GUIDE

TRAINING NEEDS ASSESSMENT(TNA) METHODOLOGIES
For Elected Representatives and Functionaries of Panchayati Raj Institutions

Government of India
Ministry of Panchayati Raj

November 2012

http://panchayat.gov.in

Methodologies, Tools, Techniques for Undertaking TRAINING NEEDS ASSESSMENT (TNA) of the Elected Representatives and Functionaries of the Panchayati Raj Institutions (PRIs)

Guiding Document and Handbook

Ministry of Panchayati Raj
Government of India

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Message

Ministry of Panchayati Raj (MoPR) has the challenge of supporting the Capacity Building and Training (CB&T) related interventions for nearly four million elected representatives and functionaries associated with the three tiers of Panchayati Raj Institutions (PRIs) in India. The priority areas for the Ministry include devolution of functions, funds and functionaries to the PRIs for broadening and deepening of democracy. However, it is recognized that capacity-gaps of the ERs and functionaries associated with these PRIs need to be addressed to make them play their role effectively. Therefore, MoPR has the responsibility to provide assistance to the States for Capacity Building and Training (CB&T) of elected representatives and officials of PRIs to enhance the effectiveness of the PRIs.

In this context, the significance of Training Needs Assessment (TNA) is acknowledged as a critical starting point to identify capacity gaps of the ERs and functionaries, and then determine the nature or design of CB&T interventions. The quality of TNA, therefore, not only determines the quality of the training materials to be produced in response to the TNA results, but also helps in determining suitable pedagogic approach to be used to deliver the training content to a specific group of ERs and functionaries. Furthermore, it has implications for monitoring of CB&T programmes, and in assessing their impact. This also helps in making the CB&T programmes demand driven.

However, while the term TNA is widely used, there is often lack of clarity on how to undertake TNA in a systematic manner. This is particularly true in the sphere of designing CB&T related interventions concerning the ERs and functionaries of the PRIs. In this regard, MoPR has developed this TNA Methodologies Guide for those involved in PRI CB&T by bringing together the standard TNA methodologies, contextualized to the requirements of the PRIs, indicating how these methodologies could be systematically put to use to get the best results while determining training programmes for the PRIs.

In this regard, I would like to thank Mrs. L. M. Vas Secretary (MoPR) for her overall guidance and support. My thanks are also due to the representatives of various SIRDs and other experts who have contributed in enriching the contents of this guide by their active participation in the consultation workshops. Also, I would like to thanks Mr. Nilesh Parikh, Director MGSIRD, for his support in facilitating interaction with the Elected Representatives (ERs) to test run the guide. My thanks are also due to UNDP for supporting this assignment under the Capacity Development for Local Governance (CDLG) Project.

I would also like to thank Mr. Sanjeev Sharma, National Project Manager (NPM), MoPR-UNDP CDLG Project and the Inter-cooperation Social Development India team for their contribution in developing the guide and other members of the National CDLG Project cell including Mr. Rajesh Kumar, Ms. Antara Borkakoty, and Ms. Komal Bhatia for their assistance.

I hope the guide becomes a useful reference document for all those who are interested and involved in design, planning and delivery of PRI CB&T programmes.

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Message

This guiding document "Methodologies, Tools, Techniques for Undertaking Training Needs Assessment (TNA) of theElected Representatives and Functionaries of thePanchayati Raj Institutions (PRIs)" prepared under the Government of India and the United Nations Development Programme partnership on capacity development for local governance, aims at collating the various TNA methodologies that can be used by training institutions.

Presented in a simple to use form, it contains various tools, reporting formats, and reference material that can be used as is or adapted easily. It also elaborates various methodologies for conducting a robust TNA.

This guidebook has been prepared in recognition of the fact that developing capacities of approximately 3 million elected representatives and officials of the Panchayati Raj Institutions that have different skill sets and who come from different socio-cultural context every five years is a gargantuan task. Panchayati Raj in India will only be as successful as the performance of the elected representatives and officials is. The latter is dependent on the capacities that the elected representatives bring in which are to be augmentedin order to make them effective leaders and the Government of India is to be commended for its emphasis on capacity development of PRIs.

Effective Training Needs Assessments have a profound impact on the design of training programmes that are more relevant for developing capacities of elected representatives.

We hope that the guiding document will aid the training institutions in designing rigorous and appropriate TNAs which will have a positive bearing on the quality of training programmes being delivered.

Caitlin Wiesen
Country Director

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This document has two main parts – A and B. Part A is a guiding document, which deals with the various details of TNA. Part B is a handbook which would serve as a Step by Step Guide. These are followed by sample formats, questionnaires and guidelines. Finally, the result of a pre-test is given with a sample Rapid TNA Report with suggestions on Do's and Don'ts in a TNA.

Part A – Guidebook

Section 1
An Introduction

CHAPTER 1

Why this Guiding Document

In this chapter

This chapter deals with the context in which this guiding document is prepared, for whom is it meant, a brief assessment from the experiences of TNAs for Panchayati Raj done in different states and how this document is organized.

The 73rd Constitution (Amendment) Act 1993 of India envisages Panchayati Raj Institutions (PRIs) as institutions of local governments to promote economic development and social justice. This step has led to the evolution of around 2.4 lakh panchayats with 28 lakh elected representatives, more than 37% being women and proportional representation for Scheduled Castes and Scheduled Tribes. In addition to these, there are officials of these Panchayats and many institutions, programmes and schemes which are directly or partially under the Panchayats. However, in order to establish themselves as local governments, there is a need to address the capacity needs of the elected representatives and other functionaries, apart from the need for significant devolution and systemic changes.

The Seventh Round Table of State Ministers of Panchayati Raj held at Jaipur in December 2004 adopted several action points for the training of the representatives of the Panchayati Raj Institutions. Subsequently, in 2006, the Ministry of Panchayati Raj (MoPR) formulated a National Capability Building Framework (NCBF). Similarly, the Fifteenth Anniversary Charter on Panchayati Raj adopted in April 2008 by the PRI representatives from all over the country demanded that panchayat representatives and officials should be provided sustained and high-quality training through a system that fulfils their training needs. However, as the status of Panchayati Raj and the capacities of various stakeholders are different in different states, the effort in Capacity Building and Training (CB&T) also varies across states. It is important for any CB&T initiative to start from a proper and scientific Training Needs Assessment (TNA), which centres around the core competencies and to assess capacity gaps of elected representatives and the PRI functionaries to effectively perform their day to day task and function as local governments.

There are existing TNA methodologies prepared by many institutes and agencies. Some of them are directed towards corporate management where as some others are for government officials. There are a few SIRDs in the country who undertake TNAs before designing the training programmes. Here again, one would not find a uniform methodology in one place.

Looking at various international TNA methodologies, one finds that adopting and adapting them completely for the Indian Panchayati Raj might not be useful. Moreover, the local governments, their functions and functionaries and their organization are different and many of these TNA methodologies are developed for either urban local or local governments with urban characteristics where as the Indian Panchayats are rural local governments.

A few states conduct TNAs though the methodologies they use have originated from their non-Panchayati Raj-related TNAs. This is important as the Panchayati Raj has a very heterogeneous group of stakeholders, whether it is the elected representatives of or other functionaries. Thus we have the experiences of many TNAs and the various kinds of methodologies used to conduct them. However, these require a review in context of Panchayati Raj in India.

The Government of India – UNDP Capacity Development for Local Governance (CDLG) project, implemented by the Ministry of Panchayati Raj aims at strengthening institutions and mechanisms in order to enhance the capacities of elected representatives and functionaries from human development-oriented, the inclusive planning, implementation, and improved accountability of local governance, mainly of the PRIs.

Thus, this guiding document is prepared as a collection of knowledge available in various TNA methodology documents, the experiences of using them and the learnings evolved from them. This is usable by various training institutions across the country, adapted to suit the needs of different parts of the country and addresses the capacity building and training (CB&T) gaps of the different stakeholders of Panchayati Raj. It is meant for the faculty members and management of these training institutions.

From the States

BOX 1

Preparation of this guiding document started with a literature review on the TNA methodologies. Initially, it was planned to have visits to Jammu and Kashmir, Rajasthan and Bihar. Later, the status of TNAs in the Rajasthan, Jammu and Kashmir, West Bengal, Kerala, Karnataka, Himachal Pradesh and Andhra Pradesh were probed. This involved visits to six of these states where key informant interviews with the faculty members of the training institutes or trainers and NGO representatives were held. Various documents prepared by them were collected and studied. In a couple of these states, the persons who were instrumental in designing the TNAs were contacted and their inputs collected. These were followed by a small group workshop in New Delhi where the inputs from these states were discussed. Some of the relevant findings are as follows:

A few institutes in India which provide training to Panchayati Raj do conduct TNAs on a fairly regular basis. However, there is no specific literature (any analysis, studies, research) available on the training needs assessment methodology for Panchayati Raj. Though there are tool kits and guidelines for TNA, not much analysis of these methodologies have been done, especially in the context of Panchayati Raj. Also, there are no documented case studies on TNAs for the PRIs.

States which conduct TNA's – mostly through the state Institutes of rural development (SIRDs) or administrative institutes (ATIs), use methodologies adapted from either the Department of Personnel and Training (DoPT) methodology of those designed by themselves.There are a lot of scientific and useful aspects in these TNA methodologies.

The difficulty for the institutes was to identify a methodology, since available methodologies designed are basically designed for the corporate world, with a HR perspective or for government departments. These do not have a sector understanding, especially about the PRIs. There are no comprehensive documents available on TNA methodology for the Panchayati Raj. In a few places where there are guidelines, they mainly use the questionnaire method. An absence of scientific sampling has been a major limitation in most of the places. However, there are attempts to address gender balance, regional representation etc.

As the methodologies have originated from non-Panchayati Raj related TNAs, some of their real needs might get missed: Some of these TNA methodologies are generic in nature, and so specific requirements of PRIs are neither captured nor are they able to capture the pedagogy requirements, soft and hard skills etc. They are also not able to capture the dynamic nature of the PRI status in the state and the intra-state variations.

Many a time, more than the methodology in use it is the approach and the actual conduct of the TNA where they falter. In actual practice the value of TNA seldom gets emphasized in the design of the training programme as the training programmes are designed based on the suggestions from the state government. In fact, TNA reports are available only in a few places. Here again, it is not as a comprehensive document which could be used by others.

But there are a few basic issues the institutes face. Usually the TNA is dependent on the source of funding / project and their insistence on a TNA. Thus, TNAs are not part of an institutional culture. Even places where the TNAs are conducted, the approach is supply based and the questions are also 'leading questions' catering to these. There is no systematic method to translate TNA findings into training design. Finally, the training programmes do not change much because of the TNA. Most of the programmes are ready-made programmes as they are mandated by the government departments or funding agencies. Only in a few institutes, the training strategy and plan are developed based on regular and comprehensive TNAs.
However, many useful aspects in conducting TNA for Panchayati Raj are available in states where TNAs are conducted, especially the questionnaire for field investigations, FGDs and Key Informant Interviews. This guiding document has tried to incorporate these as well as address the issues identified from these states.

About this Guiding Document

- It is a collection of knowledge available in various TNA methodology documents, experiences of using them and the learnings evolved from them.
- This is meant to be used by various training institutions providing capacity building and training (CB&T) support to the panchayats across the country.
- Users of this are the faculty members and management of these training institutions.
- Thus, the intention is that they may organize TNA by themselves and need not depend on consultants and external experts in each situation. This is important as the TNAs are dynamic and often requires repeats.
- The document is prepared considering the fact that the faculty members are already exposed to TNAs, various participatory tools and methodologies and they do not require minute details of such tools and methodologies.
- It is a guiding document and is adaptable and flexible to suit the needs of different parts of the country and addresses the capacity building and training (CB&T) gaps of the different stakeholders of the Panchayati Raj.
- The document is not meant to be academic in nature but tries to combine the characteristics of academic rigour and user guide.

- It presents the characteristics of a comprehensive TNA including methodologies and tools drawn from several experiences.
- Extra materials are provided for those who would like to understand more about various aspects of TNA methodologies.
- The chapters are arranged as academic discourse on TNA through literature review and scouting for various methodologies, followed by quantitative and qualitative methods for data collection.
- These are followed by practical guidance through chapters on `Writing a TNA Report', `From TNA to Training Design' and finally a `Handbook with Step by Step Guide' and `Rapid TNA'.
- As many training institutes will not have time and resources to go through in-depth TNA, a chapter is dedicated to Rapid TNA.
- These are followed a set of formats, questionnaires and guidelines for field investigations.
- A pre-test for Rapid TNA was conducted, a brief report of which is presented as a sample TNA Report.
- More importantly, the experiences from pre-test are highlighted as Do's and Don'ts.
- In the chapter on step by step guide, the key points or suggestions are qualified as vital, essential, negotiable and desirable.
- Please note that the formats, questionnaires and guidelines given are samples and each training institute is encouraged or required to prepare its own formats, questionnaires and guidelines.
- Appropriate changes have to be made to address the first timers, second timers and multi timers among the elected representatives.
- This is also applicable to different categories of target groups like the educated, illiterate, otherwise disadvantaged, elected women representatives etc as well as the regional and socio-cultural differences.
- This is also important in the context of PESA and non-PESA areas and appropriate changes have to be brought in to the questionnaires and guidelines.
- This is not a trainers' manual but a TNA methodology guiding document. So, there is no mention of how to conduct trainings or prepare modules and handbooks. However, as TNA precedes training, the approach is to deviate from the traditional KSA (A Knowledge, Skills and Attitude) to the ASK (Attitude, Skills and Knowledge) approach, considering the status and need of panchayati raj in the country.
- It is also advised to have a multi-member team for the TNA as well as trainings so that attitude and behavioral changes are also addressed in the training programme.

CHAPTER 2

Training Needs Assessment Assessment: An Introduction

In this chapter

This chapter sets the need for TNA, defines it, outlines the objectives and identifies a methodology which could be adapted to suit the needs of Panchayati Raj.

The tools for capacity development include different kinds of training, exposure activities and learning by doing etc which we call training events. The target groups are not the participants as individuals but as representatives of institutions and organisations (in our case, Panchayati Raj Institutions) responsible for the implementation of the projects.

Training is one of the tools for capacity development. It allows acquisition of specific skills and knowledge to be learned for presently known tasks and applied immediately. Training is defined as a planned and systematic effort to modify or develop knowledge/skill/attitude through learning experience, to achieve effective performance in an activity or range of activities (Buckely and Caple..1990 p.13). It is based on practical competence and pre-determined outcomes for developing people as individuals and helping them to become more confident and competent in their lives and jobs. The learning process is at the core of training and the ways of, and opportunities for, learning are numerous and varied.

Training can be viewed as an ongoing cyclical process,

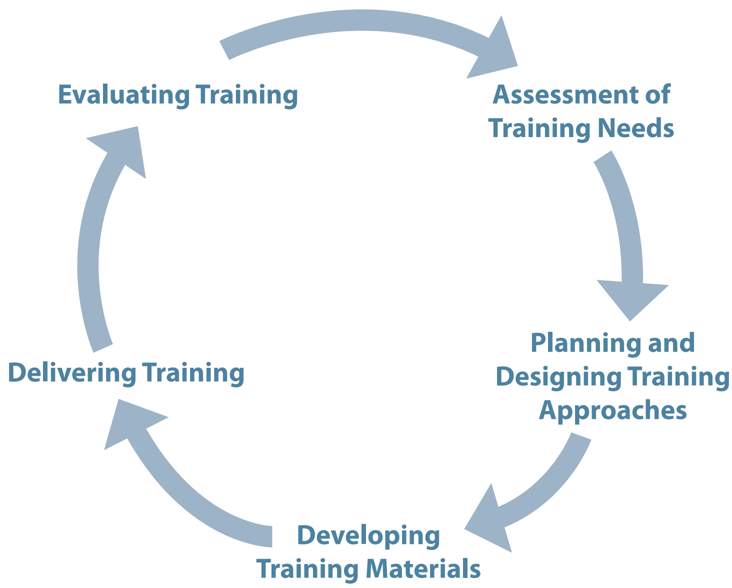

Figure 1: Training Cycle

Do we know Exactly

BOX 2

- Who constitute the stakeholders of Panchayati Raj?
- Do we consider them while designing trainings?
- Is it a homogenous group?
- Are their functions the same?
- Who are associated with the PRIs whose capacities matter a lot in the functioning of the PRIs?
- Do we know the skills and knowledge required for carrying out these functions?
- Are these requirements the same for every one?
- What is the present level of capacities of each of them for carrying out these responsibilities and functions?
- What is preventing them from accessing knowledge and skills?
- What is preventing them from performing their tasks so that the Panchayats become the real institutions of local governments?
- What happens when new tasks are bestowed upon them?
- What happens to the Panchayat when functionaries change on a regular basis, or due to elections or transfers?

The questions continue….

Here comes the need for **training needs assessment.**

TNA can be defined as identifying the training needs at individual, or organizational level, in order for the organization to perform effectively. In our case, individual level is about elected representatives or other functionaries, the organization is Panchayat, and the purpose is to make the Panchayat perform effectively.

Thus the TNA should be able:

- To understand the problems being faced by the ERs and functionaries in performing their tasks.
- To find out the CB &T gaps
- To understand the gap between existing level of knowledge, skills and competency
- To identify the new requirements of ERs and other functionaries as the Panchayati Raj system evolves
- To help prioritize the contents of the training
- To map the expectations of the people and the state and central governments on how the Panchayati Raj system should perform

A TNA for Panchayati Raj Institutions is, therefore, a process through which the capacity development requirements of the elected representatives and other functionaries of Panchayats are understood. A systematically done TNA culls out the training needs of elected representatives and other functionaries based on various categories, background, roles and positions. From such a TNA emerges a training design, leading to a plan which addresses many of the capacity needs of the Panchayati Raj Institutions and thus strengthening the Panchayati Raj.

Based on the approach of Desimone, et al., (2002), four levels of needs have to be analysed:

- The needs of the Panchayati Raj system
- The skills, knowledge and attitudes of ERs and functionaries
- The powers and responsibilities of the elected representatives and other functionaries
- The needs as defined by the higher tiers of governments based on the state legislations and constitutional amendments

TNA METHODOLOGY

There are many needs assessment models used in various circumstances and one of the widely accepted models is the McGehee and Thayer's (1961) three-level (Organisation-Task- Person) conception of needs assessment. The three level assessment should be interrelated so that they build on each other to produce a complete TNA.

Organisational Analysis (O)

Organizational analysis considers the proposed training within the context of the rest of the organization. An important consideration is whether or not the proposed training will be compatible with the organization's mission, strategy, goals and culture (Erasmus et al, 2000; Goldstein, 1993; Van Dyk et al, 1997). This means that the TNA for Panchayati Raj should be based on the status of Panchayati Raj in the state.

We need to understand:-

- How Panchayati Raj is envisaged to function in the country
- The objectives of the 73rd amendment to the Constitution
- How Panchayati Raj is designed in the state
- State legislation on Panchayati Raj
- How each tier of Panchayat is functioning
- Functions, functionaries, finances, framework

In effect, an assessment of the overall status of Panchayati Raj in the state is required.

Task / Job Analysis (T)

The second crucial aspect of need analysis is the job and its concomitant duties and responsibilities. This is called task analysis. A task analysis identifies the nature of the tasks to be performed on the job and the knowledge, skills, and abilities (KSAs) needed to perform these tasks. It is important to determine who all should receive training and what their current levels of skill and knowledge are (Erasmus et al, 2000; Van Dyk et al, 1997).

With regard to Panchayati Raj, this requires a lot of homework.

- Functions devolved to Panchayats have to be detailed out as activities
- What are the specific tasks involved in carrying out each of these activities?

- Who are the persons involved in carrying out these activities?
- What are their specific tasks?
- What are the knowledge, skills and attitudinal change required for these tasks?

Person Analysis (P)

Person analysis focuses on identifying who should be trained and what training is needed by each individual. Thus, the needs of an elected representative would be different from the needs of the Panchayat secretary or any other employee. Even among the elected representatives, these needs would differ from one person to another.

In the case of a Panchayat, this means:

- Identifying target groups I require training
- Whether each group is homogenous: if not, we need to have groups within groups
- How each group is positioned with regard to the task analysis
- What are the knowledge, skills and attitude needs of each of these groups

There are other models like Zemke and Kramlinger's (1985) Figuring Things Out (FTO) model, the Three-Phase Model proposed by Witkin and Altschuld (1995), Kaufman's (1998) Organizational Element Model (OEM), Robert and Mitchell Model which has four steps for

needs assessment, and Systematic Approach to Training Model by Ghosh (2005).

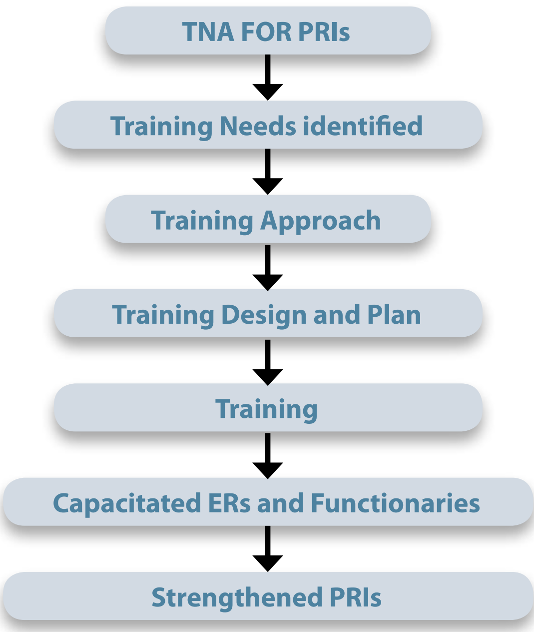

Figure 2: Strengthening Panchayati Raj

> ## Points to be Noted
>
> Training is a cyclical process and TNA is an important step in this cycle. There are many TNA methodologies, but choosing the appropriate methodology for Panchayati Raj is crucial.

CHAPTER 3

Training Needs Assessment through Review of Literature

In this chapter

The chapter reviews the literature available on TNAs. It discusses the definitions of trainings, TNAs the need for assessments as discussed in them. Finally, the chapter brings to the reader a few TNA models. The references at the end of the chapter allow the reader to delve further into the world of literature on TNAs.

1. INTRODUCTION

This section is a brief review of the literature on training needs assessment. We have tried to compile the global literature available. This chapter is basically on the concepts, and processes and not a review of the existing guidebooks and guidelines available in India. The literature on TNA for the PRIs was not available, though there are various PRI TNA documents. They will be presented in another chapter on Comparison of various TNA methodologies.

There is no single definition of training. The simplest definition of training is the acquisition of knowledge and skills for presently known tasks. It is defined as a planned learning activity intended to achieve a definite outcome (Ghosh, 2005, p6). Learning refers to a naturally occurring a process that may or may not contribute to a person's job performance. It can be based on a formal study or on everyday experiences at home or at work. The accumulation of these experiences enables us to carry out certain activities or tasks. But training is a planned process that directs learning towards achieving specific outcomes, leading to achieving performance objectives. The most commonly used definition of training is that "Training is a planned process to modify attitude, knowledge or skill required to achieve effective performance in an activity or range of activities".

