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Dynamics of Project Management

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Preface

At the outset I would like to place my sincere gratitude to promising students, contemporary research scholars, innovative farmers and artisans for their standard questions and queries which enabled me to cropped-up the findings in the form of this book.

There are a number of facets discussed in this book, say for example conceptual framework, project planning, PRA, including exercises and cases in PRA, competency management. Though the numbers of volumes dealing with the subject have grown in over the years, but not much systematic and comprehensive studies/text books exist on the subject of Project Management. The study will fill up the gaps in the area of project management and should help the professionals and the students of management in particular.
I hope the book will achieve the intended purpose and success in all their Endeavours.

- Dr. Kamlesh Kumar Patel

Acknowledgment

I am dept in genial gratitude to Prof. R. C. Singh (formerly Dean, Faculty of Rural Development and Business Management, Mahatma Gandhi Chitrakoot Gramodaya Vishwavidyalaya, Chitrakoot); for their perpetual fountain of love and guidance, throughout my academic and administrative career.

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Words, sometimes, get inadequate to bring forth the feelings of one's heart. I also extend my sincere gratitude to my family members without their support this book could never become reality. Today, I feel thankful to my father Mr. Bachchi Lal who always encouraged me to complete my work and my mother Mrs. Shyama Devi whose blood is running in my veins. I owe a lot to my wife Mrs. Reeta Patel, son Aryan Patel and Atharva Patel, for understanding that long periods of my time and energy have had to be devoted to producing innovative manuscripts.

- Dr. Kamlesh Kumar Patel

Contents

CHAPTER-1

Project Management
Concept, Coverage and Canvas

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1. Project: Meaning, Message and Definition

Project means projection of concretized ideas with the action preparedness. In the other words, a project can be treated as a *pucca* plan, whereas plan can be treated as a *kuchcha* (raw) project. By definition, a project is a blue print of action oriented activities. It is a map for well charted movement in the future. Moreover, like a movie-film, a project is a projection oriented process. Therefore, a project initiates with the planning and is an outcome of planning. In practice every project has a beginning, middle and an end. In a nutshell, project is a statement about achieving certain specified goals, through pre charted strategies.

2. Project: Coverage and Canvas

As an elaboration of above terms, a project has a galaxy of areas to be covered i.e. personality development; family development; community development; agro-allied activities; defense; construction, pharmaceuticals, chemicals, banking; hospitality; accountancy; advertising; legal; entrepreneurship; intra-preneurship; cyber-preneurship etc.

If we take formulation stage of a project, one has various issues to solved, questions to be addressed, and the challenges to be accepted. In general terms, these issues may be:

1. Diversification v/s Intensification
2. Holistic Approach v/s Piecemeal Approach
3. Bottom-up Approach v/s Top Down Approach
4. Demand Driven v/s Supply Driven
5. Group Approach v/s Individual Approach
6. Entrepreneurship v/s Cyber-preneurship
7. Servant Oriented Mindset v/s Master Oriented Mindset
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22. Supplementary Approach v/s Complementary Approach
23. Input Delivery v/s Extension Delivery
24. Cost Sharing v/s Recovery Oriented
25. Subsidy Oriented v/s Share Oriented

3. Project Management: Area and Administration

Project management is processing of a system to ensure that the implementation is on the right tract, with desired speed and the direction. To achieve this end product, it requires rationale in planning, organizing, staffing, controlling and directing, consistent with interwoven certain specifications. Each and every entity in the universe, whether it has naturally cropped up or deliberately created, needs a projected management approach to be evolved at the optimum level with multiplier effect.

4. Project Formulation: Steps and Strategies

4.1 Project Identification: Options

The process of fixing the priority is called as project identification. Like in personal life, one has to select most felt desires to fit it into the size of her/his own means, a project planner too has to choose between various needs to adjust with the available resources and the user's priority. Thus a project is based on two fundamental realties i.e. (i) limited options/areas and the (ii) unlimited needs. For the success of a project, fixing of the priority among various felt needs is very crucial. Here, priority fixing does not means that left-out needs are not essential, but it indicates the urgency in the minds of the people of the project areas. Therefore the identification of a project is a managerial process and designed by considering various factors, such as problems, perceptions, priorities and the potentialities.

4.2 Methodology of Project Identification

The formulation of viable project is possible only if it is linked to the actual circumstances prevailing in the area. It needs to obtain various information, such as resource potentials, existing problems, people's perceptions and the prospects. The data collected through survey and other techniques are used as bench mark during monitoring and evaluation stage and helps for path finding. Due to non-availability of reliable data in the planning stage, most of the projects remain unsuccessful during implementation phase. Thus, the project identification helps in making appropriate choices between various alternatives. This process ultimately leads to identify **'Key Project'**. Here 'key project' refer to 'Prime Mover Project' capable of generating demands for galaxy of subsidiary services and supplies. If we take 'minor irrigation' as a key project, it cannot produce desired results unless and until affordable credits viable HYV seeds, related inputs feasible technical knowledge, regular extension services and marketing facilities within the reach are not provided.

4.3 Need of Participation in Project Planning

Participation means part of the whole in a holistic manner. In developmental spectrums it is dealt with following considerations:

1. What aspects of participation one desire to seek?
2. By whom?
3. In what form or respect?
4. At which level?
5. For what purpose?
6. Which segment of the society is going to be benefitted and in what manner?
7. What is needed to be done to get projected participation?
8. What are the indicators to tell that the participation has served the purpose?
9. It is worthwhile to note that right type of participation can change the scenario, confidence, competence, commitments and attainments of the participating people.

4.3.1 Constraints in Promoting Participation

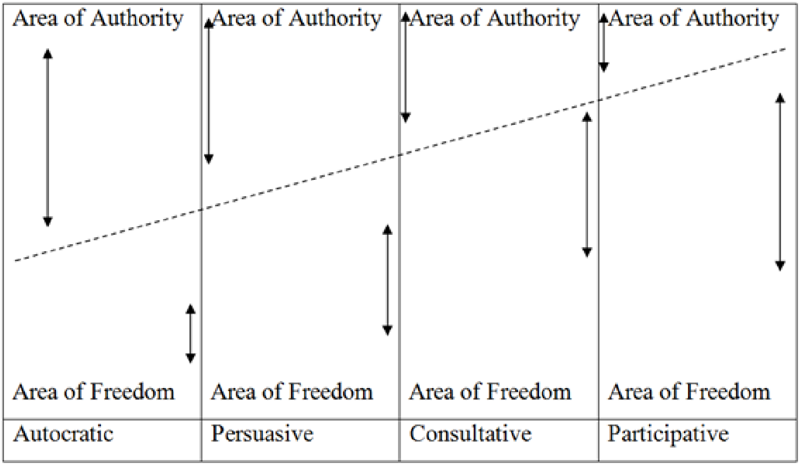
1. Low self esteem
2. Distrust about motives of those in participation promotion processes.
3. Language barrier
4. Fear of financial/physical consequences or loss of face
5. Existence of the sense of powerlessness among the participants
6. Factional differences
7. Reluctance to take risk
8. Lack of interactive experiences

4.3.2 Expected Results in Right Type of Participation:

Nothing is possible without tangible approach in participation. In detail it is dealt in forthcoming chapters, but in a nutshell, the result of participation is summarized as follows:

1. Participation promotes feeling of ownership
2. Enhance empowerment
3. Enables for higher attainments
4. Provide proper understanding about mutual views and reviews
5. Role clarity
6. Establish a blending of local, as well as global factors.

The results are also depicted through the following figure:



As apparent from the above figure, the area of freedom, which is a basic essence of all kinds of development always enhances in participatory approach, whereas it decreases in autocratic approaches.

5. Performa for Project Design

Though all the funding agencies and the financial institutions have developed their own proforma, the basics are given as follows:-

5.1 Title of the Project (It should reflect the project itself)

5.2 Location of the Project

5.3 Resource Potentials of the Project Area/Projected Beneficiaries

5.4 Problems of the Project area / Projected Beneficiaries

5.5 Mission and the Mini-missions of the Proposed Project

5.6 Duration of the Project

5.7 Profiles of Direct and Indirect, Beneficiaries

5.8 Budgetary Provisions

5.8.1 Fixed Capital cost

(i) Machinery & Equipment			
(Give specifications/makes and models/imported/indigenous)			
- Duty on import items	@..............		Rs..................
- Dock clearance charges	@		Rs...................
- Insurance on all items	@...............		Rs....................
- Goods & Services Tax (GST) (if not included)	@................		Rs...................
(ii) Testing Equipments			Rs.................
(iii) Packaging Charges			Rs.................
(iv) Cost of Tools/Fixtures			Rs.................
(v) Cost of Office Equipments			Rs.................
(vi) Electrification / Installation Charges			Rs.................
	Total (5.8.1)	=	Rs.................

5.8.2 Working Capital (for 1 year)

(i) Rent	Rs................
(ii) Raw Materials	Rs................
(iii) Salary & Wages (Category of staff / No. of staff)	Rs................
(iv) Other expenses	
- Power & Electricity	Rs....................
- Consumable Stores	Rs....................
- Stationery & Postage	Rs....................
- Media Management	Rs....................
- Transport	Rs....................
- Commission to Distributors	Rs....................
Total (iv)	Rs....................
Total (5.8.2)	Rs....................
Total Investment (5.8.1+5.8.2)	Rs....................

5.8.3 Profit & Loss Account (for 1 year)

(i) Cost of Production

- Working Capital		Rs..................
- Repair & Maintenance	@..........	Rs.................
- Depreciation of Machinery	@..........	Rs.................
- Interest on total investment	@...........	Rs.................
Total (5.8.3)		Rs.................

(ii) Sales Rs.................

(iii) Profit - Sales Value - Cost of Production Rs..................

(iv) Approximate Return on Investment (Percentage) Rs..................

6. Breaks Even Analysis (BEA)

The analysis of Break Even points enables a planner or manager of an enterprise to insure the minimum level of sales where there will be no loss. The break-even point is a level at which the income from the sales is equal to fixed and variable costs. To elaborate, a BEP is the point under which if the sales falls, the enterprise face a loss. In other words, BEP is the level at which the business makes neither a profit nor a loss. It may also be noted that the fixed costs include the administrative costs, depreciation cost, rent, overheads, whereas the variable costs incorporate the raw materials, wages and sales commission.

Application of Break Even Point for a single product

The BEP is calculated with the following example taking production and sales of the color pencils. If the firm sold a color pencil at the prices of Rs 20, there is Rs. 12 as variable cost, with the deference of Rs. 8. Considering the same, the BEP is calculated by applying the formula described as bellow-

Formula
Table

Particulars	Q_1	Q_2	Q_3
Color Pencils Sold (Q)	20,000	50,000	80,000
Total Sales (S)	400,000	1,000,000	1,600,000
Variable Costs (VC)	240,000	600,000	960,000
Contribution Margin (CM)	160,000	400,000	640,000
Fixed Costs (FC)	400,000	400,000	400,000
Profit/(Loss)	-240,000	0	240,000

Remarks- Q stands for quantity.

The above table shows that the fixed cost of the firm is about Rs. 400,000, whether there is no production or no sales. If the firm sales 20,000 Color Pencils, the loss is of about Rs. 240,000 and if the volume of sales increases to 50,000, there will be no profit no loss. In case, the sales further increases, at the volume of 80,000 Color Pencils, the profit of the firm will be of about 240,000.

7. Feasibility Analysis

For the consideration and acceptance of a project proposal, feasibility analysis becomes essential. It is examined on the various parameters described as below:

7.1 Financial Affordability
7.2 Managerial Possibility
7.3 Commercial Viability
7.4 Technical Feasibility
7.5 Social Acceptability
7.6 Locational Suitability

The parameter-wise feasibility analysis is given in the following pages:

7.1 Financial Affordability

This parameter is applied for testing the financial viability of a project. Under financial feasibility analysis, the first and foremost need arises to assess the financial require most of a project. The determination of operational level on which there will be no profit, no loss (Break Even Point) is the ultimate assessment. The availability of cash and funds, ascertaining of profitability, payback period and efficiency of capital investment are other considerations to be taken-up under feasibility analysis.

