



The SMERU Research Team

# A CONSOLIDATION OF PARTICIPATORY POVERTY ASSESSMENTS IN INDONESIA

## Volume II

### Participatory Poverty Assessment for the Regional Poverty Reduction Strategy Paper

Report by the SMERU Research  
Institute and Pradipta Paramitha,  
with the support of JBIC (Japan  
Bank for International Cooperation)

December 2003

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## **ABSTRACT**

*This book presents a proposed method for the implementation of the Participatory Poverty Assessment (PPA) within a framework of composing a regional Poverty Reduction Strategy Paper (PRSP), especially at the district level. To synergize poverty prevention strategies, programs and policies, the Indonesian government has stated its commitment to develop a national PRSP that will accommodate the formulation of a long term national poverty reduction strategy. Meanwhile, along with the implementation of regional autonomy that provides greater authority to the regions to create policy that is appropriate with regional conditions, a regional PRSP is needed, both on a provincial and a district level. The development of a regional PRSP needs to be done in a participatory fashion in order to produce a well-targeted poverty reduction strategy and policy, which is more accommodative in meeting the needs and local socio-cultural circumstances. This volume is intended to provide a practical guide for district government in implementing and developing regional PRSP in a participatory way.*

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## LIST OF ABBREVIATIONS

BPD	: <i>Badan Perwakilan Desa</i> – Village Councils
DPRD	: <i>Dewan Perwakilan Rakyat Daerah</i> – Regional People’s Representatives Council
ILGR	: Initiatives for Local Government Reforms
IMF	: International Monetary Fund
JBIC	: Japan Bank for International Cooperation
KPK	: <i>Komite Penanggulangan Kemiskinan</i> – Poverty Reduction Committee
MPA	: Methodology for Participatory Assessment
NGO	: Non-Government Organization
PAR	: Participatory Action Research
PLA	: Participatory, Learning and Action
PPA	: Participatory Poverty Assessment
PRA	: Participatory Rural Appraisal
PRSP	: Poverty Reduction Strategy Paper
RRA	: Rapid Rural Appraisal
SWOT	: Strengths, Weakness, Opportunities and Threats
UNDP	: United Nations Development Programme



## FOREWORD

This volume is the part two of the reports for the study of “A Consolidation of Participatory Poverty Assessments in Indonesia”. The reports of this study are presented in two volumes:

**Volume I : *Understanding the Voice of the Poor: Input for the Development of the Poverty Reduction Strategy Paper***

**Volume II : *Participatory Poverty Assessment for the Regional Poverty Reduction Strategy Paper***

This PPA consolidation study is carried out with support from the Japan Bank for International Cooperation (JBIC) to provide information based on the results of poverty studies that were carried out together with the poor. The result of this study is intended to be an input for the preparation of the Indonesian Poverty Reduction Strategy Paper (PRSP).

The interim PRSP reveals three main objectives of PPA within the framework of the preparation of PRSP: 1) identifying the problems and solutions to poverty, 2) identifying alternative actions and indicators for successful poverty reduction, and 3) identifying a participatory and sustainable mechanism to institutionalize a network for poverty information system. Based on the discussions with various stakeholders including the Deputy for Poverty Reduction in the Office of the Coordinating Ministry for People Welfare, an idea for consolidating the findings from various PPAs that have been implemented by both government and non-government organizations has emerged. This initiative was raised because several institutions have already carried out PPAs or PPA-like studies in various regions in Indonesia, although the aims of these studies were varied. The consolidation of the results of PPAs is intended to provide input to PRSP in a relatively short time period (October-December 2003). Considering the importance of the results of the consolidation of PPA for supporting the development of PRSP, the SMERU Research Institute and Pradipta Paramitha agree to conduct the consolidation of PPAs and PPA-like studies.

In line with decentralization and regional autonomy policy, PRSP will be more effective if it is planned, implemented, and evaluated by the regional government. Therefore regional PRSP has become an important part of the national PRSP framework, and PPA at a district level makes up an integral part of regional PRSP developed by regional government. However, a guideline on how to carry out PPA within the context of preparing regional PRSP is not available yet. In an attempt to provide a proposed methods for implementing PPA, this PPA consolidation study also make an effort to compose a proposed guidelines that can be used as a reference for conducting PPA within the framework of preparing regional PRSP.

Finally, we hope that the results of this study will be useful for the preparation of national and regional PRSP as well as the implementation of PPA in the regions, and also be especially beneficial for the community. However, this volume is developed based on

literature review and experiences of various institutions that have conducted PPA. The study team is aware of the needs to continuously improve this publication. Therefore, the team would be grateful to receive criticisms and inputs, which can be sent through email/website: [smeru@smeru.or.id](mailto:smeru@smeru.or.id) or [www.smeru.or.id](http://www.smeru.or.id).

Jakarta, December 2003

**The Study Team**

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**PARTICIPATORY POVERTY  
ASSESSMENT FOR  
THE REGIONAL POVERTY  
REDUCTION STRATEGY PAPER**

# I. Introduction

The adoption of participatory approaches in the planning, monitoring and public policy evaluation processes, especially regarding poverty reduction, have increased over the last couples of years. The support for the adoption of such participatory approaches have increased because of the growing concerns over the weakness of the approaches used in developing poverty reduction programs in the past. Various evaluations regarding poverty reduction policies have pointed the dominance of top-down approaches. These policies tend to be less accommodating toward the needs and aspiration of the poor, so that many are not well targeted.<sup>1</sup> The application of participatory approaches aims to produce poverty reduction strategy and policy that is more accommodative in meeting the needs and the social-cultural circumstances of local people.

There is an emphasis on the need to adopt a participatory approach in the process for developing PRSP, both at the national and regional levels. The Indonesian interim PRSP that formed a base for long-term poverty reduction strategy stressed that poverty reduction efforts are based on a new paradigm, that is a participatory approach through consensus and commitment of all stakeholders. Therefore, the formulation of poverty reduction policies and strategies must be executed in a participatory fashion.

The high poverty rate and susceptibility to instability that has the potential to increase poverty remains a major problem in Indonesian development. To synergize poverty reduction strategies, efforts and policies, the Indonesian government has stated its commitment to development a national PRSP that will convey a long-term national poverty reduction strategy. Meanwhile, in line with the implementation of regional autonomy that has provided greater authority to the regions to create policy that is more appropriate to each regional condition, the regions –both at provincial and district levels- also require to develop their regional PRSP.

Several countries have produced PRSP through particularity processes,<sup>2</sup> however for Indonesia, PRSP and the participatory process in developing the paper is still a relatively new development.<sup>3</sup> This volume was composed to provide an illustration of the application of *Participatory Poverty Assessment (PPA)* in preparing a regional PRSP, especially at district level. It is deliberately presented in a simple format as it is intended to be a general guideline for the district government and various stakeholders. More detail information regarding PRSP and the

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<sup>1</sup> The Interim PRSP stated that the weaknesses of poverty prevention in the past, which need to be corrected include: (i) orientation mainly toward macro-economic growth; (ii) centralised policy; (iii) caricative in nature; (iv) places people as objects; (v) poverty was seen mainly from economic perspective; and (vi) generalizing the assumptions about the problems and poverty alleviations.

<sup>2</sup> Documentation from various countries that have previously developed PRSP which can be viewed at [www.worldbank.org/poverty/](http://www.worldbank.org/poverty/)

<sup>3</sup> The use of participatory approach in sectoral planning has been developed, among others in health and environmental sanitation, agriculture, and provision of clean water. A participatory approach has also been embraced by local non-government organizations in their village assistance programs..

participatory approach, both the basic theory and various methods developed, can be obtained from various sources provided in the Reference List and Appendix 3.

This publication is prepared within the study of the “Consolidation of PPAs in Indonesia”. The results of this study are presented in two volumes, Volume I entitled “Understanding the Voice of the Poor: Input for the Development of the Poverty reduction Strategy Paper”, and Volume II “Participatory Poverty Assessment for Regional Poverty Reduction Strategy Paper”.

This study, which mainly based on literature reviews, also assess the strengths and weaknesses of the methodology adopted by PPA and PPA-like studies carried out in Indonesia by several institutions. The findings of this assessment and other relevant information from various institutions have been used as input material for the composition of this volume.

## II. What is Poverty Reduction Strategy Paper (PRSP)?

PRSP has been introduced by the World Bank to the highly indebted countries as a base for providing debt facilities with very low interest. PRSP usually contains a policy framework, as well as social, structural, and macro-economic programs that are aimed to promote economic growth and reduce poverty, complemented by the necessary external funding needs. PRSP also reflects the commitment of a country to mainstream its development policy so that development will be more beneficial to the poor, and poverty will be reduced. The mainstreaming and synergising efforts to reduce poverty are necessary because poverty problem is a very complex phenomenon, and the solution should be carried out in a multi-sector, holistic and integrated fashion, with clear objectives and direction.

### **Box 1**

#### **Main Principles in the Process of PRSP Development According to the World Bank**

5 main principles on developing and implementing PRSP are:

- Lead by individual countries – With wide participation from the community and private sector in all operational steps;
- Result oriented – aim toward outcomes that will benefit the poor;
- Comprehensively identify the multi dimensional aspects of poverty;
- Partnership orientation –coordinate all development partners (bilateral, multi-lateral and non-government);
- Poverty reduction based on a long-term perspective.

Basically there are no standard regarding the process in the development of PRSP. The process should be tailored to the location specific conditions and characteristics. However, crucial steps include:

- Participatory process;
- Comprehensive poverty diagnosis;
- Priorities in macro-economic, structural, and social policies that are clearly articulated and supplemented with financial requirements;
- Targets, indicators, and monitoring and evaluation system that are suffice, both for mid-term and long-term goals.

Source: summarized from materials in [www.worldbank.org/poverty/strategies/](http://www.worldbank.org/poverty/strategies/)

The government, together with other stakeholders, including non-government and social organizations, traditional leaders and religious leaders, the poor, and private sectors, develops PRSP in a participatory way. The development of PRSP is also involving other development partners such as the World Bank, IMF, and donor countries/organizations. The interaction process between various associated parties toward the achievement of a mutual agreement forms the most important focus in the development of PRSP.