Since training is a planned process, it has to undergo various steps to reach the goal. (The first step, to provide effective training, is to identify the problem gap). Today it is well acknowledged that the problem gap can be identified only by conducting a training needs analysis. In recent years, needs assessment has become a mainstay in organisational management and its success (Popcorn, 1991; Kaufman, 1998). Training needs assessment is recognized as the first step in any training process (Leigh, et al., 2000, Anderson J.E 2000, p 9).

The word 'assess' comes from the Latin term 'assidere' which means to 'sit beside.' Process- minded and participatory-oriented adult educators "sit beside" learners to learn about their proficiencies and backgrounds, educational goals, and expected outcomes, immersing themselves in the lives and views of their students (Auerbach, 1994).

Practical and pragmatic needs assessments provide a process for identifying and prioritizing gaps between current and desired results (Kaufman, 1998, Kaufman et al, 1993; Watkins and Kaufman, 1997 Rouda and Mitchell (1995). According to Miller et al (2002), the needs assessment is the first step in the establishment of a training and development program. It forms a continuous cycle which always begins with a "need" which can be identified in several ways but is generally described as a gap between what is currently in place and what is needed, now and in the future. A training gap is defined as the difference between the required standard of the job and incumbent's performance. It is the phase in which an organization's needs are identified, forming the foundation of an effective training effort. Need identification is the starting point in any training and development activity. Need identification or assessment is not a routine function and should be conducted carefully in a diagnostic manner (Al-Khayyat and Elgamal, 1997).

2. ANALYSIS VS ASSESSMENT

There are various definitions of training needs assessment. Boydell T. (1976), one of the earliest writers about TNA defines training needs as follows: "... 'need' implies that something is lacking - there is a shortfall somewhere. The word 'training' further implies that this lack can be supplied by systematic training. It can thus be said that a training need exists when the application of systematic training will serve to overcome a particular weakness".

Need Assessment is defined as an investigation undertaken to determine the nature of performance problems in order to establish the underlying causes and the way in which training can address this (Erasmus et al, 2000). Goldstein (1993) describes need assessment as the phase of the instructional process that provides the information necessary to design the entire programme. A needs assessment is a systematic exploration of the way things are and the way they should be. These "things" are usually associated with organizational and/or individual performance (Stout, 1995).

However, training needs analysis (TNA) or training needs assessment are used interchangeably and while many writers regard them as similar, Kaufmann, R., et al. (1993) considered them as different. A needs assessment should be designed to identify and prioritize needs, while a need analysis should break identified need into its component parts and determine the required solution (Watkins and Kaufman, 1996). Needs analysis was the process adopted to investigate the reasons for the gaps. (Holton, E. et al, 2000). A training needs analysis is primarily conducted to collect data to determine where training is needed, what needs to be taught and who needs to receive training (Goldstein 1993). Stuart Dalziel also considers needs analysis as an examination of the existing need for training within an organization. It is a gathering of data that enables you to make an informed estimate of the changes desired or demanded by those organizations. Gould et al (2004) stress training needs analysis as the initial step in a cyclical process which contributes to the overall training and educational strategy of staff in an organization or a professional group. The cycle commences with a systematic consultation to identify the learning needs of the population considered, followed by course planning, delivery and evaluation.

3. PURPOSE OF NEEDS ASSESSMENT

The ultimate aim of the need analysis/assessment is to establish: 1) what needs actually exist; 2) whether they are important; 3) how the need become apparent; 4) how they were defined; 5) how they may best be addressed and 6) what the priorities are (Erasmus et al, 2000). This recognition helps to direct resources to the areas of greatest need, those that closely relate to fulfilling the organizational goals and objectives, improving productivity and providing quality products and services. Indeed, there are various reasons why needs assessment is not conducted as it is described as being a difficult and time consuming process, along with the lack of resources in carrying out the tasks (Hill, 2004).

According to Kaufman, the purposes of needs assessment were three-fold - to identify performance gaps, to prioritize them and to address the most important ones. On the other hand, Desimone, et al., (2002) argued that incorrect assumptions are usually made about needs analysis being unnecessary because the available information already specifies what an organisation's needs are. He also contested that in analysing HRD needs, four levels of needs have to be analysed. They include assessing the needs of the organisation, individual employees' skills, knowledge and attitudes, and their functional responsibilities as well as departments' needs. Furthermore, it was contested that there is a lack of support for the needs assessments as HRD professionals are unable to convince top management of its necessity (Reid and Barrington, 1994).

The seeds for ultimate acceptance and use of the solution are planned at the beginning of the phase. The goal is to identify key people, think about how the solution to the problem will affect each of them and start to pursue their buy-in (Molenda et al (1996)). According to Van Dyk et al, (1997) the purpose of a strategy or a plan of action is to establish needs, regardless of the level or type of needs assessment to be undertaken. The three levels of training needs are Macro (need of national and even international interest), Meso (organization's specific requirement) and Micro level (only one person's or a small population's need).

Once the need analysis has been completed, the needs that were identified are translated into measurable objectives that can guide the training process. Training objectives should focus on the behaviour component, which describes in clear terms what a learner has to do to demonstrate that he or she has in fact learned. Behavioural training objectives state what the person will be able to do, under what conditions and how well he or she will be able to do it (Erasmus et al, 2000; Van Dyk et al, 1997; Molenda et al 1996).

4. TRAINING NEEDS ANALYSIS MODELS

As an interdisciplinary field ofresearch, needs assessment "models" come from a variety of professions and applications. Leigh, D. et al., (2000) acknowledged that dozens of needs assessment models have existed for the past three decades and each differs in terms of its levels of concentration. However, needs assessment models vary in their focus on the results to be achieved and/or the processes assumed to achieve results: difference of "doing the right things" versus "doing things right" as suggested by Drucker (1973). The TNA models have not seen significant changes over the past 30 to 40 years, in terms of theory as well as practice (Goldstein, I. 1993).

The McGehee and Thayer's three-level (Organisation-Task-Person) conception of needs assessment is considered the core framework for needs assessment in the academic literature and most of the models developed since have been based on this three-level framework (Holton, E. et al. 2000). Clarke, N. (2003) also, stated that the (O-T-P) model integrated macro through to micro analyses, arising from an investigation of training needs to meet organisational needs, task or job needs, through to the particular needs of the individual or person. In the following brief description of the (O-T-P) framework as a typical approach to TNA.

Organisational Analysis (O)

The original purpose of organisational analysis as described by McGehee and Thayer (1961) was to provide information about where and when training was needed in an organisation. Organizational assessment considers the proposed training within the context of the rest of the organization. An important consideration is whether or not the proposed training will be compatible with the organization's mission, strategy, goals and culture (Erasmus et al, 2000; Goldstein, 1993; Van Dyk et al, 1997).

Task / Job Analysis (T)

The second crucial aspect of need analysis is the job and it concomitant duties and responsibilities. This is called task analysis and different methods such as the critical incident methods are used. A task analysis identifies the nature of the tasks to be performed on the job and the knowledge, skills, and abilities (KSAs) needed to perform these tasks. Once the duties or task in which training is needed are identified, the detailed analysis of each task may begin. The purpose of this step is to ascertain if the task is important, if training is essential and if so, to determine the procedure that should be taught. It is important to determine which employees should receive training and what their current levels of skill and knowledge are (Erasmus et al, 2000; Van Dyk et al, 1997).

Person Analysis (P)

Person analysis focuses on identifying who should be trained and what training is needed by an individual. Kaufman's (1998) Organizational Element Model (OEM) is the only needs assessment framework reviewed that formally address the linkage between every result focus (societal, organizational, small-group and individual). The OEM framework suggests that a needs assessment begin with a focus on societal results and roll down to organizational and individual or small-group results. OEM is a dynamic template that can be used to identify the impact of organizational action at all levels of results. Kaufman's outside-in approach to planning and inside-out approach to implementation yield findings that may be applied to data-based decision making.

Robert and Mitchell (1995) suggest four steps for needs assessment. As a first step, perform a "gap" analysis to identify the current skills, knowledge, and abilities of your people, and the organizational and personal needs for HRD activities. Then, identify priorities and importance of possible activities. The third step is to identify the causes of performance problems and/or opportunities and followed by the identification of possible solutions and growth opportunities. A combination of multiple techniques can be used to get the best results. And finally, compare the consequences – whether the program is or is not implemented – and generate and communicate recommendations for training and - development, organization development, career development, and/or other interventions.

Newstrom and Lilyquist (1979) developed a contingency model to evaluate the various needs assessment methods. The weaknesses in one method could be balanced by including other complementary methods and that trainers needed to weigh the criteria in terms of their importance to the organisation. They evaluated twelve methods on the basis of five selected criteria: Employee involvement, Management involvement, Time required, Costs, and Relevant quantifiable data.

Graham and Mihal (1986) offer an alternate model for developing a needs assessment that uses a surveying approach that is less likely to be biased by the perceptions of managers. They use the implications of this to recommend a four-step survey process : i) managers determine the task related to their work; ii) managers identify which tasks they believe their performance could be improved upon; iii) managers prioritize development desires; and iv) superiors then validate the development desires of their managers. This alternative to conventional surveying, though limited if used as exclusive data collection method, can be useful during development of need assessment. Rossett (1987) reactive model is perhaps one of the most widely used training requirement analysis models currently in use by business and industry to lessen the gap between "optimal" and "actual" individual and small-group performance.

Caffarella (1988) used the Newstrom and Lilyquist model to evaluate eight selected methods. She described the eight methods (observation, survey, interview, group meeting, job analysis, tests, critical incident and written material) she had chosen as those most widely in use, selected from major sources on data collection methods (Knowles, 1980; Tracey, 1984).

Murk and Wells' (1988) Systems Approach Model (SAM) functions as a broad model of instructional design rather than being solely dedicated to needs assessment. This nonli-near model includes needs assessment as an important component. The needs assessment process described functions though as a learner analysis to be used to identify necessary entry skills to training programmes.

According to Ghosh (2005), Systematic Approach to Training (SAT) with four steps is an effective intervention in improving performance through training. The four steps starts with the identification of training needs, plan and design training, implement training and assess results.

Gordon (1994) "Front-End Analysis Model" of needs assessment does not so much identify and document gaps in results as discussion inputs and processes that the organization can employ while prescribing training and non-training solutions to its internal clients. The Front-End Analysis Model rolls down from desired individual results, though it does not formally address the desired small group, organizational or societal results. Instead, it acts to identify resources the unavailability and/or faulty processes for shortcoming in individual performance.

Similarly, Robinson and Robinson's (1995) "Performance Relationship Map" emphasizes both training and non-training solutions to individual and small group performance discrepancies. Business goals, objectives, and strategies for a unit, division, department, or entire organization serve as the basis against which all performance requirements are to be anchored. Applying a Performance Relationship Map includes involving a wide variety of stakeholders in defining performance problems, and bases solution selection in value addition for the individual performer and the organization as a whole, rather than for external clients and society. Instead, key performance requirements are identified according to the perceived importance of job practices and competencies versus the current skill level of performers. While this approach is internally efficient, it does not causally link individual performance to organizational or societal success.

Watkins and Wedman's (2003) Performance Pyramid Model offers a comprehensive systems model, guiding performance improvement initiatives, by building on both the foundational pyramid framework that is at the center, and examining the supporting components that form a performance system—inputs, processes, and results. The result is a useful model for systemically accomplishing significant results, linking together the various systems (e.g., expectations and feedback, incentives, rewards and recognition, capacity knowledge and skills, vision, mission and objectives) to provide a holistic performance systems perspective.

Authur's (1993) Performance Evaluation Matrix for "investigating the problem" is provided within the context of software development and improvement. The model suggests that problem assessment begins with an analysis of customers and suppliers. The model focuses an efforts around the requirements of end-users or those "who ultimately serve the external paying customer." After customer and supplier requirements are addressed, he recommends that the processes be inspected to "identify defects created in the cycle, use data to identify the root causes of defects from each cycle, and improve the process each time you go through". The model adds a "Performance Evaluation Matrix" built around problem themes (or areas) as well as a guide for specifying problem themes.

Darraugh's (1991) "six-step model for needs assessment" appears to parallel Rossett's (1987) Training Needs Assessment model in its determination of actuals, optimals, attitudes, and causes. Darraugh does provide readers with fifteen questions that are recommended as essentials to the needs assessment process. While these questions may provide an orientation to the purpose of a needs assessment, the six steps briefly described in the article are not linked to societal, organizational, nor individual accomplishments and provide little guidance in the procedures of conducting a useful needs assessment.

Harlless's Front-End Analysis Model concentrates on performance analysis and cause analysis as tools for finding the most efficient way to correct a performance problem. His focus on results (rather than solutions) aligns his work with the other predominant needs assessment models, and his focus on differentiating symptoms from performance problems can guide many useful assessments. Applications of the model use 13 questions to drive the analysis process. For instance: Do we have a performance problem? How will we know when the problem is solved? What are the alternate subclasses of solution?

Rummler and Brache's (1990) "Relationship Map" is a proposed improvement to the organizational maps common in many fields. The major contribution of the Relationship Map is the provision of a horizontal systems perspective which includes recognition of internal and external clients, outputs delivered to customers outside the organization, and the flow of work which transforms inputs to products and outputs. This mapping provides a systems view which can be useful to needs assessment initiatives and can be used to design an efficient organizational structure by comparing current and desired processes.

Ostroff and Ford (1989) model is one of the several models for needs assessment derived from McGehee and Thayer's (1961) text Training in Business and Industry. This text proposes that training requirements are analyzed according to three content areas: organizational, task and person. Ostroff and Ford expand this framework by including a "levels" dimension (consisting of organizational, sub-unit and individual) as well as an "application" dimension.

The Zemke and Kramlinger's (1985) Figuring Things Out (FTO) model is composed of factors that affect performance in an organization. The factors are detailed in three primary arenas: performer, local performance environment, and organizational climate. The authors suggest that an FTO study begins by capturing the organizational climate and culture data, including how the mission and goals of the organization are translated into actions at the functional/operational levels. They devote most of their effort in providing tools and guides for collecting both hard and soft data within an organization.

The Three-Phase Model proposed by Witkin and Altschuld (1995) is actually an analysis, assessment and action plan framework embedded within one method. These processes occur over three phases: pre-assessment (exploration), assessment (data gathering), and post- assessment (utilization). As the first and last phase go beyond the scope of needs assessment as defined here, the model is actually a plan for problem identification and resolution. As a reactive model, needs assessment is described as a means by which to cope with current and future problems and constraints via risk identification techniques, rather than anticipating and creating future opportunities.

Johnson (1996) acknowledges that his needs assessment model is focused on "training requirement planning" and does not address the identification of performance problems that are the likely candidates for a training solution. The model suggests that the process begins with the identification of management's perception of training and the role of training within the organization. Then, in an approach that parallels other business processes, Johnson recommends the use of a "market survey," for identification of desired training programs. Based on the results of the "market survey" training requirements (including what knowledge, skills, and aptitudes to be taught) are defined and analyzed. The "training requirements planning" continues through the evaluation of training with short-term and long-term feedback.

McArdle (1996) differentiates between two types of needs assessments. The first type, problem analysis, "identifies a problem and offers solutions". The second, a competency model, considers the "available opportunities by identifying and acquiring new skills and abilitie or competencies". To determine which type of needs assessment suits their organizations, manager should record the current work situation, clarify the objectives of the whole exercise and seek management support.

Darraugh's (1991) six-step model for needs assessment appears to parallel Rossetts's (1987) Training Needs Assessment Model in its determination of actuals, optimal, attitudes and cause. The model provides with fifteen questions that are recommended as essentials to the needs assessment process.

Nowack's (1991) model for needs analysis differentiates between training "needs and wants" based on their importance to the job-task and the requirement for increased employee proficiency. The Nowack model has nine steps beginning with a job profile and focusing on a questionnaire and focus-group data-collection methods. The model does not identify societal, organizational or individual results but rather focuses on organizational processes. Based on the information gathered in the early steps of the model, training objectives are developed and serve as perception based evaluation criteria. The questionnaire should include two primary criteria: importance, which is relevant and the frequency of the activities and behaviours of a specific job and proficiency, which is the competence of employees in performing their job.

McClelland (1992) emphasizes that training may or not be an appropriate solution for organizational problems. His "systems approach" offers many useful guidelines for taking decisions regarding the use of outside consultants, selecting the appropriate needs assessment methodology, as well as administering the assessment.

Freeman (1993) addresses the topic of needs assessment within the context of how the process is related to long-range planning for human resources. He suggests that this may involve looking beyond the office and into the community.

Cline and Seibert (1993) talk about the planning phase which involves identification of the possible usages of data; setting of criteria or goals; familiarization with the topic, task or focus through research, developing a guidance group On the other hand, the data collection phase, requires interviews, group discussion and gathering of hard data. The last stage is the data- analysis phase, which involves data compilation, statistical analysis and the preparation of a report.

Mathews, et al's (2001) training needs assessment is dominated by senior management decisions and supervisors' opinions. The skills inventory is the most widely applied formal technique. Organizations tend to pay more attention to customers and work groups while defining training needs. In general, objective and formal methods should be adopted more widely (e.g. training audits).

McClelland (1993) provides with recommendations for conducting an assessment. He begins by differentiating assessments and surveys and suggests that surveys alone do not constitute a needs assessment. A prescription for implementing an Open Systems Training Needs Assessments (TNA) is provided. TNAs are a popular and valuable tool for the human resource development professional in determining an organizations's skill, knowledge and talent base. At the same time, it provides information on areas where training programs can be effectively implemented with greatest impact.

The assessment perspective (applied conducting a need assessment) attends to the harvesting of data that identifies the gaps between the current and required / desired results. It places those needs in a priority order on the basis of the costs to meet the need compared with the cost to ignore them (Kaufman, 2000; Kaufman, et al 2001).

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Points to be noted

TNAs are used in different contexts and the methodology could vary depending upon these contexts. It is important to select the appropriate methodology for Panchayati Raj. There is the scope for learning from various methodologies and preparing an indigenous model to suit the needs of Panchayati Raj and the state.

Section 2
Towards A Comprehensive TNA

CHAPTER 4

Preparing for a TNA

In this chapter

This chapter gives a stepwise account of the preparations to be taken before conducting a TNA.

Training Needs Assessment requires a lot of preparation, at the institutional, team, individual and field levels.

1. POLICY DECISION

The institute has to take a policy decision on TNAs being made mandatory before the training strategy and then plan formulation. This is important for the legitimacy of the TNA so that the training strategy and plan is based on the findings of the TNA.

2. INCLUSION INTO THE INSTITUTE PLAN

Many institutes would have an institutional plan and one of the first activities should be the TNA. The idea is to have an institutional culture of TNA which makes it mandatory, regular and sustainable. Moreover, decision on apportioning resources for TNA is also to be ensured.

3. TEAM FORMATION

A team has to be formed to conduct the TNA which consists of TNA coordinator, data manager and analyst, field coordinators and investigators. It is also important to have a multi disciplinary team, especially as the TNA also would try to address attitude, skills and knowledge. This means that the team should have members who are able to analyse the attitude needs too. Responsibilities of each of them have to be fixed and communicated.

4. METHODOLOGY IDENTIFICATION

One of the first tasks of the team is to identify the methodology.

- Does the methodology suit the Panchayati Raj context in the state?
- Is it simple, but comprehensive
- Institutional capacities vs. methodology
- Resource availability.

In the case of the Panchayati Raj, a methodology adapted from the McGehee and Thayer's (1961 three-level (Organisation-Task-Person) model would be suitable.

5. TRAINING

Once the methodology is identified, there is a need for all the senior team members to undergo training on the selected TNA methodology. There are three ways: (i) get trained in institutions that provide training (ii) avail the services of a TNA expert (iii) an internal workshop based on this guiding document which could also draft the details of the TNA. Once the details of the TNA are drafted, the field coordinators and enumerators should also be given training with focus on their tasks. This could be done by the senior team members.

6. ACTION PLAN

Based on the methodology selected, an action plan with timeline has to be prepared. This would also cover responsibilities of the team members.

7. TIMINGS OF TNA

Timings of the TNA have to be well thought out. With regard to the TNA, the institutes might conduct TNAs in one of the following occasions:

- **Prior to the elections to the PRIs:** Here the training programme is finalized well in advance and the institute is ready for training immediately after the elections. This TNA will have a different clientele, basically drawn from the experiences of former elected representatives.
- **After the elections:** When newly elected representatives just come in.
- After the first round of training programmes or the orientation to the newly elected representatives.

Each has its advantages and disadvantages. In the pre-election TNAs, the consideration is that elected representatives in general have the same or similar training needs and so the opinions raised by the outgoing elected representatives on trainings would be still valid. However, this will exclude the training needs of the newly elected representatives, whose needs could be different.

On the other hand, the newly elected representatives who are approached for training needs assessment will not be able to give much input as they are yet to even understand what their tasks are. A judicious mix of both the timings would be appropriate for the TNA of elected representatives.

8. STAKEHOLDER MAPPING

Before launching the TNA, the stakeholders have to be mapped.This will enable us to prepare appropriate tools including questionnaires.

Internal stakeholders are the elected representatives (ER and various functionaries in a Panchayat. With in the ERs too, there are many sub categories like women, SC/ST members, standing committee members, sarpanch etc. Functionaries are also of different categories like the secretaries, field staff, accountants and so on, depending upon the state situation. There are three tiers of Panchayats and so we have to decide on who would be in the stakeholder group for this particular training programme. Functionaries are dependent on the situation in each state.

