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**MANUAL FOR TRAINING OF TRAINERS
ON
HUMAN DEVELOPMENT
PART II**



Dr. Arabinda Ghosh
JOINT DIRECTOR



**Administrative Training Institute
Government of West Bengal**

*Planning Commission – UNDP sponsored project
“Strengthening State Plans for Human Development”*

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**MANUAL FOR TRAINING OF TRAINERS
ON
HUMAN DEVELOPMENT**

PART – II

✍ Training Technique

✍ Issues on Human Development

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PREFACE

Human Development (HD) has, in recent times, replaced economic growth (EG) as the central objective of human activity. It has been defined as enlarging people's choices in a way which enables them to lead a longer, healthier and fuller life. Economic growth is considered potentially a very important instrument for advancing it. While EG fulfils the necessary condition for HD, if distribution of income is unequal and if social expenditures are low or distributed unevenly, the quality of life may not improve significantly, despite rapid growth of gross national product (GNP). There is no automatic mechanism interlinking EG and HD. While some developing countries have been very successful in managing growth to improve human conditions, others are less so. Advances in HD can make a critical contribution to EG. Thus, improved health and increased life expectancy raise the returns for all types of investment. Higher levels of HD, besides being an end in themselves, affect the economy by enhancing people's capabilities and consequently their creativity and productivity. Health and education status of a population represent one of the main determinants of the composition and growth of output and exports.

According to the UNDP's Global Human Development Report (HDR) 2007-08, in spite of the absolute value of the human development index (HDI) for India improving from 0.577 in 2000 to 0.619 in 2005, the relative ranking of India has not changed much. The HDI rank indicates that the country has done better in terms of per capita income than in other components of human development. The other indicators related to Health and Education reinforce this and highlight the need for greater focus on this area in our planning for development. It is this concern that is reflected in the Eleventh Plan which seeks to reduce not only poverty but also the various kinds of disparities across regions and communities by ensuring better access not only to basic physical infrastructure but also to health and education services for all. In consonance with the commitment to faster social sector development under the National Common Minimum Programme (NCMP), the Government of India has launched new initiatives.

The benefits of such enhanced expenditure largely depend on the proper implementation of the programmes with a human face. The performance of these initiatives, be it poverty, health or education related, reinforce one another. While sensitising the policy makers at the national and sub-national level for designing development plans with a human face is extremely important, the sensitisation of the implementers at the grass root level is also crucial.

In view of India's commitment to Millennium Development Goals (MDGs), it is imperative to train development managers and implementers at all levels of government not only to understand the conceptual underpinnings of human development but also for discussing ways and means of operationalising it on the ground.

Responding to this need, UNDP (India) and the Planning Commission requested the Administrative Training Institute, West Bengal, to develop a training module on Human Development.

This module has two parts. Part-I is a journey through the important issues highlighted in the Human Development Reports since 1990. Further, Participatory Learning and Action is an important tool for formulating a participatory development plan to which participants get an exposure.

Part-II starts with Training Techniques covering the concept of Andragogy, how trainees learn, the concepts of feedback and Experiential Learning. It deals with the technique of preparing and conducting interactive sessions, how to lead a discussion and how to run group exercises. We acknowledge the extensive use of training material developed by Department of Personnel & Training (DOPT), Government of India, under its Trainer Development Programme.

This is followed by various aspects of Human Development. Module-1 discusses the common characteristics of an underdeveloped economy, unfolds the concept of human development, discusses issues relating to economic growth and human development. Module-2 discusses four pillars of Human Development and depicts the journey from concepts and analysis to action. Module-3 explains Human Development Index (HDI), Gender related Development Index (GDI), Gender Empowerment Measure (GEM) and Human Poverty Index (HPI). Module-4 states the innovations in calculating indices and highlights various statistical challenges pertaining to social sector. Module-5 elaborates the poverty scenario in India and integrates the concept of HD with poverty. Module-6 explains how public spending on HD can be designed and monitored. Module-7 explains how the process of HD is incomplete without gender equality and elaborates on various forms of gender inequality. Module-8 discusses the role of people's participation in HD through a case. Module-9 deals with acquiring skill for decision-making by consensus and collaboration through group exercise.

The entire material has been prepared by West Bengal government's only Master Trainer accredited by the DOPT, Dr. Arabinda Ghosh, Joint Director in the ATI, who has the added distinction of being an economist whose research is widely appreciated in international fora. For optimising the effectiveness of the training handbook, he innovated the idea of making the first part available in the distance learning mode.

A test-run of the handbook was conducted in the ATI with trainers drawn from across the country and participants from UN agencies and the RBI. Following this validation, the material has been given final shape and is now being published under the auspices of the Planning Commission and the UNDP (India).

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INTRODUCTION

The human development approach advocates a shift in the development discourse, moving away from the conventional exclusive focus on economic growth towards a multi-dimensional approach that integrates education, health and income as a comprehensive development strategy. The concept stresses on the notions of sustainability, equity and empowerment and is about creating an environment in which people can realise their full potential and lead productive and creative lives in accord with their needs.

National policies focusing on the physical aspects of development no longer seem to attain national objectives such as “justice, social, economic and political”, as laid down in the Preamble to the Indian Constitution, for instance. India’s Eleventh Five year plan places considerable emphasis on human development and has accordingly set out national goals for various human development parameters as also state specific goals for poverty reduction. India’s Eleventh Plan have striking resonance with the Millennium Development Goals (MDGs) that have been agreed upon by the world community at the Millennium Session of the General Assembly in September 2000.

Global HDRs, since their inception in 1990 have played a key role in codifying and advocating the human development concept and emphasizing the urgency of operationalising human development through focused public action. National and sub-national HDRs have carried this agenda further to translate advocacy into action. India has been at the forefront of human development reporting, with support from the Planning Commission, Government of India and UNDP.

In view of India’s commitment to the Eleventh Plan goals and the Millennium Development Goals (MDGs), it would be critical to train development managers and implementers at all levels of government to not only understand the conceptual underpinnings of human development but also discuss ways and means of operationalising it on the ground. Responding to this need, the Human Development Resource Centre (HDRC) and the Public Policy and Local Governance (PPLG) Division of UNDP in collaboration with the Department of Personnel and Training (DoPT), Ministry of Personnel, Public Grievances and Pensions and Administration Training Institute, West Bengal have developed training modules for human development.

The course has been designed to enable participants to:

- Explain the basic theory of human development, including indexing and other measurement issues, gender, human security, economic factors influencing human development.
- Address the specificities of human development in the Indian context including operational issues such as financing, programme design and evaluation, and policy analysis
- Evaluate and apply appropriate theoretical perspectives to issues in human development;
- Discuss specific mechanisms that aid in successful promotion of human development – advocacy and propaganda strategies (like HDRs, ICTs).
- Familiarise themselves with global debates and best practices on human development.

DESIGNED FOR

The training on human development is oriented at development practitioners (planners and implementers) in the design of social policies and the implementation and management of social programmes. Participants will typically be from ministries and Panchayati Raj Institutions (PRIs) engaged in (decentralised) policy planning and implementation.

COURSE STRUCTURE

The course has three distinct features, each helping participants to develop their skills and understanding of Human Development.

1. **Distance Learning:** This provides an opportunity to have a journey through the important issues highlighted in the Human Development Reports since 1990. This will help the participants develop the concept of Human Development. Participatory Learning and Action is an important tool for formulating a participatory development plan. The participants will get an exposure to Participatory Learning and Action.
2. **Human Development workshop:** Run for a period of one week. Apart from discussion on the various aspects of Human Development this workshop includes case studies, exercises and films. This workshop provides an opportunity to strengthen the concept of Human Development and skill on measuring it.
3. **Human Development Project:** On completion of workshop, each participant will undertake a personal Human Development Project with a suitable client organisation. This project will provide them with an opportunity to apply the knowledge and skill acquired during the workshop. This will be carried out over a period of 4 weeks and a project report submitted for assessment.

TRAINING OF TRAINERS:

In order to conduct this training course, we need to develop considerable number of trainers in our country. The course structure as mentioned above will be followed. In addition, there will be modules on training techniques.

A programme schedule of the Training of Trainers Workshop on Human Development is shown below.

DAY ONE	
Time	Topic
1 hour	Registration
	Introduction – Course Briefing
1 hour	Discussion on Pre-Course Material
1 hour 30 minutes	* Introduction to Human Development (Module – 1)
1 hour 30 minutes	* The Human Development Approach (Module – 2)
1 hour	* Training Techniques (Module –TT-1)

DAY TWO	
Time	Topic
30 minutes	* Recap of previous day
2 hours 30 minutes	* Measuring Human Development (Module – 3)
1 hour	* Innovations in Measuring HD (Module – 4)
2 hours	* Poverty & Human Development (Module – 5)

DAY THREE	
Time	Topic
30 minutes	* Recap of previous day
2 hours	* Prepare and conduct an interactive session (Module – TT-2)
1 hour 30 minutes	* Financing of Human Development (Module – 6)
2 hours	* Gender & Human Development (Module – 7)

DAY FOUR	
Time	Topic
30 minutes	* Review of previous day
3 hours	* Micro lab on Practising Interactive session
2 hours 30 minutes	* How to lead a discussion (Module – TT-3)

DAY FIVE	
Time	Topic
30 minutes	* Recapitulation of previous 4 days learning
1 hour 30 minutes	* People’s Participation for Human Development (Module 8) Discussion on Distance Learning Material on Understanding Participation and Participatory Learning and Action
3 hours	* Group Exercise: (Module – 9) - Decision by consensus # Lost at Sea - Development of Collaboration # Principles Game-Inter group Collaboration
1 hour	* Project finalisation & Validation

TT- Training Technique

PROCESS SHEET

Day 1

Total Duration	Time	Method	Media	Content/Activity	Remarks
1hr				Reporting, Registration, Introduction – Expectation Sharing and Course Briefing	
1hr		Exercise		Participants may be divided into three teams. Each team may be asked to prepare the Exercise based on Pre-Course Material	
Topic: Introduction to Human Development (Module-1)					
1hr 30mts	10mts	Lecture	PPT1-2	The State of Development	
	15mts	Discussion	PPT3-5	What have we learned	
	10mts	Lecture	PPT6-10	Human Development Defined	
	10mts	Discussion	PPT10a-10c	Basic Characteristics of a Developing Country	
	10mts	Discussion	PPT11-14	Economic Growth, GNP per Capita and Human Development	
	15mts	Lecture	PPT 15	Human Development Strategies	
	20mts	Discussion		Question and Answers	
Topic: The Human Development Approach (Module-2)					
1hr 30mts	10mts	Lecture		Introduction	
	10mts	Lecture	PPT16-18	Economics and Welfare : What is well-being	
	15mts	Discussion	PPT19-24	Four Pillars of Human Development	
	15mts	Discussion	PPT25-28	Dimensions of Human development	
	15mts	Lecture	PPT29-30	Inequality and Human Development	
	15mts	Lecture	PPT31-33	GNP per Capita and Human Development	
	10mts	Discussion		Question and Answers	

4

Total Duration	Time	Method	Media	Content/Activity	Remarks
30mts				Recap of Previous Day	
Topic: Measuring Human Development (Module-3)					
2hrs	10mts	Lecture	PPT34	Backdrop to Human Development Index	
30mts	10mts	Lecture	PPT35-37	Human Development Index	
	10mts	Discussion		Purchasing Power Parity- Example	
	10mts	Discussion	PPT38	Working Example on HDI	
	30mts	Exercise		Work in Group-Calculate HDI for Five Indian States-	Not exceeding 5 members in any group. Provide data sheet.
	15mts	Presentation		Group Presentation on: 1. HDI for at least Five States of India- 2. Indicate Methodology in Calculation 3. Indicate Constraints on Calculation 4. Comparison between HDI & NSDP ranking	
	5mts	Discussion	PPT39	Key Issues and Concern in Calculating HDI	
	5mts	Discussion	PPT40	HDI Trend for India	
	10mts	Lecture	PPT41-44	Engendering the HDI:GDI & GEM	
	15mts	Exercise		Calculating GDI	
	10mts	Lecture	PPT45-49	Human Poverty Index	
	10mts	Discussion	PPT50-51	Criticism and Advantage on Development Index	
10mts			Question and Answers		

5

Total Duration	Time	Method	Media	Content/Activity	Remarks
Topic: Innovations in Measuring Human Development (Module-4)					
Discussion of Various Statistical Challenges Pertaining to Social Statistics & Preparations of District Human Development Report					
1hr	10mts	Lecture	PPT52-54	HDI and Relative Position	
	10mts	Discussion	PPT55	Availability of Data at Grass-root Level- Sharing Experience	
	30mts	Exercise		Identify Indicators for developing Human Development Index at District Level and below.	Emphasise on reliability and availability of the data and capacity to capture reality. Not exceeding 5 members in any group. Provide data sheet.
	10mts	Discussion		Question and Answers	

9

Total Duration	Time	Method	Media	Content	Remarks
Topic: Andragogy (Training Technique-I)					
1hr	10mts	Discussion	PPT56-65	Andragogy - Basic Concept	
	10mts	Discussion	PPT66-71	Implication for Training	
	10mts	Discussion	PPT72-74	Feedback	
	10mts	Discussion	PPT75-76	Giving Feedback	
	10mts	Discussion	PPT77-78	Receiving Feedback	
	10mts	Discussion		Question and Answers	

Total Duration	Time	Method	Media	Content/Activity	Remarks
Topic: Poverty and Human Development (Module-5)					
2 hours	10mts	Lecture	PPT79-85	Poverty-Definition and Measurement	
	10mts	Lecture	PPT86-88	Poverty Scenario	
	10mts	Lecture & Discussion	PPT89-90	Identification of Poor Socio-Economic Parameters	
	10mts	Lecture	PPT91-94	Poverty Alleviation Programme	
	10mts	Discussion	PPT95-98	Monitorable Targets for Poverty Reduction	
	10mts	Discussion		Question and Answers	
	45mts	Case Study		Participatory Poverty Reduction	The participants will be given the case on day-1 to read before coming to the class.

7

Total Duration	Time	Method	Media	Content/Activity	Remarks
30mts				Recapitulation of Day-2	
Topic: Prepare and Conduct an Inter-active Session (Training Technique-2)					
2hrs	10mts	Lecture	PPT99-106	Introduction Objective of a Session	
	15mts	Exercise		Exercise on Objective Writing	Participants will be asked to select a topic for Micro Lab session & write objective
	10mts	Discussion	PPT107-109	Entry Behaviour	Use White Board. Discuss the problem of heterogeneity.
	5mts	Discussion	PPT110-112	Learning Event	
	10mts	Lecture	PPT113-116	Deciding Content	
	10mts	Exercise		Exercise on Spray Diagram	Participants will be asked to prepare a spray diagram on the topic on which they will conduct an inter-active session.
	5mts	Lecture	PPT117-120	Planning the Sequence and Maximum Recall	
	10mts	Discussion	PPT121-126	Structuring the Session: Tips for an Effective Introduction	
	5mts	Lecture	PPT127-129	Structuring the Session: Summary	
	5mts	Discussion	PPT130-131	Visual Aid	
	10mts	Lecture	PPT132-136	Planning for an Interactive Session	
	10mts	Lecture	PPT137-146	Conducting Session	
	5mts	Discussion	PPT147-151	Tips to Reduce Presentation Anxiety	
	10mts	Discussion		Question and Answers	Finalise the Individual Topic

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Total Duration	Time	Method	Media	Content/Activity	Remarks
Topic: Financing of Human Development (Module-6)					
1hr 30mts	10mts	Lecture	PPT 152	Introduction Purpose and Structure of Discussion	
	10mts	Discussion	PPT153-154	Defining Social Sectors Importance of Social Sectors	
	10mts	Lecture	PPT155-158	Proposed Monitorable Socio Economic Target XI Plan	
	10mts	Discussion	PPT159-161	Indian Context Challenges HD Comparisons Deprivation	
	20mts	Exercise	PPT-ABC	Expenditure Ratio	
	10mts	Lecture	PPT162-167	Myths Regarding Social Sectors Expenditure on Education and Health as a Percentage of GDP. Facts on Social Sectors Spending	
	10mts	Lecture	PPT168-173	Short Fall Financing the Shortfall Options	
	10mts	Discussion		Question and Answers	

6

Total Duration	Time	Method	Media	Content/Activity	Remarks	
Topic: Gender and Human Development (Module-7)						
10	2hrs	10mts	Lecture	PPT 174-175	Introduction Sex & Gender Equality and Equity	
	15mts	Discussion	PPT176-181	Present Scenario		
	15mts	Discussion	PPT182-184a	Why Gender Equality is Important for Development		
	15mts	Lecture	PPT185	Dimensions of Gender Inequality		
	10mts	Lecture	PPT-186-187	Gender Budgeting- A Definition		
	5mts	Lecture	PPT188	Aims of Gender Budgeting		
	5mts	Lecture	PPT189	Five Steps of Gender Budgeting		
	15mts	Lecture	PPT190-195	Gender Budgeting-Tools		
	5mts	Lecture	PPT196	Gender Budget in India-Current Scenario		
	5mts	Lecture	PPT197	Path Ahead		
	5mts	Discussion	PPT198	Conclusion		
	15mts	Discussion		Question and Answers		

Total Duration	Time	Method	Media	Content/Activity	Remarks
Topic: How to Lead Discussion (Training Technique-3)					
2hrs 30mts	10mts	Lecture	PPT 199-200	Introduction Purpose of Discussion	
	10mts	Discussion	PPT 201-203	Factors Influencing Discussion Discussion Behaviours	
	20mts	Lecture	PPT 204-208	Questions	
	10mts	Discussion	PPT 209-210	Preparing to Lead a Discussion	
	10mts	Lecture	PPT 211	Introduction to Case Study	
	20mts	Lecture	PPT 212-215	How to Lead a Case	
	10mts	Discussion	PPT 216	Summing Up	
	45mts	Case Study		Run the Case	The material regarding the CASE STUDY is to be distributed in advance.
	15mts	Discussion		Summing up the Discussion on the Case Study	

Total Duration	Time	Method	Media	Content/Activity	Remarks
30mts				Recapitulation of Previous 4 Days' Learning	
Topic: People's Participation for Human Development (Module-8)					
1hr 30mts	30mts	Discussion		Discussion on Distance Learning Material on Understanding Participation & PLA	Participants will be asked to give response to the questions as mentioned in the exercise individually in successive orders.
	45mts	Case Study		Run the case on Beyond PRA	
	15mts	Discussion		Conclusion	
Topic Group Exercise (Module - 9 & Training Technique 4)					
3hrs	1hr. 30mts		PPT 217-219	Advantages, Purpose of Group Exercise Experiential Learning & Learning from Group Exercise	
	60mts	Exercise		Principles Game-Briefing Run Principles Game-Debriefing	
	60mts	Exercise		Lost at Sea-Briefing Run Lost at Sea-Debriefing	
1hr				Project Finalisation Validation	

PRESENTATION SLIDES

INTRODUCTION TO HUMAN DEVELOPMENT

The State of Development

- Developing countries have achieved in 30 years what it took industrial countries a century
- In 30 years, life expectancy went up by 16 years, adult literacy by 40%, child mortality halved
- However, at the beginning of the Millennium, we still see many deprivations.....

- 1.2 billion people live on less than us\$1 a day; 2.8 billion on less than \$2 a day.
- Of the 4.6 billion people in developing countries, more than 850 million are illiterate; Nearly 325 million boys and girls are out of school.
- 11 million children under age five die each year from preventable causes— equivalent to more than 30,000 a day; 31% of children under five – some 167 million – are malnourished;

- 28% of the population in developing countries does not have access to safe drinking water; Some 56% no proper access to sanitation;
- In OECD countries more than 130 million people are income poor, 34 million are unemployed, and adult functional illiteracy rates average 15%.

What have we learned...

- Economic growth is necessary for sustained human development
- ...but growth does not automatically translate into well-being
- Long term remedy is to invest in people – in their health, education, training, and skills.
- It is not about lack of resources: Some developing countries spend 2-3 times on military than on social sectors. Need for better savings and reorienting budget priorities

What have we learned...

- Markets alone cannot deliver balanced patterns of growth
- It is about getting priorities right – *“Wealth is not the good we are seeking, for it is merely useful for the sake of something else.”* - Aristotle
- The basic purpose of development is to enlarge people's choices to lead lives that they value. Income is one aspect of life that people enjoy, cherish and value. Others are self-respect, dignity, a sense of belonging to a community...

What have we learned...

- People often value:
 - Greater access to knowledge,
 - Better nutrition and health services,
 - More secure livelihoods,
 - Security against crime and physical violence, satisfying leisure hours,
 - Political and cultural freedoms,
 - Sense of participation in community activities

Human Development

- “The basic purpose of development is to enlarge people's choices. In principle, these choices can be infinite and can change over time. People often value achievements that do not show up at all, or not immediately, in income or growth figures: greater access to knowledge, better nutrition and health services, more secure livelihoods, security against crime and physical violence, satisfying leisure hours, political and cultural freedoms and sense of participation in community activities. The objective of development is to create an enabling environment for people to enjoy long, healthy and creative lives.”

Mahbub ul Haq

Human Development defined

- Conceived as an alternative to purely economic development by emphasizing the diversity of human needs.
- Human Development is defined as the ‘ process of enlarging the range of people's choices’
 - focuses on the ends rather than the means of ‘development’ and progress.
 - denotes both the process of widening people's choices and the level of their achieved well-being.
 - distinguishes between two sides: One is the formation of human capabilities, the other is the use that people make of their acquired capabilities, for work or leisure.

What does HD say...

- The true wealth of a country is its people.
- There are not developed and underdeveloped countries, but developed and underdeveloped people.
- The basic purpose of development is to enlarge people's choices to lead lives that they value. Income is one aspect of life that people enjoy, cherish and value. Others are self-respect, dignity, a sense of belonging to a community, etc.

What does HD say...

- Human well-being is the purpose, the end, of development.
- HD about not just "what" to do, but "how" and for whom" – not doing different things but doing them differently-emphasis from "are we doing things right" to "are we doing the right things"

Four Pillars of HD

- **Efficiency:** Efficient use of resources. HD is pro-growth and productivity.
- **Equity:** Distributive justice, especially for choices and opportunities
- **Freedom and Empowerment,** Possibility of choosing. Sen: Freedom has a constitutive value (value by itself) and an instrumental value (as a means to efficiency and to equity)
- **Sustainability** not just for present generation but next ones too

Economic growth and HD

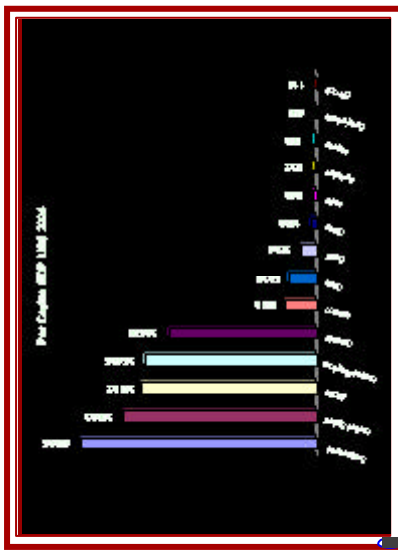
- **Economic growth is understood as the increase in a country's per capita income**
- **But:**
 - There is no automatic link between high GNP growth and progress in human development
 - There are choices or functionings that do not depend on the level of income.
 - Income's contribution to satisfaction of human needs decreases as income increases (Principle of decreasing marginal utility)

Economic growth and HD

- Total products or income don't only include goods and services but also wrongs, such as drugs and arms production.
- Per capital income does not take into account distribution between rich and poor, unevenly distributed
- Income expansion does not automatically lead to an expansion of all choices
- Growth can be ruthless, rootless, futureless, voiceless and jobless

Economic growth and HD

- Income expansion does not automatically lead to an expansion of all choices
- Income may be unevenly distributed
- Depends on national priorities for spending – guns or butter, elitist or egalitarian model

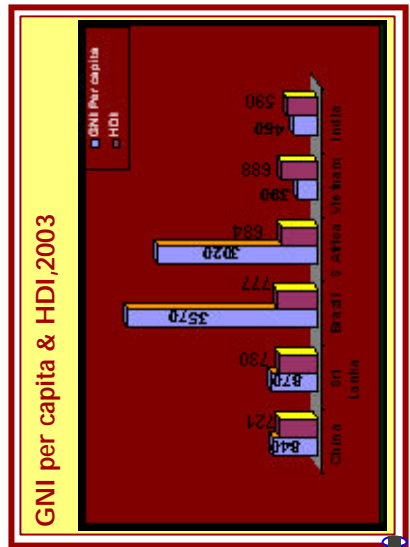
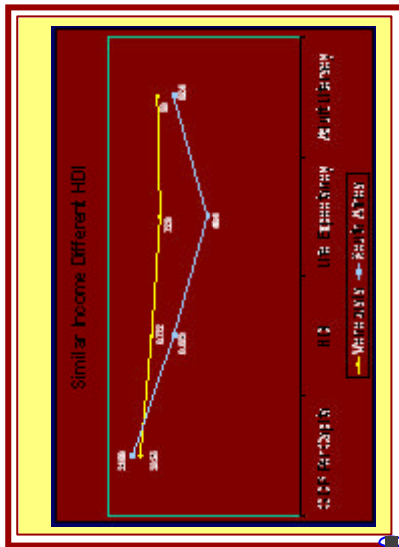
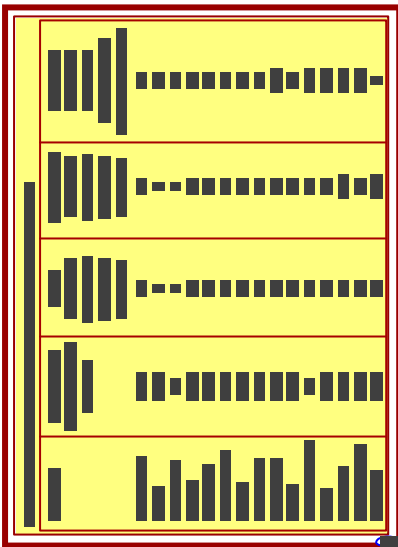


Economic growth and HD

- Comparing GDP per capita and HDI can reveal much about national policy choices and priorities. There are countries with high GDP but low HDI and vice versa.
- High HD and Low GNP – Sri Lanka
- Low HD and High GNP - Venezuela

Table: Global Income Disparity between the Richest and Poorest 20 Percent of selected countries during 1998-2002

Year	Share of Income or Consumption	
	Poorest 20%	Richest 20%
Argentina	3.1	56.4
Chile	3.3	62.2
Malaysia	4.4	54.3
Brazil	2.4	63.2
Thailand	6.1	50
Venezuela	3.0	53.4
China	4.7	50
Sri Lanka	8.3	42.2
Indonesia	8.4	43.3
Egypt	8.6	43.6
South Africa	3.5	62.2
India	8.9	43.3
Pakistan	8.8	42.3
Bangladesh	9.0	41.3



- ### HD Strategies
- Rising per capita income is a necessary condition for HD, but is not enough.
 - Public policy is needed to translate growth into HD. How?
 - Emphasis on investment in health, education, skills of people
 - More equitable distribution of assets and income
 - Well structured public expenditures
 - Empowerment of people to participate

Introduction to the concept of HD

- ### Economics and Welfare
- Is Human Development about Economics?
 - Positive Economics
 - Normative Economics
 - Economics of Welfare

- ### Economics and Welfare
- Income and quality of life
 - Inter-personal comparison income as comparison of welfare
 - Capacity to convert income into well-being
 - Well-being?

- ### The four key choices
- Healthy and long lasting existence
 - Access to knowledge in its different expressions
 - Opportunities and material resources for a decent standard of living
 - Free participation in community life and collective affairs

- ### The four pillars of Human Development
- Efficiency
 - Equity/Equality
 - Freedom & Empowerment
 - Sustainability

Empowerment

- Equality is generally understood as equal opportunity to play the game
- The rules of the game may be biased
- Equality to be real, must include equal power to make the rules: empowerment
- Participation is a sure way to empowerment

Sustainability

- Economic sustainability
 - Resources generated by the activity provide for resources needed to sustain the activity
 - A viable business model
 - It is possible to have workable business/quasi-business model for services. For livelihoods, a business model is a big challenge: e.g., Rythu Bazar

Sustainability

- Environmental sustainability
 - Development of the present generation without sacrificing that of the future generation
 - Environmental sustainability leads to inter-generational economic sustainability

Equality

- Not efficiency at macro-economic level but target group level
- Ask yourself
 - (a) Will all benefit?
 - (b) Will some people be left out?
- Can aggravate inequality
 - (c) Will some people lose out?
- Not desirable, not HD approach

Efficiency

- Cost minimisation
- Profit maximisation (allocative efficiency)
- Product mix
- Labour – Capital mix
- Economic efficiency
 - Pareto
 - Kaldor
- Turning farming lands into SEZ
 - is it efficient?

What is dimension?

- Component aspects of human development – all coexisting
- Human Development is multi dimensional
 - Non-hierarchical, irreducible, incommensurable

List of dimensions

- Deepa Narayan (World Bank): *Voices of the Poor*
 - Material Well being
 - Food
 - Assets
 - Work
 - Bodily well-being
 - Health
 - Appearances
 - Physical Environment

List of dimensions

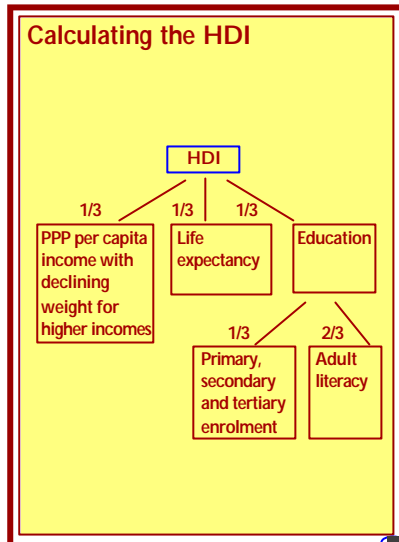
- Social well-being
 - Being able to care for, marry, settle, have children
- Self-respect and dignity
- Peace, good family & community relations
- Security
 - Civil peace
 - Physically safe and secure environment
 - Personal safety
 - Old age security
 - Confidence in future
 - *Security of capabilities*

List of dimensions

- Psychological well-being
- Peace of mind
- Happiness
- Harmony (including spiritual life and religious observance)

Goalposts for calculating HDI

Indicator	Minimum value	Maximum value
Life expectancy	25 years	85 years
Adult literacy	0%	100%
Gross enrolment	0%	100%
GDP per capita	100 (PPP US\$)	40,000 (PPP US\$)



A Working Example India

- Index for country with life expectancy of 63.7:
 $= (63.7-25) / (85-25) = 38.7 / 60 = 0.645$
- Index for educational attainment:
 - Index for adult literacy (61.0%):
 $= (61.0 - 0)/(100 - 0) = 61.0/100 = 0.610$
 - Index for enrolment (63.8%):
 $= (63.8 - 0)/(100 - 0) = 63.8 / 100 = 0.638$
 - Index for educational attainment:
 $= 2*(0.61)/3 + 1*(0.638) / 3 = 0.620$
- Index for ADJUSTED real GDP per capita (\$ 3452):
 $= \text{Log}(3452) - \text{Log}(100)/\text{Log}(40000) - \text{Log}(100)$
 $= 1.53807/2.60206 = 0.591$
- HDI = $(0.645 + 0.620 + 0.591) / 3 = 0.619$

Calculating the HDI: Key Issues/Concerns

- Are the indicators the best ones to measure the various components? Is there a bias in favour of what is inherently measurable?
- Even the best data systems cannot capture important aspects of human choices that are hard to measure (cultural freedoms, peace, conflict, security, environmental concerns)

Calculating the HDI: Key Issues/Concerns

- Requirement of uniform availability, definitional consistency and statistical sensitivity
- Relevance of global measures for local context and action: need for disaggregated data and indicators relevant for implementation

(HDI Trend for India)

Year of Publication of Global HDR	HDI Value	HDI Rank (Number of countries in parentheses)
2007/08	0.619 (2005)	128 (out of 177 countries)
2006	0.611 (2004)	126 (out of 177 countries)
2005	0.602 (2003)	127 (out of 177 countries)
2004	0.595 (2002)	127 (out of 177 countries)
2003	0.590 (2001)	127 (out of 175 countries)
2002	0.577 (2000)	124 (out of 173 countries)
2001	0.571 (1999)	115 (out of 162 countries)
2000	0.563 (1998)	128 (out of 174 countries)

Engendering the HDI: GDI and GEM

- Attempt to explore gender dimension of human development
- 1995: Beijing Conference and Global HDR
- Gender Development Index (GDI): simple measure of inequality between men and women on components of the HDI
- Gender Empowerment Measure (GEM): a positive measure of progress by women in the economic, professional and political spheres

Gender Development Index (GDI)

- The 3 dimension indices calculated for males and females and combined, *penalizing* differences in achievement
- Equally distributed index (EDI) = $\{[\text{female popn. share} (\text{female index}^{1-?})] + [\text{male popn. Share} (\text{male index}^{1-?})]\}^{1/1-?}$
 where ? = 2 (moderate penalty for gender inequality)
- GDI = simple average of the 3 EDIs

Gender Empowerment Measure (GEM)

- Focusing on women's *opportunities* rather than capabilities, in terms of :
 - Political participation (% share of parliamentary seats)
 - Economic participation (% share as in managerial and technical positions)
 - Power over economic resources (estimated earned income, PPP US\$)

GEM

- Equally distributed equivalent percentage (EDEP) calculated for each dimension:
 $= \{[\text{female popn. share}(\text{female index}^{1-\alpha})] + [\text{male popn. share}(\text{male index}^{1-\alpha})]\}^{1/(1-\alpha)}$ where $\alpha=2$.
- The EDEP for political and economic participation indexed by dividing it by 50 assuming equal empowerment of the sexes
- GEM=simple average of the 3 indexed EDEPs

Human Poverty Index (HPI)

- Measures the extent of deprivation in HDI's three dimensions
- HPI-1 is calculated for developing countries
- HPI-2 is calculated for industrialized countries

The Human Poverty Index for developing countries (HPI-1)

Dimensions	Indicators
• A long and healthy life	• Probability at birth of not surviving until age 40
• Knowledge	• Adult illiteracy rate
• A decent standard of living	• Access to safe water
	• Children underweight for age

HPI-1 Formula

- $HPI-1 = [1/3 (P_1^a + P_2^a + P_3^a)]^{1/a}$; $a = 3$
- P_1 = Probability at birth of not surviving to age 40
- P_2 = Adult illiteracy rate
- P_3 = Unweighted average of population without sustainable access to an improved water source and children under weight for age
- The 'cubing' i.e. $a=3$ ensures greater weight for the component with acute deprivation

The Human Poverty Index for OECD countries (HPI-2)

Dimensions	Indicators
• A long and healthy life	• Probability at birth of not surviving until age 60
• Knowledge	• Functional illiteracy rate
• A decent standard of living	• Relative income poverty
	• Long term unemployment

HPI-2 Formula

- $HPI-2 = [1/4 (P_1^a + P_2^a + P_3^a + P_4^a)]^{1/a}$, $a=3$
- P_1 = Probability of not surviving to age 60 (times 100)
- P_2 = Functional illiteracy rate
- P_3 = Relative income poverty (population below 50% median income)
- P_4 = Long-term unemployment

Criticism (HDI, HPI)

- Composite indicators may hide more than reveal
- Fundamental problem of weighting and aggregation
- Sometimes mixing of output and input indicators: not useful as evaluation tool
- No immediate uses for policy design: tailor made tools required

Advantages (HDI, HPI)

- Tool for advocacy
- Ranking of areas
- Tool for research (if composite measure of development is needed)
- More reliable tool than per capita income measures for capturing improvement in human well-being
- Registers potential impact of over-development
- Politically appropriate – focuses on social sectors, policies and achievements

Statistical Challenges to Social Statistics in measuring Sub District Level HDI

In every HDR relative positions of administrative units indicate the level of Human development in that unit

- Global HDR —the countries of the World
- National HDR —the States
- State HDR —the Districts
- District HDR —the Blocks/ Gram Panchayats & Municipalities

Why should we compare?

- To ascertain the weakest unit— weaker pockets in HD perspective
- To ascertain the Strongest unit – Sector wise in HD perspective
- To prepare Success Stories & Distress Stories for awareness building

Why should we compare?

- To prepare Plan accordingly i.e. more focused intervention to the weakest area for HD
- To formulate replication of Success stories in the weaker areas
- To avoid Regional/ Sectoral Imbalances

For Comparison of Sub- District level Data

- **In Rural areas**
- Comparison between the Blocks
- Comparison between the Gram Panchayats
- **In Urban areas**
- Comparison between Municipalities
- Comparison between Wards

Sharing our experiences.....

- Non availability of Data
- Data varies between Departments
- Time frame may vary
- Dilution of Data due to consequent estimation
- Non availability of data for some new/ reorganised administrative units

ANDRAGOGY

Andragogy is the Art and Science of helping Adults to learn.

Adults do not learn in the same way as children.

ANDRAGOGY

- ✍ Adults are Autonomous and Self -Directed.
- ✍ Adults Have Accumulated a Foundation of Life Experiences and Knowledge.
- ✍ Adults are Relevancy-oriented
- ✍ Adults are Goal-oriented
- ✍ Adults are practical
- ✍ Implication for Training

Feedback

Adults are Autonomous and Self-Directed

Adults are likely to resist learning conditions that conflict with their self-concept.

Adults need to be free to direct themselves.

Trainer must actively involve adult participants in the learning process and serve as facilitators for them.

Adults have accumulated a foundation of life experiences and knowledge.

Learners should be able to relate what is being studied to their personal/ professional experiences.

Adults have a rich foundation of experience with which they will consider new experiences and their implications for work.

Adults have acquired many fixed habits and patterns of thought and, therefore, possibly less open-minded.

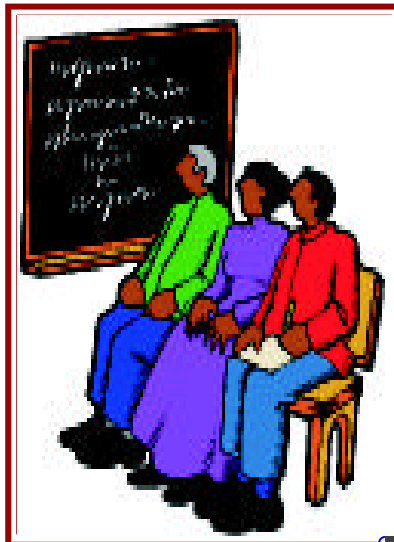
Adults are relevancy oriented

Adult must see a reason for learning.

Theories and concepts must be related to a setting familiar to participants.

Adults are goal-oriented

Participants must be shown how the training course in general and the session in particular will help them attain their goals.



Adults are practical

Adults are more concerned with their performance.

Instructions should be task-oriented, and it should take into account the wide range of different backgrounds of learners.

- They are primarily concerned with the problem they are facing in their job situation.
- Adult learners are generally more interested in the solution of the problem rather than the content of it.

Implication for Training

- The physical environment should be one in which adults feel at ease, with furnishings that are comfortable and informal.
- The psychological climate should be one that causes adults to feel accepted, respected and supported.

Implication for Training

- There should be a spirit of mutual respect and cooperation between the trainer and the learners, in which there is freedom of expression without fear of being ridiculed.
- A person feels more 'adult' in an atmosphere that is friendly and informal.

Implication for Training

- The behaviour of the trainer probably influences the learning more than any other single factor.
- The trainer conveys in many ways his or her attitude, interest and respect for learners.
- The trainer, who takes time and trouble to get to know the learners individually and calls them by their first names is, promoting the right sort of atmosphere.

Implication for Training

- Because adults are themselves a rich source for learning, greater emphasis can be placed on techniques that use their experience.
- Training methods such as group discussions, case studies, in-tray exercises, and action learning, promote participation in a learner-centred environment.

Implication for Training

- Assist the learners to define their learning needs.
- Design learning to suit an individual learner's existing knowledge
- Help the learner understand how to use learning resources, including the experience of sharing their learning experiences with others.

Implication for Training

- Assist learners to assume increasing responsibility for planning their own learning.
- Reinforce the self-concept of the learner to encourage achievement of objectives.
- Encourage the use of formative assessment techniques, including free exchange of feedback.

Feedback

WHAT IS FEEDBACK

The process by which information about the results of an action is communicated to the source of the action

WHAT IS THE PURPOSE OF FEEDBACK

In Training Feedback Received by Trainees From Other Trainees and Trainers can Provide the Basis for Helping to Develop Their Behaviour and as a Result to Improve Their Performance.

Effective Feedback

- H** – **Hear**
- U** – **Understand**
- M** – **Motivate**
- A** – **Acceptable**
- N** – **Negotiate**

GIVING FEEDBACK

- Concentrate on behaviour rather than personality
- Give observation rather than inference
- Specific rather than general

GIVING FEEDBACK

- Suggest/advice change rather than opinion
- Timely
- Provide constructive, supportive and non threatening

RECEIVING FEEDBACK

- Be positive to the feedback – value the help given
- Listen – don't react.
- Try to see it from the giver's point of view
- Clarify and check your understanding

RECEIVING FEEDBACK

- Compare with feedback from others
- Ask for detail not given
- Explore options
- Decide action you will take

Poverty

- Definition of Poverty
- Measurement of Poverty
- Identification of Poor
- Poverty Alleviation Programme : Design & Implementation

Definition

- Poverty Line
- Per Capita Consumption

Measurement

- Poverty Ratio
- Percentage of People Living Below the Poverty Line

Poverty Line: Task Force

- Age-sex-activity Distribution of Population
- Average Calorie Norm
- National Poverty Line
- Updating of Poverty Line

Average Daily Calorie Requirement

- 2400 kcal per cap in Rural Areas
- 2100 kcal per cap in Urban Areas

Poverty Line in 1973-74: Monthly per capita Consumption Expenditure

- Rs. 49 per month in Rural Areas
- Rs. 56 per month in Urban Areas
- Total Consumption = Food + Non-Food
- NSS 28th Round Consumer Expenditure

Updation of Poverty Line

- Wholesale Price Index
- NAS Consumption Deflator

Poverty Line : 1999-2000

- Per Person monthly Consumption of Rs. 327.6 in Rural Areas
- Per Person monthly Consumption of Rs. 454.1 in Urban Areas

Poverty Estimates

Year	Poverty Ratio (%)	No of Poor (million)
1973-74	54.9	321.3
1993-94	36.0	320.4
1999-2000	26.1	260.2

Major Indian state

States/U.T.'s	Rural		Urban		Combined	
	No. of Persons (Lakhs)	% of Persons	No. of Persons (Lakhs)	% of Persons	No. of Persons (Lakhs)	% of Persons
Andhra Pradesh	58.13	11.05	60.88	26.63	119.01	15.77
Assam	92.17	40.04	2.38	7.47	94.55	36.09
Bihar	376.51	44.3	491.3	32.91	425.64	42.6
Gujarat	39.8	13.17	28.09	15.59	67.89	14.07
Haryana	11.94	8.27	5.39	9.99	17.34	8.74
Himachal Pradesh	4.84	7.94	0.29	4.63	5.12	7.63
Jammu & Kashmir	2.97	3.97	0.49	1.98	3.46	3.48
Karnataka	59.91	17.38	44.49	25.25	104.4	20.04
Kerala	20.97	9.38	20.07	20.27	41.04	12.72
Madhya Pradesh	217.32	37.06	81.22	38.44	298.54	37.43
Maharashtra	125.12	23.72	102.87	26.81	227.99	25.02

Major Indian state

States/U.T.'s	Rural		Urban		Combined	
	No. of Persons (Lakhs)	% of Persons	No. of Persons (Lakhs)	% of Persons	No. of Persons (Lakhs)	% of Persons
Maharashtra	125.12	23.72	102.87	26.81	227.99	25.02
Manipur	6.53	40.04	0.66	7.47	7.19	28.54
Orissa	143.69	48.01	25.4	42.83	169.09	47.15
Punjab	10.2	6.35	4.29	5.75	14.49	6.16
Rajasthan	55.06	13.74	26.78	19.85	81.83	15.28
Tamil Nadu	80.51	20.55	49.97	22.11	130.48	21.12
Uttar Pradesh	412.01	31.22	117.88	30.89	529.89	31.15
West Bengal	180.11	31.85	33.38	14.86	213.49	27.02
All India	1932.43	27.09	670.07	23.62	2602.5	26.1

Identification of Poor

- BPL Census 1992 : Income Approach in Eighth Plan
- BPL Census 1997 : Exclusion Criterion in Ninth Plan
- BPL Census 2002 : Score Based Ranking of Rural Families using 13 Socio-Economic Parameters: Tenth Plan

13 Socio-Economic Parameters

- Food Security, Consumer Durables
- Shelter, Clothing, Sanitation
- Literacy, Indebtedness, Migration
- Means of Livelihood
- Children's status
- Labour type, Operational holding, Preference of Assistance

Poverty Alleviation Programmes

- Asset Generation Programmes
- Employment Generation Programmes

Asset Generation Programmes

- IRDP : Integrated Rural Development Programme
- SGSY : Swarnjayanti Gram Swarozgar Yojana

Employment Generation Programmes

- NREP : 1980
- RLEGP : 1983
- JRY = NREP + RLEGP = 1989
- EAS in some blocks: 1993
- EAS universalised in 1997

Employment Generation Programmes

- 1st April 1999 : EAS Changed
- 1st April 1999 : JRY restructured as JGSY
- Early 2001 : FFWP in some blocks
- Sept. 2001 : SGRY
- April 2002 = SGRY = EAS + JGSY + FFWP
- 14th Nov. 2004 : NFFWP in 150 districts
- Sept. 2005 : NREGA in 200 districts

Eleventh Plan Targets : Poverty

- Poverty Reduction by 10% points.

Eleventh Plan Targets : Human Development

- Reduce Dropout Rates in Elementary to 20%.
- Raise Literacy Rate to 85%.
- Reduce Gender Gap in Literacy Rate to 10% points.
- Reduce IMR to 28 per thousand

Monitorable Targets in Broad Categories

- Income
- Poverty
- Education
- Health
- Women and Children

Targets Broken Down at State Level

- GDP Growth Rate
- Agricultural Growth
- Poverty Ratio
- Drop Out Rate
- Literacy Rate
- Gender Gap in Literacy Rate
- Infant Mortality Rate
- Maternal Mortality Ratio
- Total Fertility Rate
- Child Malnutrition
- Anemia among Women and Girls
- Sex-Ratio

INTERACTIVE SESSION

Stages Involved in Preparing an Interactive Session

- Objective of a session
- Entry Behaviour
- The Learning Event
- Deciding the Content
- Planning the Sequence
- Planning for Maximum Recall
- Structuring the Session
- Use of Visual Aids
- Conducting Session
- Session Planning
- Close

Objective of a session

At the end of your session learners will be able to ...

OBJECTIVE

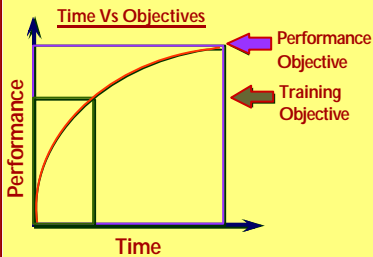
States what a learner will be able to do at the end of the session

OBJECTIVE

- S – Specific
- M – Measurable
- A – Action Oriented
- R – Realistic
- T – Time Specific

OBJECTIVE

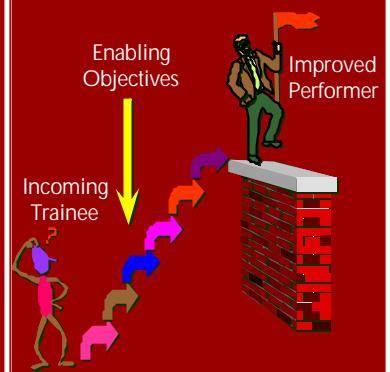
- | | |
|-------------------|----------|
| know | identify |
| understand | describe |
| appreciate | state |
| working knowledge | explain |
| be aware of | repair |



Relationship Between Objectives



Task of a Trainer



Entry Behaviour

ENTRY BEHAVIOUR

Takes account of a learner's knowledge, skills, attitude, experience, learning style etc relevant to the objective.