It may however be noted that the financial feasibility is closely related to commercial considerations. The scope of public contribution also is checked and explored during financial analysis. A project designer must keep in mind that money has its role on time, as well as the time has major impact on money, because a rupee obtained 5 years back from, now is not worth a rupee to day. Therefore rupee invested in production/business ventures is going to generate additional income if managed properly.

NPV (Net Present Value) is also assessed to test the financial feasibility of a project. It is calculated through present value of the net benefits, minus (-) the present value of the capital cost.

7.2 Managerial Possibility

The success story of a project depends on managerial ability of a implementing agency. A detailed staffing pattern and organizational chart has to be presented in project report. The applicant agency must ascertain that activity officers and the staff required for implementation of the project are available or not. If yes, from which sources/places? Whether they are committed to stay in the project area? The availability of staff could be assessed on the following criteria: (i) Hereditary skilled (ii) Skill acquired through training centers (iii) Skill gained through experiences in the plants/institutions projects.

7.3 Commercial Viability

To assess and present the commercial viability of the project, a tabulated forecast of prices and capacity analysis for buying and selling is required. It also covers the analysis of market demands for the output of the project, the adequacy of the marketing modes/channels, and preparedness supply of raw materials and other resources for the project. Under commercial viability test the anticipated rate of return on investment is also required to be projected.

7.4 Technical Feasibility

The feasibility report has to describe the technology to be used, requirement of equipments makes and models and the know how available and needed. The success stories of the technology user groups will also be worthwhile to note. Moreover, the technical collaborations with specific agencies should also be spelled out. For presenting technical feasibility report, one has to be sure that technological alternatives are considered and found. To assessment the adoption rate, the project planners has to mention the information about technology required, whereas heard/seen/used/acquired in the past or not.

7.5 Social Acceptability

The opposition or denial of the project must be avoided in initial stage. To assess the social acceptability of the project, following aspects are to be verified: The extent to which the intended users would be able to accept the technological choices, products and the processes. It is worthwhile to note that a project may cross/pass all the feasibility parameters tests and found very suitable but it will lose its entire credibility if it has no social acceptance.

7.6 Locational Suitability

The location specific considerations are also vital for the project. The accessibility of the settlements, marketing centers, connectivity is a basic for launching of a project. Favourable topographic features, climatic conditions availability of water/power/people for the project is also essential.

The project formulated on the above feasibility parameters and the testing stones could be considered for appropriate sanction.

8. Application of Network Techniques in Project Management

Management is a process to get things done in qualitative manners within charted paths and the PERT and CPM are such a tools which are useful for achieving the end products. Through network techniques the projects are categorized into scheduled events and the activities. The manager with project team visualizes the estimates the time, budget, availability of man power, geographical conditions, tools and equipments and required raw materials, so as the networks are finalized and furnished. The details regarding the CPM and PERT, accepted as a vital management tools are described as follows-

8.1 - PERT

PERT stands for Programme Evaluation and Review Techniques and is event oriented/node oriented. In this technique, the goal is focused upon the schedule start and the schedule completion of the charted events. If we take the construction of a building as an example, the following will be the events-

Event-1: Schedule date of location of the site

Event-2: Schedule date of identification with the beneficiaries (Direct/indirect) of the site is completed

Event-3: The date of digging of the foundation started

Event-4: The construction of the building is started and completed

Event-5: The decoration of the building is started and completed

Event-6: The opening date of the new building

Thus the events fall in a logical sequence and there are various activities between the various events. Therefore, during the formulation of a PERT technique, a planner or manager must take various complex issues into consideration, such as what events come next? And what events can take place concurrently. Once the events are finalized, it is shown in the figure through circles or rectangles.

8.2 - CPM

CPM stands for Critical Path Method and is activity oriented. Thus it represents a job. The activities are denoted by arrows. The activities through examples are describe as bellow-

Activity-1: Foundation being dug

Activity-2: Filling of the foundation being done

Activity-3: Construction of the wall undertaken

Activity-4: Construction of the roof undertaken

Activity-5: Electrification

Activity-6: Plaster work

Activity-7: Decoration of interior

Activity-8: Activities related to opening of the building

It must be noted that the proper formulation of a project insures complete success and if it is improper in some-way or the other, the project is bound to be failed. To achieve the desired results, the criteria given in the preceding and the following pages are to be taken up for the considerations.

CHAPTER-2

Participatory Project Planning

Comprehending the Landscape

Before going into main context of the chapter, let us define the basic terms of the title. Participatory means part the whole universe/entity/unit/group of activities, not only in the physical term, but also in the intellectual, emotional and spiritual terms. Here spiritual does not mean religion but a high-esteem. Rural denotes 'raw', which basically means natural or original. Appraisal means to acquaint with. Thus the term Participatory Rural Appraisal (PRA) describes demystification of the facts and realities by sharing the views, vitalities, experiences and concerns of the people at stake and in expertise.

The originator of PRA was Robert Chambers. He himself has said that now 'PRA is developed beyond me' and that is good. With the advent of various technologies, such as GIS and remote sensing, IT and folk media, PRA has entered into an advance and interesting stage. Because 'common sensing' cannot and should not be replaced by 'remote sensing'. Thus in participation, PQ and IQ levels of participation is not appropriate, it also require EQ or EI (Emotional Intelligence) levels of participation. But since the EQ or EI level participation is not always impartial, therefore participation also requires SQ or SI (Spiritual Intelligence) level participation. Therefore, before conducting PRA or introducing the various tools, one has to assess the field situations and if required sensitize the people to be involved, without imposing the outside views. Here sensitization means unfolding the hands, hearts and minds.

Depending on the above facts, there have been shifts in the past few decades in PRA techniques. These shifts include reversal from top-down to bottom-up, from centralized to vital realities and from package of knowledge to learning process.

1. Current Scenario in Developing World

- Administrative system and governance usually try to apply "top-down" and "trickle-down" approaches
- Facilitators do not analyze suitability of tools in the local context
- Most of the NGOs behave as public-contractors rather than people friendly professionals
- Most of the functionaries devote more time and attention towards short-term benefits at the cost of long-term gains
- People prefer individualistic approach, rather than community approach
- Beneficiaries in most of the cases are unaware about the recent innovations, whereas prime-movers of the development games are unacquainted with the real problems, local potentialities and people's wisdom
- Most of the facilitators do not play their role as an important link between development agencies and the people in needs
- Rigid ego blocking the minds at present moment and taking away the power of flexibility of the people
- There is lack of unity of command among the beneficiary people
- Duplicity of development projects are the common features in the area.

2. Evolution of PRA

In seventies and eighties, Rapid Rural Appraisal (RRA) dominated the scene but due to passive participation, basic mode of RRA remained obstructive. In RRA approach, the outsiders remained central. In late 1980s, PRA techniques emerged out. It presumed investigators as learners, facilitators or catalysts. The participants identify the problems, priorities and projects, with the help of their wisdom and experiences. During the last 40 years other rapid appraisal methods, such as Participatory Rapid Rural Appraisal (PRRA), Rapid Assessment Procedure (RAP) and Participatory Learning Method (PLM) have also been evolved but emphasis was on rapidity. Thus PRA is evolved as a forum of RRA in which the onus of initiative shifted from the outsider investigator to the people at state.

During 1950s to 1960s, it was widely accepted that to enhance the regional situations of developing countries, financial inputs and modern technology play a vital role. The green revolution was seen as a typical case of transfer of technology from the developed industrialized countries to the undeveloped nations. During 1970s, it became almost clear that merely the transfer of technology could not solve the real problems of the people. Therefore development activists and the researchers began to unearth the interrelationship between technology, economy, culture and governance in rural areas and found rural life as a part of an integrated development system. It was realized that development emerges through adaptive changes, rather than by input based progress. It is not possible to effect change in one aspect of the development system in isolation without affecting the other aspects. The development system as a whole has to be realized in order to bring about desired growth. This lead to new research methods and Rapid Rural Appraisal was one of them. However, PRA methods have adopted a number of elements from ethnographic research approach, such as an emphasis on understanding people's own perceptions. PRA embodies the principle that people in groups perceive and conceive realities with difference. Therefore, the people, development activists and promoters often visualizes and analyzes the problems in different ways but prove important if combined. Thus PRA is characterized by an applied, holistic and dynamic approach of learning, conducted by interdisciplinary teams, emphasizing people's participation. However, at present, PRA methods have found widespread acceptance in various fields of application including researches on non-rural problems.

3. Remember How the People Learn

- People learn 20% of what they hear in their day to day interactions
- People learn 40% of what they hear and see
- People learn 80% of what they hear, see and do
- People learn 100% of what they experience by themselves

4. Indicators of Participation

The participation of all the stakeholders plays a decisive role in PRA exercises. To ensure active participation, following points must be kept in mind:

Nature of participation	**Indicators**
a. Participation in material sharing	The incentives given by the facilitators are received by the beneficiary people.
b. Passive participation	Outsiders give the information and the beneficiary receives but not reacts.

c. Participation in information sharing	Respondents participate by answering questions raised by the investigators.
d. Interactive participation	Respondents actively participate in analysis of the field situations along with the investigators.
e. Self generating participation	This is the real stage for which PRA aims at. Here the initiative is taken over by the local people.

5. PRA and Other Appraisal Methods Compared

Survey has been a most popular research method commonly used by universities and research institutions, as well as government and non-governmental organizations. It derived much of its popularity from its standardized research techniques which produce quantifiable, representative, verifiable and comparable data.

However, the advantages of PRA over conventional research methods are the level of people's participation, short duration, low cost and group dynamics. Though in traditional research methods sample surveys require less time, yet data analysis takes undecided time, as data is coded, decoded, entered into computer, and analyzed in steps and at the places away from the research stations. The cost of obtaining data in traditional survey methods often exceed the value of the information obtained. Survey method suffers from the disadvantages of its superficiality, as predesigned and fixed questionnaires and schedules do not freely allow dynamic learning during the data collection in the field and make it difficult to gain a deep insight of the real problems.

Participatory Rural Appraisal is well-suited for promotion of peoples centered development, as it involves multidisciplinary team and local people at each and every steps and stages of the study. On-the-spot analysis ensures that gaps in the information acquired can be filled before leaving the field. It may however be noted that in conventional research method, the different steps (designing of questionnaires and schedules, data collection, data analysis, report writing etc.) are segregated hierarchically and done by different people, whereas PRA raises people's self-awareness, seek and suggests viable alternatives and helps people to act on the same.

A comparative statement are given in following table:

Particulars	**PRA**	**RRA**	**Survey Method**
Evolution	Late 1980s, 1990s	Late 1970s, 1980s	Since evolution of Research Method
Innovators	Development Agencies	Research Institutions	Research Agencies
Main Users	Development Agencies	Research Scholars/Agencies	Research Agencies
Aspects overlooked	None	Indigenous Technical Knowledge (ITK)	Respondent's own initiatives

Innovations	Possesses Various tools and alternatives to unearth the real situations	Rapidity of information	Depend on respondents insight
Mode	Involvement of direct and indirect beneficiaries	Facilitating participation	Schedules and questionnaires
Overall objectives	To aware, educate, mobilize and involve the direct and indirect beneficiaries	To collect reliable information	To collect primary and secondary information
Outsider's role	Facilitator	Investigator	Investigator
Owners of information	Local people and development facilitators	Researchers	Researchers
Duration	Short	Short to higher	Long
Cost	Low	Medium	Higher

Depth of knowledge	Exhaustive & innovative	Preliminary	Semi-preliminary
Scope	Wide	Limited to wide	Limited
Structure	Flexible	Semi-formal	Formal
Participation	Higher	Random	Usual
Methods	Basket of tools	Specific tools	Standardized
Direction	Bottom-up	Search of ground realities	Top-down
Individual case	Important	Weighed	Not so important
Formal questionnaire	Nil	Avoided	Basic
Qualitative descriptions	Very important	Important	Not as important as hard data
Measurement	Various indicators used	Objective indicators used	Subjective indicators used

CHAPTER-3

PRA - Process Modeling

1. Entry Point

A participatory Rural Appraisal team consists of five to seven persons, having keen interest in the process, people, problems, priorities and the potentialities. The participatory team should have multidisciplinary professional background, including gender specific considerations. In a few cases, however, it may be required to break this pre-requisite. For example, in a women's focus-group PRA carried out in a society, males are avoided.