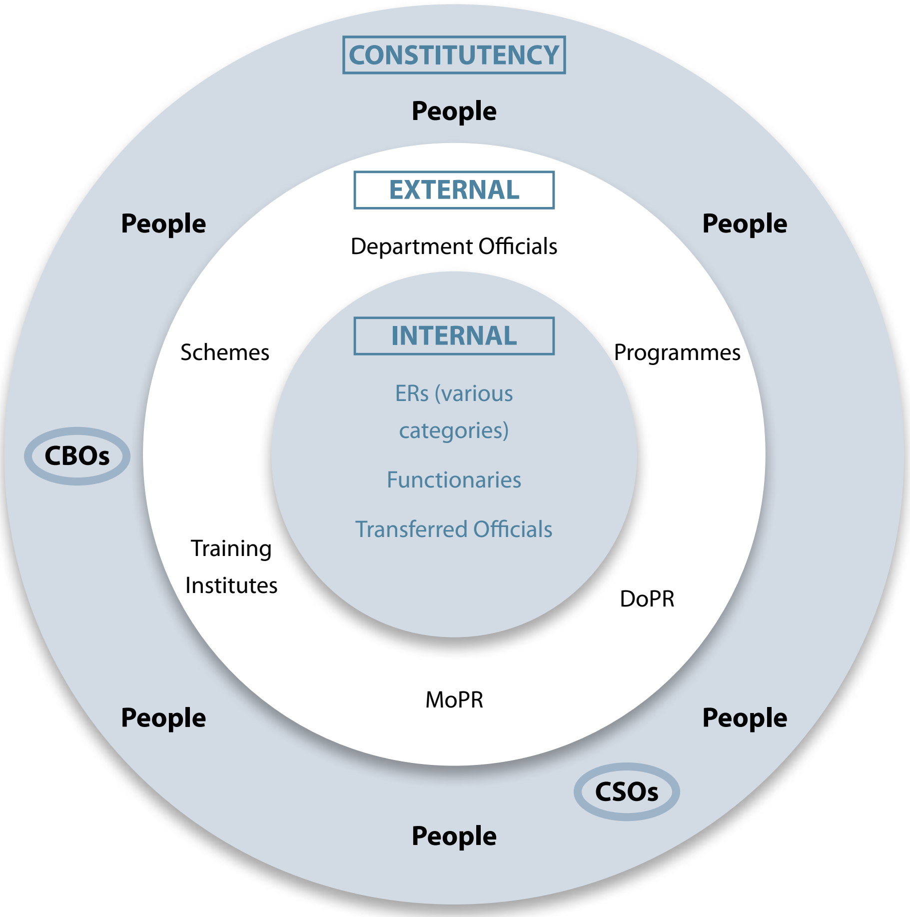

Figure 3: Stakeholder Mapping

External stakeholders include senior government functionaries in the concerned departments of Panchayati Raj, related departments, various departmental officers, functionaries concerned with various schemes and programmes which have relevance to Panchayati Raj, other training institutes, and people who provide training to Panchayats. There is a larger constituency of civil society organizations and people in general who are the key stakeholder in the Panchayati Raj.

While considering the elected representatives, it is important to distinguish between first timers, second timers and multi timers. TNA should be able to address them separately. The same is in the case of PESA and non-PESA areas.

Once we map the stakeholder groups, we can identify who we should approach in the process of TNA.

9. OTHER METHODS AND TOOLS

Undertaking a training needs analysis requires an understanding of a wide range of social science research methods and tools, as it combines both quantitative and qualitative methodologies. Using a questionnaire as a tool, it is possible to capture the issues in assessment of learning needs of a large segment of the PRI elected representatives and functionaries. However, the TNAs have to go beyond questionnaires to capture the real requirements.

Figure 4: Preparing for a TNA

Points to be noted

There are a few important steps like the policy decision on TNA, identifying the methodology, preparing the action plan, mapping the stakeholders and finalising the target group/s.

CHAPTER 5

Initiating TNA

In this chapter

The chapter discusses in brief the steps involved in TNA starting from learning from the previous exercises, review of literature and finally to the data collection – both primary and secondary.

1. ANALYZING FEEDBACK AND LESSONS SO FAR

As the institutes have been conducting training programmes for Panchayat elected representatives and functionaries for years, there would be many feedbacks already available. Many institutes have post-training evaluation forms. A quick scan of these feedbacks will be highly useful both for developing the TNA questionnaires as well as in finalizing the report.

There are also the institutional learnings and memories available with the members of the faculty. TNA is the ideal opportunity to collect and analyse them. These could be through moderated discussions.

2. ANALYSIS OF POLICY ENVIRONMENT

An analysis of the Panchayati Raj legislations, rules, government orders, guidelines, flagship programme guidelines where Panchayats have a role etc need to be undertaken. The purpose is to understand the status of Panchayati Raj in the state, how it is organized, how it functions and how it is expected to function. Activity mapping, if available, would be a very useful document to start this probe.

3. REVIEW OF LITERATURE, CASE STUDIES, LESSONS LEARNT

TNAs are not intended for 'reinventing the wheel'. Many inputs will be available from various literature available on the functioning of Panchayats in the country and state. There are many studies on the performance of elected representatives. These may not be directly applicable to the concerned state, but it would nevertheless give ample inputs for further TNA.

There would also be a few case studies available on the Panchayats. These may be on the functioning of Panchayats, but many inputs can be drawn for assessing the training needs of elected representatives and functionaries from these case studies.

4. DATA

Data collection is an important aspect of the TNA. Data collection methods guide us to systematically gather information on the training needs of elected representatives, other functionaries and the community as well as inform us about the settings (Panchayat office, other institutions under the Panchayat, schemes and projects they manage etc) in which they occur.

Data and Information

Data refers to facts and statistics that are collected for evidence. These can be any alphanumeric characters i.e. text, numbers, symbols. Data from a survey are only a collection of answers. Data gathered based on observation and experiences are generally in text form.

Information is the processed data in which we can make sense of all the pieces of raw evidences that are collected in many different forms. It interprets the data and shows relationships among variables represented in raw data. Thus, information is knowledge about something which is extracted from the data.

Two Broad Categories of Data

Secondary Data

Secondary data refers to existing data that has been collected by others for similar or another purpose.

A review of the secondary data sources should precede any primary data collection. However, for TNA existing data may not always appropriately identify the training needs of the PRIs and other stakeholders. Also, because of the changing scenario it is essential to collect secondary data that is relevant and not out of date. For example, the District Census data of 2001 may be less useful to discuss the current population profile of the district. Or, the data on elected representatives of the previous tenure may not be useful (though it can give insights into many aspects).

Moreover, clear documentation of the methods to be used to collect primary and secondary data must be developed during the planning stage of an operation. It is advisable to use a combination of primary and secondary data to complement each other.

A COMMON ERROR — **BOX 3**

A common error when using secondary data sources or collecting primary data is to collect too much data on related topic rather than focusing on the specific data. The argument is that since we are collecting data anyway, why not collect everything so that it could be used later for other purposes. However, in actual practice this does not happen and so a lot of time and energy is used for collecting a huge quantum of data which never get analysed. This often leads to a reduced amount of time available for data analysis and, ultimately, dilutes the value of the information produced.

Determining Relevance of Secondary Data: Steps to Follow

STEP 1: IDENTIFYING AND ASSESSING THE RELEVANCE OF SECONDARY DATA AND ITS SOURCES

Identify what secondary data is available and relevant to TNA. Review existing PRI data and data that is related to developmental and governance aspects of the village selected for TNA exercise. Also, review existing data from governments as well as organizations that operate in the same geographic area. There would be secondary data available on the status of Panchayati Raj, performance of elected representatives and functionaries, previous training programmes, their impacts and many such aspects.

Step 2: Assessing the Appropriateness of Relevant Secondary Data

Check when was the data collected and assess whether the secondary data covers the same geographic area, period and indicators that you require.

Step 3: Checking the Reliability of the Secondary Data and Data Source

Review the secondary data for its method (quantitative/qualitative) and ensure that it is from a reliable data source.

Step 4: Verifying the Replicability of Secondary Data for Follow-up Study and Monitoring

If you decide to use the data, then the ease with which it may be replicated through monitoring or a follow-up evaluation study must also be assessed.

Primary Data

Primary data is data that is self-collected through the use of qualitative and quantitative methods such as surveys, meetings, focus group discussions, interviews or other methods that involve direct contact with the respondents and fulfill the objective of the study under consideration. For example, for TNA the respondents could be elected representatives, Panchayat secretaries, other Panchayat officials, representatives of community based organizations, and members of the village community.

Data collection methods can be discussed under two broad categories – qualitative and quantitative methods. While undertaking TNA, it is important that we use a combination of different methods that enhance the quality of data and reduce the chance of bias.

It is essential that the data collection methods are based on ethical considerations that respects individual autonomy and should not cause any physical or emotional harm to respondents. It should respect an individual's right to privacy and should refrain from observing the behaviour or informants without their consent. Utmost care should be taken to observe and respect the cultural values and traditions of the community.

Points to be noted

TNA starts with desk research on lessons learnt so far and review of literature. Differentiate between data and information. Both primary and secondary data are important. Avoid the common error of collecting too much date most of which are non-usable or irrelevant. Need for ethical considerations while collecting data and the principle should be 'do no harm'.

Section 3
Methods for Obtaining Information

CHAPTER 6

Quantitative Methods

In this chapter

The chapter narrates the various aspects of quantitative data collection and analysis. How to use data, the various types of questions, points to be considered while preparing questionnaire, inappropriate questions, biases, sampling and analysis are the topics discussed here.

Quantitative methods provide systematically collected data and are designed to ensure objectivity, reliability and generalizing of the findings. Written questionnaires and interview schedules are typically used to gather quantitative data, whether informally via a feedback questionnaire, or through a statistically valid survey. Quantitative methods produce hard data expressed in numbers, such as the number of computers in a Panchayat office, percentage of elected representatives who are literate or have computer education, or scores about attitudes towards women empowerment Quantitative data collection based on probability sampling methods help to generalize the results to the larger study population.

Data collected using quantitative methods provide answers to questions such as who, how much, and how many and can be obtained through simple analysis of variables in the form of frequencies, averages, ranges, means, and percentages, with quantifiable degree of confidence. Quantitative methods provide precise estimates based on statistical underpinnings and can be useful while deciding upon choices regarding training needs. Although, such data are robust and objectively verifiable, they may not completely capture the factors and perspectives that can be useful for TNA. That is why we need to combine various qualitative methods and quantitative methods. Three key steps in using quantitative methods are described as follows.

1. DEVELOPMENT OF INTERVIEW SCHEDULES AND QUESTIONNAIRE

Interview schedules and questionnaires contain a fixed set of questions that would be administered to the respondents. However, before framing the questions it is essential to review the following:

a. The objectives of the TNA and the variables/indicators on which information is required
b. The questions for their sufficiency in generating information and decide whether it shall be complemented with other methods of data collection
c. The cultural variations in the study area and its impact on the questionnaire d)
d. The respondent group and the literacy status of the respondent group

The interview schedule or questionnaire can contain both open-ended and closed questions.

Open ended questions can provide information on opinions, attitudes and suggestion of respondents. Often, these are responses in statements which can be more than a single sentence and can be difficult to quantify.

Some examples of open-ended question:

- What do you think are the reasons for poor maintenance of water and sanitation facilities in the Panchayat office?
- What kind of knowledge do the PRI representatives require to work effectively?
- What approach is required to train the illiterate heads/members of Gram Panchayats?

An open ended question allows for exploring information which was not conceived while designing the hypothesis and thus provides valuable insights. This information is free from the subjective bias of the researcher and can provide the true opinion of the respondent.

But collection of information through open-ended questionnaires or interview schedules requires skilled field investigators who are aware of the study and its relevance. Also, open ended questions can have a large and varying amount of response and will therefore require more time and experience for analysis.

Closed questions offer a list of possible options from which the respondents could choose. However, precaution must be taken that the options are mutually exclusive and exhaustive and the options are limited.

Some examples of closed questions:

What is your educational status?

i. Illiterate
ii. Primary education
iii. Secondary education
iv. Higher secondary and above

Have you ever visited the Zilla Panchayat Office?

i. Yes
ii. No

Are you satisfied with the training facilities?

i. Dissatisfied
ii. Somewhat dissatisfied
iii. Neither satisfied nor dissatisfied
iv. Somewhat satisfied
v. Satisfied

The last example is based on satisfaction and similar questions can be raised to understand the perception and attitude of the respondents. However, such questions with choice on answers can be sometimes counterproductive as an intelligent respondent would give an answer which he/she feels is the right answer. For example, if he/she is asked the question "Have you visited the Zilla Panchayat Office?", the answer would be 'yes', as the respondent thinks that being an elected representative, s/he was supposed to have visited this office. A similar problem may arise when the interviewer reads all the options and realises that distinguishing between options (i) and (ii) and similarly options (iii) and (iv) may be difficult and can be subjective. It is evident that closed questions are easy to record and analyse but researcher has to be careful to include all the categories of response.

Consider a further example:

Have you received training on Panchayat Acts and Responsibilities of elected representatives?

i. Yes, Acts but not on Responsibilities

ii. Yes, Responsibilities but not on Acts

iii. Yes, both Acts and Responsibilities

iv. No, neither Acts nor Responsibilities

The example of question on computer and internet training has several problems as it confuses the cognitive process of the respondent. There can be a bias toward 'yes' because most of the responses contain 'yes' as a category. The last option is also confusing as it contains a double negative phrase. Such questions make a simple inquiry difficult because they are counter to the cognitive process, are burdensome, and cause errors.

Yes-no questions are prone to bias and misinterpretation for other reasons as well. Some questions can provide a leading answer and contain an inferred bias towards the 'yes' response. For example, "Do you read the Panchayat records??"

It may as well be noted that structured questionnaires with mostly closed questions are unsuitable for broad and exploratory questions that maybe relevant in TNA. Attempting to structure and categorise such responses can also affect the quality of the inquiry. This approach would restrict the scope of the data collection for analysis and restrict flexibility in responses.

Some closed questions are also known as **fill in the blank questions**. For example;

- What is your age (age in years)?
- How many women are employed in Panchayat Office (number of women)?

There are **single choice questions** and **multiple choice questions.** In a single choice question respondent chooses one out of two or more alternatives. However, in multiple choice questions the respondent can choose more than one option.

- Why is the attendance in Gram Sabha very low?
  - People were not informed
  - Purpose of the Gram Sabha was not known to the people
  - Previous Gram Sabha was not organised properly
  - Any other (specify)

Multiple choice questions may be difficult to write because the researcher has to consider all the possible responses for a given question. Therefore, it is advisable to include a category that is open for responses not conceived by the TNA team.

Ranking and Rating

Ranking and Rating questions form an important component of TNA. In a ranking question, we would assess the preference, relative importance or need of the respondents among a list of items which have almost similar value. The respondent will first consider the most important category and then accordingly rank other categories based on its relative importance or preference.

For example, we can ask the respondents to rank the preference for use of limited infrastructure funds for the following repair and minor construction activities;

Activities	Rank (1st to the most preferred activity)
Road	
Irrigation	
School	
Health centre	

In rating questions, the alternatives generally vary in values. Rating questions can be formulated easily and are less prone to error than ranking questions. See the following example:

Rate the understanding of various Panchayat Acts among the elected representatives:

- More than adequate
- Generally adequate
- Marginal adequacy
- Inadequate
- Very inadequate

Likert scale

The Likert scale (agree or disagree scale) is a commonly used method to the capture the intensity of a response and are easy to construct. For example.

In the household, men should make the major decisions such as buying land, or other assets such as tractors, or building a house?

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly Disagree

Although the questions based on Likert scale are simple to construct proper care should be exercised to avoid errors and validity of response. To elaborate, the Likert scale presents only one perspective or a statement which can create a bias as respondents sometimes may agree with the statement or argument presented. In order to avoid such bias the question should be reversed in meaning and then asked again to elicit the response. Here, if the response is consistent then it can be considered as valid response. For example;

In the Panchayat, both women and men elected representatives should be involved in negotiating with representatives of the factory to be started in the area?

- Strongly agree
- Agree

- Neither agree nor disagree
- disagree
- Strongly disagree

Nevertheless, the above strategy of removing bias can lengthen the size of the questionnaire Also, the respondent may find it repetitive and uninteresting.

The Likert scale questions are more effective when the extent of agreement or disagreement is closely and directly related to the statement. For example;

Some people agree with the policy reservation for women in parliamentary elections while others do not. The question is how do you feel?

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree

Inappropriate Questions

Questions are inappropriate if they are not relevant to the TNA exercise and can generate a biased response. Similarly, the TNA should exclude questions which are beyond the range of information, knowledge, and perceptions of the respondents as they might require considerable effort to answer them and it would be considered as illogical and unnecessary. Ambiguity in questions should be avoided and precautions must be taken to ensure that the language is not threatening or embarrassing. Therefore, before initiating the questionnaire-based survey, it is important to pre-test the questions with a group. Questions that can be related with disclosure of self- incriminating information can be avoided.

Simple Writing

The questions must be direct, orderly, precise, logical, concise, and grammatically correct. They must have unity, coherence, and emphasis. The questions should consist of a simplified word structure and ideally have around five to six letters word. Words not commonly used should be avoided. Similarly, the length of the sentence should be around eight to ten words.

Question Bias

Status quo bias: Use of words such as "most" or "do you agree" tend to invoke the status quo bias and the respondents are likely to say yes. For example, 'Most of the community members support women reservation in the Parliament. What is your opinion?' This question can be framed appropriately to remove the status quo bias. For example, 'Some community members support reservation for women in the Parliament while some do not. What is your opinion?'

Directional bias: Sometimes questions can lead the responses in a particular direction. For example, 'Do you think the Gram Sabha should be organised in the Panchayat office or the Sarpanch's house?' This question is leading the response in a particular direction and assumes that other activities are not important or are of no interest to the evaluator.

Unbalanced question bias: Questions such as, 'Do you think Gram Sabha should be conducted on a holiday', are unbalanced as they are indicative of a response. A more balanced question would be to ask, 'During which part of the month should the Gram Sabha be organised'.

Memory bias: Factors such as time lapsed since the event and nature of material to be recalled can lead to a potential memory bias as these may vary considerably among the respondents based on their motivation or experience with the event. Such memory errors can lead to either underreporting or overreporting of the phenomena under observation. However, evaluators can remove some bias by narrating the event in sequence and by using simple and direct language. Also, recalls are more effective when the reference period is generally short. For example, 'How many activities were planned and conducted by the Panchayat under BRGF this year?' has a short reference period.

Respondent Bias: Respondents generally select socially desirable answers which reflect the cultural norms of the region and thus may undermine their choices. Also, respondents like to make a good impression with the evaluator and may over report on options which will not affect their image. For example, officials may more often report that roads are in poor condition because of excessive and heavy rainfall and may underreport issues with quality and construction design. Respondents also refrain from adopting an extreme position (strongly agree or disagree) and also have the tendency to agree with the evaluator. Questions on sensitive data such as income earnings, financial flows and accounts, caste issues could be considered as intrusive and hence should be avoided.

2. ORGANISING THE QUESTIONNAIRE

A set of instructions should precede the questions and help prepare respondents for the interview. The instructions should inform the respondents regarding the sequence of the questions and has to be presented in a logical manner. Wherever possible, subtitles should be used in the questionnaire to help identify the set of questions in the section. It is important that first few questions capture the attention of the respondent and help him comprehend the relevance of his/her opinion on the topic. Questions with responses such as 'do not know' or 'uncertain' should be avoided in the initial sections of the questionnaire.

3. QUALITY CHECK AND PRETESTING

The quality of the questionnaires can be determined by several methods including Pretesting. Pretesting helps understand the potential problems in the study and can provide timely input to revise the study tools and techniques. During the study designing, the questionnaire should be pretested on selected persons who represent the range of conditions likely to influence the TNA's results. The questionnaire should also be sent out for a review by experts who are familiar with both the issue and the respondent group. Pretesting and expert review are some of the best ways to ensure that the instrument actually communicates what it was intended to communicate, that it is standardized, is uniformly interpreted by the target population, and that it will be free of design flaws that could lead to inaccurate answers. Pretests are conducted with a small set of respondents from the population that will eventually be considered for the full-scale study. If respondents in a pretest have difficulty in responding or supplying information, it is likely that similar problems will arise in the full-scale study. Pretesting will help to understand the following:

- Is the question and its content relevant to the respondent?
- Is the language of the question adequate to ensure unbiased and clear responses?
- Will the questions generate adequate information for the study?
- How much time is needed to administer the questionnaire?

A pretesting exercise should end with the debriefing of the situation. This will provide additional insights from the respondents when the person is made aware of the intention of administering particular questions and the difficulties encountered by respondents.

Translation

Generally, questionnaires are required to be translated into more than one language depending upon the local language/s of the state. A systematic translation with the help of professional translators helps avoid errors which otherwise may arise when using on-the-spot translation from a third person. The responses are then further required to be retranslated into a common language for analysis of results. While undertaking translation it is critical to focus on linguistic, conceptual and cultural equivalence.

4. SAMPLING FOR QUANTITATIVE METHODS

Sampling involves the selection of a number of study units from a defined study population. The purpose of sampling is to reduce the cost of collecting data about a population by gathering information from a subset instead of the entire population. It is necessary to have an understanding of sampling of communities, households, and/or individuals for TNA surveys as it can help draw valid conclusions regarding the training needs.

In exploratory studies, such as TNA, the experts may focus on people in a purposive manner. These individuals are expected to be aware of the local context and can help provide insights for the study. During such studies, the evaluators can also resort to snowball method where the informant is asked for names of others who could also give information on the research topic. In such a study, it should be understood that the sample is not representative of the population.

In some instances, the study can interview groups from different strata of population and those who contrast with other groups. In this way, the study can get a more representative opinion regarding a subject or the training needs. Also, when the study population is smaller, is advisable to interview most of them. For example, the number of elected representatives in each panchayat will be smaller and therefore most of the elected representatives can be interviewed to understand their training needs.

However, if the population in question is large, we can draw a representative sample by using sampling techniques that provide valid conclusions. For example, while sampling to understand the needs for improvement in the health infrastructure in a village, we have to consider the following information;

- What is the study population from which the sample has to drawn?
- What should be the sample dize?
- How to select the sample units?

The study population can be defined on the basis of age, sex and place of residence. Consider the following example on study population and study units.

Problem: Improvements required in computing facilities at the Panchayat office

Study Population: All elected representatives and Panchayat officials

Study Unit: One elected representative and one Panchayat official

Representativeness is a quality which is essential if the TNA team is interested in drawing conclusions that are valid for the whole study population. A representative sample has all the important characteristics of the population from which it is drawn. For example, if you wish to understand the training needs of elected representatives in a district then it is important to select sample from a representative sample of village as inferences based on sample from one or two villages might present a biased assessment of needs.

Sampling Methods

Availability of a sampling frame is a prerequisite in choosing sampling units. A sampling frame is a listing of all the units that compose the study population and helps to arrive at probability sampling. However, if a sample frame is not available, then we have to resort to non- probabilistic sampling methods.

Non-Probabilistic Sampling

In this sampling technique, all the people of an area do not get equal chances of getting selected. This may lead to cases where the sample is not representative of the population.

Convenience sampling

It is a non-probablistic method in which for convenience sake the study units that happened to be available at the time of data collection are selected in the sample. Clearly, a drawback of convenience sampling is that the sample may be quite unrepresentative of the population under study. This implies that some units may be over-selected while others may be either under-selected or missed altogether.

Quota Sampling

Quota sampling is a method which ensures that a certain number of sample units from different categories with specific characteristics appear in the sample so that all these characteristics are represented. In this method, the TNA team would interview as many people in each category of study unit before the quota for that stratification is filled. Quota sampling technique is useful when the team perceives that a convenience sample would not provide the desired balance of the study units.

Probability Sampling

Probability sampling involves random selection procedures to ensure that each unit of the sample is chosen on the basis of chance. All units of the study population should have an equal or at least a known non-zero chance of being included in the sample. Clearly, probability sampling will require a listing of all study units into a sampling frame. Some of the most common probability sampling techniques are:

Simple Random Sampling:

This is the simplest form of probability sampling. The following steps are followed in this type –

i. Prepare a numbered list of all the units in the population from which the sample has to be drawn.

ii. Decide on the size of the sample.

iii. Select the required number of sampling units, using a lottery method or a table of random numbers.

