



## **METHODOLOGICAL GUIDE**

**Participatory Appraisal of Nutrition and Household Food Security Situations  
and Planning of Interventions from a Livelihoods Perspective**

**Text by**

**Karel Callens (ESNP) and Bernd Seiffert (SDAR)**

**FAO 2003**

The authors would appreciate to receive feedback and comments regarding this document.

## **TABLE OF CONTENTS**

1. Background and Introduction
2. Key Concepts and Principles
3. Uses of the Guide
4. Methodological Steps

- Step 1 – Orientation, training and planning
- Step 2 – Participatory appraisal
- Step 3 – Causal analysis of nutritional vulnerability
- Step 4 – Objective Oriented Planning

### Annexes

1. Secondary data analysis
2. Focus group discussions on 4 thematic areas
3. Problem tree analysis
4. Documentation matrix
5. Example of a framework and agenda for the appraisal
6. Objective tree analysis
7. Daily evaluation matrix
8. Field methods – tool box
9. Sample selection
10. Village profile
11. Regional profile and SWOT
12. Strategy analysis

## **1. Background and introduction**

### **Background**

The present guide is based on the experiences gained from FAO executed projects in Ethiopia, Mozambique and Zambia. The projects were community-based and aimed at improving nutrition, household food security and poverty alleviation. The projects were designed through a preparatory phase or pre-project, whereby extensive use was made of methods and tools for participatory appraisal, analysis and planning. The preparatory phase was not a one-off exercise. It also served as a starting point for an iterative process of participatory appraisal, planning, implementation, monitoring and evaluation, although the steps beyond project design are not subjects of this guide.

Many different stakeholders representing interested parties and institutions at various levels participated in the pre-projects. They came from the community level, sub-district, district, provincial or regional and the national levels. International stakeholders in the form donor agency representatives, specialised technical agencies and non-governmental organisations were also involved at specific points during the process.

The process that was followed in both cases can be split into four broad steps. These included:

- (1) A district-based orientation and training exercise.
- (2) A participatory appraisal at community level.
- (3) Based on the results of step (1) and (2), a holistic situation analysis.
- (4) Followed by an integrated and objective-oriented planning process at district, regional and national level.

### **Aim**

The aim of this guide is to provide a methodology for persons tasked with the responsibility of appraising and analysing nutrition and household food security situations with a view to use this information for project design, planning and evaluation. The users may be external consultants or resource persons, as well as field staff involved in projects or programs.

### **Purpose**

The purpose of guide is to appraise and analyse food security and nutrition situations from the perspective of people's livelihoods. This may be done with a view to use the resulting analysis for the design of free-standing nutrition and household food security projects, as was the case in the above mentioned projects. The guide also provides suggestions on how to adapt the process so that it may be used for the integration of nutrition and household food security considerations and objectives into sector-specific or poverty alleviation projects or for participatory monitoring and evaluation.

### **Stakeholders**

Multiple stakeholders are involved in the process. External consultants and resource persons are only involved as facilitators and are as such not stakeholders per se. Although they may have been recruited by a stakeholder like the national

government or a development agency. They use their expertise to train, help design and carry out the appraisal, interpret and analyse the results and develop intervention strategies.

The real stakeholders are the local people and those with direct or indirect links to them. They include first and foremost the individuals, households, communities and community groups whose livelihoods are being investigated. A second stakeholder category is civil society, which in the broadest sense comprises all those organisations that form a link between the local people and the public/private sector institutions. The third category comprises the public sector including government institutions from local, district, regional or provincial, national and international level. The last and often forgotten category is the private sector.

### **Contents**

To guide the user, the guide is divided in four parts. Part 1 provides useful background and information on how this guide was developed. Part 2 looks into concepts, approaches and terminology that are used in this manual. Part 3 explains the different uses of the methodology provided and shows how to use the manual depending on the purpose. Part 4 constitutes the main methodological guide and deals with the four major steps of preparing for and carrying out appraisal, analysis of the findings and planning of interventions. Part 5 provides a series of guidance sheets to facilitate the different events and exercises, from stakeholder workshops, over participatory appraisal tools, to analysis and planning methods.

## **2. Key Concepts and Terminology**

### **2.1 Thematic Focus: Nutrition and Household Food Security from a Livelihood's Perspective**

#### **Nutrition**

Nutrition, as all other concepts that are being used in this guide, needs to be defined from both a local and an outsider perspective. This is important given that local people may have their own way of naming or describing specific nutrition problems and have their own understanding of the reasons for these problems. Reaching a good understanding of local perspectives is crucial to understanding how people address their problems.

From a scientific perspective, nutrition is an area of knowledge that is concerned with the provision of food and its utilisation in the body. The body needs nutrients for growth, development, health and general wellbeing. Often, people's understanding of what nutrition is concerned with is limited to the visible effects of under- or over-nourishment on bodyweight and health. The relationship between nutrient intake and health status is clearly important. In the case of protein-energy malnutrition, this relationship is quite straightforward, even to the layman. The effects of specific nutrient deficiencies may be more insidious and remain hidden to the non-nutritionist as in the case of most micronutrient deficiencies.

Apart from the health-nutrition relationship, there are many other, but not necessarily less important, aspects to nutrition. These include the relationships between nutrition and: (1) physical activity, development and work capacity; (2) mental activity, development and educational performance; (3) social behaviour and cultural practices, etc.

#### **Household food security**

Household food security refers to the ability of a household to have year round access to an adequate supply of nutritious and safe food to meet the nutritional needs of all family members. Hence, household food security is a key determinant for the nutritional status of the individual household members.

Often, the term 'household food security' and 'food security' are intermingled. Food security is defined in its most basic form as access by all people at all times to the food needed for a healthy life. The focus in 'household' food security is on the household as the most basic social unit in a society. This distinction is important because activities directed towards improving household food security may be quite different from those aimed at improving national level food security. The latter often being more related to macro-level production, marketing, distribution and acquisition of food by the population as a whole.

The focus in household food security is on how members of a household produce or acquire food throughout the year, how they store, process and preserve their food to overcome seasonal shortages or improve the quality and safety of their food supply. Household food security is also concerned with food distribution within the household and priorities related to food production, acquisition, utilisation and consumption. It is clear that the focus is not just on food but also on people and households and how

they give shape to the food chain. Household food security introduces the livelihood's perspective and looks at vulnerability factors within the household as well as external sources of vulnerability including national policies, environmental conditions, access to infrastructure and facilities, etc.

### **Sustainable Livelihoods**

A livelihood refers to the means a person has access to for securing the necessities of life, including one's abilities, the resources at his disposal and the activities through which he makes a living. A person's livelihood is sustainable when one is able to cope with and recover from stress and shocks, maintain or improve one's capabilities and assets, and ensure that the next generation will equally have access to sustainable means of living.

There is also a collective aspect to sustainable livelihoods. Abilities and assets are developed over time and carried over from one generation to another. They are continuously exchanged and transformed within and among households, communities, nations and globally. There is also a continuous drive to adapt and change to new conditions. These may be caused by developments, stresses and shocks beyond one's direct control as well as by changes that are taking place within one's own household, community or society. People's livelihoods are therefore inter-dependent across time, location, socio-economic class, ethnic or religious group, nation, etc. At a collective level, livelihoods are sustainable when all members in society benefit equitably from their combined and shared abilities, resources and activities.

From a livelihoods' perspective, nutrition and household food security are basic livelihood outcomes that provide objectively verifiable indicators for the sustainability of people's livelihoods, as well as for the success or failure of development. Through its impact on an individual's health, growth, development and general wellbeing, nutrition is in itself also a key determinant of a person's ability to make optimal use of his abilities, and the resources and opportunities at hand. Given this close relationship, the objective of this guide is to introduce relevant livelihood analysis concepts, approaches and tools in the appraisal and planning process.

## **2.2 The levels of the appraisal and planning process**

The appraisal and planning methodology allow for the specific needs, interests, aspirations and opportunities of different stakeholders to be addressed. It is therefore important to differentiate between these stakeholders on the basis of the type of household they belong to, the form of communal organisation, their socio-economic background, the agro-ecological environment they live in, etc. When this differentiation is made during the appraisal, the planning phase will lead naturally to the development of interventions that are appropriate for these different groups.

### **Household**

A household may be defined as a unit of people living together, headed by a household head. This is often a man or a woman, in case there is no man. Increasingly, grandparents are taking up this role, as well as adolescents, in those households where both parents have deceased. Apart from the head of the

household, there may be a spouse, children and permanent dependants like elderly parents or temporary dependants like a divorced daughter or son.

## **Community**

A community may be defined as a group of people living together in one place and considered as a whole especially in terms of social values and responsibilities. The group may have either an official or a customary form of administration. There are also cases where both forms co-exist. Local terminology may exist to distinguish between the two. There may be a more or less clear agreement and understanding regarding the application of customary versus statutory law and regarding the roles, responsibilities and powers of traditional versus government organisations.

## **Community group**

For the purpose of this manual, a community group can be defined as a group through which community members co-operate. These may be informal groups such as mutual assistance societies or more formal organisations such as co-operative societies. In a self-help group, all members benefit from their combined skills, resources and activities. Common social and economic interests of members may help to keep the group together.

## **Socio-economic group**

A socio-economic group is a group of people who share similar social norms and values and have a comparable economic status.

## **Agro-ecological zone**

An agro-ecological zone can be defined as an area or stretch of land that is particular in terms of what organisms live in it, how they relate to one another and their physical surroundings, and how people make use of these natural resources for agriculture.

## **2.3 A Participatory Approach**

In the context of program and project design, broad stakeholder participation is key to sustainability as it leads to increased local ownership, commitment to achieve objectives, durable social organisation, and empowerment.

### **Participation in development**

How local people understand participation depends on their specific social and cultural background. Reaching a good understanding of local people's perceptions is key to the successful incorporation of objectives and considerations related to people's participation in development policies and programmes.

Participation in development can be defined as a process of equitable and active involvement of all stakeholders in the formulation of development policies, strategies and programs. It implies that people from different socio-economic, cultural, religious, gender, age and other groups take part in an equitable manner in appraisal, analysis, planning, implementation, monitoring and evaluation. For a fair and impartial development process to take place, disadvantaged stakeholders need to be empowered to increase their level of knowledge, influence and control over their own livelihoods, including the development initiatives affecting them.

Participation in development is also seen as an organised effort within institutions and organisations to increase people's access and control over resources and decision making. Participation implies an iterative process involving the continuous re-adjustment of relationships between different stakeholders in a society in order to increase stakeholder control and influence over development initiatives that affect their lives.

There are various levels of participation ranging from providing information and consultation, over joint planning and decision-making, to empowerment and self-management by the stakeholders themselves.

### **Stakeholder participation**

For the purpose of this guide, a stakeholder is defined as an individual, group of individuals or organisation with an interest or concern in development. These comprise in the first place the local people whom are directly affected by development or the lack thereof, including individuals, households, community-based interest groups and their associations, socio-economic groups, local businesses, etc. A second group comprises those agents that work directly with the local people, including local government, government support services, non-governmental and private sector organisations. The third group comprises those who are remote and work with the local people through local intermediaries, like those belonging to the second group of stakeholders. They include policy makers, development agencies and government ministries.

The level of participation of the different groups of stakeholders in the development process depends on their negotiating power. In the absence of effective democratic institutions and processes, the balance may be biased towards those belonging to the second and third group, depending on the institutional arrangements.

### **Indigenous knowledge**

There are many closely related concepts in use - local knowledge, indigenous knowledge, traditional knowledge, etc. - which refer to the knowledge that people in a given place and culture have developed over time, and continue to develop. Local knowledge, or indigenous knowledge, is thus based on experience, often tested over centuries of use, adapted to local culture and environment and dynamic and changing. Local or Indigenous knowledge is often contrasted with "scientific" or "modern" knowledge – the knowledge developed by universities, research institutions and private firms using a formal scientific approach.

In the context of project design, it is important to consider that knowledge of the people inside a typical community may differ from the knowledge of those tasked with appraisal and planning who are often the better-educated, scientifically trained specialists. There may be considerable conflict between these two different sets of knowledge and ways of viewing the world.

It is also important to realise that different people within a community have different knowledge. The type of knowledge people have may be related to gender, age, education, labour division within the family, enterprise or community, occupation, environment, socio-economic status, experience, etc. The type of traditional

knowledge people have translates into different attitudes and practices under specific circumstances, and often affects nutrition and household foods security.

### **Gender**

Gender refers to the state of being male or female with reference to the social and cultural differences between men and women rather than to the biological ones. One of the key concepts used in this manual is people's participation and people centred development. People are not a homogenous group, but include both men and women. Within and among households, communities, socio-economic groups, cultures, agro-ecological zones and geographic areas, the lives of males and females may be organised very differently.

Gender is one of the many important social characteristics, along with ethnicity, religion, age, socio-economic group and other features that need to be considered to better understand people's livelihoods and their ability to achieve good nutrition. Because of gender, men and women have different roles, responsibilities, access to resources and capabilities, constraints and opportunities. It is therefore important when appraising a livelihood situation that all information and findings should be disaggregated by gender – meaning that information should be collected and findings analysed separately for men and women. Also for planning purposes, gender should be considered to make sure that interventions are appropriate and acceptable for and will benefit both women and men.

Even interventions that are technically successful may lead to social changes and trends that are not desired and had not been anticipated. If women are not involved in planning, interventions that aim at increasing food production may be biased towards cash crops under the control of men. Because of social norms, women may have to provide their labour without having access or control over financial benefits. Having less time and resources available for child-care and home gardening, household food security and child nutrition may suffer. It is therefore important to determine who does what, whom has access over assets and who controls the benefits. Apart from including specific gender analysis tools, all appraisal and planning tools should also be designed and applied in such a way as to be gender-sensitive.

### **3. THE USES OF PARTICIPATORY APPRAISAL AND PLANNING**

The various methodological steps presented in this guide may be used to achieve different purposes. The four major ones include:

- (1) The appraisal of a nutrition situation within the broader context of a livelihoods analysis.
- (2) The design of a strategy, a programme or a project with the improvement of nutrition as development objective.
- (3) The integration of nutrition objectives and considerations into sector-specific and poverty-alleviation projects and programmes.
- (4) The development of a baseline for participatory monitoring and evaluation of nutrition and household food security indicators

Depending on one's background and what one wants to achieve, the user of this guide may wish to use part or all of the methodological steps presented in Section 4. If one has already embarked on an inter-sectoral and iterative process of appraisal, analysis and planning, one may wish to adapt the appraisal design and tools to one's own purposes and skip the process steps. In case of time or financial constraints, one may wish to base the analysis solely on secondary information and hence skip step 2.

The first purpose of the appraisal is always to prepare a profile of the nutrition situation of a specific area or population. Local government may use such a profile to sensitise national policy makers and planners and solicit their support. A district or area profile may also provide useful information to organisations interested in supporting specific programmes in the area. In this case, the appraisal may be a one-off exercise and the information may be updated from time to time. In any of those cases, those tasked with the appraisal may break off the exercise after Step 3, once the findings have been analysed. The appraisal team should avoid creating false expectations and inform local stakeholders that no immediate action will follow from the appraisal.

Without having the resources available to support action, one may decide to go one step further and move into the identification of objectives and potential strategies. This would be the case where for example a district based development committee would wish to seek funding from central government or donor agencies. In several countries, district development committees have designed their own district development plans, incorporating nutrition objectives and considerations. These are financed through decentralised rural development and sector investment programmes. In this case, the appraisal team should implement all four steps so as to be able to present a basket of strategic interventions. While the objective of the exercise may be poverty alleviation, the methodology allows for a focus on nutrition as a basic livelihood outcome and determinant. To capture other livelihood outcomes, one may wish to adapt or use alternative tools.

The prioritisation of these interventions will assist donors and central government together with local stakeholders to make decisions on what programmes to implement first. Such a situation would also require that the district-based consultation process started off in Step 1 is already or will be institutionalised.

Institutionalisation requires the establishment of an iterative process of appraisal, analysis and planning and the involvement of grass roots stakeholders.