In the interim PRSP published by the Poverty Reduction Committee (KPK) in January 2003, the Indonesian Government states their commitment to develop a long-term poverty reduction Grand Strategy in the form of a PRSP. The development of a national PRSP will be followed by a regional PRSP (provincial

and district) based on the principles of participation, transparency, accountability and joint benefit.

**Box 2**

**The Objectives of the National and Regional PRSP Development**

The objectives of the national PRSP development are:

- Providing a common direction for government, private sectors and the community, as development players, both at the central and at the regions, in implementing poverty reduction efforts;
- Applying a new paradigm in the poverty reduction, through a participatory approach with consensus and commitment between all stakeholders, beginning with strategy and policy formulation;
- Indicating the commitment of the Indonesian people as part of the global poverty reduction movement.

(Source: Interim PRSP, page 5)

The objectives of regional PRSP development are:

- Providing a common direction of poverty reduction at the region that accommodates local condition, aspirations, and, but in line with national poverty reduction strategy;
- Serving as a mode to institutionalize regional poverty reduction agenda.

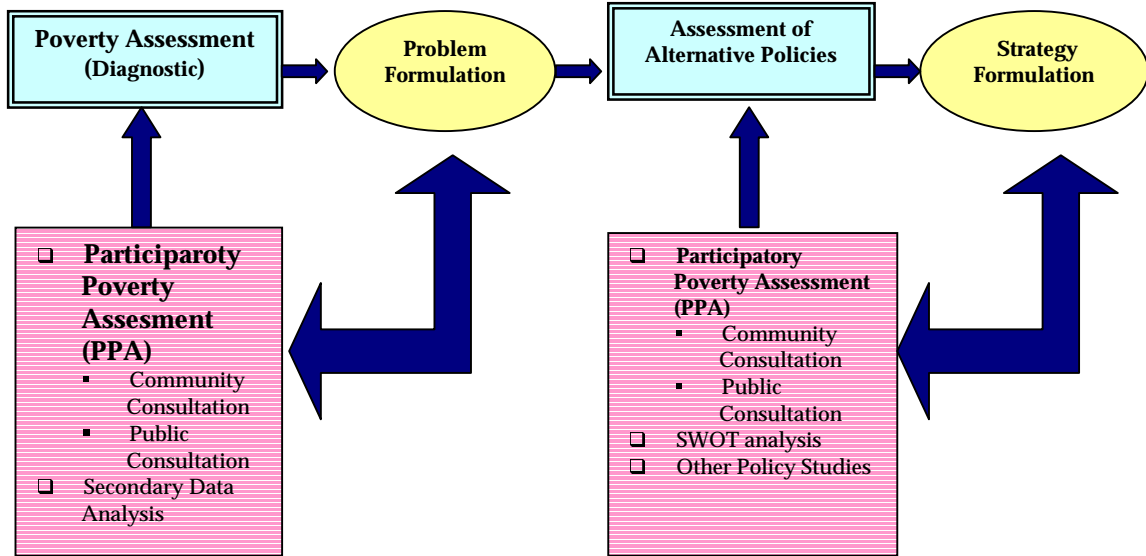
(Source: Interim PRSP, page 47)

In general, PRSP contains:

1. Poverty conditions and problems that perceive poverty multi-dimensionally and comprehensively;
2. Review of policies and programs as a lesson to develop a poverty reduction strategy, policy and program;
3. Poverty reduction strategy, policy and program, that clearly states the implementers and the source of funding;
4. Monitoring and evaluation system of the proposed poverty reduction attempts.

The development of PRSP, in general, requires poverty assessment and alternative policy assessment. As illustrated in Diagram 1, poverty assessment aims to produce a formulation of poverty problems faced in certain region. The problem formulation process requires input from participatory poverty assessment and various other assessments like those based on secondary data. Furthermore, the results of poverty problem formulation will become input for an assessment of the effectiveness of poverty reduction strategy and programs that have already been implemented, and an assessment on the potential for adopting other alternative strategies, policies, and programs. The assessment on alternative policies aims to formulate poverty reduction strategy, policy and program. This assessment will also require input from other types of studies, including assessments that are carried out in participatory way.





**Diagram 1. Main Stages in the PRSP Development Process**

### III. What is Participatory Poverty Assessment (PPA)?

In general, PPA or Participatory Poverty Assessment can be defined as a method to do poverty assessment using participatory approaches. The definition of PPA assumed in various documents does not limit PPA to a specific method of data/information collection, but is more concerned with the interactive process and the involvement of various stakeholders, particularly the poor. The results of this poverty assessment will be used as material for input into the development of poverty reduction policy.

#### **Box 3**

#### **Some Definitions of Participatory Poverty Assessment**

According to Norton (2001), *Participatory Poverty Assessment* is:

*“... an instrument for including poor people’s views in the analysis of poverty and the formulation of strategies to reduce it through public policy...”*

According to Narayan *et.al.* (1999) *Participatory Poverty Assessment* is:

*“...an interactive, participatory research process that seek to understand poverty from the perspective of a range of stakeholder, and to involve them directly in the planning follow up action. The most important stakeholders to be involved in the research process are groups of poor men and poor women.”*

PPA can be carried out by adopting various participatory assessment methods that have been developed, such as: *Participatory Action Research (PAR)*, *Participatory Rural Assessment (PRA)*, *Rapid Rural Assessment (RRA)*, *Participatory Learning and Action (PLA)*, *Methodology for Participatory Assessment (MPA)*, and *Participant Observation*. Special characteristics that differentiate between PPA and other methods that adopt non-participatory approaches are:

- PPA attempts to see poverty as a **multidimensional phenomenon**, where poverty is not only caused by low incomes or lack of assets, but also by other factors like social relationships, powerlessness, and voicelessness. Poverty is not only an individuals or households problem, but also the problem of relationships between households and between social groups, requiring a **wider scope of analysis**. In addition, it is necessary to look at relative poverty between family members, especially between males and females. So that the development of **vulnerability and the dynamic process** - when susceptibility and pressure develop, how does the impoverishment process took place, and what is the tendency for change – can be revealed.

- PPA is not only used as a method to collect information, both for studies and for policy development, but also constitutes a **learning process with the community**. Besides obtaining valid information, PPA aims to increase social awareness and empowerment. Through the application of PPA, it is expected that the community will understand the problems they faces and the reasons why these problems have appeared, the ability to prioritize these problems, as well as methods to resolve those problems.
- The implementation of PPA is intended to accommodate the concerns and the needs of the poor, as well as to **place the poor as the main actors in the decision making process** regarding poverty reduction policy. In so doing, policy development will be based on a bottom up approach and satisfy the principles of demand responsive. Of equal importance is the growth of a sense of ownership over the program, which guarantee its sustainability.

The participatory approach that forms the bases of PPA implementation requires the involvement of various stakeholders, especially the poor. Because of the diversity of the parties involved in the process, **PPA should be conducted through two types of consultations: community consultation and public consultation**. Consultation at the community level is carried out in villages and involving local community, especially poor men and women. Public consultation is organized at the district level and involving various relevant stakeholders from government and non-government institutions.

In principle, there is no basic rule regarding the sequence of PPA implementation in the development process of the PRSP. As illustrated in Diagram 1, PPA could be part of the input into poverty diagnosis as well as input to the assessment of policy alternatives. As an example, Appendix 1 demonstrates how the findings from PPA in Vietnam have influenced the process of policy change cast in PRSP. Diagram 2 presents an alternative process of PRSP development through community and public consultations processes. This process is flexible and the sequence could be tailored to the conditions and the needs of each region. The sequence of the process in a region that has already has some poverty studies or NGO activities that adopt participatory approaches, for example, could be different from those regions where participatory poverty assessments have not yet been implemented. One other alternative is a process implemented by the Initiative for Local Government Reform (ILGR)<sup>4</sup> as presented in Diagram 3.

The participatory PRSP development process requires a relatively lengthy time frame. The time needed for this process is estimated at approximately one year. It is necessary to emphasize that the implementation of participatory process also requires commitment and openness from various stakeholders, including: government (executive and legislative), NGOs, private sectors, community leader, religious leader, *adat* leader, mass media, and the poor.

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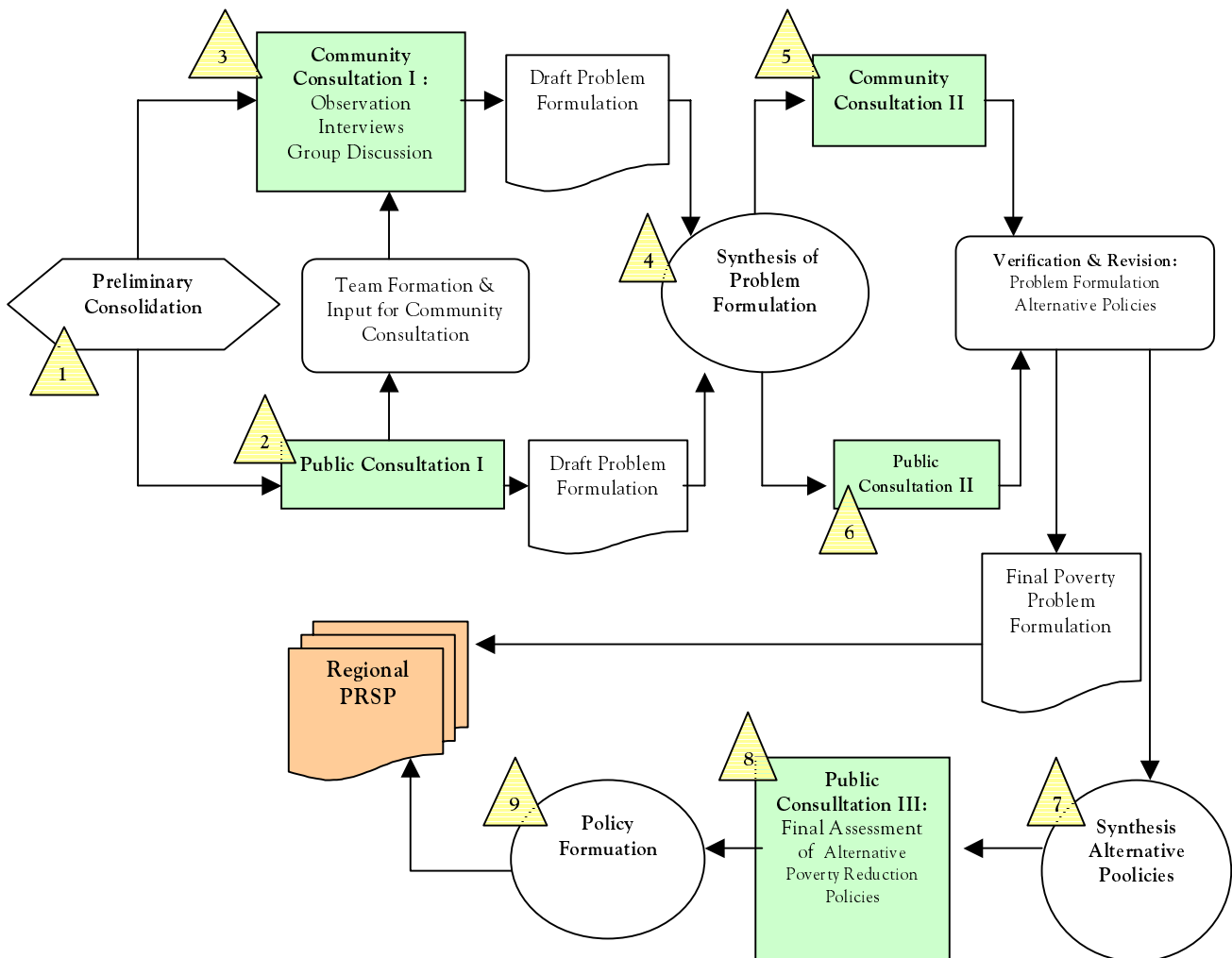
<sup>4</sup> ILGR is an initiative of the Indonesian government with the support from the World Bank. This initiative is intended to assist districts who have high commitment to implement necessary reform to improve the quality of governance.