For example, if we have to draw a simple random sample of 10 elected representatives from a list of 30 elected representatives in the Panchayat, then each elected representative is given a number (1 to 30) and these numbers are written in small pieces of paper. All the 30 number papers are put in a box and shaken vigorously to ensure random arrangement within the box. Then 10 papers will be taken out of the box and the numbers are recorded. The elected representatives belonging to these numbers will constitute the sample.

Systematic Sampling:

In systematic sampling, individuals are chosen at regular intervals from the sampling frame. Ideally, a random number is selected that informs us the starting point for selection of individuals from the list. This method is less time consuming and easier to perform than simple random sampling. However, there is a risk of bias in the sense that the sampling interval may coincide with a systematic variation in the sampling frame.

Example of systematic sampling:

Assume that a systematic sample of 10 elected representatives has to be chosen from 60 elected representatives in the area (say, district). The sampling fraction is then defined as sample size (10) divided by the study population (60). This will yield a sampling fraction of 1/6, meaning that the sampling interval is six. Among the first five elected representatives in the list or sampling frame, we have to select one elected representative randomly out of the first six elected representatives. For example, we can roll a dice to see the number which has to be picked from the first six elected representatives. If number 4 is picked by using the dice then every sixth person from there.

Stratified Sampling:

This method is used when the parent population or sampling frame is made up of sub-sets of known size. These sub-sets make up different proportions of the total, and therefore sampling should be stratified to ensure that results are proportional and representative of the whole. The relevant characteristics to be used for stratification are identified on the basis of the questions to be asked e.g. membership or non-membership of an organisation, female or male members. A random list is then drawn up for each subgroup and respondents chosen randomly within each. Stratified random sampling is particularly useful when some sub-populations are relatively small and may be missed in a simple random sample.

The sample selection from each stratum could be proportional or disproportional. In proportional selection, one samples each stratum in proportion to its relative weight. In disproportional stratified sampling, an equal number of cases are taken from each stratum regardless of how the stratum is represented in the population. Disproportional sampling is preferred when sampling forms a highly variable universe, wherein the variation of the measurements differs greatly from stratum to stratum.

Example: If we are interested in studying the perception of elected representatives in a particular district, the district could be divided into various parts (such as blocks or Tehsils) and from each part a sample may be taken at random. Suppose there are five block in districts say, A, B,C, D and E, and their respective sizes being 10, 15, 20, 30, and 25 per cent respectively of the total population. In proportional stratified sampling 10 percent of the elected representatives would be chosen from block A and so on. In disproportional sampling we have to fix a particular number of elected representatives and chose the same number of elected representatives from each block. Stratified Sampling ensures that specific groups are represented, even proportionally, in the sample(s), by selecting individuals from strata list. However, it is more complex; requires greater effort than simple random; and strata must be carefully defined.

Cluster Sampling:

Cluster sampling is a method by which the population is divided into groups, or clusters, and a sample of clusters is taken to represent the population. First step is to randomly select various clusters from the total possible clusters; then, question each individual or select respondents randomly. Clusters maybe geographical, for example, villages. They may also be, for example, literate groups, particular social categories within geographical locations, or women. It is important to ensure that important subgroups are not left out and also to consider any potential bias in analysis. For example if all the clusters thrown out by random selection are large villages, the results likely to be different if some of the villages have been very small e.g. because of fewer facilities or different social structure.

5. QUANTITATIVE DATA ANALYSIS

Quantitative Data Analysis can be used to answer questions like;

- What is the percent distribution?
- How do participants rate the usefulness and relevance of the intervention?
- How variable is the data?
- What is the relationship between a program and the outcome measures?
- Describe the frequency and/or percentage distribution of a single variable
- Tells how many and what percent
- Example: – 67% of the ERs are male and 33% are female

It can be used for understanding the central characteristics or tendency

- The 3-M's
    - Mode: most frequent response

  - Median: mid-point of the distribution
  - Mean: arithmetic average

Guidelines for Analyzing Quantitative Survey Results

- Choose a standard way to analyze the data and apply it consistently
- Do not combine the middle category with each side of the scale
- Do not report an agree or disagree category without also reporting the strongly agree, agree or strongly disagree category
- Analyze and report percentages (or numbers)
- Provide the number of respondents for an anchor
- If there is little difference in the data, raise the benchmark

Common Descriptive Statistics

- Frequencies
- Percent
- Mean
- Median
- Mode
  - Percent
  - Ratio
  - Comparisons

Points to be Noted

Development of interview schedule and questionnaire are very important. Biases should be avoided There are many techniques for sampling. Go for the simple and doable. Quality check and pre-test are very useful. In-depth understanding of quantitative data analysis can be had from many books on statistical methods.

CHAPTER 7

Qualitative Methods

In this chapter

The chapter discusses the characteristics of qualitative research, various data collection techniques, sampling, data validation and analysis.

Qualitative research involves an in-depth understanding of human behaviour and the reasons that govern human behaviour. Unlike quantitative research, qualitative research relies on reasons behind various aspects of behaviour. Simply put, it investigates the why and how of decision - making, as compared with what, where, and when of quantitative research. Hence, the need is for smaller but focused samples rather than large, random samples from which, qualitative research categorizes data into patterns as the primary basis for organizing and reporting results.

CHARACTERISTICS OF QUALITATIVE RESEARCH

- Qualitative research attempts to understand meanings which people give to their deeds or to social phenomena. In other words, researchers see people from the inside. For example, when we conduct interviews with elected representatives in particular area about the introduction of a Government Policy, we will have pictures of how they feel about the introduction of a new policy. How do they think of the introduction process? What sort of limitations do they notice?
- Quantitative researchers may be able to do surveys without direct contact with research objects: they can collect data by using hired and trained interviewers or by mailing out questionnaires. Qualitative researchers, on the other hand, often enter the natural fields of people whom they study and have face-to-face interviews with them. Because of this, qualitative research is sometimes called "fieldwork."

WHAT IS QUALITATIVE DATA?

Qualitative Data is mostly in the form of words, phrases, sentences and may include visual images, audio and video recordings. Qualitative data is a mass of words obtained from recordings of interviews, field notes of observations, and analysis of documents as well as reflective notes of the researcher. This mass of information have to be organised, summarised, described and interpreted.

1. Qualitative Data Collection Techniques

The major methods involved in qualitative data collection are:

- Observations from written documents (including program records, personal diaries etc.)
- Direct Observations
- Interviews

- Focused Group Discussions
- Participatory Rapid Appraisal (PRA)

Observations from Written Documents

For the examination of documents, the TNA investigator should have access to material which may include letters, memos, notes, diaries, photographs, audiotapes, videotapes, films, articles, books, manuscripts, e-mails, online discussions etc. In general, documents are any preserved recording of a person's thoughts, actions or creations. Documents may be examined to investigate patterns and trends of the past. If no humans remain alive to provide primary evidence, then documents are the only source of data. Documents are also examined by researchers who are investigating subjects that are available. The examination of documents may also provide confirmatory evidence of the information obtained from interviews and observations.

Direct Observations

Observation is simply a way of gathering information. This may involve a site visit but it can also involve visiting a community, or a place, and watching what people do (e.g. Gram Sabha). Like a site visit, it is a good way to concretize the TNA, and helps understand the TNA results better.
Advantages of site visits and observation

- Helps in understanding the training needs better
- Helps in asking questions which might not have been thought
- Concretize the TNA
- They are fun and a good learning opportunity!

Disadvantages of site visits and observation

- Takes time
- Can be expensive (depending how far we need to travel)
- With observation in particular, we need to be careful how we interpret what we see. With site visits, we may want to make sure we have a guide so that we can ask questions.

Interviews

Interviewing is a technique of gathering data from people by asking them questions and getting them to react verbally. There are three different ways of conducting interviews:

- Structured
- Semi-structured
- Unstructured

Structured interviews use an interview schedule which is similar to the survey questionnaire. The interviewer could phrase the question in such a way that so that there is a limited range of responses. For example, 'Do you think training serves its purpose? Strongly agree, agree, somewhat agree, agree and strongly agree. Structured interviews are widely used in surveying opinions, beliefs and perceptions of people. Individual interviews are expensive and we should consider whether the same amount of data can be more efficiently collected using written questionnaires.

Semi-structured interviews and **unstructured inerviews** widely used in qualitative research. Semi-structured interviews consist of a list of open-ended questions based on the topic areas the TNA plans to address. The open-ended nature of the questions provides opportunities for both the interviewer and interviewee to discuss certain topics in more detail. If the interviewee has difficulty answering a question or hesitates, the interviewer will probe. The examples of a probe are:

That's very interesting. Can you tell me more about that?

You say that.... I would love to hear more about what you have in mind.

How do you figure that out?

Unstructured interviews aim to obtain in-depth interviews of persons interviewed. Only a limited number of topics are discussed, sometimes as few as one or two topics. Although only a few topics are discussed, they are covered in great detail. The interview may begin with a question such as "I'd like to hear your views on the functioning of Gram Sabhas". Subsequent questions would follow from the interviewee's responses. Unstructured interviews are used to find out about a specific topic but have no structure or pre-conceived plan or expectation as to how the interview will proceed.

Face-to-face or personal interviews are labour-intensive but can be the best way of collecting high quality data. Key informant interviews are one of the personal in-depth interviews to collect information from a wide range of people—including elected representatives, other community leaders, professionals, or residents—who have firsthand knowledge about the Panchayat. These 'local' experts, with their particular knowledge and understanding, can provide insight on the nature of problems and give recommendations for solutions.

Key Informant Interviews

When to conduct key informant interviews?

- To get information about a specific issue or problem from a limited number of well-connected and informed experts
- To understand the motivation and beliefs of stakeholders on a particular issue
- To get information from people with diverse backgrounds and opinions and be able to ask in- depth and probing questions
- To discuss respondents' candid discussion of the topic, or to get the depth of information you need
- To get more candid or in-depth answers. The focus group dynamic may prohibit you from candidly discussing certain topics or getting the depth of information you need. Sometimes the group dynamic can prevent some participants from voicing their opinions about sensitive topics.

How are key informants selected?

The informant should be someone who understands the situation and can analyze it. The most direct method of selecting key informants is to consult strategically - placed experts working in the area under study who should be able to recommend the most informative, experienced, and analytical individuals. To increase the likelihood that the informants will be useful, it may be necessary to select those informants who have been recommended by several sources, especially if the different sources are known to have dissimilar points of view. In assessing the training needs of Panchayati Raj functionaries the key informants could be the senior officers, individuals who provide training to elected representatives of Gram Panchayats and Panchayat Secretaries, and the heads of civil society actors (such as heads of NGOs).

How questions should be asked?

In formulating the questions for the key informant, it is generally useful to orient questions around these aspects:

- 'what is happening'
- 'what is being done'
- 'what is the outcome'

How to get information from key informants?

Two common techniques used to conduct key informant interviews are telephone interviews and face-to-face interviews.

TELEPHONE INTERVIEWS

Telephone interviews may be the most convenient and least time-intensive way to interview busy key informants. The major shortcoming of this approach is not having the personalized interaction that is otherwise possible through a face-to-face interview. However, if the researcher develops a structured telephone key informant interview tool to address your primary questions, the telephone interview may provide all the valuable information he/she is looking for.

The designated key informant interviewer should contact the key informant to schedule a convenient time for conducting the interview. When contacting key informants, he/she should stress on the importance of their input and let them know about the time commitment in advance. Telephone interviews should last not more than 15-25 minutes, as it is difficult to schedule longer periods with busy people. However, once engaged, informants may be willing to speak longer. So it is a good idea to schedule at least an hour of their time to allow for interviews that run longer.

FACE-TO FACE INTERVIEWS

Face-to-Face interviews are the most frequently used format. This format is more time intensive because it requires additional scheduling and logistical planning. The advantages to this technique are that it provides a free exchange of ideas, lends itself to asking more complex questions and getting more detailed responses.

Some tips: Face-to-face interviews

- Preparation of a set of questions to ask the informant;
- It is a good idea to record the interviews, so that the facts could be checked later. Notes should be taken during the interview, if the interviewer feels comfortable doing this;
- Interviews take time, and the informant is giving his or her time for free. Interviews should not really take more than an hour, unless the informant wants to spend more time in talking. Usually 10 questions are enough for this amount of time;

- Sometimes people transcribe the interview recordings. This usually makes analysing the results easier, but it also takes time and can be quite an effort. Inclusion of a budget in the TNA proposal for transcription should be considered, and then someone else should be paid to do it;
- Sometimes the interviewer may need to ask the informant if they are prepared to be identified in the TNA report, or if they would like to be quoted anonymously. This is usually the case if their identity needs to be protected, and sometimes if there are issues which could lead to conflict.
- The TNA investigator may want to consider letting the informant review any direct quotes used before publishing the TNA report. However, this takes time and can delay the process sometimes.
- The informants should be asked if their contact details could be included in the report.
- The informant should be asked if he or she would like to be alerted when the report is published, and let them know where they can read the report if it is publicly available.

Planning the Key Informant Interviews

The steps involved in planning and implementing key informant interviews are:

- Gather and review existing data
- Determine what information is needed
- Determine target population and brainstorm about possible key informants
- Choose key informants
- Choose type of interview
- Develop an interview tool
- Determine documentation method
- Select designated interviewer(s)
- Conduct key informant interviews
- Compile and organize key informant interview data

Focus Group Discussion

Focus groups were originally called "focused interviews" or "group depth interviews". A focus group is a group of people who are asked about their attitudes and opinions about a service, issue, concept, idea or product. Members in the group are free to talk with other members in the group. The role of the researcher is that of a moderator who listens, observes, ask questions and keeps the group on track.

When to use FGD?

- Gather opinions, beliefs, attitudes, perceptions, behaviours and motivations about a topic.
- Identify needs for a program or service (like the training programme for elected representatives).
- Test ideas, plans, programs, services, policies before introduction.E.g. to test an existing training program in the local context.

- Get feedback on a program, service, and policy after introduction (for example, after a few batches of training programme).
- Clarify information gained from individual interviews or written surveys (quantitative study–quantify; numbers).
- Obtain information about relevant questions or terminology to include in a written survey.

Defining Focus Group

- A focus group is a small homogenous group of six to ten people (a group of elected representatives or a group of functionaries).
- The discussion is moderated by a trained moderator.
- Moderator should be able to generate discussion in an open manner and should see that all participants get an opportunity.
- Moderator should not impose his/her views on the participants
- A very short or a long FGD is not productive. 45 to 90 minutes would be ideal for PRI-related FGDs.
- Moderator has to be equipped with pre-determined questions, but not to be put forward as questions. These questions are to help the moderator in facilitating the discussion and collecting maximum useful inputs for TNA.
- There could be many FGDs and once we understand that there is saturation in terms of inputs and we are not hearing anything new than from other FGDs, further FGDs are not necessary.

How to Conduct a Focus Group Discussion?

Moderator Characteristics

The TNA team should discuss the characteristics of the people they believe will make successful moderators. The moderator should

- have minimum education level;
- be of the same sex as the participants;
- be interested in hearing other people's thoughts and feelings;
- less of a teacher and more of a student seeking advice;
- turn questions directed at them into issues for discussion;
- have a good understanding of the purpose of the study;
- be able to translate sensitive words;
- be able to "talk-up" some reserved members of the group and "talk-down" the "know it all";
- have language and communication skills in the local languages;
- have the ability to feel at ease with people;
- have good verbal and interpersonal skills;
- have comfort level with discussing sensitive topics;

- have the ability to be non-judgmental and respect the dignity of respondents and confidentiality;
- have previous experience with focus groups or other research activities

Steps in Conducting the Session

Before the focus group discussion begins, the facilitator should obtain the background information of participants such as their age, position in the Panchayat, literacy status. The type of information to collect depends on what we are going to discuss in the FGD. Once this is done, the sequence of steps is carried out:

- After a brief introduction, the purpose and scope of the discussion are explained.
- Participants are asked to give their names and a short background information about themselves.
- The discussion is structured around the key themes using the probe questions prepared in advance.
- During the discussion, all participants are given the opportunity to participate.

A variety of moderating tactics are used to facilitate the group. Among these, the tactics that the moderator can use include:

- Stimulating the participants to talk to each other, not necessarily to the moderator.
- Encouraging shy participants to speak.
- Discouraging dominant participants through verbal and nonverbal cues. The following may be used when the situation permits:
    - Call on other participants
    - Politely intervene by saying, "Maybe we can discuss that in another occasion..."
    - Look in another direction
    - Take advantage of a pause and suggest that the subject can be discussed in detail in another session
    - Pay close attention to what is said in order to encourage that behavior in other participants.
    - Use in depth probing without leading the participant.

Guidelines in conducting FGDs

- The TNA team to listen and learn, and should not lecture or provide team members' interpretation of the local system.
- The team members agree on various task assignments including: a) facilitator/ interpreter, b) rapporteur, c) logistics in-charge.
- Each team member must have a copy of the FGD guide.
- Team members should familiarize themselves with local terminologies/names to avoid misunderstanding of what the participants say
- TNA team should keep an open mind and listen more.
- Questions that yield Yes or No answers should be avoided
- **Should avoid leading questions. Example**: Don't you think A is better than B?

- The participants' (say, ERs in TNA for PR functionaries) time is valuable. FGD should be finished within the time mentioned in the beginning of the discussion
- Should not forget to thank participants and other local leaders after the conduct of the FGD.

Participatory Rapid Appraisal (PRA)

Participatory Rapid Appraisal (PRA) is a community survey methodology, or "tool" used to do a quick analysis of community problems and possible solutions. It has been developed specially to involve all stakeholders in needs analysis. In our case, it can be used to understand the functioning of PRIs and the training needs of ERs and functionaries as understood by the community.

Key Principles of Participatory Rapid Appraisal

- Community participation is essential.
- The PRA draws data from informal interaction and brainstorming among those involved and is best done by a team that includes stakeholders with perspective and knowledge of Panchayati Raj, the PRI and the roles and functions of ERs and functionaries. Other team members could be government officials, NGOs and Community Development Workers with a good mix of disciplinary backgrounds and experience. A well-balanced PRA team will represent the different socio-economic, cultural, gender and age groups.
- A combination of techniques may be used.
- PRA needs accurate and good quality data. To ensure that information is valid and reliable, investigators should follow the rule that at least three sources must be consulted or techniques used to investigate the same topics.
- To be efficient in terms of both time and money, the PRA work aims to gather just enough information to make the necessary recommendations and decisions. That is why it is called a "Rapid" Appraisal method: just enough information and community "buy-in", as quickly as possible.

Tools for PRA

The practical appraisal tools for PRA in TNA for Panchayati Raj Functionaries could be:

- **Open Meetings:** to inform and consult the broad community.
- **Structured interviewing:** with local ERs, leaders and officials.
- **Focus group discussions:** with representatives of the community
- **Preference ranking:** to seek agreement on priorities or make choices about resources.
- **Gender analysis:** Explore differences and similarities between men and women's workloads in relation to various issues.
- **Institutional analysis:** To analyse people's perceptions of the importance, relevance and effectiveness of the Panchayat and various institutions working under it in an area
- **Flow chart:** There are a number of factors that influence situations in the community. A flow chart explores inter relationships, to help everybody to understand the issues.

- **The "now" and "before" matrix:** PRA tool designed to generate people's perceptions of Improvements or deterioration on one or other aspect : e.g. quality of service of the officials

How to Organise a PRA?

- PRA activity involves a mixed team of people working for at least two or three weeks with a community on workshop discussions, focus groups, information analyses and practical fieldwork. Several organisational aspects should be considered:
- **Logistical arrangements:** It should consider nearby accommodation, arrangements for lunch for fieldwork days, sufficient vehicles, portable computers, funds to purchase refreshments for community meetings during the PRA and supplies such as flip chart paper and pens.
- **Training of team members:** This may be required particularly if the PRA has the combined objective of training, in addition to data collection.
- **PRA results:** They are influenced by the length of time allowed to conduct the exercise, scheduling and assignment of report writing, and careful analysis of all data, options, conclusions and recommendations.
- **Timing:** A PRA covering relatively few topics in a small area (perhaps two to four communities) should take between ten days and four weeks, but a PRA with a wider scope over a larger area can take several months. Allow five days for an introductory workshop if community training is involved.
- **Reports:** They are best written immediately after the fieldwork period, based on notes from PRA team members. A preliminary report should be available within a week of the fieldwork and the Final Report should be made available to all participants and the local stakeholders or organisations that were involved. Maps, visual diagrams and other practical illustrations should be used, to achieve community understanding and participation in endorsing the plan or report – or to correct wrong information or assumptions.

2. Sampling and Data Validation Techniques in Qualitative Study

In qualitative study, only a sample (that is, a subset) of a population is selected for any given study. The study's research objectives and the characteristics of the study population (such as size and diversity) determine which and how many people to select.

Three of the most common sampling methods used in qualitative research:

- Purposive sampling
- Quota sampling
- Snowball sampling

Purposive sampling: One of the most common sampling strategies. It groups participants according to preselected criteria relevant to a particular research question. Sample sizes, which may or may not be fixed prior to data collection, depend on the resources and time available as well as the study's objectives.

Quota sampling: Here, we decide how many people with which characteristics to include as participants while designing the study. The criteria we choose allow us to focus on people we think would be most likely to experience, know about, or have insights into the research topic.

Snowballing: is considered a type of purposive sampling. In this method, participants or informants with whom contact has already been made use their social networks to refer the researcher to other people who could potentially participate in or contribute to the study.

3. Data Validation

How can the qualitative method be considered scientific if the probability of the values of the investigator creeping into the study is very high? Can the results of qualitative research be generalised to other situations or other individuals?

External Validity of Qualitative Research

External validity is defined as the extent to which the findings of a study may be generalised to another setting or another group of people. If generalisation is the objective, then quantitative and not qualitative methods must be used. However, efforts should be made to generalise findings of qualitative research. The in-depth description of a particular phenomenon is sufficient for the researcher to make generalisations to other individuals or groups. To enable the findings of qualitative research to generalised, there are ways in which validity can be enhanced.

Enhancing Internal Validity of Qualitative Research

The following strategies should be considered by researchers if they wish to enhance the internal validity of their studies.

i. **Triangulation:** This involves the cross-checking of information from different dimensions.

ii. **Longer duration:** Given the time and resources, researchers would like to remain in the field as long as possible collecting data to provide a more accurate picture of the phenomenon observed.

iii. **Member Checking:** To enhance internal validity, a researcher could return to the subjects who were interviewed and check whether what was recorded was what they had said in the interview. For example, "Is this what you meant when you said …..?". Or go back to the subjects was observed and ask them whether what was recorded about their behaviour is accurate. For example, "Did you do this?". Through this process of verification, the internal validity of qualitative research can be enhanced.

iv. **Audit Trail:** Audit trail is the keeping of detailed and accurate records of everything the researcher did and of the data collected. Such records should be documented and organised appropriately for retrieval purposes. These records should be made available as evidence of data collected when challenged as well as validation of the interpretation of data.