Often, the establishment of such a process is not immediately applicable. The institutional framework may not be adapted to decentralised and participatory decision making and existing funding mechanisms may not allow for the devolution of budgetary and financial authority to the lower levels of the administration. In such cases, one may wish to demonstrate how such a system could work and lead to greater impact and sustainability. This can be done through projects and programmes, whose experiences may later on be up-scaled or replicated and institutionalised. In this case, the team tasked with project design may wish to run through all four steps and establish a process through which stakeholders from the various levels can participate in the different stages of the project cycle.

The appraisal may also be used as a baseline against which to measure change over time. Monitoring may be done through a regular measurement of those indicators that were found to be sensitive to capture nutritional vulnerability in specific groups. Beneficiary assessment building on the results of previous appraisals may be used to measure project or programme impact during as well as following implementation. For the purpose of a beneficiary assessment, one may use Steps 1 to 3 and if one wishes to use this information for a mid-term adjustment in project design Step 4 provides, with some adjustments, an appropriate planning methodology.

## **4. METHODOLOGICAL GUIDE – BASIC STEPS**

### **STEP 1: ORIENTATION, TRAINING AND PLANNING**

#### **Objectives:**

- Based on already available information from secondary sources and local resource persons, carry out a preliminary objective oriented analysis of the nutrition situation.
- Provide the resource persons to be involved in the field appraisal and analysis with guidance on the underlying key concepts, approaches, methods and tools to be applied.
- Based on the key issues that emerge from the preliminary analysis, design a thematic participatory appraisal focused on opportunities and constraints for improving nutrition within the broader context of people's livelihoods.

#### **Participants:**

Step 1 makes use of key resource persons and stakeholders from various sectors that work directly or indirectly with the local people, as described under Section 2 – Stakeholders. They are expected to participate in training the field appraisal teams, in the analysis of the appraisal findings and in the local level strategy identification and planning.

#### **Description:**

##### **Secondary data review**

Prior to the appraisal, a review of secondary data should be carried out in order to focus the exercise on critical information gaps. To gather secondary information, one may, if time and resources are not limited, commission sector or thematic reviews from national consultants to gather and analyse secondary information. Sector reviews could be organised in such a way as to review the sector's performance and its impact on nutrition and household food security. Although, the latter may become very difficult when appropriate data are missing. A guidance sheet on how to proceed with secondary data analysis has been attached in annex 1.

##### **District training cum planning workshop**

The quickest and most cost-effective method to proceed with the preparation of the appraisal is to organise a 'training cum planning' workshop involving stakeholders that work directly or indirectly with the local communities. At such a workshop, sector representatives can be invited so as to provide the necessary specialist technical input. Ideally, such a workshop is held at district level because this is the level that is closest and most relevant to local people in terms of stakeholder participation and knowledge on the local situation.

If several districts and regions are involved, one may proceed through a national workshop to cut down on the time needed for the follow-up district-based workshops. Although, a national workshop cannot substitute for a district workshop, given the need to involve those stakeholders that work directly with the local people.

The 'training cum planning workshops' are designed as a participatory learning exercise. External experts and local resource persons share information and

knowledge with the ultimate goal of reaching a better understanding of the local situation.

### **Identification of stakeholders**

One of the very first tasks in preparation for the appraisal is the identification of the major local and external stakeholders. This should ideally be done prior to a 'training cum planning' workshop, so as to ensure that all major stakeholders are invited. The workshop may then refine this identification and list the main roles and responsibilities of each stakeholder. Information should be included on their roles and responsibilities in relation to nutrition, their linkage to other stakeholders, and how they work with local people and institutions (e.g. by gender, socio-economic criteria, by affiliation with religious or other groups, etc.). A Stakeholder Venn Diagram is a good tool to get such a discussion going. The method is described as Tool 5 in annex 8.

### **Thematic focus and approaches**

Following the stakeholder appraisal, the focus should shift to the theme of the appraisal and the underlying approaches. This can be done through a brainstorming session in working groups, whereby the participants reflect on the following four themes: (1) nutrition and household food security from a livelihoods perspective; (2) people's participation and community institutions; (3) indigenous knowledge; and (4) gender and socio-economic differentiation. Guidance sheets on how to facilitate this session have been attached in annex 2.

Apart from orientating the participants, the brainstorming session also provides a first opportunity to raise important issues that will be dealt with in the causal analysis that is to follow. Such issues include: (1) what do local people understand by nutrition, (2) who are the nutritionally vulnerable groups, and (3) how do gender, socio-economic and other factors play a role. It is important that these issues are raised at this early stage, as the causal analysis will be developed around those groups that were identified as being particularly vulnerable. These may not just be age groups, but gender, socio-economic and agro-ecological factors may also play a major role.

### **Problem tree analysis**

Based on the secondary data and the specific knowledge of the participants, the workshop may then proceed with a causal analysis of malnutrition. Ideally, this is done separately for all groups that were identified as nutritionally vulnerable. Problem tree analysis provides an excellent tool for this purpose. A Guidance sheet on how to facilitate such an analysis is given in annex 3.

### **Documenting workshop findings**

Throughout the workshop, it is important to keep track of issues that need further investigation and information that is missing, doubtful or needs to be differentiated. For example, participants may be tempted to present unconfirmed hypotheses for facts and these may need to be verified. It may also happen that certain information has been over-generalised. Such generalisations may be true for some but not for all, depending on their socio-economic background, the agro-ecological zone they live in, the age group or gender they belong to. When there is an indication that this is the case, one should document such differentiation. Another major and very frequent source of error occurs when the absence of a solution is presented as a

problem per se (e.g. lack of irrigation instead of drought). Such a statement pre-empted the selection of a specific solution, even if such a solution may not necessarily be appropriate. The facilitators should be extremely alert to avoid these possible sources of bias, as they will influence the ultimate outcome of the exercise. A guidance sheet has been attached in annex 4 on how to keep track of issues that need to be further investigated and information that needs to be gathered through the appraisal.

### **Objective tree and strategy analysis**

From the problem tree analysis, the workshop participants continue with an objective tree analysis and identification of potential strategies. Guidance sheets on how to carry out objective tree and strategy analysis are attached in annexes 6 and 12. One may wonder about the use of proceeding with what looks like a planning exercise, prior to having carried out the actual appraisal. The purpose is dual. First, given that workshop participants will be involved at all stages of the exercise, it is important that they are familiar with all aspects of the methodology from appraisal, through analysis to planning. Secondly, and this is an aspect that is often overlooked and surfaces later on when there is little opportunity left to address the issue, planning is not just about the formulation of solutions from a purely technical perspective. While solutions should be technically sound, they should equally be locally acceptable and feasible. Hence, by having identified potential solutions, prior to the appraisal, the opportunity has been created to use the appraisal to investigate their local acceptability.

### **Designing the appraisal**

Once the workshop participants have gone through the entire analysis, from problems, through objectives to strategies, a good overview should now be available of those issues that the appraisal is to investigate. If this information has been documented as explained in annex 4, it now becomes very easy to prepare a list of key issues that the appraisal is to address and essential information that needs to be gathered, verified or deepened.

Based on such a list, the workshop participants may develop a logical framework for the appraisal, outlining the objectives (what do we want to achieve) and activities (how can the objectives be achieved). An example has been given in annex 5. The activities can be translated into a package of participatory appraisal tools. The purpose of the logical framework is to establish a link between the various tools, so that the information generated with one tool may be applied in another. For example, a village map may be used to identify village resources and socio-economic groups. This map may then be overlaid with nutrition information obtained from key informants. By linking these two tools, socio-economic determinants of nutrition status can be identified. A further link could then be to use household interviews to understand the reasons why specific socio-economic groups are more or less prone to nutrition problems. Hence, the use of a more intricate design enables the facilitators to move away from a mechanical application of appraisal tools towards a process of gradual discovery and better understanding together with the community.

### **Preparing a tool box**

Through group work, the workshop participants may decide on what tools to use, how to adapt them to the specific focus of the exercise and the particularities of the

local people, how to make them gender-sensitive, and what and how to ask questions. At this stage, the benefit of having looked at the beginning of the workshop into what constitutes local knowledge becomes obvious. All too often, key questions are formulated in English or another international language and are then translated into a local language without having really understood the true meaning of the words in either language. Having looked into indigenous knowledge and terminology, the formulation of questions may be adapted to local people's understanding without losing the purpose of the question or risking to be misunderstood.

In general, the appraisal will be designed to assess from a community perspective the causes of malnutrition and food insecurity and how different socio-economic groups deal with the problems related to these issues. Depending on the outcome of the analysis, the design of the appraisal may include some of the field methods as mentioned in annex 8 and summarised below:

- A range of different participatory tools to be used in both separate focus groups of men and women within the community as well as in mixed groups.
- Key informant interviews with knowledgeable or leading people in the community.
- Household case studies (semi-structured interviews) with households from different socio-economic groups in order to gain a more in-depth understanding of perceptions of causes of malnutrition and coping strategies.

The field methods need to be translated into a comprehensive tool package, which should include:

- Information sheets for the various adapted participatory appraisal tools outlining a brief description of the tool, its objective, key questions to be answered and guidelines for the facilitators.
- A detailed documentation sheet for each participatory appraisal tool.
- Checklists of questions to ask in key informant interviews.
- A checklist of questions for the household case studies.
- Evaluation and analysis sheets, to be used for the daily wrap-up meeting among the field team.

Examples of adapted participatory appraisal tools that may be used during the field appraisal have been attached in annex 8 and include:

Resource Map; Social Map; Wealth Ranking; Malnutrition Mapping; Venn Diagram on Institutions; Resource Cards; Seasonal Calendar, Income and Expenditure Matrix; Daily Activity Clocks; Focus Group Discussion: Constraints and Opportunities to achieving Nutrition and Household Food Security; Semi-Structured Interview: Household Case Study; Daily Evaluation and Planning Meeting

### **Key issues and methods**

While the appraisal is designed to gain a better understanding of the nature and local perceptions of the nutrition-related problems, it is also designed to gain a better comprehension of the magnitude and underlying reasons for these problems. Various tools exist to that end. To assess the magnitude of the problem, key informants with good knowledge of the community and with a background in health,

like the Traditional Birth Attendant and the Community Health Worker, may be asked to identify those households known to them as having specific nutrition-related problems. These households may then be mapped and the map compared with the social map. The social map is basically designed as a village map indicating all households and social facilities. The map may be further enriched with information about the wealth status of the specific households. This information can be obtained through a wealth ranking exercise. Wealth ranking not only allows classifying the community in different local wealth categories, but also results in a better understanding of local perceptions and criteria of wealth. Linking the social map with the nutrition map provides the means for testing whether a specific nutrition status of household members is typical for a certain wealth status of a household. In other words it can be tested whether the wealth status can be regarded as a proxy indicator for nutrition status of household members. The combination of wealth ranking, social map and nutrition map also allows to define areas that need deeper probing.

Such a more in-depth understanding of the reasons underlying the observed problems can be obtained through thematic focus group discussions and case studies of households, whereby the households are carefully selected according to the previously identified household typology and nutrition problems. Checklists for both the focus group discussions and the household case studies should be prepared. These checklists focus on two important areas of interest. They are designed first of all to gain a better understanding of the causality of the problems. This can be visualised through a problem tree, showing the key problem, the effects and the causes. Secondly, the checklists are developed around an analysis of opportunities and constraints so as to appraise people's ability to cope with or prevent nutrition and household food security problems. During the training workshop, the participants should experiment with these checklists on imaginary case studies and report on their analysis using both a problem tree analysis and an analysis of constraints and opportunities.

To better understand the importance of food security and nutrition issues within the broader context of people's lives, the design of the appraisal should include a variety of development context and livelihood analysis tools. This more general information complements and serves as triangulation for the more in-depth analysis on the causes of malnutrition and food insecurity, being gathered through semi-structured interviews with households and key informants and the analysis of opportunities and constraints with the community at large. Additionally this information is important to get to know about local opportunities to overcome identified problems, e.g. to learn about the social capital, such as capacities and useful links of local institutions.

A social map is also a key tool in the design. The purpose of this tool is to identify key social resources (as opposed to physical resources), the number of households and their placement and socio-economic differentiation in the village. A gender-sensitive Venn Diagram may be introduced to identify local and other institutions and to analyse their roles, responsibilities and performance in relation to the community and to the food security and nutrition problems. Seasonal calendars dis-aggregated by gender and age groups covering tasks, food availability, illness, rainfall, labour patterns etc. may be designed to get a better look at seasonal variability and peak periods of nutritional stress.

Daily Activity Clocks for men, women and children may be included to analyse relative workloads and time spent collecting water and firewood or other tasks. Time usage is especially important to evaluate, given the impact of women's workloads on household nutrition, food preparation, income generating activities, etc. Who has access to and control over resources, including income, also has an impact on food security and coping-strategies within the household and the relative burden of men and women within each household to procure food and other essential necessities. To look at these dynamics, Resource Cards and Income and Expenditure Profiles can be included in the design.

### **Selecting a sample**

The final task of the workshop is to agree on a representative sample and timeframe. The sample is to take into consideration various aspects, including what constitute administrative or indigenous boundaries of a village unit or area, what are the different agro-ecological zones, whether locations are remote, easily accessible by road, peri-urban or urban, access to public and private services, etc. A guidance sheet on how to go about sample selection is attached in annex 9. Depending on distances, means of transportation, staffing, etc. the duration and timeframe should be agreed upon in order to allow the local representatives to make the necessary arrangements with local staff and communities for the actual appraisal.

## **STEP 2: PARTICIPATORY APPRAISAL**

### **Objective:**

The purpose of the participatory appraisal is to identify and analyse together with local people the opportunities and constraints for improving nutrition and household food security within the broader context of their livelihoods. Apart from its role in assessing the local situation, the appraisal is also aimed at initiating a dialogue within and with the community on the importance and role of nutrition in their lives. Such a dialogue is not a one-off exercise but the appraisal should be seen as a starting point for a continued, iterative and participatory process of appraisal, planning and action.

### **Participants:**

Step 2 involves apart from the same participants involved in Step 1, also local communities, stakeholders, key informants and resource persons. The Step 1 participants carry out the training of the local resource persons who will facilitate the appraisal in the field.

### **Description:**

#### **Field team selection**

The field team members ideally come from district, sub-district and other field level positions in the area and should represent the various sectors that are local key role players, including health workers, agricultural extension workers, home agents, representatives of women's associations, etc. If at all possible, it is best that some of the field team members have some prior experience with participatory appraisal. While field workers with an academic degree may appear to be better qualified to for analytical work, sound field experience and a close link with the local people may be equally important and valid criteria for the selection of field workers.

#### **Field-based secondary data review**

Prior to the appraisal, selected members of the field teams should carry out a review of locally available secondary data, so as to capture locally relevant information that may not have been captured in the sector reports. That would allow the teams to already establish a preliminary village profile for each site, which may considerably speed up and enhance the quality of the appraisal work.

#### **Field team training and orientation**

Once the appraisal has been designed and trainers have been trained, the task ahead is to train the field teams that will carry out the appraisal. a training course is organised to discuss and define with the field teams the key concepts of the exercise, introduce them to the participatory methodology, and the specific use of the tools and methods that they will be using during the field appraisal.

In order to ensure a good understanding of the appraisal methodology, an introduction to the background, main features and principles of participatory appraisal may be given. Roles, responsibilities and attitudes of participatory appraisal facilitators should be presented, discussed and probed in role games and tested in the field.

To enable an appropriate daily evaluation process during the appraisal, a daily evaluation procedure to be applied by the field teams should be developed. During this daily evaluation the field teams use an evaluation matrix to structure the discussion, to document the core results, to identify open questions and to plan the next day. An example of such a matrix is given in annex 7.

To ensure that valuable information does not get lost, specific documentation sheets need to be prepared for every appraisal tool. The documentation should follow along the specific set of key questions to be answered when applying the appraisal tool.

The 'field team' training workshop is organised along the same thematic lines as the 'training of trainers' workshop, with the difference that the focus is now much more on how to apply the appraisal tools in the field and how to document the findings. Although, the conceptual training should not be neglected given that a participatory appraisal is as much about understanding the issues, and probing as it is about applying a research methodology.