Involve local participants in preparations for the exercises as much as possible., This promotes the learning experiences, prepares them to educate others for the future and helps to ensure that the experiments applied in the exercises are relevant to the needs and experiences of the participants.

The resource persons should be acquainted with the local situations and enabled to understand the local language in order to be fully involve in the fieldwork. If this is not the situation, the resource persons should be teamed up with a fellow trainer who is fluent in the local language. If unavoidable, make it sure that a good translator is engaged and that written materials are translated before the exercises begins.

2. Questions to be addressed Before Conducting PRA

The objective considerations are listed as follows:

- The purpose of the PRA and what could the participants do after the PRA?
- Specific skills, perceptions, knowledge and attitudes facilitators are trying to develop?
- Who would be the participants and what are their level of education and experiences in life?
- When should the PRA be conducted and how much time it will take?
- Where will the PRA be conducted?
- How will the PRA be organized and what should be the methodology?
- The budgetary provisions and the types of resources required.
- Which steps are to be taken-up. Monitor, put into action and assess the preparations.

At least five to seven days are required to organize a complete participatory rural appraisal exercise. The less familiar the participants are with the area, the more time is needed for preparations. The organizers should keep lists of things to be taken-up throughout the PRA exercises and enlist the help of participants in working on these tasks, as much as possible.

The PRA exercise could be most beneficial for the participants and most rewarding for the organizers, if the team stays together at the same place at night, rather than returning home after each day’s sessions. During the fieldwork, the participants should also stay together. This type of close learning and sharing is very vital for the effectiveness of the exercise and appropriateness of the appraisal. If this is not possible, try to arrange meals together after the daily seasons.

Prepare the daily schedule carefully and allow enough time for interactions, rest and relaxation. Take logistical problems into consideration. In designing a PRA schedule, make sure that you have planned relevant warm-ups and appropriate time for the session. There should always be ample time to discuss the exercises, once they have been conducted. There is much more an advantage from doing and discussing exercises rather than from lecturing. First the organizers have to see that how quickly the participants learn as a group rather than as an individual.

PRA exercises being a field based activity usually starts a bit late than planned. It may be very frustrating for the participants if it run out of time or the organizers has to extend the daily schedule. Keep in mind the various strategies to ensure appropriate time needed for exercises. For instance, break into four larger teams, rather than six smaller teams, so that reporting back takes reasonable time. In some cases, reporting back to the larger team could be skipped if the participants fully understand the outcome and there is no need for further presentations.

Explore the tasks you will have to give to the participants to ensure that they are suitable and applied. Have all necessary equipments and materials ready in advance. Leaving things until the last moment does not work properly.

Be familiar with and remember participants name personally before conducting the exercise. Let participants know in advance that they will receive manuals so they do not have to keep and write down everything that is being done. In this manner participants can focus all their attention and energies on participating. Participants always welcome the well-prepared documents which they can use as a reference material.

3. Operational Instructions

Activity	Decide responsible persons	By the time
Before the exercise is undertaken • Sending invitations and agenda notes to participants • Arrange materials properly • Check the materials arranged • Test the equipments • Prepare write-ups • Copy handouts for participants • Rehearse PRA exercises to be conducted • Meet the villagers with open and frank mind; Tell them who you are and why you have come • Visit in the field and check suitability of location (including the locations for group meetings) • Identify participants who are willing to share their experiences • Show personal interest in their problems • Introduce a few warm-ups and setting the climate for discussion		

4. Precautions to be taken during the PRA Exercise

For successful organization of PRA exercises following points to be considered:

- Listen carefully
- Show empathetic considerations
- Be patient
- Try to understand villagers/participants database of reasoning
- Do not interrupt, suggest and prescribe
- Be generous, gentle, polite and accommodative
- Adjust with villagers/participants conveniences
- Respect and treat participants as precious human materials
- Follow social customs of the village
- Accept villager's offer of hospitality
- Honour and accept participants local languages
- Lead towards burning topics and important common issues raising open ended questions
- Asking too many questions from different corners at a time, should be avoided
- Individuals trying to dominate the discussions should be prevented tactfully. Come back to the original discussions and provide equal opportunities to each and every participants to share their views/reviews
- Transition towards next topic should be smooth
- The number of interviewers should not exceed the number of interviewees
- Revolve the discussions around the main issues

5. The Purpose of PRA

PRA is a systematic, intensive and semi-structured appraisal technique, carried-out in a viable village or community by a multidisciplinary team, consisting of subject matter specialists, indirect beneficiaries and the target-group. The main purpose of conducting a PRA exercise is listed as follows:

- Need assessment
- Resources identification
- Feasibility analysis
- Prioritization of projects and activities
- Mobilizing and channelizing the target population
- Participatory monitoring
- Participatory evaluation

6. Materials Needed for Conducting PRA Exercises

The following is a tentative list of what materials will be needed for PRA exercises and accompanying in the field work:

- Laptop or palmtop
- Flipchart stand (one can also use wooden door with large clips attached to it)
- 200-250 pieces of flipchart papers
- Large markers in different colours and use
- Whiteboard
- Cello tapes
- Hole punch
- Stapler and staples
- Scissors
- Glue
- Index cards
- Plain papers
- Blank lined papers
- Overhead transparencies and one set of multi-coloured erasable pens
- Folders for holding blank forms and filled forms
- Clipboards
- Digital camera

- Use local materials (seeds, stones, bangles etc.) available in the village.

7. Various PRA Training Methods

- Brain storming sessions
- Buzz group (04-05 participants)
- Simulation games
- Case studies
- Case-work
- Result demonstrations
- Method demonstrations
- Focus questions
- Listening pairs (2 people)
- Mapping of problems
- Mapping of priorities
- Mapping of resources
- Pictorial methods
- Group discussions
- Stories
- Strategic visioning
- Transactional visits
- Warm-ups
- Ice-breakings
- Group work

8. Guidelines for Using PRA Tools

- Select a location which is close to the work and lives of the people.
- Field practice should address the needs and problems facing the people and fit into their daily normal scheduled work. This 'immediacy' promotes proper trainings by the participating people.

- The team has to be flexible and receptive. Much depends on the choice of participants, team leaders and the topic for the PRA exercises and the selected tools.
- Before the PRA exercises are introduced, the facilitators should collect relevant and basic data and maps, which could be used during the field exercises. Involve participating people in collection of data as much as possible.
- The training should always emphasize practicing of methods, rather than merely presenting information.
- Instead of enabling participants with various information, let them come up with their original questions. Advantages to this strategy are that participants learn better if they have to think on their own and prepare questions.
- The type of questions raised by the participants will appraise the organizers of PRA what and how well they have learnt.
- It would be vital to tailor the exercise into knowledge, skills, initiative and the pace of learning of the participants.
- The organizers of PRA should keep in mind that all the participating people are mature with a length of experiences in their life. Those who conduct PRA exercise also learn with the others.

9. Role of Simulation Games and the Warm-ups in PRA Exercises

Warm-ups and simulation games are very useful to make the participating people feel relaxed, friendly and oriented to the real issues. Every day the exercise should commence with a few warm-ups and it could be applied anytime during the day when reconvening of the session after the break take place or when the energy of the participating team seems lower. Warm-ups are used for keeping the participants focused on issues and energetic. The best warm-ups are those relating to the issues of PRA and the participating people. It would be better if, after the initial days of the exercise, the organizers delegate the task of leading warm-ups to the participants.

After conducting warm-ups with participants, take time to discuss what happened during the warm-ups and why? Participants should be sensitized about the causes behind the role played during the warm-ups. Everyone must be made inclusive and that the instructions for warm-ups should be very clear in the mind of each participant. By the time exercise is closed, all participants should have developed the intuition to know how, why and when warm-ups are effective, so that they are able to develop them on their own and in their own desired manner. The prime motives behind simulation games and warm-ups are to promote alive situations in PRA exercises and to activate all the stakeholders in that process, with a strategy to maintain the momentum in follow-up actions too.

10. Important Tips for Simulation Games and Warm-ups

· During the warm-ups, each and every person should be encouraged and facilitated to participate. This enables hesitant participants to be unfolded before the larger group during the exercise and in later stage.

- Good warm-ups contribute to the team building process and enable participants feel positive and open. Ensure that the warm-ups are not very competitive and that participants do not laugh at the expense of the other.
- Warm-ups should be prepared adequately. A poorly introduced warm-up is worse than no warm-ups.
- Physical exercises may also be undertaken during warm-ups.
- Warm-ups make participants homely and spirited. It is a good sign if they enjoy the games.
- Before introducing warm-ups, the organizers should ask the participants if everyone understand their role.

11. Warm-up Cases

(i) Pair Introductions

This case is introduced in that situation in which the participants are not acquainted with each other. Before passing instructions to form pairs to know about their immediate neighbours give a few minutes to find out the other's name, place of residence and occupations. Afterwards, allow the participants to introduce their pair-partners to the rest of the group.

(ii) Good news

Ask participants to share with the person sitting/standing next to them the best event that has happened to them during this week/month/year/ life. Give the pairs a few minutes for discussions. Then allow each pair to share their partner's news quickly with the rest of the participants. If there are participants who don't know each other even then, good news could be combined with pair introductions.

(iii) Symbol Presentation

Ask each participant to choose something that they can present as a symbol of their lives, their organization, their family, their work, their village. This could create drawings as symbols/objects to serve as a representative. Participants could be given 10-15 minutes time for this exercise. Afterwards, allow each person to explain how and why he/she has identified their symbol and what it meant for them.

(iv) Ball Throwing

Tear pieces of paper off the pad, scrunch it into a ball and tape it all together. Throw the ball around/between the participants, having them call out something when they catch it. It reveals the emotion they are feeling right now.

(v) Experience Plus Game

Allow the participants to stand in a circle. Use the ball throwing method or another method to elicit comments in staggered fashion not in order of the circle, have each participants call out the span of work experiences they possess. As each participant tell a number, write down on a flipchart. After everyone has followed, add up the numbers to get the total number of years of work experiences in the team. Sensitize to participant about learning from the event.

(vi) Secrets Sharing Game

Ask the participants to form pairs and allow each participant to tell their pair-partner something about himself/herself that no one else in the team knows. Then ask everyone to take turns sharing their partner's secret with the other participants.

(vii) Review Walk

Ask participants to walk around venue in a group of two or three to review all the charts on the walls. Allow each group to ask at least a few questions which arises in their mind from gallery walk.

This is a purposeful exercise when a newcomer arrives at the venue. It can be varied to have the participants select the most important chart-as an assessment tool or the best designed chart to stimulate discussion of how to prepare good charts. This exercise may take up to 60 minutes depending on the questions and queries which arise and the explanations follow.

(viii) Favorite Colors

Prepare 05 swaths of fabrics in various colors in various colors and put each set of 05 in a basket or envelope. Arrange participants in groups of 04 and allow them to take five minutes to identify their favorite color. Ask each group to reveal the reason for the color they choose.

(ix) The Grape - way Communication Game

A facilitator pass on a short message (about five words is best) and whispers it to the first participant in the semi-circle. That person then whispers it to the next and so on, until the message reaches the other end of the semi-circle. Ask the last person to reveal what he or she heard and then compares the message with original one. This indicates communication-gap prevailed among the participants.

(x) Pantomime

Ask the participants to form the groups comprised of three to five. Then allow each group to think of a proverb to pantomime to the other participants.

12. Simulation Games: A Few Cases

The most promising tool for enabling the people/participants to visualize and experience the real life situations is Simulation-Game. These games are basically played in business-world and war-gaming. Nowadays, it is frequently used in PRA exercises too. With application of simulation-games, the personal and business relations among participating people develop quickly. The development and effective use of such games should have the right place during PRA. Simulation-games could be played on concerning various aspects of real rural life, so as to capture and illuminate the linkages of problems, priorities and the projects, including understanding of peoples' perceptions. The simulation-games could also be used to help participating-people quantify and rank their priorities or preferences. The basic difference between simulation-games and warm-ups are that simulation is more demonstrative to solve the real problems in alive-situations, whereas warm-ups are basically for mobilizing and activating the participating people, in addition to assessing their level of understanding.