BEHAVIOUR

- Knowledge** - knowing what and how to do it
 - facts, procedures
 - standards
 - working environment
- Skills** - having the ability to do it
 - physical
 - interpersonal, social
 - intellectual
- Attitude** - being prepared to do it
 - to people, quality, safety
 - willingness to change

The Learning Event

LEARNING EVENT

Creates a suitable opportunity for the learner to achieve the objective

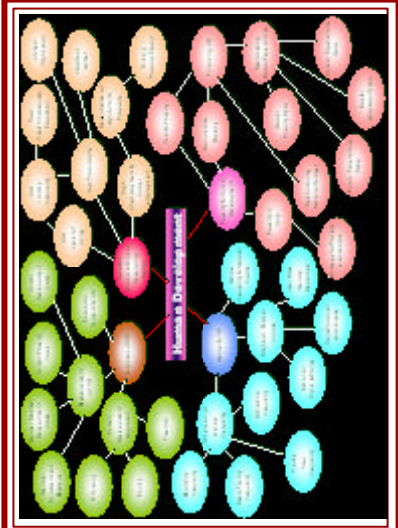
Entry Behaviour & Learning Event



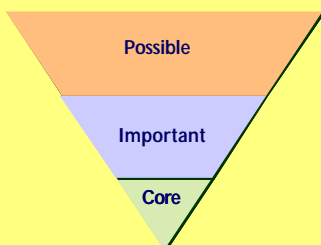
Deciding the Content

Deciding The Content

Spray diagram



Deciding Content



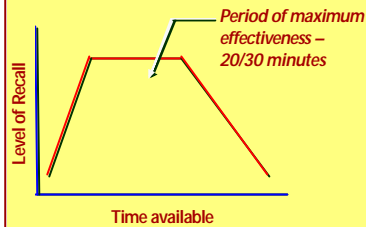
Planning the Sequence

Planning The Sequence

- ≠ *Known to the unknown*
- *Simple to the complex*
- *Concrete to the abstract*
- *Observation to the theory*
- *General to the particular*

Planning for Maximum Recall

Period of Effectiveness



Structuring the Session

STRUCTURING THE SESSION

- ⌘ Introduction
- ⌘ Body
- ⌘ Summary

Tips for Creating an Effective Introduction.

Introduction

- ⌘ Gain attention/rapport
- ⌘ Explain purpose/reason for learning about topic
- ⌘ State objective
- ⌘ Link to entry behaviour
- ⌘ State participation
- ⌘ Outline content and structure
- ⌘ State finish time

- ⌘ Review of the session objective.
- ⌘ Ask for a show of hands in response to a general question.
- ⌘ Ask a series of questions related to the session topic.
- ⌘ Use an interesting or famous quotation.

- ⌘ Relate the topic to previously covered content.
- ⌘ Use a case study or problem-solving activity.
- ⌘ Use a videotape or other media.
- ⌘ Use a training film
- ⌘ Show an appropriate cartoon with the overhead or slide projector

Body

Summary

Summary

- Restate purpose/reason for learning about topic
- Restate objective
- Review content and major points
- Invite final questions
- Carry out performance assessment where appropriate
- Give feedback

Use of Visual Aids

- ⌘ Simple
- ⌘ Attract and Hold Attention
- ⌘ Use colour to give contrast to different major points
- ⌘ Use Formal visuals for pre-prepared material
- ⌘ Do not make it clumsy
- ⌘ Use appropriate Font size for visibility
- ⌘ Use whiteboards and flipcharts for informal visuals

Planning

- ⌘ Identify topic
- ⌘ Prepare a spray diagram.
- ⌘ Edit spray diagram to identify 'core' items
- ⌘ Express core items as an objective
- ⌘ Consider entry behaviour of trainees
- ⌘ Consider size of group

- ⌘ Decide structure to be used
- ⌘ Consider visual aid hardware available
- ⌘ Prepare formal visual presentation of major points
- ⌘ Consider informal visual aids
- ⌘ Decide when to invite questions

- ⌘ Decide timing
- ⌘ Decide how learning performance is to be assessed
- ⌘ Write session notes
- ⌘ Check timing
- ⌘ Check equipment

Preparing Notes

- They should be kept as simple as possible.
- They should be easy to read - you might be some distance away from your notes.
- Use colour to ensure we do not miss major points.
- Use sketches to indicate where a visual aid is to be used
- Include a time schedule.

Conducting Session

Presentation Techniques

- ⌘ Use the session notes prepared during the planning stage. The notes include reminders and key points in the session introduction, body and summary.
- ⌘ Open the session with a good introduction designed to capture the interest and attention of the trainees.

- ⌘ Communicate on a personal level. The trainer should attempt to relate to the trainees during the session.
- ⌘ Maintain eye contact with the trainees. Eye contact gives the trainer feedback on how well trainees understand the content and helps to communicate a caring attitude on the part of the trainer.

- ⌘ Exhibit enthusiasm about the topic. Smiling, moving around the room and gesturing with hands and arms project a feeling of energy and excitement.

- Modulate voice to suit size of group
- Avoid reading session notes
- Use language appropriate to trainees
- Keep check of estimated timing
- Give relevant examples to support major points
- Maintain eye contact

- Present visual aids only when needed
- Avoid reading visual presentation word for word
- Assess trainee's reaction and adjust if necessary
- Assist learning by use of informal visual aids
- Check trainee's understanding where appropriate
- Where possible invite trainee's participation

- ⌘ Avoid the use of slang or repetitive words, phrases or gestures that may become distracting with extended use.
- ⌘ Avoid the use of fillers (e.g. "um", "er", "you know")
Use a variety of audiovisual media.
Ask a number of questions and encourage trainees to ask questions.

- ⌘ Provide positive feedback when trainees ask questions, answer questions or make comments.
- ⌘ Use trainee's name as often as possible.
- ⌘ Display a positive use of humour (e.g. humorous transparencies or slides, topic-related stories.)

- ⌘ Make smooth transitions between parts of the session. These transitions should be highlighted in the sessions notes and might include:
 - ⌘ A brief overview of the next topic.
 - ⌘ A review of the agenda between topics
 - ⌘ A change of media
 - ⌘ An interim summary before a new topic
 - ⌘ An activity (case study or problem-solving activity)
 - ⌘ Close the session with a brief but powerful summary

Tips to Reduce Presentation Anxiety

-: 1 :-

- ⌘ Avoid eating a big meal before the session. Not only will a full stomach make you drowsy, but it makes it more difficult to move around the room with energy.
- ⌘ Arrive early to make sure that everything is ready before the first trainee arrives.

-: 2 :-

- ⌘ Make sure all of the media equipment is working.
- ⌘ Locate and check the lighting and temperature controls.
- ⌘ Decide where the session notes will be placed (e.g on a lectern, desk, table) when they are not being held.

-: 3 :-

- ⌘ Have a glass of water available during the session.
- ⌘ Go for a short walk just before the session.
- ⌘ Look over your session notes one last time.

-: 4 :-

- ⌘ Greet trainees as they enter the room. Welcome them to the session and talk to as many of them as possible.
- ⌘ Take a few deep breaths to relax before beginning the session.

FINANCING OF HUMAN DEVELOPMENT

Purpose and Structure

- Purpose
 - Overview of public financing of human development in India
 - Understanding key issues
- Structure of discussions
 - Importance of Social Sectors
 - The Indian Context
 - Indian States - Typology
 - Myths Regarding Social Sector Spending
 - Stylised Facts of Social Sector Financing
 - Options for Financing

Defining Social Sectors

- Social sectors cover all those sectors that seek to alleviate income and human poverty
- Global recognition to social sectors
- Adoption of Millennium Development Goals(MDGs)
 - for reducing poverty,hunger, disease, environmental degradation and discrimination against women
 - targets to be achieved by 2015

Importance of Social Sectors

- Essential to ensure decent quality of life
 - *Merit Goods*
- Valuable in themselves as social sector attainments enhance the capabilities of human beings
 - *Human Development (HD) Approach*
- Critical for enhancing productivity of the economy
 - *Human Resource Approach*

Proposed Monitorable Socio-Economic Targets XI Plan

Income & Poverty

- Accelerate growth rate of GDP from 8% to 10% and then maintain at 10% in the 12th
- Plan in order to double per capita income by 2016-17
- Increase agricultural GDP growth rate to 4% per year to ensure a broader spread of benefits

Proposed Monitorable Socio-Economic Targets XI Plan

Income & Poverty

- Create 70 million new work opportunities.
- Reduce educated unemployment to below 5%.
- Raise real wage rate of unskilled workers by 20 percent.
- Reduce the headcount ratio of consumption poverty by 10 percentage points.

Education

- Reduce drop out rates of children from elementary school from 52.2% in 2003-04 to 20% by 2011-12.
- Develop minimum standards of educational attainment in elementary school, and by regular testing monitor effectiveness of education to ensure quality.
- Increase literacy rate for persons of age 7 years or more to 85%.
- Lower gender gap in literacy to 10 percentage points.
- Increase the percentage of each cohort going to higher education from the present
- 10% to 15% by the end of the 11th Plan.

Proposed Monitorable Socio-Economic Targets XI Plan

Health

- Reduce infant mortality rate (IMR) to 28 and maternal mortality rate (MMR) to 1 per 1000 live births.
- Reduce Total Fertility Rate to 2.1.
- Provide clean drinking water for all by 2009 and ensure that there are no slip-backs by the end of the 11th Plan.
- Reduce malnutrition among children of age group 0-3 to half its present level.
- Reduce anemia among women and girls by 50% by the end of the 11th Plan.

Proposed Monitorable Socio-Economic Targets XI Plan

Women and Children

- Raise the sex ratio for age group 0-6 to 935 by 2011-12 and to 950 by 2016-17.
- Ensure that at least 33 percent of the direct and indirect beneficiaries of all government schemes are women and girl children.
- Ensure that all children enjoy a safe childhood, without any compulsion to work.

Proposed Monitorable Socio-Economic Targets XI Plan

Infrastructure

- Ensure electricity connection to all villages and BPL households by 2009 and round the clock power by the end of the Plan.
- Ensure all weather road connection to all habitation with population 1000 and above (500 in hilly and tribal areas) by 2009, and ensure coverage of all significant habitation by 2015.

Proposed Monitorable Socio-Economic Targets XI Plan

Infrastructure

- Connect every village by telephone by November 2007 and provide broadband connectivity to all villages by 2012.
- Provide homestead sites to all by 2012 and step up the pace of house construction for rural poor to cover all the poor by 2016-17.

Proposed Monitorable Socio-Economic Targets XI Plan

Environment

- Increase forest and tree cover by 5 percentage points.
- Attain WHO standards of air quality in all major cities by 2011-12.
- Treat all urban waste water by 2011-12 to clean river waters.
- Increase energy efficiency by 20 percentage points by 2016-17.

Indian Context - Challenges

- Number of Poor – 260 mn
 - Population Brazil (174mn) & Germany (83 mn)
- Illiterates – 296 mn
 - Population of United States (288 mn)
- High levels of illiteracy among workers
 - Rural male – 40 % female - 74%
 - Urban male – 16 % female – 44%
- Undernourished – 233 mn
 - Population of Indonesia (214 mn) & Ghana (20 mn)
- Income inequality - share in consumption exp.
 - top quintile – 41.8% bottom quintile –8.7 %

HD – Comparisons

Asian Countries (Adult literacy rate):

	1960	1980	1990	2004
India	28	36	49	61
South Korea	71	93	96	98
Thailand	68	86	92	93
China	n/a	69	77	91

Deprivation–Regional Dimensions

- States of Bihar, Orissa, UP and MP account for
 - more than 50 % of the people living below the poverty line
 - almost 40 % of the illiterates
- India cannot hope to attain MDGs without significant progress in the indicators in the poorest States – Bihar, Orissa, MP, UP and Rajasthan

Myths Regarding Social Sectors

MYTH NO. 1

Social Sector Spending is adequate
Public spending in developed countries is low

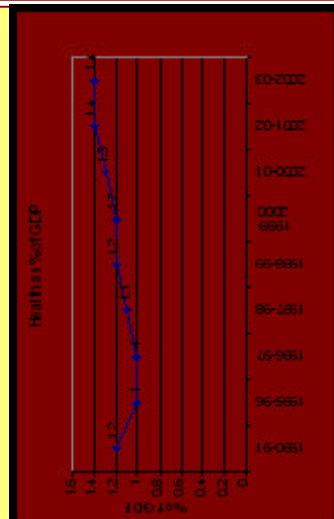
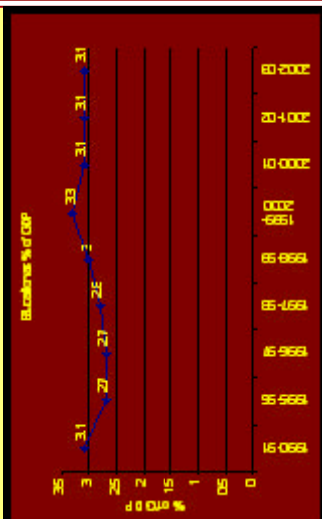
- Proposed 6 % allocation for education and health – Kothari Commission & ICSSR-ICMR joint panel
- Average for education -3 % , health – 1%
- Developed countries health spending is more than 6 %
- Germany : 8 %, Sweden: 7.5 %, UK and USA:6.2%
- Among South Asian countries...

Myths Regarding Social Sectors

Social sectors funding has increased over the years

- In absolute terms the combined allocations of Centre and States increased
- education- from Rs. 17,093 in 1990-91 to Rs. 80, 779 in 2003-04
- health – from Rs. 5317 in 1990-01 to Rs. 36.850 in 2003-04
- But as percentage of GDP and total expenditure....

Country	Pub. Health Exp. (2004)	IMR (2001)	Pub.Edu. Exp (2004)	Adult Lit. Rate (2000)
Bangladesh	1.1	51	2.2	40%
Pakistan	0.7	83	1.7	44%
Nepal	1.5	74	1.5	42.9%
Sri Lanka	1.6	17	1.6 (2001)	91%
India	1.2	67	1.2	58%



Stylised facts of social sector spending

- Social sector policy yields best results when integrated rather than sectoral
- Since social sector investments have a yields results in the medium to long term – public investments need to be sustained over a long period
- Social sector programmes need to be designed and implemented in an integrated manner to reap synergies

Shortfall

- GDP at current prices: Rs.2519785 cr.(2003-04)
- Proposed 6 % of GDP: Rs. 151187cr.
- Current education spending: Rs. 80779 cr.
- SHORTFALL: Rs. 70408 cr.
- Constraints
 - cannot borrow as fiscal deficit is already high at 4.5 %
 - User fees hampers utilisation

Financing the Shortfall

- Be Fiscally responsible
 - Rs.3172.96 crores is the 'interest' on outstanding loans
 - Rs.88 to 207 crores lost due to recent Parliament disruptions
 - Raise resources
 - we have the lowest tax/GDP ratio in the world – 8 %
 - Even if Tax/GDP ratio reaches 1991 levels, it will release 2 % of GDP
- More options can include.....

Options

- Disinvestment
 - For 2003-04 target amount 13200 crores
 - If 5% allocated to social sectors –660 crores
 - Per district allocation for NREGA 56 crores
 - 11 low literacy districts could be funded
 - But disinvestment proceeds much lower
 - Even available amount not allocated to social sectors

Options

- **Official Development Assistance**
- Importance of ODA stressed by Zedillo Panel
- total external assistance in India 2004-05 at 7360 crores
- less than 2% of development expenditure
- higher proportion in education sector
- X Plan period - 4 major externally aided projects
- Shiksha Karmi, Lok Jumbish, DPEP and Janshala

Options

- Restructuring Social Sector Expenditures
 - Greater allocation for primary level facilities
 - Better utilisation of expenditures and infrastructure
 - Greater efficiency of services
 - Institutional reform

Options

- **Corporate Social Responsibility**
- IMRB survey 2000 indicates that of 650 randomly selected companies, 69% working on the ground on infrastructure and health
- Triple bottom line-economic, social & environmental
- **Community Financing**
- Assuming importance with EGS in MP
- Community health insurance
- Himachal experiment with local co-funding of projects

Gender

Sex and Gender

- Sex is biologically determined
- Gender is socially constructed
- Gender varies across cultures and from time to time. Sex does not.
- Construction of gender is a historical process

Equality vs Equity

- Treating Equally is treating the 'same' – giving 50:50
- Simple equality is equality of opportunity
- Need EQUITY–OR EQUALITY OF OUTCOME–need to provide for people according to their situation
- Simple equality ensures equality at the starting line – equity attempts equality at the finishing line

Dimensions of Gender inequality of selected countries is tabulated below:

Countries	Gender Development Index
Argentina	0.859
Brazil	0.789
Chile	0.85
China	0.765
Ghana	0.528
India	0.591
Indonesia	0.704
Malaysia	0.795
Sri Lanka	0.749
Thailand	0.781
Uganda	0.498
Venezuela	0.78
Pakistan	0.513

Source: Human Development Report 2006

Literacy female as percentage of Male is tabulated below:-

Countries	Female Literacy Rate as % of Male (2004)
Argentina	100
Brazil	100
Chile	100
China	91
Ghana	75
India	65
Indonesia	92
Malaysia	93
Sri Lanka	97
Thailand	95
Uganda	75
Venezuela	99
Pakistan	57

Source: Human Development Report 2006

Time Allocation

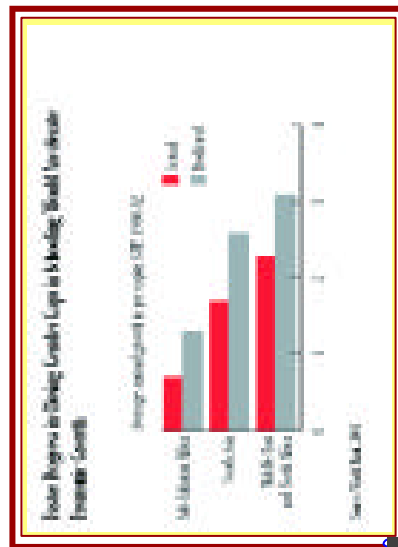
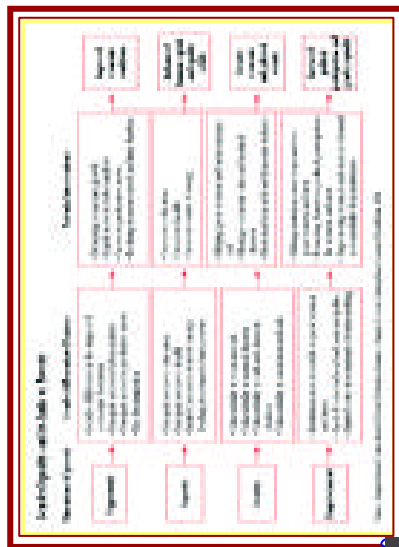
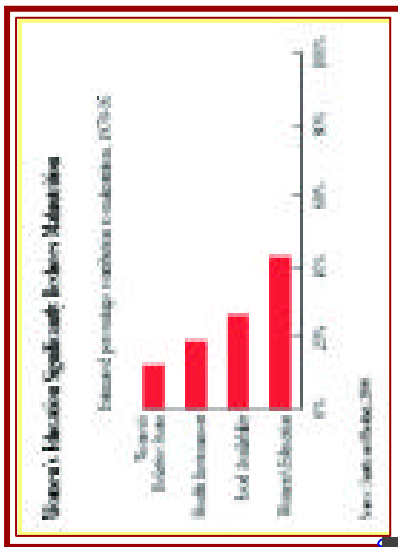
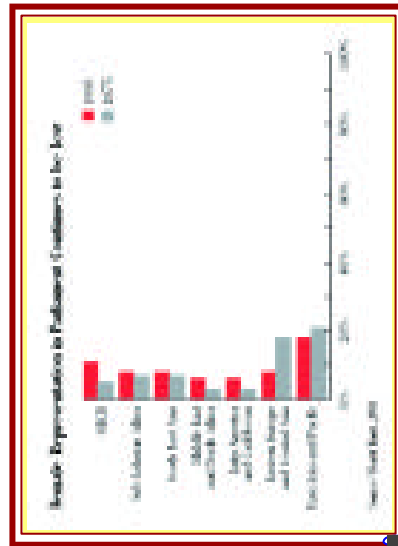
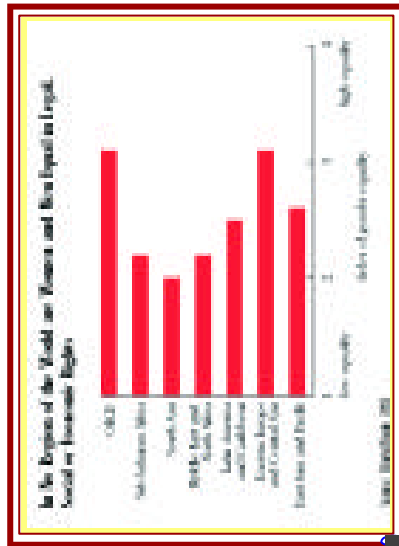
Countries	Time spent by women		Time spent by men	
	Market activities	Non market activities	Market activities	Non market activities
Bangladesh	35	65	70	30
Colombia (Urban)	24	76	77	23
India	35	65	92	8
Indonesia (Urban)	35	65	86	14
Kenya (Urban)	41	59	79	21
Kenya (Rural)	42	58	76	24
South Africa	35	65	70	30

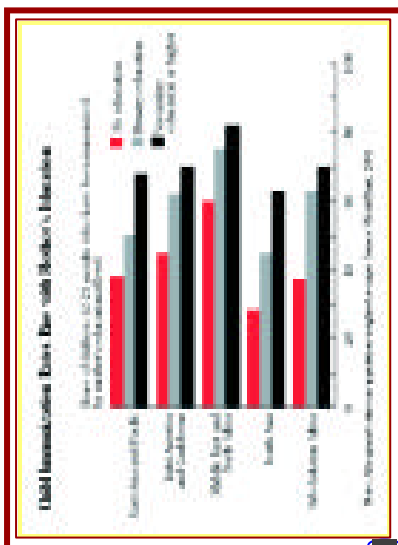
Women spent most of the time in non-market activity but men are actively involved in market activity.

Source: Human Development Report 2006

	Total work time (minutes per day)		Female work time (% of male)
	Women	Men	
Bangladesh	545	496	110
Colombia (Urban)	399	356	112
India	457	330	117
Indonesia	398	366	109
Kenya (Urban)	590	572	103
Kenya (Rural)	676	500	135
South Africa	332	273	122

Source: Human Development Report 2006





- ### Dimensions of gender inequality
- Mortality inequality
 - Natality inequality
 - Basic facility inequality
 - Special opportunity inequality
 - Professional inequality
 - Ownership inequality
 - Household inequality

Gender Budgeting- a definition

• “Gender budget initiatives analyse how governments raise and spend public money, with the aim of securing gender equality in decision-making about public resource allocation; and gender equality in the distribution of the impact of government budgets, both in their benefits and in their burdens. The impact of government budgets on the most disadvantaged groups of women is a focus of special attention.”

- ### What is Gender Budgeting ?
- An exercise to translate stated gender commitments of the Government into budgetary commitments.
 - Strategy for ensuring Gender Sensitive Resource Allocation and a tool for engendering macro economic policy
 - Entails affirmative action for empowering women
 - Covers assessment of gender differential impact of Government Budgets and policies (Revenue and Expenditure).
 - Enables Tracking and Allocating resources for women empowerment
 - Opportunity to determine real value of resources allocated to women

- ### Aims of Gender budgeting
- Close gaps/improve links between policy pronouncements, resource allocation and outcomes on gender equality
 - Key tool for sensitization of various stakeholders
 - For Governments-tool for effective policy implementation
 - Key tool for assertion of rights, through participatory process of reshaping budgets

- ### Five Steps of Gender budgeting
- 1 Describe the situation of women and men, girls and boys, who are served by a particular sector or ministry, such as agriculture, health etc.
 - 2 Examine government policies and programmes in the sector, to see whether they address the ‘gender gaps’—that is, inequalities in the service offered to each group as described in the first step.

- 3 Examine the budget to see whether sufficient money has been allocated to implement effectively the gender-sensitive policies and programmes
- 4 Monitor whether the allocated money has been spent and who has benefited from the money – for example, whether funding for health services reached women or men through clinics, hospitals and extension services
- 5 Go back to the first step and re-examine the situation, to see whether the budget and its associated programme has improved on what was initially described.

- ### Tool 1: Gender Aware Policy Appraisal-Linking Budgets to Policies:
- Examine position of women & men, boys and girls in each area of economic and social life addressed by the budget, taking into account age, ethnic group, location and class and policies in this regard
 - Examine whether resources are being allocated in ways that are likely to implement the policy and reduce gender inequalities or increase inequalities.

- ### Tool 2: Beneficiary Assessments
- Actual or potential beneficiaries of public services are asked to assess how far public spending is meeting their needs as they perceive them and what their priorities for public expenditure are
 - Techniques include: Opinion polls, attitude surveys, focus group discussions, interviews, role play.

Tool 3: Public Expenditure Incidence Analysis.

Gives a sense of how gender-inclusive expenditures actually are by comparing the distribution of public spending among women and men, girls and boys.

- Estimate unit cost of providing a service i.e., 1 PHC Doctor for one year
- Estimate use of doctor's service by men and women, boys and girls
- Calculate amount spent per year on women and men

Tool 4: Revenue Incidence Analysis

- Shows proportion of income paid in taxes and user charges by different categories of individuals/women/men or households

Tool 5: Sex – Disaggregated Analysis of the Impact of the Budget on Time Use

- Focuses on the outcome for the amount of unpaid care work done by women and men.
- Whenever expenditure cuts are proposed, the question should be asked: Is this likely to increase the time that men and women spend on unpaid care work?

Tool 6: Gender-Aware Medium-Term Economic Policy Framework

- Incorporation of gender variables into the models used for medium-term public expenditure planning
- For example, inclusion of sex-disaggregated variables in the labour market component or new variables to represent the unpaid care economy

Tool: 7 Gender-Aware Budget Statement

Government can issue a gender aware budget statement utilizing one or more of the above tools to analyze its programmes and budgets.

- Share of expenditure targeted to gender equality
- Women's participation in the public-sector employment relative to men
- Share of prioritized expenditures towards women
- Share of expenditure devoted to official gender units

Tool: 7 Gender-Aware Budget Statement

- Share of expenditure devoted to women's priority income transfer
- Gender balance in public sector contracts and business support
- Gender balance in decision making bodies, forums and committees
- Gender balance in training

Gender Budget in India: Current Scenario

Government / UNIFEM led process at national level:

Analyzing the entire budget resulting in:

- Gender aware budget statement by FM: Economic Survey(2001)
- Section on Gender Inequality: based on gender budget analysis

Gender Budget in India: Current Scenario

- Analysis of annual budgets: dissemination amongst parliamentarians during debates on demand for grants
- Parliamentary Standing Committee for DWCD calls for action on Gender Budgeting
- FM in his 2004-05 budget speech commits to gender budgeting
- Expert Group on Budget classification and GB

Gender Budget in India: Current Scenario

Supplementary state level work by feminists/NGOs/NIPCCD

- Analyzing state budgets, specific sectors and specific large programmes
- Impact of specific expenditure
- Impact of labour market changes on women and how budgets are/are not dealing with them
- Building budgets from below involving the panchayats

Path Ahead

- Pursue *Gender Mainstreaming* in the Government through coordination with Gender Budget cells
- Widening scope of **National Statistical System**
- Widening scope from public expenditure to **Revenues, Fiscal and Monetary Policies**
- *Pursue gender budgeting by States with help of planning Commission and MOF*
- *Capacity Building- Coordinate with training institutes and experts to **standardize methodology and tools***

To Conclude

• "It is more important to create a general awareness and understanding of the problems of women's employment in all the top policy and decision making and executive personnel. There is also the special problem facing women like the preference for male children for social and cultural reasons. This will require awareness, understanding and action. "

(6th Five Year Plan)



PURPOSE OF DISCUSSION

- Share views
- Collect and generate ideas
- Obtain reactions or agreement
- Motivation
- Team building
- Attitude change

DECISION MAKING

EVALUATION

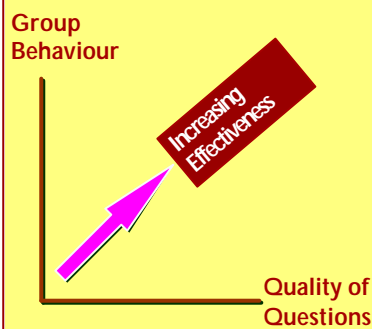
SYNTHESIS

ANALYSIS

COMPREHENSION

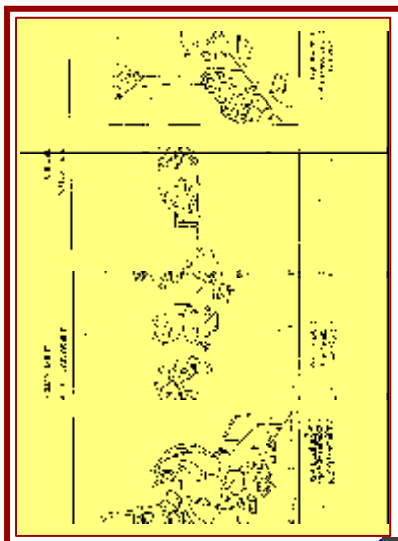
INFORMATION

TWO FACTORS INFLUENCING A DISCUSSION



DISCUSSION BEHAVIOURS

- seeking information
- giving information
- supporting
- building
- proposing
- disagreeing
- cutting across
- stating difficulty
- summarising



QUESTIONS

HIGH ORDER

- Stimulate thinking
- Build on existing knowledge
- Apply ideas to new situations

LOW ORDER

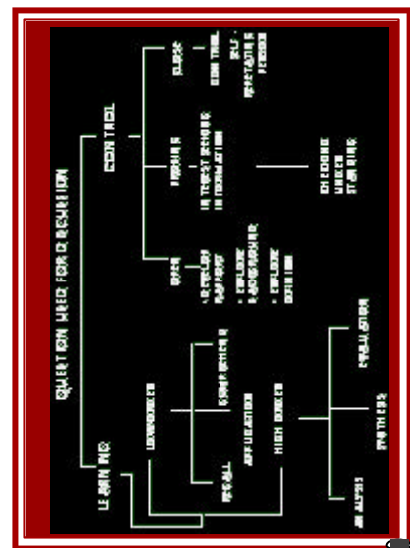
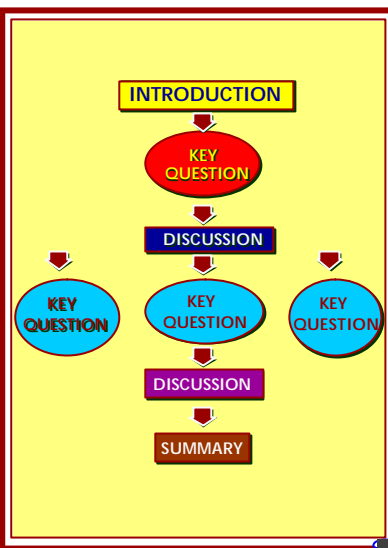
- Recall of information
- Right or wrong answers
- Known or existing situations

KEY QUESTIONS

- High order
- Prepared in advance
- Open
- Stimulate contributions
- Non-threatening
- Relevant to learning needs
- Related to entry behaviour

"The Sunday edition of a big newspaper printed in one million copies consumes a hundred acres of forest"

'No Limits to Learning'
A Report to the Club of Rome



PREPARING TO LEAD A DISCUSSION

- SET AN OBJECTIVE
- ANALYSE THE TOPIC
- CONSIDER THE GROUP
- IDENTIFY & PREPARE KEY QUESTION
- PREPARE AN INTRODUCTION
- ARRANGE OTHER AIDS
- ORGANISE PHYSICAL ARRANGEMENT

INTRODUCTION

- STATE THE TOPIC
- STATE THE PURPOSE
- OUTLINE LIMITS OF TOPIC
- TIMING
- SET THE SCENE
- LINK WITH THE EXPERIENCE OF THE GROUP
- BRING ALL TO A COMMON STARTING POINT
- AROUSE INTEREST
- PREPARE THE GROUP TO CONTRIBUTE
- LEAD UP TO FIRST KEY QUESTION

CASE STUDY

- WHAT IS A CASE?
 - Depicts real life administration situation – factual
 - Chronological. Narrative of problem & decision-making
 - Trainee may face such situations
 - Learns the logic – evaluating the process not the solution
 - Develop capacity to analyse
 - Objective – no value-judgement

HOW TO LEAD

- Student – fresh or experienced
- Ignorant, perplexed, insecure, confused, apprehensive about colleagues, afraid of a critical teacher and thinks loosely
- Teacher helps him to help himself
- Leader merely leads him through the case
- Keeps discussion on the right track
- Keeps proceedings orderly
- Controls speed
- Identifies and clears blocks
- Does time management

HOW TO LEAD

- Controls law & order
- Keeps out of the way and leaves the talking to the trainees
- He himself should be a student
 - Listen intently
 - Respect student views
 - Ask relevant questions & show interest
- Supply info to clear bottleneck & gap
- Help in expressing

HOW TO LEAD

- Never use ped tools & leave him to wade through his ignorance & confusion
- Never indulge in the 7 ped. sins: condescension, sarcasm, cross-examination, discourtesy, self-approval, self-consciousness & talkativeness.
- Trainee's understanding should be his own, not the teacher's

HOW TO LEAD

- Leader must use three tools
 - Ask questions but only when necessary, in response or to advance
 - Restate or rethread to explain
 - Interjection or opinion to regenerate, clarify or supply info

SUMMING UP

- Sum up at two stages
 - Summary from time to time
 - End of session to give gist – never his own views
 - Remember: trainee’s brain is not an empty vessel to be filled with YOUR knowledge. Elicit the knowledge lying within.

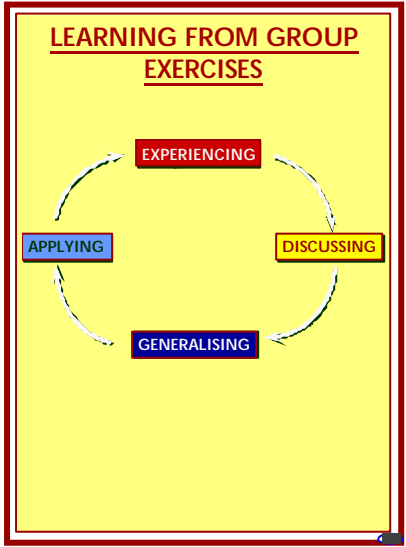
GROUP EXERCISE

Advantages

- trainee centred learning
- exercises to meet aim
- enables skills to be practiced
- enjoyable experience
- basis for further learning

Disadvantages

- availability of exercises
- require careful planning
- outcome difficult to predict
- depends on trainee attitudes
- needs good facilitator skills



PURPOSE OF GROUP EXERCISES

- leadership
- communication
- negotiation
- decision making
- problem solving
- team building

Training Technique

CONCEPT OF ANDRAGOGY

Learning Outcomes:—

Knowledge acquired through this module will allow the participants to:-

- ✍ Identify basic characteristics of adult learners.
- ✍ Explain implications of Principles of Adult Learning in Training

We are aware of learning in general. But in a training situation, we deal with the learning of adults. It is different from the learning process of the children and teens. Most of the training institutions begin with the initial dominance of the teachers. They are guided by Pedagogy, the concept of child learning. In Pedagogic model, the teacher assumes responsibility for making decisions about what will be learned, and when it will be learned. The teacher directs learning based on the concept of education; that is the learner is looked upon as an empty vessel to be filled by the teacher with knowledge. This is not effective for adults. Malcom Knowles, in his book *The Adult Learner: A neglected species* presented a comprehensive adult learning theory. There is now an emerging theory of learning concerned with the technology of adult learning. This technology of adult learning has been given the name 'Andragogy'. The word is derived from the Greek word '**ANDRA**' (meaning 'man'). Andragogy is therefore the art and science of helping adults to learn.

Malcom Knowles identified the following characteristics of adult learners:

Adults do not learn in the same way as children. This is because:

Adults are autonomous and self-directed.

Children enter this world in a condition of complete dependency. Their every need must be taken care of by someone else. The first image, children get of them is that of a dependent personality whose life the adult world manages for them.

This self-concept of dependency is encouraged and reinforced by the adult world. In fact, society defines the normal role of children as that of learners; this is their full-time occupation, the source of rewards and self-fulfilment. On the whole, this occupation, whether it is termed that of a pupil, student, or learner, requires a more or less passive role of receiving and storing information chosen by adults.

As children's self-identity begins to take shape, they begin to see themselves as having the capacity to start deciding by them. This increases as they become more mature and experienced, leading towards greater self-direction. However, something significant happens to the self-concept when they consider themselves as adult. The adult acquires a new status, in his own eyes and in the eyes of others. She or he becomes essentially self-directing, and able to decide and face the consequences. In fact, the point at which a person becomes an adult, psychologically, is that point at which he perceives himself to be wholly self-directing.

- ✍ **Adults have accumulated a foundation of life experiences and knowledge** that may include work-related activities, family responsibilities, and previous education. They need to connect learning to this knowledge/ experience base
- ✍ **Adults are relevancy-oriented.** They are now performers. They see their normal role in society no longer as a full-time learner. They see themselves increasingly as a producer or doer. Their chief sources of self-fulfilment are now performance as a worker, a parent etc. They always see a reason for doing anything.
- ✍ **Adults are goal-oriented.** Unlike children, adults set their goal in their activities. They are not interested in spending their time in any activity which will not help them to achieve something specific. They usually know what goal they want to attain. They, therefore, appreciate an activity where there are clearly defined elements.
- ✍ **Adults are practical.** They are more concerned about improving their performance in their job. They may not be interested in knowledge for its own sake. Trainers must tell participants explicitly how the lesson will be useful to them on the job.
- ✍ As do all learners, adults need to be shown respect. Trainers must acknowledge the wealth of experiences that adult participants bring to the classroom. These adults should be treated as equals in experience and knowledge and allowed to voice their opinions freely in class.

IMPLICATIONS OF PRINCIPLES OF ADULT LEARNING IN TRAINING

Adults are autonomous and self -directed

Therefore, adults have a need to be treated with respect, to make their own decisions, and to be seen and treated as unique individuals. They tend to avoid, resist and resent, situations in which they are treated like children - being told what to do, and being put in embarrassing situations. Adults are likely to resist learning conditions that conflict with their self-concept.

Adults need to be free to direct themselves. Their trainer must actively involve adult participants in the learning process and serve as facilitators for them. They have to be sure to act as facilitators, guiding participants to their own knowledge rather than supplying them with facts. Adult participants should be involved in the planning and design of the training course developed for them.

Often there is another factor in the self-concept of adults that affect their role as learners. They may carry from earlier school life the perception that they are, or are not, clever. This recollection of previous learning experiences may be so strong that it serves as a serious barrier to becoming fully involved in learning activities. Once a trainer puts adult learners into dependent roles, repeating in sense earlier school-based experiences, she or he is likely to face a rising resistance and resentment to the learning event created.

Adults have accumulated a foundation of life experiences and knowledge

☞ Learners should be able to relate what is being studied to their personal/professional experiences. If you ask children who they are, they are likely to identify themselves in terms of who their parents are, where they live and what school they attend. Their self-identity is largely derived from external sources.

A somewhat modified response would be obtained from a person in their early twenties; the identification would be concerned with academic attainment, career prospects, outside interests and possibly an employer.

But to adults, particularly ones in middle age, their experience is themselves. They define who they are and establish their self-identity based on their accumulation of a unique set of experiences. So, if you ask adults who they are, they are likely to identify themselves with their occupation, where they have worked, travelled, and what their training and experience has equipped them to do, and what their achievements have been.

Because adults define themselves largely by their experience, they have a deep investment in its value. So when they find themselves in a situation where their experience is not being used, or its worth minimised, it is not just the experience that is being rejected, they feel rejected as a person.

These differences in experience between adolescents and younger and older adults have three consequences for learning:

- a) Some adults have more to contribute to the learning than others; for most kinds of learning they are themselves a rich source.
- b) Adults and, again, some more than others have a rich foundation of experience with which they will consider new experiences and their implications for work.
- c) Adults have acquired many fixed habits and patterns of thought and, therefore, possibly less open-minded.

Adults are relevancy-oriented.

Adult must see a reason for learning. Learners should know why they are studying something. If they find that the present learning is not at all relevant to their work, they will withdraw themselves from the learning process. So, learning has to be applicable to their work or other responsibilities to be of value to them. This means, also, that theories and concepts must be related to a setting familiar to participants. This need can be fulfilled by letting participants choose projects that reflect their own interest. All the activities in training should be developed on the basis of their work or job assigned to them in their organisation.

Adults are goal-oriented.

So they will be interested to know their achievement if they participate in a training course. A training course having clearly defined aims and objectives of the training will attract an adult learner if they find that it is relevant to his performance. This will motivate learners and make them ready to learn. Participants must be shown how this training course in general and the session in particular will help them attain their goals. This classification of goals and course objectives must be done early in the course.

Adults are practical.

Adults are more concerned with their performance. Instruction should be task-oriented, and it should take into account the wide range of different backgrounds of learners. They are primarily concerned with the problem they are facing in their job situation. Adult learners are generally more interested in the solution of the problem rather than the content of it. So, instruction in training should be problem-centred rather than content-oriented.

In addition, adult learners need specific knowledge of their learning results (*feedback*). Feedback must be specific, not general. Participants must also see a *reward* for learning. The reward does not necessarily have to be monetary; it can be simply a demonstration of benefits to be realized from learning the material. Finally, the participant must be **interested** in the subject. Interest is directly related to reward. Adults must see the benefit of learning in order to motivate them to learn the subject.

In training the following issues are needed to be considered to have effective result:

- * The physical environment should be one in which adults feel at ease, with furnishings that are comfortable and informal.
- * The psychological climate should be one that causes adults to feel accepted, respected and supported.
- * There should be a spirit of mutual respect and cooperation between the trainer and the learners, in which there is freedom of expression without fear of ridicule. A person feels more 'adult' in an atmosphere that is friendly and informal.
- * The behaviour of the trainer probably influences the learning more than any other single factor. The trainer conveys in many ways his or her attitude of interest and respect for learners. The trainer, who takes time and trouble to get to know the learners individually and calls them by their first names, is promoting the right sort of atmosphere.
- * Very important is the willingness to listen, respect, and respond to views expressed by learners.
- * Because adults are themselves a rich source for learning, greater emphasis can be placed on techniques that use their experience. Training methods such as group discussions, case studies, in-tray exercises, and action learning, promote participation in a learner-centred environment.
- * Assist the learners to define their learning needs.
- * Design learning to suit an individual learner's entry behaviour
- * Help the learner to understand how to use learning resources, including the experience of sharing their learning experiences with others.
- * In selection of learning method, emphasise on experimental and participative training methods. This has been discussed in detail subsequently.
- * Assist learners to assume increasing responsibility for planning their own learning.
- * Reinforce the self-concept of the learner to encourage achievement of objectives.
- * Encourage the use of formative assessment techniques, including free exchange of feedback.

How Trainees Learn : Its Implications for Conducting Training in India

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Introduction

The way in which we train people seems to be determined significantly by our own beliefs about teaching. These beliefs, in turn, shape the natural training style of an individual trainer, and are themselves the result of the ways in which the trainer himself has learned.¹ In this essay I propose to begin by taking a look at how I and some other trainers have learned, since it is our experience that our assumption and experiences regarding learning are apt to be extrapolated on to our trainees. Next I shall examine if there is any dissonance between these assumptions about how our trainees learn and how they actually seem to learn as seen from the feedback we receive. From here, I shall attempt to find out the learning assumptions underlying the training system as it is being administered and conducted in the National Academy of Administration, India. If these assumptions are found to differ materially from my findings regarding how our trainees actually learn, we will need to ask ourselves what the implications of this are.

How some Trainers learn

It is useful to look at the significant learnings one has had by utilising a systemic table which breaks up the learning into components. In the course of a workshop trainers from India, Nepal, Thailand and Bangladesh numbering five in all, examined their significant learning experiences under four heads: the Event, the Effect (i. e. what was learnt) the Process (i. e what the learner was doing at that time) and the Feelings of the learner during that event. I reproduce below the data generated by the five trainers, including myself. They are indicated by different alphabets .

TABLE - 1

TRAINER	EVENT	EFFECT	PROCESS	FEELINGS
SELF	1. Joining college	Value of own choice of subjects	Filling in application form	Exhilaration
	2. Staging a play	Confidence in comanding audience attention	Speaking & moving on stage	Joy & satisfaction
	3. Birth of 1st child	Heavy responsibility of parenthood	Waiting	Anxiety

TRAINER	EVENT	EFFECT	PROCESS	FEELINGS
"P"	4. Reflecting on interview	Mistakes made	Walking to a temple and thinking	Sorrow
	5. Criticising others	Criticising is not good	Self-evaluating	Sad
	6. Success in examn.	Hardwork brings good results	Reading & writing	Happy
"J"	7. Cooking soup	Independence in doing things myself	Reading & experimenting	Happy
	8. Writing articles	Communicating systematically with others	Asking questions, thinking, gathering information	Satisfied
	9. Singing in public	How to make others happy	Imitating others	Excited
"S"	10. Getting first job	Duty to support family	Thinking	Anxiety
	11. Passing examn.	How to achieve goals	Studying & writing	Happy
"R"	12. Taking first examn.	Knowledge & expertise are needed for good results	Studying & writing	Excited
	13. Parents' death	Reality of death as inevitable	Consulting doctors	Sad

What can we infer from this list of the significant learning experiences of five trainers from different countries ? As far sources of learning are concerned we can conclude that these are widely varied. More important, they need not necessarily relate to the work situation. We cannot ignore the significance of this when we consider that the trainers giving these responses have been in government service from four to fifteen years. Unplanned life experiences, therefore, are seen to provide significant learning for trainers. These sources of learning feature as serials 4, 5 and 9 in the nine categories of learning sources found by Burgoyne and Stuart, a result of their research into the important sources of managerial learning.² These nine categories are :—

1. Doing the Job : picking up skills as they go along.
2. Non-company education : spending time in public, educational institutions.
3. In-company education: deliberate, training interventions.
4. Living : learning from the experiences of out-of-work activities.
5. Self: through reflection, introspection and self assesment.

6. Doing non-managerial jobs prior to taking up a managerial role.
7. Media : newspapers, books, professional journals, radio, TV etc.
8. Parents : home background, upbringing and guidance.
9. Innate learning : gained from the potential existing in an individual. usually genetically predetermined.

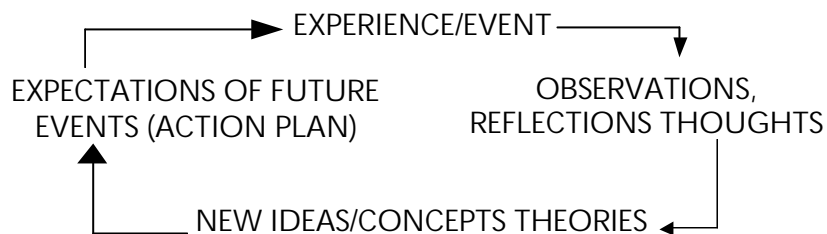
If this is "from what" trainers and trainees learn—in our case 11 trainees being managers in the public sector—the next area to look at is "how" they learn, i.e. the processes. From table 1 it will be apparent from the third column that the ways of learning are nearly as varied as the sources themselves: doing things, storing information, introspecting, etc. It is significant that both active and passive roles are involved in the learning process. It is, therefore, important not to discard the passive learning model hastily when planning training courses. These learning processes are seen to fit into the seven categories identified by Burgoyne³ of how learning associated with managerial competence comes about:—

1. Modelling: copying or imitating a "respected other".
2. Vicarious discovery: observing the actions and behaviour of others, the consequences of that behaviour and acting accordingly in similar situations.
3. Unplanned Discovery: experiences at work, trial and error learning.
4. Planned Discovery: going into situations with the deliberate aim of learning from experience.
5. Being "Taught": told or shown an approach or idea etc.
6. Discussions: the sharing of information, ideas, feelings and experiences.
7. Storing of information: remembering data, facts during course of events.

There are, however, two more types of learning processes, which Temporal⁴ has rightly highlighted: Coaching and Organisational Climate.

What are the implications of the learning processes outlined in Table 1? In the first place, we find that a considerable amount of learning takes place in an unplanned or "non-contrived" manner. In the second place, the feelings associated with these processes, as listed in column 4 of Table 1, suggest that learning can take place through pleasant as well as unpleasant, exhilarating as also painful, processes. As trainers, I find that we tend to assume that a trainee learns best only if the feelings associated with the process are pleasant, and if the process involves an active role for him. On the other hand, the data available in Table 1 brings out that this is not the whole truth. Hence it becomes necessary for us to keep in mind consciously while planning training courses, that like ourselves the trainees are likely to learn from passive and unpleasant experiences too. Thus, the range of training interventions available to us becomes wider and greater flexibility is obtainable.

Let us now attempt to summarise what we have found so far about how our trainees might learn, based upon our findings of how some trainers learn. The four-stage experiential learning model of Kolb has been modified by Boydell⁵ and further altered by Temporal⁶ while keeping to the basic four-stage structure. This is Temporal's model which I find most suitable to what has been presented so far:



This Learning Cycle can be entered at any of the four stages and can be deviated from at any point into a non-developmental path. Learning can take place at any of the four stages. It is possibly internalised the most if the cycle is completed. As Confucius said :—

“I hear and I forget..
I see and I remember.
I do and I understand.”