### **Field testing**

The training workshop also serves the purpose of refining, field testing and adapting the appraisal methodology to the reality on the ground. The workshop will initially review the appraisal tools and key questions from the participants' local experience and knowledge. The tools are then field tested by the field teams in a community that is not part of the sample of communities. It allows for the identification of possible weaknesses in the methodology. At the same time, the field testing exercise provides an essential field training for the field team members, as well as being a team building exercise. The field testing exercise will also serve as a good opportunity to demonstrate the importance of accurate documentation of the appraisal findings and observations. The findings of each team will be discussed during the last part of the workshop. From there, the tool sheets and documentation sheets may be adapted, and further training be provided to field team members on skills that were found to be weak.

### **Meeting the community – implementing the appraisal**

In preparation of the appraisal, it is important that appointments are made with the community leaders well in advance of the appraisal. They should be briefed on the purpose of the appraisal, the methodology and the proposed timeframe. It is important to spell out the need to have the broadest possible participation in terms of gender, socio-economic groups, community-based institutions, grass-roots staff from governmental and non-governmental organisations, etc. Care should be taken to avoid that selected community members or special interest groups marginalise others.

The actual appraisal should start off with a meeting with the community at large to introduce the team members and community members to one another. This meeting will also serve to brief the community on the purpose of the exercise, their role, the procedures that will be followed and any follow-up that may be anticipated. The appraisal teams will then proceed with the schedule of tasks as agreed upon during the training workshops. Daily meetings of the appraisal team following the day's tasks are essential to ensure that the findings are documented, to adjust the

workplan as required and plan for filling in gaps that were identified. It is important that enough time is allocated to these meetings.

A second community-wide meeting will be held at the end of the appraisal to brief the community on the findings and provide an opportunity for them to comment. This may be done either as the last meeting of the appraisal exercise, or after the teams have gone through the entire exercise in all communities and have written up a village profile. At any rate, a meeting with the communities once a first analysis has been made is always extremely useful in refining the findings, as well as in providing the team that is tasked with project formulation with a solid backing from the local communities for the proposed actions. This may be important in cases where community participation in programme planning is weak or absent and the exercise runs the risk of being biased through top-down decision making. If such a situation is anticipated, decision makers or their representatives should be invited to participate in all stages of the exercise. This is at any rate recommended in all cases given that a dialogue needs to be established among local level stakeholders, as well as between higher and lower level stakeholders.

### **Structuring appraisal findings by site**

During the appraisal, the field teams have documented their findings on the special documentation sheets that go with each appraisal tool. Findings have ideally also been summarised already on an evaluation matrix that was completed after each day's session. Based on these documents, the appraisal team will proceed with the preparation of village profiles. These are structured along the major subject areas of the appraisal. A village profile should in the first place provide and answer to all the key questions that were stated in the outline of the appraisal. In addition, a village profile should also contain all the primary and secondary information that was gathered prior to and during the appraisal. This should be done in a simple format. It is good to use visual illustrations like maps, diagrams, clocks, historical profiles, matrices, tables, etc. A guidance sheet on how to prepare a village profile has been attached in annex 10.

A village profile should provide information and answers in a comprehensive, and easily accessible manner, given that the information will provide the basis for further analysis and aggregation, and should equally be understandable for the community members themselves.

Given that the appraisal is the starting point of a dialogue within and with the community, a village profile is also a reference point for participatory monitoring and evaluation. It is therefore a living document that will evolve over time and reflects the dynamic nature of community participation in development. It belongs to the community and should therefore also be shared with them. This can be done prior to starting causal analysis, so that the opportunity can be used to verify remaining assumptions or filling crucial information gaps.

### **Aggregation of appraisal finding**

Once on the village profiles have been compiled, the findings from different communities need to be compared so as to come up with useful generalisations and differentiation. This may be in the form of a district or regional profile. The answers on the key questions need to be summarised for each of the appraisal tools. One

should always make sure that what will finally be presented are valid findings. When feasible and relevant, missing information should still be collected. It is therefore useful to structure the findings in a matrix that allows to distinguish between what may be regarded as:

- (1) Confirmed findings;
- (2) Remaining information gaps and open questions;
- (3) Assumptions that were not verified; and
- (4) Findings that were found to be valid in some cases, but not in others depending on factors like gender, socio-economic group, agro-ecological zone, rural-urban bias, etc.

The available confirmed information may then be further interpreted using an analysis of constraints and opportunities. A more sophisticated way, but often too complex for the field level, is the SWOT analysis. SWOT stands for strengths, weaknesses, opportunities and threats. The difference is that SWOT makes a difference between constraint and opportunities found within the community (called strengths and weaknesses) and those that were found to be beyond the immediate control of the community and can therefore be regarded as external to the community (called opportunities and threats). The principle of SWOT analysis and of the more simple analysis of constraints and opportunities is therefore identical. Namely, to find out what has helped (strengths and opportunities) and what has hindered (weaknesses and threats) people in achieving household food security and good nutrition.

The added value of using SWOT is that it provides an excellent starting point for outlining potential directions for intervention. Using the SWOT categories, the findings are available in a format that can be readily used in the problem tree and objectives tree analyses. In this way, SWOT helps planners to focus not only on problems (weaknesses and threats), but forces them to define solutions starting from those very potentials and capacities that are already present within the community (strengths) as well as outside the community (opportunities). SWOT is therefore also a good way of avoiding duplication of efforts and strengthening local initiative. A guidance sheet on how to apply SWOT has been attached in annex 10, which also explains how to go about the writing of a regional profile.

### **Presentation and verification of main findings and conclusions**

As already indicated earlier on, it is always useful to present the major findings and conclusions of the appraisal to the communities. This may have already been done in a preliminary way during the last session of the field workshop. However, to get local endorsement of the findings and their interpretation, it is good to present the final findings and conclusions to a community workshop once the village and consolidated profiles have been prepared and prior to commencing with the actual planning exercise. Apart from local endorsement, such a workshop also provides a last opportunity to fill in missing information and check on remaining assumptions. Given that at this stage, the appraisal team may be short of time, community workshops may be organised in a sub-sample of the selected sites.

## **STEP 3: CAUSAL ANALYSIS OF NUTRITIONAL VULNERABILITY**

### **Objectives:**

The purpose of the causal analysis is to identify the origins and effects of nutrition problems and the linkages between their causes. Each of the nutritionally vulnerable groups is looked at separately with a view to move beyond the immediate causes and to capture the underlying livelihood related factors that are specific for each of the groups. In this sense, the causal analysis constitutes a holistic livelihoods analysis focused on nutrition as one of the most basic livelihood outcome.

### **Participants:**

The sector representatives and other stakeholders that participated in Step 1 and representing different levels and sectors, as well as non-governmental organisations and facilitators of the appraisal.

### **Description:**

The appraisal and secondary data review generated a wealth of information on the nutrition situation and livelihoods of various groups of people. The appraisal led to an identification of who is nutritionally vulnerable, what is the extent and nature of this vulnerability and what are the underlying reasons. The nutrition mapping exercise as well as other tools allowed to identify and characterise nutritional vulnerability from various perspectives, including lifecycle, socio-economic, agro-ecological, cultural, political, and other factors.

The purpose of Step 3 is to prepare a holistic analysis of the reasons underlying this vulnerability. A simple and pragmatic way of doing this is through a problem tree analysis. This method is basically a visualisation technique whereby a graphical presentation is made of the connections between a core problem, its causes, its effects, and their respective inter-connections. For the purpose of this exercise, the core problem statement gives a characterisation of the nutrition problems faced by a specific group of people. The group may be an age group, a socio-economic group, a group of people living in a certain agro-ecological zone or any other grouping of people. The problem tree looks like a tree whereby the trunk is the core problem. The branches and twigs are the effects and the roots are the causes of the situation, all of which are perceived and formulated as negative states.

A problem tree is of course nothing more than a visual aid. The importance the methodology lies in the actual drawing of the tree because it provides an excellent way of engaging a diverse group of people in a discussion on what they perceive as the causes and effects of a problem and how these are inter-related. This technique was already used during the preparation of the appraisal. It was then used to get a better understanding of the local situation, identify information gaps, and generate hypotheses that needed to be tested through the appraisal. The same technique is now used to further analyse the information generated by the appraisal and reach a consensus among the key stakeholders. The difference with the preparatory phase is that the analysis is no longer carried out through a brainstorming, but now follows a more strict application of the findings of the appraisal and secondary data review.

In terms of consensus building, it is important that agreement on the analysis is reached prior to the planning exercise, because the findings of the causal analysis

form the basis for setting objectives and selecting intervention strategies. It is therefore useful to combine Steps 3 and 4 in an 'analysis and planning' workshop so as to ensure consensus among all major stakeholders at the local and district level.

The workshop should make use of working groups that may be formed to focus on different clusters of causes of malnutrition. Specific problem trees should be developed for those socio-economic groups that are affected by malnutrition. The ingredients for drawing the problem trees are the "weaknesses" and "threats" that were formulated during the SWOT analysis or the "constraints" derived from the analysis of constraints and opportunities. These together with additional problem statements that are suggested by the workshop participants and which can be verified, are written on cards and used to build the problem trees. A guidance sheet on how to facilitate problem tree analysis is given in Annex 3.

#### **STEP 4: OBJECTIVE ORIENTED PLANNING**

##### **Objective:**

The purpose of objective oriented planning is to first reach a consensus among stakeholders on the objectives that will lead to a reversal from the present core problems into a positive situation in the future. From these objectives, the stakeholders will then outline the required intervention strategies that will achieve the overall objective of improving the nutrition situation of the vulnerable groups.

##### **Participants:**

The sector representatives and other stakeholders that participated in Step 1 and representing different levels and sectors, as well as non-governmental organisations and facilitators of the appraisal.

##### **Description:**

The problem tree analysis has led to a consensus among stakeholders on the reasons why some members of the community are more affected by malnutrition than others. The next task of the 'analysis and planning' workshop is to reach agreement on the way forward for the local community and to draw a picture of a targeted positive situation in the future.

Building on the technique that was used to analyse the situation, the working groups should turn the trees of problems into trees of objectives. The method is a simple visualisation technique through which a situation can be described in the future when the problems are solved. The method aims at identifying objectives related to the core problem that one wishes to address. The tree visualises the means and results relationships, whereby the trunk is the core objective. The branches and twigs are results and the roots are the means needed to achieve the core objective. A guidance sheet on how to facilitate objectives tree analysis has been attached in annex 6.

The conventional way of developing an objective tree is by converting the problem tree statements into positive states and thus turning the cause-effect chains into means-results linkages. One should be careful with a too mechanical and simplistic application of this tool. Problem tree analysis should be used first and foremost to

engage stakeholders in a discussion about the feasibility of objectives and the identification of alternative objectives.

The 'strengths' and 'opportunities' that were identified during the SWOT analysis are an excellent starting point for stakeholders to reflect about the potentials available within the community and the opportunities that are available to them from outside. This will help to identify realistic objectives as well as feasible, ethically acceptable and sustainable means of achieving these objectives. It is an approach that builds and reinforces local potentials and initiatives and avoids the creation of dependence on external and unsustainable means.

Having developed objective trees for all the vulnerable groups, the next task is to outline the different potential intervention strategies that are required to achieve the overall objective. These strategies may then be prioritised by means of a set of criteria that are developed by the stakeholders.

Strategy analysis consists of identifying within the objective trees those means-results chains that contribute to a common objective. The various chains with their common objective are formulated as a potential intervention strategy. All objectives that were identified in the objective tree analysis should be considered and defined as strategies. Important criteria that may be used to prioritise the strategies include the feasibility within a given budget and time frame, the expected impact on the nutrition situation and the sustainability of the intervention.

It should be noted that prioritisation is not about excluding certain strategies. All the strategies that can be identified within a given objective tree are valid, important and essential to achieve the overall objective. However, given that in the real world resources and time are always limited, choices have to be made about what to do first. Those strategies that are rated lower may therefore be implemented at a later stage when additional resources become available. Prioritisation is, therefore, a tool that helps those tasked with project and programme formulation in making a final selection of strategies that will serve as a basis for the development of a logical framework. A guidance sheet on how to facilitate strategy analysis has been attached in annex 12.

## **ANNEX 1 - REVIEW OF LITERATURE, ANALYSIS OF SECONDARY INFORMATION AND INTERVIEWS WITH KEY INFORMANTS**

**Description:** Prior to any appraisal, it is key to review information that is already available. This information may be available from the literature or secondary data sources, or can be obtained directly from key informants. The purpose of the exercise is dual. On the one hand, the aim is to carry out an in-depth analysis of available information in order to get a better understanding of the nutrition and household food security situation and the general livelihoods' context. The second purpose is to generate key questions for the field research in order to cover key information gaps and to allow verification of assumptions or hypotheses that emerged from the preliminary analysis. The preliminary situation analysis will be based on the information gathered at this stage and will be carried out jointly by the Appraisal Team members during an "Orientation and Planning Workshop". It is important to proceed through such a workshop given that a holistic analysis of nutrition and household food security requires that information from various sectors and levels be brought together.

Using secondary data analysis and literature review reduces the burden placed on the appraisal participants while allowing for the use of data from people or groups that are difficult to access and reducing the need for primary research and the cost of the appraisal. In general secondary data analysis and literature review make use of summarised data as opposed to primary research where raw data are the basis for analysis. It may therefore, if feasible at all, be useful to consult the original researchers to investigate the circumstances of the original data generation and processing. One should always be aware of the dangers involved in using secondary information sources, in particular the risk to repeat, unknowingly, the mistakes of other researchers and the elevation of preconceptions and assumptions to the level of facts and findings.

Information gathering at this stage involves making an inventory of available information by subject areas, categories and sources. Information may be available at different locations, and the level of aggregation and processing in general increases when one moves up from the actual location through the district to the national level. One should in particular be careful with making conclusions on a very particular situation, arguing from highly aggregated information given that aggregation may have masked a lot of the underlying variation.

It is useful to record the findings from secondary data analysis and literature review in a way that reflects the level of certainty or confidence with which the statement can be made, as well as the degree to which the findings can be generalised or not. Three categories can be used for that purpose, namely: (1) confirmed findings; (2) assumptions that need verification, and; (3) findings that may be valid under certain conditions and not in others. The last category is extremely important to differentiate findings by gender, agro-ecological zones, socio-economic groups, ethnicity and religion, etc.

A fourth category can usefully be added to record key questions that could not be answered from the secondary data analysis and need to be addressed through the field research.

In preparation of a comprehensive analysis of the nutrition and household food security situation and livelihood context, the findings can be further interpreted using the SWOT analysis tool. The SWOT analysis helps organising information in terms of constraints and opportunities affecting households' ability to achieve food security and good nutrition.

**Objective:** To develop a preliminary analysis of the nutrition and household food security situation in the study area and generate hypotheses regarding causality and effect, using existing secondary quantitative and qualitative data and information obtained from informants that do not necessarily live in the study area.

**Participants:**

Appraisal team, Key informants from Governmental and Non-Governmental Organisations, Participants in prior research work

**How to facilitate:**

1. Prepare an inventory of information needs, categories of information (articles, books, maps, statistics, reports, etc.) and information sources (Government Ministries, Provincial and District Administrations, Non-governmental Organisations, Universities and Research Centres, International Organisations, Statistics Offices, Rural Health Centres, Schools, Civil Society Organisations, etc.)
2. Assign sector specialists to prepare a Sector Review and Analysis Report. The report should provide an overview of basic indicators and analyse the relation between the sector and the nutrition and household food security situation over time. The report should make a distinction between confirmed findings, assumptions and hypotheses that need to be verified, provide information that is disaggregated by gender, socio-economic groupings, agro-ecological zones, and other criteria that allow for useful differentiation.
3. Sector specialists should prepare an inventory of crucial information gaps and suggest key questions that could be used in the design of the field appraisal.
4. Sector specialists should further analyse their findings in order to reach a better understanding of the role of their sector in people's ability to achieve good nutrition and household food security. The analysis should look both at positive and negative aspects and determine the impact of the finding on nutrition and household food security. The question should be asked if it has helped people (positive points) or hindered (constraints) them. In a more advanced form, the answers could be further analysed and one could determine whether the affected people have control over the identified constraints and opportunities. Constraints over which people have control can be termed weaknesses (e.g. social vices), those over which they have no control are threats (e.g. drought). Positive points over which people have control can be named strengths (strong civil society), those over which they do not have control are opportunities (donor funds).