The PRA team must have multi-skilled multidimensional participation. The different vision points of team members complement and supplement the each other and provide a more comprehensive visionary platform to generate the innovative and deeper insights. The PRA team has to be involved at each and every steps and aspects of the study-research design, data collection and information analysis. Team must seek participation of the target groups, such as women, weaker-sections and neighbourhood people. PRA is basically a learning exercise in which the participants perceive deeply from each other.

13. Possible Limitations of PRA

- Difficulty in finding a enlightened team
- Difficulty in finding interdisciplinary participation
- Moving too fast may lead to superficiality
- Difficulty in finding the suitable questions to be asked
- Difficulty in finding I.T.K (Indigenous Technical Knowledge) oriented participants.
- Lack of rapport with the local people causes dismal participation
- Lack of humility and proper honour for local people.
- Visualizing only part of the problem rather than complete in nature
- Making pre-conceived value judgments about others
- Some time misled by myths and gossips
- Generalizing the findings based on only a few participants
- Overlooking the invisible
- Promoting undue expectations in the locality where the PRA exercises is carried out

- Imposing “own” ideas and value judgment by the facilitators. This makes it difficult to learn from the local people
- If the approach is neither rational nor operational, PRA will not succeed. The proper approach and decent behavior are the key for success of PRA exercise

14. Steps to be taken After the PRA Exercise

- At the end of PRA exercise, all the participants must be thanked gracefully
- Collection of unused materials should be ensured
- Collect the tools and equipments applied in the field
- Collect the materials already used
- Prepare, analyze and evaluate the relevant information for follow-up actions
- Formulate the project report
- Discuss and share the drafted project report with the participants
- Finalize the Detailed Project Report (DPR), as per purpose of conducting PRA exercise.

CHAPTER-4

Illustration of PRA Cases

1. Vital PRA Tools

A number of tools and techniques are developed to change the current scenario in positive and desired direction and PRA in combination with I.T. (Information Technology) is one of the best alternatives to formulate a project in participatory manner and to introduce People's Project Management Systems (PPMS). PRA tools and techniques are not only analytical and exploratory but also interactive, informal, interdisciplinary and participatory. The important and advance PRA exercises are listed as follows:

1. Semi-structured Interview
2. Focus Group Discussion
3. Preference Ranking and Scoring
4. Pair wise Ranking
5. Secondary Data Review
6. Direct Observation
7. Matrix Ranking and Scoring
8. Ranking by Voting
9. Wealth Ranking
10. Analytical Group Discussion
11. Innovative Assessment
12. Construction of Diagram
13. Resource Mapping and Modeling
14. Historical Mapping and Visioning
15. Mobility Mapping
16. Social Mapping

17. Transact Walks
18. Seasonal Calendar/Seasonality
19. Histogram
20. Time line and Trend Change
21. Livelihood Analysis
22. Causal Diagram
23. Venn Diagram/Institutional Diagram/Chapati Diagram
24. System Diagram
25. Pie Diagram
26. DIYS (Do It Your Self)
27. Workshop and Work Shopping
28. Group Walks
29. Development Stories
30. Case Studies and Portraits
31. Proverb
32. Indigenous Categories and Terms; Taxonomies; Ethno-classifications
33. Folklores
34. Daily Routine Diagram
35. Indigenous Technical Knowledge (ITK) modeling
36. Futuristic Modeling

The PRA team must select the most appropriate and useful set of tools each time to introduce, invent and adapt.

2. Handing Over the Stick

1. Before conducting PRA exercise establish good rapport with the people
2. Start by what people know
3. Learn the unlearned aspects
4. Start with historical background of the village/hamlet/locality
5. Encourage people to elicit and use their own criteria for analyzing the situation

6. Respect the local customs, social systems and human values
7. Have and show faith in people's wisdom
8. Try to know ITK before introducing PRA exercise
9. Introduce warm-ups and simulation games to evolve team spirit and to mobilize people's initiative and participation
10. Build a multi-disciplinary PRA team

3. PRA Exercise No.1: Semi-structured Interview

The term interview is derived from the word inter + view, which mean to inter in view of the respondents. It means an interaction between two or more people, leading to better understanding in between. Thus, interview is a forum of dialogue. Good interview is pivotal for accurate insight of real situations, traditions, customs, values, beliefs, problems, priorities, morals, perception, attitude and aptitudes. However, semi-structured interviewing is a guided interview where only some of the questions are predetermined and the new questions come up during the interview. In this exercise the interviewers formulate a set of topics and questions rather than a fixed questionnaire.

The semi-structured interviews are conducted with the following organs:

· **Individuals:** To seek representative information. Interview a number of different backgrounds of individuals on particular topic (such as, women, men; old, young; participating, nonparticipating; literate, illiterate; married, unmarried; poor, rich; professionals, artisans etc.)

· **Key respondents:** Aims to unearth specific information. The key respondents have the knowledge which others generally don't have (e.g. farming population).

· **Groups:** To seek community level pact ground information.

· **Focus groups:** To identify specific problems in depth (e.g. about women).

Guidelines for Facilitator

1. Depending on the topic, the interviewing team usually consists of three to five persons from different disciplines.
2. Begin with the formal greetings and state that the interview team is here for progressive learning.
3. Begin the questioning by referring to someone amongst the respondents or something visible.
4. Conduct the interview informally and add questions during discussions.
5. Be open minded and objective.
6. Let each interviewer finish their line of questioning (don't interrupt).
7. Gradually lead up to sensitive questions.
8. Assign one note taker (but rotate).
9. Be considerate about non-verbal signals (moods/expressions etc.)
10. Avoid pre-conceived value judgments.
11. Avoid questions which could be answered with "yes" or "no".
12. Individual interviews should be no longer than 1.0 hours.
13. Each interviewer should have a loose list of appropriate topics and the key questions written in notebook.
14. Introduce dynamic facilitation to make people talk.
15. For ice breaking, start with burning topics of the day.

Be aware of common mistakes:

1. Repeating questions should be avoided.
2. Helping respondents to give any answer.
3. Avoiding progressive learning approach.

4. Individual interview should be specific, objective and relevant in contents and contexts.
5. Individual interview with women respondents should be conducted preferably by women interviewer.
6. Don't feel that there is nothing to learn from respondents.
7. Don't follow a focused track of interest.
8. Don't misinterpret answer.
9. Asking vague questions.
10. Asking unaffordable questions.
11. Relying too much on what the well-off, the educated and elder persons have to say.
12. Ignoring anything that does not fit the knowledge and preconceptions of the facilitator.
13. Giving too much weight to answer the contained "Quantitative data" (for example, "How many bulls do they own?")
14. Incomplete note taking.
15. Before conducting interview, a brainstorming session about the topic must be followed for a brief (05 minutes).
16. Avoid the opinion poll syndrome.
17. Be aware of the daily schedule which the interviewees have chosen.
18. Be sensitive and respectful.
19. Take a seat on the same level as the interviewees have. Be familiar with the language of interview.

4. PRA Exercise No. 2: Preference Ranking and Scoring

Purpose

To introduce the participants about role of preference ranking in project planning.

Note for PRA Team

Preference ranking and scoring can be undertaken with individuals or in a group of individuals. Pair-wise wealth ranking is best done with individuals, and scoring by voting will be purposeful if conducted in a group.

What is ranking

Ranking and scoring means placing something or someone in proper order. Analytical tools, such as ranking, complement semi-structured interviewing by generating basic information which ultimately leads to more frequent direct questioning. This may be used either as a part of an interview or separately. Pair-wise ranking helps to identify the main problems, priorities and potentialities of individual community and also their ranking criteria. Moreover, it enables the preferences of different individuals to be easily compared.

Strengths of ranking

1. This exercise is best for obtaining sensitive information especially about income and wealth. Informants tend to be more willing to provide relative values regarding their wealth than absolute realities.
2. Ranking scores are easier to record than the absolute statement.

Methods of Ranking

1. Preference ranking or ranking by voting
2. Pair-wise ranking
3. Direct matrix ranking
4. Wealth ranking

Guidelines for Ranking

1. Respondent to should be allowed for doing it in their own manner.
2. Allow participants own units of measurement.
3. Allow participants own terms for whatever it is to be ranked.
4. Encourage if participants can adapt local games for ranking.
5. Check the reasons for the order of the ranking.
6. Be prepared with all the requisites
7. Maintain patient hearing during the exercise

What is Preference Ranking

This method allows the PRA team to determine quickly the main problems or preferences of an individual or a group of individuals. It also enables the team to identify the priorities of different individuals to be compared. Voting is also an option for preference ranking.

Note for Facilitators of the Exercise

Conduct the exercise to the prevailing conditions and choose a appropriate topic for the exercise, preferably one which is relevant to the participants of the PRA fieldwork (e.g., "What are the main problems affecting the growth and development of commercial crops). Conduct the exercise with a brainstorming session to focus on 03 items to be ranked. Then, either publicly in a large group by voting or individually, the participants should draw their preferences on a paper. If the topic of the exercise is related to the PRA field work, trainers can repeat this exercise after completing the fieldwork to compare the changes in the participant's opinions/mindsets.

Steps to be taken

1. Select a set of problems or preferences to be recorded. For example- gender problems or preference for specific plant species.
2. Allow the interviewee to give his/her favoured items in order of preferences. Get a list of 03-04 items from each interviewee.
3. Tabulate the data/information obtained.

Case Study of Preferences Ranking: Constraints to Commercial Agricultural Practices

Problems	Respondents						Total score	Ranking
	A	B	C	D	E	F		
Marketing	5	5	3	5	4	5	27	a
Drought	4	3	5	4	5	4	25	b
Weeds	3	4	4	1	3	3	18	c
Cost of inputs	2	1	2	2	2	2	11	d
Labour shortage	1	2	1	3	1	1	9	e

Rank: 5 = Most important, 1 = Least important

Case Study of Preference Ranking: Liking for Five Indian Dishes

Note:

1. List out five popular dishes
2. Let each of the participants gives his/her preferences
3. Tabulate the data and record the final ranking order
4. Open the discussions

Dishes	**Respondents**						**Total score**	**rankin g**
	A	**B**	**C**	**D**	**E**	**F**		
1. Chhole Bhatoore								
2. Masala Dosha								
3. Litti-Chokha								
4. Sambhar-Bara								
5. Poori-Sabji								

5. PRA Exercise No.3: Pair-wise Ranking

Purpose

Pair-wise ranking facilitates the trainers or participants to determine the rural problems or preferences of individual community members to assess the ranking criteria, and also to compare the priorities of different individuals.

Steps to be Taken

- Select a set of problems or preferences to be identified. This could be gender problems or preferences for plant species.
- With the help of the interviewee, identify five most important items.
- Record each of the five items on different set of papers or in electronic mode.
- Put two of these findings in front of the interviewee and ask him/her to identify the most favoured preferences and to explain reasons for the choice. Mark the response in the appropriate place in the priority ranking matrix.
- Allow a different pair and repeat the same exercise.
- Repeat the steps until all boxes of the matrix have been filled.
- List the preferences in the place in which the interviewee has ranked them by putting the cards in order of priority.
- Re-examine with the interviewee whether any important preferences have been left from the record sheet. If any, place them in the appropriate order in ranking metrics.
- As a useful cross-check to the responses, complete the session by asking the interviewee about his/her most favoured preference (e.g., "If you have to grow only one commercial vegetable variety, which one would you prefer"?)
- Repeat the exercise for a number of individuals and record their preferences.

Ranking Criteria Matrix

Fruits	Favourable	Unfavourable
Lemon		
Banana		
Mango		
Guava		
Orange		

6. PRA Exercise No. 4 : Direct Matrix Ranking

Note for Participants

Allow the exercise as per local conditions and select exercises which are most friendly and relevant. Instead of agro-processing, you might rank the relative usefulness of different kinds of domestic livestock (birds, chicken, pigeons, rabbits, goats, cows, buffaloes etc.) or of kitchen gardening (tomatoes, potato, okra, chilly etc.). To make this exercise more adaptable and of a deeper insight, an appropriate scoring technique can be used.