**Box 4**

**Prerequisites and Preconditions of PPA for PRSP Development**

Conditions and prerequisites that must be fulfilled prior to the implementation of PPA process for regional PRSP development, include:

- Agreements and commitments of the district government and other stakeholders to implement the participatory process;
- Commitment of the district government to ensure that the process is carried out according to the plan, and this commitment could be reflected in the form of providing fund to support the process;
- Inclusion of a wide range of stakeholders, primarily from the community, in this PRSP development process;
- Availability and accessibility to reliable supporting secondary data.



**Diagram 2. The Process of Regional PRSP Development through Community and Public Consultations.**

The process of developing regional PRSP as pictured in Diagram 2 can be explained in detail, as follows:

**1. Preliminary Consolidation**

- Forming a small committee (which can be initiated by the Agency for Regional Development or the Poverty Reduction Committee–Regional KPK);
- Identifying relevant stakeholders;
- Approaching and socialization to the stakeholders;
- Collecting secondary data and relevant studies at the district level, to determine the location of community consultations;
- Preliminary visit for community consultations;
- Preparing the implementation of Public Consultation I.

**2. Public Consultation I (district level)**

- Forming a working group to be involved in the PRSP development process (this task is transferred to any multistakeholders forum that is already in place, such as regional KPK);
- Formulating a Regional PRS development process;
- Formulating analytical framework to be used;
- Gathering inputs from secondary data and poverty studies that have been conducted;
- Producing inputs for community consultation, in the form of alternative locations for community consultation and specific issues that need to be explored further.

**Box 5**

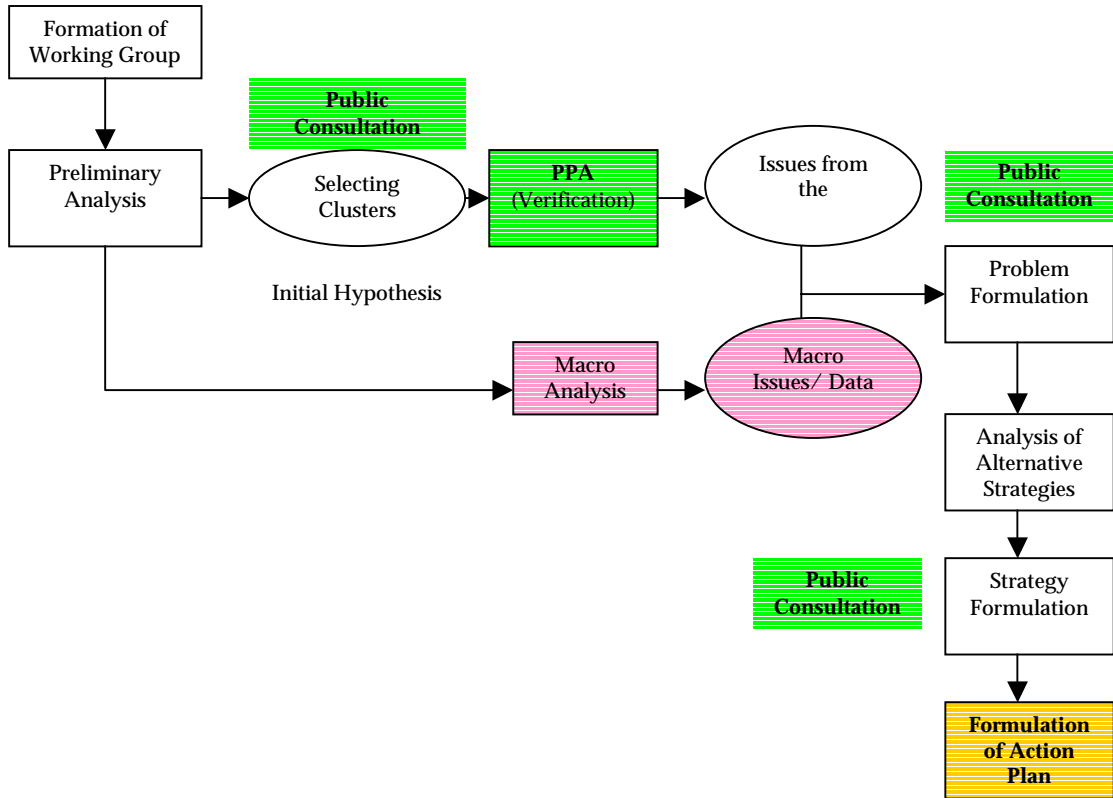
**Working Group for PRSP Development**

It is important to establish a working group responsible for carrying out the process for developing Regional PRSP. There is no need to create a new team if a multi-stakeholders team or forum already exists. The most important aspect is how the team can function and involve a wide range of stakeholders, as well as adopt a participatory approach. This working group is also responsible for disseminating various ideas discussed in the process of PRSP development and to guarantee the implementation of the main principles in PRSP development, that are participative, transparent, accountable, and of equal benefit. This working group must be equipped with legal status and clear mandate for executing their tasks and functions.

**3. Community Consultation I (Village level)**

- Before conducting community consultation, an implementing team should be formed and provided with sufficient training;
- Carrying out poverty analysis together with the community in a select location using participatory approach.

- 4. Synthesis of Problem Formulation**
  - Synthesizing the poverty problems based on the results of the community consultations, public consultations, and assessment based on secondary data analysis;
  - Carried out by the working group (could be supported by an expert team);
  - Producing a comprehensive draft of the formulation of poverty problems and assessment of the multi-dimensional aspects of poverty at the district level.
  
- 5. Community Consultation II**
  - Verification and revision of the draft synthesis of poverty problems and assessment of program effectiveness at the community level.
  
- 6. Public Consultation II**
  - Verification and revision of the draft synthesis of poverty problems and assessment of program effectiveness.
  
- 7. Synthesis of Alternative Policies**
  - Implemented by the working group, supported by an expert team;
  - Based on the verification and revision produced in community consultation II (appendix 5) and public consultation II (appendix 6), compose a final formulae for poverty;
  - Based on the input from community consultation II (appendix 5) and public consultation II (appendix 6), compose a draft alternative strategy, policy and poverty prevention program, with a monitoring and evaluation system.
  
- 8. Public Consultation III**
  - Gather input and discuss various alternative strategies, policies and programs for poverty prevention;
  - To agree on the various roles of stakeholders regarding their efforts in poverty prevention to be entered into the PRSP;
  - To agree on a system to monitor and evaluate various poverty prevention efforts.
  
- 9. Policy Formulation**
  - Based on the results from the various stages of consultation above, the work team (with expert assistance) will formulate a strategy and policy and compose a completed PRSP.



**Diagram 3. PPA Implementation Stages in the Development of the Poverty Reduction Program Carried Out in ILGR**

## **IV. What is Community Level Consultation and How Is It Implemented?**

In principal, consultation at the community level consists of series of interactive discussions that is carried out to analyze poverty issues together with the community. The consultations are carried out by a team, of two or three people, tasked to compile information and facilitate discussion with the community. This team should have the ability to apply a participatory approach that focuses on the group learning process, not teaching or assisting the community. This team must also have the understanding on the multidimensional aspects of poverty and the framework of analysis that enables them to explore various important issues, and help the community in understanding the link of between various issues. The team's ability to analyze and the openness towards the views of various community groups are the key elements for successful consultation at the community level.

Consultation at the community level is conducted through:

- Collecting secondary data at the village level and information from local leaders or key informants;
- Direct observation of the local conditions and the livelihood of the community;
- Focused group discussion or free discussion with various social/community groups, as well as plenary discussion at the village level that is carried out in the final phase of the village activities;
- In-depth interviews with various selected respondents, aiming to get detail information regarding various important issues.

To obtain credible information requires consistency between information collected from various sources that should be done through triangulation process.



