant/secretary/clerk has to assist Sarpanch/President/Pradhan
9. There are different types of GP meetings
10. GP should meet once in a year
11. GP is under the control of the BDO (block development officer)

(*NR: No response)

SWOT analysis

Strength	Weakness	Opportunities	Threats
Possess inherent knowledge and skill	Illiterate	Efficient leaders	Male domination suppressing
Familiar with local community	Less competent	Best resource persons	More counseling and mentoring
Easy accessibility to local culture and tradition	Male-dominated social values	Transfer knowledge and skills	Opportunity denied to other women
Moderately mobilize women participants	Gender bias	First lady of the village	Marginalized benefit

Content, resources and methods for training of women council members

Content

Rules, powers, responsibilities and functions of local self-government

• Rules, Government Orders, Executive Instructions, Guidelines and PRI procedures;
• PRI powers, functions and responsibilities

Leadership, communication and social mobilization/management skills

- Motivation
- Decision-making
- Conflict/crisis management
- Public speaking, rapport-building
- Team-building
- Leading meetings
- Roles of PRI functionaries/conduct of meetings/voting, etc.
- Rights and duties of individual member
- Eligibility/election/etc.
- Disqualification of members
- Social audit
- Access to records and right to information
- Attitude and behavioural change

Integration of gender concerns in local development planning

Enhancing empowerment of women
- Perception of elected representatives, society and officials
- Social evils – Dowry system/bonded/child labour
- Legal Issues affecting women – National Commission for Women/maternity benefit, dowry ban, etc.
- Gender bias & role conflict
- Self-help groups – Problems and prospects of organizing SHGs/activities/ etc.
- Involving NGOs – Areas of cooperation

Preparation of development plan at panchayat level
District Planning Committee
- Composition
- Functions
- Decentralized planning cell at different levels
- Composition
- Functions

Implementation powers
- Salient features of programmes
- Criteria for selecting beneficiaries
- Methodology
- Review authority

Women in village development

Identification of poor, unemployed, under-employed/Agriculture and related/Rural industry/Basic amenities/Education/Primary health care/Women & child development/Revenue/Public distribution system

Resource persons

PRI expert/Planning expert/expert in training methodology/Self-analysis/Behavioural science expert/Rural development expert/experts from various fields/Gender and development expert

Methods

Lecture-cum-discussion/ Demonstration/Role-playing/ Case illustration/ Interactive session/SWOT Analysis/Transect walk/Prepare village map/Case /research studies/Pictorial/Dialogue with successful SHG/Visit to NGO

Charts/Posters/Video/Overhead Projector/Guide with definition/Compilation of Government Orders and Procedures/Findings of study

Post-assessment

Question and answer/Interactive session/thematic presentation followed by quiz/Demonstration

Annex IV

Training module on social audit

Example of training session on social audit

One-day social audit orientation for members of local bodies

Objectives:

1. To develop understanding at *Gram Sabha* level of social audit and its importance.
2. To plan social audit in local bodies and draw lessons from the process.
3. To prepare a social audit plan for respective organizations/groups/departments.

Participants – Thirty; mainly members of elected bodies and some community members/local CBOs (community-based organizations) and a few government officials.

Period – One day.

Venue – Preferably an isolated environment.

Schedule

9.00-9.30	Arrival of participants, informal interaction, tea.
9.30-10.30	Welcome. - Introduction, some ice-breaking exercise. - Purpose of the workshop. - Inaugural remarks by a local eminent person. (Some ideas on 'social audit' will be provided here through 'Purpose' & inaugural remarks)
10.30-11.30	Session I – ' Why, what and how ' of audit - Participants given small cards to write 'why', 'what' and 'how'. - Each 'why', 'what' and 'how' card pasted separately on the wall. - Participants asked to identify common points in each and rearrange the cards. - All participants asked to move around the hall and read the cards.
11.30-11.50	Brief consolidation by the facilitator and discussion, question/answers. (It may happen that each point does not come up clearly or 'how audit' at the local level is not clear) Tea break
11.50-13.15	Session continues (30 minutes). - Lecture on various types of audit, importance of social audit in our context and how social audit is being organized and could be organized (some examples). - Discussion on this continues. Questions, ideas, experiences, doubts, etc raised (participants encouraged to do this) from their experience. - Facilitator also encourages some people to answer the questions, share views, experiences, etc.

13.15-14.00	Working lunch.

14.00- 16:00   Session II – To plan and draw lessons from social audit (10 minutes).
– Brief lecture on what could be done as part of social audit.
– Role-play on how to organize social audit planning.
– Develop roles, briefing each and all group members (For example, participants can be divided into various groups like elected members, government staff, villagers, village elders, youth, women, etc. and briefed on their roles.) There will be some observers among the participants.
– Role-play continues for 20 to 30 minutes depending on whether it is interesting enough to serve the purpose.

Debriefing

– Participants asked to briefly narrate their experiences. Facilitator to write the experiences/views on the flip chart in a framework. Also ask the observers' group for its views.
– Facilitator to ask questions to get them involved in more intensive, internal thinking, analysis and provide comments on that basis.
– Facilitator to explain the meaning of what they have experienced, said, and, if necessary, add some of his/her views as process observer.