**Outputs:**

- An inventory of secondary data categories and sources
- Sector review and analysis reports
- A list of key questions for the appraisal

**Resources needed:**

- Time: 2 weeks to 1 month
- Sector specialists
- Materials: maps, statistics, reports, reviews, and other sources of secondary information.

## **ANNEX 2 – GUIDANCE SHEET ON THE FACILITATION OF FOCUS GROUP DISCUSSIONS AROUND BASIC CONCEPTS**

### **GROUP 1 - HOUSEHOLD FOOD SECURITY AND NUTRITION**

**Topic 1 – Nutrition:** Nutrition is an area of knowledge that is concerned with the provision of food and its utilisation in the body and also with the relationship between food consumption and human growth, development and general well-being. Often, people's understanding of what nutrition is concerned with is limited to the obvious effects of under- or over-nourishment on bodyweight and health. The relationship between nutrient intake and health status is clearly important and in the case of protein-energy malnutrition, this relationship is quite straightforward, even to the layman. However, the effects of specific nutrient deficiencies are sometimes more insidious and remain hidden to the non-nutritionist as in the case of micro-nutrient malnutrition.

Apart from the health-nutrition relationship, there are many other and not necessarily less important aspects to nutrition. These include the much less known relationships between good nutrition and: (1) physical activity, development and work capacity; (2) mental activity, development and educational performance; (3) social behaviour and cultural practices, etc.

Ask the participants:

- What do they understand by nutrition?
- What do they understand by malnutrition and by under-nutrition? What are the local words used? Are they descriptive of the causes, effects, to the point?
- How do malnutrition and under-nutrition manifest themselves? I.e., who is affected (what individuals, households), how (effects) and why (causes)?
- Draw a basic problem tree of what they see as the causes and effects of malnutrition.

**Topic 2 - Household Food Security:** Household food security depends on year round access to an adequate supply of nutritious and safe food to meet the needs of all family members. Often, the term 'household food security' and 'food security' are intermingled. While food security is defined in its most basic form as access by all people at all times to the food needed for a healthy life, the focus of household food security is on the household or family as the basic unit of activity in society. This distinction is important because activities directed towards improving household food security may be quite different from those aimed at improving food security in general. The latter often being more related to macro-level production, marketing, distribution and acquisition of food by the population as a whole.

The focus of household food security is on how people produce or acquire food throughout the year, how they store, process and preserve their food to overcome seasonal shortages or improve the quality and safety of their food supply. Household food security is also concerned with intra-household food distribution and priorities related to food production, acquisition, utilisation and consumption. It is clear that the focus is not only on the food but also on the people and households and how they

give shape to their food chain and are being affected by conditions and issues emanating from higher levels such as national agricultural policies, prevailing environmental conditions, available infrastructure for marketing and distribution or even international food aid programmes. These factors are referred to as the root causes of malnutrition.

In the definition of household food security, there are a number of key words that would need further clarification to provide a better understanding of what household food security is about and how it relates to nutritional well-being. These key words include: (1) household; (2) access; (3) adequate supply; and (4) needs.

Ask the participants:

- What do they understand by household food security in the local context?
- What are the main determinants of household food security?
- What do they understand by a household and how do individual members figure in the concept of household food security? How are individual needs met, especially in a situation of shortage?
- What do they understand by access and what are the main determinants of access to food? I.e. availability and stability of supplies, physical, economic and social ability to acquire food.
- What do they understand by an adequate diet?
- Not all resource poor households are affected by malnutrition to the same extent. How do they cope and why?
- Draw a basic problem tree of the causes and effects of household food insecurity.
- Indicate existing opportunities and coping mechanisms on the problem tree, starting from individuals and households that are able to cope with the same constraints and are food secure.

## **GROUP 2 - PARTICIPATION AND COMMUNITY EMPOWERMENT**

**Topic 1 - Participation and Community Empowerment:** With increased emphasis on the importance of participation in development, there is also an increased awareness that a meaningful understanding of participation will inevitably imply to favour and actively support community empowerment. Community participation is a key to the sustainability of projects and programmes as it will lead to 1) a sense of ownership on the part of the target group 2) increased commitment to the outcome and objectives 3) longer term social sustainability and 4) empowerment of the target group.

Participation in development can be described as an organised effort and ongoing process on the part of women, men, youth, interest groups and marginalised groups to increase access and control over resources and related decision making in the respective institutions and organisations. Participation is a process that concerns the relationships between different stakeholders in a society (e.g. social groups, community, interest groups, policy level, service delivery institutions) and which ultimately aims at increasing self-determination and readjusting control and influence over development initiatives and resources. A concept of sincere community

participation or in other words a high level of participation will put the target groups in the centre of development projects and programmes. Target groups are not only actively involved in all stages of a project but will ideally continuously drive, direct, correct and own the project.

Participation and Community Empowerment are no fixed concepts but will always depend on people interpreting them. In order to arrive at a common understanding of all involved stakeholders it is crucial to discuss the different perceptions, ideas and related opportunities at the beginning of a project, but also during all later stages of a project.

Ask the Participants to explain their understanding of the term “participation” and “community empowerment” Write their statements on the whiteboard, grouped according to different perceptions. Alternatively ask them to write it on cards and group them on a pin board. If the participants find it difficult to start, write down examples e.g.:

- Common interest
- Co-operation on equal terms
- Learning through joint activities
- Joint responsibility
- Agreement between initiators and participants
- Joint decision making at all levels

Try to formulate a definition of the term “participation in development” and “community empowerment”.

Ask the participants to discuss why Participation has become a crucial issue in development projects. Ask them to relate their statements to their own experience and to give examples of different forms of participation, which they apply or encounter in their working environment / project activities.

## **Topic 2 - How to ensure participation and community empowerment in relation to our own objectives and strategies?**

The purpose of a participatory appraisal is to integrate feasible local priorities and opportunities as identified by the local community into planning. The exercise not only focuses on problems. By making use of local knowledge and appreciating successful local coping-strategies, better use will be made of locally available capacities.

Appraisal is also an initial step and integral part of a longer-term commitment of all stakeholders to participatory approaches. This implies an interactive learning process whereby local co-operation and problem solving capacities are enhanced.

The development of local capacity and appropriate institutional arrangements is essential to institutionalise participation. Local institutions and capacity are needed for collective action to continue after the withdrawal of outside support. The appraisal needs to identify locally available institutional and organisational. Their experiences, strengths and weaknesses should be discussed.

The process of community empowerment may need external support. The inclusion of the poor, vulnerable and food insecure households may need to be enhanced. Capacity building may require that there is a shared interest in a collective organisation or group. These groups should have links among themselves as well as to other levels.

Ask the participants:

- Referring to the objectives of the team, what kind and level of participation will be adequate for whom, when and why? What could be potential strategies to ensure and support adequate community participation? Visualise the answers on an already prepared matrix, differentiating between the different stakeholders.
- On the basis of the Venn diagram of relevant institutions and matrix of roles and responsibilities of stakeholders that had already been developed by the group, ask the participants whether they feel that based on the discussion on participation any additional aspects should be added to those charts. Modify the charts accordingly.

### **GROUP 3 - GENDER**

Gender analysis is a method for understanding the roles and responsibilities of men and women. It is based on asking several simple questions such as: who does what, who knows what, who has what, who needs what, who decides what, etc. By answering these questions, we have a better picture of the situation in a community and can therefore address the needs of both men and women. This leads to more successful development efforts.

The point of this group work should be to come to an understanding about what is meant by the concept of gender and why it is important to this project on household food security and nutrition.

**Topic 1 - What is gender:** Ask the group to define the following terms:

- Gender
- Division of labour
- Access to and control over resources

Ask the group to translate the terms into the local language. Write the overall definitions and the translation of the terms on a flip chart.

**Topic 2 – How are men’s and women’s roles and responsibilities different:** You can ask your group to do a role-play to develop daily activity clocks for a typical day of a male and female farmer in a typical village during both the slack and the busy agricultural seasons. Divide the group into two smaller groups. One group will represent a woman farmer. The other will be a male farmer from the same village. Ask the groups to first discuss how their persons’ time is spent during a typical day in

the slack season, and during a typical day in the busy agricultural season. Ask the groups to draw two 24-hour clocks representing how they spend their time in each season on a typical day. The clocks should illustrate what time the person wakes up, what time he or she goes to bed and what activities he or she carries out during the day. There is no need to go into great detail, but it is important to illustrate that all kinds of activities are included such as agricultural tasks, child care, leisure, wage labour, cooking, sleeping, etc. Draw the clocks on flipchart paper.

Once the clocks are done, discuss what the clocks reveal that may have an impact on (1) nutrition and (2) household food security. Summarise the discussion on a flipchart for presentation to the plenary.

**Topic 3 - What is our own gender approach:** A good approach to development is based on three guiding principles. These are:

- Gender roles are key
- Disadvantaged people are a priority
- Participation is essential.

Discuss these principles in your group. Ask the group to discuss what is their experience with dealing with gender issues in a rural development project. Was it easy; was it hard? Why? How is the issue best treated? What are some of the approaches and guiding principles that they use to assure adequate attention is given to looking at and responding to the gender dynamics in each situation. Ask the group to develop some guiding principles like those above in the form of a matrix of what to do and what not to do.

## **GROUP 4 - INDIGENOUS KNOWLEDGE**

There are many closely related concepts in use - local knowledge, indigenous knowledge, traditional knowledge, etc. - which refer to the knowledge that people in a given place and culture have developed over time, and continue to develop. Local knowledge, or indigenous knowledge, is thus based on experience, often tested over centuries of use, adapted to local culture and environment and dynamic and changing. Local or Indigenous knowledge is often contrasted with “scientific” or “modern” knowledge – the knowledge developed by universities, research institutions and private firms using a formal scientific approach. (See handout for full range of definitions).

The point of this group work should be to come to an understanding about what is meant by the concept of local knowledge and why it is important to this project on household food security and nutrition.

**Topic 1 - What is local knowledge:** As an example, the following definition of local knowledge developed by Inuit Indians in Canada, is given:

- It is practical common sense based on teachings and experience passed on from generation to generation;

- It is about knowing the country. It covers knowledge of the environment and the relationship between things;
- It is holistic. It cannot be separated from the people who hold it. It is rooted in culture, spiritual health, and the language of a people.
- It is a way of life – wisdom is using knowledge in good ways. It is using the heart and the head together.
- It gives credibility to people.

Ask the group to discuss this definition. Do they agree with this definition? Why or why not? Ask them to develop their own simple definition of local knowledge in their own environment. Ask them to translate the terms local knowledge, and/or indigenous knowledge, into the local language. Write the overall definition and the translation of the terms on a flip chart.

**Topic 2 - Different types of knowledge:** Ask the group to briefly discuss how knowledge of the people inside a typical community differs from their own knowledge and the knowledge of better educated, scientifically trained specialists. Is there conflict between these two different sets of knowledge and ways of viewing the world? Why? Summarise the discussion on a flipchart for presentation to the plenary.

**Topic 3 - Who knows what:** Different people have different knowledge? The type of knowledge people have is related to sex, age, education, labour division within the family, enterprise or community; occupation, environment, socio-economic status, experience, etc. For example, who are the nutrition experts in a community? Ask the group:

- to list all of the people in a typical local community who know something about nutrition;
- to name any people in a community who play a special role in terms of providing advice about nutrition to others;
- to rank these people from the most knowledgeable to the least knowledgeable;

From this list, ask the group to draw a simple diagram on a flipchart showing all the people named. Draw each person as a circle with the name inside or underneath. The most knowledgeable person(s) should have the biggest circle, the least knowledgeable should have the smallest circle.

**Topic 4 - Appraising local knowledge base and its impact on nutrition:** Ask the group to list what traditional knowledge they are aware of, how it translate into different attitudes and practices under specific circumstances, and how it affects nutrition and household foods security. Participants may start from either side of the table, i.e. from the knowledge, attitudes, practices or nutrition output perspective. There may well be gaps in the participants understanding of what knowledge is underlying specific attitudes and practices. It is important to note these gaps and to probe deeper in these areas during the field appraisal.

**Topic 5 – Our own approach:** Discuss what approach the team should take towards local knowledge. Develop some guidelines and principles for how to recognise and build upon local people’s knowledge of good nutritional practices. Prepare a matrix of what one should do and what should not be done.

## **ANNEX 3 – GUIDANCE SHEET ON PROBLEM TREE ANALYSIS**

**Description:** Problem tree analysis may be carried out during a district-based orientation and training workshop or following the completion of the field appraisal. In the latter case, problem tree analysis will build on the findings of the appraisal as reflected in the village and regional profiles. In the case of an orientation and training workshop, the analysis will build on the information from sector reports and the knowledge of the participants.

The purpose of problem tree analysis is to identify real, important and priority bottlenecks related to the issue under investigation, e.g. food insecurity and malnutrition. Problem analysis is vital for the quality of planning since it maps out the course of future interventions. A mistake at this stage will affect the entire planning process, as well as the way the intervention is implemented and its results.

A problem tree looks like a tree whereby the trunk is the core problem. The branches and twigs are the effects and the roots are the causes of the situation, which is perceived as a negative state.

**Objective:** Problem tree analysis is a tool which enables to analyse an existing situation, through the identification of the problems related to the issue under investigation and ordering these problems by highlighting the cause and effect relationships in a diagram or problem tree.

**With who:** Depending on when the exercise is carried out, the problem tree is developed by the participants in the orientation workshop or by those tasked with planning. The findings may be presented to the community or to local government authorities and other stakeholders. It is a good starting point for objective analysis and further planning.

### **Examples of key questions:**

1. What is the entity of the analysis? An entity is the group that determines the boundaries of the analysis. It could be a household, a community, an economic reality, a geographical region, etc. For community action planning purposes, the entity is the community.
2. What is the issue that we are investigating? The issue could be 'food security and nutrition problems in the community'.
3. Are the statements of the problems and their causes and effects perfectly clear to all?
4. Are the problems and their cause-effect linkages real and existing, and not imaginary or hypothetical? If they are based on assumptions, this should be indicated.
5. Do the problems and their causes reflect 'a negative state or situation actually in evidence', and not 'the absence of a solution'? E.g., the cause of night-blindness is not 'the absence of vitamin A supplements', but may be 'low intake of green leafy vegetables'.

### **How to facilitate:**

1. Using the information from the analysis of constraints and opportunities and the village profiles, identify the major problem areas and affected groups (e.g. by gender, socio-economic, ethnic and other criteria) related to the issue that is being investigated. If an appraisal was not yet conducted and the exercise is part of an orientation and training workshop, you may rely on secondary information and the knowledge of the participants.
2. Formulate the weaknesses and threats (or constraints) as problem statements on cards. Try to be as clear as possible and spell out how the selected problem affects the issue under investigation. E.g. poor community organisation affects food insecurity and malnutrition since the vulnerable households rely on social services rendered by the community or community organisations.
3. For later planning purposes, make a visual distinction between internal problems (weaknesses) and problems coming from outside (threats) by using coloured cards.
4. Check if all problem statements are perfectly clear to all and reformulate them if not.
5. If the issues are many and complex, divide the gathering in groups around the specific problem areas and/or groups affected.
6. For each problem area and/or group affected, the working groups establish a problem tree showing the cause-and-effect linkages based on the information from the analysis of constraints and opportunities and from the regional profiles.
7. If there are information gaps, assumptions may be made provided that it is clear that these assumptions need to be verified before further planning is carried out.
8. Upon completion of their work, the working groups present the findings in plenary and establish an overall problem tree, with the key issue as core problem.