In modern terminology, this has been called “learner retrospective learning” by Thomas and Harri-Augstein, as opposed to “teacher original teaching”.⁷

How the Trainees Learn

In discussing how our trainees learn, the scope will not be restricted to the learning merely within the training courses, for such courses occupy a very small proportion indeed of the trainee’s working career. I shall take the learning to include his professional experience. This does not mean that I am discounting the importance of the purely personal life-experiences such as those which have been mentioned earlier in table 1.

Who are these trainees? In the National Academy of Administration, India, they fall into two broad categories : the fresh inductees into the higher civil services and the in-service officers ranging from those with six years to those with twenty years of service in government, This means an average of about 700 trainees in different courses every year. To keep the discussion within manageable limits, we will restrict our investigations to one of these two categories: the fresh inductees into the Indian Administrative Service (I. A. S.), numbering about 125 annually.

One way of finding out how the I.A.S. trainees learn is to look at the formal feedback we collect from them by administering an end-of-the-course evaluation questionnaire. As part of this, they are asked to mention what they feel have been the strong points of the six to eight weeks course. In the August 1982 evaluation, the following were mentioned as the strong points :—

1. District Experiences Presentations by trainees.
2. Seminar on “How to be an effective Sub-divisional Officer”.
3. Exercises in Criminal and Civil Law.
4. More discussion oriented small group sessions.
5. Management games (Prisoners’ Dilemma, NASA, Box-making etc.)

6. Administrative Responses Exercises, In-basket exercise.
7. Tutorials & discussions on Civil Liberties.
8. Case Study method.
9. Lectures of Joint Director on office administration.
10. Inputs on rural development administration.
11. Films like "Bara," "Thanneer" etc.
12. Camaraderie and cordiality.

These sessions seem to fall into three categories :—

- (a) those relating immediately to the job the trainee would take up at the end of the course viz. sls. 2, 3, 9 & 10 ;
- (b) those involving active participation on the trainees' part, viz. sls. 1, 4, 5, 6 & 8 ;
- (c) those which neither relate immediately to the job, nor call for active participation necessarily, but touch highly emotive socio-economic and cultural issues, viz. sls. 7, 12 and 11 (films on exploitation, of tribals etc.)

What are the implications of this data in terms of the second part of the question we are answering? I propose that these seem to imply the following :

- (a) the trainees seem to value learning what they perceive to be of immediate relevance by way of professional knowledge and skills for the job they will be taking up. This appears to be a strong motivating factor for learning even where a trainer-centred method like lecturing is adopted, as in the case of sls. 8, 9, 10 of the list above, and the trainee's is a relatively passive role.
- (b) Even where the relevance may not be so immediately relevant, learning by doing seems to be valued, as with sls. 3, 5, 6.
- (c) Sessions which call for active participation by the trainees are valued, e.g. sls. 1, 2, 4, 8.
- (d) Where the topic arouses strong feelings, or the media used provides a "total" experience (as in films), the trainees get strongly involved even if the feelings are unpleasant (as in sessions on police brutality, bureaucratic callousness etc.) and a vicarious learning appears to take place, which is valued by them on account of the strength of the feelings aroused.

If we look at these implications in terms of the learning cycle model, we can place (a) above at stage 3, i.e. Ideas, concepts, theories. From this cognitive input the trainee sees what he can expect when he takes up the job and he may formulate an action plan, thereby going on to stage 4 of the cycle, and subsequently perhaps complete the full cycle. The second implication, (b) above, is at stage 1 of the cycle, viz. experience/event. As trainers we attempt to follow this up with sessions in which the trainees are encouraged to proceed to stages 2 and 3. Some of them even come up with stage 4 (action plans) and thus complete the learning cycle. The third implication, (c) above, is also an experience, though of a less intense variety than (b), perhaps emphasising more stages 2 and 3, i.e. exchanging observations, thoughts coming up with new solutions of problems. The last one, (d) above, can be

either at stage 1 as when watching a strongly emotive film (which becomes a vicarious experience) or at stage 2 when a discussion follows such a film to tease out its implications.

It is also evident that these findings regarding how the trainees learn fit into the categories of learning processes enumerated earlier. "Modelling" takes place when the trainee adopts the problem-solving style of a trainer for his own situations. "Vicarious discovery" is often seen to form part of the exchange of experiences which takes place in the district experiences presentations and the seminar on how to be an effective SDO. "Unplanned discovery" takes place in the course of the management games they are taken through. "Planned discovery" is part of the case study method, as the trainees know in advance the text and what is expected from them during the session. Direct pedagogic teaching is there in lectures and tutorials. "Discussions", as on civil liberties and as a follow-up of all the management games and exercises, are yet another learning process. "Storing of information" naturally takes place during all these sessions and is tested in the final examination. "Coaching" forms an important learning process as well, as every trainee has a particular trainer assigned to him as Counsellor to assist him in personal and professional problem-solving. Finally, there is the "organisational climate" of the institute which seeks to practise the principle of reflexivity, i. e. to practise what it preaches in administrative ethics and efficiency.

But are these the only inferences we can draw about how our trainees learn? As part of the 1982 evaluation already referred to for our examination so far, the trainees had been asked to list what they thought they had gained from the course. Here are the common points mentioned by them:

1. Growth through interaction with trainees, faculty and panelists on seminars The variety of responses to situations in District Experiences Presentations and the SDO Seminar led to a broadening of vision and availability of numerous options for decision.
2. Problems were indicated, different styles of handling them were shown and solutions were rightly left to trainees to decide.
3. Old friendships were strengthened and new ones made. Fond memories of the Academy and of the people there.
4. Clarity regarding our role as bureaucrats.
5. Individual experiences were moderated in the light of those of others. An all-India awareness was achieved.
6. Broke the cynicism accumulated in district training, boosted morale by clearing doubts and showing possible solutions to problems.
7. Culmination of a process of developing values which began in the Foundational Course.
8. Theoretical perceptions of earlier training became clearer.
9. The campus life.
10. Confidence to hold charge of a sub-division.
11. Valuable practical tips on tackling corruption, tackling pressures, management of records and of subordinates.
12. An opportunity to reflect on the values of service.

Interestingly enough, nearly all the "gains" mentioned relate to the affective domain, the feelings area. The emphasis is consistently on the "process" aspect, rather than the cognitive. This is a finding which recurs in the evaluations of the 1979, 1980 and 1981 courses as well, while the rating of the cognitive inputs fluctuate widely from course to course.

What is the implication of this in terms of the second part of the question we are answering? This list of "gains" from the course appears to validate what Candy writes about teaching in terms of Kelly's Theory of Personal Constructs:

"Teaching is not so much the passing on of established Truth as offering ideas and experiences to be accepted or rejected by the individual learner according to his/her hypotheses and expectations."⁸ Indeed, serials 1, 2 and 6 above virtually say the same thing as Candy has written. An important inference from this is that this process by which the trainees learn, and what they value in the learning, must be understood for formulating an effective training programme: "Training, therefore" continues Candy, "has as its primary focus, an attempt to understand the construction systems of learners".⁹ If the trainer neglects to do this, he may very well find that the trainees' personal constructs have become barriers to learning, for the trainer would have proceeded purely on the basis of the paradigm of his own belief-and-behaviour model without taking into account that of the trainees.

Another critical factor in administering and conducting a training programme is the barriers to learning, one of which could be the learner's personal construct as mentioned above. These blocks to learning have been split into six categories by Temporal¹⁰ namely :

1. Perceptual, where the trainee is unable to perceive the problem. For instance the IAS trainee might not perceive caste distinctions as a problem. In terms of Transactional Analysis (T.A.) this is known as a first degree Discount¹¹: If the trainee cannot see the problem, he cannot solve it.

2. Cultural, where the trainee will not use a range of behaviours because of his cultural norms. For example, the IAS trainee may not oppose an illegal order passed by his superior because of the bureaucratic culture of hierarchy and the annual confidential report.

3. Emotional, where the trainee feels insecure and therefore is reluctant to act on his ideas. For instance, the IAS trainee may believe that all men are equal, but would not like to stay in an untouchable's hut or share his meal because of an emotional repugnance at the lack of cleanliness. I have known cases where the trainee has been reluctant even to visit an untouchable colony for apprehension that he may be offered some refreshment there, and he is unsure how he would respond in such a situation. This is a 2nd degree discount in T. A. terms: He knows what to do but is afraid of doing it.

4. Intellectual, where the trainee lacks the mental competence to resolve the situation, Paulo Freire calls this the "Semi-intransitivity of consciousness" in his *Pedagogy of the Oppressed*. We notice this among some trainees. who have been educated only in their regional languages and are totally at sea in classes on Management, as there are no vernacular equivalents for the management terminology as yet. To them management becomes a mysterious thing, not to be used as a problem-solving tool, except by calling in the management expert who, to them, is like a magician using inexplicable abracadabra to produce results.

5. Expressive, where the trainee possesses poor skills of communication. For instance, the trainee does not ask for explanations of what he has not followed because he feels he is unable to express his needs adequately.

6. Environmental, where the organisational climate inhibits exploring new learning opportunities. For example, the entire bureaucratic environment itself is geared not towards management of change and of conflict, but towards preservation of *status quo ante*. Trainees naturally are chary of trying out any novel ideas in such an environment.

The implications of these barriers to learning appear to be that the trainee must be helped to overcome these, as much as the trainers themselves need to conquer these so that they can go on learning too. The first step in this is to get them to identify and “own” their learning blocks, and design activities to overcome them. This can be helped to a considerable extent by bringing them to learn *how* to learn. An example of this can be seen in the data gathered on how five trainers have learned significantly. The important thing to keep in mind from that data is that learning is an activity originating from a wide variety of sources and takes place through multifarious processes involving a broad spectrum of feelings.

The question which arises now is : does the training we impart in the National Academy of Administration recognise these barriers to learning ? What are the assumptions it makes about the way in which the IAS trainees learn? These are questions directly related to the second part of the essay-question. In the first place, I do not find any attempt to carry out a formal training needs identification for the trainees. What happens is that a syllabus is available and it is taught. The teaching method at its worst can be wholly trainer-orientated, as in lectures, and at best it moves occasionally towards learning-by-doing, with some participative methods thrown-in in-between. What is the feed-back we receive by way of complaints from our trainees? These are about poorly prepared, boringly delivered lectures, the impersonality of large classes, adherence to the letter of the law, irrelevant and outmoded syllabi, emphasis on traditional examinations which test only formal rote learning, and stress on teaching instead of learning. Interestingly enough, these are, almost verbatim, the complaints about teaching in universities today listed by Norman Mackenzie.¹² It seems, therefore, that our training of civil servants is proceeding along lines of pedagogic teaching in universities and not andragogical learning of adult managers. As a matter of fact, Mackenzie's statements about the assumptions underlying the recruitment of academic staff can be paraphrased to apply to the inductees to the Indian Administrative Service (I have placed my modifications of the original in brackets) : —

“It is generally assumed that outstanding academic performance, as an undergraduate, coupled with a period of supervised (attachments), is necessarily correlated with the skills, or even the personality factors, required of (administrators). The result is the recruitment of (trainees) who are somehow expected to acquire by experience a wide range of competencies... The remarkable feature of this system ...is not that it is done well, but that it is done at all.”¹³

What we find from this is that the assumption underlying the existing training system in the institute is pedagogic, whereas our findings earlier on in this essay about how the trainees learn indicates that an andragogic approach is also called for. Lynton and Pareek in 1967 had described these differing approaches as “the prevailing concept of training” and “the new concept”¹⁴. It is worthwhile to give details of these concepts :—

The prevailing concept

1. The acquisition of subject matter knowledge by a trainee leads to action.
2. The trainee learns what the trainer teaches. Learning is a simple function of the capacity of the trainee to learn and the ability of the trainer to teach.
3. Individual action leads to improvement on the job.
4. Training is the responsibility of the training institution. It begins and ends with the course.

The New concept

1. Motivation and skills lead to action. Skills are acquired through practice.
2. Learning is a complex function of the motivation and capacity of the individual trainee, the norms of the individual trainee, the norms of the training group, the training methods, the behaviour of the trainers and the general climate of the institution. The trainees’ motivation is influenced by the climate of the work organization.
3. Improvement on the job is a complex function of individual learning, the norms of the working group and the general climate of the organisation. Individual learning, unused, leads to frustration.
4. Training is the responsibility of the trainee’s organisation, the trainee and the training institution. The pre-training and post-training phases are of key importance to the success of training.

In our discussion we have found that it is the new concept which appears to apply more to our trainees, as seen from their feedback. This fits into the Theory of Andragogy propounded by Malcolm Knowles. He specifically pinpoints how the assumptions behind pedagogy and andragogy differ, as also how the designing of the programmes will differ¹⁵ : —

ASSUMPTIONS

	Pedagogy	Andragogy
Self-concept	Dependancy	Increasing self-direction.
Experience	of little worth	Learners are a rich source or learning
Readiness	Biological development social	Development tasks of social roles
Time perspective	pressure	
Orientation to	Postponed application	Immediacy of application
Learning	Subject centred	Problem centred

DESIGN ELEMENTS		
Climate	Authority oriented, formal competitive	Mutuality, respectful, collaborative, informal
Planning	By teacher	Mechanism for mutual planning
Diagnosis of needs	By teacher	Mutual self-diagnosis
Formulation of objectives	By teacher	Mutual negotiation
Design	Logic of subject-matter; content units	Sequenced in terms of readiness ; problem units
Activities	Transmittal techniques	Experiential techniques
Evaluation	By teacher	Mutual rediagnosis of needs, mutual measurement of programme.

This model seems to oppose the two concepts much in the same manner as Paulo Freire does with his criticism of the 'banking system' of education which creates a "massified society" the centres of whose economic and political decisions are outside it, as opposed to the problem-posing system of education which he calls "conscientization" which results in *praxis*, whereby the learner becomes the subject of his environment instead of remaining a passive object ¹⁶.

However, what we have noticed in our discussion of how our trainees learn is that they value both the passive as well as the active learning roles. What I propose, therefore, is that it is not much of a dichotomy from pedagogy to andragogy, a development from "massification" to "critical consciousness", from "activism" to "praxis". The implication of this for our training programme is that depending *on* the nature of the topic, it may very well be a viable and relevant method to take recourse to the standard pedagogic system. Often this makes for the most economical use of very scarce time available, so that the rest of the time can be devoted to using experiential learning and andragogical training methods. In other words, as we had concluded, this provides us with a wider range of training interventions and greater flexibility for adjusting to the environmental demands, than if we rejected one concept and chose merely the other.

To sum up, we have found, therefore, that a dissonance does seem to exist between the way the trainees actually learn and the pedagogic assumptions on which much of the training is based. The fact that the trainees' feedback indicates they valued certain cognitive inputs delivered pedagogically, may indicate that in some cases the trainer-orientated approach may be effective. From their feedback we have also found that they highly value the affective part and the experiential learning portions of the training, and have described these as their "gains" from the course.

From this it might be rather simplistic to jump to a solution like what Rousseau proposes in his *Emile*: "Teach by doing whenever you can and only fall back on words when doing is out of the question." I would suggest that the answer might lie in keeping as many options open as possible, in looking at the range of training interventions available as a continuum moving from the trainer-orientated to the learner-orientated as is happening in the National Academy of Administration in India today. The dilemma we seem to face as trainers of civil servants is perhaps best exemplified in the words of R. D. Laing ¹⁷ :

“He does not **think** there is anything the matter with him because

One of the things that is
the matter with him
is that he does not think
that there is anything
the matter with him

therefore

we have to help him realize that,
the fact that he does not
think there is anything
the matter with him
is one of the things that is
the matter with him”



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CONCEPT OF FEEDBACK

Learning Outcomes:—

Knowledge acquired through this module will allow the participants to:-

- ✍ Explain the concept of Feedback
- ✍ State the value of Feedback
- ✍ Discuss the guidelines for Giving Feedback
- ✍ Discuss the guidelines for Receiving Feedback

Feedback is a very important concept. It is useful in your personal life, in our job and in the training environment. Feedback provides you valuable information about your performance.

WHAT IS FEEDBACK?

The "Glossary of Training Terms" defines Feedback as:

"The process by which information about the results of an action is communicated to the source of the action. It is argued for example, that learning takes place either through the informational characteristic or the reinforcing characteristic of the knowledge of results, or through a combination of both".

You need feedback for improvement in your performance.

The source of feedback can be from your family members or other people as comments from other trainees, or from trainers as the case may be. However the performance of a task itself provides another source of feedback. You do not need a trainer to tell you that you have fallen off a bicycle, and you know from the taste whether you have put too much sugar in a cup of tea. The extent to which we received feedback is a significant factor in the standard of our performance.

Feedback helps us to learn about ourselves and the effect of our behaviour on others. However, feedback is only helpful when it is accepted and used by the recipient. It can take the form of either positive or negative feedback. Positive feedback confirms and praises acceptable performance. This builds confidence and motivates the receiver to repeat the performance. Negative feedback identifies areas where performance is inadequate. It can be of great value to the recipient if it creates an awareness of the need to change. The danger with negative feedback is that the recipient may reject it, as in many cases he may not be able to take in right spirit. So there are some golden rules of giving and receiving feedback.

VALUE OF FEEDBACK

Providing feedback therefore needs to be a constructive activity that should be helping to learn. It should not be destructive and critical. Equally important, the recipient should not interpret it as destructive and critical.

To be effective, feedback needs to be skilfully given and the receiver must hear, understand, accept and act upon it. How accurate the feedback, if the trainees reject it, the result will be no improvement in performance. Therefore, always consider the human element during feedback.

- H** - Hear
- U** - Understand
- M** - Motivate
- A** - Acceptable
- N** - Negotiate

The giving and receiving of feedback are skills which require very careful handling. They require courage, tact, honesty, understanding and respect – both for yourself and for others. Like all other skills, they are developed only through practice. In providing feedback to others you will need to be sensitive to the feedback you will receive in response. The giving of feedback cannot be separated from receiving it in return.

GUIDELINES FOR GIVING FEEDBACK

You are giving a feedback to some one in his/her performance. Your intention must be to improve performance through your feedback.

You are teaching mathematics to your children. If he/she makes any mistakes our normal feedback is as “you are an ass, you are useless”. But think for a minute. What has he/she done? He/She has made some mistake in one or two steps in a particular sum, on the other hand, your intention is to improve his/her performance in doing sum. But unfortunately, you are focusing on Personality instead of behaviour which is comprised of knowledge, skill and attitude.

Focus Feedback on behaviour rather than on personality

Referring to what the person did is important so that feedback is descriptive rather than evaluative.

Changing behaviour is quite possible for an individual, but attempting to change personality is much more difficult, if not impossible. We create frustration if we give feedback on some shortcoming over which the trainee has no control – i.e. part of their personality.

Feedback should focus on observations rather than inferences.

Observations are what you can see and hear in a person’s behaviour; inferences are the interpretation and conclusions you draw from the observations. Consequently they are open to dispute. The giver of feedback can accurately report what he or she observed as happened, but can only guess at the reason. To say, for example, ‘You have interrupted three people during the last half-hour’, is more acceptable than saying ‘ You are too fond of your own voice’. You can observe or measure the amount of talking someone does and give accurate feedback on it. Nevertheless, it is dangerous and may be untrue to imply that someone who talks a lot is too fond of one’s own voice. There could be other reasons why they say a lot.

Concentrate on change rather than make value judgements

Having identified an area for change you may hope the trainee explore how to do things differently in the future. Make positive suggestions about how things could be done differently. However, avoid being manipulative. Remember to leave the choice to the trainee about whether to accept or reject the feedback.

Feedback is most acceptable when it is describing specific rather than general patterns of behaviour.

In providing feedback you are seeking to help the trainee to change and improve performance. You need the trainee's commitment to change, not agreement with your views. So you identify the specific problem. Suggest the solutions. Do not confuse him by describing general patterns of behaviour.

Focus the feedback on the value it may have for the trainee

You should try to be impersonal, and show empathy by asking yourself: 'Who is it I am trying to help?'. It is tempting to give feedback about things of interest to you that are not strictly about the trainee's performance. Concentrate on those things that will help achieve the desired performance.

Focus feedback on the amount of information the trainee can use, rather than the amount you feel capable of giving.

Effective feedback requires you to select the relevant points that the trainee can cope with at once. This means you must select priorities in the feedback you can give. Concentrate on the major determinants of the performance you are assessing. Make the feedback learner centred.

Feedback should be well-timed

Generally, feedback is best given as soon as possible after the learning event. If we delay feedback, it is much more difficult for a person to learn which actions led to a successful (or unsuccessful) outcome. Delay in feedback may make the feedback ineffective. You should give it timely.

Check the accuracy of the feedback

Careful observation of the person's behaviour during his or her performance is essential. Some form of checklist would help. However, always remember that ticks in boxes are secondary to helping the trainee to learn. The checklist is a means to an end, not an end in itself.

In giving feedback you should be helping trainees explore the options open to them in deciding if and how to change. The trainees need to work out for themselves what they want to do rather than be given off-the-shelf solutions.

For successful learning to take place, by using feedback, there must be commitment to change, not compliance with the views expressed by the feedback giver. The feedback giver should be working to get that commitment. Compliance is unlikely to lead to action to improve performance.

Effective feedback resulting in commitment to change and the implementation of feedback requires skills in receiving feedback and also giving it. No matter how skilfully given, feedback that the trainee cannot be effective.

GUIDELINES FOR RECEIVING FEEDBACK

Be positive towards the feedback giver

Giving feedback on performance is a threatening activity, particularly for the less experienced. Recognising the benefit to you of the feedback you will receive, and signalling your appreciation, will encourage the person giving it. Eye contact, nods and other nonverbal signals will encourage the feedback. Negative response, or no response at all will reduce the feedback you get.

Listen to the feedback

This is easy to say but difficult to do because of the temptation to deny, argue for and justify what you have said and done.

Clarify and check understanding

Feedback givers may express themselves badly or you may not quite understand their points. Check out what feedback you are getting by paraphrasing back to them your understanding of the main points.

Check the feedback with others

Don't accept one individual's feedback as absolute. Check with others to see whether they agree on areas identified for change and the possible ways of implementing change.

Ask for feedback not volunteered

If areas of your performance concern you and you receive no feedback on them, ask. In some situations you can ask the feedback giver to pay special attention to particular points before observing your performance. There may be one aspect of your performance that you are concerned about and seeking information on it is quite legitimate.

Describe how to use feedback.

It is up to you to decide whether you accept or reject the feedback. Whether the feedback is positive or negative, you must decide if you need to change your performance and how you might implement any change.

Explore Options

Having identified an area for change you should explore ways of bringing the change about. This may be done in consultation with the feedback giver, on your own or with someone else who can advise you. You must be committed to the decision you make for introducing change.

Thank the feedback giver

Even when you judge the feedback you have been given was unhelpful you should thank the person. For feedback to continue to be given the trainee needs to signal its value. The next time feedback is given it may be very helpful. Punishing the feedback giver or signalling your discontent will just reduce or eliminate feedback being given.

SUMMARY

Giving and receiving feedback is a demanding process that requires confidence and respect between the parties involved. The advice offered is necessarily broad and will vary between different individuals and activities. We cannot doubt the value of the feedback in learning. The provision of feedback is especially important for those process skills that occur during learning activities, particularly involving interpersonal skills.

GIVING FEEDBACK CHECKLIST

1. Must be acceptable to the receiver.
2. Focus on behaviour rather than on the person
3. Base feedback on facts and not on opinions
4. Should include observations not inferences
5. Concentrate on change rather than make value judgements
6. Most acceptable when describing specific rather than general patterns of behaviour
7. Focus feedback on the value to the receiver
8. Limit feedback to what the receiver can cope with
9. Timing of feedback is important
10. Check the accuracy of the feedback

RECEIVING FEEDBACK CHECKLIST

1. Be positive towards the feedback giver
2. Listen to the feedback
3. Clarify and check understanding
4. Check the feedback with others
5. Ask for detail not volunteered
6. Decide how to use feedback received
7. Explore options
8. Thank the feedback giver

How to prepare for & conduct an Interactive Session

Learning Outcomes:—

Knowledge acquired through this module will allow the participants to:—

- ✍ Explain stages involved in preparing an Interactive session
- ✍ Set objective of a session
- ✍ Prepare an interactive session to fulfil the objective.
- ✍ Run an interactive session

Confucius said:—

“ I hear and I forget,
I see and I remember
I do and I understand.”

Lectures have been used since ancient times as a convenient method of communicating information to a large number of people. Convenience, however, is different from efficiency. Lectures are somewhat like primitive steam engines in that they provide a means of delivery, but one that is not particularly efficient as it proceed on the assumption that the audience are empty vessels to be filled up with knowledge. This is especially true when a lecture is being used to communicate information that people need for performing-on-the-job. With modern technology, we can improve the efficiency of a steam engine considerably to make it a viable option for motive power. The same applies to lectures, because they too can be transformed by making use of a better understanding of how adults learn and by using visual aids.

First we shall concentrate on how to prepare an interactive session. Then we shall discuss how to conduct an interactive session using lecture to initiate the session.

STAGES INVOLVED IN PREPARING AN INTERACTIVE SESSION

We list the process below which we shall follow. We recommend that you prepare the session by developing each of these stages in turn, although you may find that you have to go back to modify earlier stages as you work through the process.

Objective of a session

Entry Behaviour

The Learning Event

Deciding the Content

Planning the Sequence

Planning for Maximum Recall

Structuring the Session use of Visual Aids

Performance Assessment

Review

Feedback

THE OBJECTIVE OF AN INTERACTIVE SESSION

When you are organising an interactive session, your purpose is to enable trainees to utilise the knowledge you will share with them, which they require to perform on-the-job. The objective is a logical starting point for it. Use the session as a means of communicating information and to sharing knowledge only. This means that you need to specify two things in the objective – what the trainees can do after the session and how they are going to check that they can. In setting objective, you should phrase them in achievable and measurable terms, such as ‘state’, ‘describe’, ‘list’, ‘explain’ and so on.

ENTRY BEHAVIOUR

Much of the success or failure of your session will depend on the trainees. Consideration of their entry behaviour will enable you to plan a session that is effective for them, enabling the trainees to achieve the objective and preparing them for further learning events. The following points about entry behaviour need to be considered:

- The trainees’ existing knowledge and previous learning experience. Remember that no adult is an empty vessel to be passively filled up. Awareness of existing knowledge will help you decide where your session will start, and the assumptions you can make about previous learning. Awareness of previous learning experiences will also alert you to the trainees’ likely attitude and willingness to learn.
- Individual differences between trainees. If your session is to be given only to one trainee, you can match your session to the trainee. You would sense the trainee’s response to your explanation and adjust accordingly. As the learning group grows in number and individual differences in entry behaviour arise, it becomes more difficult to adjust your session to suit everyone’s entry behaviour. Prior knowledge of the trainees should enable you to prepare a suitable and, therefore, a more effective session.

Acceptability of the Information

Acceptance or rejection of the information you are providing in your session is likely to be between two extremes. The information may be accepted if you have explained to the trainees the reason why they need the information and it is new, interesting and does not conflict with their existing knowledge or opinion. Occasionally you may find yourself, possibly unwittingly, focussing more on trainees rejecting or questioning or not responding to your information. This is likely to occur when you are dealing with contentious information, going ‘over’ or ‘under’ their heads, or making the session difficult to understand by using a poor structure, inappropriate lecturing technique, or poor visual aids. The essential point to consider is that you are going to deal with a group of trainees, possibly unknown to you, whose approach to learning may not be in accord with your assumptions. The likelihood of acceptance or rejection may depend on your sensitivity to their entry behaviour.

The maturity of the trainees will affect the way you discuss the subject and may also influence how you assess achievement. An assessment measure for younger trainees might be by means of a written test; the same test given to older trainees might be threatening and harmful to their willingness to learn.

Your credibility to the trainees, or your perceived status as the provider of information. Are you likely to be accepted as an 'expert'? They might expose your credibility generally during a session and prior information about entry behaviour should enable you to avoid the worst of the pitfalls awaiting the unwary, insensitive session.

Flexibility

Try to build into your session some degree of flexibility. This is difficult with a large group of trainees, but often encouraging when some interaction is possible. Trainees appreciate relevant anecdotes and similar means of adding variety and interest. Mature trainees may want to participate by sharing experiences, discussing interesting points in relation to their work, and generally wishing to be treated as equals. The more formalised and structured the session becomes, the more difficult you will find it to adapt and cater for these situations, most of which you should encourage. Where possible allow time to check entry behaviour by encouraging trainees to participate and express themselves.

THE LEARNING EVENT

The learning event is the 'live' occasion when you are conducting your session and communicating to your trainees. You will help their learning if they know:

- Where they are going
- How they are going to get there.

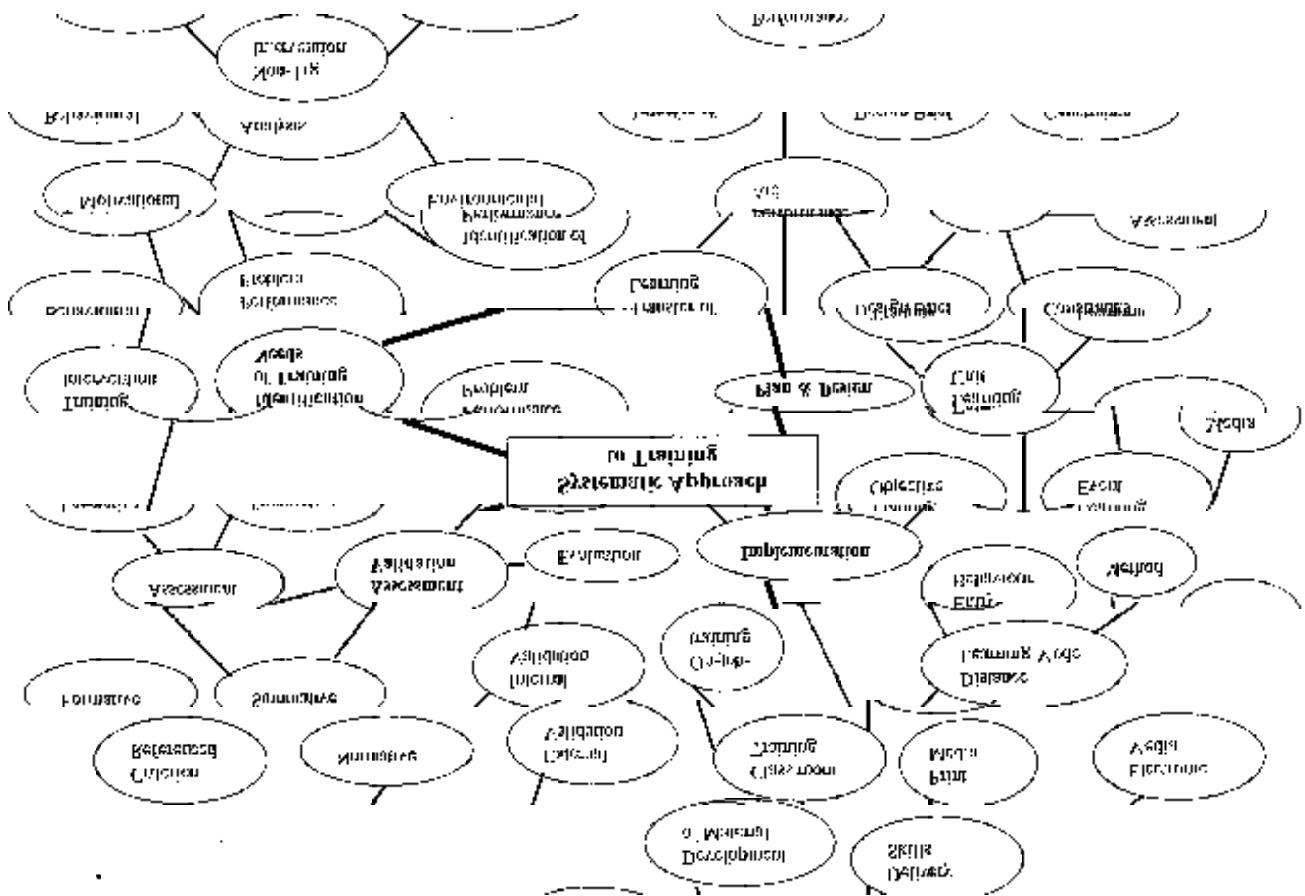
The first point has been covered because the objective of the session tells them where the session is going and what they are expected to achieve when they get there. The second point, how they are going to get there, is dealt with by considering the following aspects of the learning event you are preparing:

- *Deciding the content*
- *Planning the sequence*
- *Planning for maximum recall*
- *Structuring the Session*
- *Use of Visual Aids*
- *Preparing Session' Notes*

DECIDING THE CONTENT

The objective for your session, should give a clear idea of information you need to communicate. However, in such a short statement it will have left unstated the many small items of information that might or might not be included. A useful technique to identify these items is the use of the 'spray diagram'. The diagram is started by stating the central theme of the objective, say 'Systematic Approach to Training'. Around this central theme subsidiary elements are added until the diagram looks something like Figure 1.

Figure 1: Spray Diagram

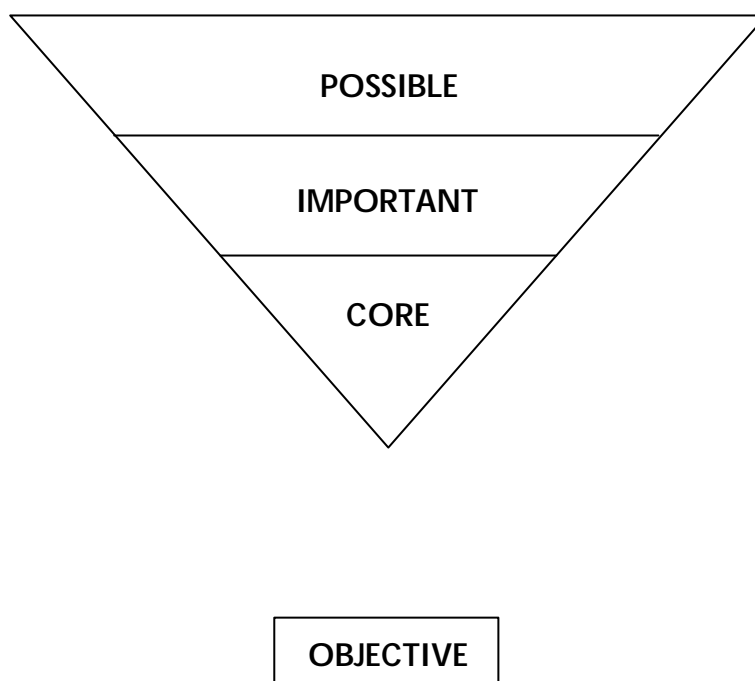


The diagram is far from complete and more subsidiary elements or ‘balloons’ can be added, each adding a small contribution to the content that might or might not be included in a session on ‘Systematic Approach to Training’. There is no real end to this process and the spray diagram can continue to be expanded until we have included all conceivable items of information. We can then edit the content shown on the spray diagram, by:

- Saying all the items on the diagram **‘possible’** be included in your session.
- Reducing these ‘could’ be items to ones that **‘important’** be included.
- Reducing these ‘should’ items still further to ones that **‘core’** be included.

The ‘must’ items form the content of your session and study of them may lead you to revise the draft objective. We illustrate the process in Figure 2

Figure 2: Deciding Content



PLANNING THE SEQUENCE

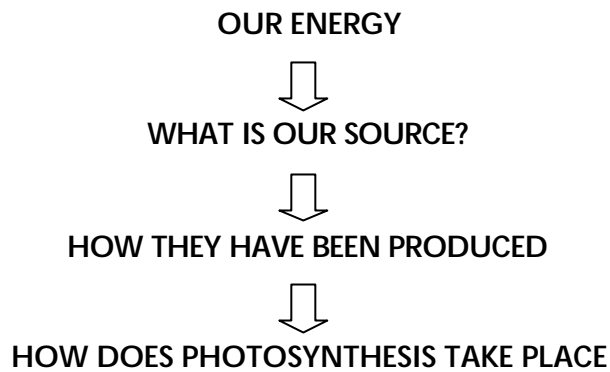
Having a logical sequence is important, so we must be careful. What seems logical to the trainer may not seem so to the trainee.

Therefore, we need to consider what is logical from a trainee's point of view - not from the point of view of an expert, a theorist, a practitioner or a researcher. Some guidelines to bear in mind when planning is that people learn by progressing from the:

- **Known to the unknown**
- **Simple to the complex**
- **Concrete to the abstract**
- **Observation to the theory**
- **General to the particular**

So why not change the sequence? Start by looking at the situation from the trainees' point of view - find something to 'switch them on', to justify learning the theory. The sequence shown in Figure 3 takes account of the trainees' entry behaviour and uses a logical build up, free from unnecessary detail.

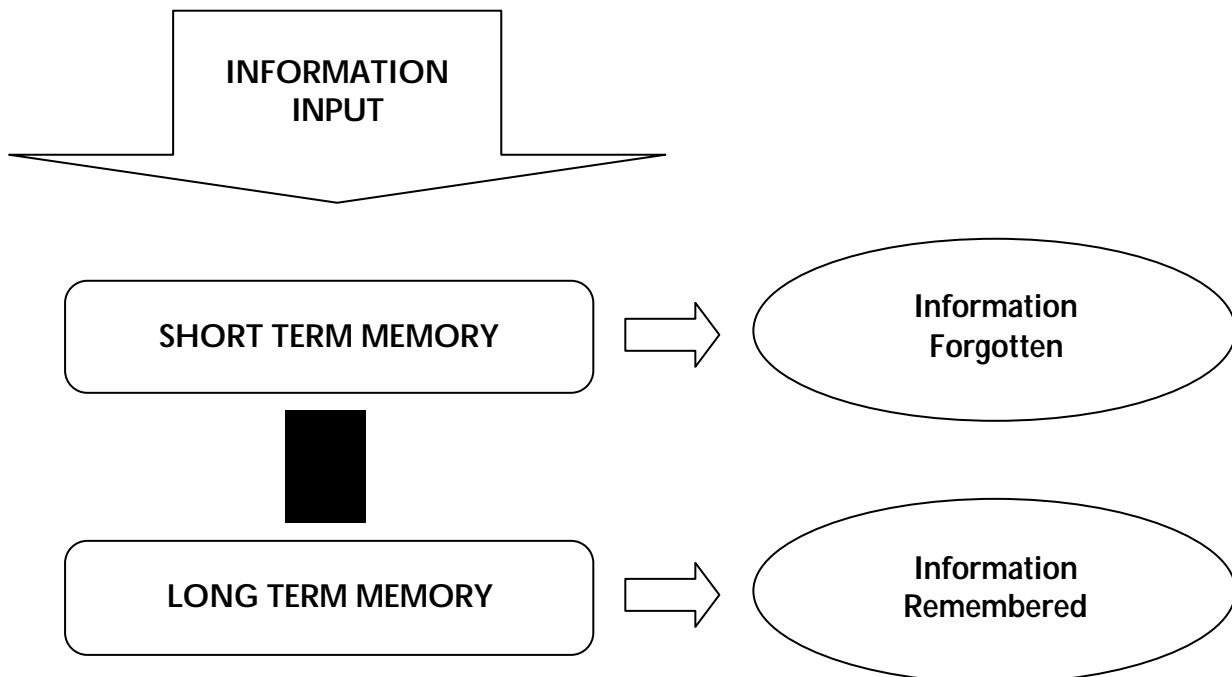
Figure 3: Sequence



PLANNING FOR MAXIMUM RECALL

The purpose of a session is to provide an opportunity for the trainees to acquire information. The objective defines what information they should acquire and later recall - the 'core' items in the content. The problem is to relate the information to the capacity of the trainees to remember it, and to devise ways of helping them to recall it.

Figure 4: Planning for Recall



The communication process in the session uses the trainee's senses of sight and hearing. This input of information is then stored in the trainee's short-term memory, which has a limited capacity and can retain information for perhaps 5-30 seconds. Some information will be passed to the long-term memory, although most of it will be forgotten as illustrated in Fig. 4.

To increase the amount remembered, make full use of the trainee's sensory inputs by:

- Emphasising major points, repeating where possible.
- Using visual aids to provide the second medium of communication for the same points

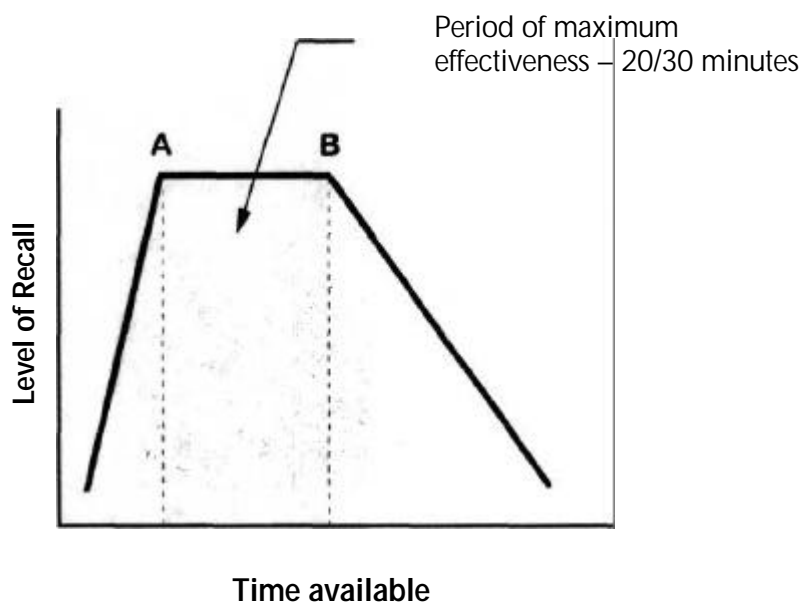
Decide whether the recall of information can be achieved using:

- The trainee's long-term memory. This means that the trainee can recall from memory the information you provided.
- Notes, handouts, and similar sources of information. The trainee can recall information by referring to handouts etc.

Notice how this might change the objective: in one instance we require that the trainee recall from memory, whereas in the other, they can refer to handouts.

The trainee's capacity to recall major points of your session may depend upon when you present them. Figure 5 below illustrates in a general way when the maximum level of recall occurs.

Figure 5: Period of Effectiveness



From Figure 5 we can see that the maximum level of recall occurs after some 20 minutes and can be maintained for about 30 minutes. This suggests that:

- The earlier period is less effective because the trainee's mind has to adjust to possibly an unfamiliar environment. The more suitable this is, the easier it becomes to reach (A).
- The period will be shortened if the trainees are in familiar surroundings.
- The period length depends on how we introduce the session: The better this is, the shorter will be the time to reach full learning recall.

The middle period between (A) and (B) is when learning conditions are most favourable. This is when the major points should be presented. Also, we will lengthen the period if:

- active participation is encouraged.
- Visual aids and demonstrations are used.
- The trainees know that we will give them major points in some form of a handout.
- The learning environment is suitable - at a reasonable temperature, with circulation of fresh air and out of direct sunlight.

Mental and physical fatigue affects the later stages of the session after (B). This results in a decline of information retained. (B) provides the time in the session when we should summarise the major points. Other points to note are:

- The session should be kept as short as possible after (B).
- We can introduce another learning method (for example, a discussion or an exercise or a management game) after (B) to maintain active participation and internalise the learning.

If there are facts and explanations that they must remember, some form of a handout would help the trainees. We can regard this as 'post-session' learning. The session starts the process, and subsequent study aids long term memory storage and recall.

STRUCTURING THE SESSION

The key to an effective session style is to break down the session into its component parts and use a variety of approaches within each component. This is especially critical when a group of trainees will be attending a series of sessions by the same trainer. The three main parts are the **introduction, body and summary**.

The purpose of the **introduction** is to capture the interest and attention of the trainees. It can also serve to make trainees aware of the trainer's expectations and encourage a positive learning climate. A good introduction is critical to the success of a session.

Tips for Creating an Effective Introduction.

- ✍ Review of the session objective.
- ✍ Ask rhetorical questions
- ✍ Ask for a show of hands in response to a general question.
- ✍ Ask a series of questions related to the session topic.
- ✍ Use an interesting or famous quotation.
- ✍ Relate the topic to previously covered content.
- ✍ Use a case study or problem-solving activity.
- ✍ Use a videotape or other media.
- ✍ Use a training film.
- ✍ Show an appropriate cartoon with the overhead or slide projector.
- ✍ Make a provocative statement to encourage discussion.
- ✍ Give a demonstration.
- ✍ Use a game or role play.
- ✍ Relate the topic to future work experiences.
- ✍ Share a personal experience.
- ✍ Relate the topic to a real-life experience.

The trainer can then make a smooth transition into the body of the discussion once the attention of the trainees has been captured with an interesting introduction. It contains the core of the information to be transferred to the trainees.

The purpose of the summary is to draw together the critical information presented and ensure that trainees leave the session with a clear understanding of this information. The summary should be brief and address only main points. There are several techniques which can be used to summarise it:

- ✍ Ask the trainees for questions. This gives trainees an opportunity to clarify their understanding of the content.
- ✍ Ask the questions for the trainees. Several questions which focus on the main points of the content may be used to summarize the content of the session.
- ✍ Use a transparency, slide or flipchart to review the summary points.

Delivering Interactive Session

An effective session can be one of the most exciting and rewarding aspects of a trainer's responsibilities. The trainer who is able to sustain participant's interest with an exciting, dynamic delivery using a variety of instructional methods is more likely to be successful in helping trainees reach the learning objectives. The time and effort invested in planning pay off as the trainer and trainees interact, discuss, question and work together.

Questioning Techniques

One of the most effective techniques a trainer can use during a session to help ensure interaction is to ask and encourage questions. Questions can be used to introduce sessions, stimulate interaction throughout the session and summarize content. Involving trainees through questioning helps to maintain their attention, which is critical when topics are complex and sessions are long. Suggestions for using questions include:

- ✍ Ask questions for the entire group. Those who wish to volunteer may do so, although the trainer must guard against some trainees dominating the discussion.
- ✍ Target a question to a specific trainee. When the audience is relatively small, this technique can be used to involve more of the trainees.
- ✍ Use trainee's names when asking and answering questions – this recognition is a powerful motivator.
- ✍ Provide positive reinforcement when trainees respond. This praise will help to create a very positive climate and will encourage more trainees to enter into the discussion.
- ✍ Repeat trainee's questions and answers to ensure that all trainees hear the discussion.
- ✍ When a trainee asks a question, the trainer can answer the question directly, respond by asking the trainees different, related questions or offer the question to the other trainees.

The key in asking and answering questions is to avoid a pattern. If the trainer always asks and answers questions using the same pattern, this critically important training skill will have limited impact.

Presentation Techniques

The skilled trainer uses a variety of approaches to involve trainees, maintain interest and avoid a repetitive lecturing style. A number of techniques can be used to make a session more interactive and effective:

- ✍ Use the session notes prepared during the planning stage. The notes include reminders and key points in the session introduction, body and summary.
- ✍ Open the session with a good introduction designed to capture the interest and attention of the trainees.

- ✍ Communicate on a personal level. The trainer should attempt to relate to the trainees during the session.
- ✍ Maintain eye contact with the trainees. Eye contact gives the trainer feedback on how well trainees understand the content and helps to communicate a caring attitude on the part of the trainer.
- ✍ Exhibit enthusiasm about the topic. Smiling, moving around the room and gesturing with hands and arms project a feeling of energy and excitement.
- ✍ Project the voice so that those in the back of the room can hear clearly. For large training halls, use a microphone if necessary, with a long cord that will permit movement around the room.
- ✍ Avoid the use of slang or repetitive words, phrases or gestures that may become distracting with extended use. Avoid the use of fillers (e.g "um", "er", "you know")
- ✍ Use a variety of audiovisual media.
- ✍ Ask a number of questions and encourage trainees to ask questions.
- ✍ Provide positive feedback when trainees ask questions, answer questions or make comments.
- ✍ Use trainee's names as often as possible.
- ✍ Display a positive use of humour (e.g humorous transparencies or slides, topic-related stories.)
- ✍ Make smooth transitions between parts of the session. These transitions should be highlighted in the sessions notes and might include:
 - o A brief overview of the next topic.
 - o A review of the agenda between topics
 - o A change of media
 - o An interim summary before a new topic
 - o An activity (case study or problem-solving activity)
- ✍ Close the session with a brief but powerful summary.

Tips to Reduce Presentation Anxiety

- ✍ Avoid eating a big meal before the session. Not only will a full stomach make you drowsy, but it makes it more difficult to move around the room with energy.
- ✍ Arrive early to make sure that everything is ready before the first trainee arrives.
- ✍ Make sure all of the media equipment is working.
- ✍ Locate and check the lighting and temperature controls.

- ✍ Decide where the session notes will be placed (e.g on a lectern, desk, table) when they are not being held.
- ✍ Have a glass of water available during the session.
- ✍ Go for a short walk just before the session.
- ✍ Look over your session notes one last time.
- ✍ Greet trainees as they enter the room. Welcome them to the session and talk to as many of them as possible.
- ✍ Take a few deep breaths to relax before beginning the session.