16.00 - 16.15   Break

16.15 - 17.30   Session III – To prepare a social audit plan
– Each group to work independently to plan what they will do/they can do, how they will do it with what purpose in mind. Facilitators to provide feedback to the group. – 45 minutes
– Group presentation, salient points. Facilitators to provide some simple ideas about communication, social audit planning process. – 30 minutes.
– Concluding remarks.

Annex V – **Training module on partnership building**

Objective – To develop understanding about the 'what, why and how' of partnership.
Participants: Thirty representatives from local bodies and state government staff at district level.

Day one

Session	Subject	Duration	Method
First	Welcome and purpose of the training/ workshop	15 min.	Large group
	Self-introduction including their role	30 min.	Large group
	Ice-breaking exercise		
	What is partnership		Facilitator questions participants and writes their answers on a flip chart
	Why partnership	30 min.	Form trainees into six small and diverse groups to discuss issue
	Break	20 min.	
Second	Group presentation and clarification	20 min.	Large group
	Consolidation of the group work provide additional points (provide handout)	20 min.	Large group.
	Presentation of various types of partnership – Network, Collaboration etc. and discussion on the same.	50 min.	Lecture, discussion
	Working lunch (ensure participants mix with group other than their own)	45 min	
Third	Experience sharing and partnership Some participants share their experiences (facilitator to draw and note key points – what, why & how part of these experiences)	One hour.	Large group.
	Consolidation and discussion	30 min.	Large group. Facilitation to ask the why, what and how of these experiences. Note answers on flip chart then provide his/her points.
	Break	30 min.	
Fourth	Case study on how to develop partnership (facilitators to provide inputs in the form of clarifying the task, help them to carry forward discussions etc.)	30-45 min.	Small diverse group
	Case study presentation	30 min.	Large group
	Consolidate and discuss presentation and identified issues	30 min.	Large group
	Some good examples of partnerships. What it is, why and how they develop and with what results (provide handouts on these)	30 min	Large group

Objective – To understand the principles of partnership and how to solve conflicts

Day two

	Recapitulation of Day I. Reading/ presentation of a report by one or two participants	20 min.	Large group
Fifth	How to develop and sustain the partnership/what are its values and principles	15min.	Participants asked to think individually and, if necessary, write points in their note book
	Participants to discuss in small group (facilitators to clarify the task, help the group to discuss)	45 min.	Six small groups
	Group report presentation, consolidation and discussion. Facilitator to write key points emerging from the discussion on a chart. (distribute handouts)	45 min.	Presentation on flip chart in large group
	Break	30 min.	
Sixth	Conflicts in partnerships and how to solve these		
	Identify potential conflict areas	15min	Individual exercise
	Participants to highlight the points and discuss the same	30 min.	Facilitator to write on a chart
	Case study on collecting data on sources of conflicts in a partnership		Six small groups of diverse people

Annex VI

Training module on participatory community monitoring and evaluation

Pre-evaluation

This helps in learning about specific needs and preferences of particular client groups. This can be done with simple questionnaires on the expectations from the training, objectives in attending the training, their conception and understanding of their changed roles and functions, and the general context of decentralization. Trainees can also be asked to prepare short notes prior to training and present these at the start of the training session.

This can be used as an ice-breaker to help introduce each trainee to the group and making each individual trainee's perception clear to the others and the facilitator. These presentations can be consolidated by dividing the trainees into groups of three to six, depending on the number of participants, and asking them to prioritize their expectations into four or five major ones.

These group priorities can be listed on a flip chart and consolidated into important priorities for training for the larger group. This exercise not only helps in building familiarity among the participants, but also aims to boost the spirit of participation in them. It gives the facilitator more scope to innovate and experiment while facilitating training sessions. It also provides the necessary baseline for post-evaluation.

Post-evaluation

Post-evaluation of training is to be included as a part of the training schedule. The trainees use self-appraisal to evaluate how many of their training expectations have been met. Individual evaluations can be consolidated into four or five small groups and further built up to form the client groups' evaluation of the training in terms of their expectations.

This has been found to be highly useful as it can be built into subsequent training programmes, making it a continuous process with training and resulting in need-based qualitative training with in-built mechanisms for upgrading.

Training module on evaluation

The organization and its staff members should be trained to:

E - <u>EVALUATE</u> the situation and define the objectives.
P - <u>PLAN</u> to achieve these objectives fully.
D - <u>DO</u> to implement the plans.
C - <u>CHECK</u> if objectives are achieved.
A - <u>AMEND</u> to correct mistakes.

Exercise to develop indicators

Time: Three hours approximately.

Steps
1. A planning meeting of eight to ten people from the group/organization involved in the work.
2. Discuss and decide purpose of work – organizing and follow-up of village assembly.
3. Write the purpose.
4. Based on purpose, write expected output.
5. Discuss and decide activities to be undertaken to reach/achieve expected result.
6. Decide/identify the indicators to evaluate the result.