Purpose

It aims to introduce and practice direct matrix ranking. Direct matrix ranking helps the PRA team to identify lists of criteria for a specific purpose. It allows the team to realize the logic of local preferences. The criteria may change from one group to other. Women may have different logics for selecting specific item than men.

Steps to be taken

Allow the people to choose a particular point of objects which is vital to their lives (e.g., plant species, food items etc.).

1. Record the 3 to 5 most vital items for the exercise
2. Evolve the criteria by raising questions: "What is special about each Item?" (Continue until no more responses). "What is unacceptable about each item?" (Continue until no more responses).
3. List all the criteria. Change the negative criteria into positive one by raising questions, e.g. vulnerable to insects become resists to insects'.
4. For each criterion raise the question, e.g. "Which object is best?", "Which is the next best?", "Which is worst, then next worst?"
5. Ask: "Which factor is most vital?
6. Force a choice: "If you have only one of these choices, which one would you select?
7. Draw a matrix

Case Study of Direct Matrix Ranking

Criteria	**Plant species**			
	Mango	**Eucalyptus**	**Neem**	**Bargad**
Fuel wood	4	1	2	3
Building	4	4	4	1
Fruit	4	-	3	3
Medicine	3	-	4	3
Fodder	3	-	3	3
Shade	3	-	4	4
Charcoal	4	1	4	1
Total score	25	6	24	18
Rank	A	D	B	C

4 = best, 1 = worst

Note: Repeat for a number of interviewees, with different types of topics.

7. Exercise No. 5: Wealth Ranking

Wealth ranking is a versatile and flexible tool which can be very useful. To produce the objective results, it should be done rationally. If you cannot do wealth ranking rationally, you may adapt wealth indicators (house type/assets) or socio-economic mapping criteria.

There are inequalities and status variables in every community. These differences influence or determine people's perceptions, coping strategies, and receptiveness. Wealth ranking enables the PRA team to:

- investigate status of wealth in a community
- allow local indicators and criteria of wealth and well-being of a family or person
- outsiders and insiders have different perceptions about wealth status, well-beings and inequalities. People's perceptions are vital for getting a deeper insight
- different categories of people in a community (men, women, business community, labourers etc.) may have different criteria for wealth
- investigating the range of socio-economic diversity in a particular community is vital for project planning and monitoring
- wealth ranking is based on the assumption that community members have a proper understanding of who among them is more or less well-off. It should be kept in mind that important is the community's own perception of the prevailing conditions. It would be better to cross-check the process with direct observation method

Steps of Wealth Ranking

- A list is prepared for all the households in the community and the each household is assigned a number. The name of each family head and the number is recorded on a separate sheet.
- A number of respondents, who have lived in the community for a long duration and known to each other, are asked to prepare wealth categories in the community using their own criteria.
- Numbered baskets or small boxes may be used to record the scores.
- Ensure that the respondents do not discuss the details of individual families, so as not to cause bad impressions within the community. Record local criteria and indicators derived from the ranking discussions.
- In the last, arrange numbered households according to wealth categories.
- Wealthy households in the community will have low scores, where as the poorest households will have higher scores.
- This tool is simple and can usually be carried out in one day with a great deal of participation of the community. However, it does not work properly in heavily populated areas as it is too difficult to get everyone's identification's and to find respondents who are closely known to every household.
- In communities which are accustomed to receiving economic benefits from development agencies/government agencies, wealth ranking may not produce proper answers about the economic stratification of a community, due to various reasons. Therefore the objectivity of the tool should always be kept in the minds of the participating team.

Case Study of Wealth Ranking

Household number	Respondents/scorer				Average Score	Wealth groups
	A	B	C	D		
39	20	20	11	25	19	Richest
33	20	20	11	25	19	a
14	20	20	20	25	21	
40	20	20	22	23	21	
16	20	40	22	23	26	
12	20	20	44	25	27	b
18	20	40	33	25	29	
28	20	40	33	25	29	
24	40	40	23	25	32	
41	20	40	30	50	35	
21	20	40	56	25	35	
46	20	40	56	25	35	c
42	20	40	44	50	38	
38	20	60	56	25	40	
8	20	40	55	50	41	
9	20	40	55	50	41	
37	40	40	42	50	43	
31	40	40	42	50	43	

31	40	40	50	50	45	
22	20	60	56	50	46	
15	40	40	56	50	46	
27	20	60	56	50	46	
17	20	60	67	50	49	
23	40	60	56	50	51	
36	40	60	56	50	51	
47	40	60	67	50	54	d
11	40	60	67	50	54	
20	40	80	67	50	59	
4	40	60	67	75	60	
43	40	60	67	75	60	
6	40	60	67	75	60	
38	20	60	67	100	62	
19	40	60	78	75	63	
32	40	60	79	85	66	
35	60	65	68	75	67	
25	40	80	89	75	71	e
10	40	70	78	100	72	
7	60	80	89	75	76	

45	80	40	100	100	80	f
48	60	80	89	100	82	
44	37	80	67	100	82	
5	60	100	89	100	87	
2	60	100	89	100	87	
13	80	80	100	100	90	
3	60	100	100	100	90	
34	60	100	100	100	90	
26	80	80	100	100	90	
1	80	100	89	100	92	
29	100	100	100	100	100	Poorest

8. Exercise No.6: Design of Diagram

A diagram is a simple schematic tool which presents information in a condensed and transparent visual form. This tool is used to summarize the data in such a manner that it can be viewed in visual form for field discussions and the analysis of situations. This tool is vital in helping to identify the problems, potentialities and opportunities in specific areas/time periods/activities.

Thus a diagram is a visual tool which presents information in a pictorial form described as follows:

- it simplify the complex information
- it is appropriate in analytical process
- it facilitates the communication
- stimulate research and the field discussions
- build consensus among participating team

- it is an excellent tool to involve community members and to record their views by encouraging them to draw diagrams on their own
- a diagram is used in various types of mapping-transect exercises, seasonal calendar, daily routine chart, time trends, historical profile, flow diagram, livelihood analysis, system-diagram, decision tree, Venn diagram etc.

9. Exercise No. 7: Participatory Mapping

Steps to be taken for Mapping

This tool has various types of mapping techniques such as resource mapping, social mapping, transect walks etc. The steps are detailed as follows:

- Before visiting the field, obtain maps and aerial photographs (GIS and Remote Sensing photographs.) of the proposed PRA site.
- Draw a simple outline maps showing key locations and the landmarks.
- Draw roads, rivers, canals, schools, households, government offices, agricultural areas etc. on the maps.
- During PRA exercise obtain a spatial overview from a high vantage point (water tank, hill top, tree tops, high building), and group interviews.
- Record local place names.
- Revise the maps, if you receive added information.
- Maps can be drawn for social and residential stratifications (wealth, ethnicity, religion etc.) and also of natural resources.

10. Exercise No.8: Mobility Mapping

It is vital to identify the patterns of spatial mobility for different segments of local people. The contacts with the “outside world” and the "decision-making processes" in a community are often closely linked. Spatial mobility in many societies can be used as an indicator for a person's contact with and knowledge of the outside world and his/her ability dynamics. It also indicates about awareness, wealth-velocity, socio-political empowerment, educational accessibility and the consciousness. The mobility map enables to prepare, compare and analyze the mobility of different groups of people in a community (e.g., old men, young men, old women, young women, children, educated, uneducated, skilled, unskilled etc.).

11. Exercise No.9: Transact walk

Steps of Preparing a Transact

- To identify community members who are experienced and receptive to participate in transact walk in surrounding areas.
- To share with them the different factors to be identified during the transact walk (crops, land use, plantations, soils, etc.)
- To observe, raise queries and listen.
- To discuss about the problems and their solutions.
- To identify the main non-agricultural and agricultural zones and to draw specific features with following descriptions:
    - soil characteristics
    - crops combinations
    - livestock population
    - associated problems
    - recommended remedies
    - development opportunities
- To cross-check the findings.

Methods to be applied

- Use laptop or palmtop for drawings.
- Use GIS maps for topographical information.
- After transact work, a team representative assigned to the task, will present the case the using various diagrams to a larger group and share the findings with them.

12. Exercise No.10: Seasonal Calendar

A seasonal calendar is used for showing the main activities, problems and opportunities throughout the annual cycle in a diagrammatic form. It helps to identify the months of greatest difficulties and vulnerability or vital variances which have serious impact on lives. A seasonal calendar can be used for the following activities/events:

- Indigenous seasons (*Jayad*, *Kharif, Rabi*).
- Climatic conditions (rainfall and temperatures, wind velocity etc.)
- Cropping sequences (from weeding to harvesting)
- Pests, insects and diseases (Season-wise)
- Removal of weeds and herbs
- Livestock management (births, weaning, sales, migration, availability of fodders marketing of products etc.)
- Livestock diseases and occurring months
- Income generating opportunities and the duration
- Labour demand
- Price transmission of agro-allied products.
- Marketing avenues (month-wise/place-wise/product-wise)
- Human diseases (season-wise/gender-wise, age-wise)
- Socio-cultural events
- Types and quantity of fuels
- Migration (outmigration/in-migration-season-wise)
- Income and expenditure patterns
- Loan (source-wise/activity-wise)
- Dietary habits (season-wise availability)

Methods to be applied to prepare a Seasonal Calendar

- Use laptops/palmtops
- Draw a 12 months calendar

- Allow to use indigenous seasonal months.
- Obtain information from the secondary sources too.
- Raise questions like, “What months are busiest for the people?” “What are they doing in busiest months?”
- Least busy months and working patterns
- If no rainfall recorded, record the four wettest months and the four driest months.
- Allow community members to use seeds, small fruits, stones, goat droppings or other small and uniform objects. Sticks can be broken in different lengths and to be used to indicate relative magnitudes. In this manner an entire seasonal calendar could be prepared with sticks, stones and seeds on the ground itself.
- Draw the range of planting, harvesting and storing durations.
- Combine all seasonal diagrams into one diagram to demonstrate correlations between different variables.
- Depict the seasonal and non-seasonal variations.

After completing the tasks, the representative groups have to present the diagrams to the larger groups and share the findings for corrective measures.

13. Exercise No.11: Historical Profile

Historical profiles are useful for sensitizing the PRA team about the performances of the past for planning the present. This tool is initiated by conducting the interviews with widely respected senior citizens of the village.

It reveals vital information for understanding the focused directions of a community. It provides an overview of the key historical events and their importance for the present. Such events may include:

- Development of infrastructures (roads, schools, Panchayatghar, canals, railways, electrification, communication contours etc.) in historical perspectives.
- Introduction of HY varieties of crops
- Floods occurred
- Changes in land tenure systems (Ckakbandi)
- Changes-in Panchayat administration (Sarpanch/ Pradhan elected)
- Emergence of rural market.
- Organization of Gram Mela / Mahotsava

The available information are collected from Gazettes/ Census, Hand Books/ periodicals and verified from senior and widely recognized citizens.

Some examples

- 1910: First railway line constructed
- 1915: Land tenure finalized
- 1920: First canal constructed
- 1925: Metalled road constructed
- 1926: Heavy flooding occurred
- 1926: River shifted
- 1930: Primary school opened
- 1936: Chaukidar appointed
- 1972: Severe drought occurred
- 1976: Drinking water pipeline installed
- 1978: PH opened
- 1984: Veterinary hospitals opened
- 1980: PHC building constructed
- 1983: Veterinary hospital building constructed
- 2001: Private middle school opened
- 2005 : Intermediate college opened
- 2008: Degree college opened

- 2010: Cold store constructed
- 2017: Rural mart opened

14. Exercise No.12: Daily Routine Diagrams

If the respondents find it difficult to identify daily routine of various sets of people, the results from the individual sheet could be combined. For this exercise, take a laptop or palmtop and draw a chart showing routine of various people at a particular point of time.

The daily routine diagram can be made more reflective by indicating not just the time but also the quantum of workload (thicker or thinner bars), such as cleaning inner and outer court-yards, feeding children, fetching water, cooking meals, washing clothes, animal feeding etc.