4. Qualitative Data Analysis

Qualitative Data Analysis (QDA) is usually based on an interpretative philosophy with the idea of giving meaning to the data collected. For example, when we analyse interview data, we are attempting to identify any or all of:

- Someone's interpretation of the phenomena of the world,
- Why they have that point of view,
- How they arrived at that view,

- What have they been doing,
- How they conveyed their view of their situation,
- How they identify or classify themselves and others in what they say

The process of QDA usually involves two things – writing and the identification of themes. Writing of some kind is found in almost all forms of QDA. Finding themes is part of the overwhelming majority of QDA carried out today. Once data are collected, the steps below are followed for a narrative data analysis and interpretation.

Step 1: Familiarisation

Write down any impressions we have as we go through the data. Also, just because we have data does not mean it is quality data. Sometimes, information provided does not add meaning or value. Or it may have been collected in a biased way. Before beginning any analysis, consider the quality of the data and proceed accordingly.

Step 2: Focus the Analysis

Identify a few key questions that the assessment seeks to answer. Write these down. These questions may change as we work with the data, but will help us get started. Here are two common approaches.

Focus by question or topic, time period or event.

In this approach, we focus the analysis to look at how all individuals or groups responded to each question or topic, or for a given time period or event. We organize the data on the basis of questions to look across all respondents and their answers in order to identify consistencies and differences. Later, we may explore the connections and relationships between questions (topics, time periods, events).

Focus by case, individual or group.

We may want an overall picture of: One case such as one Panchayat or one category of stakeholders.

- One individual such as a first-time elected representative
- One group such as all first-time elected representatives , or all women elected representatives

Rather than grouping these respondents' answers by question or topic, we organize the data from or about the case, individual or group, and analyze it as a whole.

Step 3: Categorize Information

Some people refer to categorizing information as coding the data or indexing the data. However, categorizing does not involve assigning numerical codes as we do in quantitative analysis where we label exclusive variables with preset codes or values.

To bring meaning to the words before us:

- Identify themes or patterns — ideas, concepts, behaviors, interactions, incidents, terminology or phrases used.
- Organize them into coherent categories that summarize and bring meaning to the text. Here are two ways to categorize narrative data — using preset or emergent categories.

Preset categories

We can start with a list of themes or categories in advance, and then search the data for these topics. For example, we might start with concepts that we really want to know about. Or, we might start with topics from the previous reports. These themes provide direction for what you look for in the data. We identify the themes before categorizing the data, and search the data for text that matches the themes.

Emergent categories

Rather than using pre-conceived themes or categories, we read through the text and find the themes or issues that recur in the data. These become our categories. They may be ideas or concepts that we had not thought about. This approach allows the categories to emerge from the data. Categories are defined after we have worked with the data or as a result of working with the data.

Sometimes, we may combine these two approaches. Main categories may be broken into subcategories. Then we will need to re-frame our data into these smaller, more defined categories. Continue to build categories until no new themes or subcategories are identified.

Step 4: Identify Patterns and Connections within and between Categories

As we organize the data into categories — either by question or by case — we will begin to see patterns and connections both within and between the categories. Assessing the relative importance of different themes or highlighting subtle variations may be important to our analysis. Here are some ways to do this.

Within category description

We may be interested in summarizing the information pertaining to one theme, or capturing the similarities or differences in people's responses within a category. To do this, we need to assemble all the data pertaining to the particular theme (category). What are the key ideas being expressed within the category? What are the similarities and differences in the way people responded, including the subtle variations? It is helpful to write a summary for each category that describes these points.

Step 5: Interpretation – Bringing it all together

We must use the themes and connections to explain the findings. It is often easy to get side-tracked by the details and the rich descriptions in the data. But what does it all mean? What is really important? This is what we call interpreting the data —attaching meaning and significance to the analysis.

Points to be noted

There are many tools which could be used to collect qualitative data.

It is important to choose the appropriate and doable tool/s for Panchayati Raj and the context.

In many of these, the moderator/resource person/investigator characteristic and quality are crucial.

CHAPTER 8

Writing a TNA Report

> **In this chapter**
>
> This chapter outlines the various sections in a TNA report and how to write them.

As mentioned in the introductory sections, even in institutes where the TNAs are conducted regularly, a comprehensive report is seldom produced. Thus, the valuable outputs from the TNA are often lost. It is to be understood that the TNA is complete only with a comprehensive report.

Even while the analysis of the field investigations of the TNA is in process, a few of the members of the TNA team could start preparing for writing the TNA report, especially chapters 1 to 5. A tentative structure of TNA report is given below, which could be modified according to the situation in each state.

1. INTRODUCTION

- **Background:** About the institution, its mandates and objectives, the context in which the training is being proposed (for example, the elections to the Panchayats are just over or a new batch of Panchayat secretaries are being posted or two years have passed since the new elected representatives have come in and the government has requested your institute to conduct refresher training etc), who has mandated your institute to conduct training, is it part of any project or programme, who funds it etc.
- **Why TNA**: Substantiate with evidence why you need a TNA. (refer Chapter 3)
- **Objectives:** Specify the objectives of the TNA – For example,

> **OBJECTIVES OF THE TNA ARE:**
>
> - To understand the problems being faced by the ERs and functionaries while performing their tasks.
> - To find out the CB&T gaps
> - To understand the gap the between the existing level of attitude, knowledge, skills and competency
> - To identify the new requirements of ERs and other functionaries as the Panchayati Raj system evolves
> - To map the expectations of the people, state and the central governments on how the Panchayati Raj system should perform

- **What is intended** from TNA: As per the policy and action plan of the institute, there would be certain expectations from the TNA. It is important to mention how the TNA report is going to be used. For example, the TNA would be useful for developing a training policy, design or plan or all of these.

2. STATUS OF PANCHAYATI RAJ

- To set the context, start with the objectives of the 73rd amendment to the Constitution and how the Panchayati Raj is envisaged to function in the country.
- A brief outline of the state legislation on the Panchayati Raj and how the Panchayati Raj is designed in the state.
- How each tier of the Panchayat is functioning.
- Status with regard to the devolution of Functions, functionaries, finances and framework for the Panchayati Raj.
- A brief analysis of policy, procedural and operational environment conduciveness with regard to the Panchayati Raj in the state.

The above mentioned aspects could be worked out from existing literature available in the institute or in the state and country. If these are not already done in the state, the institute could take it up as an assignment of its own, which would be of use later in the training programmes as well as for the state in general.

- **Needs of Related Agencies:** This is related to the context in which we do the TNA. There are states where many development department functions have been transferred to the Panchayats. Also, Panchayats play major roles in the implementation of various centrally sponsored and state sponsored schemes in many states. Depending on these, the capacities of the elected representatives and functionaries of the Panchayats have to be developed. For example, in a state where the Anganwadis are transferred to the Panchayats, the elected representatives should know how to deal with issues of children, adolescents and mothers, understand the objectives of Integrated Child Development Scheme, how to manage an Anganwadi and also how to develop this Anganwadi to improve the quality of life of the child, adolescent and the mother in the village. This section can describe these needs according to the situation in the state.

3. ANALYSING FEEDBACK AND LESSONS SO FAR

As mentioned earlier, along with the field investigations, a brief note could be prepared based on the feedback received so far from the earlier trainings. A brainstorming session among the faculty could be organized to understand the lessons learnt so far. These could be consolidated to form the content of this section.

4. REVIEW OF LITERATURE, CASE STUDIES, LESSONS LEARNT

This section deals with the review of literature, if any, on trainings for Panchayati Raj and case studies. This was done as part fo the desk research discussed earlier.

5. STAKEHOLDER MAPPING

There were two reasons to do the stakeholder mapping – to identify the stakeholders so that their suggestions could be drawn for TNA and to identify the target groups of trainees. In the TNA report, the section would deal with the following:

- Target groups which require training
- Whether each group itself is homogenous, if not we need to have groups within groups
- How each group is positioned with regard to the task analysis

It is to be remembered that there would be the first timers, second timers and the multi timers within the group of elected representatives. They have to be addressed separately. It is the same with PESA and non-PESA areas. This analysis will be based on the desk research done in the earlier part of the TNA as well as the field investigations. Target groups which require training

- Whether each group itself is homogenous, if not we need to have groups within groups
- How each group is positioned with regard to the task analysis

6. QUANTITATIVE AND QUALITATIVE ANALYSIS

Earlier chapters have described how to conduct qualitative and quantitative analysis in detail. The section based on these analyses could be divided into three categories, namely perceptions, needs and gaps. Both the quantitative and qualitative aspects will have to be brought together.

Perceptions

This is based on the perceptions of the various stakeholders who have taken part in the TNA, whether as key informants, FGD participants or respondents to the questionnaire. It could deal with the following suggestive list:

- Needs of the Panchayati Raj system
- Powers and responsibilities of the elected representatives and other functionaries
- Functions devolved to Panchayats and the related activities
- Specific tasks involved in carrying out each of these activities
- Policy and enabling environment
- Expectations from training

Needs

The TNA would have information on various aspects of training needs which would form the basis of this section. In fact, this is one of the key sections with regard to the TNA. Some of the points to be considered while writing this section are:

- Based on the definitions by the higher tiers of governments based on the state legislations and constitutional amendments, the activities to be performed by the elected representatives and other functionaries
- The persons involved/expected in carrying out these activities
- The number of people to be trained and categories
- What are their specific tasks
- Knowledge, skills and attitudinal change required for these tasks

- Matrix of Task analysis vs Person analysis (Refer Chapter 4)
- Topics to be covered (It should evolve from the field investigations as well as from the desk research done earlier)

Gaps

Another key task in a TNA is to finally identify the gaps. These have to be derived from the qualitative and quantitative analyses of field investigations. Many of them are dependent also on various participatory techniques and observations mentioned in the chapter on Qualitative study. The section on Gaps should be able to describe the following:

- Problems being faced by the elected representatives and functionaries in performing their tasks.
- Gap between the existing level of attitude, knowledge, skills and competency.
- New requirements of elected representatives and other functionaries as the Panchayati Raj system evolves.
- Expectations of the people and the state and central governments on how the Panchayati Raj system should perform.

7. KEY FINDINGS

So far, we have written about the findings from the desk research and the field investigations. This will be a long list, with many findings. These have to be prioritized, duplications excluded and sometimes the missing links identified and rectified.

Prioritization could be based on the Organisation-Task-Person analysis model, with the status and requirements of the Panchayati Raj system in the state, followed by mandatory tasks of the elected representatives and functionaries considered. Thus, the section would be a summary of what have been written so far in the report, of course, in a prioritized way. Following points to be definitely considered in this section:

- Status of Panchayati Raj vs. the conducive environment
- Tasks to be performed by the Panchayati Raj system, required attitude, skills and knowledge
- Key stakeholders under consideration, their capacities in terms of attitude, skills and knowledge
- Capacity and training gaps

8. OTHER ASPECTS OF TRAINING

As mentioned in earlier chapters, the TNA would have looked into the following aspects of training and this section will have specific inferences on them from the information elicited through qualitative and quantitative analyses.

- **Pedagogy and Training Methodologies**

TNA should inform the choice of pedagogy and training methodology. The questionnaires and other tools we use should be made use of to probe the kind of pedagogy and training methodology we could use in training programmes.

- **Use of ICT in trainings and Introducing ICT in the context of e-governance**

How ICT can be used in trainings and also how the ICT needs of ERs and functionaries could be addressed.

- **Timings of training**

TNA should also probe the period that the concerned stakeholder would prefer for training. The TNA questionnaire and tools should be able to capture these. Even in the case of other functionaries this is required. For example, many of them cannot leave the office in the month of March, which is the end of the financial year.

- **Duration of training**

Many TNAs consider this issue. Elected representatives are not full time employees and they do have other social and family commitments. So, it is important to probe the possible time period they could be away from such tasks so that they could attend trainings. This again is applicable to the other functionaries too.

- **Venue of training**

TNAs should be able to also elicit the preferences for the venue of training. In many situations, a far off training place will not be suitable for many of the elected representatives.

- **Language**

Almost all the state institutes in the country provide trainings to the Panchayati Raj functionaries in local language. However, there are instances where even within a state there would be linguistic minorities or those who are comfortable only with specific local dialects.

- **Training materials**

TNAs should be able to capture the training materials and handbooks needs of the stakeholders.

9. SPECIAL NEEDS OF CERTAIN CATEGORIES

Due to various socio cultural and developmental reasons, there are categories like, women, scheduled castes and scheduled tribes-elected representatives who would need special training. Even these groups need not be homogenous and the quality of the TNA is dependent on how well these needs are captured. Literacy level too is a factor to be considered.

10. DIFFERENT TIERS

The report should also delve on the specific needs of various tiers of the Panchayats. The training needs would be different for the elected representatives and functionaries of various tiers.

11. CONCLUSION

An overall analysis of the TNA exercise and findings followed by the limitations could be the content for this section. It can also state the need for regular follow up TNAs and impact assessments.

12. ANNEXURES

- TNA methodology used
- Questionnaires
- Tables, Charts
- Team members
- List of FGD participants
- List of Key informants
- Reference
- Acknowledgments

Points to be noted

Each of the section is useful in designing the training design and strategy. It is important to bring together the inferences from desk research and field investigation. Many points like language, timing, modules, handbooks, pedagogy, ICT, duration etc need to be considered and not just the topics for training alone. Be clear on the target group – which tier, which category and sub category.

From Report to a Training Design

In this chapter

The chapter narrates in brief the importance of a training strategy and how to formulate a training plan and design

Having prepared the TNA report, the next tasks are to prepare a training strategy, plan and design.

TRAINING STRATEGY

This is dependent on:

1. Status of the Panchayati Raj
2. Conduciveness of environment for strengthening Panchayati Raj in the state
3. Mandates of the institute

The first two have already been described in the report. However, the training strategy will depend heavily on the mandates of the institute, which will in turn be dependent on its vision and mission. A relook into these aspects will be important to design the strategy.

Many questions which have come up from the TNA report need to be addressed, which are operational or strategy issues. A few examples are given below:

- There is a need to train functionaries of the line departments which were transferred to Panchayats – But, our institute is mandated to provide training only to Panchayati Raj elected representatives and functionaries and these line departments have their own training institutes. Shall we leave them to those institutes or tie up with these institutes to provide training to these officers transferred to the Panchayats?
- The number of elected representatives who require training is large.
- Even among them, there are the first timers, second timers and the multi timers. Their training needs would vary.
- Also, the training needs would be different for the PESA and non-PESA areas.
- The topics to be covered are complex – can we bring in competent resource persons from other institutes or the trainings on specific thematic areas be entrusted with such institutes (like agricultural university for agriculture related aspects)
- What are the resources available, the resource gaps, additional resource mobilization potentials

TRAINING PLAN

Based on the strategy, we move towards the training plan. It should address the following:

- Which are the target groups?
- What are the capacity and training gaps to be addressed?
- What are the objectives of the training/s?
- What are the thematic areas to be covered?
- Module development
- Training material development
- Who will do the training?
- Training of Trainers
- How are they going to do the training?
- When are the trainings proposed?
- Where they going to be held?
- In which language are these trainings to be delivered?
- How many participants in each batch?
- What is the duration of each training?
- Who are the responsible persons to organize the trainings?
- Quality standards
- Feedback system
- Evaluation criteria based on the objectives
- Budget

As you might remember, most of these are discussed in the TNA report and the task is to translate them into the training plan.

Training Design

Along with the training plan, we also design the specific training design. This is dependent on the target groups, thematic areas and courses offered.

- Pre-training activities for the trainees and trainers
- Modules
- Pedagogy
- Training materials
- Training aids

> **Points to be Noted**
>
> The institute should develop a training strategy and plan followed by specific training design, in continuation of a comprehensive TNA.

Part B – Handbook

Section 4
Step by Step Guide

CHAPTER 10

Step by Step Guide for Users

In this chapter

The chapter gives the various steps involved in a TNA. These are derived from the previous chapters.

This step-by-step guide is to help you organize a TNA. It gives you the sequential steps for TNA, based on the Guiding document. You may refer to the appropriate sections of the guiding document for details.

While going through the step-by-step guide, you could also prepare the action plan with timeline and responsibilities.

1. PREPARING FOR A TNA

Policy Decision on TNA

The institute has to take a policy decision on TNAs being made mandatory before training design and plan formulation. This is important and vital for the legitimacy of the TNA.

Team Formation

A team has to be formed within the institute to conduct the TNA. Teams could have sub groups like that for desk research, field investigations etc, but under a core group for overall steering and coordination. The team has to be multi disciplinary considering that the TNA would try to identify attitude, skills and knowledge gaps and the team should have members who could identify such needs. This is a non-negotiable part of the TNA.

Methodology Identification

As discussed in the guiding document, there are many methodologies available. See

- If the methodology suits the Panchayati Raj context in the state
- If it is simple, yet comprehensive
- Compare institutional capacities vs. methodology
- The resource availability and from there on the feasibility

An adapted version of the Organization-Task-Person model given the Guiding document is better suited and desirable in many of our situations.

Training

Training is required for various levels of people involved in the TNA.

- Senior team members can use the guiding document and use it to prepare for the TNA as well as provide training to others.

- Field investigators require specific trainings on various aspects of TNA and this is a non-negotiable part. For example, the persons who conduct FGD require trainings which focus on skills in conducting FGD. The ones who collect the primary data through survey method have to go through hands on training on each of the questions to be filled.
- Specific training is required for those who do the consolidation of data this could be organized as a workshop once the first set of data has been collected.

Action Plan

Based on this step-by-step guide, prepare:-

- A detailed list of activities, followed by
- Timeline and
- Responsibilities

It is desirable to have a proper communication plan also included in the action plan as proper and timely communication has to be given to potential participants of the TNA in various places.
Office machinery of the institute also plays an important role in organising logistics, finances etc and so, these also have to be dealt with in the action plan as a desirable step.

Stakeholder Mapping

As mentioned in the guiding document, list out the internal and external stakeholders. There would be many stakeholders for Panchayati Raj, but there is a need to prioritise them based on the requirements of the TNA. For example, if the TNA is for Gram Panchayat elected representatives, focus on those who are directly involved with Gram Panchayat.
There would be different categories within the same stakeholder group, like that in the case of elected representatives where there would be sub-groups like women, SC/STs and many others. Care should be taken to include all these sub-categories. As mentioned earlier, there would be the first timers, second timers and the multi timers, each of such groups to be addressed separately. There is also the differentiation between PESA and non-PESA areas. The lavel of stakeleder maning depeerds on the particular situation. If it is a very comprehensive TNA, it is essential to have a detailed stakeholder mapping. However, if it is a Rapid TNA, it is negotiable.
Stakeholder mapping becomes important in finalising the population for sampling as well as for identifying respondents and participants for FGDs, key informant interviews etc. and so it is always desirable to have it.

2. DESK RESEARCH

TNA has two basic steps – desk research and field investigations. If you are following the Organization-Tasks-Persons model, many of the matters related to Panchayati Raj (organisation) and Tasks (functions) have to be collected essentially through desk research.

Panchayati Raj in the State

- **Status of Panchayati Raj** has to be assessed. A brief note on the history and evolution of Panchayati Raj in the state followed by how the PRI system is placed in the state is to be prepared.

- **Analysis of the Policy on Panchayati Raj** must be taken up to understand how the recent policies and programmes by the state are having an impact on the functioning of PRIs. For example, if the village health, nutrition and sanitation committee has been made the sub committee of Gram Panchayat, it has high significance in the functioning of the Gram Panchayat in the area of health, nutrition and sanitation. However, this is only a desirable step.
- **Analysis of the various procedures** in the Panchayati Raj deals with the various rules, government orders, circulars and guidelines meant for PRIs. This helps the TNA team to identify the skills required by the ERs and functionaries for carrying out various activities. In this case also, it is negotiable and depends upon the comprehensiveness of the TNA.

Review of Existing Data and Information

- **Analysis of Feedback and Lessons:** There would have been evaluations or feedback from previous training programmes. In many states, training impact studies would have been carried out. There could also be some case studies on elected representatives and functionaries. These may be studied and a consolidated note to be prepared as a desirable step.
- **Existing Data:** There would be existing data on the target groups (ERs, functionaries etc). Depending on the focus of the present TNA, collect data on the number of people to be trained, their sub categories if any. Categorize them as per gender, region, educational status (if data is available).

Organizational Needs Assessment and Task Analysis

This part is prepared on the bases of the desk research mentioned above and is a non-negotiable part of the TNA. All the subsequent steps are dependent on this.

- What is expected from the target group: List out the key activities to be carried out by the target group under consideration. This may vary from tier to tier.

Person Analysis

- What are the levels of knowledge, skills and attitude required for the target group in order to carry out the activites mentioned above? This may be different for each of the sub groups within a target group.
- Also identify any specific requirements for any category.

Matrix of Task Analysis and Person Analysis

A sample format for preparing the Matrix of Task analysis vs Person analysis is given as the annexure in the guiding document. Based on the desk research done so far, prepare this matrix. This will have to be revised once the field investigations are completed. However, this matrix is only to help the process and is not a mandatory step. The team could use other methods of consolidating the analysis.

3. FIELD INVESTIGATIONS

Decision on Data

Which are the data to be collected, both secondary and primary, have to be decided. Please refer to the section on Data in the Guiding document for details. Decision on data is most important and non-negotiable, whereas what is to be decided has to be left to the team.

Sampling

For qualitative and quantitative aspects of the TNA field investigations, sampling has to be done and it s another non-negotiable step in the conduct of TNA. Population for sampling can be decided from the stakeholder mapping done as part of desk research. Details are given in the forthcoming sections.

Identification of Tools

For both qualitative and quantitative studies, the appropriate tools have to be selected. Details are given in the forthcoming sections.

Preparation of Formats

- Sample formats are given as annexure to the guiding document. Based on the target groups under consideration as well as the tools selected, appropriate changes may be made to these questionnaires and formats. There are the interview schedules, questionnaires and guidelines.
- An internal workshop among the TNA team would be useful for preparing the same.

Getting Ready for Field

- Communications: It is mandatory that proper communications have to be sent to the participants and respondents. There would also be local facilitators to whom the timely communication must also be sent.
- Logistics include printing the questionnaire, various formats, organization of FGDs, meetings, travel related aspects etc. Though many of these are part of the administrative work, if they are not addressed properly the entire TNA exercise could end up in difficulties. Thus these too become non-negotiable.

Pre-Test

- Pre-test both qualitative and quantitative tools including questionnaires and guidelines.
- Check for quality inputs
- Identify practical issues

Pre-test a desirable step, but in many cases with experienced team members and Rapid TNA, this can be excluded.

Finalization

With the experience and inputs from the pre-test, finalize the methodology, tools and action plan. An internal team meeting would be useful for this.