## **Box 6**

### **The Structure of Activities in the First Community Level Consultation**

In general, the structure of the activities during the community level consultations is as follows:

- Approaching formal and informal leaders to (1) explain the purpose and aims of consultation with the community, the time frame, and activities, and (2) discuss the meetings planned with the community and request assistance in bringing the community together in an agreed location;
- Explaining to the community about the purpose of the visit and the aims of the discussions, as well as requesting the cooperation of the community to actively participate in the discussions. The community should understand the use and benefits of participating in the discussions and the roles of the community in discussion, without raising expectation for assistance or project;
- Examining the area through direct observation (transect), to obtain an initial impression of the village conditions and also to verify the information attained during the discussions;
- Beginning every discussion with 'ice breaking' activity to create a democratic, equal and informal relationship that reduce the reluctance to be involved in discussion. The arrangement of the discussion should be as informal as possible, for example by sitting in a circle on the floor;
- If the location is large and has a large number of inhabitants, it is necessary to divide the discussions into several clusters, by taking into account the distribution of settlements and whether there is any grouping of settlement based on the level of prosperity;
- Conducting focused group discussion using appropriate tools, with selected groups (preferably in a community settlement);
- Conducting inn-depth interviews or casual interviews with individuals that are considered capable to provide additional information and to probe certain issues;
- Collecting relevant secondary data, for example village monographs, data from the National Family Planning Coordination Board (BKKBN), and data from Health Center (*Puskesmas*), to complement information obtained through community discussion; and
- The result of the focus group discussion (FGD) should be presented in a plenary discussion at the village level, involving all relevant stakeholders, to verify data and to obtain additional information.

The group discussion with community members is the core component of the consultation at the community level. Therefore, the discussion should be done optimally and follow necessary steps to ensure that marginalized groups have the opportunity to convey their opinions and views. Separate group discussions for marginal groups are often required to ensure their opinions are heard. Generally, discussion groups could be distinguished according to the level of prosperity (rich - poor), age (old – young), and sex (male – female), to create a composition as presented in Table 1. Grouping is often necessary because of there is a tendency that certain group is more dominant than the other. In most communities, for example, the poor tend to be silent and unwilling to convey their opinions in a discussion that is attended by wealthier people who tend to be more dominant.

Likewise, groups of women and youth are often reluctant to express alternative opinions in front of groups of men or adults.

**Table 1. Matrix of the Division of Group Discussion**

Age	Wealthy		Poor	
	Male	Female	Male	Female
Elderly *				
Adult*				
Youth**				

\* Married

\*\* Unmarried

This system of grouping is flexible and must be adjusted to the local social-cultural conditions. Separate discussion groups are utilized to investigate the variety of opinions, views and needs of different community groups. Therefore, although some issues can be discussed with mixed group, other issues need to be revealed from homogenous groups. Group separation must be carefully organized to avoid creating an impression that part of the community being differentiated. The forming of group of the poor, for example, could be carried out by organizing the discussion in the poorest settlements.

**Box 7**

**Why do We Need to Separate Groups of Males and Females?**

Gender analysis attempts to look at certain issues from the perspective of male and female. This analysis makes up a very important component in poverty assessment because men and women usually have different roles and responsibilities, both within the household and in their social place in the community. Therefore, they possess different life experiences and ways of viewing poverty. The impact and benefits of certain policies or programs on women and men are also varies. Thus, to fully understand the problem of poverty requires an understanding of the patterns of relationship as well as the different experiences, problems and opinions from both women and men.

To comprehend these distinctions requires separate discussions with men and women to divulge various issues. The team that implementing community level consultations need to have an understanding of gender analysis and local customs related to gender, to ensure the that they utilize an approach and method that does not trigger any conflict, which usually harmful to women (for example, they may be reprimanded by their husbands or forbidden to attend the meetings).

Various tools have been developed to accelerate and simplify the facilitation and probing in the discussions with community. However, the depth and scope of the information obtained is determined by the skill and creativity of the facilitator in facilitating the discussion and probing for various information raised by participants. An equal, democratic, and informal atmosphere is the key to optimal interactive discussion, to ensure information obtained is valid.

### **Box 8**

#### **General Guidelines in Conducting Discussion with Community**

To optimize results and avoid any bias, these general guidelines must be followed when carrying out discussion with the community:

- Establish a discussion timetable that complies with the time availability of the community;
- Establish a neutral meeting place, or organize the meeting in their location, if necessary;
- Place the participants of the discussion as the ones who fully understand the problems being faced and know how to resolve them;
- Place the community members as the main actors in the discussion, and as the source of information and the analysts;
- All participants of the discussion have an equal right to express their opinions;
- The community is the decision makers, and the outsiders are acting as facilitators;
- Minimize the involvement of village government officials in the discussion;
- Insure the forum is not dominated by any one;
- Always do necessary probing to investigate conveyed information.

The outcomes of the discussion with the community need to be compared with the results of direct observations, for example through site investigation (transect) and interviews with key informants who understand the issues.

Selecting tools to be used in the discussion with community depends on the analytical framework to be applied used and the types of information to be explored. There are various analytical frameworks that have been developed, such as 'Sustainable Livelihood' and 'Deprivation Trap'. The 'Sustainable Livelihood' attempts to look at the community strengths and weaknesses based on human resources, social capital, natural resources, infrastructure and technological advances. The 'Deprivation Trap' attempts to observe various aspects of deprivation that have become the causes of poverty, which consist of powerlessness, isolation, material poverty, physical weakness and vulnerability. The analytical framework used must be determined before the team conduct the consultations with village communities to allow the team to expand their analysis and determine the types of information needed as well as the tools used, in accordance with the specific local circumstances.

Although the conditions in each area vary, generally the development of PRSP requires information regarding: who is the poor, why are they poor, what difficulties do they face, what resources do they possess, what is the poor's coping strategy, what do the poor need to overcome poverty, and the effectiveness of various programs that have been implemented. To understand the gender dimension of poverty, the information explored needs to be detailed with the explanation about the experiences of men and women in poverty. Gender analysis often needs to be complemented with information regarding the role of men and women in the household and within the village community, for example who makes important decisions in the household and in the community, and who has access and control over household assets. Table 2 presents various issues and questions proposed to uncover the information mentioned above and the tools that can be utilized.

**Table 2. Various Issues/Questions and Tools Used in Focused Group Discussions with the Community**

Issue/Questions	Tools Used
1. <b>Who are the poor?</b>	<ul style="list-style-type: none"> <li>▪ Welfare Classifications</li> <li>▪ Social mapping</li> </ul>
2. <b>History of poverty in the community</b>	<ul style="list-style-type: none"> <li>▪ Timeline of important events in the community</li> </ul>
3. <b>Main source of income</b> in the community, available resources	<ul style="list-style-type: none"> <li>▪ Analysis of income source</li> <li>▪ Map of resources</li> </ul>
4. <b>Why are they poor?</b> Identify the direct/indirect causes	<ul style="list-style-type: none"> <li>▪ Diagram of the causes and impacts of poverty</li> </ul>
5. Investigate main <b>trends related to the causes of poverty</b>	<ul style="list-style-type: none"> <li>▪ Trend analysis</li> </ul>
6. <b>When does vulnerability occur?</b> And how does the community cope with this	<ul style="list-style-type: none"> <li>▪ Seasonal calendar – to identify the community's coping mechanism</li> </ul>
7. <b>Timetable and activity schedule</b>	<ul style="list-style-type: none"> <li>▪ Diagram of daily activities</li> </ul>
8. <b>Relations with various institutions and /or individuals</b>	<ul style="list-style-type: none"> <li>▪ Venn Diagram</li> </ul>
9. <b>Program effectiveness</b> and the perspectives of different groups within the community	<ul style="list-style-type: none"> <li>▪ Analysis of the sources of information and assistance</li> <li>▪ Rating Scale</li> </ul>
10. <b>Gender dimension of poverty</b> – household level and community level	<ul style="list-style-type: none"> <li>▪ Various analysis (mentioned above) explored with separate male and female groups</li> <li>▪ Analysis of the control over household assets</li> <li>▪ Analysis of the roles and responsibilities in the household and in the community</li> </ul>

An explanation about the various tools used to facilitate discussion in the community is presented in Appendix 2. However, placing too much emphasis on the application of tools and not on the conduct of the discussion and the information that needed to be discussed is a common mistake. To avoid this, the facilitation team needs to understand the information that needs to be divulged from the discussions with the community, as well as the ability to modify tools so that information can be better divulged. Another important factor that must be taken into account in every discussion is that the facilitator must explain the aim of the discussion and create an atmosphere that reflects equality, democracy and is relaxed, so that all participants in the discussion felt free to convey their opinions.

## V. What Is Public Consultation and How Is It Implemented?

The aim of public consultation is to include a wide range of stakeholders in the discussion about poverty and the formulation of poverty reduction strategy and policy. Public consultation is not only implemented to obtain information, but also as a learning process to promote an awareness and the capacity to understand the problems faced and together seek a solution to the problems. With active involvement from various stakeholders, the consultation is aiming at creating the sense of ownership towards the programs that will be developed together, to ensure the sustainability of the program and the activities. In addition, the equal involvement of stakeholders also legitimizes various activities and programs that allows wide community support. Thus, the implementation of public consultation will guarantee the application of the principles in developing a PRSP (See Box 5).

Typically, public consultation is organized in a participatory seminar format that involves government and non-government stakeholders, guided by a facilitator. The stakeholders participated in the consultation are depending on local conditions. Generally, government institutions that should be involved are the ones that deal with planning, social, economic and security affairs, the DPRD (Local People's Representative Assembly), and provincial representatives (or central government representatives). While the non-government institutions that should be involved are NGO's (those that focus on providing general services, community assistance, and advocacy), members of the BPD (Village Representative Body), traditional leaders, religious organizations or leaders, community organizations or community leaders, private/business sectors, universities, mass media, other development partners (such as donor countries or agencies), and other community members who are interested. It is best that the public consultation is open and covered by the mass media to ensure that the development of the PRSP is transparent.

### **Box 9**

#### **General Guidelines for the Implementation of Public Consultation**

Several general principles in the implementation of public consultation are:

- Carried out in a participatory fashion, involving various stakeholders, guided by a facilitator;
- Clearly explain the intended aims, agenda and output from public consultation;
- To be more effective, the stakeholders who involve in the consultations should participate in the full series public consultations;
- Equality between participants and between participants and facilitators;
- Application of transparency principles, meaning all outcomes of the discussions can be widely disseminated to the public;
- To maintain the link within the public consultations series, the schedule and the consultation agenda should be determined in the beginning so that participants can prepare themselves to participate in the whole series of the consultations.