It helps the PRA team to compare the daily routine patterns for various categories of people-women, men, old, young, employed, unemployed, educated, uneducated, religion wise, etc. and also the seasonal changes in daily routine. The routine diagram also helps to identify time constraints and the opportunities available. Moreover, this tool can help in identifying the most appropriate time in the day for a training session. For an individual, it can be completed through personal interview or direct observation method or both.

15. Exercise No.13: Livelihood Analysis

Livelihood analysis is used to interpret the behaviours, decisions, and coping strategies of households with various socio-economic characteristics. If we take the example of female-headed households with irregular income, it is likely to have different problems and needs or the spending patterns than the household of male-headed households, and they may adopt different coping strategies. Variables for a livelihood analysis are listed as follows:

- Household size
- Composition of a family

- Labour migrants in the family
- Livestock composition
- Ownership pattern of land and the other resources
- Source-wise income
- Expenditure pattern and volume
- Seasonality
- Credit and debt patterns

16. Exercise No.14: Flow Diagram

A flow diagram shows causes, effects and relationships between the variables. A few factors are listed as follows:

- Relationships between ethnic, social, religious, economic, political, cultural and climatic factors causing environmental degradation/ protection.
- Flow of various commodities and cash in marketing channels
- Production cycle for vital commodities
- Effects of innovations on various commodities (impact diagrams)
- Organizational chart.

Examples

- Draw a flow diagram on climatic constraints to agro-allied production, price transmission of a particular crop
- Constraints of women's movement in public or production processes of a particular crop
- List out all factors related to the specific problems to be considered.
- Finalize the most burning issues first
- Start with the most focused issues

17. Exercise No.15: Venn Diagram

A Venn diagram (named after the man who created it) shows the key institutions and individuals in a community and their relationships and importance for the people. This tool is also known as “Chapti Diagram”.

Steps to be taken

- List out the key institutions and individuals responsible for decisions in a community.
- Collect information from secondary sources, group interactions or from respondents.
- Draw different circles to represent each institutions or individuals
- Size of circles indicates importance of the institutions or individuals for the community
- Arrange as follow:
  - Separate circles = no contact
  - Touching circles = information passes between the institutions
  - Small overlap = some cooperation in decision making processes
  - Large overlap = close cooperation in decision making processes
- Draw the Venn diagram first in the laptop or palmtop and adjust the arrangement of circles until the representation is accurate. Apply the same on the ground with the help of different materials.
- Mobilize the community members to participate and to lead in the completion of Venn Diagram

18. Exercise No.16: Analysis Group Discussion

- Analysis group discussions are vital for getting the PRA team and the community members closely involved in decision making processes
- This exercise is an intensive semi structured session in which the information collected in the field is analyzed and the recommendations made for further action
- It involves the PRA team and the experienced outsiders (Extension Officer, Teacher, Midwife etc.)
- Use diagrams to depict findings and to facilitate interactions.
- Allow participants to focus and to share their ideas.
- Encourage the community members to express their views and priorities and to share their own conclusions.

Precautions for Analysis Group Discussions

- Listen
- Encourage for deliberations
- Facilitate with relevant data and information
- Be humble
- Don't lecture
- Don't interrupt
- Respect the shared opinions
- Set agenda and prepare for discussions by summarizing the findings

19. Exercise No.17: Innovation Assessment

Note for considerations

Participants have to select five to six projects which they want to explore. The PRA team should complete the priority matrix and analyze the project according to feasibility. The feasibility scores are compared and weighed with actions to be taken-up. Often new and unexpected insights could be gained from this tool.

Once the innovations are identified, the PRA team has to complete the task considering the following questions:

- What types of innovations are decided
- Who would be responsible for its implementation
- What types of benefits will occur from the innovation
- The places where and when the innovations are to be implemented?
- Implementation process?
- Estimated cost?
- To draw the criteria, scale of good, medium and the best is used, represented as **+**, **++** and **+++** (the more plus signs the better). It is completed horizontally, row by row and project by project.

Innovation Description Sheet

What (Innovation)	
Why (Justification)	
Where (Place)	
When (Appropriate Time Schedule)	
Who (Implementing Agency/Agent)	
Benefit to people	
How (Methodology)	
Cost (Estimated Expenditure)	

20. Exercise No.18: Sustainability Analysis or Participatory Evaluation

This tool is useful for the periodic monitoring of development activities. This matrix sharpens the analytical insights and brings out issues concerned. It enables the PRA team to raise a number of queries and lead to decisions towards sustainability precautions.

The points to be included in the matrix are:

- Proposed project
- Periodic targets
- Output indicators
- Dimensions of impact and indicators
- Strengths (what do we do well)
- Weaknesses (where do we have problems)
- Opportunities if weaknesses are removed.
- Threats if weaknesses are ignored.
- Strategies identified
- Responsibilities lay on.

CHAPTER-5

Competency Management
Monitoring, Execution & Evaluation

1. **Monitoring and Execution: Meaning and Message**
   - Monitoring refer to surveillance and execution to creative action.
   - Execution refers to implementation / tooling of a project, e.g. - a painter's brush and colours or a carpenter's chain saw.
   - Monitoring is a process of advice giving and turning on the warning signals.
   - Monitoring refers to the role of an admonisher and becomes a medium.
2. **Evaluation**
   - Evaluation is a process by which the results of an enterprise / project are ascertained.
   - Evaluation is a process by which one is able to understand the relative merits and demerits / deficiencies of a person / group / programme / project.
   - Evaluation is a mechanism for determining how for an activity as reached and how much further it should be carried to accomplish the goal.
   - Evaluation is a systematic enquiry to measure the efficacy and efficiency of means / resources to reach towards the pre-conceived ends.
   - Evaluation is essential ingredients of development administration.

- Evaluation is like looking to see where and how fast project is going.
- Evaluation is a way of looking at:
  - Programme / activities
  - Material / resources
  - Information / communication
  - Facts / figures
- Evaluation is carried out in order to:
  - Monitor progress and effectiveness of a project / programme / person
  - Consider cost and efficiency
  - Show the points where and what changes are needed
  - Recast more efficiently for the future


Why the evaluation is carried out
To help where one is going and if he/she need to change the direction
To help the promoters to make better plan for the future
To make the execution more effective
To collect the additional information
To see if the programme is casting too much and achieving too small
To see if all the activities has been effective or not
To able to share the internal and external experiences
To compare the programme with others like the one is evaluated
To make more transparent the project being implementing
To see where the strength, weaknesses, opportunities and threats lies
To be able to advance the monitoring mechanism
To measure the progress
To see what had been attained / achieved

3. Which Type of Evaluators can give a More Transparent Picture?

Internal Evaluators	External Evaluators
Knows the programme / activities too well	Can take a fresh look at the project / programme / activities
Find it difficult to be objective	Being an outsider evaluator, find easier to be objective
Being a part of power and authority of the organizational structures, is unable to be fair in the evaluation process	Is not a part of power structure
May be influenced by the hopes of personal benefit	Hope nothing except prestige from transparent evaluation
May not be properly trained	Trained and experienced in evaluation processes
Evaluation report may not be threatening	May cause anxiety
Being familiar with the project / people can interpret the progress in his / her own terms	Being an outsider may not understand the realities of the project implemented / people involved

4. Guidelines for conducting various PRA Exercises in Monitoring and Evaluation

- When something is big to be managed in a single unit, break it down into viable small units and deal in depth with each unit in turn, but keep insight of the overall scenario. Step by step switch from these small steps to the overall picture. This method can be adapted for developing a PRA exercise or research tools, project planning, collection of information, analyzing data, or report writing.

- In developing a PRA exercise, distinguish clearly between various steps: topics, subtopics, key questions and indicators to avoid confusion during the fieldwork.
- Start with something easy, as this makes the team and the informants more participating.
- Once the goals are clarified and objectives, topics and subtopics, sources of information and indicators determined; run PRA exercises through a set of questions, starting as what, why, who, for whom, how, where, when, what for, with what? For example planners should be clear in his/her mind that:
- Who needs the information?
- What are we trying to find out?
- How will the results be used?
- What is the scope and depth of information needed to address the real problems?
- What kind of information do we need?
- Which level of accuracy is required from the data?
- How the information could be collected?
- Exploration of the way the community members could participate in PRA exercises
- Who could participate in the exercises easily?
- Review secondary data, interview key informants, and use your own insight to identify the main problems, hypotheses, and key issues before conducting the PRA.
- Start from the general for ending at specific. Formulate a framework of references. Clarify what facts are to be visualized before moving to the advance level of knowledge (e.g., get an update information of the available natural resources, land tenure and market avenues before gathering detailed information on farming practices).
- Start from material aspects to magnitude of life and from general to specific terms (e.g., natural resources > sources of livelihood > sources of economy > beliefs, attitudes, values >

problems and projected solutions etc.). Avoid discussions on sensitive issues until the last phase. Structure and introduce the whole PRA exercises properly.

- Apply analytical tools throughout the PRA exercises.
- Develop the situations and promote strategies to mobilize active participation of stakeholders in the process of data analysis and presentation.

5. Application of PRA Tools in Monitoring and Evaluation

- PRA is immensely useful tool in monitoring and evaluation of development projects. Monitoring is the formative collection and analysis of the data to compare the periodic progress of various activities. Evaluation is the periodic assessment of execution pace, cost and canvas of the programme within a specific time span.
- Make monitoring, evaluation and follow-up actions as an integral part of the project cycle.
- Carefully choose a few measurable indicators which rationally and quickly provide you accurate, reliable, and believable information. Without reviewing all the existing sources of information, fresh data must be avoided.
- Opt for the data which can be easily collected as a part of routine work (e.g., collection of current market prices of various commodities, stock inventory, registration of births and deaths etc.). This helps in collection of up-to-date information and requires less time and resources than a formal approach.
- Collect monitoring data as a part of management exercises.
- Conduct participatory evaluation and involve the representative groups from the beneficiary people, communities (indirect beneficiaries), subject matters specialists implementing projects and the fund providers.

6. Designing of Appropriate PRA Tools for Monitoring and Evaluation

- Use 4 to 5 days for conducting a PRA exercise.
- Involve an appropriate team with relevant backgrounds having deep interest and insights.
- Identify an inter-sectoral team leader for facilitating the exercise. The responsibility of collecting and sorting filled-in-forms, and handing out blank forms can be done by the team leader.
- Use the information collected in advance stages.
- Triangulate (methods, team, information sources, sites, people etc.).
- At the site of the field work, explain the prime concern of the PRA with the participants and make arrangements for group discussions.
- Start the PRA by obtaining background information to form basics of knowledge about further exercises.
- Choose a high vantage point from which a visual overview of the area could be obtained.
- Start with simulation games before approaching the main issues and applying more sophisticated techniques.
- Identify informant ions based on variations (e.g., compare most successful and less successful entrepreneurs to explore effective entrepreneurial management strategies or compare unhealthy and healthy children to understand child rearing problems and potentialities). Choose informants based on their characteristics, experiences and their contributions in their life. In complex urban areas, a larger sample is needed than in rural communities.
- Improve the quality of interactions by combining with interviews and direct observations.

- The context of the data is as important as the data itself.
- Enhance the quality of observations by using advance scientific tools and indicators.
- Keep checklists to assess the information obtained and also to remember further inquires.
- Make use of the six Ws (who, what, where, when, why and which).
- Encourage to ask questions and raise quantum of quarries.
- Don’t impose your own schedule. Adjust with the participants' problems, pace and priorities.
- Divide the PRA team in subgroups, if necessary.
- After the first round of PRA, a preliminary analysis of the information collected and the insights gained is desired.
- Conduct the case studies of selected households to examine the variances and to analyze them
- Don’t continue collecting data without a projected mission.
- Point out the mistakes made, lessons learned and what needs to be restructured. Team leader must keep a list of usual mistakes made during the field work and remind the participants to avoid them.
- Encourage them to rotate their roles even though some participants will have a natural potential for certain activities (for instances, note taking or conducting interview, gate keeping etc.)
- Experiment with different PRA tools to respond to the real focus. Discard useless queries, include good ones, and stop asking questions about topics one know enough about.
- Combine different tools and experiment them with different sequences of exercises. Introduce new tools during the field work, if necessary.