Planning sheets

Area of work	*Expected measurable Output*	*Activities*	*Measurable indicators*
Organization/follow-up of village assembly meeting	Meeting planned efficiently/held with the participation of all concerned Decisions taken on relevant issues Follow up decisions	Decisions on meeting date/ time/venue Group formed to plan meeting details such as venue/agenda/structure, etc. Prepare/post major decisions in prominent locations	Participation of all concerned Decisions on relevant issues Meeting management Minutes posted Follow-up of decisions

Exercise to measure level of achievement

Time: About three hours

Participants: Eight *to* ten people from the organization involved in the work

Steps:
1. Keep detailed plan in front of the group.
2. Write on paper/board activities undertaken against those planned.
3. Write achieved against expected output.
4. Check with indicators.
5. Participants will have different perceptions/views on level of achievement/ Write these against expected output.
6. Discuss and write what is not achieved and the reason for this. Link this to activities undertaken.
7. Identify gaps and the reasons for these.
8. Fix/revise output, activities, indicators and plan to work on that basis.

Training design on evaluation

Session I
Understanding evaluation - 2 hours.
- Why
- What
- How

(provide notes/write-up on this)

Session II
Exercise to develop indicators - 3 hours.

Session III
How to measure level of achievement - 3 hours.
(Depending on participants - single group, diverse group etc – the intensity of exercise will vary.)

Annex VII

PRA tools

Diagram

A diagram presents information in a readily understood visual form and has a dual use. First, the act of constructing a diagram is in itself an analytical procedure, which enables those preparing it to understand clearly the dynamics they are trying to record. Second, the diagram becomes a tool of communication and discussion among different people.

(i) Map: This is very useful for creating an alternative database for the design of village plans by the local people. People can draw maps of their village and locate the services, facilities and infrastructure according to availability and access to different groups, thus facilitating the identification of needs, problems and solutions. Different village groups can draw different maps to depict their perceptions, problems and needs. A number of maps by all sections of people in a village can help in prioritizing and preparing village plans of action.

People in the village can draw maps on the ground, floor or on paper (these can later be transferred to paper by the facilitator/PRI actor). Social, demographic, health, natural resources or farm maps can be drawn to construct three-dimensional models of their land. Some examples of such maps constructed by villagers are shown as illustrations in this section. The part to be played by the decentralized development actors in this exercise is that of patient listening and motivating people to participate by accepting and respecting their knowledge.

(ii) Transect: Can be used to substantiate and support a map. A transect is a systematic walk with villagers through the village, observing, listening to villagers' descriptions, asking relevant questions, discussing ideas, identifying different zones, local technologies, introduced technologies, seeking problems, solutions and finally, diagramming/mapping the transect walk and its findings. This helps to:

- build rapport with local people;
- substantiate and support the diagrammed facts; and
- identify locations of the problems and opportunities for development.

Seasonal mapping or seasonal calendar

An extended version of the crop calendar representing all the major changes within the rural year, such as rainfall patterns and other major climatic changes, cropping, livestock cycles, labour demand, etc. This helps in identifying lean periods for resources and in timing the supply of farm inputs and alternative employment initiatives. Many participatory approaches have been used in India for this purpose, either the locally known Hindu calendar months or festivals and fairs. People in the Indian countryside are more familiar, comfortable and accurate with these benchmarks than the Western calendar. Seasons and months can be related to festivals that are known and generally celebrated by the large majority of the local population.

Other diagrams dealing with time trends

Long-term changes in rural areas can be represented in diagrams such as historical profiles and graphic time trends. The local people's accounts of the past, of how things close to them have changed – ecological histories, land use and cropping patterns, customs and practices, trends in fuel use, etc. – can be represented with approximate dates before and after well-known events. Although secondary data may be available on these, a local perspective facilitates the design of development initiatives.

Another useful tool is the historical transect. This depicts local knowledge of the state of natural resources over a period of time. This can be initiated for various sectors of the rural economy to produce a series of diagrams reflecting people's perceptions and priorities.
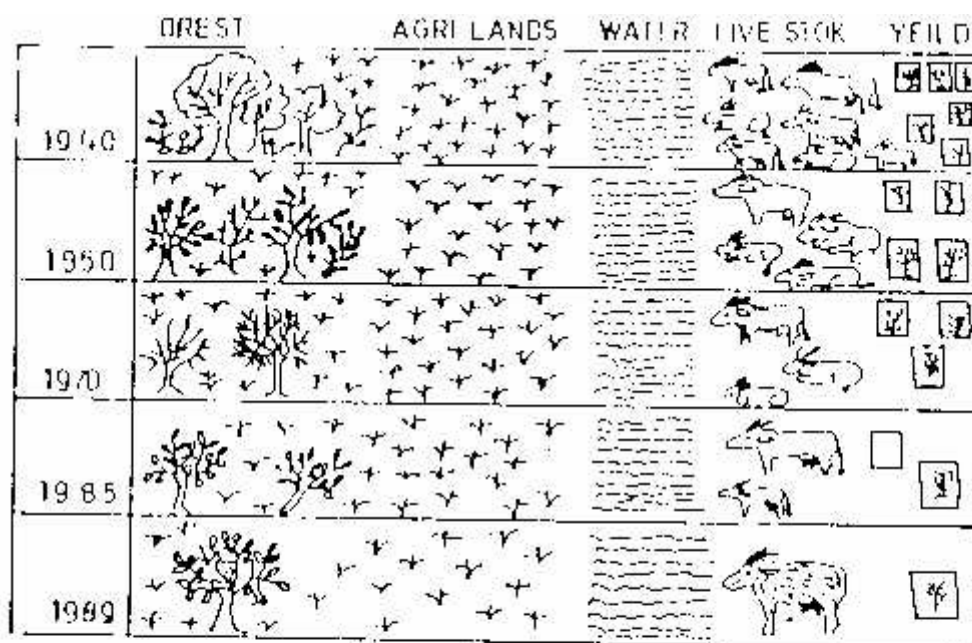
Venn diagram