Field Investigation

- A decision has to be made on what are the tools to be used both in quantitative and qualitative studies. Various possibilities are given in the Guiding document.
- Considering the situation in most of the training institutes dealing with the PRI training, it would be better to focus on a few of them. Thus, key informant interviews, FGDs with the sample from the target group under consideration and questionnaire-based survey among the sample target group would be the practically feasible/doable possibilities.

Sector Needs Assessment

- The needs of the Panchayati Raj system in general and the expectations from the target groups under consideration can be arrived at through the sector needs assessment. If the planned TNA is not of a comprehensive nature, this could be considered as only a desirable step rather than vital.
- Key informant interviews with the concerned officials (please refer to the annexure on formats of the Guiding document) will be useful and desirable.

Periodic Review

A monitoring mechanism is to be put in place to oversee the process of field investigation, especially with regard to the quality of data collected.

4. DATA AND INFORMATION

In the previous section, a mention has been made of the decisions regarding data, data collection, sampling etc. A few of the details are given below:

Secondary Data Collection

Identify sources of data: The main sources of secondary data related to the PRIs are the Department of Panchayati Raj and the State Election Commission. However, the quality of data varies from state to state.

Determine relevance of secondary data: Assess the potential sources of data, their appropriateness, check the reliability of the data and the source and verify replicability. Details are mentioned in the guiding document.

Decide on data to be collected: What is generally required are the following:

- Basic data on the PRIs (number etc)
- Number and category of ERs, functionaries etc (depending upon the target group under consideration)

Quantitative Data

Development of Interview Schedule and Questionnaire: Sample questionnaires and schedules are provided as annexure to the guiding document.

- Appropriate changes may be made to suit the target groups under consideration.
- Review the objectives of the TNA and its target group while deciding on the questions
- Consider cultural and geographical variations.
- Consider literacy status and educational status of the respondents as well as the field investigators.

Organizing the Questionnaire: Apart from preparing the questions, a few other non-negotiable points also need to be considered:

- For each question, there has to be specific instruction for the respondent as well as the field investigator. This becomes important while consolidating the data and if the data is not collected in a uniform manner, it would be difficult to consolidate as well as analyse the data. In certain cases, there would not be much to be given as an instruction.
- It is desirable to provide sub titles to a particular set of questions so that there is more clarity on why such a question is asked. (See sample questionnaire given as annexure to the Guiding document).
- A final review by the TNA team of the questions for appropriateness and usefulness is desirable.

Quality Check: Pre-testing the questionnaire can give an idea about the quality of data which would be generated and is desirable.

In addition, during the monitoring of the process of field investigation, see that the data is checked for quality (How to check the quality is given in the Guiding document).

Translation: If the questionnaires and various other documents are prepared in English, they must be translated. Ideally these translated documents have to be tested again for their quality, but it is negotiable if the team has the competency of testing the translations internally.

Usually this is done as a two-step process. First stage is to translate the documents into the local language. The second step is to get these documents to be translated back to English by another person. Check whether the new English version is same as that of the original one.

Sampling: This has been discussed in detail in the guiding document. There are many methods. However, for all practical purposes, it would be better to go for a simple stratified sampling or cluster sampling.

- Decide on the number of districts to be covered. Consider regional representation and variations in backwardness and other such aspects depending upon the state, target groups under consideration etc.
- Decide on the total number of respondents.
- Decide on the number of respondents from each sub category of the target group under consideration. (For example, men and women or first timers, second timers and multi timers

etc). Ideally, this should be proportional to the total number of each category in the state. The suggestion would be to have separate TNA for PESA and non-PESA areas. In the same way, it would be better to address the various tiers separately.

- Select the PRIs within the identified districts
- Within these PRIs, identify the respondents as is given under the section on stratified sampling in the guiding document.

Data Analysis: There are certain steps to be taken before analysing the data.

- Cleaning the data: Since the data has been collected by different field investigators so even after the highest level of precautions, there would be errors in entering the data. A thorough check is required to finalize the set of data collected and is non-negotiable.
- Consolidation: The data have to consolidated using the formats given in the annexure to the Guiding document. The team may also modify these formats based on the changes made in the questionnaire.
- See whether the key questions are answered through the data collection.
- Analysis may be done based on the methodology given in the Guiding document as well as based on the objectives and target groups under consideration for the TNA.

Qualitative Data

Decide on Data Collection Techniques: There are many techniques for qualitative data collection. However, the more practical and feasible ones would be the Key informant interviews and Focus group discussions.

Sampling: Both for Key informant interviews and Focus group discussions, the preferable sampling method will be the purposive sampling. Care should be taken not to exclude any sub category of the target groups under consideration as well as the regional variations.

Preparation of Questionnaire: Sample questionnaires and guidelines are given in the annexure to the guiding document. Appropriate changes may be made depending on the target groups. It is important to prepare detailed guidelines to the field investigators who conduct the interviews or moderate the discussions.

Selection of Participants: Based on sampling, specific participants are selected for the Key informant interviews and Focus group discussions.

Key Informant Interviews: Actual conduct of the interviews based on the Guiding document. It would be better to have the senior members of the TNA team leading the interviews with senior officials.

Focus Group Discussions: Care should be taken to ensure that the moderators of the FGDs are well trained and have adequate skills to moderate such discussions. Recording of the discussions have to be given importance. If it cannot be audio recorded, adequate arrangements should be made to capture the entire discussion.

Data Validation: External and internal validity of the data collected through qualitative methodologies have to be done. Please refer to the guiding document on how this could be done.

Data Analysis: There are a few steps suggested in the guiding document:

- Familiarisation
- Focus the analysis
- Categorize the information
- Identify patterns and connections
- Interpretation

5. CONSOLIDATION AND ANALYSIS

- Data and information have been collected through desk research, qualitative method and quantitative method. Each of them has to be consolidated.
- Later these may be brought together by using sample formats and matrix given in annexure to the guiding document.
- Analysis of the data and information could be done based on these as well as the objectives and target groups under consideration.
- A workshop to finalize the analysis would be appropriate where the team members as well as invited experts could contribute further to the TNA.

6. PREPARING THE REPORT

The chapter on Writing a TNA Report gives an outline of the report. Based on the analysis and the desk research done, the report could be completed.

Points to be noted

While the chapter focuses on various steps involved in a TNA, it is important for the institute to make decisions on various aspects like the target group, methodology, sampling techniques, tools to be used and how the TNA report is to be used.

CHAPTER 11

Rapid TNA

In this chapter

In many situations, the training institute will not have the time and resources to conduct a detailed and comprehensive TNA. The chapter describes how a Rapid TNA could be conducted. In this case, the time to be taken will not be more than three to seven days.

Many a time, training institutes will have to undertake training programmes within a short period. This does not allow the conduct of a detailed TNA. In such situations, they could adopt the Rapid TNA. A few tips are given below. Depending on the time availability and resources, this could be expanded based on the step-by-step guide and the appropriate sections of the Guiding document for details.

1. PREPARING FOR A RAPID TNA

Since the Rapid TNA does not allow much scope for field-based investigations, the desk research and internal consultations would be very crucial.

Policy Decision on TNA

As in the case of the detailed TNA, the institute has to take a policy decision on the Rapid TNA and its usefulness.

Team Formation

A team has to be formed within the institute to conduct the TNA. Specific responsibilities, like desk research, internal consultations, FGDs, consolidation and analysis and report writing have to be stored. As in the previous case, the team has to be multi disciplinary.

Methodology Identification

Here the methodology is simple. We need to do the desk work, internal consultations with the faculty members of the institute and FGD/s with the key stakeholders. While doing the desk research, you could use an adapted and simplified version of the Organization-Task-Person model given in the guiding document.

Action Plan

An action plan with timeline needs to be prepared so that the TNA could be completed in time and with efficiency.

- A detailed list of activities, followed by

- Timeline and
- Responsibilities

2. DESK WORK

A brief analysis of the status of Panchayati Raj in the state followed by specific characteristics of the target group under consideration is required. This includes the total number of persons to be trained, their literacy status, previous experiences in Panchayati Raj etc if available from Election Commission or any other studies. Otherwise, one has to follow the population statistics and consider the target groups as a cross section of the population. Previous post – training evaluations have to be used as the major source of data.

Based on the literature and studies available, prepare a matrix which considers what is required from the target group under consideration as per the Act and Rules, the possible requirements in capacities etc. This matrix forms the basis of the Rapid TNA, which will be completed through the inputs from other consultations and FGDs.

3. CONSULTATIONS

Internal Consultation

The best source of information on the training needs of the target group is the faculty members/ trainers who have been conducting training programmes. A moderated consultation with them is a major step in Rapid TNA. The consultation has to probe the understanding about the tasks and responsibilities of the target group as per the Act and Rules, existing capacities in terms of attitude, skills and knowledge, gaps and what are the possible needs. This could then be included in the matrix already prepared.

FGDs

Usually, Rapid TNA uses a piggy back method of organising FGDs among the stakeholders who would have gathered for other events or programmes. If not feasible, organize FGDs separately in nearby locations where they could brought together. Usually around 8-10 participants would be required. All other principles mentioned under the section on FGDs in the guiding document is applicable for conducting the FGD. The semi structured questionnaire given as annexure in this guiding document could be adapted to aid the moderator. Here too, the approach would be to understand the requirements as per the Act and Rules, what they are capable of doing now and what they would like to receive as part of training. These inputs could also be populated in the matrix prepared earlier.

4. CONSOLIDATION AND ANALYSIS

Unlike in the detailed TNA, in Rapid TNA the information gathered feeds into the matrix or the note at concurrent way and so by the time the FGDs are completed the materials for analysis are ready.

An internal discussion based on the materials prepared will be able to provide a prioritized list in terms of:

- Requirements from the target group as per the Act and Rules
- Field level practical requirements
- Requirements for future
- Existing level of capacities
- Specific training needs in terms of attitude, knowledge and skills

5. PREPARING A NOTE

Based on the list mentioned above, a note can be prepared on the training needs of the target group under consideration and what the institute could provide. Later, an internal discussion among the faculty members could finalise the training plan including the modules and training materials.

Points to be noted

Since the Rapid TNA is to be conducted within a short period, it involves a lesser number of steps. But, it requires detailed planning which must be completed within the short period while ensuring quality.The team is important, representative sample of the respondents is crucial and questionnaire has to be simple and adequate to bring out all the relevant points.

Section 5
Annexures

Sample Formats, Questionnaires and Guidelines

In this chapter

This chapter gives a series of sample formats, questionnaires and guidelines for data collection. Please note that these are only samples and in each case, they have to be re-worked based on the context, target groups and resources.

1. MATRIX OF TASK ANALYSIS vs. PERSON ANALYSIS (DESK RESEARCH)

No.	Functions as per XI Schedule	Activities	Tasks	Attitude (A), Skills (S) and Knowledge (K)*			
				Sarpanch	Members	Secretary	Other Functionaries
1		1	1				
			2				
		2	1				
			2				
2		1	1				
			2				
		2	1				
			2				
3		1	1				
			2				
		2	1				
			2				

**Write A, S or K in the boxes*

2. FORMAT FOR CONSOLIDATING SECONDARY DATA FOR TNA – ELECTED REPRESENTATIVES

District	Total ERs	Men	Women	Sarpanches	Illiterate	Elected more than once	Previous trainings attended	Other than state language
1								
2								
3								
4								
5								
6								
7								
8								
Total								

This will provide region-wise information also.

3. FORMAT FOR CONSOLIDATING SECONDARY DATA FOR TNA – FUNCTIONARIES

Designation 1							
District	Total functionaries in designation 1	School education	Degree and above	Number who have attended previous trainings over the last one year	Number of years in service		
D 1					1	1 to 5	> 5
D 2							
D 3							
D 4							
D 5							
D 6							
D 7							
D 8							
Total							

4. FIELD INVESTIGATION QUESTIONNAIRE FORMAT for ERs (GP and IP)

As there are various categories of the ERs in different tiers of local governments, it is important to have separate questionnaires for each of these categories and tiers. Many of the questions would be similar, but there are also specific questions to be asked to each of them. The following sample format is meant for a Gram Panchayat Sarpanch and other ERs. This can also be suitably adapted to be used for Intermediate Panchayats.

Part 1 General Information (Non-negotiable)				
1. Panchayat				
2. Name				
3. Age		4. Sex		
5. Educational status	Illiterate	School	Higher Education	
6. Position	Sarpanch/Standing Committee/Member			
7. No. of times elected				
8. No. of trainings on Panchayati Raj attended so far				
Part 2 Do you know about (Can be adapted to the situation and negotiable)				
9. All the functions of the Gram Panchayat				
10. The funds (sources and amount) received in your Gram Panchayat				
11. The roles of Gram Panchayat Secretary				
12. The other functionaries of the Gram Panchayat and their roles				
13. What is expected from you in Gram Panchayat				
14. What are your powers in Gram Panchayat				
Part 3 Who gives you information on (Negotiable)				
15. Day to day activities of the Gram Panchayat				

16. Various powers and responsibilities of Gram Panchayats and ERs				
17. Various schemes and programees				
Part 4 Activities (Can be adapted to the situation – negotiable)				
18. Who prepares the plan of the Gram Panchayat?				
19. What is your role in planning (tick)?	Suggests ideas	Attends meetings	Participates in the actual preparation	Participates in implementation
20. Have you attended trainings on the PRIs before becoming an ER				
21. If yes, where	Local	Block	District	State
22. How many trainings have you attended after becoming ER?				
23. Total number of days of training				
Which institute gave you training (tick)?	SIRD	ATI	NGO	Others
24. Was it useful (If not, why)?				
25. Which one of them was the most useful?				
26. Were you able to use the information shared in the training in your role as ER				
27. What prevents you from using these information(tick)				

28. Which are the topics dealt in these training?	Incomplete	No facilities in Panchayat	No one to support	No body to ask doubts	Lack of cooperation		
29. Which are the topics in which you would like to have training?							
30. Where do you want to have training (tick) ?	District		State				
31. How long could the training be (tick)?	1 day	3 ays	1 week	> 1 week			
32. What kind of training would you like to have (tick) ?	Class room teaching/ Lectures	Activities	Audio visual	Group work interactive discussion	Workshop seminar	Explore trips	Hands on training
33. What are the constraints you face in attending the training ?							

5. FIELD INVESTIGATION QUESTIONNAIRE FORMAT or FUNCTIONARIES (GP & IP)

As there are various categories of functionaries in different tiers of local governments, it is important to have separate questionnaires for each of these categories and tiers. Many of the questions would be similar, but there are also specific questions to be asked to each of them. The following sample format is meant for a Gram/intermediate Panchayat Secretary (known in each state by different names).

Part 1 General Information (Non-negotiable)

1. Gram Panchayat					
2. Name					
3. Age		4. Sex			
5. Educational Status	School	Higher Secondar y	Graduation and above		
6. No. of years in service (tick)	1	1 to 5	> 5		
7. Previous trainings attended (tick)	1	2	3	Several	
Part 2 Do you know about (Can be adapted to the situation – negotiable)					
8. All the functions of the Gram Panchayat					
9. The funds received / receivable in the Gram Panchayat where you are working					
10. The roles of Gram Panchayat Secretary					
11. The other functionaries of the Gram Panchayat and their roles					
12. What is expected from you in the Gram Panchayat?					
13. What are the powers of ERs in a Gram Panchayat?					
14. How reports are to be sent to higher authorities?					

15. What are your powers in Gram Panchayat?					
Part 3 Who gives you information on (negotiable)					
16. Day to day activities of the Gram Panchayat					
17. Various powers and responsibilities of Gram Panchayat					
18. Various government orders					
19. Formats, audits, accounting etc					
20. Various schemes and programs					
Part 4 Activities (Can be adapted to the situation – negotiable)					
21. Who prepares the plan of the Gram Panchayat					
22. What is your role in planning?	Suggests ideas	Attends meetings and takes down notes	Participates in the actual preparation	Supervises the actual implementation	
23. Have you attended any induction training?					
24. If yes, where?	Local	Block	District	State	
25.How many trainings have you attended after joining the PR?					
26. Total number of days of training (tick)?	1 to 5	6 to 10	11 to 30	> 30	
27. Which institute terained you (tick)?	SIRD	ATI	NGO	Others	
28. Was it useful?					
29. Which one of them was most useful?					

30. Were you able to use the information shared in the office?							
31. What prevents you from using these information (tick)?	Incomplete information		No facilities in Panchayat	No one to support	No body to ask doubts		Lack of cooperation
32. Which are the topics dealt in these training?							
33. Which are the topics in which you would like to have training?							
34. Where do you want to have training?	Local		Block	District	State		
35. How long could the training be?	1 day		3 days	1 week	> 1 week		
36. What kind of training would you like to have (tick)?	Class room teaching / Lectures	Activities	Audio visual	Group work interactive discussion	Workshop / seminar	Explore trips	Hands on training
37. What are the constraints you face in attending the training?							

6. FIELD INVESTIGATION QUESTIONNAIRE FORMAT for ERs (ZP)

As there are various categories of ERs in different tiers of local governments, it is important to have separate questionnaires for each of these categories and tiers. Many of the questions would be similar, but there are also specific questions to be asked to each of them. The following sample format is meant for the Chairperson/Standing Committee member of a Zilla Panchayat.

Part 1 - General Information (Non-negotiable)				
1. Zilla Panchayat (ZP)				
2. Name				
3. Age		4. Sex		
5. Educational status	Illiterate	School	Higher Education	
6. Position	Chairperson/Standing Committee/Member			
7. No. of times elected				
8. No. of trainings on the Panchayati Raj attended so far				
Part 2 - Do you know about (Can be adapted to the situation and negotiable)				
9. All the functions of the Zilla Panchayat				
10. The funds (sources and amount) received in your Zilla Panchayat				
11. The roles of Zilla Panchayat Secretary				
12. The other functionaries of the ZP and their roles				
13. What is expected from you in Zilla Panchayat				
17. Various schemes and programs				
Part 3 - Activities (Can be adapted to the situation – negotiable)				
18. Who prepares the plan of the Zilla Panchayat and DPC?				
19. What is your role in planning (tick)?	Suggests ideas	Attends DPC meetings	Participates in the actual preparation	Participates in implementation
20. Have you attended trainings on PRIs before becoming an ER?				
21. If yes, Where?	Local	Block	District	State

22. How many trainings have you attended after becoming an ER?							
23. Total number of days of training? Which institute gave you training (tick)?	SIRD	ATI	NGO		Others		
24. Was it useful (If not, why)?							
25. Which one of them was the most useful?							
26. Were you able to use the information shared in the training in your role as the ER?							
27. What prevents you from using these information (tick)?	Incomplete	No facilities in Panchayat	No one to support		No body to ask doubts		Lack of cooperation
28. Which are the topics dealt in these training?							
29. Which are the topics in which you would like to have training?							
30. Where do you want to have training (tick)?	District		State				
31. How long could be the training (tick)?	1 day	3 days	1 week		> 1 week		
32. What kind of training would you like to have (tick)?	Class room	Activities	Audio visual	Group work/ interactive discussion	Workshop seminar	Explore trips	Hands on training
33. What are the constraints you face in attending the training?							

7. FIELD INVESTIGATION QUESTIONNAIRE FORMAT for FUNCTIONARIES (ZP)

As there are various categories of functionaries in different tiers of local governments, it is important to have separate questionnaires for each of these categories and tiers. Many of the questions would be similar, but there are also specific questions to be asked to each of them. The following sample format is meant for a ZIlla Panchayat Secretary (in each state known by different names).

Part 1 General Information (Non-negotiable)				
1. Zilla Panchayat				
2. Name				
3. Age		4. Sex		
5. Educational status	School	Higher Secondar y	Graduation and above	
6. No. of years in service (tick)	1	1 to 5	> 5	
7. Previous trainings attended (tick)	1	2	3	Several
Part 2 Do you know about (Can be adapted to the situation – negotiable)				
8. All the functions of the Zilla Panchayat				
9. The funds received / receivable in the Zilla Panchayat where you are working				
10. The roles of Zilla Panchayat Secretary				
11. The other functionaries of the Zilla Panchayat and their roles				
15. What are your powers in Zilla Panchayat?				
Part 3 Activities (Can be adapted to the situation – negotiable)				
21. Who prepares the plan of the Zilla Panchayat and DPC?				
22. What is your role in planning?	Suggests ideas	Attends meetings and takes down notes	Participates in the actual preparation	Supervises the actual implementation
23. Have you attended any induction training before becoming ZP secretary?				
24. If yes, where?	District		State	

25. How many trainings have you attended after joining the PR department?							
26. Total number of days of training (tick)	1 to 5	6 to 10		11 to 30		> 30	
27. Which institute gave you training (tick)?	SIRD	ATI		NGO		Others	
28. Was it useful ?							
29. Which one of them was most useful ?							
30. Were you able to use the information shared in the office?							
31. What prevents you from using these information (tick) ?	Incomplete information	No facilities in Panchayat		No one to support		No body to ask doubts	
32. Which are the topics dealt in these training?							
33. Which are the topics in which you would like to have training?							
35. How long could be?							
the training ?	1 day	3 days		1 week		> 1 week	
36. What kind of training would you like to have (tick)	Class room teaching / Lectures	Activities	Audio visual	Group work/ interactive discussion	Workshop / seminar	Explore trips	Hands on training
37. What are the constraints you face in attending the training.							

8. KEY INFORMANT INTERVIEWS – Sample Questionnaire for Senior Government Officers

Many senior government officials are directly or indirectly involved in the Panchayati Raj processes. Important among them are the BDOs, DPOs, DRDA POs etc.

This sample questionnaire is not to be used as interview questions like a survey, but to be used as a semi structured questionnaire to guide you in the interview.

Please note that there are different tiers of Panchayats and the questions have to be restructured to suit the tiers under consideration.

Part 1 General Information (Non-negotiable)

Name	Title	Age	Gender
Designation	Department	Contact information	

Part 2 Specific Questions

Questions in italics are negotiable and could be chosen based on the situation, where as the others are essential)

1. What is the status of Panchayati Raj in the state vis a vis funds, functionaries and functions?
2. How regular is your interaction with the PRIs?
3. Is this interaction with the elected representatives or functionaries or both?
4. In what all aspects do you interact with the Panchayats?
5. How do you rate the functioning of PRIs in the state?
6. Do you have interaction with the PRI representatives or functionaries?
7. How do you rate the functioning of the PRI representatives and functionaries?
8. What are the major limitations of the PRI representatives which prevent them from performing their roles effectively?
9. How can they overcome these limitations?
10. What are the capacity gaps for functionaries?
11. How can we address them?
12. What is the kind of training do they require to handle these difficulties?
13. What could be the contents of these training programmes, especially those which should not be missed out?
14. At what level would the training serve the purpose most – state, district, block, or village level? Why?
15. Are there any capacity difference between women and men elected representatives?
16. Do you find any difference in the training needs of men and women PRI representatives?
17. What are the main training needs of the PRI representatives and functionaries at the following levels?