**Materials needed:** Coloured cards, markers, regional profiles and SWOT analyses.

## ANNEX 4 – DOCUMENTATION MATRIX

**Tool/Village:** *Indicate who carried out the exercise in which community.*

**Objectives of the tool:** *List the different objectives of the tool.*

**Key questions:** *Prepare a separate matrix for each key question as per the format shown below.*

**Key question:** *Write the key question.*

<b>Findings</b>	<b>Open questions</b>	<b>Assumptions</b>	<b>Differentiation</b>
<i>List the findings for each group that was considered, e.g. separate findings for men, women, the poor, the better off, different age groups, etc.</i>	<i>What issues have not been resolved?</i>	<i>Are there any of the findings which could not be firmly confirmed. E.g., issues that have been presented as findings but which are actually based on assumptions made by the facilitator or the group.</i>	<i>Are the findings valid or different for different groups (e.g. poor versus better off, men and women, age groups, ethnic groups, religious affiliation, etc.) or for different geographic areas (e.g. agro-ecological zones, altitudes, urban versus rural, etc.) or for different seasons, etc.</i>

## ANNEX 5 – EXAMPLE OF A FRAMEWORK AND AGENDA FOR THE APPRAISAL

### Framework for the appraisal:

<i>Cross-checking/triangulation</i>	<i>Development context</i>	<i>Additional tools</i>	<i>Nutrition and food security focus</i>
Transect walks for cross checking purposes	Profiles: <b>socio-economic groupings</b> , institutions, ... From outsider key informants	<b>Seasonal calendars</b> : task by gender/age, food, illness, rainfall, etc	<b>Malnutrition mapping</b> using social map by insider key informants (repeated cross)
Key informant interviews with topical checklists for cross checking purposes	<b>Resource maps</b> (M/F groups)	<b>Daily activity clocks</b> by gender and wealth	<b>Household case studies</b> by various criteria: malnutrition, wealth, social group, ...
	<b>Social maps</b> (M&F groups) indicating social, ethnic religious,	<b>Access and control profile</b> Resource Cards	
	<b>Wealth ranking</b> with key informants (interviews)	<b>Income and expenditure profile</b> : proportional piling/pie	
	<b>Historical profile</b> (Time lines) (Key informants - old man and women, small groups, ...)		
	<b>Institutional Venn diagram</b> with the community as an entity. Groups (M&W), key informants by socio-econ. group)		
	<b>Interview with key informants</b> on local perceptions of malnutrition (insiders)		

### Example of an agenda for the appraisal:

	<i>Day1</i>	<i>Day2</i>	<i>Day3</i>	<i>Day4</i>	<i>Day5</i>	
<b>PRA team meetings</b>	Introduction of team purpose of the programme (1hr) (1 hr)				Conclusions and thanks	
<b>Tools that require 2 team members (group work)</b>	<b>RESSOURCE MAP</b> (Focus group women - 2 hrs)	<b>RESSOURCE MAP</b> (Focus group men) - 2 hrs)	<b>WEALTH RANKING</b> (Small mixed groups - men & women) 1.5 hrs	<b>SEASONAL CALENDAR</b> (Mixed focus group / 2-3 hours)	<b>CONSTRAINTS &amp; OPPORTUNITIES:</b> focus group discuss. on HHFS & nutrition (wom.)	<b>COMMUNITY WORKSHOP</b>
			<b>Nutritional perceptions &amp; mappings</b> (Key informants) - 1.5 hr		<b>RESSOURCE CARDS</b> Small mixed groups - 1.5 hrs	
<b>Focus groups (2 team members)</b>	<b>SOCIAL MAP</b> . Focus groups (mixed groups - women and men / (2 hrs)	<b>Institutional Venn Diagramm</b> Focus group - women (2 hrs)	<b>Institutional Venn Diagramm</b> Focus group - men (2 hrs)	<b>INCOME &amp; EXPENDITURE profile:</b> analysis related to gender (mixed group M&F)	<b>INCOME &amp; EXPENDITURE profile:</b> analysis related to socio-econ. groups (mixed M&F)	<b>COMMUNICA-TION COMMUNICA-TION</b> (focus group disc- Women) (focus group discus.-Men .
	<b>Tools requiring one person</b>	Daily activity clocks (boys, girls, men and women each separately)				
	Transect, ...					
<b>HH interviews</b> 2 hrs		Household interviews (2 hrs)	Household interviews (2 hours)	Household interviews (2 hours)	HH interviews (2 hours)	
		Household interviews (2 hrs)	Household interviews (2 hours)	Household interviews (2 hours)	HH interviews (2 hours)	
<b>Key informants interviews</b>	CHW, DA, TBA, traditional healers, Elders, PA, Teachers, ... (1-2 hrs per key informant) . To be done by national consultants					
<b>PRA team meetings</b>	Evaluation	PRA team : evaluation/planning	Evaluation /planning	Evaluation / planning	Evaluation/planning	

## ANNEX 6 – GUIDANCE SHEET ON OBJECTIVE TREE ANALYSIS

**Description:** Within the context of this manual, there are two occasions where objective tree analysis may be carried out, namely during a district-based orientation and training workshop or following the completion of the field appraisal. In the latter case, objective tree analysis will build on the findings of the appraisal. In the case of an orientation and training workshop, the exercise will build on the information contained in the sector reports and on the knowledge of the participants.

Objective tree analysis is a logical continuation of the problem tree analysis. Starting from the problem statements the team tasked with planning seeks to obtain a clear overall picture of a targeted positive situation in the future. The group identifies real, important and priority objectives related to the issue under investigation, i.e. food insecurity and malnutrition. An objective tree looks like a tree. The trunk is the core objective. The branches and twigs are results and the roots are the means needed to achieve the core objective.

In principle, the means and results can be obtained by simply turning the negative problem statements into positive statements of a situation that one wishes to achieve in the future. This may look like a very simplistic exercise that is often carried out in a quasi mechanical manner. However, the danger in a too mechanical application of this technique is that one may formulate objectives that are not attainable or sustainable. It is therefore important to start the planning exercise from what is locally acceptable, feasible and already available. This can be done by building the objective tree starting from existing opportunities (*or the strengths and opportunities from the SWOT analysis*).

**Objective:** Objective tree analysis is a tool which allows to describe the future situation which will be achieved when the problems are solved, through the identification of objectives related to the issue under investigation and highlighting the means and results relationships in a diagramme or objective tree.

**With who:** Depending on when the exercise is carried out, the objective tree is developed by the participants in the orientation workshop or by those tasked with planning. The findings may be presented to the community or to local government authorities and other stakeholders. It is a good starting point for strategic planning.

### Examples of key questions:

1. What is the entity of the analysis? An entity is the group that determines the boundaries of the analysis. Whom are we talking about : a typical household, a typical community, an economic reality, a geographical area? For community action planning purposes, the entity is the community. The analysis may also look at different entities. We may be interested in looking into the situation of poor female headed households as well as into the problems of landless peasants.
2. What is the issue that we are investigating ? The issue could be 'food security problems in the community', ' nutrition problems in the community', etc.
3. Are that the statements of the objectives and their means and results perfectly clear to all ?

4. Are the objectives and their means-results linkages realistic and feasible, and not ethically unacceptable (e.g. changing religion) or impossible (e.g. enough rain)?
5. Are the objectives formulated as 'a positive state achieved in the future' and the means as 'positive actions to be carried out' ?
6. Does the objective tree show all possible solutions to given problems ? Verify from the analysis of constraints and opportunities (*or from the SWOT analysis*) that relevant strengths within the community and opportunities that have come from outside have not been left out as possible means to achieve the set objectives ?

**How to facilitate :**

1. Using the information from the problem tree analysis and the SWOT analysis, formulate all negative states in the problem tree as positive states to be achieved in the future. This should be done in the same groups around major problem areas as was done for the problem tree analysis.
2. Check that the conversion of problems into objectives is realistic and ethically acceptable. If this is not the case, reformulate the problem and adjust the objective correspondingly.
3. Check that the cause-effects relationships have effectively turned into means-results relationships and that the diagram is both complete and valid. If not, adjust the logic.
4. Check from the SWOT analysis that relevant strengths within the community and opportunities that have come from outside have not been left out as possible means to achieve the set objectives.
5. If necessary, change some of the formulations to weed out nonsense or ethically debatable statements. Also eliminate objectives that are undesirable or unnecessary. If all problem statements are perfectly clear to all and reformulate them if not.
6. Upon completion of their work, the working groups present their findings in plenary and establish an overall objective tree, whereby the core problem is turned into an overall objective.

**Materials needed:** Coloured cards, markers, problem tree and SWOT analysis.

## ANNEX 7 – DAILY EVALUATION MATRIX

<b>Type of group:</b>	e.g. a group of men, women, the poor	<b>Conclusions</b>	<b>Questions still to be answered</b>
<b>Tool:</b>	Fill a separate form for each tool, e.g. resource map, social map, etc.		
<b>Team/Village:</b>	Name of village and team that facilitated the exercise		
<b>Key Questions:</b>	List the key questions for this tool		
<b>Main findings</b>	List the answers to the key questions		
<b>Strengths in the community</b>	Analyse these answers, asking yourself if the various findings represent constraints or opportunities in terms of people's ability to achieve nutrition security. If possible, make a distinction between those issues over which the community has direct control (Strengths and Weaknesses) and those beyond the control of the community (Opportunities and Threats).		
<b>Weaknesses in the community</b>			
<b>Opportunities from outside the community</b>			
<b>Threats from outside the community</b>			
<b>Additional information</b>	List any other observations beyond the immediate scope of the key questions		

### How to facilitate:

1. Before starting the Evaluation and Planning Meeting, prepare the matrix on a large sheet of paper. Fill in the fields: Type of group, Tool, Team and Key questions.
2. Every team that facilitated one group fills in a short and summarised version of the results gathered during the exercise, according to the key questions. The main problems, constraints and opportunities to overcome these problems are also filled in, according to the collected information.
3. Also other additional information, e.g. from direct observation, is written in the last row "Additional information".
4. For each key question, ask if the answer is satisfactory. If not, ask what information is still missing?
5. Every team presents its results. The full appraisal team discusses the results and fills in the sections "Conclusions" and "Questions still to be answered".

### Examples of key questions:

1. Are there new questions which have to be answered during the following days?
2. Are some results of the different groups contradicting? What issues still need to be clarified?
3. Do the results reflect different perceptions or interests from different groups, e.g. women and men, rich and poor, different religious groups, etc.?

## ANNEX 8 – FIELD METHODS TOOL BOX

### TOOL 1 - RESOURCE MAP

**Description:** The Village Resource Map is a tool that helps us to learn about a community and its resource base. The primary concern is not to develop an accurate map but to get useful information and start a discussion about how local people perceive their resource base. These perceptions may differ between men and women, the poor and the better off, young and old, etc. The participants should develop the content of the map according to what is important to them.

**Objectives:** To learn about the villagers' perception of what natural resources are found in the community, how and by whom they are used.

**With whom:** Depending on the local situation, you may opt to use separate female and male focus groups. Other ways of grouping people may also be used.

**Time needed:** 2 hours

#### Examples of Key Questions:

1. What resources are abundant?
2. What resources are scarce?
3. Does everyone have equal access to land?
4. Do women have access to land?
5. Do the poor have access to land?
6. Who makes decision about land allocation?
7. Where do people go to collect water?
8. Who collects water?
9. Where do people go to collect firewood?
10. Who collects firewood?
11. Where grazes the livestock?
12. What kind of development activities do you carry out as a community? Where?
13. What resource do you have most problems with?

**How to facilitate:** The Village Resource Map is a good tool to start the appraisal with. It is easy and fun for the villagers to do. It helps initiate discussion among the community and with the PRA team. All team members should observe the mapping exercise because it provides an overall orientation to the features of the community and its resources.

The map may be developed with separate groups of men and women in the village or other groups. This is because women and men may use different resources, as do the poor and better off, etc. The women will map the resources they think are important (like water sources, firewood sources, etc). The men will map the resources they think are important (like grazing land, infrastructure, etc). Maps may include: infrastructure (roads, houses, buildings, bridges, etc); water sites and sources; agricultural lands (crop varieties and locations); soils, slopes, elevations; forest lands; grazing areas; shops, markets; health clinics, schools, churches; special places (sacred sites, cemeteries, bus stops, shrines, etc)

The steps involved in resource mapping include:

1. Find a large open place to work.
2. Start by placing a rock or leaf to represent a central and important landmark.
3. Ask the participants to draw the boundaries of the village.
4. Ask the participants to draw other things on the map that are important. Don't interrupt the participants unless they stop drawing.
5. Once they stop, you can ask whether there is anything else of importance that should be added.
6. When the map is completed, facilitators should ask the participants to describe it. Ask questions about anything that is unclear.

Use the key questions to guide a discussion about resources in the village. One or more facilitators should ask the questions, another should take notes on what is said.

Be sure to copy the map on a piece of paper. Be sure that the final map includes direction indicators (North, South, East and West).

**Materials needed:** You need the accompanying documentation sheet, this tool sheet and paper for copying the map. If drawing on the ground, use soft ground, sticks and local material for symbols, like sticks, pebbles, leaves, sawdust, flour, dung or any other local material. If drawing on a paper, you will need a big sheet of paper, pencils and markers.

## **TOOL 2 - SOCIAL MAP**

**Description:** A social map is drawn by the residents of a village or area and shows the social structures and institutions found in an area. It helps to learn about social and economic differences between the households.

### **Objectives:**

1. To learn about the social structures in the village and differences among households by ethnicity, religion, wealth, etc.
2. To learn about whom is living where.
3. To learn about the social institutions and the different views local people might have regarding those institutions.

**With whom:** Depending on the local situation, you may opt to use separate female and male focus groups. Other ways of grouping people may also be used.

**Time needed:** 1.5 to 2 hours

### **Examples of key questions:**

1. What are the approximate boundaries of the village with regard to social interaction and social services?
2. How many households are found in the village and where are they located?

3. Is the number of households growing or shrinking?
4. What are the social structures and institutions found in the village?
5. What religious groups are found in the village? Where are the different religious groups living?
6. What ethnic groups are found in the village? Where are the different ethnic groups living?
7. Which are the female headed households and where are they located?

### **How to facilitate:**

As with resource mapping, social mapping is best carried out at the beginning of the appraisal. A social map will provide you with the information you may need for carrying out for example nutrition mapping and wealth ranking. Knowing who the poor and nutritionally vulnerable is important when one wishes to carry out household interviews. Knowing which households are better off and those that do not have nutrition problems may also be useful to understand the reasons behind their apparent success (positive deviance technique).

The exercise may be carried out with separate male and female groups if this is more opportune for equitable participation. Given that poverty and disease may go hand in hand with social stigma, the poor may resist being classified as poor. In such a case you may wish to restrict the participants to key informants from the village. However, one should always be cautious not to be biased towards one or another group. For example, it is highly likely that key informants belong to the better off groups. They may be reluctant to classify themselves as such fearing that they will be left out from possible aid. Hence, it is advisable to do social mapping with different groups depending on the local situation, and later compare the results.

The steps involved in social mapping include:

1. Ask the participants to draw a map of the village, showing all households. For orientation it will be helpful to draw roads and significant spots of the village into the map.
2. Discuss whether the total number of households has increased or shrunk during recent years. If there were any changes ask why the number has changed and whether this has caused any problem for certain families or for the community at large.
3. Ask the group to also show institutions, buildings and places that offer some kind of social service or which are popular spots to meet and discuss. Example: schools, churches, health service, traditional healers, community administration, community leaders, local shop, kindergarten, places where people frequently meet, water point etc.)
4. Encourage the group to discuss and show on the map which different ethnic groups are living. Using a common symbol, mark those households in which the minority ethnic groups live.
5. Encourage the group to discuss and show on the map which different religious groups are living in the village. Using a common symbol, mark those households in which the minority religious groups live.

6. Ask the group to indicate with a symbol on the map all households that are female-headed. Make sure that everybody has the same understanding of what the characteristics of a female-headed household are!
7. If time and the situation allows you should integrate the wealth-ranking tool at this point which is described on a separate tool sheet!
8. Make sure that your copy of the map has a key explaining the different items and symbols used on the map.

**Materials needed:** You need the accompanying documentation sheet, this tool sheet, and paper for copying the map. If drawing on the ground, use soft ground, sticks and local material for symbols. When drawing on a paper, use a big sheet of paper, pencils and colour markers.

**Hints:**

- If people find it difficult to understand this tool, it will be helpful to draw a simple example for them.
- During the whole process, take care that once somebody has given a statement, you ask the others whether they agree, disagree or want to add something.
- The note taker must ensure that all the important points of the discussion and also other information are documented.
- The purpose of the social map must be very clear to all participants, make sure that the participants do not have wrong expectations. For example people may think that the poor households will after the exercise receive food donations.
- Unlike resource mapping, social maps need good and well-prepared facilitation. Be aware that some of the issues that might be discussed could be sensitive.
- Make sure that the objective of having all households shown on the map will be achieved.