A Venn diagram shows the relationship between individuals, groups and institutions in a community as perceived by the people. It is made up of touching or overlapping circles of various sizes, with each circle representing an individual or institution. The size of the circle indicates their importance and the overlap indicates the degree of contact or inclusion in decision making. This will help in the formulation and implementation of development initiatives at the local level, as well as in identifying marginalized individuals/groups in the community

Prioritization matrix

This is used to involve people in prioritizing their needs and type of development initiative suited to local needs. Villagers use seeds to give scores to development initiatives, either individually scoring or in small groups and aggregating for the community as a whole. This will facilitate a process of democratic prioritization by the entire community, ensuring people's involvement in their own development. This is a very important tool for micro-planning by the PRIs at village level.

Geographical transect of a village

GEOGRAPHICAL TRANSECTS: This is a transect of a village

FIGURE 1

SOURCE: Forest, Trees & People News Letter no. 15/15

Historical transect of Ardnaryoura village

HISTORICAL TRANSECTS OF ARDANARYPURA VILLAGE.

Venn diagram of water use control in a Sudan village

COMMUNITY

Tanker
Tank
Owner

**Village
Water
Committee**

Mechanic

Clerk

Community
Development
Agency

**NATIONAL
WATER
CORPORATION**
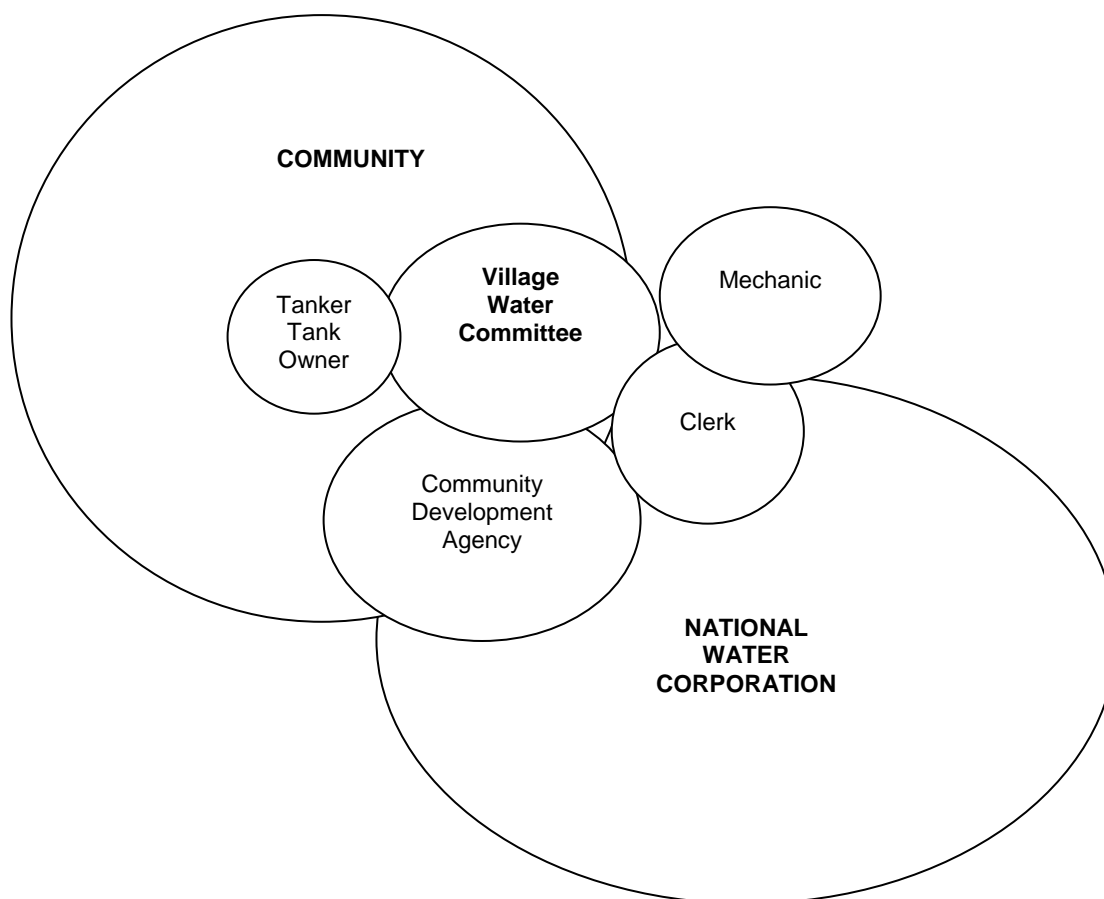
Multiple role-playing

This is an important tool that will help trainees understand situations they will face in their work. It aids understanding of other actors in the working situation, their points of view, their reactions and feelings. It also gives them an opportunity to practise their roles in a 'safe' environment.

Most role-playing uses an improvised script, based on suggestions made by the trainees, either from their experiences or hypothetical situations that may arise in future. Trainees can be divided into two main groups, one enacting the script, the other observing the players/actors. The roles can be reversed after one performance, firstly, within the same group of actors playing different roles, secondly, with the observers acting out the script and the actors taking on the role of observers. The role reversals can be repeated to allow each trainee to play all the roles.