As illustrated in Diagram 1, 2 and – 3, public consultations as segments of PPA are aiming at providing inputs for poverty assessment and assessment of alternative policies. If the process in developing PRSP follows the process outlined in Diagram 2, the sequence of public consultations will be as follows:

- **Public Consultation I** (Step 2) serves as the first PPA activities where initial discussion takes place to observe the perception of the stakeholders at the district level toward the poverty condition in their region. This consultation aims to obtain an initial picture of poverty condition, and to get an agreement regarding the framework for poverty analysis and the location for consultations at the community level. The initial analysis of poverty produced in this consultation will not limit the issues to be explored during the consultations at the community level. Important issues raised in this public consultation will be used to sharpen the poverty analysis carried out at the community level.
- **Plenary discussion at the village level** that is organized within a series of consultations at the community level (steps 3 and 5) could be considered as public consultations, in a limited scope (village). During the plenary discussion at the village level, representatives from district government and relevant non-government organizations (such as NGOs that have activities in the respective village) can be invited.
- **Public Consultation II** (Step 6) intends to discuss the draft of poverty diagnosis, to assess the effectiveness of various existing policies and programs, as well as to investigate alternative policies and programs. This consultation will also discuss the system of monitoring and evaluation. The results of this consultation intend to provide inputs for the improvement of the formulation of poverty diagnoses, the formulation of policy and programs, and the development of a draft monitoring and evaluation system. It is also intended to identify the potential roles offered by various stakeholders in the integrated efforts to reduce poverty.
- **Public Consultation III** (Step 8) is the final stage of public consultations in the PRSP development process. This consultation is to discuss the alternative poverty reduction strategies and policies, the draft monitoring and evaluation system, as well as the full draft of PRSP. As this consultation is the last part in the public consultation series, the materials to be discussed should be disseminated amongst participants a number of days in advance, to ensure that the discussion will be focused and constructive.

## VI. Documentation and Reporting

Transparency and accountability are the principles that underlie the composition of PRSP. Therefore the system of documentation and reporting constitute an important part of the PPA implementation process. As a principle, all processes carried out during PPA must be documented in detail so that stakeholders can clearly follow the processes, the results of the assessments, the outcomes of discussions, as well as various debates in the decision making process.

The type of report documented will be based on the kind of activities during the PPA process. However, generally reports produced during the PPA process will consist of:

- **Report from the community level consultations.** Reports of the outcomes of the community level consultations consist of (a) site reports, and (b) analytical report based on the diagnosis developed based on the results of consultations in all villages. Site report consists of the general village conditions, notes from direct observations, findings from interviews with key informants, results of discussions with the community, and results of in-depth interviews with selected respondents. The site report needs to be accompanied by a report of the village level plenary discussion and individual commentary from the implementation team. Because the site report consists of raw information including data/primary information, this report presents community views and opinions, and the outcomes of discussions with the community as it is. The views and opinions of the implementation team that consist of impressions and team analysis need to be presented in the report to provide more detailed understanding, but this commentaries must be presented separately. All site reports are then utilized to produce the analytical report that consolidates all the findings from the consultations at the community level. This report intends to introduce the dominance issues/problems of poverty that occur in all locations and the variation of the problems that appear in different locations or that are faced by certain groups in the community.
- **Report of public consultation results.** This report consists of all consultation materials, discussion notes (including various opinions suggested during the consultation), and the agreements reached in the consultation.

In addition to the report on the outcomes of the consultations, other documents produced during the regional PRSP development process include the draft on: the analysis of poverty diagnosis, the synthesis of the analysis of alternative policies, proposed alternative policies, and the monitoring and evaluation system.

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# APPENDICES

## Appendix 1

### Using PPA findings to influence Poverty Reduction Policies: Examples from PRSP in Vietnam

PPA Findings	Policy Responses
A strong demand for a greater range of opportunities to develop sustainable livelihoods, particularly those which reduce the dependence on landholdings of reducing size (all PPAs)	Study of constraints to the development of the off-farm sector in Tra Vinh (funded by World Bank and UNDP, conducted by Mekong Project Development Facility)
Marginalisation of ethnic minorities in upland areas (Lao Cai and Tra Vinh PPAs)	Study planned, funded by UNDP. To feed into an ethnic minority development plan
A strong sense of vulnerability to both household-level and community level shocks, with ill health being the single most significant shock which poor households endure	-High costs of curative health care currently being looked at as part of the health sector review and the Public Expenditure Review -Government request to donors to work intensively to help develop a more integrated approach to dealing with community-wide shocks and disasters
A voiced concern about the lack of information about initiatives, plans and programmes which affect their livelihoods and a sense of alienation from decision-making processes	Lack of access by poor households to information on legal rights and “knowledge of the poor” included by Government as an issue to be addressed in the poverty reduction strategy
Links between poverty and mechanisms for commune-level financing (Ha Tinh PPA)	Study on fees and voluntary contributions included in the Public Expenditure Review and discussed with Ministry of Finance
High direct costs of education for the poor	Currently being looked at as part of the Public Expenditure Review
-A number of issues related to intra-household inequity which highlight the vulnerability of children and women -A range of gender-related dimensions of illbeing	Work by the Government-donor-NGO Gender strategy Working Group strongly informed by PPAs – process followed in producing “Vietnam: Attacking Poverty” seen as a model for work this year in producing a gender strategy
The plight of unregistered urban migrants	In Ho Chi Minh City, some Districts have now changed the criteria for including long-settled unregistered migrants in its Hunger Eradication and Poverty Reduction credit programme
Various issues in Ha Tinh	Directly addressed in provincial policies and HEPR (including policies on commune-level fees and contributions, and public investment priorities)

Source: Turk, Carrie, . . . ., *Linking Participatory Poverty Assessment to Policy and Policy Making: Experience from Vietnam*. World Bank. Hanoi – Vietnam.

## Appendix 2

### Various Tools that Can Be Used in the Discussions with the Community

#### Welfare Classification

<b>Objectives</b>	<ul style="list-style-type: none"><li>◦ Obtain information regarding the structure of community based on the level of prosperity.</li><li>◦ Understand how the community defines poverty. What are the criteria?</li><li>◦ Increase the awareness of the community on who should be prioritized as the targets (who is given preference?) in the development.</li><li>◦ Identify resources in the community, which can be accessed by the community and which cannot? Why?</li></ul>
<b>Participants</b>	The community (mixed group of male and female) from various groups or representatives from every region in the village.
<b>Information to be obtained</b>	<ul style="list-style-type: none"><li>◦ Local indicators of poverty</li><li>◦ Infrastructures available in the village</li><li>◦ Variation of the livelihood of the community</li><li>◦ The type, amount and quality of human resources available in the community</li><li>◦ Proportion of the population based on their level of prosperity</li><li>◦ Level of family's dependency ratio</li></ul>
<b>Facilitation process</b>	<ul style="list-style-type: none"><li>◦ Begin discussion with indirect questions " If the local community are separated based on the level of prosperity/wealth, what are the local names for each level?".</li><li>◦ Write the local names for each level on paper. Divide the participants of the discussion into groups following the number of groups that have been defined. Each group of participants in the discussion should represent each level of prosperity, and each should be separated.</li><li>◦ Ask each group to illustrate the characteristics of the group they are representing and to write them down onto a piece of paper.</li><li>◦ Request each group's characteristics be written on a flip chart, including: land ownership, level of education, employment, level of income, quality of household, etc.</li><li>◦ Request all participants to return to their seats and display the diagrams and characteristics.</li><li>◦ Request each group to choose someone to present the results of their group discussion, and clarify the results with other groups. Make any necessary additions or alterations.</li><li>◦ If the criteria for the levels of prosperity are agreed upon, request participants to consider the proportion of each level of prosperity. Method: request participants to share an amount of peanuts/buttons/corn (100 pieces) to each group proportionally. Count the amount of pieces in each level to indicate an estimated proportion (in percentage) of the whole community according to the level of prosperity..</li><li>◦ Make further inquiries/probe to enrich information.</li></ul>
<b>Tools</b>	Marker, flipchart paper, meta plan, sticky cloth, peanuts/corn/buttons.

## Appendix 2 (continued)

### Social and Resource Mapping

<b>Objectives</b>	<ul style="list-style-type: none"><li>◦ Obtain information regarding the social conditions of the community and the infrastructures that are available.</li><li>◦ Obtain information regarding available resources, both natural and non-natural.</li><li>◦ Learn together, to increase awareness about regional potential, what can and cannot be accessed by the community and why? What can the poor access and why?</li></ul>
<b>Participants</b>	Community (Mixed group of male and female) represented by each region in the village.
<b>Information to be obtained</b>	<ul style="list-style-type: none"><li>◦ Whether there is any separation of community's settlement based on the levels of prosperity.</li><li>◦ Geographical conditions and position of the village: village borders, topography, land use etc.</li><li>◦ Various important public facilities in the village.</li><li>◦ Various natural and non-natural resources that have become sources of community's income.</li><li>◦ Potential of human resources: work force, level of education, skills</li><li>◦ Social capital: workforce relations and network, traditional customs, community self help, social organizations, traditional organizations, etc.</li><li>◦ Whether there are there a lack of natural resources and disputes over the use of natural resources, and why?</li><li>◦ An understanding about the network of household work places and access of the community (both rich and poor) to various facilities and resources.</li></ul>
<b>Facilitation process</b>	<ul style="list-style-type: none"><li>◦ Discuss with the participants what will be included on the social map and resource map.</li><li>◦ Request participants to draw a map legend. Provide colors and symbols for different points. For example, houses of the wealthy, poor, middle class. etc.</li><li>◦ After completing the legend, have participants work on sections of the map in accordance with the regions they are familiar with based on the legend.</li><li>◦ To simplify orientation, begin by asking about the borders of the village, roads, rivers, and other important places.</li><li>◦ Request participants to mark houses that have distinguishing features: electricity, clean water, sanitation, telephone, etc.</li><li>◦ Give special marks for resources (natural and non-natural) that have become sources of income. Mark resources that can't be accessed by the community.</li><li>◦ Connect with string which resources provide income to which households.</li><li>◦ The content of the social and resource map can be adjusted in accordance to the required information, for example, it can specifically marks which households receive assistance from 'cheap rice' or 'health card', etc.</li><li>◦ Make sure the map is produced on large enough paper to embrace the large amount of information.</li></ul>
<b>Tools</b>	Flip chart paper, colored markers, colored paper, string, glue, scissors.