**TOOL 3 - WEALTH RANKING**

**Description:** Wealth ranking is a tool that allows for the identification of different wealth groups in a community. It provides a means to characterise these groups and start a discussion on what factors are important determinants of poverty as well as wellbeing. Wealth ranking is best carried out immediately following social mapping so as to be able to physically locate specific households and link socio-economic criteria to the wealth categories.

**Objectives:**

1. To investigate perceptions of wealth differences and inequalities in a community.
2. To identify and understand local indicators and criteria of wealth and wellbeing.
3. To map the relative position of households in a community.

**With whom:** Carry out the exercise with a few key informants who know the community well.

**Examples of key questions:**

1. What are local perceptions of wealth, wellbeing and inequality?

2. What socio-economic groupings are there in the community and who belongs in what group?

**How to facilitate:**

Given that poverty and disease may go hand in hand with social stigma, the poor may resist being classified as poor. It is therefore best that key informants from the village carry out the exercise. However, one should always be cautious not to be biased towards one or another group. For example, it is likely that key informants belong to the better off groups. They may be reluctant to classify themselves as being better off in the belief that better off households will not receive aid. It is therefore to clearly spell out the true purpose of the exercise and to find ways of avoiding bias in either direction by having people from the various groups participate together or separately.

The steps involved in wealth ranking include:

1. A numbered list is made of all the households in the community (see social map) and the name each household head and the household number is written on a separate card.
2. A number of key informants who know the village and its inhabitants very well are asked to sort the cards in as many piles as there are wealth categories in the community, using their own criteria.
3. After sorting, ask the informants for the wealth criteria for each pile and differences between the piles. Assure the informants of confidentiality and do not discuss the ranks of individual families, so as not to cause bad feelings within the community.
4. List local criteria and indicators derived from the ranking discussion.

**Materials needed:** You need the accompanying documentation sheet, this tool sheet, the social map and coloured cards for listing the names of the community members.

#### **TOOL 4 - LOCAL PERCEPTIONS OF MALNUTRITION AND MAPPING OF HOUSEHOLDS AFFECTED BY MALNUTRITION**

**Description:** The purpose of this tool is to reach a better understanding about who is affected by malnutrition and why. While the tool could be expanded to look into other nutrition related issues, it is important that the identification of who is nutritionally vulnerable is carried out as early as possible during the appraisal. The information will permit the team to prepare for group discussions on causes and opportunities for addressing these problems. Knowing whom is affected is also essential to select households for more in-depth case studies.

**Objectives:**

1. To identify various forms of malnutrition prevalent in the community.
2. To understand the local perceptions of malnutrition.
3. To map nutritionally vulnerable households

**With whom:** Carry out the interview with one or more key informants. Below, possible key informants are listed:

1. Community Health Worker
2. Traditional Birth Attendant
3. Rural Health Centre Worker
4. Home Agent
5. Traditional Healer
6. Primary School Teacher

**Time needed:** 2 hours

**Examples of key questions:**

1. What are the most important health problems and how important are nutrition problems?
2. What do local people see as the causes of their health and in particular nutrition problems?
3. What is the local treatment for specific health and nutrition problems?
4. Who is (more) affected by what health/nutrition problems and why?
5. What age groups, gender, socio-economic groups, etc. are more affected and why?

**How to facilitate:**

An appointment is made with key informants, either individually or in a group. The informants are asked to:

1. Describe the commonly seen health problems in the community? What problems are specific for children, adults and women.
2. Rank for each group (children, adults and women) the health problems according to their importance? Ten marks are given to the most important problem and one mark to the least important problem. A mark between 1 and 10 is given to the remaining problems.
3. Explain why more importance was given to one problem than to another? (*e.g. higher incidence, more severe, etc.*)
4. Identify those problems that are important for nutrition (*i.e. marasmus or the fact that a child's weight is significantly low for its age; kwashiorkor or protein malnutrition with symptoms like potbelly, oedema, dry skin and discoloration of the hair; night blindness; diarrhoea; anaemia, etc.*)?
5. Describe for each of these nutrition-related problems, what local people see as the causes?
6. Explain what local people in general do to treat these problems? (*Draw a matrix with the problems, their perceived causes, and how they are treated*)
7. Identify on the village map those households that have frequently such nutrition-related problems and for each of these households mark with a symbol the type of nutrition-related problems they suffer from?
8. For each of the households that were marked, explain the reasons why these households are having the nutrition-related problems that were mentioned?

**Materials needed:** You need the accompanying documentation sheet, this tool sheet, the social map and a list of the households or cards with the names of the head of the household together with the codes through which to locate the households on the social map.

## **TOOL 5 – INSTITUTIONAL VENN DIAGRAM**

**Description:** The Institutional Venn Diagram is a tool that is used to visualises and discuss the relationships among institutions, organisations, groups and important individuals found in a village. In addition, the diagram allows villagers to attach a value to each institution in relation to its relative importance within and for the community. The diagram may also show who participates in each institution in terms of gender, socio-economic class, ethnicity, religion, etc.

### **Objectives:**

1. To identify and characterise external and internal organisations, groups, important persons that have a relationship, whether direct or indirect, with the community.
2. To identify whom participates in local organisations, institutions and groups, by gender, wealth and other criteria as appropriate.
3. To find out how the different organisations, groups and people relate to one another in terms of contact, co-operation, flow of information, provision of services, etc.

**With whom:** The Institutional Venn Diagram should be developed with a broad cross-section of the community. If need be, the exercise may be done with separate groups of men and women, poor and better off, etc. so as to better catch differences in perceptions among these groups. When separate groups are used, the results should always be shared among these groups at the end of the exercise so as to stimulate discussion and clarify eventual discrepancies.

**Time needed:** 1,5 - 2 hours

### **Examples of key questions:**

- Which organisations, institutions, groups and important persons are working in or with the community?
- What is their relative importance in the eyes of the villagers and why?
- What groups address household food security and nutrition issues?
- Which organisations work together?
- What groups are solely for women or men?
- What are the particular groups or kind of people that are excluded from being members of or receiving services from certain institutions?

### **How to facilitate:**

If time allows it is good to form separate focus groups for women and men. Make sure that also the poorest and most disadvantaged join the groups.

To facilitate the preparation of an institutional venn diagram, follow the steps below:

1. Identify those organisations, institutions, groups and important people that are found within the village and those that have come from outside and are working with the community. Make sure not to neglect the small informal *groups* (e.g. a *neighbourhood health committee* or a *water user group*).
2. Explore the ways in which people assist one another. What local groups are working on environmental issues (e.g. *water, grazing, arable land*), economic issues (e.g. *saving, credit, agriculture, livestock*), social issues (e.g. *health, literacy, religion, tradition, education, sport*). Are their political groups? Who makes or participates in making important decisions in the village?
3. Write down all the institutions that are mentioned and assign to each organisation a symbol that everyone understands.
4. Draw a big circle, representing the people themselves, in the centre of the paper or on the ground.
5. Discuss how important each organisation is for the community and why. The most important ones are then drawn as a big circle and the less important ones as smaller circles.
6. Compare the sizes of the circles and adjust them so that the size of a circle corresponds to the relative importance of the institution, organisation, group or individual.
7. Mark each organisation, group and individual with its own name or symbol.
8. Discuss on how the community and different groups of people benefit from each organisation.
9. Show the degree of contact and co-operation among the community, the organisations, institutions, groups and important individuals. The distance between the circles shows the level of contact and interaction. External institutions with which people do not have much contact are located outside and far away from the main circle that represents the community. Institutions that are within the community are drawn inside the main circle. The contact among institutions is shown by the distance between the circles on the diagram:
  - Large distance between circles shows no or little contact or co-operation.
  - Circles that are close to each other show loose contacts.
  - Touching circles indicate institutions that have some co-operation.
  - Overlapping circles are for institutions that are in close co-operation.
10. Identify those institutions that only accept women or men as members. What institutions provide services to only men or women and mark those with a common symbol for men or women.
11. Identify those organisations in which poor people do not participate. What are the services provided by certain organisations from which the poorer people are usually excluded? Mark these institutions on the diagram with a symbol for poor. You might also ask if there are other groups of people that usually are excluded from some of these institutions or services.

12. Identify those institutions and groups that address household food security and nutrition issues. In what way are they addressing these issues? Mark the mentioned institutions with a common symbol.
13. Only if time and the motivation of the participants allow, the group may discuss the strengths and weaknesses of those institutions that were reported as most important.

**Materials needed:** You need the accompanying documentation sheet for the Institutional Venn Diagram, this tool sheet, and paper for copying the diagram. When drawing on the ground, use soft ground, sticks and local material for symbols, When drawing on paper, use big sheets of paper, pencils and markers.

**Hints:** If people find it difficult to understand this tool, it will be helpful to draw a simple example for them.

## TOOL 6 - RESOURCE PICTURE CARDS

**Description:** Resource Picture Cards are a useful visualisation technique that can be used to facilitate a discussion about who uses and controls resources. It is fun and non-threatening way of identifying differences in the resource base of men and women and discussing their specific priorities and resource needs.

**Objective:** To learn about differences between men and women in their use of and control over resources.

**With whom:** A mixed group of men and women, preferably taken from the same groups that prepared the resource map.

**Time needed:** 1.5 hours

### Examples of key questions:

1. What are the resources that women use?
2. What are the resources that men use?
3. What resource do both use?
4. Who controls the use of these resources?
5. Who makes decisions about how resources are used?

### How to facilitate:

You can use either pre-prepared cards with pictures or use local material to create symbols for this exercise.

1. Explain to the group that you want to learn about resource use and control.
2. Place three large drawings, one of a man, one of a woman, and one of both, on the ground in a row with adequate space in between them.
3. Ask the participants to think about the resources they named while doing the resource map and any others they have, use and/or think are important.

4. If you want to use local materials, then ask the participants to develop symbols for these resources (leaves or twigs could represent forest and firewood, cow dung or horns can represent cattle, etc). Or you can use the pre-made Resource Cards.
5. If using the Resource Cards, ask them to draw pictures on cards to represent resources not on the cards.
6. Ask the participants to place the symbols or pictures under the symbol of the man, woman or both, depending on whom uses the resource.
7. Ask the participants to explain why they made the choices they did.
8. Make another row of the three large drawings, the man, the woman, and both, on the ground underneath the other picture.
9. Repeat the exercise, but this time focus on who has control, ownership or decision-making power over each resource.
10. Ask the participants to compare the way they have arranged the symbols or picture cards in both of the drawings.

**Materials needed:** You need the accompanying documentation sheet for the Resource Pictures Cards, this tool sheet, and paper for copying the results. Two sets of Resource Picture Cards, including the figures. Or sticks, pebbles, leaves, sawdust, flour, dung or any other local material.

Hints:

1. There will be a lot of discussion about where to place the symbols, under the drawing of the man, the woman or of both. Explain that only the resources that are used and/or controlled half by men and half by women should be placed under the column for both. They should place the symbols or pictures under either the woman or the man to indicate who uses and/or controls them most.
2. Be sure to have blank cards ready to draw resources that you have not made pictures for.

## **TOOL 7 - SEASONAL CALENDAR**

**Description:** A seasonal calendar is a participatory tool to explore the effects of seasonal factors on livelihood aspects, including workload, diseases, income, expenditure, food availability, access to potable water, etc. In situations where people have few reserves, seasonal food shortages may be a major reason for malnutrition. In such situations, people may revert to unsustainable means of meeting their most basic livelihood needs, e.g. illegal logging, over-grazing of communal land, etc. However, not everyone in a community may be equally affected. It is therefore important that seasonal calendars be applied separately for men and women in order to bring out differences in how men and women and women perceive and are affected and cope with seasonal stress. The same is applicable for different wealth groups, etc.

**Objectives:** To learn about how seasonal factors affect people's livelihoods, and in particular those of poor and disadvantaged, through for example periodic changes in agricultural and non agricultural workload, food availability, incidence of diseases, income and expenditure, access to water, forage, etc.

**With whom:** Mixed or separate groups of women and men.

**Time needed:** 2 hours

**Examples of key questions:**

1. What are the busiest months of the year?
2. At what time of the year is food scarce?
3. How does income vary over the year for men and women?
4. How does expenditure vary over the year for men and women?
5. How does rainfall vary over the year?
6. How does the availability of potable water vary over the year?
7. How does availability of livestock forage vary over the year?
8. How does availability of credit vary over the year?
9. At what time of the year are which holidays?
10. When do women carry out most of the agricultural work carried and what work is done when?
11. When do men carry out most of the agricultural and what work is done when?
12. What non-agricultural work do women carry out and when?
13. What non-agricultural work do men carry out and when?
14. What is the most appropriate season for additional activities for men and women?  
What time constraints exist and for what reason?

**How to facilitate:**

1. Find a large open space for the group. The calendar can be drawn on the ground or large sheets of paper.
2. Ask the participants to draw a matrix, giving a symbol to each month in the top row and a symbol for the factors that you will look at in the first column.
3. It usually easiest to start the calendar by asking about rainfall patterns. Place the symbol for rain in the first cell of the row that will be used to illustrate the rainfall pattern. Ask the group to put stones under each month of the calendar to represent relative amounts of rainfall (more stones meaning more rainfall).
4. Move to the next topic and ask people during which months food is usually scarce. Discuss the reasons for this scarcity. Make sure to capture the different kinds of food donations that people may receive and reflect this on the calendar.
5. Continue the exercise going through all the topics you wanted to discuss, including for example:
  - (1) Rainfall
  - (2) Food scarcity (*many stones means less food available, indicate during which time people receive food donations (e.g. food for work)*)
  - (3) Income (cash and kind) for women
  - (4) Income (cash and kind) for men
  - (5) Expenditure (men and women separate)
  - (6) Potable water
  - (7) Livestock forage
  - (8) Credit and savings
  - (9) Holiday periods

- (10) Agricultural work load (women and men separate)
- (11) Non-agricultural work load (women and men separate)

6. After the calendar is finished ask the group what the relationship is between the patterns that can be seen in the different calendars, e.g. between rainfall and agricultural production or incidence of diseases. Encourage the group to discuss freely what they see on the calendar.
7. Make sure to copy the seasonal calendar as well as the legend explaining the different items and symbols.

**Materials needed:** You need the accompanying documentation sheet for the Seasonal Calendars, this tool sheet, and paper for copying the calendars. When drawing on the ground, use soft ground, stones, sticks and other available material to produce symbols, or when drawing on a paper, use a big sheet of paper, pencils, and colour markers.

**Hints:** When presenting the list of topics, one should always first check with the participants if there are any other topics they feel are important and need to be explored. These should be added to the matrix.

Apart from gender, the nature of the location and community may require or the participants may wish to include other factors of differentiation, including socio-economic groups, agro-ecological zones, etc.

## **TOOL 8 - INCOME AND EXPENDITURE MATRIX**

**Description:** The Income and Expenditure Matrix is a tool for the qualification and quantification of different sources of income and expenditure. Understanding where people derive their income from and how it is spent is important for understanding livelihoods and food security. People within a community as well as within a household may have different ways of deriving income and spending. It is therefore useful to apply this tool separately for these different groups of people, e.g. separate for men and women, the poor and better off, etc. This will help in identifying those affected by 'income poverty'. Together with the information from the social map, it may be possible to quantify and qualify the income poor. When combined with the nutrition map, the link between income and nutrition can be explored. Knowing how men and women spend differently is important to understand factors within the household that affect malnutrition. E.g., who spends how much on basic livelihood needs, including food, water, clothing, shelter, health care, education, etc.? Who saves or spends what proportion of income on investments in income generating activities?

**Objective:** To learn about sources of income (cash and kind) and what proportion of income is spent by whom, e.g. by gender and wealth groups.

**With whom:** Two mixed focus groups (men and women), one looking at gender differences, the other at wealth differences.

**Time needed:** 2 hours

## **Examples of key questions:**

### **Income matrix:**

1. What are the most important sources of income in the community, both in cash and in kind?
2. Who has only a few sources of income?
3. Who has many sources of income?
4. How compares the income of the poor with that of the better off?
5. How do women's sources of income compare with those of men?