The role-playing can be followed by a group discussion to identify the most appropriate/effective behaviour/attitudes and mistakes to be avoided. This helps trainees learn in a risk-free environment with objective feedback from their peers and the facilitators, which is generally not possible in real life situations.

Role-playing tools can be a mirror for trainees to see themselves as others perceive them, encouraging insights into their own attitude and behaviour and sensitivity to the opinions, attitudes and needs of others. The benefits of change in attitude and behaviour are readily demonstrated, encouraging desired change.

Role-playing is most effective for practising or learning face-to-face communication skills, which will be needed for direct dealing with individuals/people in the decentralized development process.

Role-playing addresses basic aspects of face-to-face communication such as, listening, awareness and recognition of body language and appreciation of other points of view. Although often criticized for lacking realism, as it cannot accurately depict all the complexities of a real work situation, the strength of role-playing lies in the fact that it gives the trainees the confidence to try new approaches and innovate in the field.

An important consideration to be kept in mind is that people feel inhibited in playing roles in front of peer observers and video cameras. This can be overcome by creating an atmosphere of mutual trust/support among the trainees. Role-playing can be introduced towards the middle of the training, giving the group enough time to know one another. The tool's effectiveness depends on the quality of feedback, which must be constructive, enabling a reinforcement of effective behaviour, instilling confidence and highlighting specific areas for improvement in a way that is not critical and readily acceptable.

Example of role-playing

Script for gram sabha role-playing

Agenda

The *gram panchayat* has received funds for the construction of four houses under the *Indira Awas Yojana* (IAY) and two houses under the state innovative project, *Mangal Gram Yojana (MGY).* Houses will be given to people belonging to below poverty line (BPL) families

approved by the *gram sabha.* The project will be implemented by the *gram panchayat* involving the beneficiaries and shall be completed within one year.

For Sarpanch

- You are the *Sarpanch* of the *Gram Panchayat.*
- You have assembled the *Panchayat* Secretary, Extension Officer (*Panchayat*), other members of the *panchayat* and *gram sabha* members.
- *Gram sabha* has about 100 adult men and women of your village and you have called them to a meeting. to decide the beneficiaries for the IAY/MAY schemes.
- The *Gram sbaha* will meet near the *panchayat* office at about 11 a.m. on Sunday.
- You start the meeting with a prayer, greet the gathering and tell them about the meeting's purpose and your expectations.
- Ask the *Panchayat* Secretary to read out the agenda.
- Allow discussion, giving two to three minutes to each person who raises his or her hand.
- If clarification is needed, the help of ward members can be obtained with the chair's permission.
- Take full control over the house and lead the people in a good discussion.
- List the people who deserve houses under IAY/MGY.
- Finalize the list according to the availability of funds.
- Place the list before the meeting and secure approval by obtaining signatures of those present.
- Serve tea/snacks if possible.
- Thank every one for attending the meeting.
- End the programme with the singing of the National Anthem.

For Panchayat Secretary/assistant/clerk

- You are the *Panchayat* Secretary.
- The extension officer (*Panchayat*) has come to attend the meeting.
- The *Sarpanch* and other *panchayat* members, including three women are present.
- You sit on the side, obey the *sarpanch*, read out the agenda when asked and carefully record the minutes of the meeting.
- You talk less and only when asked by the *Sarpanch.*.
- Come prepared for the meeting with the socio-economic details of the village.

For Panchayat members

- You are ward members elected from reserved constituencies 1/2/3/4/5/6/7/8/9.
- You try to recommend one person in your ward for getting an IAY house.
- Speak with the permission of the chair.
- Put forth your case precisely and clearly.
- Ensure that the member recommended by you is present.

Note: Ward member 1,2, & 6 – BC; Ward member 3 & 9 – women (General)
      Ward member 4 &5 – SC;   Ward member 7 – woman (SC)
      Ward member 8 – ST *Sarpanch* directly elected – BC Women

BC – backward caste; SC – scheduled caste; ST –scheduled tribe.

For Gram Sabha members

- You are the resident of the village.
- You come in the BPL category.
- Take active part in the meeting.
- Present your ideas/opinions clearly.
- Try to get yourself included in the beneficiary list.
- Obey the chairperson.
- Speak when given the chance.

Case study

By providing the opportunity for a focused, in-depth discussion of particular situations/events, a case study helps in the understanding of problems and events leading to more acceptable solutions and in relating field experience to training, making it more relevant. It gives insights into a) results of action/inaction in terms of policy/programme/project implementation/non-- implementation; b) reactions, emotions and problems of people by following events over time and identifying key characteristics.

A case study can be based on appropriate real life/hypothetical situations. Or, it can be prepared as an exercise by the trainees before the start of the training. Trainees can also construct case studies during field visits planned as part of the training programme. A case study is especially useful for development functionaries as the problems are given a human face and can be dealt with more empathy, ensuring better acceptance and success.

Field visit

This is a very important tool for development functionaries and government officials who have to interact directly with the community. For e.g. the *Janmabhoomi* programme in Andhra Pradesh (see Part I) requires officials and functionaries to meet people in their own habitat as against the earlier practice of people visiting officials at their work place. This also facilitates the use of participatory tools learnt in earlier training sessions and can be used by the trainees to build up case studies of real life situations for discussion in later sessions.