USE OF VISUAL AIDS

Visual Aids are an essential feature of effective communication. Most sessions are improved by using visual aids that we develop as part of preparation for a session. Generally, they are worth using to help trainees learn the major points of the session; they should:

Attract and Hold Attention

When trainees are listening passively, their attention is easily distracted. An interesting visual aid can attract and hold attention.

Explain Words

If they do not understand a critical word in a sentence, or if it is misunderstood, not only does the sentence become useless, we weaken the trainee's belief in the prospect of success.

Illustrate Relationships/Concepts

The saying 'A picture tells a thousand words' holds true.

Consolidate Learning

The key points of a session can be presented on an overhead projector or recorded on a flipchart or chalkboard.

Research has shown that we take in more information from the sense of sight than we do from listening, in the ratio of something like:

75% Sight

25% Hearing and other senses

Bearing this in mind, it is not surprising that other studies have shown that sessions using visual aids are far more effective for understanding and recall than sessions that do not use visual aids.

Some further observations about visual aids :

- They should be simple
- Where possible use pictures and diagrams rather than many words.
- Use colour to give contrast to different major points.
- Where possible prepare visual aids before the session (e.g. overhead projector transparencies and flipcharts) Do not waste valuable learning time during the session.
- Use 'formal' visuals (e.g. an overhead projector) for pre-prepared material, and use chalkboards and flipcharts for 'informal' visuals developed during the session.
- Ensure all major points of the session are presented visually and orally.

PREPARING NOTES

There is no standard format for the notes needed to have a session. Some trainers rely on detailed notes and many rarely look at them. Some use papers or cards with lists of topic headings as prompts; others rely on their visual aids and use them as prompts; others do not use notes, and however well they conduct the session one might ask whether their session would have been better if they had used them. Some general observations about session notes:

- They are there to help you and are therefore personal to you.
- They should be kept as simple as possible.
- They should be easy to read - you might be some distance away from your notes.
- Use colour to ensure we do not miss major points.
- Use sketches to indicate where a visual aid is to be used
- Include a time schedule.

Although your session notes are personal to you, there may be occasions when colleagues have to conduct similar sessions and would probably appreciate reference to your notes.

SUMMARY

This is suggested that you use the following procedure to prepare the interactive session:

- Describe in general terms what you believe the trainees need to know.
- Develop a 'spray diagram' to show the possible extent of the content of the session.
- Carefully edit the spray diagram to eliminate all points that are not essential to the content of the session.
- List the major points of the session - the points the trainees must be able to recall.
- Alongside this list, note how you intend to assess whether they have learned the point.
- Review the content, taking a critical look at your list of major points, particularly ones that we cannot assess. Ask yourself whether we must include them.

- Write the objective for the session.
- Briefly describe the entry behaviour of your trainees. This might be based on precise knowledge, or on certain assumptions that you must make.
- Does the entry behaviour affect the objective? Review the objective, if necessary.
- Decide the most appropriate structure for the session. Do this by relating the objective, the content, the entry behaviour, and how you propose to assess attainment.
- Structure the content of the session, taking into account the:
 - Objective
 - Analysis of the spray diagram
 - Likely entry behaviour
 - Session structure you consider the most suitable
 - Time available
- Plan your visual aids in relation to the structure of the session. Decide the ‘formal’ aids you will prepare beforehand, and the ‘informal’ ones that will be evolved during the session.
- Review the structure of the content to ensure that all main points are suitably presented in visual form.
- Prepare your session notes and visual aids.
- Run through the session mentally to check sequence and logic. Adjust where necessary.
- Check class room and the equipment you intend to use.

FEEDBACK

Trainers plan and implement sessions for the benefit of their trainees. However, the trainers themselves are also presented with a learning opportunity. At the end of a session you can ask yourself many questions, ponder over earlier decisions you made, and generally reflect on the changes you would make if asked to do the same session again.

The following questions suggest areas for you to consider:

- Was the objective appropriate?
- Was the objective achieved?
- Did you assess the entry behaviour of the trainees correctly?
- How did the content relate to the objective and trainees’ learning capabilities?
- Was the sequence appropriate?
- Did you choose the right structure?
- Did you ask questions?
- Were the questions of high or low order?

- Did you allow sufficient time to answer questions?
- Did you fit the major points of the session into the best learning period?
- Did you communicate the major points of the session visually and orally?
- Were your visual aids appropriate to emphasising the major points of the session?
- Did the trainees appear to learn from your visual aids?
- Was your introduction appropriate?
- Did you summarise the main points of the session?
- How was your timing in relation to your planning?
- Did you feel comfortable with the timing and content of the session?
- Did the method of assessing performance suit the trainees?
- Was the assessment of performance valid in relation to the purpose of the session?

A checklist is provided for as ready reference.

Planning

- Identify topic
- Prepare a spray diagram.
- Edit spray diagram to identify 'core' items
- Express must items as an objective
- Consider entry behaviour of trainees
- Consider size of group
- Decide structure to be used
- Consider visual aid hardware available
- Prepare formal visual presentation of major points
- Consider informal visual aids
- Decide when to invite questions
- Decide timing
- Decide how learning performance is to be assessed
- Write session notes
- Check timing
- Check accommodation
- Check equipment

Introduction

- Gain attention/rapport
- Explain purpose/reason for learning about topic
- State objective
- Link to entry behaviour
- State participation
- Outline content and structure
- State finish time

Development

- Modulate voice to suit size of group
- Avoid reading session notes
- Use language appropriate to trainees
- Keep check of estimated timing
- Give relevant examples to support major points
- Maintain eye contact
- Present visual aids only when needed
- Avoid reading visual presentation word for word
- Assess trainee's reaction and adjust if necessary
- Assist learning by use of informal visual aids
- Check trainee's understanding where appropriate
- Where possible invite trainee's participation

Summary

- Restate purpose/reason for learning about topic
- Restate objective
- Review content and major points
- Invite final questions
- Can out performance assessment where appropriate
- Give feedback
- Close with thanks

HOW TO LEAD A DISCUSSION : CASE STUDY AS A TOOL.

Learning Outcomes:—

Knowledge acquired through this module will allow the participants to:—

- ✍ Explain the purpose of discussion
- ✍ State how to lead a discussion
- ✍ State how to prepare for leading a discussion

INTRODUCTION

As the trainer, responsible for helping others to learn, you may not always be the subject matter expert. Sometimes your learners may know as much as you, or have as much or more experience than you on certain topics. Often you will be helping highly experienced, mature, people who are more likely to respond to an organised exchange of ideas and opinions, rather than to 'being told' or taught. In such a situation you may choose a method that facilitates learning by experience sharing and cross fertilisation of ideas. The Glossary of Training Terms defines the discussion method as:

'A training technique in which the learning derives principally from the participants themselves rather than from an instructor'

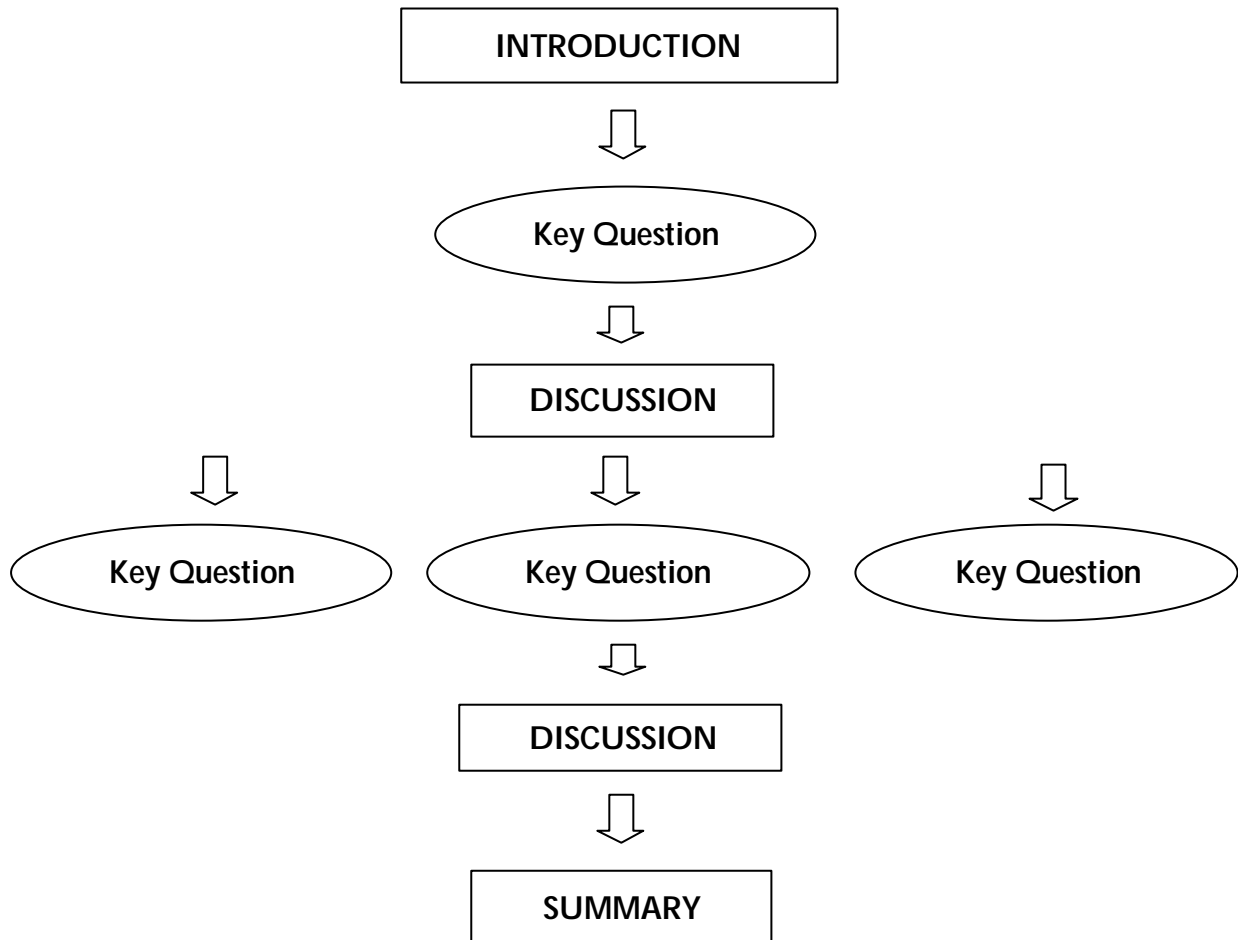
Discussion as a method should not be used to 'teach' knowledge new to the learners. It should be used more for sharing experience, encouraging and developing thinking, modifying attitudes and getting commitment. A discussion for training purposes allows individuals to express their concerns and ideas, and to build upon and develop the ideas of group members. We use the method to continue a learning process started by other training methods, such as case studies and group. The purpose of the discussion may be to:

Share views

- * *Collect and generate ideas*
- * *Obtain reactions and agreement.*
- * *Develop team work*
- * *Solve problems*
- * *Develop decision-making skills*
- * *Change attitudes*
- * *Consider practical application of theory*
- * *Develop evaluative and synthesising skills*
- * *Stimulate motivation and commitment*

To be effective, discussions must allow every member of the group to contribute. This means that there is a limit to the number of people who can participate in a discussion. Between eight and twelve participants is about the optimum number for effective learning. If there are more members, a discussion may be unwieldy, and if there is less it may not stimulate sufficient ideas for a useful discussion.

Figure 1: The Structure of A Discussion



To ensure a dynamic, stimulating and effective discussion you need to consider how we can structure a discussion. Figure 1 illustrates a model that has proved helpful in planning and running discussions.

The discussion begins with a brief introduction from the leader. This should settle the group, establish the topic for discussion, and stimulate interest and willingness to participate in the discussion. We should plan the introduction before the discussion.

After the introduction, the group need a thought-provoking and demanding question that will make them think and want to contribute. We call such a question a Key Question. The first Key Question is

critical to the success of the discussion. It needs to be considered beforehand and carefully prepared to:

- * *Introduce the subject.*
- * *Explain the purpose and reason for the discussion*
- * *Link the discussion to prior learning experiences*
- * *State the objective, if appropriate.*

After the leader has posed the Key Question, discussion takes place within the group. You will be involved in that discussion actively listening and occasionally making contributions, depending upon the needs of the group. When we have extracted the learning benefits from the first key question, the group moves on with another key question.

Additional Key Questions can be prepared in advance, at least in outline. The diagram shows that the sequence may vary depending upon the reaction of the group, and the direction in which they are going. The problem you may face is that this direction could be different from what you had planned. Prepare an outline sequence, but be flexible so that you meet the group's progress in the discussion. Remember that you are not in control of the content to the same extent as in a lecture or presentation. Because of this, the planned sequence may not make sense in the actual discussion. So, you may need to adapt to a different sequence as the discussion develops.

At the end of the discussion the discussion leader should summarise what has come out of the contributions and the conclusions reached, if any. Summarising it between Key Questions to consolidate may also be helpful and clarify what has been said before you lead into the next Key Question. This is a matter of judgement and will depend on the circumstances. Sometimes, for example, a group member will make a statement that summarises several earlier contributions: a summary from the leader is then unnecessary.

PREPARING TO LEAD A DISCUSSION

As with all learning events, preparation is important. The better the preparation the more confident you can feel as the discussion leader. Also, the more learning is likely to take place for your learners.

You should undertake the following in preparing for a discussion:

- * ***Set an objective***
- * ***Analyse the topic***
- * ***Consider the group***
- * ***Identify and prepare Key Questions***
- * ***Prepare an introduction***
- * ***Decide if any other resources would be helpful, eg. a flipchart***
- * ***Organise physical arrangements***

We should not take these activities in strict order because decisions about one of them may influence others.

Set an Objective

The objective should identify what they can do at the end of the discussion. This is often difficult to define with discussion leading where ideas, attitudes and motivation are usually involved.

Sometimes you can write the objective before you do anything else. Occasionally you may start with a topic you want discussed and only after analyzing the topic can you clarify the objective.

The discussion method is generally more appropriate for objectives that deal with feelings, opinions and attitudes. Of necessity these are less precise than objectives dealing with facts or skills. The outcome is less predictable and controllable than say, the outcome of a lecture. The details of the content come from the group and it is less easy to control than when using other methods. Success in achieving the objective is also less easy to measure.

Examples of objectives for discussion leading are:

1. "..... group members can describe the role of a leader in a management role"
2. "..... participants can analyse the difficulties in conducting audits"
3. "..... group members will identify the impact of word processors on their jobs"

Analyse the Topic

In preparing to lead a discussion you may start with an objective or just a topic heading. You yourself must know quite a lot about that topic – which may also apply to other participants in the discussion. Your job is to help the group to explore the topic and achieve the objective.

To help you lead the discussion, and to get the group's attention on useful areas of the topic, you need to analyse the topic. This process will enable you to identify the key areas for discussion.

One starting point is to think through the topic and its various aspects and implications. During this process there is a danger of forgetting useful thoughts and ideas that would stimulate discussion. It is worth recording your thoughts to help you review and organize them.

Starting with a blank sheet of paper, head it up with the topic title. Then jot down key points, words or questions you think should be discussed about the topic. When you have completed your lists of points, you may go back over what you have done, looking for patterns or groupings. This can help you identify areas that the discussion needs to cover. Key points may be questions to which there is no easy answer, or perhaps there is no answer. However, getting to an answer is not the point. The point is to generate learning through a discussion of the issues involved.

The benefit of analysing the topic is that it can help you to decide:

- a) What knowledge input may be necessary in the introduction?
- b) What information the group may need
- c) What areas of the topic are irrelevant to the objective?
- d) Exactly what the objective is
- e) Key questions to be put to the group
- f) In what order you should discuss the various aspects of the topic

You are responsible for helping the group members to achieve the objective. This will require you to decide which contributions are relevant and are helping the group, which is side-tracking the group. The clearer you are before the discussion on where you want the discussion to go, the easier those decisions will be during the discussion.

Analysis of the topic may help you identify what may be a natural sequence of development for the discussion. This can give you a framework for planning and introducing the discussion. The discussion may develop in a very different way from your planned sequence. Because the group will talk about the topic as they see it, a new sequence may emerge. You must decide how important it is to follow one path rather than another. If you direct the discussion back to your planned sequence, you may take out some spontaneity and interest from the group members. This may make the discussion a harder work for you and less effective for the group members.

Consider the Group

A group discussion depends for success upon the participation and contributions of members. Each member of the group needs to recognise that he or she has something useful to contribute. They must also realise that they can learn from each other. It is the job of the discussion leader to identify the contributions that individuals can make and encourage them to make them.

In planning the discussion you need to consider:

- * Size of the group. Less than 5 is too small to generate sufficient ideas and points of view. More than 12 is too large to keep them discussing as a single group in which everyone participates. You need to split into subgroups
- * What knowledge is shared by everyone in the group?
- * Breadth of experience in relation to the topic
- * Likely reactions to the topic
- * Your relationship with the group
- * Their position compared with yours

Finding out about the learners and planning the discussion around them should help you avoid unpleasant surprises during the discussion. It will also make it easier for the group members to achieve the objective.

Identify and Prepare Key Points/ Questions

Having analysed the topic and considered the sequence you can probably identify most key points to be discussed. In a perfect discussion the leader would introduce each Key Point with a Key Question. The Key Question would then stimulate sufficient relevant discussion within the group to cover completely the Key Point. The discussion leader would not need to intervene to bring the discussion back because the question would succeed in focusing attention entirely upon the Key Point. Once the Key Point is covered, you can summarise and move on to another Key Point. This should be introduced with another Key Question.

This model of a perfect discussion infers that the Key Question has been effective in stimulating interest, focusing attention and encouraging everyone to contribute. Key Question need to be carefully thought out and planned. They must make the group think and use their experience. The wording of a question should not be threatening to individuals in the discussion group. There should not be any easy answer to a Key Question and answering it should raise other issues that will stimulate further discussion.

When you are planning Key Questions you need to consider:

- * Objective of the discussion
- * Group Members
- * Time
- * Topic analysis

The Key Question to follow your introduction can be planned word for word. Later questions should be prepared in an outline so that they can be phrased to fit into the context of the preceding discussion.

The number of Key Question required for a discussion will depend upon the complexity of the subject, the depth of discussion required, the experience of the group and the time available. Just one 'good' key question might keep a group going for twenty minutes. After the first Key Question the group themselves may develop other questions that cover the points identified by the leader. This is good in that it reduces the need for intervention by the leader and increases the confidence and ownership of the group in what is happening.

The sequence of Key Questions in a discussion should reflect the topic and the way the group have developed the discussion. This makes planning a sequence difficult in advance because imposing the leader's sequence may reduce the flow and sense of the discussion. When we have exhausted a key question, the next key question should be selected to link on to the previous discussion and phrased to reflect the way the group have been discussing the topic.

Time

This is a major constraint. Generally, highly effective discussions require a considerable amount of time. Failure to provide sufficient time or arbitrary closure of a discussion creates a major barrier to effective discussion. Unfortunately, discussion timing is extremely difficult to predict and depends upon:

- * The interest and experience of group members.
- * The quality of key questions posed by the leader.
- * The way in which group behaviour helps or hinders development of discussions.
- * The complexity of the objective to be achieved.
- * The diversity of opinion within the group.

Prepare an Introduction

An important role for a discussion leader is to get the discussion going by means of an introduction. We require a delicate balance between a comprehensive introduction that switches the group off and a short one that leaves them puzzled.

When preparing an introduction you should aim for brevity and consider covering the following:

- * State the topic to be discussed
- * State the purpose of discussion
- * Outline limits to topic and timing
- * Set the scene
- * Establish links with the experience of the group
- * Bring everyone to a common starting point
- * Arouse interest
- * Prepare the group to contribute
- * Lead up to first Key Question.

While the list is long, many items can be included very briefly and often grouped together. The introduction should reassure group members that they have something to say, encourage them to say it and listen to what others have to say.

Decide Upon Visual Aids

You must decide whether visual aids are suitable and helpful for your learners in the discussions you lead.

Visual aids can promote learning and stimulate interest. Prepared visuals are not possible except for topic headings and the first key question. If you feel able to prepare visual aid material it suggests you are intending to give some form of presentation.

Where ideas are being sought, having a flipchart is very helpful. The flipchart seems the most appropriate visual aid for discussions. It can be used to present Key points for discussion and to record what is coming from the group. The flipchart can be used by group members other than the discussion leader. Use of the overhead projector (OHP) is less appropriate because it takes attention away from group members to the screen. While a flipchart can be left displaying a key point for discussion and not be intrusive, the OHP left on can be distracting to the discussion between group members.

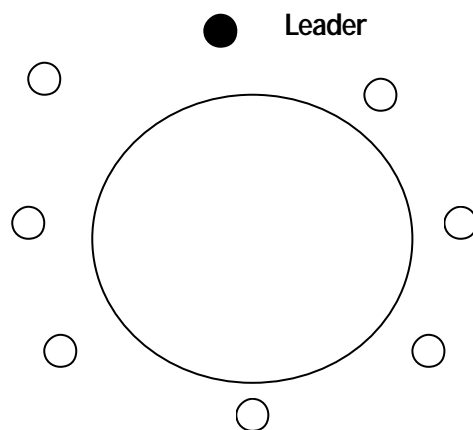
Organised Physical Arrangements

Ideal accommodation is seldom available, but the discussion leader should make the best of what is available.

The room should be well lit and ventilated. Chairs should be comfortable to sit on for an hour or so, but not so comfortable that people fall asleep. If possible, we should provide tables – without them the atmosphere is apt to become too relaxed and to reduce active thought and participation.

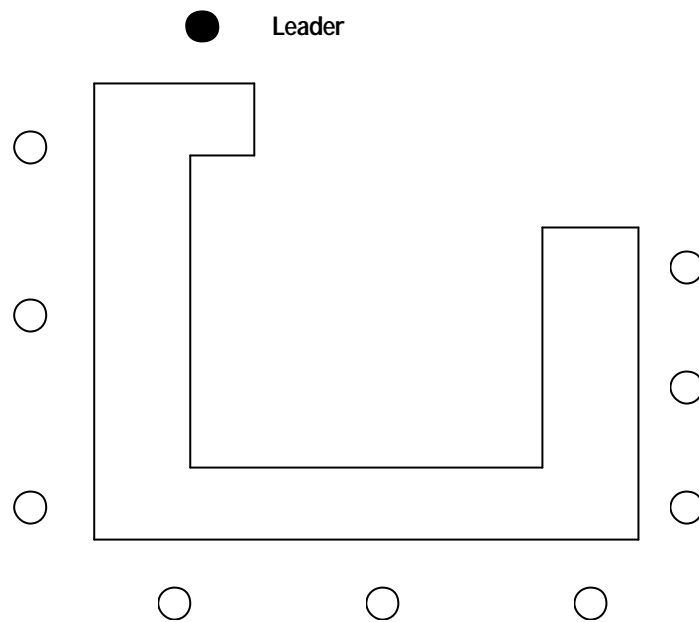
The layout is extremely important because it can affect the discussion. The seating arrangements need to allow participants to see each other clearly and comfortably. Discussion is very difficult to maintain without eye contact between participants. The discussion leader needs to be seated as part of the group so as not to dominate the discussion and prevent interactions between other group members. The most participative arrangement is the circular table or square table, as shown in Figure 2.

Figure 2: Physical Layout for Discussion



The "U" formation shown in Fig 3 places the leader in a more obvious position of power but retains easy contact among all members of the group. It is also a convenient layout for other training methods, so can be used without major furniture shifting.

Figure 3: Physical Layout for Discussion



In both layouts any visual aid can be put alongside the discussion leader. The circular arrangement can make it difficult for group members next to the leader to see the visual aid comfortably as they have to twist round to face it.

LEADING A GROUP DISCUSSION

Once the group has assembled and settled down you can present your prepared introduction. This should be brief but adequate to arouse interest and give guidelines to the discussion. Then the first, prepared, Key Question should be posed to the whole group rather than to a nominated person.

You should be prepared to sit quietly to give the group time for thought. By looking around the group you can identify those with something to say, those who are confused or uncertain and those who do not wish to contribute. You must use your judgement on whether your question has been successful in stimulating thought and desire to contribute, or if it needs some qualification or rephrasing. Often your silence will encourage someone to start the discussion by attempting to answer the question. If no-one is prepared to speak spontaneously, you may nominate someone who appears to have something to say or you know has something to contribute on the question.

During its early stages a discussion may go 'through the chair' where ever: contribution is addressed to the leader. The leader responds and then someone else is brought into the discussion. This tends to reflect dominance by the discussion leader. It only takes a few questions nominating individuals to reply for the whole group to sit back and wait for 'their turn'. On occasions such discussions can suddenly take off, without warning group members that are talking directly to one another and exploring their views. Debate and disagreement between members is to be welcomed because, if well directed and controlled, it helps learning.

To avoid discussions ‘through the chair’ you should address Key Questions to the whole group. Contributions addressed to you should be passed on immediately to another group member for elaboration or comment. Your physical presence should not dominate the group either through position or posture.

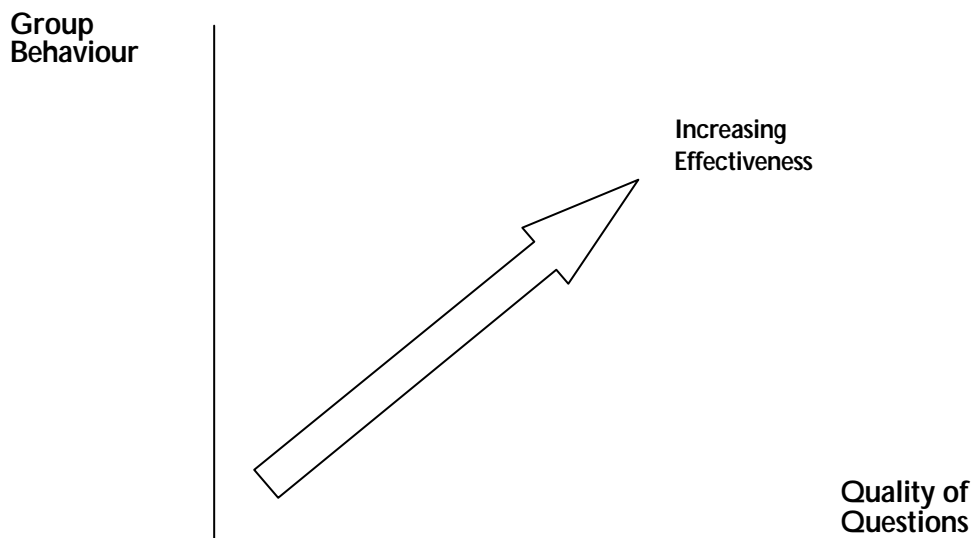
INCREASE EFFECTIVENESS OF A DISCUSSION

An important distinction between giving a lecture and leading a discussion is that careful preparation beforehand can work the content and framework of the lecture out in detail. The discussion, of course, also requires careful preparation beforehand. However, the framework cannot be imposed and the detailed content depends on interaction between group members, and with you, during the discussion. In an extreme case, it is possible to visualize a situation where a trainer prepares a lecture, which an actor then delivers; this simply could not happen with a discussion.

The skill of the discussion leader lies in stimulating a good exchange of opinions while keeping to themes.

During the discussion you should manage a fragile relationship between members of the group, and between them and you. The intention should be to generate effective learning, not conflict, dissent or alienation; Aim is to generate light rather than heat. We can identify two factors that, well managed, will significantly increase the effectiveness of a discussion; we will illustrate them in Figure 4.

Figure 4: Effectiveness of Discussion.



QUALITY OF QUESTIONS

A key factor in successful discussion leading is the use of questions. They provide two essential services:

1. They promote learning. Questions that are perceptive, challenging and appropriate create an environment where members of the discussion group can gain a deeper insight and understanding of the topic under discussion. We will call these questions *learning* questions.

2. They help in the general management and control of the discussion. By appropriate use of questions the discussion leader can control the discussion and provide opportunities for all members of the group to participate. We will call these questions *Tactical* questions.

To enable a group to obtain maximum value from a discussion, you must consider how to manage the event. You must promote learning by the sensitive use of learning questions and, also, control the discussion by using a variety of tactical questions.

An analogy can be drawn with building a wall - a wall of understanding. The bricks in the wall are the learning questions used to promote a better understanding of the topic. The mortar between the bricks is the tactical questioning, maintaining control of the discussion and generally directing its development towards achieving the objective.

LEARNING QUESTIONS

The technique of using questions to promote learning dates back to the days of Socrates in the fifth century B.C. The leader of a discussion uses the "Socratic Approach", as it is now called, to challenge assumptions, compare opinions, and generally encourage the development or a deeper understanding of the topic under discussion. Learning questions can be considered to fall into two broad categories, low order questions and high order questions.

Low Order Questions

Essentially, these test existing knowledge. They make only a limited contribution to a discussion because they usually require a factual answer. Low order questions are of value in discussion to check understanding and to establish a common base of information. There are three main types of low order questions:

Recall Questions that ask group members to contribute facts.

e.g. "How many..... ?"

Comprehension Questions that ask group members to describe or check understanding of something, to establish a common starting point for the discussion.

e.g. "What do we understand by the term.....?"

Application Questions that ask group members to relate an issue or a simple problem to their own situation and consider how they might apply a proposed solution.

e.g. "How would that work in your department....?"

High Order Questions

These provoke discussion because there is no clear-cut answer. Group members may interpret the question differently and apply their own experience, opinion and attitudes in their response. This leads to a wide diversity of views that can be used as the basis for discussion. Almost certainly, there will be no 'right' or 'wrong answer'. It is exchange of a variety of comments that can lead to a much wider understanding of the topic or problem being discussed. The following are types of high order question:

Analysis Question asks group members to make deductions. They are encouraged to organize their thoughts and to look for evidence to interpret and to make generalizations. The value of these questions is that the leader can draw on the experience of members. The question can be illustrated by reference to similar situations that encourage members to express opinions.

e.g. "So what does that mean for other section?"

Synthesis Questions stimulate the group's creative potential. They require people to reflect and work together as a team, encouraging participants to develop ideas and suggestions.

e.g. "Can we build on that idea somehow?"

Evaluation Questions can be considered the highest level of thinking to be obtained from a discussion group. No matter how brilliantly a conclusion from other categories of questions, they must evaluate it and consider its worth. It encourages members to give reasons for their judgements and to assess different ideas and solutions.

e.g. "Which of these possible approaches do you prefer, and why?"

Application of Learning Questions

In planning the types of question to ask, you should consider:

1. The level of the questions. If too low, the group may see the discussion as a pointless recall of knowledge. If too high a level, the group may feel threatened and respond in a defensive manner. High order questions can make the group feel that they are being asked to contribute outside their level of expertise and experience.
2. What alternative questions to ask, either further up or lower down the order. This should provide a degree of flexibility and permit you to adapt to the learning needs of the group.
3. The time available. Low order questions require a relatively simple answer: they are less likely to provoke controversy and can be concluded quickly. High order questions are likely to do the opposite.

TACTICAL QUESTIONS

We need tactical questions when group behaviour is limiting the learning from the discussion. They may be necessary to bring some participants into the discussion, to acknowledge the contribution of others and to get the discussion to move on. Tactical questions are devices for directing the discussion and generally controlling the event. In themselves tactical questions do not promote much learning; their main purpose is to focus discussion on the high-order learning questions.

They help the discussion leader to:

- * Ensure that learning questions are fully understood, before the detailed discussion.
- * Manage the participation of group members.
- * Control the allocation of time to each aspect of the topic.
- * Summarise and check for understanding and agreement.

Tactical questions can be considered within three broad categories:

1. Open Questions
2. Probing Questions
3. Closed Questions

1. Open Questions

To establish rapport

Introductory questions used to establish an initial relationship with the group. Examples:

- ‘Didn’t you use to work in the audit department?’
- ‘Have you met ?’

To explore the background

Used to establish a common basis upon which to build the discussion. Examples:

- ‘Please tell us about?’
- ‘How does the (topic) affect your department?’

To explore opinions or attitudes

Again, used to establish a common basis, but the emphasis is now on the individual member’s opinion or attitude towards the topic. Examples:

- ‘To what extent do you feel...?’
- ‘Just how far do you think?’

2. Probing Questions

To show interest or encouragement

Where the leader encourages a member of the group by making supportive statements, or repeating key words to encourage responses from others. Examples:

- ‘That’s interesting.....?’
- ‘I see?’ (Tell us more)

To seek further information

Used to develop a member’s statement by promoting further comment. Examples:

- Why?
- What would you do if.....?’

To explore in details

Where comments of potentially great significance are highlighted by seeking further opinions. Examples

- ‘Just how far do you think.....?’
- ‘You feel that?’

To establish understanding

Where the leader controls the discussion by summarizing a particular aspect of the topic.

Example:

- ‘As I understand it.....?’
- ‘The consensus is?’

3. Closed Questions

These are especially useful for establishing facts, or to control a discussion in danger of falling apart through lack of understanding. Examples:

- ‘Are you?’
- ‘How often do you?’

GROUP BEHAVIOUR

During a discussion you have the responsibility to control the group's participation. You have to:

- * Understand the contribution of each member.
- * Help group members to understand each contribution.
- * Ensure that the contributions relate to the Key Question.
- * Summarise the contributions and record main points.
- * Summarise each aspect of the topic at an appropriate time
- * Encourage contributions from everyone in the group.
- * Limit contributions.
- * Keep to time constraints.

By improving the quality of group participation and planning high quality questions you can increase the effectiveness of the discussion. During the discussion you may be faced with group members who are either not helping or actively hindering the group. You may be faced with group members who talk too much. If you ‘shut them up’ you may lose them for the rest of the session; if you let them go on for too long, you may lose the group who by that time get bored and have ‘switched off’.

Supplementary questions and summaries can be useful to clarify and break into an individual's contribution. Asking another individual to comment upon what has been said can also help to widen the discussion.

- (b) Do not put too much pressure on 'silent members'. It may do more harm than good. Silence does not mean that they are not learning.

However, encouraging looks, or asking silent members to help with recording contributions can be useful to bring them into the body of the group.

You can use three major techniques to control the discussion:

Questions

The quality of the discussion is very dependant on the quality of questions. This applies to both key questions and supplementary questions. Good questions can help people to think, clarify understanding, and stimulate an active approach to the topic.

It is essential that you ask questions with a genuine desire to understand or clarify. We should frame questions in a way that avoids any member feeling attacked. Any attempt to make a member of the group look foolish, or to score off a member, will often lead to a breakdown of effective discussion.

Asking how one contribution relates to an earlier one will help to keep the discussion together and develop understanding of the topic.

Silence

Silence can be a most valuable contribution to a discussion. During silences, people can think. To use silence you should make sure that the group have a good, challenging question to help them to think. Then remain seated and be silent yourself.

Associated with silence is the art of listening. It can be helpful if you note down useful comments from members of the group and encourage them to do also. The skill of listening is one of the most demanding in discussion leading. As a discussion leader you should listen carefully to the contributions being made; decide whether you have understood; decide whether the rest of the group understood, and perhaps phrase a clarifying question and at some stage summarise the content. Doing all these things together is very difficult and very tiring. Your attention will almost slip from time to time, so note taking can be helpful in keeping concentration and providing a reminder to which you can refer for summarising.

Summaries:

At certain points in the discussion you should gather related contributions together and summarise them. If this is a summary of Key Question, recording this in writing or the flipchart is useful. This gives you the opportunity to control the movement of the discussion and prevents the group from wandering from the topic; it consolidates what they have learned; and gives the group a sense of achievement.

The summary is useful to control the timing of the discussion. Providing a summary can round off a Key Question. It will normally close discussion on that aspect, and allow discussion to move on to the next.

By controlling the discussion in this way, you can apportion the time available.

Sometimes spending time on a deeper discussion of one aspect may be more useful for the group than move on to another. This is a matter of judgement, and will depend on the objectives, the learning value of the discussion, and other constraints. However, members of a discussion group will become extremely frustrated if the leader prematurely concludes their discussion.

The final summary of a discussion can be quiet brief and should round off the discussion into a coherent whole. Because the final summary must reflect the content of the discussion, we cannot plan it in advance. The use of the flipchart to record points arising and reference to notes made by the discussion leader can both be very helpful in doing the final summary.

During the final summary you should consider the following points:

- * Review the points covered
- * Acknowledge specific contributions
- * Develop conclusions reached
- * Action to be followed - when and by whom
- * Reinforce understanding of the topic

THE ROLE OF THE LEADER

The primary purpose of the discussion is to enable participants to learn from each other. The discussion leader should be:

- * Impartial in responding to group members.
- * Supportive to the group and encouraging contributions.
- * Managing the discussion within time constraints.
- * Not seen as the centre of attention.
- * A member of the group.
- * Prepared to learn as much as any other member of the group.
- * Stimulating the group to explore the topic in depth.

The essential feature of your role is to serve the learning needs of group members. You can do this by asking questions to clarify members' understanding and to challenge assumptions, and by summarising the contributions and conclusions reached in the group to help them achieve the learning objective.

This may appear to make the discussion leader's role more passive than the role of presenting new information in a lecture. The role is in fact, very demanding and active; attentive listening and a quick grasp of what is being said are essential. In a discussion, differences in entry behaviour become far more apparent as the people in the group become equal partners; you have to create a learning event that will lead to a full discussion of the subject and the realisation of the objective for the discussion.

LEADING A CASE IN A CLASS ROOM

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Teaching through a case study is called case leading and the instructor is called a case leader. The implication is obvious. Case studies and normal teaching or pedagogy are two entirely different genre of teaching. In a case study the instructor merely leads, i.e., intervenes only when necessary, to lead the discussion and keep it on the right path.

A case leader keeps the proceedings orderly.

He guides the discussion on the right path by asking suggestive questions.

He controls speed, identifies and clears blocks in discussion and does time management.

He handles unpredictable developments and volatile reactions.

HE MUST KNOW HOW TO KEEP OUT OF THE WAY AND LEAVE THE TALKING TO THE TRAINEES.

He should also be a student and appear to be so to the trainees by

- listening intently
- respecting students views
- asking relevant questions to show his interest.

He should help in expressing a concept if he finds that the trainee is having difficulty in doing so.

He should supply additional information if there is a gap or a bottleneck.

He should keep himself and his pedagogical tools in the background and make the student feel free and encourage him to wade through his ignorance, perplexity, insecurity and loose thinking without the fear of the critical teacher.

He must refrain from using seven pedagogical sins of **condescension, sarcasm, personal cross-examination, discourtesy, self-approval, self-consciousness** and **talkativeness**.

He should ensure that the understanding that student reaches is his own and not *that* of the instructor.

He must understand that when, the case is being discussed by different groups at different times, conclusions are likely to be different.

He may use three tools of infinite flexibility which promote productive discussion without diluting the students' learning responsibility -

-ask questions: but only when necessary, preferably as response to what has just been said. These should be used as inconspicuous aids to advance the_x discussion. But these should be very infrequent and to be used when absolutely necessary.

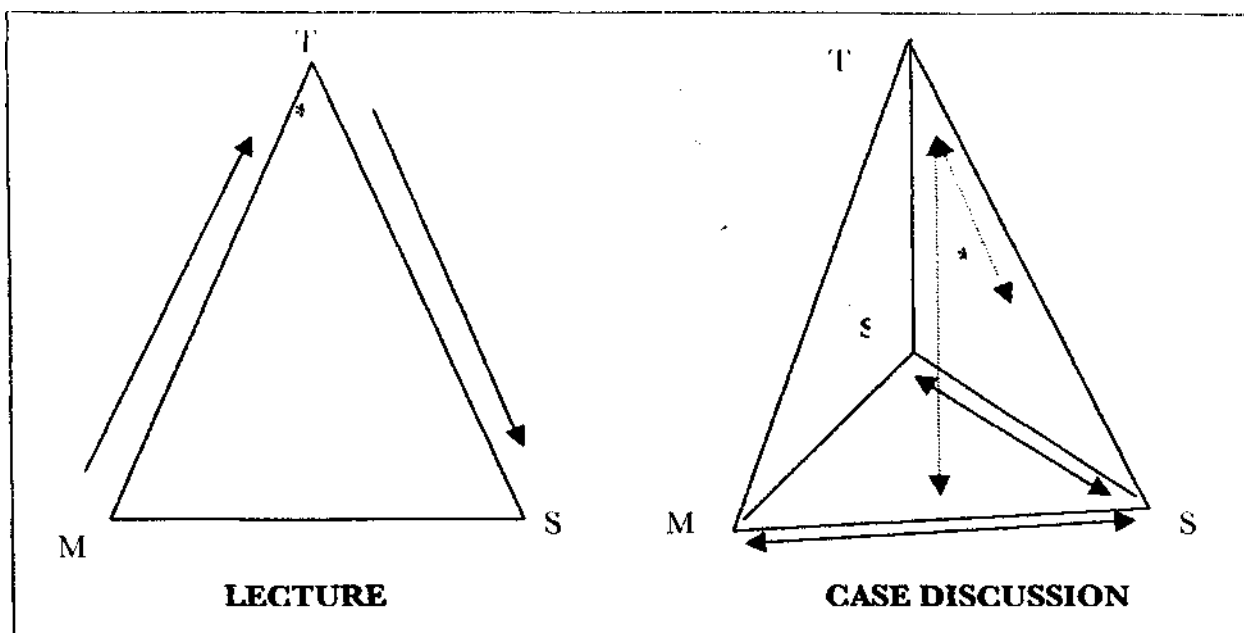
-restate and rethread what is said: This is a coordination function, restating what has been said by the student to bring it in line with the topic, confirm from the student whether what the instructor has said is what the student meant. This gives the student a chance to clarify his thoughts further.

-voice his opinion and interjection: The instructor can speak to firstly, regenerate the self-propulsive power of the class, secondly, clarify a difficulty surmountable only with technical knowledge and thirdly, to supply missing information. He speaks only when the class has need of it, is ready for it and can make use of the information in their discussion.

SUMMING UP: This is a very important function. The instructor needs to sum up at two stages. First, he should provide the class with a summary from time to time of what has gone on so far summarising the views of the student. Secondly, at the end of the discussion, he should give a gist of the entire finding of the class. He may of course get this done by one of the students also. For this periodic and end of the class summing up he may either make use of the charts prepared by the subgroups or the chalkboard.

DIFFERENCE BETWEEN CASE METHOD (CM) AND TRADITIONAL TEACHING (TT)

1. Teacher is the sole performer, always in control. Students are passive, compliant and obligated to be attentive. In CM, students are in control whereas the teacher is just an observer and guide.
2. Teaching a case is an exercise in leadership. The teacher engages student participation in the collective exploration of a problem and the effort to reach a joint resolution. In TT, the teacher analyses the course material and conveys his interpretation to the class.
3. In TT, the teacher stands between the material and students. In CM, the students meet the material more directly, interacting with each other as well.
4. Teaching a case consists of managing those encounters toward purposeful ends and (as the two lines, < — >, suggest) of learning from them as well, about both the students and the case itself. While intellectual and procedural authority belongs to the teacher in TT, teacher and students share it in CM. both determine what is learnt.
5. In TT, knowledge flows unidirectionally, from teacher to students. In CM, both teacher and student assume responsibility of students' learning. Knowledge flows from student to student, student to teacher and teacher to student.
6. Learning being authoritarian in TT, the teacher often probes into or patronises the students' ignorance, exposes their fallacies and deficiencies and always appears to students as a critic. He sits in judgment over the acquisition of communicable wisdom. In CM, learning is participative. Here, since the acquisition of wisdom is mutually dependant, teacher is not viewed as a critic but a co-traveller.



7. In TT, teacher's goal is student mastery of teacher's truth, demonstrated through examinations and knowing the right answers to questions. In CM, teacher's goal is student mastery of student's truth demonstrated through intra-group discussion under the guidance of the teacher.
8. In TT, teacher is not worried about student contribution. In CM, teacher is genuinely interested in student contribution of ideas, analyses and conclusion. So he tries to awaken student interest and stimulate active engagement among students.
9. In CM, there is "more work but more fun". But in TT, it is "less work but less fun". In CM, there is a premium on skill in discussion, ability to analyse, dealing with the unexpected and experiments with ideas and solutions. The classroom experience is not "cut and dried". It is fluid and exciting.
10. In CM, no two case discussions are alike because participants are not the same. In TT, the passage of knowledge is uniform and repetitive. In CM, learning is the responsibility of the students. In TT, learning is the responsibility of the teacher.

The author :

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EXPERIENTIAL LEARNING & HOW TO RUN GROUP EXERCISES

As individual human beings we experience our lives at three levels of existence. In simple terms they can be described by the phrase 'we think, we feel, we do.'

The relationship between the levels

All the three levels are inter-related and interactive. This means that what we think is influenced by and in turn influences what we feel and do, the same is true of each level in relation to the other two. For example what we do is influenced by and in turn influences what we think and what we feel. In the language of psychology these three levels are termed the cognitive domain, the affective domain and the action domain.

It is also true that we experience our existence at all three levels simultaneously and therefore cannot really disassociate one level from another. For instance, as you read these words you are doing, i.e. you are experiencing the action domain. This is because perception is an active process, physiologically and psychologically, which needs to be engaged in order to read. Reading is also a thinking process and therefore you are engaged in the cognitive domain. Finally, what you are reading and your thoughts concerning it have relationships with your existing beliefs about and attitudes towards the subject. Therefore your feelings are involved and you are also in the affective domain.

You are unlikely to be conscious of your experience of the affective domain in reading these words unless they explicitly contradict or actively re-affirm your current beliefs and related attitudes. Similarly, you will not be conscious of the action domain in consciously attempting to focus your eyes. At a conscious level you are only aware of the cognitive domain i.e. your thinking process. This does not mean that your experience of reading these words is confined to that level. Human existence is experienced at all three levels.

The three levels and learning

If that last statement is accepted, it follows that learning is experienced at all three levels. Since cognition, affection and action occur simultaneously learning both influences and is influenced by all three domains. What you learn from this manual will be the result of the interaction between the three domains as you read it. Any theory of learning therefore has to be able to explain the process in terms of the three levels of existence, and it has to be applicable in promoting learning through utilizing the cognitive, affective and action domains. These two points underpin important theories of learning.

It will be clear from the figure 1 that System Beta engages an individual learner in all three levels of existence. The process described involves the cognitive, affective and action domains.

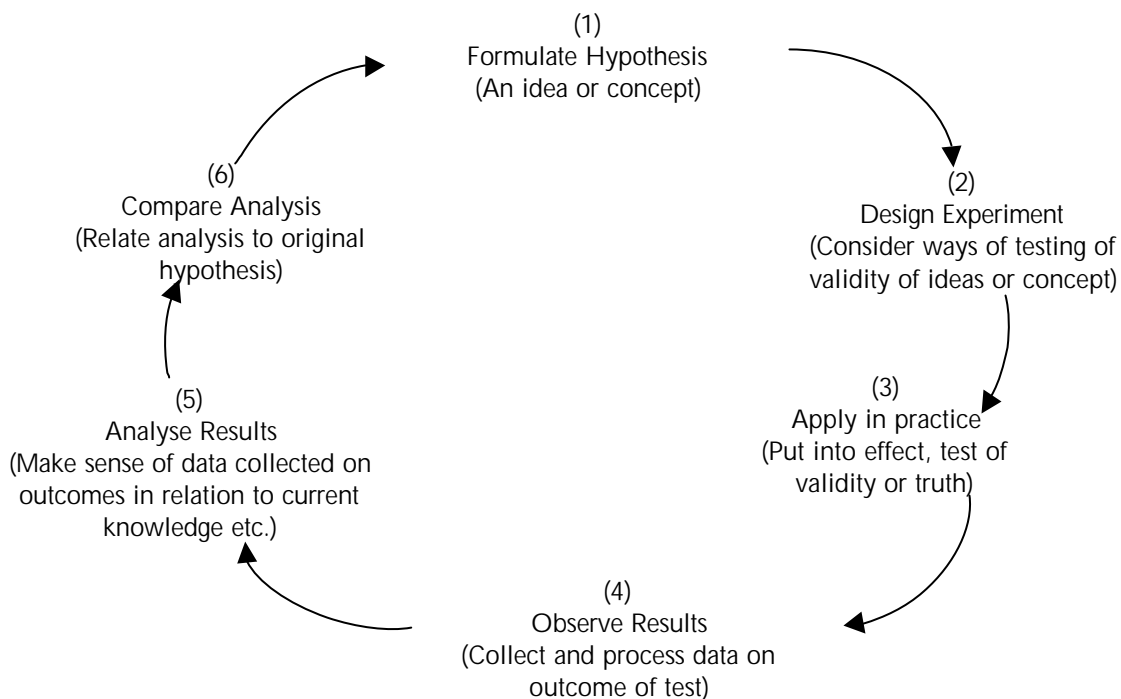


Fig. 1

Two critical features

A critical feature of the process is the starting point of the hypothesis. The idea or concept in this stage is formulated by and belongs to the individuals. This means two possibilities in practice. The first is that it may be an original and unique idea that is formulated by the individual. The second is that the idea or concept is presented to the individual by someone else through, for example, a lecture, a book or a conversation. According to the model, however, the individual in both cases will need to complete all stages of the cycle in order for the learning to occur. In the latter case doing so will also probably have the effect of producing an individual interpretation of the concept, therefore each individuals learning remains unique. It also follows that in the case of a presented concept through, for example, a lecture, learning does not happen unless and until all stages of the process are completed. This point is obviously significant in the design of learning opportunities within training and development.