## Appendix 2 (continued)

### Historic Timeline of Important Events

<b>Objectives</b>	<ul style="list-style-type: none"><li>◦ View the dynamics and important changes that have influenced the level of prosperity in the community.</li><li>◦ Understand important events that have altered the balance of community life.</li><li>◦ Identify the level of vulnerability of the poor.</li><li>◦ Understand community mechanisms to cope with crisis.</li><li>◦ Increase the awareness of the community that there are events that create turmoil/disorder, and assist them to anticipate these events, and to develop future prevention.</li></ul>
<b>Participants</b>	Members of the community that have lived extensively in the area. They can also be divided into male and female groups.
<b>Information to be obtained</b>	<ul style="list-style-type: none"><li>◦ History of the village, village founders, since when, how many generations, how was the village named, etc.</li><li>◦ Significant events in the lives of the village community relating to health: epidemic, deaths, unusual events, etc.</li><li>◦ Prevention programs concerned with certain problems, like health problems for example, who is carrying out this program? What form? What is being done by the community itself?</li><li>◦ Important events regarding the fulfillment of basic needs: famine, virus, etc. What is the coping mechanisms utilized by the community?</li><li>◦ Important events regarding natural disasters. How were these addressed? Was there outside assistance? Who were they? What was done?</li><li>◦ Is there a project that provides a strikingly positive or negative impression?</li><li>◦ Social-political events that cause instability.</li></ul>
<b>Facilitation process</b>	<ul style="list-style-type: none"><li>◦ Place a cloth/flipchart in the discussion room in front of participants so everyone can observe easily.</li><li>◦ Request participants to recall important events, both those that disturb the community and those that benefited the community.</li><li>◦ When someone is giving information, ask him or her to write the information on a meta plan. In sequence, write the type of event, the year, and explanation, example: <u>event</u> - cholera epidemic, <u>Year</u> – 1975, <u>explanation</u> – many deaths, provided with medicines on mass by the government.</li><li>◦ Place the information on the flipchart in front of the participants. Place in a chronological order in a horizontal position the: event year, important event, and explanation.</li><li>◦ Stimulate discussion to reveal relevant information.</li><li>◦ Output: <u>column 1</u>: years of important events in sequence; <u>column 2</u>: sequence of important events; <u>column 3</u>: explanation regarding each event.</li><li>◦ Make further inquiries (probing) to enrich information and complete information.</li></ul>
<b>Tools</b>	Markers, meta plan paper (colored, various sizes and shapes), cloth (3x2m), or various flipcharts (4 or 6) connected.

## Appendix 2 (continued)

### Analysis on the Source of Income

<b>Objectives</b>	<ul style="list-style-type: none"><li>◦ Identify the main source of income from all social economic categories: the wealthy, the middle class, and the poor.</li><li>◦ Analyze the main and secondary sources of income for the wealthy, the middle class, and the poor.</li><li>◦ Identify the potential risks toward the stability of the income/livelihood of the poor.</li></ul>
<b>Participants</b>	Male and females group separated (10-15 people), differentiated by level of wealth, i.e., non-poor and poor.
<b>Information to be obtained</b>	<ul style="list-style-type: none"><li>◦ The general pattern of the main sources of income of the community in certain areas (village)</li><li>◦ The types of main and secondary incomes of the rich, the middle class, and the poor.</li><li>◦ Is there any potential risk that threatens the stability of the income of the poor?</li><li>◦ Proportion of family income from all main and secondary sources.</li><li>◦ Seasonal characteristics of certain incomes and the reasons.</li><li>◦ Who do the works (man/woman/both)</li><li>◦ Employment opportunities (migration to other areas, including to urban area) to earn a living.</li></ul>
<b>Facilitation process</b>	<ul style="list-style-type: none"><li>◦ Ask the types of main occupations and livelihood of the community.</li><li>◦ Using seeds (100 pieces to represent the whole village), represent the proportion of each source of income as the percentage from total income. Write the percentage.</li><li>◦ Make a large circle in the middle of the flipchart. Shift the percentage/proportion of the population with their main source of income inside the circle to form a pie diagram.</li><li>◦ Ask the participants about the type of secondary employment: write on the flipchart, beside or underneath the pie diagram.</li><li>◦ Ask the main type of occupation undertaken by the poor and write this on paper. Ask also if there are members of the poor community who have secondary sources of income. What type of work is this?</li><li>◦ With one hundred beads that represent the whole income of the poor for one month or one year, divide them proportionally according to the sources of income, for example: from a main income source of farming (65%), and from secondary income as a laborer (35%).</li><li>◦ Ask who does this work, both the main work and the secondary work, is it men, or women, or both? Use the male and female symbol and place them on the prepared diagram.</li><li>◦ Probe for more in depth information.</li><li>◦ Carry out the same exercises for groups of the wealthy and middle classes.</li></ul>
<b>Tools</b>	Flipchart paper, planning paper, peanuts/buttons, pebbles etc, markers, ruler.

## Appendix 2 (continued)

### Diagram of the Causes and Impacts of Poverty

- Objectives**
- Obtain information about the views of the poor, both men and women, concerning poverty that they face and the causes of poverty according to them.
  - Obtain information about what have become the direct causes of poverty, indirect causes of poverty, and the roots of poverty.
  - Discuss problem priorities and looking for ways to resolve the problems, both short term and long terms resolutions.
  - Discuss how to monitor the impacts of poverty reduction programs, what are the indicators related to the income of the poor?

**Participants** Groups of the poor separated into male and female groups. Each discussion group comprising of 10-15 people.

- Information to be obtained**
- Causes of poverty, including direct, indirect, and root causes of poverty.
  - The connection between each cause of poverty; which is influenced and which is influential, or whether each are connected reciprocally
  - From all the causes of poverty mentioned, which one is considered as the root cause of poverty.
  - Poverty solution strategies both previously implemented and those to be implemented (which are carried out by the community themselves and which by outside parties?) Which problems can be resolved in a short time frame and which would need longer time period, etc.

- Facilitation process**
- Begin the discussion by proposing questions as to why there are groups of the rich and poor amongst the community. What causes this condition? (must be related to the situation in the village).
  - Write all information regarding the causes of poverty as a meta plan. One piece of paper per cause of poverty.
  - Determine the causes mentioned and differentiate between the direct causes, indirect causes and the root causes.
  - Place in the middle of the flipchart the circle shaped meta plan, entitled "poverty/the poor", and arrange the causes of poverty already written on the meta plans.
  - The direct causes of poverty will be the closest to the circle entitled 'poverty'. The second group is for the indirect causes. Causes of poverty that are on the outside layer are the root causes of poverty (root problems of poverty).
  - Use string to connect causes of poverty to signal the direction and to determine which became the causes and which the results.
  - Discuss: Which roots of poverty will be prioritized for policy intervention with a scoring system by stating the root problems and forming a scoring matrix with criteria that compose a total score: (a). insist on a resolution; (b). widely tolerated; (c). criticalness; (d). potential resource.

Root Problems	Criteria a	Criteria b	Criteria c	Criteria d	Total	Problem Resolution
1. No irrigation	xxx	xxx	x	xx	9	
2. Diseased plants	xxx	xxx	x	xxx	10	
3. Monopoly	xx	xxx	x	x	7	
4. No family planning	xx	xx	x	x	6	

- After prioritizing problems, prepare a prevention plan considering: no costs, small costs, medium costs, high costs, or also: those that can be handled by the community themselves, and those that require outside assistance.

**Tools** Flipchart paper, meta plan paper, markers, string.

## Appendix 2 (continued)

### Trend Analysis

<b>Objectives</b>	<ul style="list-style-type: none"><li>◦ View the trend of various important aspects in the live of the community, both those with positive and negative influences, but particularly those that cause poverty/impoverishment. The trend could be traced, for example, by comparing the situation 5 to 10 years ago, or 5 years ago to the present.</li><li>◦ Increase the awareness of the community on the ongoing changes, particularly those that potentially threaten the daily lives of the community, and how to anticipate and manage these changes.</li></ul>
<b>Participants</b>	Separate discussion groups of: wealthy men, poor men, wealthy women, poor women, and youth (10-15 people)
<b>Information to be obtained</b>	<ul style="list-style-type: none"><li>◦ The dilapidation of variables that become causes of poverty: rice harvest, disease, plantation harvest, etc.</li><li>◦ Explanation for the deterioration of the sources of livelihood.</li><li>◦ Explanation of the quality and/or the magnitude of the decrease in available resources.</li><li>◦ The increase or decrease of the quality of infrastructure, buildings, roads, electricity, etc.</li><li>◦ The increase or decrease in the quality of human resources: school drop out rates, etc.</li><li>◦ Migration, especially out migration.</li><li>◦ Other local specific changes.</li></ul>
<b>Facilitation process</b>	<ul style="list-style-type: none"><li>◦ Explain the purposes of discussion, for example: understanding tendencies that occur compared to 5 to 10 years ago and 5 years ago to the present by considering various factors that influence the everyday life of the community, mainly those that cause poverty.</li><li>◦ Conduct ice breaking to create an environment that is equal, democratic, and relaxed.</li><li>◦ Create a table with four columns format on the flipchart: <i>First column</i>, factors that have experienced change, <i>second column</i>, situation 10 to 5 years ago, <i>third column</i>, the situation 5 years ago to the present, <i>forth column</i>, explanation of the changes that have occurred.</li><li>◦ Discuss what has experienced change within the time frame mentioned, especially those concerned with the quality of community life, both positive and negative for community prosperity.</li><li>◦ Write all information obtained in the first column in the prepared table.</li><li>◦ Discuss the tendencies of the changes, are they for better or for worse, etc. Attempt to quantify the changes mentioned.</li><li>◦ Investigate further by probing for more in-depth information.</li></ul>
<b>Tools</b>	Marker, flipchart paper, local materials.