- Adapt to unpredictable situations and turn constraints into opportunities.
- Have frequent meetings with the same groups to get deeper insights. Constantly move towards the main focus, dig deeper, cross check and unearth the facts.
- Apply analytical tools to summarize findings and to compare information from the different angles.
- Share your analysis with key informants to cross-check the findings and the conclusions derived.
- Weigh the relative importance of the collected information. Don't take information at face value; be critical.
- Don't impose. Look, listen and learn.
- Be around the participants in the evenings, at nights, and in the early mornings. Staying overnight in the community keep you closer and also is better for team interactions.
- Allow appropriate time for team interactions to discover and explore unexposed.
- Fix daily scheduled time for writing the field notes.
- Pre-decide how and in what form the results will be used.
- Take interest in learning from the mistakes. Honour the community and recognize their indigenous knowledge. Ask for their advice and be sensitive to their ideas.
- Identify with the community and join in their Corus to create a sense of belonging.
- Experiment with various types and patterns of community participation.
- Don't depend on only a segment of the community.
- Work as a team to draw diagrams and charts to summarize the findings.
- Organize field visits in other communities, if needed.

- Organize analysis group discussions to review and discuss the findings with community members to formulate further steps to be taken.
- If the conclusions drawn do not match with the PRA team's professional experiences, it is necessary to review the interpretations or to gather additional information.
- In any case, the findings of the PRA must be believable and treated as bench mark.

7. Formulation of the Results

- Process the raw data obtained from various reliable sources into *pucca* data.
- Compile the data for presentation of diagrams.
- Assign the tasks of preparing diagrams among the participating members.
- Explain the diagrams as a team leader and make changes where ever necessary.

8. Approaches for Analyzing the Findings

- Analysis is a regular process of reviewing the information, classifying them, formulating proper questions and drawing believable conclusions. It aims at making a sense of the collected information. Analysis should not be left unsettled.
- Focused issues must be addressed in the findings. Sort and sift the information and look for patterns, differences, variations and contradictions if any. Remain self-critical.
- Formulate relevant questions based on the research problems. Add new questions which may have cropped-up during the PRA exercise and ensure relevant answers with the help of the collected data.
- Apply diagrams, matrices, ranking and other statistical tools.
- Tabulate the information. It helps the PRA team to be based on facts and realities.

- Findings should be consistent and must not contradict each other. If the findings contradict the secondary source of data or primary sources, analyst must be able to explain the reasons. Findings must have to be believable.

9. Guidelines for Writing the Evaluation Report

- Keep it short and transparent. Use short sentences.
- Prepare findings timely.
- Ensure that it reaches to the right people so as the results can get factored into decisions.
- Apply a proper system of communication.
- Organize the findings into logical sequences.
- The evidence presented should be factual.
- Make better and proper use of charts, tables, diagrams, and illustrations prepared during the PRA exercises.
- Circulate the draft report to all the participants and key informants, for their comments and feedbacks.
- Local languages must be welcomed in report writing.
- Circulate the report among the interested individuals and agencies also.

10. Evaluation of the Tools Applied

After submission of the report PRA team must consider:

- Which PRA tools were most useful?
- Which aspects of the exercise were most useful?
- Which tools were least useful?
- Which aspects of the exercise were least useful?
- Relevant comments and observations must be considered to be incorporated in further exercises.
- In the evaluation processes, it must be remembered that the whole universe is moving, new ideas and approaches being cropped-up, therefore the hands, head and hearts should always be opened to make the ultimate best better.

CHAPTER - 6
Corporate Social Responsibility

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1 - CSR: Meaning and Definition

CSR is not a new concept in India, however, the Ministry of Corporate Affairs, Government of India has recently notified the Section - 135 of the Companies Act, 2013 along with Companies (Corporate Social Responsibility Policy) Rules, 2014 "hereinafter CSR Rules" and other notifications related thereto which makes it mandatory (with effect from 1 April, 2014) for certain companies who fulfill the criteria as mentioned under Sub Section - 1 of Section - 135 to comply with the provisions relevant to Corporate Social Responsibility. As mentioned by United Nations Industrial Development Organization (UNIDO), CSR is generally understood as being the way through which a company achieves a balance of economic, environmental and social imperatives ("Triple-Bottom-Line- Approach"), while at the same time addressing the expectations of shareholders and stakeholders.

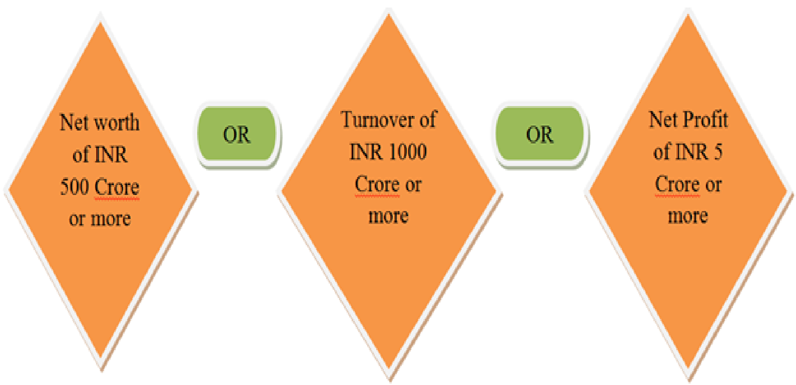
The term "Corporate Social Responsibility (CSR)" can be referred as corporate initiative to assess and take responsibility for the company's effects on the environment and impact on social welfare. The term generally applies to companies efforts that go beyond what may be required by regulators or environmental protection groups.

Corporate social responsibility may also be referred to as "corporate citizenship" and can involve incurring short-term costs that do not provide an immediate financial benefit to the company, but instead promote positive social and environmental change.

Moreover, while proposing the Corporate Social Responsibility Rules under Section 135 of the Companies Act, 2013, the Chairman of the CSR Committee mentioned the Guiding Principle as follows: *"CSR is the process by which an organization thinks about and evolves its relationships with stakeholders for the common good, and demonstrates its commitment in this regard by adoption of appropriate business processes and strategies. Thus CSR is not charity or mere donations. CSR is a way of conducting business, by which corporate entities visibly contribute to the social good. Socially responsible companies do not limit themselves to using resources to engage in activities that increase only their profits. They use CSR to integrate economic, environmental and social objectives with the company's operations and growth."*

1.1 - Applicability of CSR

The companies on whom the provisions of the CSR shall be applicable are contained in Sub Section 1 of Section 135 of the Companies Act, 2013. As per the said section, the companies having Net worth of INR 500 crore or more; or Turnover of INR 1000 crore or more; or Net Profit of INR 5 crore or more during any financial year shall be required to constitute a Corporate Social Responsibility Committee of the Board "hereinafter CSR Committee" with effect from 1st April, 2014. The pictorial representation below gives the representation of Section 135 (1).



The above provision requires every company having such prescribed Net worth or Turnover or Net Profit shall be covered within the ambit of CSR provisions. The section has used the word "companies" which connotes a wider meaning and shall include the foreign companies having branch or project offices in India.

Once a company is covered under the ambit of the CSR, it shall be required to comply with the provisions of the CSR. The companies covered under the Sub section 1 of Section 135 shall be required to do the following activities:

1. As provided under Section 135(1) itself, the companies shall be required to Constitute Corporate Social Responsibility Committee of the Board "hereinafter CSR Committee". The CSR Committee shall be comprised of 3 or more directors, out of which at least one director shall be an independent director.

2. The Board's report shall disclose the compositions of the CSR Committee.

3. All such companies shall spend, in every financial year, at least two per cent of the average net profits of the company made during the three immediately preceding financial years, in pursuance of its Corporate Social Responsibility Policy. It has been clarified that the average net profits shall be calculated in accordance with the provisions of Section 198 of the Companies Act, 2013. Also, proviso to the Rule provide 3(1) of the CSR Rules that the net worth, turnover or net profit of a foreign company of the Act shall be computed in accordance with balance sheet and profit and loss account of such company prepared in accordance with the provisions of clause (a) of sub-section (1) of section 381 and section 198 of the Companies Act, 2013.

1.2 - Reporting for CSR

Rule 8 of the CSR Rules provides that the companies, upon which the CSR Rules are applicable on or after 1st April, 2014 shall be required to incorporate in its Board's report an annual report on CSR containing the following particulars:

A brief outline of the company's CSR Policy, including overview of projects or programs proposed to be undertaken and a reference to the web-link to the CSR policy and projects or programs;

- The composition of the CSR Committee;
- Average net profit of the company for last three financial years;
- Prescribed CSR Expenditure (2% of the amount of the net profit for the last 3 financial years);
- Details of CSR Spent during the financial year;
- In case the company has failed to spend the 2% of the average net profit of the last three financial year, reasons thereof;

1.3 - Role of CSR Committee -

The CSR Committee constituted in pursuance of Section 135 of the Companies Act, 2013 shall be required to carry out the following activities:

- Formulate and recommend to the Board, a Corporate Social Responsibility Policy which shall indicate the activities to be undertaken by the company as specified in Schedule VII;
- Recommend the amount of expenditure to be incurred on the activities referred to in clause (a); and
- Monitor the Corporate Social Responsibility Policy of the company from time to time.

1.4 - A Company Ceases to be Covered under Section 135

Rule 3(2) of the Corporate Social Responsibility Rules, 2014 provides that every company which ceases to be a company covered under section 135(1) of the Act for three consecutive financial years shall not be required to:

A. constitute a CSR Committee ; and

B. comply with the provisions contained in subsection (2) to (5) of the said section till such time it meets the criteria specified in sub section (1) of Section 135.

Accordingly, if a company, for 3 consecutive years, ceases to be covered under the ambit of section 135(1), it shall not be required to fulfill the conditions relating to the constitution of CSR Committee and other related provisions.

1.5 - The Objectives of the Policy

This Policy shall be read in line with Section 135 of the Companies Act 2013, Companies (Corporate Social Responsibility Policy) Rules, 2014 and such other rules, regulations, circulars, and notifications (collectively referred hereinafter as Regulations) as may be applicable and as amended from time to time and will, inter-alia, provide for the following:

- Establishing a guideline for compliance with the provisions of Regulations to dedicate a percentage of Company‘s profits for social projects.
- Ensuring the implementation of CSR initiatives in letter and spirit through appropriate procedures and reporting.
- Creating opportunities for employees to participate in socially responsible initiatives.

1.6 - Definitions

In this Policy unless the context otherwise requires:

(a) "Act" means the Companies Act, 2013;

(b) "Annexure" means the Annexure appended to these rules;

(c) "Corporate Social Responsibility (CSR)" means and includes but is not limited to -

(i) Projects or programs relating to activities specified in Schedule VII to the Act or

(ii) Projects or programs relating to activities undertaken by the board of directors of a company (Board) in pursuance of recommendations of the CSR Committee of the Board as Per declared CSR Policy of the company subject to the condition that such policy will cover subjects enumerated in Schedule VII of the Act.

(d) "CSR Committee" means the Corporate Social Responsibility Committee of the Board referred to in section 135 of the Act

(e) "CSR Policy" relates to the activities to be undertaken by the company as specified in Schedule VII to the Act and the expenditure thereon, excluding activities undertaken in pursuance of normal course of business of a company.

(f) "Net profit" means the net profit of a company as per its financial statement prepared in accordance with the applicable provisions of the Act, but shall not include the following, namely :-

(i) Any profit arising from any overseas branch or branches of the company' whether operated as a separate company or otherwise;

(ii) Any dividend received from other companies in India, which are covered under and complying with the provisions of section 135 of the Act:

- Provided that net profit in respect of a financial year for which the relevant financial.
- Words and expressions used and not defined in these rules but defined in the Act shall have the same meanings respectively assigned to them in the Act.