Depending on the objectives, field visits can be of different duration and form the penultimate session of the training. This may also be used as a part of the evaluation, with trainees applying newly learnt participatory skills in real life situations. The evaluation should include a self-appraisal based upon observations by the facilitator, with the trainees discussing the problems and solutions in practising participatory tools in real situations.

Participatory methods

Traditional practices and beliefs

Objective

To encourage field staff to consider and acknowledge the validity and relevance of local knowledge, practices and beliefs.

Material: None

Time: 30 minutes

Procedure

Early in the workshop, ask participants to think about intriguing traditional practices, beliefs and myths that they have come across. These will be the ones they may not be able to explain scientifically, but appear to have their own internal logic.

Ask participants to list some intriguing practices and beliefs from their own respective cultures. You should contribute a number of examples of your own.

Fruit salad

Objectives

- To make the group active, especially good after lunch or a long passive session.
- To form sub-groups, each with an easily remembered name, for further group work.

Material: Chairs arranged in a circle, one less than the number of participants and trainers. If there are enough chairs, these can be set up ahead of time in another area, such as in an adjoining room. The participants are asked to bring their chairs with them.

Time: 10 minutes

Procedure

1. Decide on the number of groups, as this will determine the number of fruits selected. Set up a closed circle of chairs, one less than the number of people who will join the exercise.

2. Ask participants to sit on the chairs. The trainer begins the game by standing in the middle. Explain that this is an energizing exercise, which will require their (very!) active participation.

3. Let the participants name as many fruits as you need sub-groups, for example, four fruits if you need four sub-groups. Ask one person to choose a fruit, his or her neighbour another fruit, the next neighbour another, and so on until the desired number of sub-groups is formed. The next person in the circle takes the first fruit, the next the second, and so on until everyone, including the trainer, has a fruit name (such as apple, melon, orange, etc.).

Sequence analysis

Objective: To encourage use of participatory methods in sequence to address particular issues, topics or questions.

Material: Pen and paper

Time: 30 minutes

Procedure

1. Develop a flow diagram of a potential sequence of methods for investigating a particular issue/issues.
2. Explore linkages between methods.
3. Discuss type of information to be learnt from each exercise.
4. Discuss how the group can facilitate fieldwork in terms of division of roles, revising interview guides, etc.

Comment: Following the development of the checklist, it may be useful to have the group reflect on the use of sequences of participatory methods. This emphasises the flexibility and interaction of different participatory methods in a field setting. These should not be seen as isolated methods, but as the means to encourage learning. Method sequencing thus enhances learning.

Brainstorming for interview guide and checklist preparation

Objectives

*   To quickly develop an unconstrained, non-evaluated list of issues, topics and questions, using the group's collective insights, for later discussion, grouping and sorting.
*   Team building.

Material: Flip charts, small sheets of paper, cards

Time: 5 to 10 minutes

Procedure

1. Ask the group to appoint a recorder who will not participate and only record ideas.

2. Ask the group to think of issues, topics and questions they want to tackle in the field or in relation to any particular issue.

3. Encourage them to think of everything that can be included, even the most outlandish idea.

4. Encourage quantity rather than quality, the more ideas the better.

5. There are two options for brainstorming.

    *   People state their ideas and the facilitator notes each on a flip chart. No comments and evaluation can be made; it must remain a free flow of ideas.

- Each group member notes issues, topics or questions on small pieces of paper or cards, which are then stuck up on the wall (see Delphi Technique, page 123)

6.   Evaluate the ideas after the brainstorming session and agree on a final list of issues by using another method (for example Delphi Technique).

People find it very difficult not to comment on or evaluate ideas during a brainstorming session. Emphasize that all judgements must be ruled out until after all ideas have been generated. However, it is very important that the 'rules' of brainstorming are clear before you start.

Role-playing of good and bad interviews

Objectives

- To generate discussion on the merits of adopting good interviewing technique.
- To summarize the main good and bad elements of semi-structured interviewing.
- To energize the group.

Material: None, although groups can find props around the training area

Time: 30 – 40 minutes

Procedure

1.   Divide the participants into groups of four or five people

2.   Ask half of the sub-groups to develop a 'bad' interview sketch and the others to develop a 'good' interview sketch. Suggest that they reflect on all the do's and don'ts developed in earlier exercises as guidelines, and on the type of questions they can ask.
3.   After 15 minutes, ask the 'bad' interview role-players to present their sketch first. These are much easier to do and result in much amusement.

4.   After the 'bad' interview, ask the audience if there were still any good points. After the 'good' interview ask if there were any bad points.

Comment: The role-player groups can concentrate on different types of interviews. For instance, one group can do an individual interview, another a group interview, etc. In the subsequent discussion, highlight key points raised by the role-players and get participants to discuss their own experiences. You might need to tone down criticism of the attempted 'good' interviews by stressing how difficult it is to do a good interview. These should become reference points for the groups as the training progresses.

Delphi Technique

Objectives

- To generate ideas, issues, questions
- To group, sort, rank, set priorities

*Material: S*mall coloured paper/cards, masking tape, pin gum, etc.