## Appendix 2 (continued)

### Seasonal Calendar (Periodic Events)

<b>Objectives</b>	<ul style="list-style-type: none"><li>◦ Identify the seasonal factors that influence the welfare level of the community, and identify the critical season for the poor.</li><li>◦ Understand the strategy of the poor to cope with seasonal events that have an effect on their live and reduce their quality of wellbeing.</li><li>◦ Discuss the sustainability of the impacts of poverty reduction mechanisms and poverty reduction interventions.</li></ul>
<b>Participants</b>	Groups of men and women (separated) from all age groups.
<b>Information to be obtained</b>	<ul style="list-style-type: none"><li>◦ Seasonal events that have occurred and influenced the level of wellbeing of the poor, for example: diarrhea epidemic (or other illness), draught, flood, plague, animal virus, etc.</li><li>◦ Explanation as to why various seasonal events occur.</li><li>◦ Strategy of the poor to cope with the seasonal problems they face, and external aid/assistance received to overcome the problems mentioned.</li><li>◦ Seasonal patter that has positive and negative influences on the poor.</li><li>◦ Identify the time period where the seasonal events occur in order to provide input to the design of poverty reduction interventions.</li></ul>
<b>Facilitation process</b>	<ul style="list-style-type: none"><li>◦ Request the participants of the discussion to identify various seasonal occurrences that influenced the wellbeing of the poor, both those with positive and negative impacts in a yearly cycle.</li><li>◦ Write in a table the pattern of seasonal events mentioned (in column 1) in succession.</li><li>◦ In the following columns (2,3,4,5,6,7,.. etc) write a calendar that is commonly used by the community in classifying the seasons. If the community has its own calendar system, use that system. Provide an explanation of the calendar system mentioned compared with the International calendar (appropriate with the current year).</li><li>◦ Various seasonal events written in column 1 should be made into symbols or a comparative picture. For example, rainy season represented by a picture of clouds and rain, the planting season with picture of someone hoeing., etc.</li><li>◦ Place in the columns of the table when the concerned events occurred, corresponding with the month in the calendar system already created. Table columns (cells) will be filled with the representative pictures.</li><li>◦ Identify the most susceptible and volatile month for the subsistence of the poor.</li><li>◦ Probe the information to attain more in-depth information about the events mentioned; how do the coping mechanisms function in times of crises, how do they fulfill their needs, what are the constraints, etc.</li></ul>
<b>Tools</b>	Flipchart paper, markers, glue, sticky tape, local materials like: peanuts, corn kernels, pebbles, etc.

## Appendix 2 (continued)

### Daily Activities of the Community

<b>Objectives</b>	<ul style="list-style-type: none"><li>◦ Provide information about the routine community activities during one day (24 hours).</li><li>◦ Understand the reasons for these various activities.</li><li>◦ Understand the work-load in the household.</li><li>◦ Understand the availability of time in the community; When do they have sufficed time?</li></ul>
<b>Participants</b>	Groups of man and women of a productive age, separated.
<b>Information to be obtained</b>	<ul style="list-style-type: none"><li>◦ Time and labor patters of the poor (male and female).</li><li>◦ Distribution of roles and responsibilities in the family between men and women.</li><li>◦ Time availability of the community.</li><li>◦ Discuss the implications of the involvement of men and women in planning and decision-making of the poverty reduction program.</li></ul>
<b>Facilitation process</b>	<ul style="list-style-type: none"><li>◦ Prepare a flipchart in front of the participants. Create a horizontal line on the flipchart and create a 24-hour time line. A 24 hour time circle can also be utilized.</li><li>◦ Ask what activities are carried out daily from morning till night.</li><li>◦ Ask in detail every activity, and when it is carried out. It is better to visualize this with pictures.</li><li>◦ Ask why these activities are carried out, and why at these specific times, etc.</li><li>◦ Are there seasonal factors that influence work rhythms or the types of work? Ask for details.</li><li>◦ Probe for obtaining richer and depth information.</li></ul>
<b>Tools</b>	Flipchart, markers.

## Appendix 2 (continued)

### Analysis of the Sources of Information and Assistance

- Objectives**
- Expose information sources, where to request assistance that is trusted by the poor..
  - What are the reasons /criteria for credible information sources.
  - Identify the types and effectiveness of aid for the poor.
  - Consider the performance and effectiveness of the poverty reduction program.

**Participants** Group of men and women from the poor community, separated.

- Information to be obtained**
- Organizations or groups in the village that can be trusted by the poor community as sources of information and assistance.
  - Why the poor trust these groups or organizations?
  - Evaluations and opinions from the poor community towards poverty reduction efforts.

- Facilitation process**
- Ask participants: “What issues related to their general activities do they require information/assistance from other parties”. Request examples of their experiences.
  - Write these on a flipchart in a table format. In the first column (horizontal column) write the various activities/things that they require information form other parties for, example: finding employment, price of fertilizer, health/medicines, etc.
  - The second and subsequent columns form the source of information. For example, teachers, village head, religious representatives, local clinic, etc.
  - Give a mark (v) for every information source for the certain activity/need. So, certain activities/needs can have various sources of information.
  - By using seeds/pebbles request participants to keep score each source of information that has been given a mark (v), where the score given represents the level of trust. Scores ranges from 1 to 5, beginning from the most distrusted to the most trusted.
  - Add the scores, what score was achieved by each source of information? Give a (y) symbol to represent those who are trusted.
  - Add the (v) symbols for each source of information. An information source can refer to various activates/needs. To count how many times the information source is utilized, give a (Y) symbol in the vertical column.
  - To see the amount of information sources utilized by the poor community that become a reference to certain activities, give a Z symbol in the horizontal column.
  - Probe the information to obtain further details.
  - See the example table below for results:

No.	Information Type Required	Information Source				Total (V)
		Source 1	Source 2	Source 3	Source n	
						Z =
Total X=Amount V Y= Total score						

**Tools** Flipchart, marker, seeds.

## Appendix 2 (continued)

### Institutional Analysis (Venn Diagram)

- Objectives**
- Understand the importance of the relationship between the community and organizations, institutions or individuals (who represent certain institution), and the importance of these institutions and individuals.
  - Understand the backgrounds and value of the various relationships.
  - Increase the awareness of the community about the position of various institutions and individuals in their daily lives.
  - Increase the awareness on how they should locate them in the context of some related needs.
  - Also to understand the implications of the various relationships with regard to poverty reduction program.
- Participants** Discussion with four separate groups: wealthy men, wealthy women, poor men, poor women.
- Information to be obtained**
- The existence of institutions or individuals that influence community life, both traditional and formal institutions.
  - The significance of institutions/individuals in daily life. Important or not? What are the criteria?
  - The distant of the relationship between various institutions/individuals with the community.
  - The functions of the existing institutions in daily life of the people (social, economic, religious, political, regular activities, etc.).
  - Existing regulations, any formalities?
  - The pattern of the relationship between the community and the existing institutions, formal and informal? Are they easily accessible by poor community?

## Institutional Analysis (Venn Diagram)

### Facilitation process Preparation:

- With meta plan paper of two colors, cut out circle shapes of different sizes; begin with the smallest size (example  $\varnothing$  5 cm), small ( $\varnothing$  6 cm), medium ( $\varnothing$  7 cm), large ( $\varnothing$  8 cm), largest ( $\varnothing$  9 cm). For each size and color create 5 pieces, for example to make 25 red circles (different sizes), 25 blue circles (different sizes)
- The round shape papers have a size scale related to the importance of the role of certain institution/individual. For example, from the smallest size ( $\varnothing$  5 cm) to the largest size means: “most unimportant, unimportant, significant, important, very important”.
- Use two different colors to represent different origins of the institution/individual. For example, red to symbolize an organization from outside the village, blue to represent originations/groups that have originated from the village.
- Create a metaplan paper circle with a large enough size, 20 cm diameter. This should symbolize the village community that has become the subject of the analysis. Place the large paper circle in the middle of the flipchart.
- Now we have a tool as a basis to discuss “the significance of organizations/groups in the daily lives of the community, and the level of intimacy with the community.”

### Facilitation of the Discussion:

- Display the flipchart with the large paper circle in the middle (on a wall, floor). Explain that the circle symbolizes this community.
- Ask participants: what institutions (including prominent individuals who may be less well-known than institutions) that exist in the village, both those that have originated from the village itself and those from outside the village. Write all the information about the institutions (including traditional, or certain individuals), mentioned by the participants onto paper. Divide into two: organizations that have come from the village and those from outside.
- If there is no more additional information, explain to the participants that the institutions or certain individuals assume roles that are either very important for the village community, significant, unimportant and insignificant. This should be represented by the size of the paper circle. The more important, the larger the circle.
- Explain to the participants that circles with determined colors (red for example) symbolize institutions/individuals from outside the village, while other colors (blue for example) symbolize those from within the village itself.
- From a list of institutions and individuals already prepared, request participants to transfer this to the round shape papers. Consider the significance (symbolized by small/large circle) and the origin of the institution (from outside or within the village). After reaching an agreement through discussion, write in the round shape paper the name of each institution.
- When the list of institutions or individuals has been transferred into the circle, explain that the institutions and individuals mentioned have different levels of intimacy with the community. Meaning that there are those who close with the community and those that have distant.
- Compile the flipchart already placed in the large circle (that symbolizes the community) with circles given the names of the certain institution or individual. Place the circles (representing the institutions or individuals) mentioned around the large circle (representing the community).
- Attachment directions: The closer the relationship between the institutions/individuals to the community, the closer they should be placed to the large circle. If the relationship is very close, or that the relationship cannot be broken with the community, name should be placed inside the circle.
- The result: a configuration of the importance of the organizations and their level of closeness with the community.
- Probe for richer and deeper information.