A second significant feature of the model is that because the process is cyclical the starting point does not have to be formulation of the hypothesis. Individuals can and do enter the cycle at different points in relation to separate pieces of learning. The stages in figure 1 are labelled with numbers in sequence for convenience rather than to represent reality. For instance, it is common for new ideas or concepts to suggest themselves in stages three, four and five.

The theory known as 'experiential learning' was developed by the American psychologist David Kolb and his co-workers in the mid-1970s (Kolb et al, 1984). Since then it has become one of the most well known and widely applied theories in training and development, especially in term of managing organization change and in related adult learning. The theory is very similar to System Beta.

Rationale of experiential learning

The rationale of experiential learning is quite simple. It is that learning approximates the process of problem solving, and that therefore teaching or training which is designed to encourage, support and enable learning should be based on a problem solving approach. This basic idea is worth exploring in a little more detail.

Traditional teaching methods are based on ideas which have particular associations. These associations include:

- ✍ The presence of and key role for a teacher or trainer
- ✍ A particular and specific place for learning to occur such as a classroom or training centre
- ✍ A focus on knowledge, ideas and concepts
- ✍ The use of learning materials such as textbooks and handouts.

Such associations produce particular meanings that are attached to the learning process. These include the meaning that:

- ✍ An individual's learning is the responsibility of some other person, e.g. the teacher
- ✍ That learning is a separate and discrete activity that occurs at particular time in a specific place
- ✍ That learning is essentially a passive process
- ✍ That learning is concerned with acquiring or understanding abstract information, ideas and concepts.

It can be argued with great justification that most individual's experience of formal learning leads to these associations and produces these meanings.

An alternative is to view learning as similar to problem solving. In this case the associations are that:

- ✍ Problems are very specific
- ✍ They belong to the individual and are their responsibility to solve
- ✍ That they require experimentation as part of the process of reaching a solution.

These associations produce a different set of meanings:

- ✍ Problems solving is a active process
- ✍ It is concerned with practical application and results
- ✍ The focus is real and concrete
- ✍ Problem solving is a continuous and natural part of living.

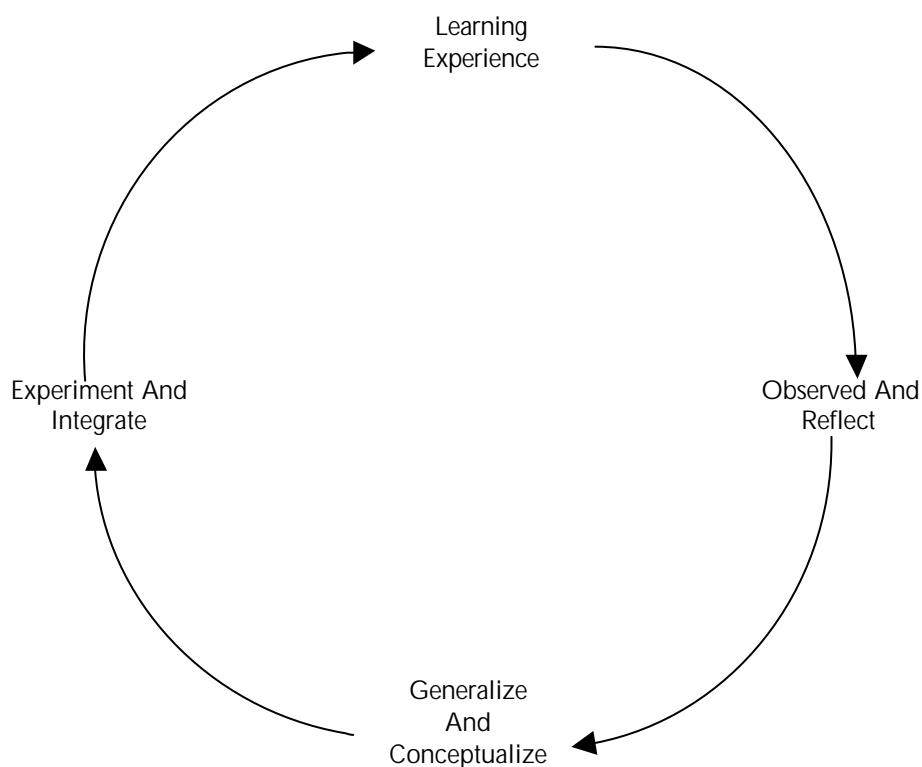
What this means in practice is that most individuals actually learn passivity and dependence in relation to learning through their experience of traditional methods. It also means that traditional methods do not actually reflect the reality of learning since they do not adopt a problem solving approach. Using problem solving as a basis for explaining the learning process leads to the theory of experiential learning.

It has been found, however, that learning that results in increased self-awareness, changed behaviour, and the acquisition of new skills must actively engage the individual in the learning process. In particular, adults have been found to learn more effectively by doing or experiencing.

Adult learning specialist David Kolb has described this learning process as a four phase cycle in which the learner; (1) does something concrete or has a specific experience which provides a basis for (2) the learners' observation and reflection on the experience and their own response to it. These observations are then (3) assimilated into a conceptual framework or related to other concepts in the learners past experience and knowledge from which implications for action can be derived; and (4) tested and applied in different situations.

The adult learner assimilated useful information into their personal 'experience bank" against which future learning events will be compared and to which new concepts will be related. Unless what is learned can be applied to actual work or life situations the learning will not be effective or long lasting.

People responsible for designing, learning events should keep these phases in mind as they develop ways to help the learner understand and be able to use the new knowledge and/ or skill.



Conclusion

In India even today, particularly in the Government Organisation, training is not considered to be so important for improving performance. Primary reason for such a situation is that in many cases, training is not directly linked with the perceived need of the organisation owing to absence of TNA. Systematic Approach is not followed in organising the training. Most of the cases, training is supply driven. Another major weakness is the indiscriminate use of lecture method. On the other hand, on-job training is now being neglected. However, due to strong intervention of the Department of Personnel and Training, Government of India during the recent past the situation is improving. Direction has been changed. Training is becoming more and more trainee centred than the trainer-centred. Organisations are now sensitised and showing considerable interest on Systematic Approach to Training. Training institutes are trying hard to make training demand driven. If this process continues, there will be a virtual cycle and training will be used more systematically in improving performance. As a result, training will be considered as an important activity for the continuous improvement in the functioning of the organisation.

Group Exercise

INTRODUCTION

Training activities are influenced to a quite marked extent by the entry behaviour of participants (The things they already know and can do and the attitudes they adopt). This is especially true when the learning group consists of mature, experienced, adults.

Each participant will bring his or her own mixture of status, knowledge, skills, attitudes, opinions, prejudices, motivation, good and bad experiences, and so on, to the learning event. What is missing is an experience common to all members of the group, around which they can learn.

A group exercise can establish the common ground around which trainees can learn. Instead of basing their thinking on an abstract theory', trainees can start from their experience in an exercise and build up to a principle or a theory.

WHAT IS A GROUP EXERCISE?

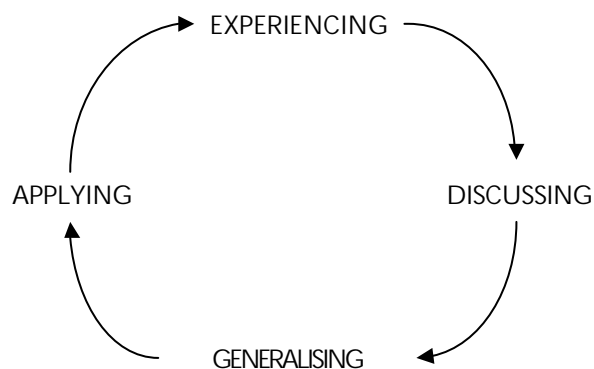
A group of officials on a course is given the task of counting the number of pebbles in a square metre of beach; or to build a tall tower using only A4 sheets of paper and a stapler; or to invent a new game using a pack of playing cards. These are all examples of possible group exercises used in training mature and experienced officials. The purpose in the mind of the trainer might be to develop good group working relationships.

Clearly the approach is a very different one from starting with a lecture about the views of a distinguished theorist. The major differences are that:

- a) The trainees are given something active to do, and
- b) That their learning is developed from their experience in performing that activity.

GROUP EXERCISES AND LEARNING

Group exercises provide an opportunity for each member of the group to be involved in doing something and to learn from what he or she does. Trainees have an opportunity to try different ways of doing things without the risk involved if they tried the same things in a real working environment. The impact of this experience and the realism of the simulated situation can change behaviour and should help the process of transferring and applying what they have learnt to their work situations. We can represent the process in this way:



Experiencing

This process starts with experiencing something in the group exercise. The trainee becomes involved in the group activity - for example doing, saying or observing something. This involvement becomes the basis of the whole process.

Discussing

The trainee discusses with other members of the group his or her reactions to and observations on the activity that they have also experienced or observed. We discuss what occurred in the exercise and group members assess its significance.

Generalising

The group members need to do more than just discuss their specific experience in the exercise. They need to go on to develop general principles derived from the experience to their own work situation.

Applying

Finally the group members should plan how they can apply the general principles to the situations they face at work.

SOME SUBJECT AREAS FOR GROUP EXERCISES

Group exercises are generally used for studying and developing interpersonal skills. The skills involved include the following:

Leadership

Communications

Motivation

Negotiation

Problem-solving

Decision-making

Working in groups

Team building

Contributing to

Meetings

SELECTING AND USING A GROUP EXERCISE

Some do's and don'ts are suggested below to help in making group exercises as effective as possible.

As the trainer, you should:

- * Make sure that you are thoroughly familiar with the subject matter. Flexibility is needed to adapt the discussion of the material to what actually happens in the exercise, while making sure that the main points it was intended to bring out are covered.
- * Make sure that the exercise is appropriate to the objectives of the learning unit and to the abilities and attitudes of the trainees.
- * Consider whether there is a need to adapt, restructure, rewrite or modify a generally suitable exercise, so that it fits the objectives or the needs of the particular group.
- * Make sure that you are thoroughly familiar with the procedure for conducting the exercise.
- * Consider the various possible outcomes and relate these to the subsequent discussion of what has been learnt.
- * Plan the discussion. We must allow time for a thorough analysis of what happened in the exercise and its implications. Remember that this is more important than the exercise itself. The exercise is only the means of producing the material to be analysed and discussed. It will have limited value unless the issues arising from it are fully explored with the group.

As the trainer you should not:

- * Use group exercises merely
 - to fill in time
 - to provide variety
 - to 'see what happens'
 - because you like using them
- * Use an exercise in the same way for all groups and irrespective of the objectives of the training.
- * Structure the discussion in a pre-determined way, irrespective of what happened during the exercise.

CONDUCTING THE GROUP EXERCISE

You should consider the following points:

Relate to Objectives

You should remember throughout the exercise what the objectives are **in** using it, and stick to them.

Plan and Prepare Thoroughly

Make sure that all the administrative details of the exercise are arranged beforehand.

Consider also a variety of possible outcomes of the exercise. How can you relate these to the purpose of the exercise and of the learning unit as a whole? All the points you wish to discuss may not emerge from a particular run-through of the exercise: you may need to discuss other possible outcomes. What lines will the discussion follow afterwards, to cover the learning points?

Plan for Contingencies

The exercise may take more or less time than anticipated or have a different outcome.

Having alternative material or activities available and ready to be presented is prudent, e.g. for groups that are more/less advanced than the average.

Check where we can make changes to the timetable if that should be necessary.

Check Knowledge

As the use of group exercises becomes more common, it is possible that some trainees may already know or have done the exercise. Usually this does not matter, but with some exercises the impact can be ruined if someone in the group already knows how to solve the problem or analyse the situation.

Brief Participants

Explain the procedure and make sure that all participants understand their roles in the exercise before starting. This may involve:

- Stating the objectives clearly and concisely
- In some cases giving an overview of the subject matter first
- Describing the procedure for the exercise
- Explaining the trainer's role during the exercise
- Explaining why this method of training is being used.

In briefing the group, keep the desired outcomes in mind. However, we should not overload the participants with instructions. Where possible, giving instruction in small amounts at appropriate stages of the exercise is better. Check that the briefing is understood.

Watch Observers

If the exercise involves some participants acting as observers rather than being directly involved in the task, make sure that they do not interfere with the process.

Keep Within Broad Guidelines

Exercises involve participants in performing a task in their own way; this is a major reason for using them. However, keeping the exercise within broad guidelines is necessary so that it achieves its objective; otherwise it may deteriorate into a “fun” activity from which the participants learn nothing.

Collect Information

You should observe the process and make notes, even if we have appointed observers, so that comments afterwards can be related to what happened in the exercise. You can then add to the observers’ comments if they have failed to observe some important points.

We should ask that the observers and participants comment on and discuss what happened before you make any comments. They will have comments to make and need to be given the opportunity. Also, you will need to concentrate on leading the discussion away from the specific outcomes of the exercise and on to general principles.

Discuss Issues

Participants should not be left to draw their own conclusions. The exercise should be the source of topics for discussion rather than the context of learning by itself.

Discussion of the issues should normally involve three stages:

1. Describe the experience

Get the group to discuss such questions as:

What happened?

What was said/ done?

What did participants think/feel?

What problems emerged?

What courses of action were tried?

To what extent were aims of the group achieved?

2. Analyse the experience

Get the group to discuss such questions as:

Why did things happen?

Why did problems arise?

Why did the actions taken fail/succeed?

What were the consequences of what was said or done?

3. Develop general concepts

Get the group to relate their experience in the exercise to the work they do. Get them to consider such questions as:

Do people say/do things in this way at work?

What are the consequences?

Can success/failure in the exercise be related to success/failure in work situations?

Can the group develop a plan of action or general principles for improved performance at work?

In short, the discussion should start with consideration of the details of what happened and should move on to consider the underlying principles that apply to work situations. Throughout the discussion, the participants should discuss what happened - the behaviour that they observed - not speculate on the underlying motives or personal attributes.

REVIEW THE EXERCISE

After the session has been completed, the trainer should review the exercise. Consider:

- Did it achieve the objective?
- Does it need to be modified, revised or improved?
- Was the exercise run in the most effective way?
- Were the outcomes discussed adequately?

ADVANTAGES OF GROUP EXERCISES

We can summarise the advantages of using group exercises in training as follows:

- They provide for trainee-centred learning
- They provide a common experience, shared by all members of the learning group
- Exercises can be designed/selected/modified to fit the objective of a learning unit and as a major contributor to a learning event
- All participants can be actively involved and their attention and motivation are therefore more easily maintained
- They minimise the effects of different entry behaviours
- The trainer acts as a coach/mentor. Freed from the role of a direct instructor, he or she can supervise, observe, question and provide feedback
- Exercises enable complex interpersonal skills to be practised
- They can be used to modify attitudes and to develop knowledge and skills.

DISADVANTAGES OF GROUP EXERCISES

The main disadvantages of group exercises are that:

- They require careful preparation and planning to be effective
- The outcome varies from one group to another and is difficult to predict
- What individuals learn depends on their own level of involvement, their ability to relate what happens in the exercise to their existing knowledge, skills and attitudes and their ability to relate very specific experience to general principles
- The success of group exercises is very dependent on the attitudes and expectations of trainees. They may expect the trainer to “teach” them (i.e. to be the sole source of information and advice). Therefore, they may regard an exercise as light relief or fun, rather than as a serious method for helping them to learn.

Issues on Human Development

INTRODUCTION TO HUMAN DEVELOPMENT

Time – One hour thirty minutes

Learning Outcomes:-

Knowledge acquired through this module will allow the participants to:-

- Explain the common characteristics of Developing nations
- State the concept of Human Development
- Discuss the issues relating to Economic Growth & Human Development
- Explain Human Development Strategies

We attempt to provide an overview of the great diversity of developing countries. Despite these variations, however, Third World nations share a common set of problems, both domestic and international – problems that in fact define their state of underdevelopment.

Common Characteristics of Developing Nations

Common economic features of developing countries permit us to view them in a broadly similar framework. We will attempt to identify these similarities and provide illustrative data. For convenience, we can classify these common characteristics into seven broad categories:

1. Low levels of living, characterized by low incomes, inequality, poor health, and inadequate education.
2. Low levels of productivity
3. High rates of population growth and dependency burdens
4. High and rising levels of unemployment and underemployment
5. Substantial dependence on agricultural production and primary-product exports.
6. Prevalence of imperfect markets and limited information.
7. Dominance, dependence and vulnerability in international relations.

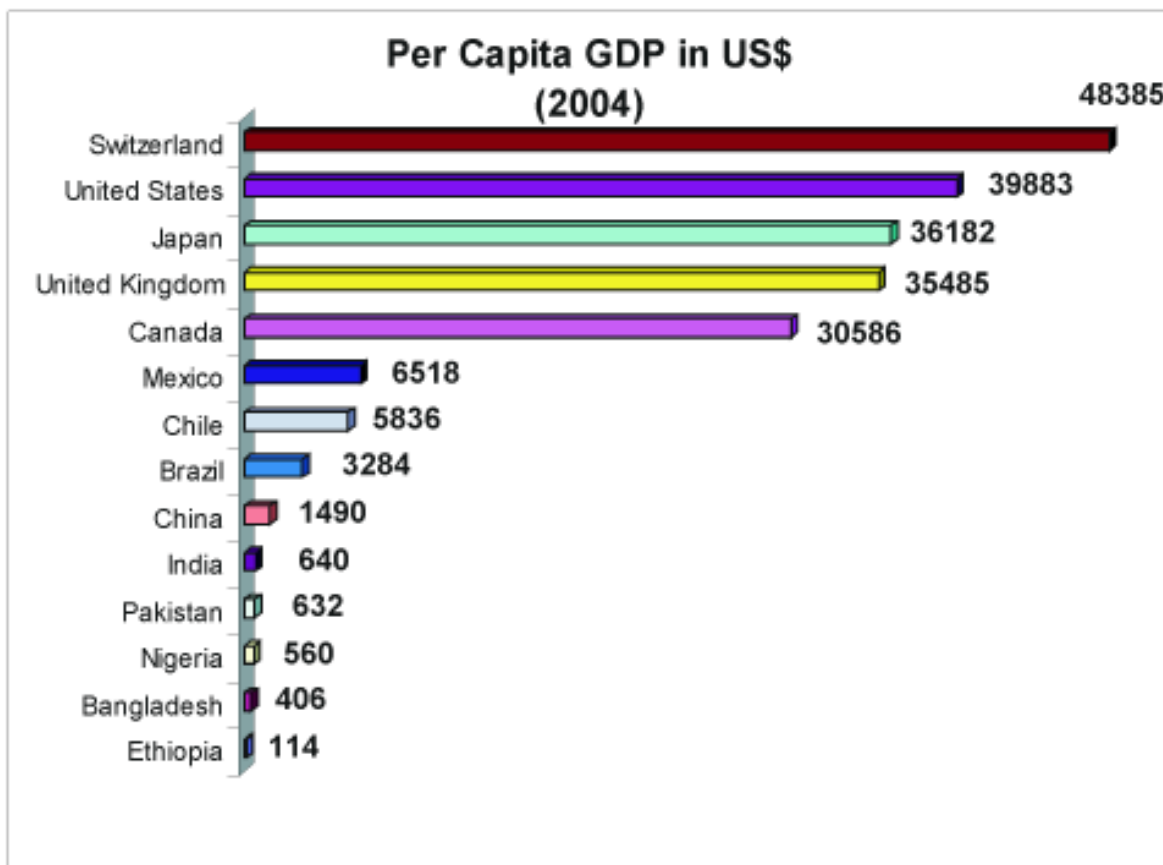
Low Levels of Living

In developing nations, general levels of living tend to be very low for the vast majority of people. This is true not only in relation to their counterparts in rich nations but often also in relation to small elite groups within their own societies. These low levels of living are manifested quantitatively and qualitatively in the form of low incomes (poverty), inadequate housing, poor health, limited or no education, high infant mortality, low life and work expectancies, and in many cases a general sense of malaise and hopelessness. Let us look at some recent statistics comparing certain aspects of life in the underdeveloped countries and in the more economically advanced nations. Although these statistics are national aggregates, often incorporate substantial errors of measurement, and in some cases are not strictly comparable due to exchange rate variations, they do provide at least a summary indication of relative levels of living in different nations.

Per Capita National Income

The gross national product (GNP) per capita is often used as a summary index of the relative economic well-being of people in different nations. The GNP itself is the most commonly used measure of the overall level of economic activity. It is calculated as the total domestic and foreign value added claimed by a country's residents without making deductions for depreciation of the domestic capital stock. The gross domestic product (GDP) measures the total value for final use of output produced by any economy, by both residents and non-residents. Thus GNP comprises GDP plus the difference between the income residents receive from abroad for factor services (labour and capital) less payments made to non-residents who contribute to the domestic economy.

As an illustration of the per capita income gap between rich and poor nations, look at **Figure 1**.



Per capita GNP comparison between developed and less developed countries like those shown in Figure 1 are however, sometimes exaggerated by the use of official foreign-exchange rates to convert the LDC national currency figures into U.S. dollars. This conversion does not measure the relative domestic purchasing power of different currencies. In an attempt to rectify this problem, researchers have tried to compare relative GNPs and GDPs by using purchasing power parties (PPPs) instead of exchange rates as conversion factors. PPPs use a common set of international prices for all goods and services produced.

More precisely, purchasing power parity is defined as the number of units of a foreign country's currency required to purchase the identical quantity of goods and services in the local (LDC) market as \$1 would buy in the United States. In India, you pay less than Rs. 10 to travel 5 km by bus but in UK you are to pay more than Rs. 100 for same service. Clearly if LDC domestic prices are lower, PPP measure of GNP per capita will be higher than estimates using foreign-exchange rates as the conversion factor.

Table 1: A comparison of Per Capita GNP in selected Developing Countries Using Official Exchange-Rate and Purchasing Power Parity Conversions, 2004

Country	GDP Per Capita	
	USD	Purchasing Power Parity USD
Argentina	3988	13298
Bangladesh	406	1870
Brazil	3284	8195
Chile	5836	10874
China	1490	5896
India	640	3139
Indonesia	1184	3609
Malaysia	4753	10276
Sri Lanka	1033	4390
Thailand	2539	8090
Venezuela	4214	6043

Source: Human Development Report 2006

Relative Growth Rates of National and Per Capita Income

In addition to having much lower levels of per capita income, many developing countries and regions have experienced slower GNP growth than the developed nations. But the situation is improving since 1990s.

Table 2: Growth Rates of Real Gross National Product Per Capita: Percentage Average Annual Growth, 1980-1990, 1990-2000, 2000-2004

Country	1980-1990	1990-2000	2000-2004
Kenya	0.3	2.2	2.7
Nigeria	-3.0	2.5	5.4
Bangladesh	1.0	4.8	5.2
India	3.2	6	6.2
Indonesia	4.1	4.2	4.6
Sri Lanka	2.4	5.3	3.7
Brazil	0.6	2.9	2.0
Mexico	-0.9	3.1	1.5
Venezuela	-2.0	1.6	-1.2

Distribution of National Income

The growing gap in per capita incomes between rich and poor nations is not the only manifestation of the widening economic disparity between the world's rich and poor. To appreciate the breadth and depth of Third World poverty, it is also necessary to look at the growing gap between rich and poor within individual LCDs.

Table 3: Global Income Disparity between the Richest and Poorest 20 Percent of selected countries during 1999-2003

Year	Share of Income or Consumption	
	Poorest 20%	Richest 20%
Argentina	3.2	56.8
Chile	3.3	62.2
Malaysia	4.4	54.3
Brazil	2.6	62.1
Thailand	6.3	49.0
Venezuela	4.7	49.3
China	4.7	50
Sri Lanka	8.3	42.2
Indonesia	8.4	43.3
Egypt	8.6	43.6
South Africa	3.5	62.2
India	8.9	43.3
Pakistan	9.3	40.3
Bangladesh	9.0	41.3

Source: Human Development Report 2006

Extent of Poverty

The magnitude and extent of poverty in any country depends on two factors: the average level of national income and the degree of inequality in its distribution. Clearly, for any given level of national per capita income, the more unequal the distribution, the greater the incidence of poverty. Similarly, for any given distribution, the lower the average income level, the greater the incidence of poverty.

Table 4: Income poverty by region, selected year 2001

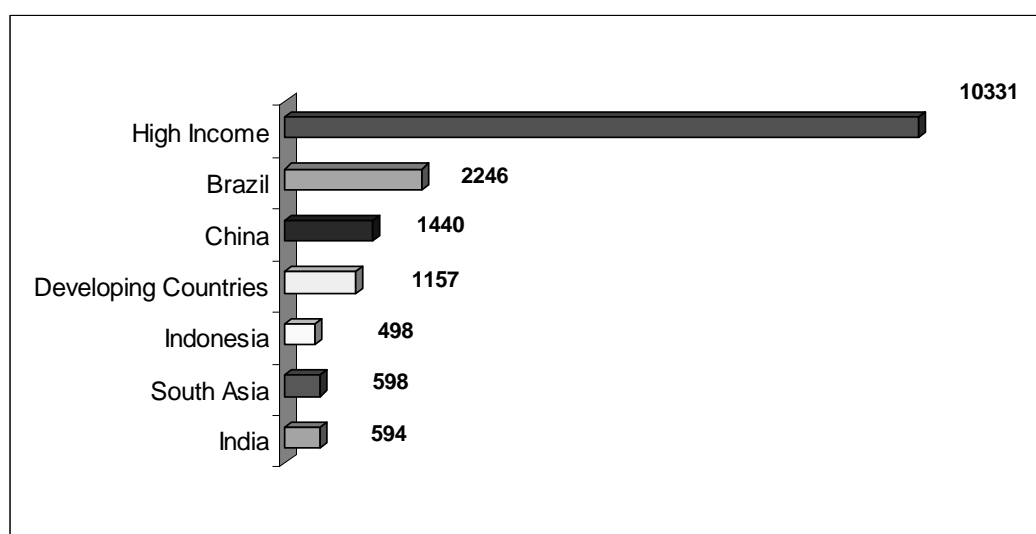
Region	Number of people living below \$1 per day (\$1.08 per day) (Million)	Head Count Indices: Percentage of Population living below \$1 per day
East Asia	271.3 (24.8)	14.9
of which China	211.6 (19.4)	16.6
Eastern Europe & Central Asia	17.6 (1.6)	3.7
Latin America & Caribbean	49.8 (4.6)	9.5
Middle East & North Africa	7.1 (0.6)	2.4
South Asia	431.1 (39.5)	31.3
of which India	358.6 (32.8)	34.7
Sub Saharan Africa	315.8 (28.9)	46.9

Source: How have the world's poorest fared since the early 1980s: Shaohua Chen & Martin Ravallion, Development Research Group, World Bank

Electricity

Consumption of electricity is an important indicator of development. It is revealed from the Figure 2 that there is a wide disparity in the consumption of electricity.

Figure 2 - Per Capita Electricity Consumption



Health

In addition to struggling on low income, many people in developing nations fight a constant battle against malnutrition, disease and ill health. Although there have been some significant improvements since the 1960s.

Table 5: Survival: progress and setbacks

Country	Life Expectancy at Birth 2000-05	Infant Mortality Rate 2004 (per 1000 live birth)	Under five Mortality Rate 2004 (per 1000 live birth)	Maternal Mortality Rate (per 100,000 live birth) 1990-04
Argentina	74.3	16	18	44
Chile	77.9	8	8	17
Malaysia	73	10	12	30
Brazil	70.3	32	34	64
Thailand	69.7	18	21	24
Venezuela	72.8	16	19	68
China	71.5	26	31	51
Sri Lanka	73.9	12	14	92
Indonesia	66.5	30	38	310
Egypt	69.6	26	36	84
South Africa	49	54	67	150
India	63.1	62	85	540
Pakistan	62.9	80	101	530
Bangladesh	62.6	56	77	380
Nigeria	43.3	101	197	..

Source: Human Development Report 2006

Education

As a final illustration of the very low levels of living that are pervasive in developing nations, consider the spread of educational opportunities. The attempt to provide primary school educational opportunities has probably been the most significant of all LDC development efforts. In spite of some impressive quantitative advances in school enrolments, literacy levels remain strikingly low compared with the developed nations.

Table 6

Country	Adult Literacy (% of ages 15 and above) 2004	Children reaching Grade 5 (% of grade 1 students) 2003
Argentina	97.2	84
Chile	95.7	99
Malaysia	88.7	98
Thailand	92.6	..

Country	Adult Literacy (% of ages 15 and above) 2004	Children reaching Grade 5 (% of grade 1 students) 2003
Venezuela	93.0	91
China	90.9	..
Sri Lanka	90.7	..
Indonesia	90.4	92
Egypt	71.4	99
South Africa	82.4	84
India	61.0	79
Bangladesh	0	65

Source: Human Development Report 2006

We can list the following common characteristics of developing countries:

1. Low relative levels and in many countries slow growth rates of national income.
2. Low levels and in many countries stagnating rates of real income per capita growth.
3. Highly skewed patterns of income distribution, with the top 20% of the population receiving 5 to 10 times as much income as the bottom 40%.
4. Consequently, great masses of Third World populations suffering from absolute poverty, with up to 1.3 billion people living on subsistence incomes of less than \$370 per year.
5. Large segments of populations suffering from ill health, malnutrition and debilitating diseases, with infant mortality rates running as high as 10 times those in developed nations.
6. In education, low levels of literacy, significant school dropout rates, and inadequate and often irrelevant educational curricula and facilities.

Most important is the interaction of all six characteristics, which tends to reinforce and perpetuate the pervasive problems of "poverty, ignorance and disease" that restrict the lives of so many people in the developing world.

High Rates of Population Growth and Dependency Burdens

More than four-fifths of world's population live in the less developed countries and less than one-fifth in the developed nations. Both birth and death rates are strikingly different between the two groups of countries. Birth rates in less developed countries are generally very high. Whereas those in the developed countries are less than half that figure. Indeed, as shown in Table 7, the crude birthrate (the yearly number of live births per 1,000 population) is probably one of the most efficient ways of distinguishing the less developed from the developed countries. There are few less developed countries with a birth rate below 20 per 1,000 and no developed nations with a birth rate above it.

Death rates (the yearly number of deaths per 1,000 population) in Third World countries are also high relative to the developed nations, but thanks to improved health conditions and the control of major infectious diseases, the differences are substantially smaller than the corresponding differences in birthrates. As a result, the average rate of population growth is now about 2.0% per year in Third World countries (2.3% excluding China), compared to population growth of 0.5% per year in the industrialized world.

A major implication of high LDC birthrates is that children under age 15 make up almost 40% of the total population in these countries, as opposed to less than 21% of the total population in the developed countries. In most developing countries, the active labour force has to support proportionally almost twice as many children as it does in richer countries. By contrast, the proportion of people over the age of 65 is much greater in the developed nations. Both older people and children are often referred to as an economic dependency burden in the sense that they are non productive members of society and therefore must be supported financially by a country's labour force (usually defined as citizens between the ages of 15 and 64). The overall dependency burden (i.e both young and old) represents only about one-third of the populations of developed countries but almost 45% of the populations of the less developed nations. Moreover, in the latter countries, almost 90% of the dependents are children, whereas only 66% are children in the richer nations.

Table 7: Crude Birth rates throughout the World, 1996

Crude Birthrate	Countries
50 & above	Niger, Congo, Dem. Rep. Guinea-Bissau, Liberia, Uganda
40-49	Mali, Angola, Chad, Burkina Faso, Sierra Leone, Burundi, Somalia, Congo, Rep., Malawi, Benin, Guinea, Mauritania, Nigeria, Rwanda, Zambia, Ethiopia, Yemen, Rep.,
30-39	Eritrea, Kenya, Madagascar, Mozambique, Togo, Côte d'Ivoire, Tanzania, Senegal, Cameroon, Gambia, The, Guatemala, Lao PDR, West Bank and Gaza, Swaziland, Sudan, Ghana, Cambodia, Gabon, Haiti, Papua New Guinea, Zimbabwe
25-29	Bolivia, Honduras, Nepal, Paraguay, Tajikistan, Lesotho, Nicaragua, Syrian Arab Republic, Bangladesh, Jordan, Pakistan, Saudi Arabia, Botswana, Egypt, Arab Rep, Oman, Philippines
20-24	Dominican Republic, El Salvador, India, South Africa, Ecuador, Libya, Morocco, Namibia, Peru, Kyrgyz Republic, Malaysia, Mongolia, Panama, Turkmenistan, Venezuela, RB, Algeria, Colombia, Israel, Uzbekistan, Brazil, Indonesia, Myanmar
15-19	Iran, Islamic Rep, Kuwait, Lebanon, Mexico, Sri Lanka, Turkey, Argentina, Jamaica, Vietnam, Albania, Costa Rica, Tunisia, Azerbaijan, Chile, Ireland, Korea, Dem. Rep, Mauritius, Thailand, United Arab Emirates, Kazakhstan, Uruguay
10-14	New Zealand, Puerto Rico, Trinidad and Tobago, United States, Australia, France, Armenia, China, Denmark, Macedonia, FYR, Netherlands, Norway, United Kingdom, Belgium, Cuba, Finland, Georgia, Russian Federation, Serbia and Montenegro, Spain, Sweden, Austria, Canada, Czech Republic, Estonia, Italy, Moldova, Portugal, Romania, Singapore, Slovak Republic, Switzerland
9	Belarus, Bosnia and Herzegovina, Bulgaria, Croatia, Germany, Greece, Hungary, Japan, Korea Rep., Latvia, Lithuania, Poland, Slovenia, Ukraine

Source: World Development Indicator 2006

We may conclude, therefore, that not only are Third World countries characterized by higher rates of population growth, but they must also contend with greater dependency burdens than rich nations.

Substantial Dependence on Agricultural Production and Primary Product Exports

The vast majority of people in LDCs live and work in rural areas. Over 65% are rurally based, compared to less than 27% in economically developed countries. Similarly, 58% of the labour force is engaged in agriculture, compared to only 5% in developed nations. Agriculture contributes about 14% of the GNP of developing nations but only 3% of the GNP of developed nations.

The basic reason for the concentration of people in agricultural and other primary production activities in developing countries is the simple fact that at low income levels, the first priorities of any person are food, clothing and shelter. Agricultural productivity is low not only because of the large numbers of people in relation to available land but also because LDC agriculture is often characterized by primitive technologies, poor organization, and limited physical and human capital inputs. Technological backwardness persists because Third World agriculture is predominantly non commercial peasant farming. In many part of the world, especially in Asia and Latin America, it is characterized further by land tenure arrangements in which peasants rent rather than own their small plots of land.

Table 8 indicates the agricultural share of the Gross Domestic Product.

Country	Agricultural Shares
Argentina	10
Brazil	10
Bangladesh	21
Burundi	51
Cameroon	44
Chile	4
China	13
Costa Rica	9
Ghana	38
Guatemala	23
India	21
Indonesia	15
Kenya	27
Malwai	39
Malaysia	10
Nicaragua	19
Sri Lanka	18
Thailand	10
Venezuela	5
Zambia	21
Zimbabwe	18

Source World Development Indicator 2006

Dependence on Primary Exports

Most economies of less developed countries are oriented towards the production of primary products (agriculture, fuel, forestry and raw materials) as opposed to secondary (manufacturing) and tertiary (service) activities. These primary commodities form their main exports to other nations (both developed and less developed). For example, all non Asian developing countries, the primary products account for over 70% of exports. Except in countries blessed with abundant supplies of petroleum and other valuable mineral resources and a few leading Asian exporters of manufactured goods, most LDC exports consist of basic foodstuffs, non food cash crops and raw materials. In sub Saharan Africa, for example primary products account for over 80% of total export earnings.

Prevalence of Imperfect Markets and Incomplete Information

There seemed to be a growing consensus that there had been too much government intervention in the workings of Third World economies and that free markets and unfettered competition held the key to rapid economic growth. In the developing countries information is limited and costly to obtain, thereby often causing goods, finances and resources to be misallocated. Whether or not these imperfect markets and incomplete information systems justify a more active role for government (which is also subject to similar problems of incomplete and imperfect information) is an issue. But their existence remains a common characteristic of developing nations and an important contributing factor to their state of underdevelopment.

Dominance, Dependence and Vulnerability in International Relations

For many less developed countries, a final significant factor contributing to the persistence of low levels of living, rising unemployment and growing income inequality is the highly unequal distribution of economic and political power between rich and poor nations.

Concept of Human Development

We are rediscovering the essential truth that people must be at the centre of all development. The purpose of development is to offer people more options. One of their options is access to income — not as an end in itself but as a means to acquiring human well-being. But there are other options as well, including long life, knowledge, political freedom, personal security, community participation and guaranteed human rights. People cannot be reduced to a single dimension as economic creatures. What makes them and the study of the development process fascinating is the entire spectrum through which human capabilities are expanded and utilised.

UNDP has undertaken to produce an annual report on the human dimension of development. The Human Development Report 1990 is the first such effort.

The central message of the Human Development concept is that while growth in national production (GDP) is absolutely necessary to meet all essential human objectives, what is important is to study how this growth translates — or fails to translate — into human development in various societies. Some societies have achieved high levels of human development at modest levels of per capita income. Other societies have failed to translate their comparatively high income levels and rapid economic growth into commensurate levels of human development. What were the policies that led to such results? In this line of enquiry lie promising seeds of a much better link between economic growth and human development, which is by no means automatic.

The basic objective of development is to create an enabling environment for people to enjoy long, healthy and creative lives. This may appear to be a simple truth. But it is often forgotten in the immediate concern with the accumulation of commodities and financial wealth.

Human development is a process of enlarging people's choices. In principle, these choices can be infinite and change over time. But at all levels of development, the three essential ones are for people to lead a long and healthy life, to acquire knowledge and to have access to resources needed for a decent standard of living. If these essential choices are not available, many other opportunities remain inaccessible. But human development does not end there.

Political freedom and human development

The purpose of human development is to increase people's range of choices. If they are not free to make those choices, the entire process becomes a mockery. So, freedom is more than an idealistic goal; it is a vital component of human development. People who are politically free can take part in planning and decision-making and they can ensure that society is organized through consensus and consultation rather than dictated by autocratic elite.

There clearly are many kinds of freedom, for example, freedom to vote, or freedom from hunger. So, any form of measurement must start with a system of classification and selection. Freedom can be grouped into five broad clusters, reflecting values common to all cultures, all religions and all stages of development.

1. Personal security
2. Rule of law
3. Freedom of expression.
4. Political participation.
5. Equality of opportunity

People's participation and Human development

People's participation is becoming the central issue of our time. Participation, from the human development perspective, is both a means and an end. Human development stresses the need to invest in human capabilities and then ensure that those capabilities are used for the benefit of all. Greater participation has an important part to play here : it helps maximize the use of human capabilities and is thus a means of

increasing levels of social and economic development. But human development is also concerned with personal fulfilment. So, active participation which people to realize their full potential and make their best contribution to society is also an end in itself.

Gender and Human development

Human development is a process of enlarging the choices for all people, not just for one part of society. Such a process becomes unjust and discriminatory if most women are excluded from its benefits. And the continuing exclusion of women from many economic and political opportunities is a continuing indictment of modern progress. For too long, it was assumed that development was a process that lifts all boats, that its benefits trickled down to all income classes-and that it was gender-neutral in its impact. Experience teaches otherwise. Wide income disparities and gender gaps stare us in the face in all societies. Moving towards gender equality is not a technocratic goal-it is a political process. It requires a new way of thinking-in which the stereotyping of women and men gives way to a new philosophy that regards all people, irrespective of gender, as essential agents of change.

Globalisation and Human development

Globalization is a process integrating not just the economy but culture, technology and governance. People everywhere are becoming connected—affected by events in far corners of the world. The collapse of the Thai baht not only threw millions into unemployment in South-East Asia—the ensuing decline in global demand meant slowdowns in social investment in Latin America and a Sudden rise in the cost of imported medicines in Africa.

This era of globalization is opening many opportunities for millions of people around the world. Increased trade, new technologies, foreign investments, expanding media and Internet connection are fuelling economic growth and human advance. The challenge is to find the rules and institutions for stronger governance—local, national, regional and global—to preserve the advantages of global markets and competition, but also to provide enough space for human, community and environmental resources to ensure that globalization works for people—not just for profits.

Since the 1980s many countries have seized the opportunities of economic and technological globalization. Beyond the industrial countries, the newly industrializing East Asian tigers are joined by Chile, the Dominican Republic, India, Mauritius, Poland, Turkey and many others linking into global markets, attracting foreign investment and taking advantage of technological advance.

Economic growth and Human development

Economic growth is essential for human development, but to exploit fully the opportunities for improved well-being that growth offers, it needs to be properly managed. Some developing countries have been very successful in managing their growth to improve the human condition, others less so. There is no automatic link between economic growth and human progress. One of the most pertinent policy issues concerns the exact process through which growth translates, or fails to translate, into human development under different development conditions.

Human development is the end-economic growth a means. So, the purpose of growth should be to enrich people's lives. But far too often it does not. The recent decades show all too clearly that there is no automatic link between growth and human development. And even when links are established, they may gradually be eroded-unless regularly fortified by skilful and intelligent policy management.

Table 9 indicates that development must, therefore, be more than just the expansion of income and wealth. It is revealed that GNP per capita in South Africa is as high as 4675 US Dollar. But the life expectancy, adult literacy, infant mortality rate and under five mortality rate are 47 years, 82.4 percent, 54 and 67 respectively. On the other hand, GNP per capita in Sri Lanka is as low as 1033 US dollar. But the life expectancy, adult literacy, infant mortality and under five mortality rate are 74.3, 90.7%, 12 and 14 respectively.

Table 9: GNP per capita and selected social indicators (2004) of selected developing countries.

Country	GNP per capita (US\$)	Human development Index	Life expectancy (years)	Adult literacy	Infant mortality (per 1,000 live births)	Under Five Mortality rate
South Africa	4675	0.653	47.0	82.4	54	67
Venezuela	4214	0.784	73.0	93.0	16	19
Tunisia	2838	0.760	73.5	74.3	21	25
Equador	2322	0.765	74.5	91.0	23	26
China	1490	0.768	71.9	90.9	26	31
Sri Lanka	1033	0.755	74.3	90.7	12	14

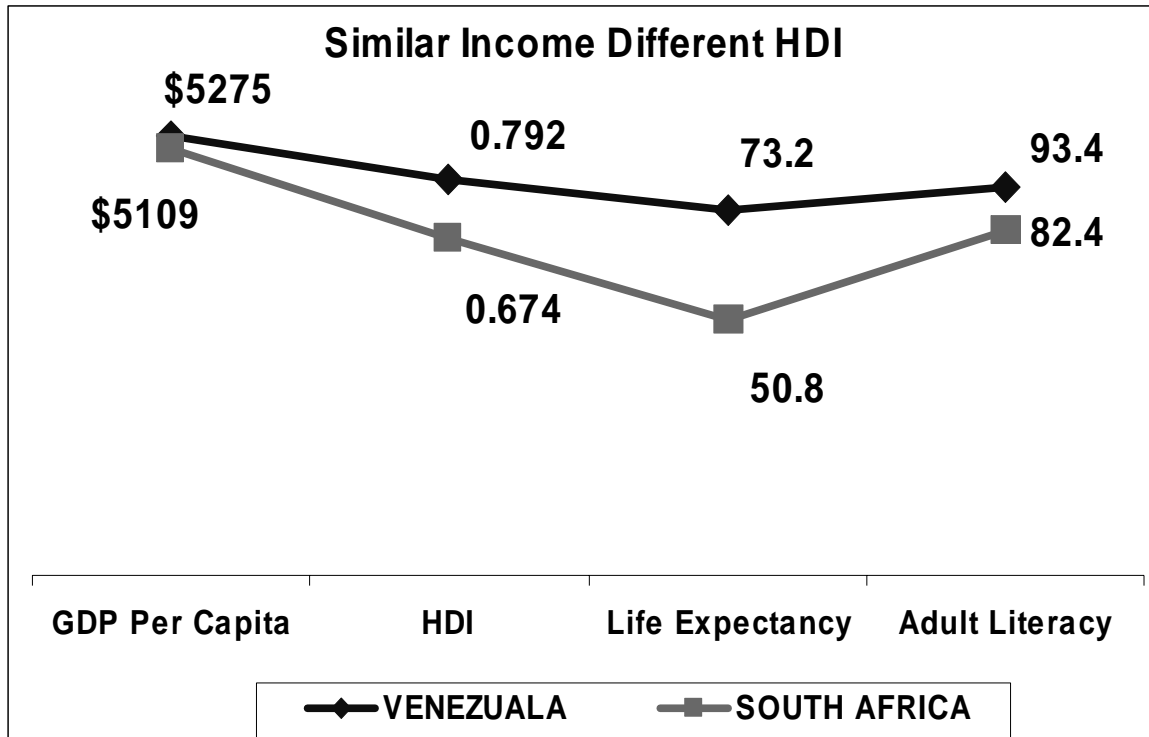
Source: Human Development Report 2006

Typology of country experience

The human development experience in various countries during the last three decades reveals three broad categories of performance. First are countries that sustained their success in human development, sometimes achieved very rapidly, sometimes more gradually. Second are countries that had their initial success slow down significantly or sometimes even reverse. Third are countries that had good economic growth but did not translate it into human development. From these country experiences emerges the following typology:

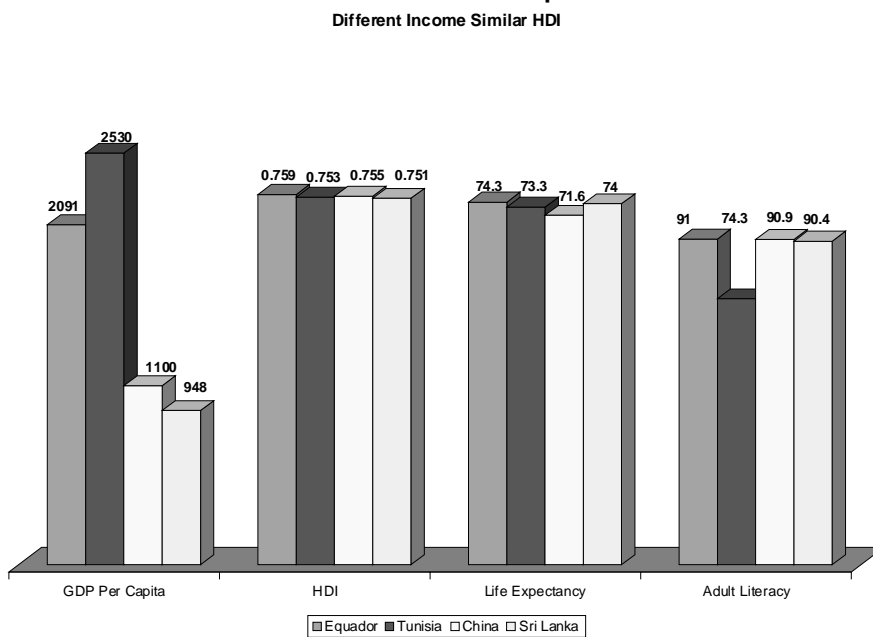
- Sustained human development, as in Botswana, Costa Rica, the Republic of Korea, Malaysia and Sri Lanka.
- Disrupted human development, as in Chile, China, Colombia, Jamaica, Kenya and Zimbabwe.
- Missed opportunities for human development, as in Brazil, Nigeria and Pakistan.

Figure 3 shows that Venezuela and South Africa has similar income but different Human Development Index (HDI)



Source: Human Development Report 2007/2008

Figure 4 highlights that Equador, Tunisia, China and Sri Lanka have different per capita income but have similar Human Development Index.



The analysis of these country cases leads to several important conclusions.

First, growth accompanied by an equitable distribution of income appears to be the most effective means of sustained human development. The Republic of Korea is a stunning example of growth with equity.

Second, countries can make significant improvements in human development over long periods - even in the absence of good growth or good distribution – through well-structured social expenditures by governments (Botswana, Malaysia and Sri Lanka).

Third, well-structured government social expenditures can also generate fairly dramatic improvements in a relatively short period. This is true not only for countries starting from a low level of human development but also for those that already have moderate human development (Chile and Costa Rica).

Fourth, to maintain human development during recessions and natural disasters, targeted interventions may be necessary (Botswana, Chile, Zimbabwe and the Republic of Korea in 1979-80).

Fifth, growth is crucial for sustaining progress in human development in the long run, otherwise human progress may be disrupted (Chile, Colombia, Jamaica, Kenya and Zimbabwe).