Time: 30 minutes or more

Procedure

1. Use the Brainstorming procedure to generate issues, topics, questions from individuals or small groups. Each idea is noted on a card/paper (only one per card/paper).

2. The cards/papers are placed on the wall and grouped, either by one or a number of volunteers, or by all of the participants. Cards with exactly the same idea are removed, but all others must remain.

3. The group must agree on how the cards are to be clustered, as this will form the basis for the sub-division of a checklist into theme areas.

Comment: This method is quite flexible and can be used for a variety of purposes, including developing and revising an interview checklist, comparing strengths and weaknesses of various methods and preparing a team contract. Use your imagination and you will find it a good way to involve all trainees in almost any discussion. By asking one or two trainees to do the sorting and clustering of cards, you can encourage them to take responsibility for their own learning.

Transect walks

Objective: To demonstrate the importance of gathering and analysing local information.

Material: A table for a group of five people and five envelopes containing paper/small cards.

Time: About 1 hour (5 minutes for introduction, 20 minutes for task, 20-30 minutes for evaluation)

Procedure

1. Identify the route for transect walks by several teams. This may be close to the workshop location (research station, neighborhood of the hotel); further away (a nearby village or community); or inside a large office building.

2. Provide for local key informants to accompany the teams.

3. Divide participants into small teams (using an energizing group-forming exercise).

4. Give the groups time to plan their transect walks. Use the group problem-solving exercise if you have time. Ensure that the groups focus on what they expect to find and the methods they will use. It is better if the subject of the inquiry is precisely defined, as groups will be able to compare findings on their return.

5. The groups return by an agreed time to prepare a diagram and present their findings.

Comment: During the debriefing, focus discussion on both methodological issues and findings.

*   "What did you discover that was new?"
*   "How did you feel talking to informants on their own territory?"
*   "What methods did you use during the transect walk?"

Mapping your own town or city

Objectives

- To demonstrate that everyone has different mental maps of where they live or work, depending greatly on who we are and what information we have.
- To practice mapping and modeling first hand.

Material: Pens and large sheets of paper, any other available material

Time: 45-75 minutes

Procedure

Divide participants into groups to produce map-models of the village, town or city where the training is being conducted. The exact mix of groups and nature of the task will depend on the participants' knowledge about the locality.

Seasonal calendars

Objective: To demonstrate ways to explore changes during the year.

Material: Stones, sticks, seeds, beans, pens, etc.

Time: 20 minutes to one hour

Procedure

1. Divide participants into small groups of between three and five people, using a group-forming exercise.

2. Either you or the participants select one or two 'key informants' from each group. Although not essential, these informants may be interviewed about some specialized knowledge they have of the local area or a particular subject. An agronomist may be asked to make calendars of cropping patterns of major crop pests and diseases; a public health officer may be requested to prepare calendars of major diseases.

3. The remaining members of each group are then asked to interview their key informant(s) about a theme assigned by you or selected by them. The informants are then asked to make a diagram or set of diagrams to illustrate trends and changes in those activities and/or events over the course of a single day, week, or year.

4. For example, if you have five working groups, each with their own key informant, they may be asked to create. (a) rainfall calendars – days of rain/month, relative amount of rain over a year, inches of soil moisture/month, etc – for a particular area, comparing these with the situation 20 years ago; (b) major crop production and price calendars – average – of area; (c) agricultural labour, income and expenditure calendars for men and women in an area; (d) daily activity diagrams for particular groups – young men, young women, older men, older women; and (e) daily activity calendars – before and after some intervention or introduction of a new technology.

5. After the diagrams have been completed (usually 20-30 minutes), ask each group to present its 'findings' to the others. Encourage the groups to focus their presentations on the process they went through (how they interviewed their key informants, the way the diagram developed, and so on), not just the final product. The important point to highlight in these presentations is the possible applications and limitations of these methods in real world situations.

6. After the group presentations, ask the participants to reflect on the advantages, disadvantages and the analytical potential of seasonal calendars. Issues to be raised include:

   • use of intra and inter-household differences in daily activities (which can lead to the identification of constraints and appropriate times of day to schedule meetings with various groups);

   • value in identifying trends and changes over time;

   • utility in discovering correlation and connections between different seasonal patterns (such as precipitation and income and expenditure) which might help to understand causes and effects;

   • power in conveying useful information that everyone - literate and non-literate - can understand and assess; and

   • value in monitoring the impact of project interventions.

A quick variation, which can also be used as an introduction, is to show the group how to establish quantitative information by conducting an analysis of the periodicity of human conception. Make a circle with 12 large cards with the months of the year written on these. Ask participants to line up behind the month of their birth. See if there is a pattern to the month of conception.

Venn diagram

Objectives

• To teach the value of visuals in understanding institutional linkages and relationships.
• To reveal important linkages and constraints in the participants' own organization according to the perceptions of different participant groups (senior management, junior management, department heads, field staff. etc.).

Material: Pens, paper, scissors, tape or glue

Time: 45 minutes to one hour

Procedure

1. Divide participants into groups to produce Venn diagrams of a known institution, usually the one they belong to. Form groups, either according to what they know about the institution or according to hierarchy or department.

2. Describe the process of making a Venn diagram (you can use the examples below). Circles of different sizes are allocated to different institutions, groups, departments or

programmes. These overlap, depending on the degree of contact in the real world. They are contained within a circle if they are part of that circle's institution. A large circle means an important institution.