**Tools** Flipchart, meta plan, scissors, markers, glue.

## Appendix 2 (continued)

### Rating Scale

<b>Objectives</b>	<ul style="list-style-type: none"><li>◦ To understand the effectiveness of the intervention, program or project (particularly poverty reduction program) in the village.</li><li>◦ How does the community perceive the program and what is their experience regarding the programs?</li><li>◦ How do the community perceive the implementation of the program within their community</li></ul>
<b>Participants</b>	Different separated groups of the community (wealthy/poor, male/female)
<b>Information to be obtained</b>	<ul style="list-style-type: none"><li>◦ Has the implementation of a program in line with its objectives?</li><li>◦ Does it received by the targeted recipients (well-targeted)?</li><li>◦ Is it pro-poor?</li><li>◦ Community perception toward the implementation of the program</li><li>◦ Suggestions for the improvement of the program according to the community.</li></ul>
<b>Facilitation process</b>	<ul style="list-style-type: none"><li>◦ Prepare cord/string two meters long, and string up paper with illustrations of happy and sad faces at each end of the string, and a standard face in the middle. Also provide a scale the length of the string, from 0-100%.</li><li>◦ The activity could be carried out for individuals/households or in a focused group discussion. Write every position chosen by the community and discuss why they chose these dispositions mentioned, ask how they can improve that disposition.</li><li>◦ This activity is performed for every theme or issues that will be investigated, and finally we will understand the level of disposition from groups and individuals on different levels of prosperity or sex group, about issues and topics that we wish to investigate.</li></ul>
<b>Tools</b>	Rope 2 meters long with a scale to show the disposition from unsatisfied to very satisfied.

## Appendix 2 (continued)

### Analysis of the Control of Household Property/Assets

<b>Objectives</b>	<ul style="list-style-type: none"><li>◦ Obtain information about the control over household properties; do the husband, wife, or both control it?</li><li>◦ Obtain information about the control over household properties after divorce, or a death of spouse.</li><li>◦ Obtain an explanation about the pattern/system of control over household properties.</li><li>◦ Obtain information about the pattern of decision making and task sharing in the household and in the community.</li><li>◦ Understand various gender problems and provide relevant inputs for the development of poverty reduction strategy.</li></ul>
<b>Participants</b>	4 separated groups: wealthy men, poor men, wealthy women, poor women. 8-10 people in each group for intensive discussion.
<b>Information to be obtained</b>	<ul style="list-style-type: none"><li>◦ What kind of household assets is controlled by the husband, or wife, or together?</li><li>◦ How was property separated in divorce situation? Was the ownership given to husband, wife, or shared?</li><li>◦ In the case of a death of a spouse, who took control over household property?</li><li>◦ Identify any gender imbalance in the household and in the community.</li><li>◦ Have gender aspects been considered in the development of poverty reduction policy?</li></ul>
<b>Facilitation process</b>	<ul style="list-style-type: none"><li>◦ Explain the objectives of discussion, that is: to understand the role of the wife, husband, or both in terms of control over household properties. What happens in cases of divorce or death of a spouse? Information is also to be used as input for the development of poverty reduction policy.</li><li>◦ Display a picture properties owned by a typical household, and let the participants add other type of household assets/properties.</li><li>◦ Display a picture of mother, father, mother and father, boy, and girl.</li><li>◦ Ask who in the picture has control over possessions in the household? Record the results.</li><li>◦ Ask, if selling or buying certain goods, who makes the decision?</li><li>◦ If a divorce occurs, how are household possessions allocated? Who makes the decisions?</li><li>◦ If a spouse dies, who takes control of the household assets?</li><li>◦ Ask about control of household assets if the wife/husband remarries?</li><li>◦ Ask who has control over family assets when the family has children or no children. Are there any other parties that share control?</li><li>◦ Ask the participants about their opinion regarding the condition/system of control over family assets mentioned? Is it ideal? If anyone suggests that female/male control is too weak, ask for ideas about how to attain more fair system.</li><li>◦ Probe for more detailed information.</li></ul>
<b>Tools</b>	Flipchart, marker, meta plan paper, sticky tape, glue, picture: husband/wife couple, man, woman, male/female child, elderly man, elderly women, picture of household assets: cow, buffalo, goat, rice paddy, motor bike, car, TV, radio, house, etc.

## Appendix 2 (continued)

### Analysis of the Roles and the Decision-Making in the Household and in the Community

- Objectives**
- Understand the gender relations in the household. Have these relations changed compared to the past?
  - Understand gender relations in the community. Compare the pattern of male and female roles with those of the past.
  - Are there differences in the gender relations within different social groups?

**Participants** 4 groups separated: wealthy male, wealthy female, poor male, poor female. 8-15 people per group for more intensive discussion.

- Information to be obtained**
- Responsibilities of women and men in the household.
  - Responsibilities of women and men in the community.
  - Role of women and men in decision making in the household
  - Role of women and men in decision making in the community.
  - Violence against women in the household and in the community.
  - Women's perceptions of control in the household and community compared to the past.
  - Are the conditions of women in the community getting better?

- Facilitation process**
- Begin the discussion by asking if there is a difference in the roles and responsibilities between men and women in the household. Probe for information about issues and topics that need further exploration.
  - Create a matrix like that shown below. Give a mark to the responsibilities of men and women, or both.

Topic/issue	Present		10 years ago		Explanation
	Female	Male	Female	Male	
1. Household responsibilities ( <i>write the main responsibilities mentioned by participants</i> )					
2. Responsibilities in the community					
3. Decision making in the household ( <i>conditions</i> )					
4. Decision making in the community ( <i>like what?</i> )					
.....					
.....					

- Discuss the comparison with the conditions ten years ago. Do women have roles in the community, what are they? Is there a difference between the roles and responsibilities of men and women on different levels of prosperity.
- Probe for detail information and compile the discussion results.

**Tools** Flipchart, marker, meta plan, and tokens for symbols.



## Appendix 3

### Reading Materials and Relevant Websites

#### Reading Materials

Badan Koordinasi Penanggulangan Kemiskinan Republik Indonesia dan Lembaga Penelitian SMERU. 2001. *Penanggulangan Kemiskinan*. Jakarta.

Biro Perencanaan dan Kerjasama Luar Negeri Sekretariat Jenderal Departemen Pertanian RI dan GTZ-KUF. 2000. *Panduan Metode dan Proses Identifikasi Keadaan Pertanian di Wilayah Kabupaten*.

Booth, D & J.Holland, J.Hentschel & P. Lanjouw and A. Herbert.1998. *Participation and Combined Methods in African Poverty Assessment: Renewing the Agenda*. Report Commissioned by the UK Department for International Development for the Working Group on Poverty and Social Policy, Special Program of Assistance for Africa.

Carvalho, Soniya and Howard White, 1997, 'Combining the Quantitative and Qualitative Approaches to Poverty Measurement and Analysis : the Practice and the Potential'. The World Bank, Washington, D.C.

Direktorat Penyehatan Air dan Sanitasi, Ditjen PPM & PL, Departemen Kesehatan RI Jakarta. 2002. *Modul Pelatihan Partisipatoris (MPAA/PHAST) Bagi Masyarakat*. Jakarta.

Driya media. 1996. *Acuan Penerapan Participatory Rural Appraisal*. Konsorsium Pengembangan Dataran Tinggi Nusa Tenggara. The Ford Foundation.

Mukherjee, Nilanjana and Christine van Wijk, 'Sustainability Planning and Monitoring in Community Water Supply and Sanitation: A Guide on the Methodology for Participatory Assessment (MPA) for Community-Driven Development Programs.' International Water and Sanitation Centre and The World Bank.

Mukherjee, Nilinjana., Joan Hardjono and Elizabeth Carriere. 2002. *People, Poverty and Livelihoods: Links for Sustainable Poverty Reduction in Indonesia*. The World Bank and DFID . Jakarta.

Norton, Andy., Bella bird, Karen Brock, Margaret Kakande and Carrie Turk. 2001. *A Rough Guide to PPAs: Participatory Poverty Assessment an Introduction to Theory and Practice*. Overseas Development Institute.

Rietbergen-McCracken, Jennifer and Deepa Narayan. 1998. *Participation and Social Assessment: Tools and Techniques*. Washington, USA..

Srinivasan, Lyra. *Tools for Community Participation: A Manual for Training Trainers in Participatory Techniques*. 1993. UNDP.

Stefan Nachuk. 1999. *PPA in Tra Vinh Province - Vietnam*. World Bank, Hanoi – Vietnam.

Walujan, Ruth., Richard M. Hopkins dan Arie Istandar. 2002. *Sanitasi di Wonosobo : Membandingkan Dua Evaluasi Program*. Water and Sanitation Program – East Asia and the Pacific.

### **Relevant Websites**

#### Theory and Guidelines of PPA and PRSP

[www.worldbank.org/poverty](http://www.worldbank.org/poverty)

<http://www.worldbank.org/participation/>

<http://www.ids.ac.uk/ids/particip/research/ppa.html>

<http://www.worldbank.org/wbi/sourcebook/sbxp07.htm>

<http://www.gtz.de/poverty-conference/english/monitoring.htm>

<http://www.imf.org/external/np/prsp/prsp.asp>

[http://www.ecomlink.org/E\\_Incubator/FAQ.asp?CategoryID=905](http://www.ecomlink.org/E_Incubator/FAQ.asp?CategoryID=905)

<http://www.povertytools.org/update.htm#BDS>

#### PPA in Several Countries

Afrika : <http://www.dfid.gov.uk/Pubs/files/sddafpov.pdf>

India : <http://www.praxisindia.org/research.html> ;

[http://www.kerala.gov.in/dept\\_planning/economicrvw\\_10.htm](http://www.kerala.gov.in/dept_planning/economicrvw_10.htm)

Kamboja : [http://www.adb.org/Documents/Books/Participatory\\_Poverty/](http://www.adb.org/Documents/Books/Participatory_Poverty/)

Mongolia : [http://www.livelihoods.org/static/rmearns\\_nn111.html](http://www.livelihoods.org/static/rmearns_nn111.html)

Palestina : <http://www.pppap.org/>

Rwanda : [http://www.minecofin.gov.rw/poverty\\_reduction/development.htm](http://www.minecofin.gov.rw/poverty_reduction/development.htm)

Tanzania : [www.esrftz.org/ppa](http://www.esrftz.org/ppa)

Uganda : [www.uppap.or.ug/](http://www.uppap.or.ug/) ; <http://www.eldis.org/static/DOC8301.htm> ;

<http://www.drt.or.ug/reports.php>

Vietnam : <http://www.adb.org/Documents/Reports/PPGA/> ;

[www.worldbank.org/poverty/voices/reports/national/vietnam.pdf](http://www.worldbank.org/poverty/voices/reports/national/vietnam.pdf) ;

[http://www.aduki.com.au/LPRV\\_Info\\_E.pdf](http://www.aduki.com.au/LPRV_Info_E.pdf)