- General competency level
- Knowledge on Panchayati Raj, policies, procedures and practice
- Skills in fulfilling the functions
- Attitude
- Other managerial skills like leadership, communication, conflict management etc
- Sensitisation to socio-cultural needs of the society

18. How do you rate the existing training programmes for the PRI ERs and functionaries?
19. Are the present training arrangements adequate? If not, then why?
20. What are the changes required to improve the quality and effectiveness of training?
21. What is your view of using IT/video conferencing in the training of PRI representatives?
22. In your view, what are the special requirements of illiterate PRI representatives?

9. KEY INFORMANT INTERVIEWS – Sample Questionnaire for Trainers

Such a Key informant interview is suggested only in states where the trainers are drawn from outside the SIRD/ATI system. Within the institute system, an internal discussion among the faculty members (an FGD) could give information.

Here again, the concerns of each tier of the PRIs have to be addressed and the questionnaire has to be restructured appropriately.

Part 1 General Information (Non negotiable)

Name	Title	Age	Gender
Designation	institute / Organization	Contact Information	
Areas of expertise		Sector experience	

Part 2 Specific Questions

(Questions in italics are negotiable and could be chosen based on the situation, where as the others are essential)

1. What is your level of interaction with the PRIs in the state?
2. What do you think is the status of the Panchayati raj in the state vis a vis funds, functionaries and functions?
3. For how long have you been providing training to the ERs and functionaries?
4. From where did you get the training to be a trainer for Panchayati Raj?
5. What are the major limitations of PRI representatives which prevent them from performing their roles effectively?
6. How can they overcome these limitations?
7. In training ERs and functionaries, which thematic areas do you focus most?
8. Is there any reason for this?
9. What teaching methodologies do you follow to train them?
10. Is there any difference in using training methodologies depending upon the category of trainees?
11. How responsive are the ERs and functionaries in training sessions?
12. Do they demand training for specific topics?
13. What do they want to learn most?
14. What is that in which they are least interested?
15. Where do they lack most as an ER or functionary?
16. What is the kind of training that they require in handling these difficulties?
17. What could be the contents of these training programmes, especially those which should not be missed out?

18. At what level would the training serve the purpose most – state, district, block or village level? Why?
19. Are there any capacity difference between women and men elected representatives?
20. Do you find any difference in the training needs of men and women PRI representatives?
21. Do you see any difference in the interest shown by men and women ERs towards training?
22. What are the main training needs of PRI representatives and functionaries at the following levels?
    - General competency level
    - Knowledge on Panchayati Raj, policies, procedures and practice
    - Skills in fulfilling the functions
    - Attitude
    - Other managerial skills like leadership, communication, conflict management etc
    - Sensitisation to socio-cultural needs of the society
23. How do you rate the existing training programmes for PRI ERs and functionaries?
24. Are the present training arrangements adequate? If not, then why?
25. What changes are required to improve the quality and effectiveness of training?
26. What is your view of using IT/videoconferencing in training of the PRI representatives?
27. In your view, what are the special requirements of the illiterate PRI representatives?
28. In the context of various flagship programmes being implemented b/through PRIs, what changes are required in training?
29. What approach is required to train the illiterate ERs?

10. FOCUS GROUP DISCUSSIONS – Sample Guidelines

Key Questions for FGD with ERs

As there are various categories of ERs in different tiers of local governments, it is important to have separate FGDs for each of these categories and tiers. Many of the questions would be similar, but there are also specific questions to be asked to each of them. The following sample format is meant for Gram Panchayat members.

These are only guidelines to aid you in moderating the discussion and not a survey questionnaire. So, treat them as negotiables.

State	Gram Panchayat	Date
List of Participants (annex)		
Investigator	Venue	Contact Information

1. What do you think is the status of Panchayati Raj in the state vis a vis functions, funds and functionaries?
2. What are the key activities your Gram Panchayat perform?
3. What are the functions you undertake as ER in your Gram Panchayat?
4. What do you think are the major activities of the ERs in a Gram Panchayat?
5. Did you take any preparation to handle al these activities before you became PRI representative?
6. What do the people expect from the Gram Panchayat elected representative?
7. What do the officials expect from the Gram Panchayat elected representative?
8. What do the elected members of Gram Panchayat expect from Heads of Panchayat (Sarpanch)?
9. Were you prepared to handle all these activities before you became a Gram Panchayat elected representative?
10. How did you acquire the needed skills/competencies?
11. Do you think you can manage the responsibilities as ERs with the present skills and knowledge?
12. After becoming an ER, did you receive any training to perform all the activities you have to take up? Where?
13. Are you satisfied with the training? Why?
14. What kind of knowledge does an ER require to work effectively?
15. In your opinion, what should be the changes required in training programmes?
16. Where can this training be given more effectively – at the village level, Block level, District level or State level? Why?
17. Could you remember some situations in which an ER could do better because he/she had training?
18. Could you remember some situations in which an ER could not handle a problem better because he/she did not have training?

19. Do you need any other information/material/support from training programmes to function effectively?
20. How familiar you are with the special provisions for women, disadvantaged social groups and Scheduled areas?

(For Women ERs only)

21. Are women ERs as much accepted as men in the Panchayat and communtiy?
22. Do women ERs have more stress than men?
23. What training do women require to cope with this stress?
24. Do women PRI Representatives require some special skills to work as ERs?
25. Do they require special support from the government?
26. Where should they be called for training? Why?

11. FOCUS GROUP DISCUSSIONS – Sample Guidelines

Key Questions for FGD with functionaries

As there are various categories of functionaries in different tiers of local governments, it is important to have separate FGDs for each of these categories and tiers. Many of the questions would be similar, but there are also specific questions to be asked to each of them. The following sample format is meant for Gram Panchayat Secretaries (known by different designations in states). These are only guidelines to aid you in moderating the discussion and not a survey questionnaire. You may adapt them to suit the local situation and so they are negotiable.

State	Gram Panchayat	Date
List of Participants (annex)		
Investigator	Venue	Contact Information

1. What are the key activities in your Gram Panchayat?
2. What are the recent changes in the functioning of Gram Panchayats in your state (after 73rd amendment)?
3. What do you think are the major activities of the functionaries?
4. Are you able to manage the activities / responsibilities?
5. How did you acquire the needed skills/competencies?
6. Did you receive any training to perform all the activities you have to take up? Where?
7. Do you receive regular trainings?
8. Are you satisfied with the training? Why?
9. Have you ever felt that because of training I could do this?
10. Have you ever felt that if I had training, I could have done it better?
11. How is your interaction with ERs in the Gram Panchayat?
12. What do they expect from you to do in the Gram Panchayat?
13. What do villagers expect from the Gram Panchayat Secretary?
14. In your opinion, what are the knowledge gaps you face in your day to day functioning in the Gram Panchayat?
15. How do you usually overcome this knowledge gap?
16. What kind of training do you wish to have?
17. In which thematic areas?
18. How familiar you are with the special provisions for women, disadvantaged social groups and Scheduled areas?

12. FORMAT FORCONSOLIDATION OF FGDs with ERs and FUNCTIONARIES

Though this consolidation format covers all the three tiers, it could be used separately for each of the tiers depending upon the focus of the TNA.

State	Number of DPs		Number of IPs		Number of GPs	
State			District Panchayat			
List of Participants (annex)						
Investigator	Date		Venue		Contact Information	
PRI and Constituency	Knowledge Needs (Specify)	Skills Needs (Specify)	Attitude Needs (Specify)	Delivery Format (Classroom, Exposure visit/Distance Learning)	Duration / Timing / Frequency	Others
District Panchayat						
President						
Members						
Secretary						
Other functionaries, Specify						
Intermediate Panchayat						
President						
Members						
Secretary						
Other functionaries, Specify						
Gram Panchayat						
President						
Members						
Secretary						
Other Functionaries, Specify						

13. FORMAT FOR CONSOLIDATION OF FGD / KII FINDINGS AS PER FUNCTIONS AND ACTIVITIES

Based on secondary sector status assessments, progress of state and Schedule XI

Though 29 subjects have been earmarked in the Schedule XI, many states are yet to transfer all of them to the PRIs. Also, the relevance and significance of these functions for the PRIs vary from state to state and so, these have to be prioritized according to the state situation.

For different tiers of PRIs

Function	Role of PRI (Activities/ Tasks)	Elected Leaders	Officials	Other functionaries (K-S-C)	Training Gaps	Areas to be strengthened
1. Drinking Water						
2. Roads, culverts, bridges, ferries, waterways and other means of communication						
3. Education including primary and secondary schools						
4. Health and sanitation including hospitals, primary health centres and dispensaries						
5. Women and Child Development						
6. Agriculture including agricultural extension and development						
7. Minor irrigation, water management and watershed						
8. Land improvement, implementation of land reforms,land consolidation and soil conservation						
9. Rural Housing						

Function	Role of PRI (Activities/ Tasks)	Elected Leaders	Officials	Other functionaries (K-S-C)	Training Gaps	Areas to be strengthened
10. Minor Forest Produce						
11. Rural electrification including distribution of electricity						
12. Poverty alleviation programmes						
13. Welfare of the weaker sections and in particular of the SCs and STs						
14. Public Distribution System						
15. Social forestry and farm forestry						
16. Animal Husbandry, dairying and poultry						
17. Fisheries						
18. Small scale industries including food- processing industries						
19. Khadi, village and cottage industries						
20. Fuel and Fodder						
21. Non-conventional energy sources						
22. Technical training and vocational education						
23. Audit and non-formal education						
24. Libraries						
25. Cultural activities						
26. Markets and fairs						
27. Family welfare						

Function	Role of PRI (Activities/ Tasks)	Elected Leaders	Officials	Other functionaries (K-S-C)	Training Gaps	Areas to be strengthened
28. Social Welfare including welfare of the handicapped and mentally retarded						
29. Maintenance of community assets.						

14. FORMAT FOR CONSOLIDATION OF FGDs / KIIs

Based on secondary sector status assessment, progress of the state for different tiers of PRIs

Duties	President K-S-C	Members K-S-C	Secretary K-S-C	Other Function-ary K-S-C	Training Gaps (Listing)	Aras to be strength-ened (Listing)
To prepare, finalize and execute schemes and activities relating to subjects devolved on the District Panchayat and schemes assigned by the Central and State Governments;						
To prepare District Panchayat level plans taking into account plans of different intermediate Panchayats and Gram Panchayats in conformity to the priorities set by the state and national planning;						
To guide, supervise and monitor implementation of schemes being implemented through Intermediate Panchayats and Gram Panchayats						
To coordinate and oversee the functioning of any other agency which may be existing or established for development and social justice measures in consonance with the statutory provisions and role of the District Panchayat.						
To promote capacity building measures for elected representatives and the staff working in or associated with the Panchayati Raj Institutions; and						
To ensure regular and comprehensive maintenance and auditing of accounts.						
Staff in line departments should be placed under administrative control of District Panchayat.						

Pre-Test based Rapid TNA Report

1. INTRODUCTION

The State Government has requested the SIRD (anonymous) to organize training programmes for the women Sarpanches who have completed two years in office. When elected, they were trained in three stages, allotting a total of 10 days for each of them. These were organized at the district and block levels. Now that they have been in office for two years and no assessment of their performance or training needs have been done so far, there is a need to conduct a TNA before the training is planned and designed. However, the immediate task is to cover the entire group of women Sarpanches within the next three months, which prevents the SIRD from conducting a detailed and comprehensive TNA and hence the Rapid TNA.

2. OBJECTIVES

- Objectives of the TNA are:
- To understand the problems being faced by the EWRs to perform their tasks.
- To find out the CB&T gaps.
- To understand the gap between existing level of attitude, skills, knowledge and competency.
- To identify the new requirements of EWRs who have completed two years in office.

The SIRD has decided that a training plan and design would be done based on the results from the Rapid TNA.

3. STATUS OF PANCHAYATI RAJ

The State Panchayati Raj 1993 provides the backbone for all changes and development in the sphere of Panchayats in the state in recent years. The Act provided for the structure of the Gram Sabha, structure of the Gram Panchayat, Janpad Panchayat, Zila Panchayat, their functions, powers like taxation etc. Successive amendments in the Act like making it mandatory to have one-third of the quorum as women members and barring any Member of Parliament (MP) or Member of the Legislative Assembly (MLA) who represents a completely urban constituency from being a member of the District or Block Panchayat and many other such amendments points to the fact that there have been pro-active measures towards strengthening of the Panchayati Raj system in the state. The state Panchayat Act also provides for Standing Committees of the Gram Panchayats and Gram Sabha. But the convening of Mahila Sabhas before the Ward Sabha/Gram Sabha meetings has not been introduced in this state.

The State Act was amended in later thus establishing Gram Sabha in every village instead of just at the Gram Panchayat level along with a Gram Kosh (village fund) in every Gram Sabha including four parts: (i) Anna Kosh (food), (ii) Shram Kosh (labour), (iii) Vastu Kosh (Goods) and (iv) Wage

Kosh (Cash). Eight committees of each Gram Sabha were made with up to eight members each. The funds received by Gram Panchayats were handed over to the Gram Sabha and its committee. Elected Women Representatives (EWRs)

The State has now reserved 50% of seats in PRIs for women. Unfortunately, the PRI system is not separate from the social structure of the state, where women suffer immense discrimination in the public sphere (and in the economic and social ones as well). The State has a highly patriarchal societal structure, which is reinforced by the largely feudal history. Women are denied the right to own resources and even access to these, even though they contribute significantly to the family income.

The 20,000 Gram Panchayats are run by 3,35,000 elected representatives, of whom 1,82,000 are women. They constitute 54.4% of the total number. Similarly, 52% of the total representatives are women each in the case of Janpad and Zilla Panchayat. While this is a commendable achievement, it poses a huge challenge for capacity building. This is also crucial as many of the centrally sponsored programmes and state government run activities are now transferred to the Gram Panchayats.

4. REVIEW OF LITERATURE, CASE STUDIES, LESSONS LEARNT

Issues and gaps as pointed out in the Report on 'State Capacity Assessment and Strategic Plan for Implementation of the NCBF' by Agency X:

- Lack of visual and graphic materials amongst those used for training – all documents / handouts were textual and in fairly legalistic language. This prevents a large proportion of elected members from benefitting from the distributed materials.
- Insufficient use of approaches like group exercise, role plays, visits to beacon panchayats etc. although the need for such techniques were greatly felt.
- Too much adherence to basic features of 73rd Constitutional Amendment Act, provisions in the State
- Act etc. but still insufficient focus on the functional aspects such as planning etc.
- No such initiative to address the functional literacy component of NCBF, which is urgent keeping in view the huge number of illiterate and semi-literate PRI representatives.

Issues and gaps in Capacity Building of PRIs as pointed out by the study done by Agency Y:

- Training facilities as well as resource persons for representatives of Gram Panchayats were inadequate as compared to those for ZP and ZP representatives despite of the fact that GP representatives formed 95% of the total PRI workforce.
- Panches / ward members of GPs were trained for a period of only 3 days which was highly insufficient.
- The impact of training on the ZP and JP members were better as compared to those on GP members. Hence the post training feedback provided by the GP members indicated 'hardly any substantial change in their capacity and awareness' and emphasized on 'conduct of more training programmes'.
- The training materials developed for ZP and JP members were well taken whereas those for GP members did'nt served the purpose too well as more than 70% of GP reps. are either illiterate or semi literate or educated till primary.

- On the other hand, more than 83% of GP secretaries are either educated till the 10th or the 12th and hence for them the training materials were relevant.

5. STAKEHOLDER MAPPING

In this Rapid TNA, the focus was on EWRs – the Women Sarpanches. However, even within EWRs, there are specific groups like literates vs. illiterates, disadvantaged communities, first timers vs. multi timers etc. How each group is positioned with regard to the task analysis is important. There are also the PESA and non-PESA areas.

6. DATA COLLECTION

The Rapid TNA used qualitative and quantitative methods. Being a Rapid TNA, the interviewees and participants were selected through a piggy back approach where they had assembled for another training programme.

a. Focus Group Discussion

There were two batches of FGDs with 10 EWRs in each of them. One was moderated by a male expert while the other was moderated by a female local expert.

Key points noted from the FGDs:

- A total of 10 days of training has been imparted to the EWRs (Sarpanches) and all trainings have been at the block level.
- They have been made aware about schemes like pension, IAY, various State government schemes related to social welfare etc.
- However they are not aware about matters like how to issue a certificate like death certificate etc.
- The Sarpanches are not aware about their honorarium / salary and very few of them have been able to confirm the receipt of their dues since they have been elected.
- There are Gram Panchayats which does not even have a proper building and meetings are held under a tree or at chaupals.
- One of the major issues that they face in their working is meeting the expectation of the villagers (members of the Gram Sabha) of adding their names to the BPL list or ration card. No training has been provided to the EWRs on how to handle such cases and no such support extended by the block.
- There has been no exposure visits organized so far after being elected.
- The EWRs feel that training sessions alongwith men yield better results.
- Panches should be trained and motivated to co-operate with Sarpanches. Hence their joint training is a must.
- Most of the contents in the reading materials provided at the end of the training programme cannot be understood easily. It will be better if those contents are explained during the training either through one to one interaction or through audio visual aids.

- More of pictures and audio-visual aids should be used which is especially beneficial for illiterate people as most find lectures boring and ineffective.
- Sarpanches who have been re-elected do not need much of training as most of it is rhetoric for them. Rather they need to have the enabling environment and the required powers and provisions like funds etc. in order to carry out their duties as expected by the people and without outside interference which is real capacity building and on-the-job training.
- Key information shared during the FGD revealed that Sarpanches have formed their associations blockwise. There have been no system of regular meetings but the Chairperson and Secretary of the association does mobilize the members (sarpanches of all GPs) to address issues jointly.
- Information disseminated during the training like the powers and functions of Gram Panchayat, Gram Sabha, Responsibilities of Panch and Standing Committee members, etc. should be made available in the form of large sized posters, wall paintings etc. in the village at suitable location like the Panchayat Bhavan for wider knowledge and information.
- Some problems arises which cannot tackle during training should document and discuss with the concerned department.

b. Key Informant Interviews

Key Informant Interviews with faculty and trainers

- Training of elected men and women representatives together is always useful as they, especially women will develop confidence in interacting with their male counterparts which will help them in facing the male population back in their Panchayat.
- Use of IT and Video-conferencing is not very effective unless it is done with the required infrastructure in place at both ends. In any case there cannot be any replacement to one-to-one contact training or interactive programmes.
- There is no real strategic step towards capacity development as in terms of devolution of more funds and functionaries. Without these initiatives, investment on training is a mere lip service wherein no proper enabling environment is created for the GP representative to function effectively.
- All faculty members of SIRD have taken the Direct Training Skills (DTS) course. Many other have undergone Design of Training (DOT), TNA, Management of Training (MOT) and Evaluation of Training (EOT).
- More exposure to DOT is required for perfection of master trainers.
- Regular training development programmes should be run for master trainers so as to create a mass base of certified trainers.
- Trainer should be developed as Recognized User (RU) and Master Trainer (MT).
- TNA should not be a blanket approach across the state but should be specific to regions and communities for e.g.: specific to tribal and non-tribal needs. Cultural settings should be accounted for while doing a TNA so as to help in better module development.
- More and continued support should be extended to illiterate representatives.

- Tackling / addressing all issues together in a single training programme is not the right approach.
- The trainer should have the flexibility to modify the module (within the agreed framework) or change the methodology / tool of imparting the training depending upon the sentiments and nature of the participants.
- Instead of focusing mainly on problems and issues, participants should be encouraged to share good / successful practices as well so that the other participants can also learn from the same – peer group learning.
- The foundation level of training of EWRs should essentially focus on issues like leadership, communication and schemes.
- The pattern of training has been as per the NCBF guidelines.
- The tools for training should also be chosen judiciously depending on the awareness and literacy levels like games, group discussions, films, use of audio-visual aid etc.
- ZP members are not always interested in training. It also depends on the exposure level as ZP members are exposed to a lot of information and political clout at the district level whereas a Gram Panchayat member especially a new elected panch and that too a woman might not have moved out much from her village. Hence GP members try to grasp any issue discussed with them as they are mostly blank especially with the first timers.
- It is very important to do the needs assessment properly and in detail so that we are able to cater to the actual needs.
- In case of EWRs the biggest hurdle faced is from her family itself. Most of the time their spouses acts as Sarpanch pati. Both of them are invited for training which is beneficial as a man and a woman gets trained / oriented as compared to a male representative who only gets himself trained.
- The success of the training depends largely on the logistics and facilities provided to the participants during the training apart from training aid and good trainers.
- The venue for training is always preferred to be at a block or district level as it provides an opportunity for the elected representative to interact with peer members of other Panchayats and also helps him/her avoid the daily chores of life and involve in serious learning.
- Women are more interested in issues like sanitation and drinking water, domestic violence, health and education etc. whereas men are more inclined towards construction related activities.
- The best way to train illiterate representatives is through games, films, pictorials etc.

In a nutshell the following need to be ensured at all times for delivery of effective training:

- Specified needs of training.
- Manual for trainers to be different depending on region and dynamics of target group.
- Follow the same content, module, methodology.
- Trainer – preferably knowing the local dialect
- Adequate logistical arrangements.

- Follow up regarding the impact of the training.
- Proper honorarium for trainers and master trainers.

c. *Questionnaire based surveys*

- Each of the four respondents has attended 2-3 trainings so far since being elected in 2010. Most of them have been at the Block Resource Centre of the respective block.
- All of them are aware about the roles of the Gram Panchayat as being informed during trainings. They mentioned about the works to be undertaken under a few flagship programmes and supervision as the major functions of the Panchayat.
- All of them are aware that the GP Secretary is responsible for disseminating and collecting information, preparing documents, issuing agenda and notification for Gram Sabha meetings etc.
- Two of them mentioned male family member and Secretary as the source of daily activities / news of the GP whereas one of them said the NREGS 'mate' and another person and the secretary as the source of daily information.
- The sources of information for various programmes are either the Secretary or the Janpad Panchayat.
- Three out of the four respondents said they take interest in preparation of plans but have not received any training in village planning.
- Three out of the four have not participated in any PRI training prior to becoming a Sarpanch. One who is re-elected has participated in quite a few trainings.
- All the four of them expressed their satisfaction with the trainings that took place at the block level wherein they were informed about various schemes like TSC, MGNREGS etc.
- All the four respondents gave different reasons for not able to utilize their training in their working. The reasons were – incomplete information, panchayat members do not co-operate at times, lack of basic facilities, inadequate and timely help / assistance.
- All the four respondents voted for trainings to be conducted at the District Level or in SIRD rather than at the block level because of good facilities and trainers.
- They all were of the view that trainings should not be shorter or longer than 3 days at a stretch.
- One of the four said that she didn't face any problem in attending trainings and especially that her family was very supportive and encouraging. Others quoted reasons like too short a notice or delay in getting information, family as major reasons for not able to attend trainings properly.

7. ANALYSIS

Perceptions

This is based on the perceptions of the various stakeholders who have taken part in the TNA, whether as Key informants, FGD participants or respondents to the questionnaire.