### **Expenditure matrix:**

1. How are expenditures spread out over the year?
2. Which expenditures are common to almost every one?
3. For each social group, what proportion of income is spent to meet basic needs like food, clothing, housing, health care and education?
4. Who saves?
5. Who buys equipment, tools, agricultural inputs or other investment goods?
6. How do women's expenditures compare to those of men?

### **How to facilitate:**

#### **For the group looking at wealth differences:**

1. Explain to the group that you want to learn about where their income comes from and how they spend it. Reassure them that you don't want to know how much they make but are only interested in learning about where the money comes from.
1. Ask the group to list their sources of income. Be sure to prompt them to include both cash sources and payments in kind or by barter.
2. Start drawing the matrix on the ground or a large piece of paper.
3. Put the sources of income in the horizontal axis. The group may want to use symbols to represent the various sources.
4. Collect 50 small stones (ask the children for help). Explain that these stones represent the total income for the whole community for the year.
5. Ask the participants to divide the 50 stones between the wealth groups that were identified during the social mapping, e.g. the poor, middle and rich.
6. Ask the group to select a representative for each of the wealth groups, and give these representatives the portion of the stones the group decided they should have.
7. Ask the representative to stand along the vertical axis with the stones.
8. Ask the representative to take turns placing their stones in the matrix to indicate their sources of income. Carry this out until all the stones are divided.
9. Record the matrix, counting all the stones for each source of income for each socio-economic group.
10. Repeat the same process for expenditures. Create a new matrix, using local symbols if desired, asking the group to list all of their expenditures, including savings.
11. Ask the representatives to collect back their stones and to redistribute them according to how they spend their money.

## For the gender group

1. The process is almost the same. Put two columns on the horizontal matrix – men and women. Again let the group list their sources of income.
2. Again collect 50 stones. Divide them equally among the men and the women (25 each). Select a representative and start the distribution as above.

**Materials needed:** You need the accompanying documentation sheet for the Income and Expenditures Matrix, this tool sheet, and paper for copying the matrices. You will also need local materials to create symbols and stones.

**Hints:** Discussing incomes and expenditures can be highly sensitive. People may be reluctant to talk about these issues in public. Be sure to reassure the participants that you do not want to know about amounts, but will only be talking about relative proportions for each group. There will be a sensitive moment when you ask the group to agree on how to divide the stones among the rich, middle and poor groups. Be sure that you limit the total number of stones for the community as a whole. We suggest 50 stones.

## TOOL 9 - DAILY ACTIVITY CLOCKS

**Description:** Daily Activity Clocks are a technique to identify and visualise the different activities that people are involved in during the course of a day. Knowing who does what and how much time is spent on different tasks may be important to understand for example the ability of women and other caregivers to look after the nutritionally vulnerable. Special clocks for children may be able to show how important school is in their lives and how boys and girls are differently involved in household chores. Comparison of daily activity clocks among different socio-economic groups may help explain for example different child care practices or reasons why poor children do not attend school as frequently as children from better off households. It is also useful to prepare separate clocks for the different seasons so as to capture the effects of seasonal workloads on childcare, school attendance, etc.

**Objectives:** To learn what different people do during a day and how heavy their workloads are.

**With whom:** To capture gender aspects, it is best to use female and male focus groups. If time allows, other focus groups may also be useful, e.g. groups of boys and girls, the poor and better off, etc.

**Time needed:** 1 hour

### Examples of key questions:

1. For each person, how is his or her time divided?
2. What is the difference between the women's and the men's clocks?

3. Who has the heaviest workload?
4. Who has time for rest and leisure?
5. How much time per day do women or girls spend collecting water and fuel wood?

**How to facilitate:**

1. Organise separate focus groups of men and women. Make sure that each group includes people from different socio-economic groups, unless you have planned to make clocks for each socio-economic group separately.
2. Explain that you would like to learn about what they do on a typical day.
3. You can start the exercise by asking the groups what they did the day before and how they generally pass their day this time of the year. It's easy to start the clocks by asking what time people usually wake-up.
4. Draw the clock with all the activities carried out the previous day and indicate the time each activity took. Activities that are carried out at the same time like childcare and cooking can be placed together.
5. When the clocks are ready, ask questions about the activities shown.
6. Note the present season, e.g. rainy season, dry season.
7. If there is time, ask the participants to produce new clocks to represent a typical day in the other season.
8. Compare the clocks prepared by the different groups.
9. Use the key questions above to guide a discussion about people's activities and workloads.

Be sure to copy the clocks on paper. Note the name of the group or person the season that the clock represents.

**Materials needed:** You need the accompanying documentation sheet for the Daily Activity Clocks, this tool sheet, and paper for copying the clocks. For the group to make the clocks use flip-chart paper, coloured markers and a ruler. You may also draw the clock in sand and use local materials to show the different activities.

**Hints:** You can start the exercise by giving the example of how you spent your day yesterday. Draw a big circle on paper and indicate when you woke up, what time you went to bed and all the activities in-between. There is no need to go into great detail, but be sure to show that all kinds of activities are included such as work, household chores, childcare, etc.

## **TOOL 10 - FOCUS GROUP DISCUSSION: CONSTRAINTS AND OPPORTUNITIES TO ACHIEVING GOOD NUTRITION**

**Description:** A focus group discussion is a group discussion that is centred on a specific theme. The group may represent a specific group, e.g. men or women, the poor or better off, the youth, etc. The group may also represent a cross-section of the community. The purpose of the discussion is not so much information gathering but rather to make a first start with the analysis of what local people see as constraints and opportunities to achieving good nutrition. The focus is not only on those affected and how they cope but is also on why others are not affected and

why. The discussion should be held once other basic information has been gathered. Resource mapping, social mapping, nutrition mapping, and other tools will provide very useful input for the discussion.

**Objectives:**

1. Understand local perceptions of nutrition and household food security.
2. Identify and understand constraints in the household and community to achieving good nutrition and household food security.
3. Identify and understand mechanisms in the household and the community to cope with malnutrition and household food insecurity.
4. Identify what community, household and individual resources are required to obtain good nutrition and household food security.

**With whom:** It is useful to organise separate meetings for men and women in order to capture gender-based differences in perceptions.

**Time needed:** 2 hours

**Examples of key questions:**

1. What are the major health problems during the different seasons?
2. What are the most important constraints to achieving good health and how are these overcome?
3. How and by who are decisions made in the household with regard to health or responding to health problems?
4. What measures are taken and what resources are needed to prevent health and nutrition problems from recurring?
5. What are the foods commonly eaten during the different seasons, are their shortages and why?
6. What are the most important constraints to achieve food security and how do different people cope?
7. How and by who are decisions made with regard to achieving food security or responding to problems of attaining food security?
8. How are resources allocated to achieving food security and reallocated in case of food insecurity?
9. What measures are taken and what resources are needed to prevent food security problems from recurring?

**How to facilitate:**

Make an appointment for the meeting well in advance. Make sure that there are enough participants to have a meaningful discussion, but also avoid too large a group because this will inhibit free discussion. Make sure that there is a note taker and that the facilitator can fully concentrate on the discussion. Start the discussion with a clear explanation of the purpose of the meeting and the theme that you would like to discuss. Use the key questions as a guide for the discussion. Remember that the main purpose of the exercise is not data gathering, but to probe into issues that seem to play a significant role in achieving good nutrition. The discussion may be

split into two parts or separate groups may each discuss one of the sub-topics depending on availability of time and facilitators.

## **Nutrition**

1. What are the major health problems that members of the community have faced during the past year? Rank these problems in order of importance by giving ten marks to the most important problem, one mark to the least important problem and a mark between one and ten to the remaining problems. *(also find out who was affected by what illness) (indicate those problems that are nutrition related) (if some of the nutrition-related health problems identified during the nutrition-mapping exercise are not mentioned, ask about those problems)*
2. In your view, what are the reasons for these problems and what is commonly done to resolve the problems? *(Draw a matrix with the problems, the causes, the actions taken by the community and households) (Ask this question for each of the nutrition-related health problems) (Probe deep enough into the reason for problem in order to understand the underlying causes) (probe deep enough into how the family addressed the problem and its causes)*
3. How are decisions being made in the household with regard to health or responding to health problems? Who makes specific decisions? How are household resources allocated in case of ill health and malnutrition?
4. What resources are needed by the community, households and individuals to become more successful at preventing health and nutrition problems from recurring?

## **Household food security**

5. What are the foods commonly eaten in the community during this *(dry)* season? *(When listing the foods do not restrict the list)*
6. Can you rank these foods according to their frequency of consumption? *(Give 10 marks to the most frequently consumed food and 1 mark to the last frequently consumed food. Mark the remaining foods on a scale between 1 and 10)*
7. How does the diet change during the other *(rainy)* season and why? *(Add or subtract foods from the list. Rank the foods again)*
8. What do you consider to be a good quality diet? *(Rank the foods listed before according to importance)*
9. During the last year, what have been the problems in the community, households and individuals to obtain such an adequate diet *(to be food secure)*? *(focus on the three levels : community, household and individual so as to reveal issues of food distribution within the community and within household) (Draw a matrix with the problems, the causes, the actions taken by the community and households)*
10. In your view, what were the reasons for these problems? What did the community and households do to resolve these problems? *(Probe deep enough into the reason for the problem in order to understand the underlying causes) (Probe deep enough into how the community addressed the problem and its causes)*
11. How are decisions being made within the household with regard to achieving food security or responding to problems of attaining food security? Who makes specific decisions? How are resources allocated to achieving food security? How are resources reallocated in case of food insecurity?

12. What measures are taken by the community and households to prevent food security problems from recurring?
13. What resources are needed by the community, households and individuals to become more successful at preventing food security problems from recurring?

**Materials needed:** You need the accompanying documentation sheet for the Focus Group Discussion, this tool sheet, and paper for copying the matrices. For the group to make the matrices use flip-chart paper, coloured markers and a ruler. You may also draw the matrices in sand and use local materials to show the different foods, diseases, etc.

## **TOOL 11 – SEMI-STRUCTURED INTERVIEW: HOUSEHOLD CASE STUDY**

**Description:** Household case studies are a useful tool to verify findings from the other appraisal tools and to illustrate these findings with concrete cases. Household case studies are time consuming and require excellent facilitation skills if one wishes to go beyond the level of a traditional survey with closed questions. The purpose, as with the focus group discussion, is not so much to collect data but to listen to the story behind the facts and probe deeper in what are important underlying constraints and opportunities.

Case studies are also a good tool to listen to the poorest and marginalised in the community. It may be a unique opportunity for them to participate in the appraisal as they are often not participating or sometimes even excluded from community meetings. It is also an excellent opportunity for observation and the note taker should take note of the surroundings and the way the interviewed people live. The story of the poor will also provide the appraisal team with excellent material to illustrate their findings and advocate for specific solutions targeting the needs of the disadvantaged over solutions that cut across the entire community without having a real impact on the poorest.

### **Objectives:**

1. To understand why members of a household (that was mapped as being affected by malnutrition) have nutrition-related health problems and why other households are not affected.
2. To identify constraints and opportunities in the household and community for household members to achieve nutrition security.

**With who:** Selected households from different socio-economic groups.

**Time needed:** 1.5 hours

### **Examples of key questions:**

1. Who lives in this household? (*father, mother, children, permanent dependants like grandparents, temporary dependants*) (*for the children, find out how old they are*)

2. What are the major health problems that some of your family members have faced during the past year? *(find out who was affected by what illness) (indicate those problems that are nutrition related) (if some of the nutrition-related health problems identified during the nutrition-mapping exercise are not mentioned, ask about those problems)*
3. In your view, what were the reasons for these problems and what did you do to solve the problems? *(Ask this question for each of the nutrition-related health problems) (Probe deep enough into the reason for problem in order to understand the underlying causes) (probe deep enough into how the family addressed the problem and its causes)*
4. What measures have you taken to prevent such problems from recurring?
5. What resources would you need to become more successful at preventing such problems of recurring?
6. What are the foods commonly eaten in the household during this *(dry)* season? *(When listing the foods do not restrict the list)*
7. Can you rank these foods according to their frequency of consumption? *(Give 10 marks to the most frequently consumed food and 1 mark to the last frequently consumed food. Mark the remaining foods on a scale between 1 and 10)*
8. How does the households diet change during the other *(rainy)* season and why? *(Add or subtract foods from the list. Rank the foods again)*
9. During the last year, what have been your problems to be able to feed your family well?
10. In your view, what were the reasons for these problems and what did you do to resolve these problems? How did you feed your family during these periods? *(Probe deep enough into the reason for problem in order to understand the underlying causes) (probe deep enough into how the family addressed the problem and its causes)*
11. What measures have you taken to prevent such problems from recurring?
12. What resources would you need to become more successful at preventing such problems of recurring?

### **How to facilitate:**

1. Sort and pile the households in the community by those that were mapped as having nutrition-related health problems and those that have no such problems.
2. With each pile, sort and pile households that were ranked as wealthy and those that were ranked as poor. *(You should now have four piles)*
3. Within each pile, sort and pile households that are male headed and those that are female headed. *(You should now have eight piles)*
4. Randomly select one household from each pile. A household case study will be carried out in each household.
5. The facilitators will carry out the interview at the house using the key questions listed before. Other questions may be added as appropriate. Make sure to use the key questions as a guide for the discussion and probe, rather than to use them as a questionnaire.
6. The note taker should observe the surroundings and take note of things like the state of the house, the location where people cook, the health status of the family members, etc.

**Materials needed:** You need the accompanying documentation sheet for the Case Study and this tool sheet.

## **TOOL 12 - COMMUNITY WORKSHOP**

**Description:** The Community Workshop is a meeting with the community at large to discuss the findings of the appraisal and draw the first lines of what a community plan of action could look like. It is the first feedback from the appraisal team and aims at identifying what the different stakeholders could do to overcome the problems that were discussed. The focus is primarily on what community-based stakeholders can do within the existing resource base. It is important not to create any expectations that one cannot guarantee.

It is important to give a clear overview of what follow-up will be given to the appraisal and what the time frame is going to be. In case you are planning to provide further feedback to the community at a later stage, for example once a draft project proposal has been designed, make a tentative appointment.

### **Objectives:**

1. To present the main findings and conclusions of the appraisal to the community at large.
2. To provide an opportunity to the community for discussion of the main findings of the appraisal.
3. To reach a consensus on the way forward and the roles and responsibilities of the community, the community support staff and the project.

**With who:** Organise a meeting with the community at large, ensuring that men and women are equally represented, as well as people from different socio-economic groups and ages.

### **Examples of key questions:**

1. What are views of the community on the main findings of the appraisal?
2. In anticipation of an eventual project or other intervention, what actions can the community and the community support staff already initiate, using locally available resources, to start address some of the problems raised during the appraisal?

### **How to facilitate:**

1. The leader of the appraisal team presents an overview of the activities that were carried out.
2. Each team member presents the main findings of the exercises facilitated by him or her. Main findings and conclusions should be presented using the Evaluation Matrix, giving: key questions, main findings, strengths within the community, weaknesses within the community, opportunities outside the community, threats outside the community, and conclusions.

3. Following the presentation of all findings, the gathering should be split into groups. For example: Community Leaders, Adult Men, Adult Women, Young People, and Community Support Staff.
4. Each group discusses the findings and conclusions of the PRA and identifies what actions could be undertaken by themselves (young, old, men, women, leaders, support staff) to address some of the identified problems within the limits of the resources that are locally available (human, financial, natural, social, institutional, etc.). The appraisal team members may facilitate this exercise, allowing maximum participation from the group members, and using the various elements of the SWOT analyses as entry points. For example, what are the weaknesses in the community that the community needs to address and what are the strengths that need emphasising? How can opportunities coming from outside be better utilised and threats reduced? What is the role of the community support staff therein?
5. Each group presents its findings and conclusions to the plenary meeting.
6. The leader of the appraisal team explains what follow-up will be given to the appraisal. E.g. causal analysis at regional level, project planning and formulation, review and approval of the project proposal by a review meeting.
7. In the case of a project, the team leader expresses the commitment to follow-up on the process initiated through the appraisal. For example, a first step following the approval of the project could be the initiation of a “Community Action Planning” process that would build on the findings of the appraisal.
8. Vote of thanks by the various stakeholders.

**Materials needed:** You need the accompanying documentation sheet for the Community Workshop and this tool sheet. In addition, you may use in the meeting flip charts with the “Main Questions and Findings”, “An analysis of strengths, weaknesses, opportunities and threats” and “Conclusions”. You will also need flip charts for documenting the group discussions.