2. CSR Activities

The Policy recognizes that corporate social responsibility is not merely compliance; it is a commitment to support initiatives that measurably improve the lives of underprivileged by one or more of the following focus areas as notified under Section 135 of the Companies Act

- 2013 and Companies (Corporate Social Responsibility Policy) Rules 2014: Eradicating hunger, poverty & malnutrition, promoting preventive health care & sanitation & making available safe drinking water;
- Promoting education, including special education & employment enhancing vocation skills especially among children, women, elderly & the differently unable & livelihood enhancement projects;
- Promoting gender equality, empowering women, setting up homes & hostels for women & orphans, setting up old age homes, day care centers & such other facilities for senior citizens & measures for reducing inequalities faced by socially & economically backward groups;
- Reducing child mortality and improving maternal health by providing good hospital facilities and low cost medicines;
- Providing with hospital and dispensary facilities with more focus on clean and good sanitation so as to combat human immunodeficiency virus, acquired immune deficiency syndrome, malaria and other diseases;
- Ensuring environmental sustainability, ecological balance, protection of flora & fauna, animal welfare, agro forestry, conservation of natural resources & maintaining quality of soil, air & water;
- Employment enhancing vocational skills ;
- Protection of national heritage, art & culture including restoration of buildings & sites of historical importance & works of art; setting up public libraries; promotion & development of traditional arts & handicrafts;

- Measures for the benefit of armed forces veterans, war widows & their dependents;
- Training to promote rural sports, nationally recognized sports, sports & Olympic sports;
- Contribution to the Prime Minister‘s National Relief Fund or any other fund set up by the Central Government for socio-economic development & relief & welfare of the Scheduled Castes, the Scheduled Tribes, other backward classes, minorities & women;
- Contributions or funds provided to technology incubators located within academic institutions, which are approved by the Central Government;
- Rural development projects, etc
- Slum area development.

2.1 - Explanation

For the purposes of this item, the term slum area shall mean any area declared as such by the Central Government or any State Government or any other competent authority under any law for the time being in force.

The Above list is illustrative not exhaustive. All activities under the CSR activities should be environment friendly and socially acceptable to the local people and Society. Contribution towards C.M relief fund shall be a part of CSR activities above 2% of Net profit other than the activities mentioned above. Further Ministry of Corporate Affairs vides Notification dated 24.10.2014 increased the scope of contribution made towards Corporate Social Responsibility Activities namely:

In item (i), after the words "and sanitation", the words **"including contribution to the Swach Bharat Kosh set-up by the Central Government for the promotion of sanitation"** shall be inserted;

· In item (iv), after the words "and water", the words **"including contribution to the Clean Ganga Fund set-up by the Central Government for rejuvenation of river Ganga"** shall be inserted.

2.2 - Scope of CSR -

(i) Education

- Support t o Technical /Vocational Institutions for their self -development.
- Academic education by way of financial assistance to Primary, Middle and Higher Secondary Schools.
- Adult literacy amongst those belonging to BPL.
- Awareness Programmes on girl education.
- Counseling of parents.
- Special attention on education, training and rehabilitation of mentally & physically challenged children/persons.
- Spreading legal awareness amongst people and disadvantageous sections of the society about their rights & remedies available.
- Promotion of Professional Education by setting up educational Institutions offering courses in Engg, Nursing, Management, Medicine and in Technical subjects etc.
- Provide fees for a period of one year or more to the poor and meritorious, preferably girl students of the school in the operational area of the Company to enable them to get uninterrupted education.

(ii) Water Supply including Drinking Water

- Installation/Repair of Hand Pumps/Tube Wells.
- Digging/Renovation of Wells.
- Gainful utilization of waste water from Under -ground Mines for Cultivation or any other purpose.
- Development/construction of Water Tank/Ponds.
- Rain water-harvesting scheme.

- Formation of a Task Force of Volunteers to educate people regarding proper use of drinking water.
- Empowerment to the villagers for maintenance of the above facilities for availability of water.

(iii) Health Care organizing, health awareness Camps on -

- AIDS TB and Leprosy.
- Social evils like alcohol, smoking, drug abuse etc.
- Child and Mother care.
- Diet and Nutrition.
- Blood donation camps.
- Diabetics detection & Hypertension Camps.
- Family Welfare.
- Senior Citizen Health Care Wellness Clinics.
- Fully equipped Mobile Medical Vans.
- Tele medicine.
- To supplement the different programme of Local/State Authorities.
- long with De addiction centers.

(iv) Environment

- Organizing sensitizing programmes on Environment Management and Pollution Control.
- Green belt Development.
- A forestation, Social Forestry, Check Dams, Park.
- Restoration of mined out lands.
- Development of jobs related to agro product i.e., Dairy/Poultry/farming and others.
- Plantation of saplings producing fruit.
- Animal care.

(v) Social Empowerment

- Self /Gainful Employment Opportunities – Training of Rural Youth for Self Employment (TRYSEM) on Welding, Fabrication, and other Electronic appliances.
- To provide assistance to villagers having small patch of land to develop mushroom farming, medicinal plants, farming & other cash crops to make them economically dependent on their available land resources.
- Training may be provided by agricultural experts for above farming.
- Organizing training programmes for women on tailoring Embroidery designs, Home Foods/Fast Foods, Pickles, Painting and Interior Decoration and other Vocational Courses.
- Care for senior citizens.
- Adoption/construction of Hostels (especially those for SC/ST & girls)
- Village Electricity/Solar Light.
- To develop infrastructural facilities for providing electricity through Solar Lights or alternative renewal energy to the nearby villages. Recurring expenditure should be borne by the beneficiaries.
- Pawan Chakki as alternative for providing electricity in villages, etc.

(vi) Sports and Culture

- Promotion of Sports and Cultural Activities for participation in State and National level.
- Promotion/Development of sports activities in nearby villages by conducting Tournaments like Football, Kabaddi and Khokho, Cricket etc.

- Providing sports materials for Football, Volleyball, Hockey sticks etc. to the young and talented villagers.
- Promotion of State level teams.
- Sponsorship of State Sports events in MP.
- Sponsorship of Cultural event to restore Indian Cultural Traditions and Values.
- Possibility of providing facilities for physically handicapped persons may be explored.
- Medias for preparing of documentary films.
- Guide-lines to be followed to promote sports activities by way of granting financial assistance/donation/sponsorship etc.
- Registered Clubs/Institutions which promote Sports activities may be granted financial assistance/donations/sponsorship based on the following norms:-
    - ➢ Sports talent development programme by Clubs/Institutions may be encouraged provided the proposal is routed through the respective Government Authorities/Block Development Office/Sub-Divisional Office/District Office/State Associations/ local people representatives i.e. Panchayat , Pradhan/Mukhiya/MLA/MP/ Minister etc., to ascertain bonafide objective, status of activities and contribution to the society.
    - ➢ Helping State Government in promotion of sports by providing them proper training facilities, grounds, construction of fields, etc.
    - ➢ While sanctioning financial assistance/donation/ sponsorship for State/ National/International events, Company could send its representatives to ensure proper utilization of fund for the specific purpose, as

well as, to ensure publicity/coverage for corporate image building.

➢ As per the Government policy for payment of financial assistance/donation/ sponsorship Registered Clubs/Institution will furnish details as required by Company. i.e. their Registration, PAN No. etc. to establish their authenticity.

- Generate self-employment.
- Infrastructure Support – construction, repair, extension etc. of:-
  - ➢ Auditorium,
  - ➢ Educational Institutions,
  - ➢ Rural Dispensaries initiated by reputed NGOs,
  - ➢ Mobile Crèches,
  - ➢ Bridges, Culverts & Roads,
  - ➢ Check Dam,
  - ➢ Shopping Complex to facilitate business/self employment for local people,
  - ➢ Community Centre,
  - ➢ Sulabh Souchalaya,
  - ➢ Yatri Shed in Bus Stand,
  - ➢ Burning Ghat/Crematorium,
  - ➢ Development of Park,
  - ➢ Play ground/Sports complex/Good Coaches,
  - ➢ Old Age Home.

2.3 - The Geographic reach

The Act provides that the Company shall give preference to the local area and areas around it where it operates, for spending the amount earmarked for Corporate Social Responsibility. The Company will thus give preference to conducting CSR activities in the state of Bihar herein the Company has/will have its operations.

However, the Committee may identify such areas other than stated above, as it may deem fit, and recommend it to the Board for undertaking CSR activities.

2.4 - Annual spends/Allocation of Funds Annual spends/Allocation of Funds

The Company would spend not less than 2% of the average Net Profits of the Company made during the three immediately preceding financial years. The surplus arising out of the CSR activity will not be part of business profits of the Company. The Corpus would thus include the 2% of average net profits, as aforesaid, any income arising there from and surplus arising out of CSR activities.

The Company may build CSR capacities of its personnel and/or those of its implementing agencies through Institutions with established track records of at least three financial years but such expenditure shall not exceed five percent of total CSR expenditure of the Company in one financial year.

However if the Company ceases to be covered under sub-section (1) of Section 135 of the Act for three financial years, then it shall not be required to, comply with the provisions laid down under sub-section (2) to (5) of the said section, till such time it meets the criteria specified in sub-section (1) of the Act.

2.5 - CSR Committee

The CSR Committee will consist of four Directors, who shall meet at least twice in a year to discuss and review the CSR activities and policy. The quorum shall be two members are required to be present for the proceeding to take place. The Chairperson and members of the committee of the committee are as follows:

(i) Scope and functions of CSR Committee

The CSR committee will recommend a formal CSR Policy, this document and will recommend particular CSR activities, set forth a budget, describe how the company will implement the project, and establish a transparent means to monitor progress.

9. Administration of CSR Projects

The Corporation can meet its CSR obligations by funneling its activities on its own or through a third party, such as a society, trust, foundation or Section 8 company (i.e., a company with charitable purposes) that has an established record of at least five years in CSR-like activities. Companies may also collaborate and pool their resources, which could be especially useful for small and medium-sized enterprises. Managing Director will have the power to sanction any project for CSR up to a limit of 7.5 lakhs, above which Board‘s approval will be required to sanction the amount.

(ii) Implementation

- The investment in CSR should be project based and for every project time framed periodic mile stones should be finalized at the outset.
- Project activities identified under CSR are to be implemented by Specialized Agencies and generally NOT by staff of the organization. Specialized Agencies could be made to work singly or in tandem with other agencies.
- Such specialized agencies would include:
    - ➢ Community based organization whether formal or informal.
    - ➢ Elected local bodies such as Panchayats
    - ➢ Voluntary Agencies (NGOs)
    - ➢ Institutes/Academic Organizations
    - ➢ Trusts, Mission etc.
    - ➢ Self-help groups
    - ➢ Government, Semi Government and autonomous Organizations.
    - ➢ Standing Conference of Public Enterprises (SCOPE)

- ➢ Mahila Mondals/Samitis and the like Contracted agencies for civil works Professional Consultancy Organization etc.

2.6 - Funding

· As per the regulations the company will set aside, for annual CSR activities, an amount equal to 2% of the average net profits of the Company made during the three immediately preceding financial years. Any unutilized CSR allocation fund of a particular year, will be carried forward to the next financial year i.e. the CSR budget will be non lapsable in nature.

· The tax treatment of CSR spent will be in accordance with the Income Tax Act, 1961 as may be notified by the central board of Direct taxes.

2.7 - Budget

(i) The Company Board of Directors shall ensure that in each financial year the Company spends at least 2% of the average Net Profit made during the three immediate preceding financial years.

Net profit‖ means the net profit as per the financial statement of the company prepared in accordance with the applicable provisions of the Act, but shall not include the following:

- Any profit arising from any overseas branch or branches of the company, whether operated as a separate company or otherwise, and
- Any dividend received from other companies in India which are covered under and complying with the provisions of section 135 of the Act.

(ii) As per section 135 of the Companies Act, the Company will report reasons for under spending of the allocated CSR budget of the current financial year in the template provided by the Ministry of Corporate Affairs. This reporting will be done Annual Report and signed off by the Board of Directors.

(iii) In case of any surplus arising out of CSR projects the same shall not form part of business profits of the Company.

(iv) The Company may collaborate or pool resources with other companies to undertake CSR activities, through any non-profit organization, if required.

2.8 - Amendments to the policy

The Board of Directors on its own and/or on the recommendation of CSR committee can amend its policy as and when required deemed fit. Any or all provisions of CSR Policy would be subjected to revision/amendment in accordance with the regulations on the subject as may be issued from relevant statutory authorities, from time to time.

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