Sixth, despite rapid periods of GNP growth, human development may not improve significantly if the distribution of income is bad and if social expenditures are low (Nigeria and Pakistan) or appropriated by those who are better off (Brazil).

Finally, while some countries show considerable progress in certain aspects of human development (particularly in education, health and nutrition), this should not be interpreted as broad human progress in all fields, especially when we focus on the question of democratic freedoms. The main policy conclusion is that economic growth, if it is to enrich human development, requires effective policy management.

Conversely, if human development is to be durable, it must be continuously nourished by economic growth. Excessive emphasis on either economic growth or human development will lead to developmental imbalances that, in due course, will hamper further progress.

THE HUMAN DEVELOPMENT APPROACH

Time – One hour thirty minutes

Learning Outcomes:-

Knowledge acquired through this module will allow the participants to:-

- Explain concept of welfare
- Discuss Four Pillars of Human Development
- State the Human Development Dimensions
- Discuss Growth & Human Development

Inter-active Session

The Specificity of Human Development

HD is often confused with, or reduced to, some more specific notions in the field of development. It should therefore be noted that HD is conceptually related but clearly different from notions such as:

- Human capital
- Human resources
- Social development
- Satisfaction of “basic human needs”
- Poverty eradication programs
- Adjustment with human face
- Human rights

One of the most common misconceptions is to treat human development as being synonymous with human capital and human resource development. Human capital is a term coined by Schultz in 1960s to refer to the stock of skills and productive knowledge embodied in people. Just as physical capital (machines, equipment, assets and so on) make a contribution to the national income, Schultz argued that individuals, through the human capital embodied in them, also make a contribution to national income. Thus, human capital and the human resource development framework that is based on the concept of human capital, consider human beings mainly as a means to the end which is higher national income. The investment made in people in terms of education, health, nutrition is justified in terms of the ‘rate of return’ it yields to the individual as well as to the family and society.

The human development paradigm, on the other hand, regards people as ends in themselves, and not as means to an end. Thus, the education, health, nutrition that are embodied in people are valuable in themselves not because they enable people to contribute to the national income. Investment in individuals is not justified in terms of rates of return logic but because it enhances their capabilities.

Having distinguished between the two concepts, it is necessary to recognize that the two concepts are linked. Human development provides the foundations for human resources to contribute better to national income. For example, the returns to education are higher when the bulk of the population has a minimum level of learning rather than a few individuals acquiring higher levels of learning while the majority is illiterate.

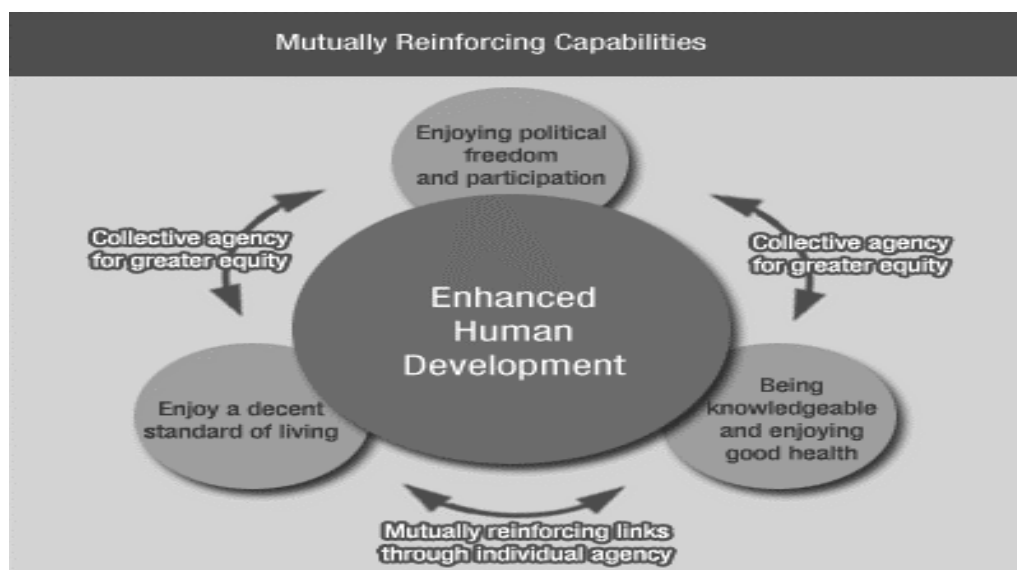
What differentiates HD from other theories and methodologies of development is the “holistic” or integrative character of HD. The HD approach strives to simultaneously achieve the three basic developmental values of efficiency, equity, and freedom.

- a. **Efficiency** is defined as the optimal use of existing resources. From an HD perspective, it is the maximum enlargement of the material base for the satisfaction of human choices. The value of efficiency is crucial to the HD paradigm because, as any other theory of development, it must deal with how to increase the availability of goods and services to satisfy human needs.
- b. **Equity** corresponds to commutative and distributive justice, particularly to the apportionment of opportunities among different human beings. Equity is the main value underlined by critics of the prevailing or “neoliberal” model, and enters the HD paradigm from these socially based criticisms.
- c. **Freedom**, that is, the possibility of choosing, comes to be the bridge laid by the HD approach between efficiency and equity. As Sen puts it, freedom has a “constitutive” and an “instrumental” value; freedom is valuable in itself and valuable as a means both to potentiate human energies (efficiency) and for everybody’s needs and preferences to impinge upon the apportionment of opportunities (equity).

HD thus advocates for a new synthesis among the three cardinal developmental values of our time. It is “pluralist” and “holistic” in that it pursues efficiency, equity and freedom simultaneously, and in that it strives to find out the “synergies” or virtuous circles leading from each of these values to the others.

Let us look at some synergies. The redistribution of social opportunities widens the market and increases the productivity of workers: equity bringing about efficiency. The existence of liberties allows for creativity to flourish and thus enhances efficiency. Or, a prosperous economy provides more opportunities for personal fulfillment, whereby efficiency contributes to the stability of democratic freedoms.

Equity makes public deliberations among equals possible for human beings; hence freedom grows along with equality.



Source: *Human Development Report, 2002*

Why did the HD paradigm arise?

HD has generated worldwide interest and controversy, both in the academic community and among policy makers and planners. To quote Mahbub ul Haq, "the obvious is often the most difficult to see". It is obvious - but difficult to see - development in terms of enlarging people's choices. Thanks to the internal evolution of both political philosophy and the theory of economic development, such an obvious fact was "discovered" during the last two decades or so. But besides this internal reason, there were some external circumstances that help explain the emergence of the new paradigm.

- a. The notion of "human development" served to unify the many voices unsatisfied with the prevailing reduction of development to economic growth. All those unsatisfied with conventional economic models, those concerned with social justice, the environmentalists, and the excluded minorities found in HD a solid and coherent formulation of their basic intuitions.
- b. The new paradigm evolved side by side with the so-called "third wave of representative democracy", which began in Latin America, swept off the Berlin Wall, gained 17 countries in Eastern Europe, reached Africa and Asia, and completed some 67 democratized countries. Participatory democracy has been advancing as well and is being affirmed through such institutions as referendum, plebiscite, popular consultation, and other forms of grass roots decision-making. At the same time minorities (religious, national, ethnic, gender, and lifestyle-related) in many countries claimed and found acknowledgement of their rights.
- c. A third impulse to the HD paradigm came from the "discovery" of yet another obvious point: that the key to economic growth is not to be found in any of the three classic "factors of production"—natural resources, capital, and non-qualified labor; the key is in the human brain. Thus, some 90 % of the price you pay for a CD goes to the interpreter, the songwriter, the

cover designer, and similar creative talents; 80 % of the retail price of an average computer is meant to cover royalties, and when you buy an automotive vehicle, three fourths of each dollar go to expenses in engineering, design, marketing, and other “intellectual” inputs.

- d. The HD paradigm appeared simultaneously with the “knowledge revolution”, which many see as the defining characteristic of our time. It is of course quite difficult to measure the advancement of knowledge. It is estimated that 95 % of all accumulated knowledge dates from the 20th century. In the last 25 years, we have learned three times as much as all throughout the previous millennia.
- e. The revolution of knowledge is closely associated with an extraordinary increase of richness—the fourth force impelling the HD paradigm. It has been estimated that the value of goods and services produced by humankind after World War II is equivalent to that of whatever was produced during the previous half million years. The current generation has as much wealth as that of all the previous generations combined. This yields an extraordinary opportunity to enhance the standard of living and to enlarge the choices for everyone. Today we are in condition to deal with the problem of ensuring an extended, educated and worthy life for all human beings.
- f. Lastly, HD coincides with the spreading recognition that, regardless of nationality, race or ethnic origin, language, religion, gender, or any other consideration, we all have civil, political, economic, social, and cultural inalienable rights. This new consciousness is a major endorsement to HD, an endorsement reinforced by legislation and public actions in many countries, as well as by a host of international conventions.

Human Development: moving from concepts and analysis to action

The HD concept and approach has been widely discussed and well received also thanks to the preparation of Human Development Reports (HDRs). UNDP has pioneered the preparation of HDRs. The publication of the first HDR in 1990 could be considered as a landmark. In fact for the first time countries were ranked according to their performance in human development rather than on GNP.

Fourteen HDRs have been prepared at the global level to provide information on the state of human development in the world, country-by-country and region-by-region. In addition to the annual update on the set of human development indicators and composite indices, each year a fresh theme is chosen for in-depth analysis.

After the advent of global reports, many countries have engaged in the preparation of national level HDRs. In India the Planning Commission, Government of India has prepared a National HDR in 2002, defining a human profile for India. But many large countries have also engaged in the preparation of sub-national HDRs. In India the preparation of State HDRs, pioneered with the preparation of the Madhya Pradesh HDR (MPHDR) in 1995, has helped to highlight the diversity and disparities existing within States.

HDRs are a tool for action. In fact while highlighting human development issues they provide suggestions on policy interventions required and on the need to focus attention on particular issues. In the case of Madhya Pradesh, for example, the MPHDR has helped to mainstream the concerns, debate and action on human development. Further, it helped to shift attention on basic minimum services, with the remarkable increase in their share of Plan investment (from 18.73 per cent in the Eighth Plan to 42.37 per cent in the Ninth Plan).

The State HDRs published so far are: Himachal Pradesh HDR (2002), Karnataka HDR (1999), Maharashtra HDR (2002), Madhya Pradesh HDR (1995, 1998, 2002), Rajasthan HDR (2002), Sikkim HDR (2001), Assam (2003), West Bengal (2004), Orissa (2004), Punjab (2004), Kerala (2005) and Tamil Nadu HDR (2003). Other States are in the process of finalizing their respective reports (e.g. Uttar Pradesh etc.). In West Bengal two District HDRs have been published.

GROUP EXERCISE 1

Form participants into State-wise or district-wise groups and ask them to prepare an outline profile of human development for their State/district. Give each group a check-list of elements for the profile, which should be presented as a chart/poster.

Checklist to prepare human development profile of your State/District

- Education:*
- a) Literacy Rate (disaggregated by sex)
 - b) Primary enrolment rate (disaggregated by sex)
 - c) Drop out rate (Classes I-V) (disaggregated by sex)
 - d) Teacher-pupil ratio
 - e) No. of schools per thousand population
- Health:*
- a) Infant Mortality Rate (IMR)
 - b) Under Five Mortality Rate (U5 MR)
 - c) Life expectancy at birth
 - d) No. of hospital beds per lakh population
 - e) Rural population per Primary Health Centre (PHC)
- Livelihood:*
- a) Per capita income
 - b) Workforce Participation Rate (Male and Female)
- Demography:*
- a) Sex Ratio
 - b) Decadal growth of population
- Infrastructure:*
- a) Percentage of households with potable water supply
 - b) Percentage of households with access to toilets
 - c) Percentage of electrified villages

If possible please provide data for two time points.

Share profiles in the plenary and discuss key issues. Include five indicators which in your opinion, data should be collected on a regular basis.

A Human Development Profile for India

Several significant changes have taken place in India since independence. There has been visible progress in the economic sphere with adoption of new technologies, diversified production, and sophisticated management. Macro-economic indicators have shown a distinct upswing in the last few years.

Select Macroeconomic Indicators

	Indicator	2003-04	2004-05
1.	GDP at factor cost in Rs. Crores at 1999-2000 prices	2208196 (P)	2376729 (Q)
2.	Per capita Net National Product at 1999-2000 prices	18517 (P)	19649 (P)
3.	Foreign exchange reserves in Rs. Crores	490129	619116
4.	Food grains (million tones)	213.5	204.6

Source: Economic Survey 2006-2007

Notes: (P) – Provisional Estimates (Q) – Quick Estimates

Changes have also taken place in the social sphere. Affirmative action for disadvantaged communities has weakened practices such as untouchability and caste discrimination. Women by and large enjoy more freedoms than ever before. On the political front, India is acknowledged to be a vibrant democracy with increased participation by women and men in political decision making.

However, when viewed through the lens of HD, the glass can be considered half-full or half-empty. Much depends upon the eye of the beholder. The country has recorded impressive gains in many areas, with significant reductions in the intensity of poverty, but there is still much ground to cover in terms of ending human deprivations.

Between 1951 and 2000, per capita income more than doubled, foodgrain production increased fourfold, and the index of industrial production went up 15 times. Still around 26.10% (1999-2000) of the country's population lives below the poverty line - defined as access to minimum calories needed for healthy living. The country has achieved self-sufficiency in foodgrain production, it has built up a good safety stock of foodgrains, and famines have been virtually eliminated. Even so, some 47% of children under three years of age remain malnourished. In 1951, the country had only 725 primary health care centres. This increased to more than 154,000 primary health centres and sub-centres by 2000. Life expectancy nearly doubled to 61 years and infant mortality was halved to 74 deaths per 1,000 live births during 1951-2000. Current estimates put the infant mortality rate value at 71 deaths per 1000 live births. Apart from impressive achievements in higher education, the number of primary schools increased almost threefold - from 210,000 in 1951 to 590,000 in 2000. As a result, literacy nearly tripled during 1951-01. Yet almost half the population in 2001 - some 460 million people are still illiterate. Less than two-thirds of the children reach Grade V of primary schooling, and of those completing Grade V, many cannot even read or write a simple sentence. Close to 62.30% of the population is reported to have access to safe drinking water in 2001. However, problems of rapidly declining water tables, deteriorating quality and increasing contamination threaten this availability. Despite the narrowing of gender gaps along several fronts, India is one of the few countries where there are fewer women than men— 933 females per 1000 males in 2001— a reflection of systematic deprivation and strong anti-female bias that pervades society.

India today remains a country of stark contrasts and striking disparities. Some states and districts of India report levels of social advancement similar to leading industrialized countries. Other parts of India report achievement levels that are worse than the average of the poorest countries in the world. For example, only 39 out of 150 countries in the world - and all of them by far richer - reported a lower infant mortality rate than Kerala's in 1995. At the same time, only 24 countries had a higher rate of infant mortality than Orissa. The life expectancy of a girl born in Kerala today, around 74 years, is 20 years more than that of a girl born in Uttar Pradesh. Less than 15% of adult women are illiterate in Kerala. On the other hand, 66% or more women are illiterate in Bihar, Rajasthan and Uttar Pradesh. Birth rates have fallen with rising incomes and education, reduced child deaths, and improved access to family planning services. The total fertility rate is 2 or less in Kerala, Tamil Nadu and Goa. It is however 4 or more in Bihar, Haryana, Madhya Pradesh, Rajasthan, and Uttar Pradesh. Were all of India to have Kerala's birth and child death rates, there would be 10 million fewer births and 1.5 million fewer infant deaths in the country every year - and a dramatic reduction in population growth with 13 million fewer births.

Women fare worse than men on most social indicators. A computation of the Gender-related Development Index (GDI) for Indian states reveals not only the low levels of human development and the extent of gender inequalities within India, but more importantly, it provides a measure of how badly Indian states are doing vis-a-vis other nations of the world. At the top of the list of Indian states is Himachal Pradesh with a GDI value of 0.858. Bihar is at the bottom with a GDI value of 0.469. Similarly, disparities exist between and within communities in India. For instance, communities classified as belonging to Scheduled Castes and Scheduled Tribes have significantly lower literacy and higher child mortality rates than the rest of the population.

Comparative performance on human development: India and selected countries

The first National Human Development Report presents the following balance sheet for the country.

S.No.	Indicators	India
DEMOGRAPHY		
1	Total Population – 2001	1.02 bn
2	Sex Ratio – 2001	933
3	Sex Ratio Children 0-6 years – 2001	927
6	Dependency Ratio -1991	12
INCOME		
7	Per Capita Net State Domestic Product (at 1993-94 prices, Rs.), 1998-99	9,647
8	Percentage of Persons in Labour Force, 1999-2000	62
9	Percentage of Female in Labour Force, 1999-2000	39
10	Percentage of Population Below Poverty Line - 1999-2000	26

	EDUCATION	
11	Literacy Rate – 2001 (%)	64.8
12	Male Literacy Rate – 2001 (%)	75.3
13	Female Literacy Rate – 2001 (%)	53.7
14	Rural Literacy Rate – 2001 (%)	58.7
15	Rural Male Literacy Rate – 2001 (%)	70.7
16	Rural Female Literacy Rate – 2001 (%)	46.1
17	Urban Literacy Rate – 2001 (%)	79.9
18	Urban Male Literacy Rate – 2001 (%)	86.3
19	Urban Female Literacy Rate – 2001 (%)	72.9
20	Gross Enrolment Ratio Class I - VIII (6-14 years), 2004-05	94.2
21	Boys – Gross Enrolment Ratio Class I – VIII (6-14 years), 2004-05	97.6
22	Girls – Gross Enrolment Ratio Class I – VIII (6-14 years), 2004-05	90.6
23	Teacher – Pupil ratio (Primary School), 1999-2000	43.0
	HEALTH	
24	Life Expectancy at Birth, 1999-2003	62.7
25	Life Expectancy at Birth (Male), 1999-2003	61.8
26	Life Expectancy at Birth (Female), 1999-2003	63.5
27	Infant Mortality Rate – 2005	58.0
28	Under 5 Mortality Rate - 2005	74.0
29	Maternal Mortality Rate – 2005 (per 100,000 live births)	450
30	Birth Rate – 2005	23.8
31	Infants with low birth weight (1998-2005) (%)	30.0
32	Houses with access to safe drinking water – 2001 (%)	77.9
33	Population using Improved Sanitation 2004 (%)	33.0

Source: Various Publications of Government of India & UNDP

How does this compare with other countries? The following table gives an idea.

	Life expectancy		Adult literacy		Real GDP per capita (PPP US\$)	
	1960	2004	1960	2004	1960	2004
INDIA	44.0	63.6	34	61	617	3139
BOTSWANA	45.5	34.9	41	81.2	474	9945
INDONESIA	41.2	67.2	54	90.4	490	3609
CHINA	47.1	71.9	..	90.9	723	5896
THAILAND	52.3	70.3	60	98	985	8090
SOUTH KOREA	53.9	77.3	88	98	690	20499

Source: Human Development Report 2006.

In 1960, the levels of income in Botswana and Indonesia were lower than in India. But by 2004, the situation was reversed. During this period, Botswana and Indonesia also recorded significantly more rapid advances in health and education than India did. Again, in 1960, South Korea and India had similar levels of per capita income. By 2004, South Korea's income was nearly 7 times higher than India's. This increase in income between 1960-2004 coincided with a period when life expectancy in South Korea went up from 54 years to 77.3 years. Similarly, China, Indonesia and Thailand have all achieved and sustained higher levels of per capita incomes than India because they have done much better in terms of expanding human capabilities. These countries recognized the strong complementarities between income expansion and social development. If human poverty has to be eradicated, India must also invest in people.

MEASURING HUMAN DEVELOPMENT

Time – Two hours Thirty minutes

Interactive Session – 1 Hrs 45 minutes

Exercise – 45 minutes

Learning Outcomes

Knowledge acquired through this module will allow the participants to:

- ⌘ Explain the Human Development Index
- ⌘ Calculate HDI
- ⌘ Interpret the situation of a country or region in terms of its HDI
- ⌘ Describe the relationship between HD and HDI
- ⌘ Explain the Gender Related Development Index (GDI) & Gender Empowerment Measures (GEM)
- ⌘ Describe Human Poverty Index

Emergence of HDI

Any measure that values a gun hundred times more than a bottle of milk is bound to raise serious questions. It is no surprise, then, that since the emergence of national income accounts, there has been a considerable dissatisfaction with gross national product as a measure of human welfare. The main drawback of GNP is that it does not take into account the non-monetised activities – household work, subsistence agriculture, unpaid services. And what is more serious, GNP is one dimensional: it fails to capture the cultural, social, political and many other choices that people make.

There has been a long search for more comprehensive measure of development that could capture all, or many more, of the choices people make – a measure that would serve as a better yardstick of the socio- economic progress of nations. The search for a new composite index of socio-economic progress began in earnest in preparing the Human Development Report under the sponsorship of UNDP. Several principles guided this search.

- ⌘ The new human development index (HDI) would measure the basic concept of human development to enlarge people's choices.
- ⌘ The new index would include only a limited number of variables to keep it simple and manageable.
- ⌘ A composite index would be constructed instead of plethora of separate indices

- ⌘ The new index would cover both social and economic choices
- ⌘ The methodology and coverage of HDI would be kept flexible – subject to gradual refinements as analytical critiques emerged and better data became available.
- ⌘ Even though an index can only be as good as the data fed into it, a lack of reliable and up to date data series was not allowed to inhibit the emergence of the HDI. Instead, HDI country rankings would act as a pressure point to persuade policy makers to invest adequate amounts in producing relevant data and to encourage international institutions to prepare comparable statistical data systems

The Human Development Indices

Even though quite a number of specific measures of HD have been presented or suggested in the literature, four of them have so far consolidated within the paradigm. These measures are the Human Development Index, the Gender-related Development Index, the Gender Empowerment Measure, and the Human Poverty Index.

- a. The **Human Development Index (HDI)** was designed as a means to shift the emphasis from the narrow focus on economic growth (measured by GNP) to human progress and the widening of human choices, as well as to create debate on national and international policy options. HDI measures a country's total achievement in three dimensions of HD: longevity, knowledge, and a decent level of living. As variables it uses life expectancy at birth, educational achievement (literacy and combined gross schooling ratio), and the real adjusted per capita income.
- b. The **Human Poverty Index (HPI)** measures the extent of deprivation in HDI's three dimensions. For industrialized countries, it uses as variables the probability of dying before age 60, functional illiteracy, and the incidence of poverty and long-lasting unemployment. For developing countries, its variables are the probability of death before age 40, adult illiteracy, child malnutrition, and the percentage of population with no access to drinking water.
- c. The **Gender-Related Development Index (GDI)** measures the achievement in the three dimensions and variables of HDI, but it adjusts their values according to the inequality existing between sexes: the higher gender inequality, the larger the retrogression in the country's HDI.
- d. The **Gender Empowerment Measure (GEM)** assesses women's participation in economic and political life. As variables it uses the female share in Parliament as well as in the higher occupational categories, and the proportion between women and men's income. HDI, HPI and GDI refer to the same set of basic human choices (life expectancy, knowledge, and standard of living). The HD Reports and the HD academic community have explored additional dimensions, including human freedom, political democracy, inequality, poverty, technological advance, human rights, and governance. Yet an introductory course can only discuss the best known measure of HD, namely, the HDI.

Calculating the Human Development Index

As stated, three major options are chosen for HDI:

- a. Long lasting and healthy life,
- b. Access to knowledge, and
- c. Resources for a decent life

These options are selected for several reasons:

They are essential to any human life

- ⌘ They are fairly independent from each other
- ⌘ They cover most the spectrum of “things human beings have a good reason to value and to desire”
- ⌘ Relevant statistics are available for almost any country and for many populations of interest

To capture the three dimensions above the following variables are used:

- a. For long lasting and healthy life, life expectancy at birth, precisely defined as “the average number of years a newborn can expect to live in a cohort subject to the prevailing age-specific mortality rates in the society and moment under consideration”.
- b. For access to knowledge,
 - ⌘ Adult (over age 15) literacy rate, where literacy is understood as “the capability of reading, writing and understanding a simple and short text on everyday life”; and Combined gross enrollment ratio for population aged 6 to 23, where the combined gross enrollment ratio is the total number of students enrolled in primary, secondary or tertiary formal education divided by the total population in the corresponding ages.
- c. For resources for a decent life, the per capita income expressed both in US dollars and in purchasing power parity - PPP- units.
 - ⌘ The per capita income is the total value of the final goods and services produced by a country in a given period, divided by the total population at mid-year.
 - ⌘ The per capita income, usually expressed in nominal US dollars, fails to consider the inter-country variations in the cost of living. Units of purchasing power parity (PPP) are used to correct this deficiency. The correction is based on calculating the international or average price of a large series of goods and services in different countries, and in applying those standard prices to the goods and services of the country in question. Notice that in choosing these variables, conceptual problems do arise. In fact, it can be questioned whether or not life expectancy is the best measure of a long lasting and healthy life; whether or not access to knowledge could be measured with variables better than literacy and schooling, or if the resources for a decent life could be better measured with indicators other than the per capita income in PPP.

The several goals of HD “cannot be reduced to a single variable or merely to a number”; and “the range of HD choices is, in principle, endless”. Both statements seemingly run in the face of the HDI, which pins HD down to a number and is based in but three human choices.

The concept of HD is much broader than the three dimensions included in the HDI. For example, the HDI does not reflect political participation, governance issues or gender inequalities. This is largely because of the difficulty of adequately capturing such complex aspects of HD in a single index, and due to the absence of some generally agreed and unambiguous indicators. A fuller picture of a country’s level of HD requires an analysis of other HD indicators and information as well.

Furthermore, HDI cannot be used as a measure of HD change in the short-run, as the effect of policies to impact two of the HDI indicators-adult literacy and life expectancy-will only be felt long after having put these policies in place. As a result of this lag time, the HDI best captures long-run changes in a country’s HD situation.

Rather than a paralyzing criticism, the above points should be taken as cautionary notes in using and interpreting the HDI (and the remaining measures of HD). For one thing, these indices do not claim to reflect the full range of HD choices; they select a few yet highly relevant choices.

Then, they do not aim at measuring the “true” development of any one country but, instead, at ranking countries according to their HD status. Lastly, in their coming out but with a number, the indices are not meant to ignore HD’s multidimensionality; they simply improve upon standard, unidimensional measures of development.

Group Exercise No. 1 – Time: 60 minutes

Provide the participants with the worksheets to calculate HDI. Demonstrate the manner in which HDI is calculated. Ask the participants to calculate the HDI and discuss the values. Rank the States according to the HDI. Highlight the States with the highest and the lowest values.

Value addition of HDI

The HDI is a measure that can capture the attention of policy makers, media and NGOs and expand the debate beyond the more usual economic statistics to focus instead on human outcomes.

The HDI can also provide a basis for questioning national policy choices.

- ✳ The **Philippines** 1999 report on education spurred debates on educational reforms in the country’s Senate and Executive Cabinet, and the 1997 report led to Presidential directive mandating all local governments to devote at least 20 per cent of the revenue to HD priorities. The President also asked the National Statistical Coordination Board to include the Human Development Index (HDI) in the system of statistics to track variations across provinces.

- ⌘ Japan and South Korea have adopted the HDR's Gender Empowerment Measure in the formulation of national legislation.
- ⌘ In **India**, human development analysis and priorities have become an integral part of national and provincial government planning. The Tenth Five Year Plan (2002-2007) & Eleventh Five year Plan (2007-12) accords high priority to human development at the provincial level.

The HDI can also highlight wide differences within countries, between provinces or states, across gender, ethnicity, and other socioeconomic groupings. Highlighting internal disparities along these lines has raised national debate in many countries.

- ⌘ In the **Egypt** HDR 1999, HDI revealed that Upper Egypt region was far behind Cairo in every dimension of human development. This led to a formal policy discussion of resource allocation between the governors of 17 provinces in the country and the entire resource allocation pattern was changed to funnel more funds to the Upper Egypt region.
- ⌘ In **Brazil**, the large State of Minas Gerais, disaggregated the human development index for all its municipalities. It then introduced the so called "Robin Hood Law" that ensures that more tax revenues are allocated to those of its municipalities that rank low on the index, as well as perform poorly on a number of other social and environmental indicators. The central government is now planning to use a modified version of the human development index, in combination with other indicators, to allocate resources to all of the country's more than 5,000 municipalities. No longer will population size be used as the only criteria when resource allocations to municipalities are determined. Instead the budgets will depend on their level of human development.

Human Development and HDI

Ironically, the human development approach to development has fallen victim to the success of human development index. The HDI has reinforced the narrow, oversimplified interpretation of the human development concept as being only about expanding education, health and decent living standards. This had obscured the broader, more complex concept of human development as the expansion of capabilities that widen the peoples choices to lead lives that they value. Despite careful efforts to explain that the concept is broader than the measure, human development continues to be identified with the HDI- while political freedoms, participating in the life of one's community and physical security are often overlooked. But such capabilities are as universal and fundamental as being able to read or to enjoy good health. They are valued by all people- and without them all choices are foreclosed. They are not included in the HDI because they are difficult to measure appropriately, not because they are less important to human development. Always remember that HDI is just a summary measure and does not provide a comprehensive picture of human development in any situation.

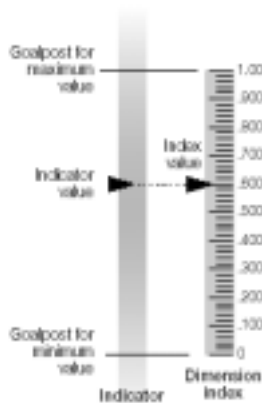
Annexure

The human development index (HDI)

The HDI is a summary measure of human development. It measures the average achievements in a country in three basic dimensions of human development:

- A long and healthy life, as measured by life expectancy at birth.
- Knowledge, as measured by the adult literacy rate (with two-thirds weight) and the combined primary, secondary and tertiary gross enrolment ratio (with one-third weight).
- A decent standard of living, as measured by GDP per capita (PPP US\$).

Before the HDI itself is calculated, an index needs to be created for each of these dimensions. To calculate these dimension indices—the life expectancy, education and GDP indices—minimum and maximum values (goalposts) are chosen for each underlying indicator.



Performance in each dimension is expressed as a value between 0 and 1 by applying the following general formula:

$$\text{Dimension index} = \frac{\text{actual value} - \text{minimum value}}{\text{maximum value} - \text{minimum value}}$$

The HDI is then calculated as a simple average of the dimension indices. The box at right illustrates the calculation of the HDI for a sample country.

Goalposts for calculating the HDI

Indicator	Maximum value	Minimum value
Life expectancy at birth (years)	85	25
Adult literacy rate (%)	100	0
Combined gross enrolment ratio (%)	100	0
GDP per capita (PPP US\$)	40,000	100

Calculating the HDI

This illustration of the calculation of the HDI uses data for South Africa.

1. Calculating the life expectancy index

The life expectancy index measures the relative achievement of a country in life expectancy at birth. For South Africa, with a life expectancy of 48.4 years in 2003, the life expectancy index is 0.391.

$$\text{Life expectancy index} = \frac{48.4 - 25}{85 - 25} = 0.391$$

2. Calculating the education index

The education index measures a country's relative achievement in both adult literacy and combined primary, secondary and tertiary gross enrolment. First, an index for adult literacy and one for combined gross enrolment are calculated. Then these two indices are combined to create the education index, with two-thirds weight given to adult literacy and one-third weight to combined gross enrolment. For South Africa, with an adult literacy rate of 82.4% in 2003 and a combined gross enrolment ratio of 78% in the school year 2002/03, the education index is 0.809.

$$\text{Adult literacy index} = \frac{82.4 - 0}{100 - 0} = 0.824$$

$$\text{Gross enrolment index} = \frac{78 - 0}{100 - 0} = 0.780$$

$$\text{Education index} = 2/3 (\text{adult literacy index}) + 1/3 (\text{gross enrolment index}) \\ = 2/3 (0.824) + 1/3 (0.780) = 0.809$$

3. Calculating the GDP index

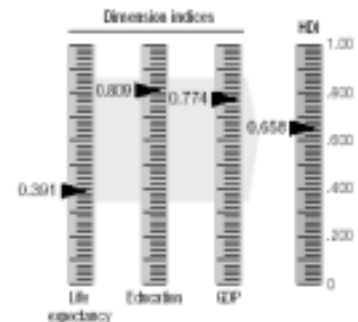
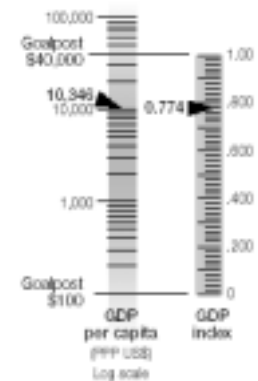
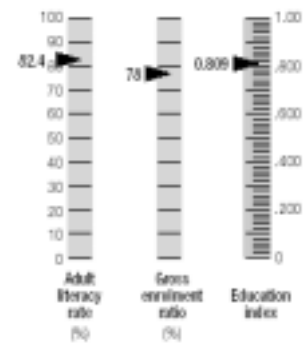
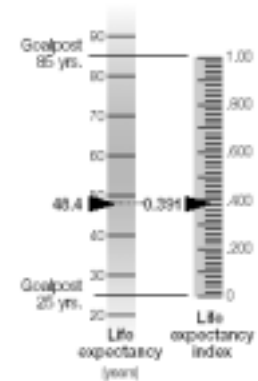
The GDP index is calculated using adjusted GDP per capita (PPP US\$). In the HDI income serves as a surrogate for all the dimensions of human development not reflected in a long and healthy life and in knowledge. Income is adjusted because achieving a respectable level of human development does not require unlimited income. Accordingly, the logarithm of income is used. For South Africa, with a GDP per capita of \$10,346 (PPP US\$) in 2003, the GDP index is 0.774.

$$\text{GDP index} = \frac{\log(10,346) - \log(100)}{\log(40,000) - \log(100)} = 0.774$$

4. Calculating the HDI

Once the dimension indices have been calculated, determining the HDI is straightforward. It is a simple average of the three dimension indices.

$$\text{HDI} = 1/3 (\text{life expectancy index}) + 1/3 (\text{education index}) \\ + 1/3 (\text{GDP index}) \\ = 1/3 (0.391) + 1/3 (0.809) + 1/3 (0.774) = 0.658$$



The human poverty index for developing countries (HPI-1)

While the HDI measures average achievement, the HPI-1 measures *deprivations* in the three basic dimensions of human development captured in the HDI:

- A long and healthy life—vulnerability to death at a relatively early age, as measured by the probability at birth of not surviving to age 40.
- Knowledge—exclusion from the world of reading and communications, as measured by the adult illiteracy rate.
- A decent standard of living—lack of access to overall economic provisioning, as measured by the unweighted average of two indicators, the percentage of the population without sustainable access to an improved water source and the percentage of children under weight for age.

Calculating the HPI-1 is more straightforward than calculating the HDI. The indicators used to measure the deprivations are already normalized between 0 and 100 (because they are expressed as percentages), so there is no need to create dimension indices as for the HDI.

Originally, the measure of deprivation in a decent standard of living also included an indicator of access to health services. But because reliable data on access to health services are lacking for recent years, in this year's Report deprivation in a decent standard of living is measured by two rather than three indicators—the percentage of the population without sustainable access to an improved water source and the percentage of children under weight for age.

The human poverty index for

Calculating the HPI-1

1. Measuring deprivation in a decent standard of living

An unweighted average of two indicators is used to measure deprivation in a decent standard of living.

$$\text{Unweighted average} = 1/2 (\text{population without sustainable access to an improved water source}) + 1/2 (\text{children under weight for age})$$

A sample calculation: Angola

Population without sustainable access to an improved water source = 50%
Children under weight for age = 31%

$$\text{Unweighted average} = 1/2 (50) + 1/2 (31) = 40.5\%$$

2. Calculating the HPI-1

The formula for calculating the HPI-1 is as follows:

$$\text{HPI-1} = [1/3 (P_1^\alpha + P_2^\alpha + P_3^\alpha)]^{1/\alpha}$$

Where:

- P_1 = Probability at birth of not surviving to age 40 (times 100)
- P_2 = Adult illiteracy rate
- P_3 = Unweighted average of population without sustainable access to an improved water source and children under weight for age

$$\alpha = 3$$

A sample calculation: Angola

P_1 = 48.1%
 P_2 = 33.2%
 P_3 = 40.5%

$$\text{HPI-1} = [1/3 (48.1^3 + 33.2^3 + 40.5^3)]^{1/3} = 41.5$$

Calculating the HPI-2

The formula for calculating the HPI-2 is as follows:

$$\text{HPI-2} = [1/4 (P_1^\alpha + P_2^\alpha + P_3^\alpha + P_4^\alpha)]^{1/\alpha}$$

Where:

- P_1 = Probability at birth of not surviving to age 60 (times 100)
- P_2 = Adults lacking functional literacy skills
- P_3 = Population below income poverty line (50% of median adjusted household disposable income)
- P_4 = Rate of long-term unemployment (lasting 12 months or more)

$$\alpha = 3$$

INNOVATIONS IN MEASURING HUMAN DEVELOPMENT

Time – One Hour

Discussion – 60 minutes

Learning Outcomes

Knowledge acquired through this module will allow the participants to:

- Discuss the innovations in calculating Indices
- State the various data sources for social statistics
- Discuss the various statistical challenges pertaining to social statistics

One way the use of the human development index has been improved is through disaggregation. A country's overall index can conceal the fact that different groups within the country have very different levels of human development. Disaggregated HDIs are arrived at by using the data for the HDI components pertaining to each of the groups into which the HDI is disaggregated, treating each group as if it were a separate country. Such groups may be defined relative to geographical or administrative regions, urban-rural residence, gender and ethnicity.

Using disaggregated HDIs at the national and sub-national levels helps highlight significant disparities and gaps: among regions, between the sexes, between urban and rural areas and among ethnic groups. The analysis made possible by the use of the disaggregated HDIs should help guide policy and action to address gaps and inequalities. For example, it can help restructure public expenditure (or aid allocations) to regions and/or groups with low HDI ranking.

Disparities may already be well known, but the HDI can reveal them even more starkly. The disaggregation prepared for the 1993 Report on the differences in living conditions in the United States among blacks, hispanics and whites spurred a great deal of policy debate. Disaggregation by social group or region can also enable local community groups to press for more resources, making the HDI a tool for participatory development. It can also be used to hold local representatives accountable.

A study of Poland (Mijakowska 1993), for example, calculates HDIs for 49 administrative units. The indices range from 0.739 to 0.916. Twenty one of them are at medium level and twenty eight of them at high HD. Weighing by population one may say that seventy four percent enjoy high HD and twenty six percent medium level of HD. Disaggregated HDIs have been used for analysis in other countries, including: Brazil, China, Colombia, Egypt, Gabon, Germany, India, Kazakhstan, Malaysia, Mexico, Nigeria, Papua New Guinea, Poland, South Africa, Trinidad and Tobago, Turkey, Ukraine and USA

India calculates its own HDI

In India there has been much discussion on the need to adapt the HDI and other composite indices to the Indian context. The Planning Commission prepared the first National Human Development Report

for the country in 2002. This Report provides an extensive data base for at least two and in some cases three points of time since 1980, covering nearly 70 distinct social indicators on various aspects of the quality of life and well being of the people. The "major objective of the Report has been to develop core set of indices that reflect, in some sense, the common concerns, social values and development priorities of all States." (NHDR, 2002, pg 23). The following table provides list of indicators adopted by the NHDR to prepare the indices.

HDI and GEI (NHDR) –Departure from UNDP indices		
UNDP Indicators	Attainments	NHDR indicators
Life expectancy at Birth	Longevity	Life expectancy at age 1 and Infant Mortality Rate
Adult Literacy Rate with combined enrolment ratio	Educational Attainment	Literacy Rate 7+ and intensity of Formal Education
Real GDP per capita in PPP\$	Economic Attainment	Per capita real consumption expenditure adjusted for inequality: and workers population ratio in case of Gender Equality Index

Source: Planning Commission, National Human Development Report, (2001)

Even the State Human Development Reports (SHDRs) have experimented with the identification of indicators while preparing HD indices, although, the primary reason for this departure is non-availability of reliable and comparable district-wise data. Some of the key data constraints are:

- a. Lack of consistent data across districts.
- b. Lack of data for the districts during a comparable time frame.
- c. Differences in data between departments, and districts and state level.
- d. Non availability of data for some for some districts (for instance if new districts are carved from existing districts)

The SHDRs have attempted to circumvent these issues by using various data sources in conjunction.

Nine SHDRs have been prepared till date – Madhya Pradesh has prepared SHDRs in 1995, 1998 and 2002, Karnataka in 1999, Sikkim in 2001, Maharashtra, Himachal Pradesh and Rajasthan in 2002, Tamil Nadu in 2003 and West Bengal in 2004. While broadly confirming to the principles for computing HDI, there are some variations in the indicators selected and the way indices for longevity and poverty has been computed in each SHDR.

For arriving at index for **education attainment**, all the SHDRs have used literacy rate as one of the indicators. Enrolment ratio is the second indicator used in all the SHDRs except Maharashtra 2002 where mean years of schooling is the second indicator. While Census data have been used for computing literacy rates, data from State Government Departments has been used for calculating the enrolment ratio and mean years of schooling,

For **health attainment**, the MP HDR 1995 and Maharashtra HDR 2002 have used infant mortality rate as the indicator. All the other SHDRs have used life expectancy as the indicator reflecting health attainment. The data sources used for estimating life expectancy and IMR are Registrar General of India (Occasional Papers) in conjunction with SRS (Sample Registration Surveys) and the Civil Registration System (CRS). The SRS data is not considered statistically significant and the CRS data is not considered to be reliable and hence the SHDRs have primarily relied on data from Registrar General of India (Census data). However, this data is available only decennially and this poses a constraint.

For preparing the **income index**, adjusted per capita incomes and /or poverty rates have been used by all the SHDRs.

The Karnataka HDR 1999 and Sikkim HDR 2001 have converted per capita district domestic product (DDP) to its PPP dollar equivalent by taking the ratio of per capita district GDP to that of the country in Rupees and multiplying this by per capita GDP for the country in PPP\$.

Generally speaking, district income has been used as a proxy for district domestic product by using per capita incomes calculated by district shares of State NSDP by district population to arrive at comparable per capita incomes for the districts. The State NSDP is calculated for different categories in the primary, secondary and tertiary sectors. The per capita incomes thus computed have been adjusted using district-wise poverty line developed by Planning Commission (weighted for rural and urban groups) and the per capita income above poverty line adjusted accordingly. The rural and urban poverty rates have been estimated on the basis of regional data from NSSO surveys. Data sourced from the Departments of Economics and Statistics of the respective State governments, and from the Central Statistical Organisation and the Annual Survey of Industries (ASI). West Bengal has published to District Human Development Reports (DHDR).

A: **Overall Purpose DHDRs**

The *District Human Development Reports* are to be prepared to use as an important tool for integrated District Planning. Each DHDR should effectively.

- assist District Planning Committees and Government line departments in directing adequate public resources towards areas and sectors of persisting backwardness within each district
- assist the Planning Department in making realistic assessments of the quantum of physical and financial resources that need to be committed in a time-bound manner for redressing economic and social backwardness within the district
- encourage the evolution and progressive adoption of an integrated regional planning approach within the State Plan and District Plans, as a substitute for the current departmental approach

HUMAN DEVELOPMENT INDEXING FOR THE DHDRs

Indexing of human development at block and district levels during the DHDR exercise is necessary for several reasons, as described below.

- Little information currently exists at present, even within the districts, on the relative development positions of different regional sub-units within the district

- While HD indexing in the State HDR serves to identify relative disparities between districts, it is unable fully identify current pockets of backwardness in the State, which may exist within a certain part of a district, or contiguously over adjacent regions in several districts
- HD indexing at block level identifies the regional sub-units where HD interventions are urgently needed, as well as the type of HD interventions that need to be made

Modified Block-level HDI Computations in the Malda DHDR 2007-A Case¹

Modified HDI computations were made in the *Malda DHDR 2007*, with the limited objective of making internally consistent HD comparisons between the Malda blocks. The methodology used involved the computation of

- (a) a *livelihood opportunities index* as a substitute for the UNDP *income attainment index* and
- (b) a *health services accessibility index* as a substitute for the UNDP *Life expectancy index*,

The ***health services accessibility index*** was defined as the unweighted average of separate sub-indexes :

- (i) the proportion of the projected block population covered by rural sanitation schemes in 2005
- (ii) the proportion of the projected block population fully or partially covered by safe drinking water schemes in 2005
- (iii) the proportion of the target population in the age group 0-4 years covered by immunisation services under the Universal Immunisation Programme [UIP], where the immunisation target for each block was independently determined on the basis of block-wise estimates of live births rather than following the approximate ELA methodology used in reporting immunisation achievements, and
- (iv) the estimated proportion of safe deliveries in the block in the year 2005

This combination of health and hygiene indicators also ensured that the health services accessibility index was sensitive to underlying factors that also determine rural morbidity and mortality, thus closely approximating the block level rankings that would have been obtained if, following the UNDP method, a zero-age life expectancy index had been computed from IMR. In Malda, the principal reason for computing immunisation coverage indirectly using block estimates of live births was because the ELA-based estimates of immunisation gave unrealistic coverage levels exceeding 100% in several blocks. IMR figures available from ICDS sources were also unrealistic since not all blocks were currently covered by ICDS services and the proportion of live births recorded under ICDS amounted to a fraction of the estimated live births reported by SHIS.

¹ Evolving Common Modalities for Preparing District Human Development Reports in West Bengal : Jeta Sankrityayana, *Member/SPB & WBSSPHD-Empowered Committee & Lead Coordinator, Malda DHDR*

The component ***livelihood opportunities index*** in the Malda DHDR was defined as the unweighted average of

- (i) Census *work participation rates*, i.e. the ratio of the total working population to the total block population
- (ii) the ratio of 'main workers' to 'total workers' in each block, reflecting relative levels of access to rural livelihoods over a sustained period, and
- (iii) the ratio of 'other workers' to 'main workers' in each block, reflecting the extension of livelihood opportunities outside the agricultural sector

While no direct estimate of income attainments was used in this computation because of methodological complexities and data inadequacy, the factors underlying the expansion of livelihood opportunities would be largely identical to those that determine rural income levels. Thus block rankings based on the livelihood opportunities index could be expected to conform closely to the rankings that would have been obtained if direct estimates of block per capita income had been available. Thus, both the health services accessibility index and the livelihood opportunities index used in the surrogate HDI computations at block level would preserve the rank order and the rank differences of the constituent blocks in close conformity with orderings based on life expectancy and income attainments.

Computation of the ***educational attainment index*** was based on a weighted average of *gross enrolment ratios [GERs]* for the population in the basic school-going age group (i.e. 5-14 years) and *15+ literacy rates*, thus employing the UNDP methodology as far as practicable. Forward projection of these population components from the census-year 2001 to the computation-year 2005 was accomplished through exponential projection of the growth of block populations, yielding population estimates consistent with those used administratively while estimating annual coverage targets for education, rural health and other social sector programmes in the district. Since it also stands to reason that life expectancy would be better in blocks where overall *health service accessibility* was better, and that overall income attainments would be higher in blocks where *livelihood opportunities* were wider, the simple unweighted average of these three HD dimension indexes yielded modified estimates of block level HDI that were internally consistent within the district, and could thus be used to rank the Malda blocks in terms of relative HD attainments.

No attempt was made however to calculate HDIs for the urban units located within the district, since most of the surrogate HD indicators used in the computation were relevant mainly to rural areas. Thus the modified HDI computations in the Malda DHDR pertained solely to rural units within the district. Besides these modified HDI estimates, indirect block level estimates were also generated for the Human Poverty Index [HPI] used in NHDR 2001, which - conversely to the HDI - is an index of HD deprivation rather than HD attainment. Modified HPI computations in the Malda DHDR were based on an unweighted average of figures for (i) block-wise proportion of illiterates, (ii) block-wise proportion of non-working populations, (iii) block-wise ratios of agricultural labourers to main workers, (iv) block-wise ratios of marginal workers to main workers and (v) block-wise proportions of rural families below the poverty line taken from the BPL survey.

The modified HPI indexes thus computed indicated the extent of exclusion of vulnerable sections among the rural population from the HD attainments reported for the block population as a whole.

POVERTY AND HUMAN DEVELOPMENT

Time – Two hours

Interactive Session – 1 Hour

Case Discussion – 1 Hour

Note: The participants may be given the appended case “Participatory Poverty Reduction” to read before coming to the class. The session will end with the discussion of the case, on the basis of the questions suggested at the end of the case.

Learning Outcomes

Knowledge acquired through this module will allow the participants to:

- Define Poverty
- Explain how the poverty is measured
- State, process of identification of poor
- Discuss the anti-poverty policies adopted in India
- State the non –income dimensions of poverty
- Discuss strategies for poverty reduction & human development
- Discuss on Participatory Poverty Reduction

Poverty in India

On being sworn in as the first Prime Minister of independent India in 1947, Nehru called for “the ending of poverty and ignorance and disease and inequality of opportunity.” Mahatma Gandhi had always insisted that India would become truly independent only when the poorest of its people would be free from human suffering.