3. Explain that there are two processes: cutting circles out of paper sheets and laying these on or against each other, or drawing on paper or on the ground. The former takes longer, but is better as changes can be made. The latter is quicker, but changes can be messy.

4. Ask the groups to exhibit their Venn diagrams. Analyse key differences between groups and the underlying causes for this.

Comment: This can be an extremely illuminating exercise for the participants as certain aspects of their own institution and work may be revealed for the first time. It will also show the different perceptions of different groups. It may help to highlight contrasting perceptions of different roles, responsibilities and linkages, pointing to areas of conflict and dispute as well as ways to resolve these.

Following the construction of a series of diagrams of the existing situation as seen by different actors, participants can discuss ways of resolving conflicts, filling institutional gaps, or encouraging linkages.

A shorter variation is to give each participant a copy of the Venn diagrams below and ask them to identify key differences. These examples are quite striking but also very complex. If participants feel frustrated about not understanding the context, stop and summarize the main points. Different people will have a different understanding of the same organization depending on their role in the institution, and this might cause difficulties in communication.

Example for Venn diagram*: **Research project in Pakistan***

In the example of a potato project in Pakistan, participants from headquarters (national and expatriate) and from the regions produced very different pictures of their project and its linkages with other institutions. Headquarters staff in Islamabad mapped a wide range of institutions with which they had regular contact. These included those at the international level. The provincial staff closest to the 'centre' knew of more linkages than those from other provinces, but did not show international links. The most remote staff indicated a very simple picture of institutional relationships, clearly illustrating that they are marginalized within the project.

Flow diagrams for systems and impact analysis

Objectives

-   To teach how to depict farm and livelihood systems in a diagram, leading to better understanding of the complexities of linkages and relationships at the local level.

-   To teach how to depict the impact of an intervention or process, leading to better understanding of the anticipated and unexpected effects from the local people's perspective.

-   To describe the basic principles and procedures of flow diagrams.

Material: Large sheets of paper, pens

Time: One to two hours

Procedure

Divide participants into groups (using a group-forming exercise)

<u>*For system diagram*</u>

1. Ask participants to consider a typical farming system in an area they know well. The first step is for them to identify and represent the components of the farming system.

2. Then ask them to show the linkages and flows between different components (such as manure from livestock to field, fuelwood from trees to homestead).

3. Next, they should show the farm's links with markets, seed stores, towns, etc.

4. Discuss with the groups whether the system they have depicted has changed over time. What happens if certain linkages break down?

<u>*For impact diagram*</u>

Ask the teams to select an activity or event, the impact of which they wish to explore. This may be a programme or policy change (such as a structural adjustment programme) or a household change (such as a disabling illness in a family). They could also consider the impact of training on their lives or work.

1. Ask them to represent the impact on paper, and identify the consequences of the activity or event. This could be both positive and negative. Ask them to link the consequences, using arrows to indicate the direction of flow.

2. Encourage them to think of primary, secondary and tertiary effects, grouping these into different sub-systems.

3. Ask them to exhibit their flow diagrams and organize a debriefing session.

Exhibit the results of the group work, with all participants visiting each group in turn. Use the presentation to allow participants to reflect on the actual findings and on the methodology:

- How will the process differ in the field?
- What have you learned as a group from this exercise?
- What problems do you anticipate?
- What possible applications can you think of for your work?

Flip charts

- Useful for comprehending organizational patterns of different networks/systems.

- Have the advantage of providing a condensed and holistic outlook, which does not require much explanation and highlights key issues.

- Facilitates discussion on all aspects of the topics represented.

Audio-visual

These are very important and can be used in a number of ways.

- During general training or role-playing, to provide feedback by playing video recordings in subsequent sessions. This will facilitate identification of dominant/subservient attitude/behaviour from body language, voiced opinions, voice modulations, etc.

- During review of the training for evaluation at a later stage.

- Some aspects/situations are better shown/understood through audio visual aids than by discussion or lecturing.

Audio-visual aids have the advantage of being understood even by illiterate people. Learning to use these is essential for resource persons/master trainers who have to train lower level functionaries and interact directly with communities.

Flannel boards and diagrams

- Important for facilitating participation in all issues discussed during training sessions.

- Useful with training tools like matrix ranking/scoring in training sessions. Diagrams like graphs, maps and other models are basically supportive aids for better comprehension of issues/problems discussed in training sessions.

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Abbreviations

CBO	Community-based Organization
CDP	Community Development Programme
DPC	District Planning Committee
DWCRA	Development of Women and Children in Rural Areas
GP	*Gram Panchayat*
JRY	*Jawahar Rozgar Yojana*
MPTC	*Mandal Parishad* Territorial Constituency
NGO	Non-Governmental Organization
NIRD	National Institute of Rural Development
PR	*Panchayati Raj*
PRI	*Panchayati Raj* Institution
SC	Scheduled Caste
SHG	Self-Help Group
SFC	State Finance Commission
ST	Scheduled Tribe
TNA	Training Needs Assessment
TP	*Taluk Panchayat*
UP	*Uttar Parishad*
ZP	*Zilla Parishad*
ZPTC	*Zilla Parishad* Territorial Constituency
VEC	Village Education Committee
WUA	Water Users' Association
VP	Village *Panchayat*