- The EWRs who participated in the TNA had mixed reactions when asked about the importance of Panchayati Raj System. Some of them who were able to perform better, regarded the system as essential and called on its development whereas the middle group who were guided only by the trends and government orders were not able to comment much on the usefulness of the system. The last group were quite pessimistic as they exclaimed that the system is not functioning as it should have and hence is of no use. The EWRs, especially the second timer and multiple timers, trainers and faculty members were of the view that unless more funds and functionaries are devolved along with functions it is very difficult for the trained representatives to keep up the enthusiasm.
- There is still no clarity on the responsibilities and powers actually devolved to the elected representatives and everything is on an ad-hoc basis as informed by the Secretary or instructions from the block. The powers and responsibilities mentioned in the training materials are mostly theoretical and have little relevance to the reality.
- The lack of an enabling environment at the GP level does not allow the full and at places even partial utilization of the training thus leading to frustration and demotivation amongst most of the EWRs. Some of them however, mostly from the general category, expressed their motivation to work and lead the people despite of hurdles.
- Many EWRs expressed the fact that they had not received their monthly remuneration whereas a few shared that they did not receive it regularly and were also not aware about the amount plus other benefits for themselves as well as the for the Panches. This is a demotivator as they are expected to do so many things and many times they have to meet expenses from their pocket despite of a not so good economic condition.

Needs and Gaps

- As per the Constitution as well as the State Panchayati Raj Act the principal function of the Gram Panchayats is to prepare plans for socio-economic development. However the EWRs have not yet been trained in village / Panchayat level planning so far. Neither the training modules have stressed much on planning as a function.
- The EWRs were found not to have any knowledge about Standing Committees and its importance in the process of planning, monitoring and implementation. Even they were not clear about the role of Panches in supporting the GP in carrying out its routine functions.
- At some instances it was found that Sarpanches and Panches had differences of opinions and Panches even went against the Sarpanch. This discouraged the Sarpanch and created a sense of confusion and mistrust. The training (preferably joint sessions comprising of Sarpanch and Panch) should essentially focus on how to overcome such situations and sessions on conflict resolution and decision making. The EWRs should be oriented on techniques on handling erratic demands of the Gram Sabha such as inclusion of name in the BPL list.
- It is very essential that some resource persons from the Janpad and Zilla Panchayat be invited to guide / orient the EWRs in issues like adding of names to the BPL list, proper maintaining of accounts, taxation etc. as these are crucial areas identified during the TNA which requires inputs.
- Issues like absence or a dilapidated Panchayat building, lack of proper office facilities, meeting place etc. are demotivating factors despite a good training.

- There should be IEC materials like posters etc. made available to the Gram Panchayat for display at prominent places disseminating information on the role and functions of Panchayat and its members, role of the Gram Sabha, eligibility for different schemes, participatory planning, limitations of the Panchayats etc. for educating the Gram Sabha.

8. KEY FINDINGS

The Gram Panchayat is expected to play a three dimensional role as per the State Act:

- To act as a representative of the State Government.
- To carry out developmental activities in the village and
- To ensure order and discipline.

The Gram Panchayat is supposed to do the following:

- Safety and Security related works
- Works related to Public Health Facilities
- Construction related activities
- Removing encroachments
- Organizing and control of haat bazaar and melas.
- Assistance to the destitute and poor

Apart from the above, the Gram Panchayats have been entrusted with the responsibilities of 21 subjects out of the 29 as per the XI Schedule of Constitution.

Despite such a promising Act and its amendments, the process has not generated the desired changes of devolving enough financial, administrative and political powers, roles and functions to the Panchayat institutions on the basis of which Panchayats can function as viable and effective institutions of self-governance. Often, the functions devolved to the Panchayat institutions are limited to supervision and inspection of projects, identification of beneficiaries, and giving administrative approval. The responsibility of implementation of projects has been entrusted to the Panchayats by few departments, and this, too, is primarily confined to maintenance of projects.

9. OTHER ASPECTS OF TRAINING

- **Pedagogy and Training Methodologies**

Participants – the EWRs and their spouses were satisfied with the attempt made to use various means of training. However those who were illiterate or early primary school drop - outs wanted simpler ways of training and especially sessions which could drive away their shyness and instill confidence. The overall demand was an increase in the use of audio-visual aid, games and exercises and less of lectures. The module should be comprised of sessions on gender and patriarchy which is essential for empowering the women and more practical issues that the EWRs face in their daily working.

- **Use of ICT in trainings and Introducing ICT in the context of e-governance**

Not much could be gathered from the EWRs during the FGD as also during the Key Informant

Interviews about the use of ICTs as they were not very clear as to how can it be of help in training. Even the trainers stressed on one-on-one contact rather than the use of ICT although they said that the use of ICT can be of use if it is properly maintained and operated as per the convenience of the stakeholders.

- **Timings of training**

So far the EWRs have been fine with the timings of the trainings except a few who did not have genuine reasons except marriage, other occasions. However they emphasized that trainings should be avoided during the peak sowing and harvesting seasons as many representatives have to take to field work and hence is likely to miss out on the trainings.

- **Duration of training**

The EWRs were of the view that trainings should not be less or more than 3 days at a time as it is the ideal duration keeping in mind social and family commitments. However they had attended six day trainings at the respective block level after the elections and have found it useful.

- **Venue of training**

The EWRs were of the view that trainings organized at the district or division or at the SIRD level are better managed with good facilities for lodging and boarding. Further it also becomes conducive / comfortable for the trainer /resource person to concentrate on training as other logistics like power supply, stationary etc. are taken care of. Trainings at the block level many a times are not effective as there is lesser interaction and more distractions due to local factors. Also the venue should be such that transport facilities are easily available to and fro.

- **Language**

The TNA did not reveal any choice of language other than Hindi. Although it was pointed out that sometimes the Hindi used in lectures and especially the training materials is of the official level which is hardly understood by the EWRs, even by those who are high school passed or graduates. The tribal communities did express the desire of training in their local dialects for better understanding.

- **Training materials**

Some of the training materials are easy to understand whereas some others are in legal parlance which is difficult to understand even for highly literate participants. In addition to books, calendars, posters, handouts, CDs, DVDs etc. should be made available for easy reference and dissemination at the Gram Panchayat level.

- **Special Needs of Certain Categories**

As mentioned earlier EWRs from the SC and ST background are mostly illiterate or semi-literate, shy and oppressed which is why there need to be some special orientation and motivation sessions for them to break free of the shyness and start ‘speaking out’. Women as well as their spouses, irrespective of their background need to undergo mandatory sessions on gender roles, patriarchy and violence so as to initiate a thought process in them towards changing the status quo. It was found that literacy levels were also quite low which is why the functional literacy sessions under NCBF must be initiated immediately. Efforts should be made to link up the EWRs to adult literacy programmes (like Shakshar Bharat) for better results. Elected representatives from the tribal and forest villages also need to know about provisions in PESA and FRA. Successful EWRs from the SC/ST community also need to be invited as resource persons during the training to share their experiences with the participants and how were they able to break off from traditions and move towards equality. Joint training sessions with male representatives is equally important to promote discussions, arguments and exchange of ideas which will be helpful for the women representatives to face the larger audience at their work place.

10. CONCLUSION

The Rapid TNA has given useful insights for planning the training programmes and designing them. It also suggests the need for a comprehensive TNA covering all target groups and tiers of Panchayati Raj.

Do's and Don'ts in FGD

Based on the pre-test, the following Do's and Don't in a TNA emerged:

Do's

- Inform the organizers clearly on what is going to be done and the requirements
- Ensure that the group is homogenous
- Make sure that seating arrangements are worked out in a way that provides equal status for every member.
- Do a time planning based on the guidelines
- Plan and ensure logistics like boars, flip charts etc.
- Ensure coordination among the TNA team members by specifying the responsibilities of each of them during FGD
- The moderator should preferably a women in a women FGD
- Introduce yourself, the team and self introduction by the participants
- Explain clearly the objectives of FGD to the group
- Should stick specifically on topic of discussion
- Number of members in a group should be not more than 8-10
- Use a neutral reaction and inviting tone of voice and facial expressions
- Give people time to think by using pauses whenever needed
- Allow or encourage less vocal people to talk
- End group discussion on time and give thanks to all the group members

Don'ts

- Do not guide the participants to your own conclusions
- Don't share your own opinion or experiences
- Posture of moderator should not be casual and careless
- Don't challenge or check the accuracy of participants' knowledge or views.
- Don't dominate the conversation.
- Try not to criticize anyone's comments or allow anyone in the group to do so
- Don't overload the group.
- No need to interpret participants' comments for the group
- Moderator should not dominate during the discussion
- Don't stop people abruptly while talking
- Do not read out your questions

Also refer to the Characteristics of the Moderator given in the Chapter on Qualitative Methods.

Section 6
Process behind this Document

CHAPTER 14

Workshops and Meetings

a. Minutes of the Small Group Workshop

16 February 2012, New Delhi

Feedback so far (based on the literature review and field enquires in Rajasthan, Karnataka, West Bengal, Andhra Pradesh and Kerala):

1. LITERATURE

There is no specific literature (analysis, studies, research) available on the training needs assessment methodology for Panchayati Raj. Though there are tool kits and guidelines for TNA, there isn't much analysis of these methodologies. Also, there are no documented case studies on TNAs for PRIs.

2. METHODOLOGIES

Methodologies available are basically for corporate kind of settings, with a HR perspective or for government departments. These do not have sector understanding, especially in the context of PRIs.

In Panchayati Raj, only a few SIRDs are conducting TNAs. Even there, no comprehensive documents available on TNA methodology. In a few places, there are guidelines - mostly questionnaires.

Sampling has never been scientifically attempted, though through practice there are attempts in effect leading to sampling (for example, gender balance, regional representation etc are considered). However, in practice, it is convenience sampling.

TNA reports are available only in a few places. Here again, they are not available as comprehensive documents.

3. HOW IT IS DONE

Not all SIRDs do a TNA on a regular basis. It is dependent on the source of funding / project and their insistence on a TNA.
It is not part of an institutional culture to have TNAs for all the training programmes.
Even places where the TNAs are conducted, the approach is supply based and the questions are also 'leading questions' catering to these.
There is no systematic method to translate TNA findings into training strategy.

Training programmes do not change much because of the TNA. Most of the programmes are readymade programmes as they are mandated by the government departments.

4. KEY ISSUES

- Should we consider training needs or capacity needs?

- TNAs have to cover sectoral issues too.
- Service delivery issues are not usually addressed.
- The population under TNA will not be homogenous. How to address this issue? Training needs are different for different sections.
- How to address PESA areas?
- There are also institutional issues. Most of the SIRDs function on the basis of government directions. So, if the DoPR (or DoRD) does not have the understanding of the need for TNA, the institute will not be able to design their programmes based on TNA.
- TNAs have to be linked to activity mapping. But do we have the approved activity maps in any of the states?
- TNAs can be interactive, with visual aids.
- Whom do we focus on? There is too much emphasis on elected representatives. What about others in Panchayati Raj?
- Define our boundaries – upto what level of the PRI functionaries should we focus?
- Who does TNA cater to? Is it for PRIs or individuals? Training is about individuals.
- If stakeholders are different, should we have separate TNA methodologies? No need of separate methodologies, tools can be different.

5. THE GUIDE BOOK

Suggestive structure of the Guidebook was shared. Participants felt that it is comprehensive, but too ambitious. They will send their comments by e mail.

Participants

1. Prof. S. Chary (ASCI)
2. Ms. Vijaya (ASCI)
3. Dr. Shailendra Dwivedi (GIZ)
4. Dr. Alok Pandey (PRIA)
5. Mr. Rahul Dixit (GIZ)
6. Mr. Darshan S. (The Hunger Project)
7. Dr. William Joe (Institute of Economic Growth)
8. Ms. Priti Sharma (ICSD)
9. Dr. Joy Elamon (ICSD)

Minutes of the Consultation Workshop, 23-24 July 2012, New Delhi

A Consultation Workshop to review the two guides, namely Draft M&IE Guide and Draft TNA Methodologies Guide, was held on 23-24 July 2012, New Delhi. The workshop was chaired by Mr. Ashok K Angurana Additional Secretary (MoPR) & National Project Director (NPD) MoPR-

UNDP CDLG Project and attended by representatives of various State PRDs/SIRDs and other stakeholders. The list of participants is enclosed. A number of observations were made during the two days of consultations. Some key observations are given below:

Some broad points relevant for both the guides:

- All the key points / recommendations should be arranged so as to indicate vital, essential and preferential/desirable;
- Distinguish between negotiable and non-negotiable / doable and desirable indicators;
- Indicate the target group for the guides and their scope clearly right in the beginning;
- Some relevant examples could be added appropriately to further strengthen key points in the guides;
- Workshop / field testing should be undertaken with the target (user) group before finalizing the guides;

Draft M&IE Guide:

- The guide should indicate the target group and the scope of the guide clearly in the very beginning; also, it should indicate the capacities required to use this guide;
- Given the fact that the scope of the guide is limited to PRI CB&T, it is important that the term CB&T is defined in its various elements and hues;
- The guide should align M&IE indicators with those used in MoPR schemes and in State
- Action Plans; also, the indicators could be categorised as input-output indicators;
- Indicate the negotiable and non-negotiable parameters and sub-parameters; also, add indicators to monitor the effectiveness/returns of the investment made; keep them simple and as few as possible;
- Allow for flexibility in the guide to allow States to customize it as per their needs; in fact, States should be encouraged to prepare next generation of State-specific guide with more State-specific detailing;
- Rearrange and redefine the Input-Output monitoring performance indicators (6-8 of physical progress, 5-7 of financial indicators and 1-3 of training reaction); club together, where possible;
- Add RGPSA also in scheme awareness of performance indicators for outcome-individual learning;
- Clarify ER work participation indicators of long list of quantitative performance indicators for impacts-organizational performance;

Draft TNA Guide:

- Add a chapter on literature review with reference to all that is available specific to PR or otherwise;
- While defining the TNA expert team, it is important to clearly indicate that the TNA should be undertaken by a team of pertinent multi-disciplinary experts and not one or two individuals;
- A targeted approach to TNA should be adopted, which clearly distinguishes between first timers, second timers and multi-timers;

- Suggest a methodology and format for undertaking a Rapid TNA, along with a list of does and don'ts, so that a quick matching of course content from an exhaustive shelf could be done instantly;
- The traditional KSA (Knowledge, Skills, Attitude) approach should change to ASK (Attitudes, Skills, Knowledge) and it should reflect in the way priorities are presented in the guide;
- Simulation exercises for bringing attitudinal changes may be developed or borrowed as per specific local needs and matching learning/teaching materials and capacity building requirements of facilitators;
- The proposed TNA methodologies should also distinguish between PESA and non- PESA areas;
- It was suggested that the content could be presented by dividing the same as per the elected representatives in the three tiers of PRIs, with reference to their roles and responsibilities;
- The guide should give suggestions on how to handle challenges like intra-group variations, training to deliver job responsibilities, and grouping within the same set of people.

Both the agencies, i.e. RDC (M&IE) and ICDS (TNA), should revise the guides to incorporate these points and undertake field testing/workshops in discussion with National CDLG Project Cell.

List of Participants

S.No	Institution	Name and Address
1.	MoPR	Mr. Ashok K. Angurana, Additional Secretary and NPD MoPR-UNDP CDLG Project
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3.	MoPR-UNDP	Mr. Sanjeev Sharma, NPM, MoPR-UNDP CDLG Project
4.	UNDP	Ms. Sumeeta Banerji, Head, Governance Unit
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Abbreviations

AMR-APARD	Andhra Pradesh Academy of Rural Development
ASK	Attitude, Skills and Knowledge
ATI	Administrative Training Institute
BDO	Block Development Officer
CB&T	Capacity Building and Training
CDLG	Capacity Development for Local Governance
DoPT	Department of Personnel and Training
DPC	District Project Coordinator
DPOs,	District Project Officer
DRDA	District Rural Development Authority
ER	Elected Representatives
EWR	Elected Women Representative
FGD	Focus Group Discussion
FTO	Figuring Things Out
GIZ	Die Deutsche Gesellschaft für Internationale Zusammenarbeit
GP	Gram Panchayat
ICDS (TNA)	Integrated Child Development Services - Training Needs Assessment
ICSDI	Intercooperation Social Development India
ICT	Information and Communication Tools
IGPR&GVS	Indira Gandhi Panchayati Raj & Gramin Vikas Sansthan
IP	Intermediate Panchayats.
IT	Information Technology
KILA	Kerala Institute of Local Administration
KSA	Knowledge, Skills and Attitude
M&IE	Monitoring and Impact Evaluation
MGSIRD	Mahatma Gandhi State Institute for Rural Development
MoPR	Ministry of Panchayati Raj
NCBF	National Capability Building Framework
NGO	Non - Government Organisation
NPD	National Project Director
OEM	Organizational Element Model
PESA	Panchayat (Extension to Scheduled Areas) Act
PRD	Public Relations Department
PRI	Panchayati Raj Institutions
QDA	Qualitative Data Analysis
RDC	Rural Development Committee
SAM	Systems Approach Model
SAT	Systematic Approach to Training
SIRD	State Institute for Rural Development
TNA	Training Needs Assessment
UNDP	United Nations Development Programme
YASHADA	Yashwantrao Chavan Academy of Development Administration

Acknowledgements

We thank Mr. Ashok K. Angurana (National Project Director CDLG and Additional Secretary MoPR) for giving us this opportunity. The support, motivation and guidance rendered to us by Mr. Sanjeev Sharma (National Project Manager CDLG) have been very valuable. It was his sheer perseverance and confidence in us which made this possible. Ms. Ritu Mathur of UNDP has been of great support right from the beginning. Other members of the CDLG team in Delhi and states, especially Ms. Antara Borkakoty, Mr. Rajesh Kumar and Ms. Komal Bhatya provided us the appropriate and timely information and guidance. Other officials of MoPR, especially Mr. Pradeep Bhatnagar have been sources of strength and confidence. Thanks a lot to all of them. Special mention has to be made about Dr. Shailendra Dwivedi of GIZ, who has been helping us by way of sharing his experiences and guiding us throughout the process. The participants of the Small Group workshop and field study coordinators too were of immense support through their valuable inputs. Mr. Nilesh Parikh (Director MGSIRD, Jabalpur), Ms. Swapnil, Mr. Abhishek Khera and Ms. Smita Dubey helped us in pre-testing the Rapid TNA and provided us with many suggestions and our thanks are due to them. Finally, it was our colleagues at Intercooperation, Ms. Sreelatha and Ms. Madhuri, who made our efforts simple by providing regular office support in the preparation of this Guiding Document.

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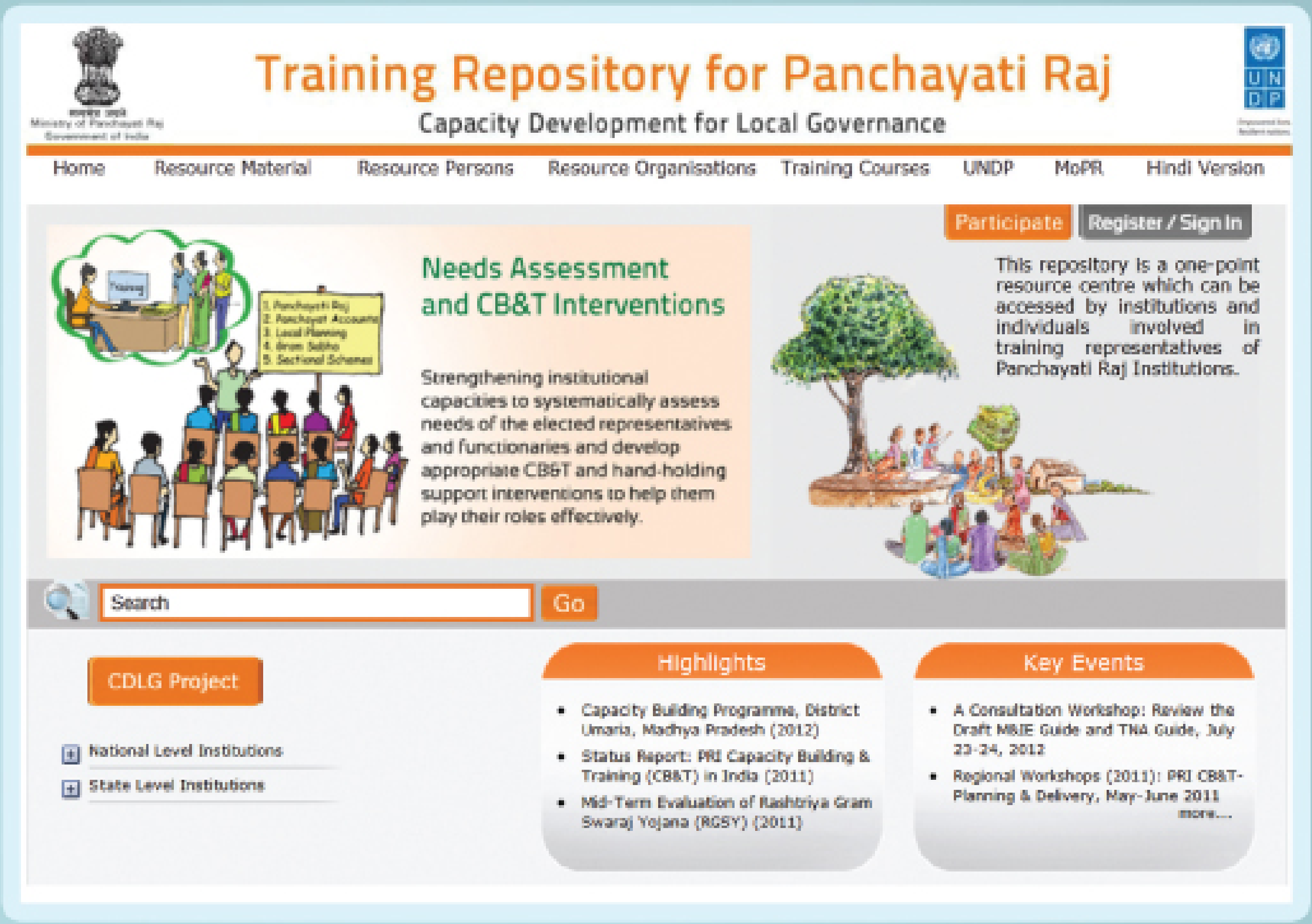
TRAINING REPOSITORY FOR PANCHAYATI RAJ

Capacity Development for Local Governance

http://pri-resources.in



The repository is an online resource centre to facilitate sharing and use of information and resources developed by various government and non-government agencies to help build capacities of the elected representatives and functionaries associated with the Panchayati Raj Institutions (PRIs) in the country. It has databases related to training materials, resource persons, academics programmes, and other useful links.

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Government of India

Ministry of Panchayati Raj

Developed under the MoPR-UNDP Capacity Development for Local Governance (CDLG) Project