Every major policy and plan document has expressed such a perspective and concern. The *First Five Year Plan* (1951-56) stated that “the central objective of planning in India is to raise the standard of living of the people and to open them opportunities for a richer and more varied life.” The document went on to state: “It is no longer possible to think of development as a process merely of increasing the available supplies of material goods; it is necessary to ensure that simultaneously a steady advance is made towards the realisation of wider objectives such as full employment and the removal of economic inequalities.” Successive Five-Year Plans continued to emphasize poverty eradication, and the attainment of economic

equality and social justice as key objectives. The *Eighth Five Year Plan* (1992-97) identified human development as the ultimate goal. It aimed to create jobs, contain population, eradicate illiteracy, universalize elementary education, and provide safe drinking water and primary health care facilities to all. The *Ninth Five Year Plan* (1997) emphasised the importance of focusing on human development, and argued that there can be no two opinions about this being the ultimate goal of all public action. The *Tenth Five Year Plan* reinforces and reiterates this commitment. Eleventh Five year Plan has emphasised that the persistence of poverty on the scale at which it still exists is not acceptable. A decisive reduction in poverty and an expansion in economic opportunities for all sections of the population should therefore be a element of the vision for the Eleventh Plan. Rapid growth of the economy is an essential requirement to achieve this outcome since it is an instrument for achieving a steady increase in employment and incomes for large numbers of our people.

Poverty policies

Despite the strong political consensus on ending poverty, poverty policy in India has been overwhelmingly concerned with income poverty. The focus on income poverty began early in the 1960s when a Working Group of eminent economists was set up by Government of India to assess the extent of poverty in the country. This Group used a nationally desirable minimum level of consumption expenditure to define India's poverty line and based it on a standard balanced diet prescribed by the Nutrition Advisory Committee. Based on such a measure, the Group found that "half the population lives in abject poverty." The Report discussed the consequences as well. "Such widespread poverty is a challenge which no society in modern times can afford to ignore for long. It must be eradicated on humanitarian grounds and as a condition for orderly progress." It also warned that no programme or policy that "fails to alleviate the conditions of the poor appreciably can hope for the necessary measure of public cooperation and political support in a mature democracy."

The Report of the Working Group set the trend for defining and measuring income poverty. Subsequent studies on poverty in India continued to use either income or consumption as the basis for defining and measuring poverty. The attention of policy makers thus shifted to a narrow conception of poverty as income deprivation. The focus of poverty policy was on providing an assured minimum income to every citizen of the country. To this day, India's income poverty line is the monetary equivalent of a minimum daily calorie intake – 2400 calories per person in rural areas and 2100 calories per person in urban areas.

Assessing levels of income poverty over time and across States is not an easy task. Differences in methodologies and assumptions can lead to quite different estimates. Until recently, for example, there were two sets of poverty line estimates for India using the same criteria of minimum calorie requirements. In 1993-94, for instance, according to the Planning Commission, only 19% of India's population was below the poverty line. This was the "official" estimate. Estimates based on consumer expenditure surveys carried out regularly by the National Sample Survey (NSS) Organization however placed the proportion of India's population below the poverty line at 36%. In February 1997, Government of India accepted the recommendations of the Expert Group on Estimation of Proportion and Number of Poor (1993) which rejected the adjustments made by the Planning Commission to arrive at estimates of poverty. As a result, the official estimate of India's population below the poverty line was 35.97% in 1993-94. According to the latest estimates (1999-2000) the population living below poverty line declined to 26.10 % (260.2 million)

Despite the decline in proportions, the number of income poor has been increasing due to the growth in population. Between 1951-94, their numbers doubled - from 170 million in 1951 to an estimated 340 million in 1994 as population increased nearly threefold. There were nearly 25 million more rural poor in 1994 than there were in 1986-87. Similarly, though the proportion of urban poor went down from 34% in 1986-87 to 31% in 1994, the number of urban poor during this period remained almost the same, around 60 million. According to the latest estimates (2004-05) there are about 80.8 million poor people in urban India (25.7%) and 220.92 million (28.3%) poor people in rural areas.

Many would credit the reductions in income poverty to economic growth. Between 1950- 75, when income poverty was fluctuating, growth averaged 3.6%. Over the next 10 years, when the reduction in income poverty was more pronounced, growth rose to 4%, and during 1986-91, it averaged 6%. A related factor is agricultural growth. India from the mid-1970s to the mid-1980s enjoyed a higher and more stable trend rate of agricultural growth. On the other hand, when the index of agricultural production for all commodities fell by 2.5% between 1990-91 and 1991-92, rural poverty went up in the country.

Although economic growth has the potential to reduce income poverty equating growth with income poverty reduction is too simplistic. The association between economic growth and poverty reduction is weak. In the latter half of the 1980s, for example, despite rapid economic growth, income poverty did not decline much. Similarly, all States recorded significant declines in income poverty from the mid 1970s to the end 1980s even though the green revolution was limited in geographical coverage; and most States did not record any significant increase in agricultural value-added per head of rural population.

Discussion Prompt – 30 minutes

Ask the participants to discuss the possible reasons why growth in national incomes has not translated into poverty reduction in their own States. Reasons should be categorized appropriately (eg. faulty premises, structural limitations, capacity limitations, system failures and State-specific features).

Use the points in the below to consolidate the discussion.

- Several factors mediate the conversion of economic growth into income poverty reduction. Kerala, for instance, ensured maximum reductions in income poverty despite slow economic growth through political activism and a rapid expansion of equal opportunities. Improvements in infrastructure and access to assets also play an important role in income poverty reduction.
- Growth is important but the conversion of higher incomes into income poverty reduction is contingent upon several factors: effective public policy interventions, the redistribution of assets, the equitable expansion of physical and social infrastructure, an even and rapid spread of health, education and employment opportunities, and the assurance of people's participation.

Public expenditures have played an important role in India's income poverty reduction. The period from the mid 1970s to the end of the 1980s when income poverty showed a marked reduction was also a

decade when public expenditures rose phenomenally. During this period, the Government introduced several new poverty alleviation programmes. There was an increased political commitment to poverty eradication which was backed by an increased allocation of resources and by a set of new pro-poor policies. Nationalized commercial banks were required to assign 40% of their lending to priority sectors - small farmers, small businesses, and artisans. New employment-creation and asset generation programmes for income poverty reduction were introduced. As a result, rural non-agricultural employment increased substantially, and real wages went up sharply. But most important, between 1976 and 1990, real per capita development expenditure increased at an annual rate of 6% per annum compared with only a 3% growth in real GDP per capita. In fact, the steep rise in government spending contributed to the fiscal crisis that necessitated economic reforms in 1991. On the other hand, after economic reforms were introduced, real government expenditure per capita fell 15% during 1990-93, but increased again by 6% in 1993-94. Income poverty too worsened in the initial years of the reforms, but since 1994, showed improvement.

Government expenditures appear to have a much more direct and distinct impact on poverty than income growth. Practically all States that have succeeded in reducing poverty have made sizable investments in poverty alleviation programmes. The size of government spending matters, but so does the efficiency of such spending. Leakage, corruption and inefficiency in management are frequently reported. Nevertheless, even with a poor record in programme implementation, states that have invested heavily in poverty alleviation programmes seem to do distinctly better in income poverty reduction. This indicates the enormous potential that exists for accelerating income poverty reductions with improvements in the efficiency of spending. Improving the design, administration and management of poverty alleviation programmes are urgently required for a more rapid reduction in income poverty.

Number and Percentage of Population Below Poverty Line by States - 2004-2005
(Based on URP-Consumption)

Sl. No.	States/U.T.'s	Rural		Urban		Combined	
		%age of Persons	No of Persons (Lakhs)	%age of Persons	No. of Persons (Lakhs)	%age of Persons	No. of Persons (Lakhs)
1	Andhra Pradesh	11.2	64.70	28.0	61.40	15.8	126.10
2	Arunachal Pradesh	22.3	1.94	3.3	0.09	17.6	2.03
3	Assam	22.3	54.50	3.3	1.28	19.7	55.77
4	Bihar	42.1	336.72	34.6	32.42	41.4	369.15
5	Chhattisgarh	40.8	71.50	41.2	19.47	40.9	90.96
6	Delhi	6.9	0.63	15.2	22.30	14.7	22.93
7	Goa	5.4	0.36	21.3	1.64	13.8	2.01
8	Gujarat	19.1	63.49	13.0	27.19	16.8	90.69
9	Haryana	13.6	21.49	15.1	10.60	14.0	32.10

Number and Percentage of Population Below Poverty Line by States - 2004-2005

(Based on URP-Consumption)

Sl. No.	States/U.T.'s of Persons (Lakhs)	Rural		Urban		Combined	
		%age of Persons	No of Persons (Lakhs)	%age of Persons	No. of Persons (Lakhs)	%age of Persons	No. of Persons (Lakhs)
10	Himachal Pradesh	10.7	6.14	3.4	0.22	10.0	6.36
11	Jammu & Kashmir	4.6	3.66	7.9	2.19	5.4	5.85
12	Jharkhand	46.3	103.19	20.2	13.20	40.3	116.39
13	Karnataka	20.8	75.05	32.6	63.83	25.0	138.89
14	Kerala	13.2	32.43	20.2	17.17	15.0	49.60
15	Madhya Pradesh	36.9	175.65	42.1	74.03	38.3	249.68
16	Maharashtra	29.6	171.13	32.2	146.25	30.7	317.38
17	Manipur	22.3	3.76	3.3	0.20	17.3	3.95
18	Meghalaya	22.3	4.36	3.3	0.16	18.5	4.52
19	Mizoram	22.3	1.02	3.3	0.16	12.6	1.18
20	Nagaland	22.3	3.87	3.3	0.12	19.0	3.99
21	Orissa	46.8	151.75	44.3	26.74	46.4	178.49
22	Punjab	9.1	15.12	7.1	6.50	8.4	21.63
23	Rajasthan	18.7	87.38	32.9	47.51	22.1	134.89
24	Sikkim	22.3	1.12	3.3	0.02	20.1	1.14
25	Tamil Nadu	22.8	76.50	22.2	69.13	22.5	145.62
26	Tripura	22.3	6.18	3.3	0.20	18.9	6.38
27	Uttar Pradesh	33.4	473.00	30.6	117.03	32.8	590.03
28	Uttarakhand	40.8	27.11	36.5	8.85	39.6	35.96
29	West Bengal	28.6	173.22	14.8	35.14	24.7	208.36
30	A & N Islands	22.9	0.60	22.2	0.32	22.6	0.92
31	Chandigarh	7.1	0.08	7.1	0.67	7.1	0.74
32	Dadra & N. Haveli	39.8	0.68	19.1	0.15	33.2	0.84
33	Daman & Diu	5.4	0.07	21.2	0.14	10.5	0.21
34	Lakshadweep	13.3	0.06	20.2	0.06	16.0	0.11
35	Pondicherry	22.9	0.78	22.2	1.59	22.4	2.37
	All India	28.3	2209.24	25.7	807.96	27.5	3017.20

Non-income dimensions of poverty

The overwhelming attention paid to measuring and monitoring income poverty has resulted in a gross neglect of other serious forms of human deprivation such as child labour, illiteracy and environmental degradation. Many other forms of deprivations are silent and invisible. These include for instance issues of women's health, domestic violence and child malnutrition. These deprivations are not related to income or income poverty levels in any predictable manner. Haryana is one of the richest and fastest growing states in terms of per capita income. The per capita income of Haryana is more than double than the per capita income of Manipur in 1997-98 at 1980-81 prices. Yet infant mortality in Haryana is 69 per 1,000 live births (1991) is more twice than in income-poorer Manipur. And women in Haryana suffer systematic deprivation that gives them one of the lowest female-to-male ratios in the country - 861 per 1000 males (2001).

Income levels often fail to capture deprivations along other dimensions of human life. Rural Andhra Pradesh and rural Madhya Pradesh, for example, suffer from similar levels of educational deprivation - an illiteracy rate of 64% - but the proportion of income poor is 29% in Andhra Pradesh and it is 45% in Madhya Pradesh. Again, the extent of urban illiteracy is the same in Punjab and Orissa (28%), and yet the proportion of urban income poor is 11% in Punjab, and in Orissa, it is 41%. Similarly, Kerala, Tamil Nadu and Andhra Pradesh which report the lowest levels of child malnutrition do so despite having relatively low levels of per capita incomes. Madhya Pradesh and Maharashtra report the same levels of child malnutrition even though Maharashtra's per capita income is more than double that of Madhya Pradesh's. Gujarat, among the high-income states, reports the highest levels of child malnutrition.

Levels of affluence or the lack of incomes also fail to measure the richness - or poverty of human lives. Urban poverty rates, for instance, have been consistently lower than rural poverty rates nationwide and across all states. Also, urban income levels are typically higher than rural incomes. Yet visitors to India's major cities will observe that traffic congestion has increased dramatically and so has air pollution. Respiratory problems have gone up and there is a severe shortage of water and electricity. The poor, especially those living in urban slums, estimated to be around 21.1% of urban population, experience the decay even more: clogged drainage pipes, stagnant water, filthy public latrines, uncleared garbage piles, and an increasingly unhealthy environment around them. Most significantly, infant mortality in urban areas has remained stagnant in recent years for the country as a whole, and has gone up in several states. The declining trends in urban income poverty do not capture such dangerously deteriorating living conditions.

While income is important, people often value other things in life much more than income. Even to the very poor, self-respect and a good reputation mean a lot. They often articulate their immediate needs as a good education for their children, access to good health care facilities, and a safe environment. They detest exploitation and discrimination. To most people, to be treated with dignity and respect matter much more than incomes.

Strategies for poverty eradication

Given India's mixed record of the past, what are the chances that the political intent will translate into public action? Clearly, there is a long way to go in ending human deprivations. Access to quality health care, basic education and other essential services has to improve dramatically. Caste, class and gender barriers have to be addressed. Physical provisioning has to be expanded considerably. There is scope for optimism because

- The Eleventh Plan and official policies for poverty eradication reflect human development priorities.
- Economic conditions are favourable.
 - Democratic participation is opening up. This is not just through local governments but through people's organizations, and in particular women's groups that are frequently organized around credit, economic activities and social empowerment.

At the same time, there are some causes for concern.

- The focus on reducing fiscal deficits is forcing major cuts in social sector spending.
- The pressure to pursue state minimalism is leading to a virtual abdication of state responsibilities.
- The pressure to privatize is beginning to affect people's access to basic health and education.

Case Discussion: Time-30 minutes

At this stage the case may be taken up for discussion. The Instructor may raise the following questions, as given at the end of the case, and encourage participant to respond to them.

- i. How can empowered poor women help in fighting against poverty?
- ii. How can we make the project of women-oriented participatory approach viable to deal with the problem of poverty?
- iii. What are the conditions of success of such an approach?
- iv. Where is such experiment being replicated?

Individual Exercise No. 1 – Time: 30 minutes

Ask each participant to give five concrete suggestions on "What needs to be done differently to ensure that India progresses on the scale of human development? Ensure that suggestions given below are discussed.

Some suggestions to strengthen HD

- ❑ Maintain a balance between economic growth and an expansion of social opportunities. Give high priority to basic education, preventive and promotive health care, assuring basic economic security and livelihoods.
- ❑ Correct imbalances and inequalities between men and women, between rural and urban areas, between socially disadvantaged communities and the rest of society.
- ❑ Invest adequate resources in social sectors. Additional resources could be mobilized by improving tax-GDP ratio and ensuring a growth rate of 6-8% per annum; by eliminating subsidies to the rich; by cutting losses of public enterprises; and by reducing defense spending.
 - ❑ Set the priorities right for public spending. Expenditures must be utilized for improving the quality and efficacy of services, for correcting imbalances in public expenditures, for plugging leaks and reducing wastage, and for ensuring greater efficiency in spending.
- ❑ The State needs to play a more proactive role in expanding social opportunities. The State has shown dynamism in reducing controls, liberalizing the economy, and opening up the economy. The 73rd Constitutional amendment to ensure women's participation in local governments displays an extremely progressive and proactive face. On the other hand, efforts at abolishing child labour, preventing child prostitution, and until recently, addressing the problem of AIDS have been far less successful. On many of these matters, sustained advocacy, open debates, concerted pressure and public action are urgently needed to provoke a positive response from the state.
- ❑ Create and expand opportunities for women to participate more fully in economic and political decision-making. The human development experience from Kerala and Manipur suggest that the well-being of society improves when women enjoy greater economic, social and political freedoms.

Ensure that economic growth is participatory. It must be planned and managed locally by people whose lives it affects. Communities must participate actively to shape programmes, ensure that opportunities are expanded, and that the benefits are shared equitably. For this, structures of local self-governance must be strengthened; and people's participation has to become a norm of public life.

APPENDIX: CASE

Participatory Poverty Reduction

From Malappuram to Kudumbashree, Kerala

Introduction

Anti-poverty programmes undertaken by the Government of Kerala have led to a reduction in poverty levels, but persistent backwardness in certain locations and among particular groups of people worries the policy-makers. It is widely recognized that a top-down approach to poverty reduction that depended on isolated schemes delivered separately to individual families or groups of families had failed to yield desired results.

Kerala started a pilot project of participatory poverty alleviation initially in Allapuzha municipal area with the support of the UNICEF as part of the centrally-sponsored Urban Basic Services Programme (UBSP). Based on the lessons from the pilot phase, the model was extended to all the municipalities in 1995, which included the rural areas of Malappuram district covering 96 panchayats. Thus, the Kudumbashree (prosperity for the family) project evolved after intense experimentation in diverse conditions into the participatory strategy for taking power to the people and especially the poorest and weakest women.

Background

Kudumbashree is a women-oriented community-based poverty reduction programme being implemented in Kerala by the state government, with the active support of the Government of India, National Bank for Agricultural and Rural Development (NABARD), and UNICEF. Two bank-linked self-employment programmes of the Swarna Jayanti Shahari Rozgar Yojana (SJSRY), namely Development of Women and Children in Urban Areas (DWCUA) and Urban Self Employment Programme (USEP), provide Kudumbashree with nominal financial resources to encourage beneficiaries of the project to set up micro-enterprises. More than 10,600 USEP micro-enterprises and 685 DWCUA micro-enterprises have already been generated in Kerala and the Kudumbashree project is gaining international recognition as well. It has been awarded the coveted Commonwealth Association for Public Administration and Management (CAPAM) gold medal for the year 2000, for best practice in public management. The community marketing network concept of Kudumbashree is fast developing as a field-level reality. Kudumbashree is an outstanding example of a successful government organised non-governmental organisation (GONGO).

Objectives

The mission statement of the Kudumbashree project is 'to eradicate absolute poverty in 10 years through concerted community action under the leadership of local governments, by facilitating organisation for the poor for combining self-help with demand-led convergence of available services and resources to tackle the multiple dimensions and manifestations of poverty holistically'.

The specific objectives of the project are as follows:

- Facilitating self-determination of the poor families through a transparent risk index composed of socially accepted indicators of poverty through a participatory survey.

- Empowering the women among the poor to improve their individual and collective capabilities by organising them into neighbourhood groups (NHGs) at the local level, area development societies (ADSs) at the ward level and community development societies (CDSs) at the local government level.
- Encouraging thrift and investment through credit by developing CDSs to work as informal banks for the poor.
- Improving incomes of the poor through upgradation of vocational and managerial skills and creation of opportunities for self-employment and wage employment.
- Ensuring better health and nutrition for all poor families
- Ensuring access to basic amenities like safe drinking water, sanitary latrines, improved shelter and healthy living environment.
- Ensuring zero dropouts in schools for all children belonging to the poor families.
- Promoting functional literacy among the poor and supporting continuing education.
- Enabling the poor to participate in the decentralization process through the CDSs as sub-systems of the local government.
- Helping the poor fight social evils like alcoholism, smoking and drug abuse, dowry, discrimination based on gender, religion, caste, etc.
- Providing a mechanism for convergence of all resources and services meant for alleviation of poverty in the state.
- Collaborating with government and non-government institutions and agencies in all activities related to improving the quality of life of the poor.

Salient Features

The Malappuram model

Malappuram has been identified as one of the most backward districts in India. The district has the highest fertility and infant mortality rates in Kerala. The Union Ministry of Health has enlisted Malappuram as one of the 90 problem districts in India. The percentage share of families below poverty line in the district was as high as 45 per cent.

A fact sheet of the district is given in Table

Table 1	Profile of Malappuram District	
Area	3548 sq. km	
Population: 2001 Census		
Male	17,59,479	
Female	18,70,161	
Total	36,29,640	
Socially disadvantaged groups*	2,55,731	

Social indicators vis-à-vis state average	District Average	State Average
Decadal growth rate (1991-2001)	17.22%	9.42%
Infant mortality rate*	22	13
Women Literacy	85.96%	87.86%
Average family size*	6.49	5.3
Families below poverty line*	45%	26%

Note: * Data pertains to 1991 Census

Identification of the poor

The methodology used to identify the poor suffered from two basic deficiencies. First, since it is based on income, there was substantial under-reporting and the officials conducting the survey had to exercise a great deal of discretion in the absence of verifiable data. Second, the identification was used only to provide direct assistance under a single programme, the Integrated Rural Development Programme (IRDP). It was felt that a layman-friendly index based on a non-monetary set of indicators to determine poverty would be more reliable and acceptable. Based on a system of trial and error in Allapuzha municipality of Kerala, a nine-point risk index was developed consisting of the following elements;

- Poor quality of house i.e. *kutcha* house.
- Lack of access to safe drinking water.
- Lack of access to sanitary latrines.
- Number of illiterate adults in the family.
- Single income households.
- Number of individuals getting barely two meals a day or less.
- Number of children below the age of five in the family.
- Number of cases of alcoholism or drug addiction in the family.
- Scheduled caste or scheduled tribe family (i.e., belonging to socially disadvantaged groups).

The households with four out of nine factors were classified as poor. Thus a community-based transparent identification system of the poor was attempted. This index represented significant innovation and a fundamental departure from existing norms.

Organisation of the poor

Hitherto, poverty alleviation programmes in India, by design or default, have focused on equipping the male head of a household with skill or wage employment that the family could rise above the poverty line. Programmes have been delivered without any lateral linkages or follow up appraisals. No attempt has been made to view the target groups as cohesive units and provide a suitable basket of services and schemes. A conscious attempt was made to get over these problems in the Malappuram project.

At the local level, the identified families were organised into NHGs of 20 to 30 families. Each family in the NHG was represented by a woman. These NHGs of women were networked into ADSs at the level of the Ward or electoral constituency. These ADSs were then federated into a CDS at the village panchayat or municipality level. There were also higher levels of networking at the level of the intermediate local government tier, viz., the block panchayat at the district level.

Organization Set-up

- NHG: Each NHG prepares a development micro-plan based on the needs of the members as identified through surveys and discussions. The basic building block of the community based organization is the NHG. This grassroots level body democratically elects five volunteers from its members who function as *barefoot experts* performing the following functions:
 - The President presides over the weekly meetings and imparts necessary leadership and guidance to the group members.
 - The Secretary records the details of the proceedings of the meeting and is responsible for necessary follow-up including motivation and team building.
 - The Community Health Volunteer looks after various health related issues of the group members, particularly among children, women and the aged, and is responsible for the convergence of various programmes undertaken by the health and social welfare departments.
 - The Volunteer for Income Generation Activities looks after the collection, consolidation and maintenance of books, accounts and registers in connection with thrift mobilization. Necessary training is imparted by NABARD towards capacity building of the volunteers
 - The Volunteer for Physical Amenities acts as a catalyst for local development by identifying gaps in the availability of critical physical amenities; trying to integrate the resources of various government programmes; and liaising with local government organs for the follow up of programmes.
- ADS: This is formed at the ward level of the village panchayat or municipality by networking NHGs, normally 8 to 10 in number. The ADS functions through three distinct bodies:
 - The General Body consists of all presidents and secretaries of federated NHGs along with the representatives of resource persons selected from that area.
 - The Governing Body is constituted by electing a president, secretary and five-member committee from the members in the general body. It oversees the functioning of the general body.
 - A Monitoring and Advisory Committee is formed under the chairmanship of the elected member of the village panchayat or municipality representing that ward. Since the ward is the basic unit for laying down priorities for local development, the ADS acts as a lobby of the poor in the preparation of development plans by local governments. The ADS puts together the micro-plans of the NHGs into what is called a *mini plan*.

- CDS: CDS is a registered non-government organisation (NGO) formed at the ~ evel of the village panchayat or municipality and comprising of a federation of ADSs. Like the ADS, it has also three sub-systems:
- The General Body consists of all ADS chairpersons and ADS governing body members along with representatives of resource persons, officers of the local government who are involved in implementing various poverty alleviation and women empowerment programmes.
- The Governing Body consists of a president, member secretary and five selected committee members. The President is the elected representative whereas the member secretary is the local officer in charge of anti-poverty programmes. Other government officials and representatives of resources persons are nominated to the Governing Body.
- Monitoring and Advisory Committee: The municipal chairperson/president of the panchayat is the chairman of the Monitoring and Advisory Committee which is convened by the municipal secretary/panchayat secretary.

The CDS is co-terminous with the village panchayat or municipality and prepares development plans at the local government level by consolidating the plans prepared by the ADSs. The CDS is recognised as an agency to which local governments can entrust the execution of small public works through the process of community contracting. The participation and representation of the women of the community, who constitute the core of the NHG model, imparts a gender dimension to the programme and ensures that the voice of the disadvantaged is heeded. There are CDSs at the block level and district level, which serve to coordinate as well as provide feedback and take up higher order development activities. Regular weekly meetings are held and the discussions and decisions are recorded. These meetings serve as forum for the dissemination of information, development of consensus on collective requirements, and the discussion of possibilities of cohesive action.

Key features

- The programme covers every family below the poverty line.
- Each poor family is represented by a woman, a paradigm shift from the a priori male-centric model of poverty alleviation programmes. Women have imparted a new dimension to the project in terms of feedback on poverty indicators, sensitivity to problems of the poor, commitment to poverty alleviation, and special attention to gender concerns.
- The whole system is democratic and encourages full participation through periodic discussions and rotation of volunteers every two years.
- The volunteers have ample opportunity to hone their leadership qualities through regular capacity building initiatives.

- The democratic hierarchy of the organization facilitates interventions at different stages of the local development planning process.
- The representative character of the organization enables it to be a powerful interest group representing 30-35 per cent of the population.
- Since decisions are taken based on analysis of the field situation and through the medium of regular discussions, the plans represent the felt needs and priorities of the community.
- The hierarchical organization with the higher levels 'nesting the representatives of the lower level' affords good channels for quick and effective communication.

Strategies

Informal bank for the poor

A major function of the organisation is to act as an informal bank for the poor (Box 1). Women pool their savings at the weekly NHG meetings. The ADS is authorized to open accounts in banks to deposit the savings. So far in Malappuram Rs. 2.67 crore has been collected out of which Rs. .06 crore has been circulated as loans among the members mainly for immediate needs like medical treatment, educational expenses and repayment of old debts. About 70 per cent of the disbursements are used for consumption purposes or to ward off indebtedness. The remaining disbursements are [or economic development activities either for the strengthening

Box 1

The poor women's bank

In 1995, a thrift and credit society was started as small savings scheme .for poor women with an objective to encourage the poor to save and. widen their resource base. The women contribute small sums at group meetings. This money is entrusted to the Commanding Officer who then deposits it in the nearest bank. Each member is given an individual passbook, which ensures transparency in the maintenance of accounts. Members are given loans from the thrift society to meet their immediate needs like medical treatment, purchase of school books and uniforms for children etc. Each request for a plan is discussed in the NHG meeting.

The thrift and credit society has made astounding progress. In a span of one-and-a-half years, the women could mobilise Rs.one crore as thrift savings. These societies have been acclaimed as the largest informal bank in Asia, in terms of participation and savings mobilised. As on 31 October, 1998, the thrift savings were Rs.1.50 crore. of existing activities or for taking up new activities. Since the whole process, and in particular the financial component of the project is transparent, there has been 100 per cent repayment of loans. As on 31 March 2002, the number of NHGs was 4,645, with a total thrift of Rs. 5,36,30,006 and total thrift loan of Rs. 5,51,38,883.

To ensure accountability, a simple community financial management system has been designed and is operated by the secretary of the ADS. This ensures regular monitoring of loan repayment as well as close scrutiny in the accounting and audit of balance sheets.

The main objective is to go beyond mobilising thrift from members towards attracting credit from commercial banks. It is expected that with the strengthening of the system the banks would lend nine times the savings without any guarantee. NABARD has already provided credit to 808 NHGs. The loan repayment is 99.98 per cent as against 51 percent for the traditional anti-poverty programmes.

Role of government

The government acts as a proactive facilitator of the programme. At the district level, there is a full-time coordinator for the programme, appointed by the government, who acts as a catalyst without infringing upon the autonomy of the CDS system.

A massive capacity building exercise has been undertaken within the CDS matrix. Experts as well as key resource persons selected from amongst the community imparted the training. There has been a significant effect of the training programme:

- In 1994, nearly 13,000 volunteers were trained in identification of risk families.
- Between the period 1994-98, 1,06,000 community volunteers were trained on concept, strategy and operations of the project.
- During 1995-98, about 4,645 volunteers were trained in community health management.
- 2,000 training courses were conducted on community finance management by the CDS in 1995-96 and by NABARD in 1995-97.
- About 20,000 volunteers were trained in preparation of development plans in 1995 -96, in implementation in 1996-97 and monitoring in 1996-97.
- In 1998, about 3,000 volunteers were trained in Participatory Learning and Action (PLA) techniques.
- In 1995 and 1996, 850 volunteers were trained in micro-enterprise development.
- In 1995, 99 awareness camps against alcoholism were conducted.
- During 1995-97, 1700 training camps on immunization were held.

Achievements

The CDS system has translated into several impressive achievements that have been delineated below:

Environmental sanitation and drinking water

The programme has facilitated the construction and capacity building of several sanitation and drinking water initiatives. It has provided:

- 5,600 sanitary latrines with the support of the government and local bodies.
- 20 bore wells under the Drought Relief Scheme of the government.
- 10 open wells under the Drought Relief Scheme of the government.
- 53 toilets in schools.
- Rural Sanitary Marts in 14 blocks.

It has also introduced rainwater harvesting techniques in the district and trained and equipped 200 women masons.

Education

The programme has also led to the following tangible benefits in the field of education:

- Additional facilities created in pre-primary and primary schools.
- Formation of Mother Teacher Associations (MTAs) in primary schools.
- Reduction in drop-out rate. (According to volunteers/activists actively involved in the CDS' programme, the drop out rates which were 35 per cent in 1991 declined to 11-12 per cent. Further, the teachers involved in the programme state that there has been an increase in the number of girl students in 5th to 8th standards, from 10-15 per cent to 30-35 per cent, respectively.)
- Remedial education for under-performing students from poor families. A DPEP has been extended to marginalised groups.

Community Health

Improvements in the collective health of the community have been a palpable plus point of the CDS system. This has been due to the following achievements in the sphere of community health:

- Improved use of medical facilities.
- Convergence of health programmes.
- Universal coverage in immunization against polio.
- Reduced incidence of diseases of poverty such as cholera, typhoid, malaria and diarrhoea.
- Better outreach of reproductive and child health (RCH) programmes.
- Participatory implementation of AIDS control programme.
- Opening of Rural Health Depots for First Aid and Oral Rehydration Salt.

Development of micro-enterprises

The CDS system has enabled the development of several sustainable micro-enterprises: I:)

- 12.3 22 micro-enterprises set up and assisted through revolving funds.
- Direct marketing groups selling consumer goods set up.
- Festival markets organised through group action.
- Micro-enterprise consultants trained to form a support network.
- Variety of initiatives ranging from solid waste management to computer centres implemented (Box 2).

Box 2

Micro-enterprise development by kudumbashree

Kudumbashree promotes micro-enterprises for women below poverty line. These enterprises include Catering, soap making, goat rearing, rice cultivation, copra production, spice/coffee packaging and managing computer booths. Till 2002, 35,196 women have been engaged in micro-enterprise and 26,505 units have been created. The total investment in micro-enterprises in Kerala, as on 30 April 2002, has been Rs. 64 crore.

Lessons learned

The first five years of the Malappuram experience yielded several lessons that are of relevance to the alleviation of poverty:

- Community-based involvement of the poor through simple transparent criteria has resulted in better identification of the poor. Since the criteria are in tune with the perceptions of the public, there is greater objectivity and reduced patronage in classifying the poor families for various benefits.
- The organisation of the poor has provided a powerful social safety net against vulnerability. The poor now have a well-defined role in public life, particularly in the development process right from the planning stage. The internal dynamics of the system often helps it to develop organically with cohesion and purpose. The highly democratic and participatory structure of the system has helped it to be recognised as a true representative of the poor. There has been a gradual but perceptible improvement in the confidence levels of the poor and they have begun articulating their demands. From expressing their 'voice', they have to be enabled to use their power of 'choice'. Their 'freedoms' have been enlarged and 'capabilities' enhanced in small but significant degrees.
- The Malappuram experience represents the conscious empowerment of the poor through a gender-sensitive process. It has imparted a new dimension to the role of the state. By actively promoting awareness amongst the public, capacity building of the community and the design of self-management systems, it has proved that the state can play a crucial role in the empowerment of poor communities through consistent policy efforts. The community

development system has been authorised to select and identify the beneficiaries of various developmental programmes of the poor sponsored by the state as well as local governments. Also, it is encouraged to take up implementation of public works through community contract.

- By focusing on the social dynamics of the organisation and by encouraging thrift, the culture of Self-help (Box 3) has been inculcated. This is in sharp contrast to the earlier practice of providing subsidies, doles and 'freebees' to the poor to enable them to rise above the poverty line.
- The quality of interventions for reducing poverty as enunciated in the mission statement has improved through the participatory planning undertaken by the system.

Box 3

From dependence to self-help

With the formation of Thrift Societies, there has been a visible change in the attitude of women. In the initial stages of the programme, projects like the Community Based Nutrition Programme and the Poverty Alleviation Programme (PAP) were considered as just additional channels for providing latrines. However, the real concept of the programmes is gradually catching on. With the formation of self-help groups, women have come to realize that the fundamental cause of their poverty is very low levels of income and unless they are able to learn some extra money, their condition will not improve. As a result of this, their demands for starting income generating activities increased exponentially.

In 1998, UNICEF provided Rs. 7 lakh for initiating activities that contributed to supplementing family incomes in all the panchayats in the district. These funds have been used by women to purchase goats and cows, to initiate mushroom cultivation and even to set up tea shops and garment manufacturing units. NABARD is also supporting the programme under its self-help group scheme and two banks viz., Canara Bank and South Malabar Gramin Bank, have sanctioned Rs. 18.5 lakh to the district community development system for lending to the women without any collateral security.

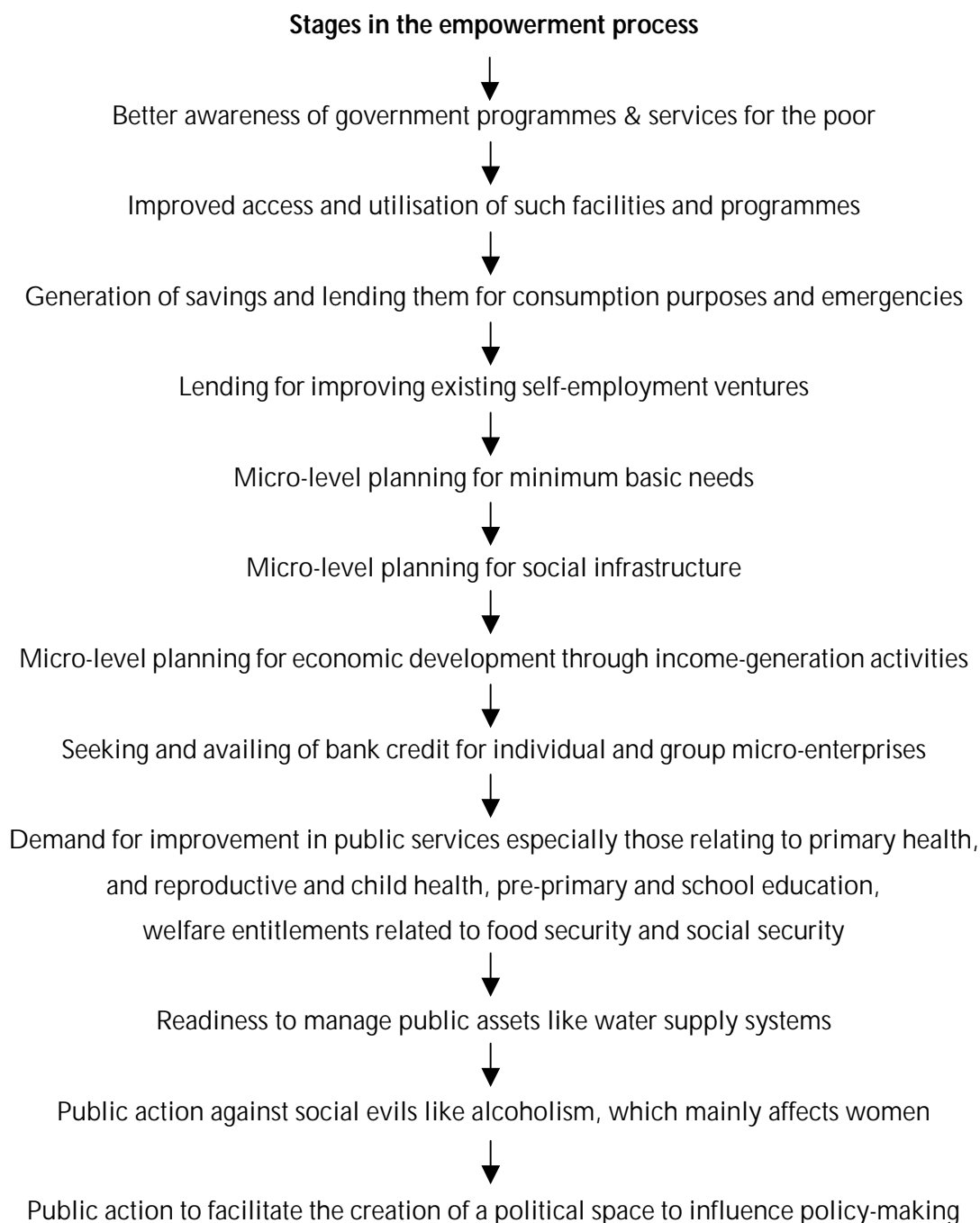
Rapid collection of essential data, interactive prioritisation of developmental needs and collective identification of economic development opportunities have contributed to the preparation and implementation of improved poverty reduction schemes at the local level.

- The transparent functioning of the system has promoted trust amongst the poor and has enabled them to identify persons most needy of assistance. This has contributed towards preventing ungainly jockeying for benefits and crude dependence-inducing patronage systems among the population.
- The experiment has contributed to bringing about more responsive governance through:
- Improved outreach of developmental software.
- Better access and utilisation as well as reduction of costs of public services.
- Improved accountability, transparency and targeting in developmental systems as well as greater convergence of Governmental resources.
- More efficient management of public assets such as water supply systems.

In short, the Malappuram experience shows that empowerment of the poor is an unfolding process with clearly discernible phases having sequential progression. Based on the evidence, the stages in the empowerment process are depicted in Fig. 1.

The above sequence holds true in a majority of cases though it is possible to leave out or combine some of the stages. For such a scheme to be a success there is undoubtedly a need for cooperation and coordination by the community at every stage, as well as facilitation and commitment from the state government.

Fig. 1



Replicability

The Malappuram example has shown that empowered poor women are important catalysts in the fight against poverty. This example has highlighted the need for co-ordinated efforts and convergence of resources to achieve basic human needs such as drinking water, primary health care and education. It has shown that the strengthening and expansion of women oriented participatory approach is a viable alternative for monitoring poverty alleviation programmes. The CDS system has a critical role in the conceptualization and implementation of anti-poverty programmes, in the identification and selection of beneficiaries of such programmes and in performing social audit functions, as a watchdog of the public.

Malappuram CDS is the largest NGO of women in the whole of Asia. It has internationalised a dynamic system whereby 1.66 lakh women network through about 5,000 NHGs every week to facilitate overall individual and community development. The twin concepts of convergent community action and self-help have ushered in a new paradigm in community development.

The Malappuram experience has revealed that novel methods for tackling various dimensions of poverty, both causative and symptomatic. The Government of Kerala has decided to replicate this all over the state through the Kudumbashree programme. For this purpose, a State Poverty Eradication Mission has been created specially maintained by officers selected from various development departments on the basis of proven capability and commitment, at the state and district levels.

Questions for Discussion:

1. How can empowered poor women help in fighting against poverty?
2. How can we make the project of women-oriented participatory approach viable to deal with the problem of poverty?
3. What are the conditions of success of such an approach?
4. Where is such experiment being replicated?

FINANCING FOR HUMAN DEVELOPMENT

Time – One hour thirty minutes

Interactive Session – 70 Minutes

Exercises- 20 minutes

Learning Outcomes

Knowledge acquired through this module will allow the participants to

- Define Social Sectors
- Discuss the fiscal constraints for financing for development in an Indian context.
- Define the ratios to analyse the public spending
- Discuss the various sources for mobilizing resources

Several commentators have pointed out that it is the lack of political commitment, not lack of financial resources, that is the real cause of human neglect. This is the main conclusion of Human Development Report 1991- the second in a series of annual reports on the subject. The Report points to an enormous potential for restructuring of both national budgets and international aid allocations in favour of human development. But the plea for greater allocative efficiency and more effective spending does not mean indifference to the need for economic growth, or for increased resource mobilisation. The Report's position is that a more efficient and effective public sector will help strengthen the private role in human development. And the best argument for additional resources is that the existing funds are well spent.

To analyse how public spending on human development can be designed and monitored, four ratios have been suggested in the Human Development Report 1991.

- a. The public expenditure ratio - the percentage of national income that goes into public expenditure.
- b. The social allocation ratio - the percentage of public expenditure earmarked for social services.
- c. The social priority ratio - the percentage of social expenditure devoted to human priority concerns.
- d. The human expenditure ratio - the percentage of national income devoted to human priority concerns.

The **human expenditure ratio** is the product of the first three ratios. It is a powerful operational tool that allows policy-makers who want to restructure their budgets to see existing imbalances and the available options.

If public expenditure is already high (as in many developing countries), but **the social allocation ratio** is low the budget will need to be reassessed to see which areas of expenditure could be reduced. Military spending, debt servicing and loss-making public enterprises are often likely candidates.

If the first two ratios are high, but the ultimate human development impact, as reflected in human development indicators, is low the social priority ratio must be increased. For the poorest countries, this is likely to involve seeking a better balance between expensive curative hospitals and preventive primary health care, between universities and primary schools and between focusing greater attention on the cities and on the rural areas, where most poor people live.

The human expenditure ratio should increasingly become one of the principal guides to public spending policy. When resources are tight, greater attention must be paid to allocation priorities and efficiency in spending. It is wrong, however, to confuse a plea for greater efficiency with indifference to the mobilisation of additional resources. The best argument for mobilising more resources is spending existing resources well.

The United Nations Millennium Declaration Goals (MDGs) in September 2000 is a set of International Development Goals (IDGs) to be attained by 2015. The Millennium Declaration heralded a new international response to tackling development issues and also acknowledged the importance of developing a strategy for raising resources to fund the attainment of development goals.

MILLENNIUM DEVELOPMENT GOALS TO BE ACHIEVED BY 2015

1. Eradicate extreme poverty and hunger

Halve the proportion of people living on less than \$ 1 a day.

Halve the proportion of people suffering from hunger.

2. Achieve universal primary education

Ensure that children everywhere – boys and girls alike – complete a full course of primary education.

3. Promote gender equality and empower women

Eliminate gender disparities in primary and secondary education preferably by 2005, and in all levels.

4. Reduce child mortality

Reduce infant and under-five mortality rates by two-thirds.

5. Improve maternal health

Reduce maternal mortality ratios by three-quarters.

6. Combat HIV/AIDS, malaria and other diseases.

Halt and begin to reverse the spread of HIV/AIDS

Halt and begin to reverse the incidence of malaria and other major diseases.

7. Ensure environmental sustainability

Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources.

Halve the proportion of people without sustainable safe drinking water.

Achieve by 2020, a significant improvement in the lives of at least 100 million slum dwellers.

8. Develop a global partnership for development.

Taking the cue from the MDGs or goals for development and poverty eradication set at the UN General Assembly in 2000, to which India is a signatory, the Tenth Plan lists monitorable targets that include the reduction of poverty ratio, providing gainful and high-quality employment, all children in school, reduction in gender gaps in literacy and wage rates, reduction in the decadal rate of population growth, increase in literacy rates, reduction of Infant mortality rate (IMR) and Maternal mortality ratio (MMR), increase in forest and tree cover, all villages to have sustained access to potable drinking water and cleaning of all major polluted rivers.

In July 1996, the Conference of State Chief Ministers made a commitment to achieve the following seven human development objectives by the end of the century:

- a. Safe drinking water for all
- b. Access to primary health care for all
- c. Universal primary education
- d. Public housing assistance for the homeless
- e. Extension of mid-day meal scheme
- f. Road connections to all villages and habitations
- g. Food security through the public distribution system for families below the poverty line.

The successful achievement of these objectives is dependent on the availability of human and financial resources as well as improved efficiency of existing resource use. The other factors that affect implementation and outcome of programmes are population changes, community awareness and community involvement in development programmes, the pattern of economic development, the efficiency of the administrative infrastructure, the status of women and other social and cultural factors, which differ from State to State.

VISION FOR THE ELEVENTH PLAN (2007-12)

The central vision of the Eleventh Plan is to build on our strengths to trigger a development process which ensures broad based improvement in the quality of life of the people, especially the poor, SCs/STs, OBCs, minorities and women.... However the target is not just faster growth but also inclusive growth, i.e. a growth process which yields broad based benefits and ensures equality of opportunity for all. This broad vision of the Eleventh Plan includes several inter related components: rapid growth that reduces poverty and creates employment opportunities, access to essential services in health and education especially for the poor, equality of opportunity, empowerment through education and skill development, employment opportunities underpinned by the National Rural Employment Guarantee, environmental sustainability, recognition of women's agency and good governance.

While acknowledging the resource constraints at the Union and State levels, the Eleventh Plan document recognizes the complementary role that the private sector and civil society can play with the public sector in the provision of infrastructure and social services, as well as in developing financial innovations to widen access to financing for all segments of society. The NHDR 2001, does stress on the fact that mere allocation of sufficient public resources for furthering human development is not enough. It is equally important to use them efficiently and effectively.

State governments are basically responsible for developing the social sectors. Health care, urban development, housing and water supply are under the exclusive jurisdiction of the State governments, while education, family welfare, social security and labour welfare are under the concurrent jurisdiction of the Centre and States. The Central government through its central sector schemes provides grants to the States to cover programmes like those for poverty alleviation, women and child development, income generating schemes, and programmes for developing tribal population. This also helps the government to provide leadership in terms of focusing on critical issues in the development process. Overall, *expenditure on education forms the largest component of the social sector, followed by public health and water supply.* Labour, social security and welfare is another important crucial expenditure head. Financing of the social sector has primarily occurred on the basis of domestic resources.

Social sector expenditure as a percentage of GDP has not increased if the Centre and the States are taken together. The Union budget for 2003-04 reveals that the year 2002-03 will end with Central Government expenditure on Plan programmes in the social sector about 5 per cent less than the budgeted Rs. 26,823 crores¹. The deficit cuts across all social sectors. Spending, according to the revised estimates, has been less than budgeted in the areas of elementary and secondary education, health, drinking water and sanitation and tribal welfare. Unfortunately, elementary education is where the gap between budgeted and actual spending is the largest in the current financial year.² The decline in the share of developmental expenditure is also significant. Plan expenditure as a ratio of aggregate disbursements declined from over 30% in 1991 to 26-27% in mid 1990s and even lower levels of 22-24% in the last three years of the 1990s. The implications of this fiscal stress for social services expenditure have been adverse.

Pronab Sen³ point out "Although, India has large investible resources and reasonably good performance on poverty reduction and social development there are still considerable challenges especially in the context of regional and interstate disparities and disparities between social groups and classes."

A high public expenditure ratio is neither a virtue nor a necessity. Public policy and public spending must facilitate, encourage and complement private spending to ensure that human development needs are met. If a government is to allow for sufficient spending in priority areas, a public expenditure of 20-25% is desirable. A study done in 1988 found that private spending often exceeds public spending. Today, the ratio between private and public spending on human development is in most countries approximately 1:1. It is most important for developing countries to increase the overall level of human development spending. Needless to say, the creation of an enabling policy framework for private sector development would not only help unleash the capacity of people at large, as well as that of domestic entrepreneurs. It would also be critical to attracting foreign investors and the employment and income they could help generate, and thus open up new avenues for human development.