## ANNEX 9 - SELECTING A SAMPLE

**Objectives:** To select a representative sample of sites, covering various village and household types and geographical zones so as to cover various factors that may have a bearing on livelihood strategies and nutrition and household food security outcomes.

**Description:** The identification of a set of criteria is required for the selection of a well-balanced sample. The sample should as much as possible be representative of the majority of the people living in the area while also allowing the appraisal of the effects of specific internal and external variables that are important to nutrition and household food security. Selection criteria should be identified together with local authorities and organisations.

The selection criteria should provide a basis for the appraisal to cover all aspects of the problem under investigation. For that reason, the area needs to be divided into more or less homogenous zones representing distinct geographic, administrative, climatic, agro-ecological and other area-linked features. Zoning may also be based on specific vulnerability factors and livelihood strategies. If a preliminary causal analysis or field study was carried out prior to the selection of the sites (see Orientation and Planning Workshop) specific typologies and variables may have emerged that are important in better understanding or verifying hypotheses about causes and effects, and changes over time.

Secondly, the selected sites within each zone must also be typical for the more general situation in the zone, as they will need to serve as case studies. Sites should therefore be selected as to represent common characteristics of specific village typologies. The typology may be based on internal factors and include religious, cultural, ethnic and socio-economic characteristics, local institutions, etc. Also external factors need to be considered, like access to markets, communication channels, government and other services, existing local policies, statutory and customary legal frameworks, etc.

While one may be tempted to keep logistics as simple as possible, one should consider the importance of the location of the sites in rural areas where people may be dispersed versus more urban sites with high population densities. Equally important is that site selection covers the effects of remoteness on for example access to markets versus the impact of a more road-side location on socio-cultural aspects.

In general, sites will coincide with local administrative units. This may be a village, but also a sub-village unit or a group of villages. It is important to define the village concept within the formal as well as the traditional administrative context. Also the household concept will need to be defined from the local as well as the more formal administrative perspective. While this is important to understand secondary statistics, the household also constitutes the most basic socio-economic level and household interviews are considered an essential PRA tool.

**Stakeholders:** Local government as well as traditional authorities and institutions, indigenous and non-governmental organisations and the project team.

### **How to facilitate:**

1. Determine the boundaries of the appraisal? The lower boundary could be the individual, household or community level, the upper boundary could be an agro-ecological zone or an administrative area like a district or a province.
2. Establish the understanding of local people and of the formal administration of what constitutes a "household" and a "village" and determine what definitions will be used.
3. From preliminary or previous research, identify known or assumed factors that have an impact on nutrition and household food security. Determine which of these factors is specific to a particular zone, village type or household type?
4. Carry out the zoning by relying on previous zonings or carry out your own zoning based on maps, secondary statistics and a field visit to the area.
5. Consult local administrations and traditional leaders on administrative boundaries at various levels. Note that traditional and formal administrative units do not necessarily coincide.
6. From secondary data or through preliminary field visits, determine village and household typologies.
7. Determine sample size based on practical considerations, like time available, remoteness of locations, number of zones and village types, and variability between villages and within villages. If locations are remote, sample size may be reduced and more time spent in a smaller number of sites. When variability between villages is higher than within, the number of villages can be increased and the number of household interviews decreased spending less time in each village. The same is valid for variability between zones and within zones.
8. Bases on the set of criteria that were established through points 1 to 7 select sites jointly with local officials.
9. Obtain the required permits for carrying out the appraisal from all relevant authorities, both formal and traditional ones.
10. Selection of households within a village is done with the community and only after the required mapping exercises have been completed.

### **Outputs:**

- A set of key criteria for the identification of zones and the selection of sites
- An area map indicating the various zones
- For each zone, a map indicating the selected villages

### **Resources needed:**

- Time: 2 to 3 days for a preliminary field visit for zoning and 1 day for discussion with relevant authorities
- Key informants from governmental and non-governmental organisations, as well as traditional leaders
- Materials: Maps and secondary statistics on population, altitude, rainfall, land-use and cropping patterns, basic services like health centres, schools, water points, roads, etc.

## **ANNEX 10 - STRUCTURING PRA INFORMATION BY SITE AND PREPARING VILLAGE PROFILES**

**Objective:** To document the results of the appraisal in individual village profiles.

**Description:** Based on the documentation sheets from the PRA, village profiles are prepared that are structured along the major subject areas of the appraisal. The village profile should in the first place provide and answer to all the key questions as stated in the PRA outline. In addition, the village profile should also contain in an easily accessible format primary and secondary information that was gathered from the PRA. The profile should include a reproduction of tables, maps, clocks, historical profiles, diagrams and other visual materials that were used.

Village profiles should provide information and answers in a comprehensive, and easily accessible manner, given that they the information will provide the basis for further analysis and aggregation.

The village profile will also provide a reference point for participatory monitoring and evaluation. A village profile is therefore a living document that will evolve over time and reflects the dynamic nature of community participation in development. It belongs to the community and should therefore also be shared with them. This can be done prior to starting causal analysis, so that the opportunity can be used to verify remaining assumptions or filling crucial information gaps.

**Participants:** The entire appraisal team

### **How to facilitate:**

1. If the village profile is to be written in a language different from the language in which the PRA was done, translate the field notes.
2. Define and convert local measures, calendars etc. into units that will allow comparison among villages.
3. Review the information that was collected according to the key questions as stated in the PRA outline.
4. When documenting findings, make a distinction between findings that can be triangulated and can therefore be considered as firm, assumptions that need confirmation and list any crucial information gaps.
5. For the assumptions and crucial information gaps, indicate how the team should go about filling these gaps.
6. In addition, for each key question, determine if the findings are valid for all socio-economic groups, gender, age groups, agro-ecological zones, ethnic or religious groups, etc. Explain the differentiation.
7. Reproduce any visual materials that were prepared during the PRA and attach in annex.
8. Prepare tables for findings that can be quantified and attach in annex.
9. Have the village profile reviewed by sector specialists as well as by the community or its representatives.

**Outputs:**

Village profiles

**Resources needed:**

- Time: 1 to 2 days per profile
- Appraisal team members
- Materials: original documentation sheets and secondary data sources

## **ANNEX 11 - REGIONAL PROFILE WRITING and SWOT ANALYSIS**

**Description:** Once the village profiles have been compiled, the time has come to compare the findings from the different communities and prepare an overall profile for the entire region or area that was covered. The purpose of the profile is dual. On the one hand, there is need to summarise the findings and draw general conclusions. On the other hand, the comparison of individual profiles may reveal important differences. These may for example be due to geographic or agro-ecological factors. Also the location of the community within or near an urban centre may result in greater access to services, markets, and other facilities as compared to more remote communities.

The process of preparing a regional profile also provides a good opportunity to present the findings to a larger public and to evaluate the results together with all the stakeholders. This may lead to the identification of remaining information gaps or areas that require further probing, and to plan for collecting the missing information.

The basic information for the profile comes from the individual village profiles. These were organised along the key questions of the different appraisal tools. To make sense of all this information and put it in a format that is readily useable for planning purposes, one may use a tool called SWOT analysis. SWOT stands for Strengths and Weaknesses, Opportunities and Threats. Strengths and weaknesses are characteristics of the people or group that is being investigated. For example, the group may be poorly organised, there may be social vices that unhealthy, the extended family may provide a good social safety net. Opportunities and threats on the other hand are factors that are beyond the immediate control of the community, but that nevertheless have either a positive or negative impact on the community. For example, erratic rainfall may be a threat to agriculture, and the counselling services provided by a mission hospital may be a good opportunity for preventing and dealing with HIV/AIDS.

It is extremely useful to do a SWOT analysis prior to problem tree analysis and objective tree analysis. The reason being that the weaknesses and threats will provide the problem statements with which the problem trees can be developed. The strengths and opportunities will provide a good basis for formulating means and ends of the objective trees.

If the participants feel that making a distinction between what is under the control of the community (SW) and what is not (OT), one may decide to simply look at constraints and opportunities. Constraints being those factors that inhibit development and opportunities those factors that favour development. While this may be an easier and faster method, the added value of making a distinction between what is under the control of the community and what not should not be underestimated. When planning, it will be extremely useful to know what the community can do on its own and where outside support is needed. Often, the simple realisation of one's own strengths and shortcomings is enough to get development moving again without creating dependence on external assistance. Hence, the process of the appraisal and analysis is as important to the local people as it is to the team that was tasked with preparing a project or programme proposal.

**Objective:** The SWOT analysis is a tool that may help to summarise, structure and evaluate information related to an issue under discussion, i.e. the issue that is being addressed by the appraisal or by a specific appraisal tool. In the case of this manual, one may wish to summarise, structure and evaluate the information that was obtained from the appraisal, from the secondary data analysis or from the participants in the Orientation and Training workshop.

The team may also have made certain assumptions that need to be verified. The SWOT analysis aims at organising this information in terms of strengths and weaknesses within the community and opportunities and threats coming from outside the community. Strengths and opportunities help the community, weaknesses and threats are hindering the community to address the issue that is being investigated. The advantage of a SWOT analysis is that it allows looking both at positive and negative factors and situations.

**With who:** The analysis is carried out by the appraisal team or by the participants in the Orientation and Training workshop. In the case of the appraisal, it may be useful to present the analysis to the community or to local authorities and stakeholders as a summary and evaluation of the findings of the community appraisals. It is a good starting point for a community workshop at the end of the appraisal and for further planning.

#### **Examples of key questions:**

1. What is the entity of the analysis? An entity is the group that determines the boundaries of the analysis. It could be a household, a community, an economic reality, a geographical region. For community action planning purposes, the entity is the community.
2. What is the issue that we are investigating? E.g., the issue could be 'food security and nutrition problems in the community'.
3. Given the objective of the PRA or PRA tool, have all key questions been answered adequately and has the team probed deep enough to reach a good understanding of the underlying issues.
4. It is important to ask whether the issues under investigation have been adequately looked at from various perspectives, including gender, participation, household food security, nutrition, socio-economic differentiation, agro-ecological zones, farming system, etc.
5. The team should make a distinction between confirmed answers, open questions and information gaps, and assumptions that need to be verified. For the gaps and assumptions, the team should indicate if further probing is essential before going ahead with the planning exercise. If so, the required methodology for further probing should be defined.
6. Once the team has made an overview of the various answers, assumptions and information gaps, the information should be reorganised in terms of strengths, weaknesses, opportunities and threats.
7. What are the strengths present within the community that helped to address the issue that is being investigated? Strengths could be characteristics and advantages of a situation or issue, locally available potentials, capacities, resources (human, social, economic, physical, natural), experience, knowledge,

successes. Why and how has this strength an impact on the community's nutrition and food security situation?

8. What are the weaknesses present within the community that hindered in addressing the issue that is being investigated? Weaknesses could be negative characteristics and disadvantages of a situation or issue, constraints, difficulties, problems and shortcomings. Why and how has this weakness an impact on the community's nutrition and food security situation?
9. What are the opportunities that have come from outside the community that have helped the community in addressing the issue that is being investigated? Opportunities could be positive situations or factors out of the direct control of the community. Although, the community could sometimes seek opportunities to resolve problems. Some opportunities are completely out of the control of the community, like favourable prices or good weather. Why and how has this opportunity an impact on the community's nutrition and household food security situation?
10. What are the threats that have come from outside the community that have hindered the community in addressing the issue that is being investigated? Threats could be negative situations and factors out of the direct control of the community. Although, the community could sometimes seek to counteract threats. Some threats are hard or impossible for a community to deal with, like environmental disasters or policies. Why and how has this threat an impact on the community's nutrition and food security situation?

#### **How to facilitate:**

1. The information collected during the appraisal is presented according to the key questions that needed to be answered, i.e. in a village or regional profile or as the unprocessed appraisal documentation sheets.
2. The team is asked if all key questions were sufficiently answered and if there is any information missing.
3. The team asks for every issue that was brought forward how it affects nutrition and household food security and why?
4. The team also needs to consider if the issues were adequately probed from various perspectives, including gender, participation, socio-economic differentiation, differences by agro-ecological zones and farming systems, etc.
5. Key questions for further probing or filling information gaps are developed.
6. The team is also asked if there are any new questions that have come up and that need to be answered. These questions are then included in the list.
7. The information is restructured according to Strengths, Weaknesses, Opportunities and Threats using the above key questions.
8. The Strengths, Weaknesses, Opportunities and Threats are visualised according to the SWOT framework.

**Materials needed:** Big sheets of paper to draw the matrix, markers, village profile or documentation sheets.

## ANNEX 12 - STRATEGY ANALYSIS

**Description:** Strategy analysis is mentioned twice in this manual. It may be carried out during the district-based orientation and training workshop or as part of the planning exercise following the field appraisal. In either case, strategy analysis is a logical continuation of the objective tree analysis. From the objective trees, those tasked with planning outline the different intervention strategies that will achieve the overall objective. A means-results chain that contributes to achieving the global goal is an intervention strategy. It is very likely that from a single objective tree, various strategies will be derived. Strictly speaking, all these strategies are needed to achieve the overall objective. However, in reality one may have to make choices since budgets, time, and other resources are normally limited. It is therefore important that the specific objectives and means are clearly specified and then compared.

The purpose of comparing the different strategies is to make a choice of a set of strategies that will help to produce or achieve the purpose of the future intervention. This does not imply that some strategies are less important than others. It rather means that one may have to sequence the implementation of strategies or seek support from other organisations for their implementation. It is also important not to overload communities with too many activities at the same time. It is better to start small and follow a gradual implementation scheme that follows the community's growth in capacity.

**Objective:** Strategy analysis is a tool that enables stakeholders to identify the different possible strategies for achieving the global objective and to make a choice of the intervention strategies to be adopted given a set of criteria to be identified by the stakeholders.

**With who:** The project stakeholders carry out the analysis, with support from the project formulation team. In the case of an Orientation and Training workshop, the workshop participants carry out the exercise.

### Examples of key questions:

1. What are the different intervention strategies, i.e. what are the means-results chains that will contribute to achieving the overall goal?
2. What are the criteria that will be applied for evaluation of the various strategies?
3. Are all criteria equally important?
4. Are there any overriding criteria, i.e. a proposed strategy cannot be retained, as it does not fulfil this specific requirement?
5. What is the priority ranking of the different strategies?

### How to facilitate:

1. From the objective tree, choose the goals to which several means will contribute.
2. Specify the means-results chains (or interventions) that will contribute to achieving the goals.
3. Identify those means-results chains that relate to general support to be provided by the project to achieve the goals (project interventions). E.g. training of

community support staff or community facilitators in a specific subject in order to enable them to carry out village training, training and sensitisation of community members regarding a specific issue, or facilitation of a community action planning process.

4. Identify who has main responsibility for implementing a specific strategy. Ideally, group the interventions according to who holds major responsibility: community interventions, project interventions, government interventions, etc.
5. To allow the stakeholders to make a choice between the intervention strategies that were identified, identify a set of criteria that will help to make a choice.
6. If possible, weigh the various criteria by allowing the stakeholders to score the criteria with marks between one and five. If one criterion has a score of two and another a score of one, then the one with two marks is twice as important as the criterion with one mark. Evaluate the different intervention strategies by asking the stakeholders to score the intervention strategies for the different criteria using marks between one and ten. The higher the score, the better the evaluation. Multiply the score given to a micro-project with the weight of the criteria. E.g., if the weight of the criterion is two, multiply the score with two. Then add up the scores an intervention strategy has received for all the criteria and compare the total score with the other intervention strategies. The intervention strategy with the highest total score has the highest priority.
7. If the method under point six is too difficult to apply, the same method may also be applied without weighing the criteria.
8. Alternatively, one may also opt to choose voting as a selection procedure or pair-wise ranking. With both methods, voting and pair-wise ranking, it is useful to first have a group discussion about what criteria are important to bear in mind.
9. When the pair-wise ranking method is used, only two interventions are compared at a time. When doing so, the intervention that has priority over the other is marked on the matrix. After having compared all interventions, the number of times that an intervention was marked is counted. The intervention with the highest count has the highest priority.

**Materials needed:** Big paper sheets, markers, objective trees.