¹ The Hindu, 2003, 'Short Shrift to Social Sector', March 4; URL: <http://www.hinduonnet.com/thehindu/2003/03/04/stories/2003030400971000.htm>

² *ibid.*

³ HDRC Discussion Series Paper " Financing For Development"

GENDER AND HUMAN DEVELOPMENT

Time: Two hours

Learning Outcomes

Knowledge acquired through this module will allow the participants to:

- Discuss how the process of human development is incomplete without gender equality.
- State various forms of gender inequality
- Discuss the status of women in India and various plans and policies designed for achieving gender equality
- Explain the concept of Gender Budgeting

Until recently, it was assumed that development was gender-neutral – that both men and women could benefit equally from development, and that the benefits of development interventions spread evenly across society. This has now been shown to be a myth – the historical legacy of gender inequality in all societies across the world implies that there is no “level playing field”.

The UNDP 1995 Global Human Development Report attempted to capture gender inequalities through the Gender Related Development Index (GDI), which is essentially the HDI adjusted for gender inequalities, with a GDI of 1 reflecting an absolute equality in the respective attainments of men and women. This Report also introduced the Gender Empowerment Measure (GEM) – which is a measure of the extent to which men and women are able to actively participate in economic and political decision-making and in the professional/work arena. The GEM reflects the extent to which men and women can achieve and use their inherent capabilities to take advantage of development opportunities.

Human Development Report 1995 has highlighted that one of the defining movements of the 20th century has been the relentless struggle for gender equality, led mostly by women, but supported by growing numbers of men. When this struggle finally succeeds-as it must-it will mark a great milestone in human progress. And along the way it will change most of today’s premises for social, economic and political life. At the heart of this concept are three essential components:

- Equality of opportunity for all people in society.
- Sustainability of such opportunities from one generation to the next.
- Empowerment of people so that they participate in-and benefit from-development processes. Equal enjoyment of human rights by women and men is a universally accepted principle, reaffirmed by the Vienna declaration, adopted by 171 states at the World Conference on Human Rights in June 1993. It has many dimensions:
 - Equal access to basic social services, including education and health.
 - Equal opportunities for participation in political and economic decision-making.

- Equal reward for equal work.
- Equal protection under the law.
- Elimination of discrimination by gender and violence against women.
- Equal rights of citizens in all areas of life, both public-such as the workplace-and private-such as the home. The recognition of equal rights for women along with men, and the determination to combat discrimination on the basis of gender, are achievements equal in importance to the abolition of slavery, the elimination of colonialism and the establishment of equal rights for racial and ethnic minorities.

Human development, if not engendered, is endangered. That is the simple but far-reaching message of the HDR 1995.

Human development is a process of enlarging the choices for all people, not just for one part of society. Such a process becomes unjust and discriminatory if most women are excluded from its benefits. And the continuing exclusion of women from many economic and political opportunities is a continuing indictment of modern progress. For too long, it was assumed that development was a process that lifts all boats, that its benefits trickled down to all income classes-and that it was gender-neutral in its impact. Experience teaches otherwise. Wide income disparities and gender gaps stare us in the face in all societies. Moving towards gender equality is not a technocratic goal-it is a political process. It requires a new way of thinking-in which the stereotyping of women and men gives way to a new philosophy that regards all people, irrespective of gender, as essential agents of change.

The human development paradigm, which puts people at the centre of its concerns, must thus be fully engendered. Any such attempt would embrace at least the following three principles:

- Equality of rights between women and men must be enshrined as a fundamental principle. Legal, economic, political or cultural barriers that prevent the exercise of equal rights should be identified and removed through comprehensive policy reforms and strong affirmative action.
- Women must be regarded as agents and beneficiaries of change. Investing in women's capabilities and empowering them to exercise their choices is not only valuable in itself but is also the surest way to contribute to economic growth and overall development.
- The engendered development model, though aiming to widen choices for both women and men, should not predetermine how different cultures and different societies exercise these choices. What is important is that equal opportunities to make a choice exist for both women and men.

In no society do women enjoy the same opportunities as men

An innovation of the Human Development Report, 1995, the gender-related development index (GDI), reflects gender disparities in basic human capabilities-and ranks 130 countries on a global scale. The four top countries are in the Nordic belt-Sweden, Finland, Norway and Denmark, in that order. This is hardly surprising. These countries, much concerned with ending the relative deprivation of women, have

adopted gender equality and women's empowerment as conscious national policies. In these countries, adult literacy rates are similar for women and men, and combined enrolment is higher for females. Life expectancy is, on average, about seven years higher for women (compared with an estimated global biological edge of five years). And women's earned income is around three-fourths of men's income.

Dimensions of Gender inequality of selected countries is tabulated below:

Countries	Gender Development Index
Argentina	0.859
Brazil	0.789
Bangaldesh	0.524
Burundi	0.38
Cameroon	0.497
Chile	0.85
Colombia	0.787
China	0.765
Costa Rica	0.831
Ghana	0.528
United States	0.946
India	0.591
Indonesia	0.704
Malaysia	0.795
Sri Lanka	0.749
Thailand	0.781
Uganda	0.498
Venezuela	0.78
Zimbabwe	0.483

Source: Human Development Report 2006

Removing gender inequality has nothing to do with national income

Income is not the decisive factor. Several of the world's poor nations have been able to raise female literacy rates. With limited resources but a strong political commitment, China, Sri Lanka and Zimbabwe raised adult women's literacy to 70% or more. By contrast, several richer countries lag behind. The decision to invest in the education and health of people, irrespective of gender, seems to cut across income levels, political ideologies, cultures and stages of development.

In many cases, a strong political commitment has driven efforts to improve women's human development despite a shortage of resources. Countries applying socialist models, for example, used social and political mobilization to achieve rapid -and equal-progress in education and health for men and women and to engineer social transformations to expand opportunities for women. Comparing GDI ranks with the income levels of countries confirms that removing gender inequalities is not dependent on having a high income. China is ten GDI ranks above Saudi Arabia, even though its real per capita income is a fifth as high. Thailand outranks Spain in the GDI, even though Thailand's real per capita income is less than half of Spain's. Poland's GDI rank is 50 places higher than Syria's, even though the two countries have about the same real income. So, gender equality can be pursued -and it has been-at all levels of income. What it requires is a firm political commitment, not enormous financial wealth.

Every country has made progress in developing women's capabilities, but women and men still live in an unequal world

Gender gaps in education and health have narrowed rapidly in the past two decades, although the pace of this progress has been uneven between regions and countries.

Literacy female as percentage of Male is tabulated below:-

Countries	Female Literacy Rate as % of Male (2004)
Argentina	100
Brazil	100
Burundi	78
Cameroon	78
Chile	100
China	91
Costa Rica	100
Ghana	75
Guatemala	84
India	65
Indonesia	92
Malaysia	93
Sri Lanka	97
Thailand	95
Uganda	75
Venezuela	99

Source: Human Development Report 2006

While doors to education and health opportunities have opened rapidly for women, the doors to economic and political opportunities are barely ajar

Major forces in closing the gender gaps over the past two decades are higher female enrolments at all levels in developing countries-and rising women’s paid employment in industrial countries. But the opportunities open to women have remained limited. The Human Development Report 1995 marshals detailed evidence of the unequal access to opportunities. Some telling examples:

- Poverty has a woman’s face-of 1.3 billion people in poverty, 70% are women. The increasing poverty among women has been linked to their unequal situation in the labour market, their treatment under social welfare systems and their status and power in the family.
- Women’s labour force participation has risen insignificantly from 36% in 1970 to 40% in 1990. Compare that with a two-thirds increase in female adult literacy and school enrolment.

Women spent most of the time in non-market activity but men are actively involved in market activity.

Countries	Time Allocation			
	Time spent by women		Time spent by men	
	Market activities	Non market activities	Market activities	Non market activities
Bangladesh	35	65	70	30
Colombia (Urban)	24	76	77	23
India	35	65	92	8
Indonesia (Urban)	35	65	86	14
Kenya (Urban)	41	59	79	21
Kenya (Rural)	42	58	76	24
South Africa	35	65	70	30

Source: Human Development Report 2006

- Women receive a disproportionately small share of credit from formal banking institutions. They are assumed to have no collateral to offer-despite working much harder than men. For example, in Latin America and the Caribbean, women constitute only 7-11% of the beneficiaries of credit programmes.
- Women normally receive a much lower average wage than men, because they hold low-paying jobs or work in the informal sector and because they are sometimes paid less than men for equal work. The average female wage is only three-fourths of the male wage in the non-agricultural sector in 55 countries that have comparable data.
- All regions record a higher rate of unemployment among women than men.
- In developing countries, women still constitute less than a seventh of administrators and managers.
- Women still occupy only 10% of the parliamentary seats and only 6% of the cabinet positions.

- In 55 countries, there are either no women in parliament or fewer than 5%. These countries range from very poor (Bhutan and Ethiopia) to reasonably affluent (Greece, Kuwait, the Republic of Korea and Singapore). Despite considerable progress in developing women's capabilities, their participation in economic and political decision making remains very limited. The gender empowerment measure (GEM), looks at women's representation in parliaments, women's share of positions classified as managerial and professional, women's participation in the active labour force and their share of national income.

A major index of neglect is that many of women's economic contributions are grossly undervalued or not valued at all.

The undervaluation of women is reflected in the undervaluation of their work and in the absence of recognition of the contribution that they make. The debate therefore must cover equality of rewards as well as equality of opportunity. Data on time use by women and men for selected countries tell a dramatic story:

- Women work longer hours than men in nearly every country. Of the total burden of work, women carry on average 53% in developing countries and 51% in industrial countries.

	Total work time (minutes per day)		Female work time (% of male)
	Women	Men	
Bangladesh	545	496	110
Colombia (Urban)	399	356	112
India	457	330	117
Indonesia	398	366	109
Kenya (Urban)	590	572	103
Kenya (Rural)	676	500	135
South Africa	332	273	122

Source: Human Development Report 2006

- On average, about half of this total work time of both men and women is spent in economic activities in the market or in the subsistence sector. The other half is normally devoted to unpaid household or community activities.
- Of men's total work time in industrial countries, roughly two-thirds is spent in paid activities and one-third in unpaid activities. For women, the situation is the reverse. In developing countries, more than three-quarters of men's work is in market activities. So, men receive the lion's share of income and recognition for their economic contribution-while most of women's work remains unpaid, unrecognized and undervalued. With no economic value given to these activities, the contribution of women is seriously underestimated, and there is no adequate reward or

recognition for the burden of work that women carry. In fact, the failure to value most of their work reduces women to virtual non-entities in most economic transactions-such as property ownership or offering collateral for bank loans. Since status in contemporary society is so often equated with income-earning power, women suffer a major undervaluation of their economic status. But they carry a higher share of the total work burden. And men's work in the market-place is often the result of "joint production", not a solo effort, since much of it might not be possible if women did not stay at home looking after the children and household.

If women's unpaid work were properly valued, it is quite possible that women would emerge in most societies as the major breadwinners-or at least equal breadwinners- since they put in longer hours of work than men. The monetization of the non-market work of women is more than a question of justice. It concerns the economic status of women in society. If more human activities were seen as market transactions at the prevailing wages, they would yield gigantically large monetary valuations.

Another major element of discrimination is the unacceptably low status of women in society, with continuing legal discrimination and violence against women

The starkest reflection of the low status accorded to women is the discrimination against them in the law. In many countries, women still are not treated as equal to men-whether in property rights, rights of inheritance, laws related to marriage and divorce, or the rights to acquire nationality, manage property or seek employment.

- *The devaluation begins even before life begins.* In some countries, testing is used to determine the sex of the fetus which may be aborted if it is female.
- *It scars early life.* A third of the women in Barbados, Canada, the Netherlands, New Zealand, Norway and the United States report sexual abuse during childhood or adolescence. An estimated one million children, mostly girls in Asia, are forced into prostitution annually. And an estimated 100 million girls suffer genital mutilation.
- *It becomes a part of marriage.* Studies in Chile, Mexico, Papua New Guinea and the Republic of Korea indicate that two-thirds or more of married women have experienced domestic violence. In Germany, it is estimated that up to four million women a year suffer from domestic violence.
- *It is sometimes manifested in rape.* Studies from Canada, New Zealand, the United Kingdom and the United States suggest that about one woman in six is raped in her lifetime.
- *It may end in murder.* More than half of all murders of women in Bangladesh, Brazil, Kenya, Papua New Guinea and Thailand are committed by present or former partners.
- *Or in suicide.* Cross-cultural evidence from South America, several Melanesian islands and the United States established marital violence as a leading cause of female suicide. Although violence stalks women's lives, laws can do little unless present cultural and social values change.

The revolution towards gender equality must be propelled by a concrete strategy for accelerating progress

Engendering the development paradigm involves radical change in the long-standing premises for social, economic and political life.

1. *National and international efforts must be mobilized to win legal equality within a defined period-say, the next ten years.* To achieve this objective, the international community will need to move on several fronts:
2. *Many economic and institutional arrangements may need revamping to extend more choices to women and men in the work-place.* For example: ENCOURAGING MEN TO PARTICIPATE IN FAMILY CARE.
3. *Key programmes should embrace universal female education, improved reproductive health and more credit for women.* These programmes can make a decisive difference in enabling women to gain more equitable access to economic and political opportunities.

Analysis of experience shows that in three critical areas-access to education, reproductive health and credit resources women face barriers that can be overcome only through determined policy action.

4. *National and international efforts should target programmes that enable people, particularly women, to gain greater access to economic and political opportunities.* REPRODUCTIVE HEALTH CARE, CREDIT FOR POOR PEOPLE, SUSTAINABLE LIVELIHOOD FOR ALL, Remunerative employment opportunities are the key to the attack on poverty. But not all of them need to be in the formal, organized sectors of the economy. What is essential is to encourage self-employment schemes, microenterprises and opportunities for the poor to enter the market TARGETED PROGRAMMES FOR POVERTY REDUCTION, CAPACITY BUILDING AND EMPOWERMENT.

From the perspective of human development, gender inequality has adverse impacts at two levels. Longevity and education are important human capabilities and critical constituents of well-being. Reduced achievements for women in these areas is intrinsically problematic.

Gender inequalities can also have instrumental impacts through creating constraints in the achievement of a number of development goals. For example, studies have shown that gender inequality in education and access to resources may hamper the process of reduction of child mortality and lowering of fertility, which in turn impacts the expansion of education for the next generation. Gender inequality also has a negative impact on economic growth. There is now overwhelming evidence that countries that adopt specific measures to protect women's rights and increase their access to resources and schooling have less corruption and achieve faster economic growth than countries that do not.

Dimensions of Gender Inequality

Inequality between women and men can take very many different forms, and incorporates a large range of interlinked problems. Amartya Sen (2001)* provides examples of different kinds of inequalities.

- a. Mortality inequality:** In some regions in the world, inequality between women and men directly involves matters of life and death, and takes the brutal form of unusually high mortality rates of women and a consequent preponderance of men in the total population, as opposed to the preponderance of women found in societies with little or no gender bias in health care and nutrition. Mortality inequality has been observed extensively in North Africa and in Asia, including China and South Asia.
- b. Natality inequality:** Given that many male-dominated societies have a preference for boys over girls, gender inequality can manifest itself in the form of the parents' wanting the new born to be a boy rather than a girl. There was a time when this could be no more than a wish (a daydream or a nightmare, depending on one's perspective), but with the availability of modern techniques to determine the gender of the fetus, sex-selective abortion has become common in many countries. It is particularly prevalent in East Asia, in China and South Korea in particular, but also in Singapore and Taiwan, and has emerged as a statistically significant phenomenon in India and South Asia as well.
- c. Basic facility inequality:** Even when demographic characteristics do not show much or any anti-female bias, there are other ways in which women can have less than a square deal. There are many countries in Asia and Africa, and also in Latin America, where girls have far less opportunity of schooling than boys do. There are other deficiencies in basic facilities available to women, varying from encouragement to cultivate one's natural talents to fair participation in rewarding social functions of the community.
- d. Special opportunity inequality:** Even when there is relatively little difference in basic facilities including schooling, the opportunities of higher education may be far fewer for young women than for young men. Indeed, gender bias in higher education and professional training can be observed even in some of the richest countries in the world, in Europe and North America.
- e. Professional inequality:** In terms of employment as well as promotion in work and occupation, women often face greater handicap than men. A country like Japan may be quite egalitarian in matters of demography or basic facilities, and even, to a great extent, in higher education, and yet progress to elevated levels of employment and occupation seems to be much more problematic for women than for men.
- f. Ownership inequality:** In many societies the ownership of property can also be very unequal. Even basic assets such as homes and land may be very asymmetrically shared. The absence of claims to property cannot only reduce the voice of women, but also make it harder for women to enter and flourish in commercial, economic and even some social activities. This type of inequality has existed in most parts of the world, though there are also local variations. For example, even though traditional property rights have favoured men in the bulk of India, in what is now the state of Kerala, there has been, for a long time, matrilineal inheritance was followed until 1974 by the Nair community.

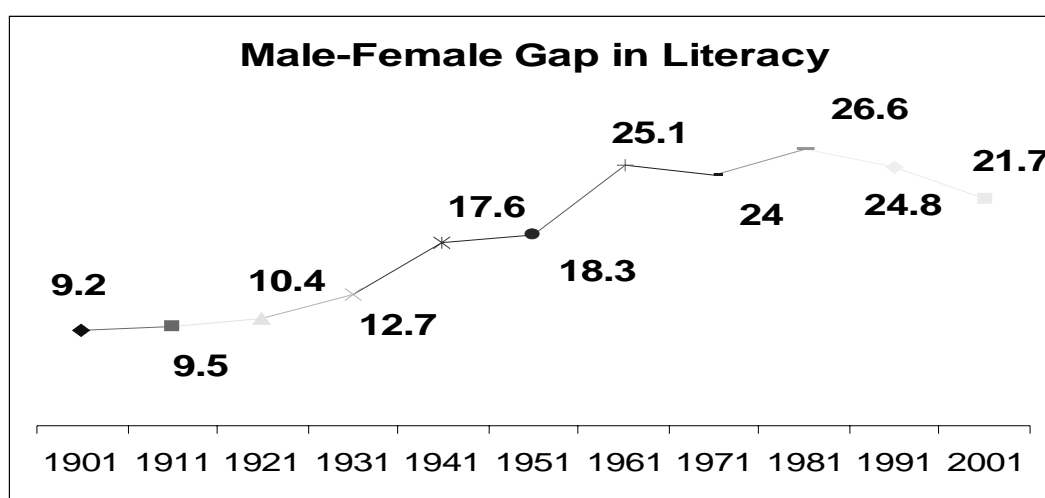
* The Many Faces of Gender Inequality, The Frontline, India, November 9, 2001.

g. Household inequality: Basic inequalities in gender relations within the family or the household, which can take many different forms. Even in cases in which there are no overt signs of anti-female bias like differential survival, son-preference or biases in access to education, family arrangements can be quite unequal in terms of sharing the burden of housework and child care. For example, it is quite common in many societies including India to take it for granted that while men will naturally work outside the home, women could do it if and only if they could combine it with various inescapable and unequally shared household duties. This is sometimes called “division of labour,” though women could be forgiven for seeing it as “accumulation of labour.” The reach of this inequality includes not only unequal relations within the family, but also derivative inequalities in employment and recognition in the outside world. Also, the established fixity of this type of “division” or “accumulation” of labour can also have far-reaching effects on the knowledge and understanding of different types of work in professional circles.

Gender equality and women’s status in India

According to the latest global HDR 2005, Indian ranks 98 among 140 countries with a GDI value of 0.586. GEM is not computed for India because of unavailability of data.

This may seem surprising, because India is among the few developing countries where gender equality and improvement in the status of women are specifically stated to be central goals of development and social policy. This commitment is buttressed by explicit Constitutional mandates that reflect a substantive understanding of the various dimensions of freedom and equality for women. The Constitution also clarifies that affirmative action programmes for women are not incompatible with the principle of non-discrimination on the grounds of sex. Figure shows the male-female gap in literacy in India since 1901. It is revealed that male-female gap in literacy has increased from 9.2 percent in 1901 to 26.6 percent in 1981 with a small decline in 1971. During this period both male and female literacy has increased but the growth rate for female literacy was lower. Since 1980s specified thrust has been put on Gender issues globally. As a result in India women’s issues have got importance.



CONSTITUTIONAL GUARANTEES

- Equality before the law. **Article 14**
- No discrimination by the State on the grounds only of religion, race, caste, sex, place of birth or any of these. **Article 15(1)**
- Special provisions to be made by the State in favour of women and children. **Article 15(3)**
- Equality of opportunity for all citizens in matters relating to employment or appointment to any office under the State. **Article 16**
- State policy to be directed to securing for men and women equally, the right to an adequate means of livelihood. **Article 39(a)**
- Equal pay for equal work for both men and women. **Article 39(d)**
- Provisions to be made by the State for securing just and humane conditions of work and for maternity relief. **Article 42**
- To promote harmony and to renounce practices derogatory to the dignity of women. **Article 51(A)(e)**

Despite these enabling factors, gender inequality continues to be one of the defining features of Indian society. Women lag behind men in most of the critical indicators of human development, and poverty in India increasingly wears a female face. Women's subordinate status is reflected in almost every sphere.

- a. Life expectancy is a basic measure traditionally used as a proxy for capturing the social position of women. Although the life expectancy of women has improved at a faster rate than for men being 61.4 years for women and 60.1 years for men in 1999. This is still below the international norm which is
- b. Sex ratio (number of females per number of males in the population) is also a good indicator of the social position of women. Although the aggregate sex ratio for all ages improved between 1991 and 2001, it was lower in 2001 than the level in 1981, indicating a long-term trend. Census 2001 has also underlined the fact that the decline in sex ratio in the 0-6 age cohort has been continuous and substantial. Amongst the most probable causes for this disturbing trend are sex-selective abortions of female foetuses, combined with systematic neglect of infant girls, leading to lower rates of survival. There are substantial variations in sex ratios across States, but it is significant that these appear to be unrelated to per capita incomes or levels of development.
- c. Death rates during the first five years of life also show very significant gender differentials. In 1998-99, the child mortality rate for rural boys was 27.9 per thousand, while that for rural girls was one-and-a-half times higher at 41.7¹.

¹ Data from the Registrar-General of India, Sample Registration Surveys.

- d. The average Indian woman bears her first child before she is 22 years old, and has little control over her own fertility and health. Maternal mortality for the country as a whole was estimated at 580 per 100,000 live births in the early 1990s². A significant number of maternal deaths are caused by anaemia. The majority of women in India go through life in a condition of nutritional stress, eating last and least.
- e. Gender disparities in nutrition remain significant and have probably even widened over time. Estimates by the National Nutrition Monitoring Bureau³ indicate that the proportion of men defined as “Chronically Energy Deficient” in terms of Body Mass Index declined to nearly half (from 55.6 per cent in 1975-79 to 28.6 per cent) in 1995-96, while the decline among women was significantly less (from 51.8 per cent to 36.2 per cent) over the same period. While the All-India average intake of calories is substantially below the recommended dietary allowance for both men and women, the largest deficits are in the case of pregnant and lactating mothers.
- f. Gender disparity in nutrition is marked among children. Numerous micro studies have indicated that deep-rooted gender bias can be expressed even by mothers, through differential patterns of breast-feeding and food distribution, reflected in differential rates of malnutrition for girls and boys.
- g. India is still home to the largest illiterate female population in the world. Only 50 per cent of Indian women are literate, compared to 65.5 per cent men. There is substantial evidence to show that even when girls are formally enrolled in schools, they often do not attend regularly for a variety of reasons, including their involvement in unpaid work in the home. Similarly, dropout rates tend to be much higher for girls than for boys.
- h. Most women workers in India are engaged in agriculture, where livelihoods have become insecure and wages are low, with a significant gender wage gap. Women’s work is “invisible” and unrecognized socially and in public policy. The definition of economic activity used by both the Census and the National Sample Survey is quite restrictive. Even though Census 2001 recorded women’s involvement in some household enterprises such as farm activities, small-scale artisan production or transacted service provision, it still does not include the full spectrum of economic activities defined in the UN System of National Accounts. The National System of Accounts therefore excludes a significant amount of unpaid or non-marketed labour within the household, including the processing of primary produce for own consumption, basic domestic handicraft production, services such as cleaning, childcare and care of the sick and elderly. This contributes to an underestimation of economic activity within the household and work participation rates, especially of women.
- i. Women are under-represented in governance and decision-making positions. At present, less than 8% of Parliamentary seats, less than 6% Cabinet positions, less than 4% of seats in High Courts and the Supreme Court, are occupied by women. Less than 3% of administrators and managers are women.

² P. N. Bhat, Mari K. Navaneetham and S. Irudaya Rajan “Maternal mortality in India: Estimates from a regression model”, in *Studies in Family Planning*, 1995.

³ Quoted in Chandrasekhar, CP and Jayati Ghosh, “Women in India: A Status Report”. *Hindu Business Line*, 3 September 2002.

- j. Women are legally discriminated against in land and property rights. Most women do not own any property in their own names, and do not get a share of parental property. While women are guaranteed equality under the Constitution, legal protection has little effect in the face of prevailing patriarchal traditions. Women lack power to decide whom they will marry, and are often married off as children. They are also unable to exercise their reproductive rights. Legal loopholes are used to deny women their right to inherit family property.
- k. Women face violence inside and outside the family throughout their lives. Police records show that a woman is molested in the country every 26 minutes. A rape occurs every 34 minutes. Every 42 minutes, an incident of sexual harassment takes place. Every 43 minutes, a woman is kidnapped. Every 93 minutes, a woman is killed⁴.

Inter State Gender disparities

The First National Human Development Report of India prepared by the Planning Commission presented the Gender Disparity Index for two time points –1981 and 1991. In the 80s, GDI was highest for Kerala, followed by Manipur, Meghalaya, Himachal Pradesh and Nagaland. The situation changed in the 90s, with Himachal Pradesh at one end of the spectrum with a GDI value of 0.858, and Bihar at the other end with a GDI value of 0.469.

EXERCISE IN STATE-WISE GROUPS – TIME 20 MINUTES

Analysing the causes and consequences of gender inequality

Provide participants with copies of the State-wise figures and tables from the National Human Development Report, 2002.

Step One. Ask the group to identify the main manifestations of gender inequality in their own State, based on the data and on their own experience of the situation at the local level, and classify them on the basis of Sen's framework. Assign 20 minutes for this task.

Step Two. Ask the group to identify the major causes behind each of the manifestations of gender inequality identified by them, and to trace the interlinkages between them. Assign 30 minutes for the task. Ask groups to present their findings in a diagrammatic form on flip-charts.

The Report concludes that in general, women were better off in Southern India than in the Indo-Gangetic plain, comprising mainly the States of Bihar and UP. States that have done well on improving their female literacy levels were also the ones that have substantially improved gender equality.

The table given below provides data for some human development indicators. The differences in the quality of life enjoyed by women in different States is striking.

⁴ Menon-Sen, K and A.K.Shiva Kumar. 2000. "Women in India: How Free? How Equal?" UN System in India.

Indicator	Best State	Worst State
Life expectancy at birth (1992-96)	Kerala 75.8 yrs	Orissa 56.6 yrs
Infant mortality Rate (2001)	Kerala 16 per thousand live births	Orissa 98 per thousand live births
Maternal Mortality Rate	Gujarat 28 per 100,000 live births	UP 707 per 100,000 live births
Sex Ratio (0-6)	Sikkim 986 per 1000 males	Punjab 793 per 1000 males
Women with any anaemia	Kerala 22.7 %	Assam 69.0 %
Total Fertility Rate	Goa 1.5 %	Rajasthan 4.2 %
Literacy Rate	Kerala 87.86 %	Bihar 33.57 %
Rural females Workforce Participation Rate	AP 478 per 1000 workers	Assam 151 per 1000 workers

Source: Planning Commission, National Human Development Report, 2001

National Plans and Policies

Awareness of the above situation, and a determination to address it through focused policy measures, are features of each of the National Five-Year Plans.

The current Eleventh Plan document identifies malnutrition, poor health, lack of education, overwork, violence and systemic powerlessness as markers of the life-long discrimination faced by women in India. The Eleventh Plan represents a distinct advance from earlier plans, in terms of articulating a strong and time-bound platform for action on gender equality. Key strategies are:

- **Creating an enabling environment through positive economic and social policies**, for the development of women and the realisation of their full potential;
- **Enabling the *de jure* and *de facto* enjoyment of all human rights and fundamental freedoms** by women on par with men in the spheres of political, economic, social, cultural and civil rights;
- **Ensuring equal access** of women to public services, public office and decision-making in the social, political and economic spheres;
- **Strengthening legal systems** aimed at the elimination of all forms of discrimination against women;

- **Changing societal attitudes** and community practices through the active participation and involvement of both men and women;
- **Mainstreaming a gender perspective** into the development process by setting up Gender Resource Centres in State Governments.
- **Eliminating discrimination and all forms of violence** against women and the girl child;
- **Building and strengthening partnerships with civil society**, particularly women's organisations, corporate and private sector agencies.

India has also ratified various international conventions and human rights instruments committing to secure equal rights of women. Key among them is the ratification of the Convention on Elimination of All Forms of Discrimination Against Women (CEDAW) in 1993. The Mexico Plan of Action (1975), the Nairobi Forward Looking Strategies (1985), the Beijing Declaration as well as the Platform for Action (1995) and the Outcome Document adopted by the UNGA Session on Gender Equality and Development & Peace for the 21st century, titled "Further actions and initiatives to implement the Beijing Declaration and the Platform for Action" have been unreservedly endorsed by India for appropriate follow up.

The National Policy for the Empowerment of Women adopts a sector-specific three-fold strategy of social empowerment, economic empowerment and gender justice for the empowerment of women.

a. Social Empowerment - creating an enabling environment through various affirmative developmental policies and programmes for development of women besides providing them easy and equal access to all the basic minimum services so as to enable them to realize their full potential.

b. Economic Empowerment - ensuring provision of training, employment and income-generation activities with both 'forward' and 'backward' linkages with the ultimate objective of making all potential women economically independent and self-reliant; and

c. Gender Justice – elimination of all forms of gender discrimination to ensure both de jure and de facto rights and fundamental freedoms for women on par with men in all spheres.

Gender Budgeting

Gender Budgeting, as we all know, does not imply a separate budget for women per se, and in fact, it is an exercise of analyzing the general budget from a gender perspective. Thus, the major objective of gender budgeting is to improve the analysis of the budget in terms of more effective targeting of public expenditure and revenue towards women and to offset any undesirable gender specific consequences of previous budgetary measures. It is therefore an enabling process to allow women to enjoy their rightful share in the socio-economic development of the country. A meaningful gender budgeting exercise can happen only when our official accounting methods explicitly capture the gender dimensions of our expenditure patterns. In other words, gender budgets must be rooted in hard data generated by the delivery system and not on any a-priori assumptions or rules of thumb. The alternative is to make specific allocations for women-

centric programmes and assume that all other expenditures would go primarily to men. This approach no doubt has validity as a transitional arrangement, and our women's component plan rightly falls into this category. Over the longer term, however, this approach runs counter to our basic objective of mainstreaming the gender dimension in government programmes. Mainstreaming the gender dimension in Government programmes does not mean making them less gender sensitive. This underlines the importance of collection and flow of the necessary data related to the impact of the programme. Such information will have two significant benefits. First, it would enable us to formulate budgets on the basis of realistic ratios regarding the flow of benefits. Second, and more importantly, it would enable us to assess the degree of gender bias in each programme. This would be extremely valuable for redesigning the guidelines and modalities of implementation to make our various programmes more gender sensitive.

Gender Budget Initiatives or Gender Responsive Budgets are tools and processes designed to facilitate a gender analysis in the formulation of government budgets and the allocation of resources. Gender budgets are not separate budgets for women, or for men. They are attempts to break down or disaggregate the government's mainstream budget according to its impacts on women and men. The way in which national budgets are usually formulated ignores the different, socially determined roles, responsibilities and capabilities of men and women. Budgets formed from a gender-neutral perspective ignore the different impacts on men and women because their roles, responsibilities and capacities in any society are never the same. These differences are generally structured in a way that leaves women at a disadvantage in society by creating inequality gaps. Therefore they are an important tool for analysing the gap between expressed commitments by governments and the decision-making processes involved in how governments raise and spend money. Gender responsive budgets can contribute to narrowing such gaps. Progress towards gender equality is slow, and this is in part due to the failure to attach money to policy commitments. Overall research shows that not enough attention is given to the impact of allocated resources and this serves to perpetuate gender biases, although budgets offer the potential to transform gender inequalities. Good policy requires understanding both the impact of policy and how it might be better designed to achieve outcomes which meet the needs of women, men, and girls and boys as well as different groups of women, men and children. There is no single approach or model of a gender sensitive budget exercise.

Why is it important? Evidence suggests that the economic gains of gender equality lead to increased output and better development of people's capacities. Women's economic empowerment could provide the possibility for all countries to have some combination of increased productivity, less stress and better overall health. Looking at the direct and indirect impacts of government budgets forces re-evaluation of the long held assumption that government budgets and economic policies are generally "gender neutral". The ultimate aim is to mainstream gender budget initiatives into public policy. Research has demonstrated that education for girls is one of the most effective ways of reducing poverty and that failure to invest in female education lowers the gross national product. Where has it been done? Australia was the first country to develop a gender sensitive budget with the Federal Government publishing in 1984. In South Africa, parliamentarians together with nongovernmental organisations, started working on gender sensitive analysis of budgets in 1995. The South African Government later followed in 1997 by doing a gender-sensitive

budget analysis. Many other countries both in the Commonwealth and in developing countries throughout the world have joined these two in undertaking these budget exercises.

In India, gender perspective on public expenditure had been gaining ground since the publication of the report of the Committee on the Status of Women in 1974. The Eighth Five Year Plan (1992-97) highlighted for the first time the need to ensure a definite flow of funds from the general developmental sectors to women. The Plan document made an express statement that "...the benefits of development from different sectors should not by pass women and special programmes on women should complement the general development programmes. The latter, in turn, should reflect greater gender sensitivity". This approach, however, could not make much dent in ensuring adequate flow of funds and benefits to women.

The Ninth Five Year Plan (1997-2002), while reaffirming the earlier commitment adopted Women Component Plan as one of the major strategies and directed both the Central and the State Governments to ensure "not less than 30 per cent of the funds/benefits are earmarked in all the women's related sectors". It also directed that a special vigil be kept on the flow of the earmarked funds/benefits through an effective mechanism to ensure that the proposed strategy brings forth a holistic approach towards empowering women.

One of the major constraints in the gender analysis of public expenditure had been the non availability of gender disaggregated data at the State and district level and therefore the Department took the initiative of generating such data across the country on 18 different indicators. The National Policy for Empowerment of Women made a commitment that Gender Development Indices shall be developed by networking with specialised agencies.

The gender budgeting initiative in India started in July 2000 when a Workshop on 'Engendering National Budgets in the South Asia Region' was held in New Delhi in collaboration with the UNIFEM, in which Government representatives, UN agencies, media, NGOs, research institutions, civil society and members of the Planning Commission in the South Asia region participated. Noted gender auditing professional Professor Diane Elson made a presentation and shared her experiences on gender budgeting through an interactive session. National Institute of Public Finance and Policy (NIPF&P) was commissioned to study Gender Related Economic Policy Issues, which included gender segregation of relevant macro data, quantification of contribution of women in economy, assessment of impact of Government Budget on women, the role women can play in improving institutional framework for delivery of public services and the policy alternatives for building a gender sensitive national budgeting process.

Annexure

The gender-related development index (GDI)

While the HDI measures average achievement, the GDI adjusts the average achievement to reflect the inequalities between men and women in the following dimensions:

- A long and healthy life, as measured by life expectancy at birth.
- Knowledge, as measured by the adult literacy rate and the combined primary, secondary and tertiary gross enrolment ratio.
- A decent standard of living, as measured by estimated earned income (PPP US\$).

The calculation of the GDI involves three steps. First, female and male indices in each dimension are calculated according to this general formula:

$$\text{Dimension index} = \frac{\text{actual value} - \text{minimum value}}{\text{maximum value} - \text{minimum value}}$$

Second, the female and male indices in each dimension are combined in a way that penalizes differences in achievement between men and women. The resulting index, referred to as the equally distributed index, is calculated according to this general formula:

$$\begin{aligned} \text{Equally distributed index} \\ = & \left[\text{female population share} (\text{female index})^{\epsilon} \right] \\ & + \left[\text{male population share} (\text{male index})^{\epsilon} \right]^{\frac{1}{\epsilon}} \end{aligned}$$

ϵ measures the aversion to inequality. In the GDI $\epsilon = 2$. Thus the general equation becomes:

$$\begin{aligned} \text{Equally distributed index} \\ = & \left[\text{female population share} (\text{female index})^2 \right] \\ & + \left[\text{male population share} (\text{male index})^2 \right]^{\frac{1}{2}} \end{aligned}$$

which gives the harmonic mean of the female and male indices.

Third, the GDI is calculated by combining the three equally distributed indices in an unweighted average.

Goalposts for calculating the GDI

Indicator	Maximum value	Minimum value
Female life expectancy at birth (years)	87.5	27.5
Male life expectancy at birth (years)	82.5	22.5
Adult literacy rate (%)	100	0
Combined gross enrolment ratio (%)	100	0
Estimated earned income (PPP US\$)	40,000	100

Note: The maximum and minimum values (goalposts) for life expectancy are the years higher for women to take into account their longer life expectancy.

Calculating the GDI

This illustration of the calculation of the GDI uses data for Brazil.

1. Calculating the equally distributed life expectancy index

The first step is to calculate separate indices for female and male achievements in life expectancy, using the general formula for dimension indices.

FEMALE	MALE
Life expectancy: 74.6 years	Life expectancy: 66.6 years
Life expectancy index = $\frac{74.6 - 27.5}{87.5 - 27.5} = 0.785$	Life expectancy index = $\frac{66.6 - 22.5}{82.5 - 22.5} = 0.735$

Next, the female and male indices are combined to create the equally distributed life expectancy index, using the general formula for equally distributed indices.

FEMALE	MALE
Population share: 0.507	Population share: 0.493
Life expectancy index: 0.785	Life expectancy index: 0.735
Equally distributed life expectancy index = $\left[(0.507 (0.785)^2) + (0.493 (0.735)^2) \right]^{\frac{1}{2}} = 0.760$	

2. Calculating the equally distributed education index

First, indices for the adult literacy rate and the combined primary, secondary and tertiary gross enrolment ratio are calculated separately for females and males. Calculating these indices is straightforward, since the indicators used are already normalised between 0 and 100.

FEMALE	MALE
Adult literacy rate: 88.6%	Adult literacy rate: 88.3%
Adult literacy index: 0.886	Adult literacy index: 0.883
Gross enrolment ratio: 92.7%	Gross enrolment ratio: 88.5%
Gross enrolment index: 0.927	Gross enrolment index: 0.885

Second, the education index, which gives two-thirds weight to the adult literacy index and one-third weight to the gross enrolment index, is computed separately for females and males.

$$\begin{aligned} \text{Education index} &= 2/3 (\text{adult literacy index}) + 1/3 (\text{gross enrolment index}) \\ \text{Female education index} &= 2/3 (0.886) + 1/3 (0.927) = 0.899 \\ \text{Male education index} &= 2/3 (0.883) + 1/3 (0.885) = 0.884 \end{aligned}$$

Finally, the female and male education indices are combined to create the equally distributed education index.

FEMALE	MALE
Population share: 0.507	Population share: 0.493
Education index: 0.899	Education index: 0.884
Equally distributed education index = $\left[(0.507 (0.899)^2) + (0.493 (0.884)^2) \right]^{\frac{1}{2}} = 0.892$	

3. Calculating the equally distributed income index

First, female and male earned income (PPP US\$) are estimated (for details on this calculation, see the addendum to this technical note). Then the income index is calculated for each gender. As for the HDI, income is adjusted by taking the logarithm of estimated earned income (PPP US\$).

$$\text{Income index} = \frac{\log(\text{actual value}) - \log(\text{minimum value})}{\log(\text{maximum value}) - \log(\text{minimum value})}$$

FEMALE	MALE
Estimated earned income (PPP US\$): 4,704	Estimated earned income (PPP US\$): 10,963
Income index = $\frac{\log(4,704) - \log(100)}{\log(40,000) - \log(100)} = 0.643$	Income index = $\frac{\log(10,963) - \log(100)}{\log(40,000) - \log(100)} = 0.784$

Calculating the GDI continues on next page

Calculating the GDI (continued)

Second, the female and male income indices are combined to create the equally distributed income index:

FEMALE

Population share: 0.507

Income index: 0.643

MALE

Population share: 0.493

Income index: 0.784

$$\text{Equally distributed income index} = \{[0.507 (0.643^{-1})] + [0.493 (0.784^{-1})]\}^{-1} = 0.706$$

4. Calculating the GDI

Calculating the GDI is straightforward. It is simply the unweighted average of the three component indices—the equally distributed life expectancy index, the equally distributed education index and the equally distributed income index.

$$\begin{aligned} \text{GDI} &= 1/3 (\text{life expectancy index}) + 1/3 (\text{education index}) + 1/3 (\text{income index}) \\ &= 1/3 (0.760) + 1/3 (0.892) + 1/3 (0.706) = 0.786 \end{aligned}$$

Why $\epsilon = 2$ in calculating the GDI

The value of ϵ is the size of the penalty for gender inequality. The larger the value, the more heavily a society is penalized for having inequalities.

If $\epsilon = 0$, gender inequality is not penalized (in this case the GDI would have the same value as the HDI). As ϵ increases towards infinity, more and more weight is given to the lesser achieving group.

The value 2 is used in calculating the GDI (as well as the GEM). This value places a moderate penalty on gender inequality in achievement.

For a detailed analysis of the GDI's mathematical formulation, see Sudhir Anand and Amartya Sen's "Gender Inequality in Human Development: Theories and Measurement," Kalpana Bardhan and Stephan Klasen's "UNDP's Gender-Related Indices: A Critical Review" and the technical notes in *Human Development Report 1995* and *Human Development Report 1999* (see the list of selected readings at the end of this technical note).

The gender empowerment measure (GEM)

Focusing on women's opportunities rather than their capabilities, the GEM captures gender inequality in three key areas:

- Political participation and decision-making power, as measured by women's and men's percentage shares of parliamentary seats.
- Economic participation and decision-making power, as measured by two indicators—women's and men's percentage shares of positions as legislators, senior officials and managers and women's and men's percentage shares of professional and technical positions.
- Power over economic resources, as measured by women's and men's estimated earned income (PPP US\$).

For each of these three dimensions, an equally distributed equivalent percentage (EDEP) is calculated, as a population-weighted average, according to the following general formula:

$$\text{EDEP} = \left[\frac{\text{female population share} (\text{female index})^{-\epsilon}}{\text{female population share} (\text{female index})^{-\epsilon} + \text{male population share} (\text{male index})^{-\epsilon}} \right]^{-1/\epsilon}$$

ϵ measures the aversion to inequality. In the GEM (as in the GDI) $\epsilon = 2$, which places a moderate penalty on inequality. The formula is thus:

$$\text{EDEP} = \left[\frac{\text{female population share} (\text{female index})^2}{\text{female population share} (\text{female index})^2 + \text{male population share} (\text{male index})^2} \right]^{-1/2}$$

For political and economic participation and decision-making, the EDEP is then indexed by dividing it by 50. The rationale for this indexing: in an ideal society, with equal empowerment of the sexes, the GEM variables would equal 50%—that is, women's share would equal men's share for each variable.

Where a male or female index value is zero, the EDEP according to the above formula is not defined. However, the limit of EDEP, when the index tends towards zero, is zero. Accordingly, in these cases the value of the EDEP is set to zero.

Finally, the GEM is calculated as a simple average of the three indexed EDEPs.

Calculating the GEM

This illustration of the calculation of the GEM uses data for Denmark.

1. Calculating the EDEP for parliamentary representation

The EDEP for parliamentary representation measures the relative empowerment of women in terms of their political participation. The EDEP is calculated using the female and male shares of the population and female and male percentage shares of parliamentary seats according to the general formula.

FEMALE	MALE
Population share: 0.505	Population share: 0.495
Parliamentary share: 36.9%	Parliamentary share: 63.1%

$$\text{EDEP for parliamentary representation} = \left[\frac{0.505 (36.9)^{-2}}{0.505 (36.9)^{-2} + 0.495 (63.1)^{-2}} \right]^{-1} = 46.42$$

Then this initial EDEP is indexed to an ideal value of 50%.

$$\text{Indexed EDEP for parliamentary representation} = \frac{46.42}{50} = 0.928$$

2. Calculating the EDEP for economic participation

Using the general formula, an EDEP is calculated for women's and men's percentage shares of positions as legislators, senior officials and managers, and another for women's and men's percentage shares of professional and technical positions. The simple average of the two measures gives the EDEP for economic participation.

FEMALE	MALE
Population share: 0.505	Population share: 0.495
Percentage share of positions as legislators, senior officials and managers: 26.2%	Percentage share of positions as legislators, senior officials and managers: 73.8%
Percentage share of professional and technical positions: 51.0%	Percentage share of professional and technical positions: 49.0%

$$\text{EDEP for positions as legislators, senior officials and managers} = \left[\frac{0.505 (26.2)^{-2}}{0.505 (26.2)^{-2} + 0.495 (73.8)^{-2}} \right]^{-1} = 38.48$$

$$\text{Indexed EDEP for positions as legislators, senior officials and managers} = \frac{38.48}{50} = 0.770$$

$$\text{EDEP for professional and technical positions} = \left[\frac{0.505 (51.0)^{-2}}{0.505 (51.0)^{-2} + 0.495 (49.0)^{-2}} \right]^{-1} = 49.99$$

$$\text{Indexed EDEP for professional and technical positions} = \frac{49.99}{50} = 1.00$$

The two indexed EDEPs are averaged to create the EDEP for economic participation:

$$\text{EDEP for economic participation} = \frac{0.770 + 1.00}{2} = 0.885$$

3. Calculating the EDEP for income

Earned income (PPP US\$) is estimated for women and men separately and then indexed to goalsposts as for the HDI and the GDI. For the GEM, however, the income index is based on unadjusted values, not the logarithm of estimated earned income. (For details on the estimation of earned income for men and women, see the addendum to this technical note.)

FEMALE	MALE
Population share: 0.505	Population share: 0.495
Estimated earned income (PPP US\$): 26,587	Estimated earned income (PPP US\$): 36,430
Income index = $\frac{26,519 - 100}{40,000 - 100} = 0.663$	Income index = $\frac{36,390 - 100}{40,000 - 100} = 0.910$

The female and male indices are then combined to create the equally distributed index:

$$\text{EDEP for income} = \left[\frac{0.505 (0.663)^{-2}}{0.505 (0.663)^{-2} + 0.495 (0.910)^{-2}} \right]^{-1} = 0.766$$

4. Calculating the GEM

Once the EDEP has been calculated for the three dimensions of the GEM, determining the GEM is straightforward. It is a simple average of the three EDEP indices.

$$\text{GEM} = \frac{0.928 + 0.885 + 0.766}{3} = 0.859$$

PEOPLE'S PARTICIPATION FOR HUMAN DEVELOPMENT**CASE****Beyond PRA: experiments in facilitating local action in water management****Wouter Schaap and Snehangshu Sekhar Nandi**

As a tool both for research and for structuring community-level interaction, Participatory Rural Appraisal (PRA) is now well embedded in development practice. This paper, however, argues that in order to play an enabling role towards community action, facilitators need to offer much more than the traditional PRA approach. Based on work with groups of women and of men in North Bengal, the paper describes how local politics and facilitators' strategies interact and complicate the use of PRA-like planning approaches. The article stresses the need for effective and long-term facilitation strategies that take into account organisational, methodological, and contextual considerations, and argues that organisations need to invest far more in ensuring the quality of facilitators than is generally the case.

Background

The last 25 years have seen a remarkable shift in academic thinking on rural development from working for to working with the rural poor. Alongside this shift, those working in the water sector have stressed the need for an integrated perspective, emphasising that water is required for a variety of local needs and that a successful intervention depends upon taking its political, social, economic, and technical dimensions into account. Increasingly, efforts are being made to enable local people, institutions at various levels, and external interventions to work together in practical and efficient ways that actually strengthen the role of the water users. Within this context, various methodologies are seen as practical and engaging means to work with communities and structure the process of interaction. The family of participatory methods, of which Participatory Rural Appraisal (PRA) is a prominent member, emerged in the 1980s from dissatisfaction with 'technology transfer' - type models based on the idea that technologies are designed by scientists and can be transferred to farmers by extension workers (Schot 1999). PRA was based on a philosophy that rejected linear, positivistic, 'technology transfer' models, viewing reality as complex, continually changing, and open to different interpretations (Schot 1999; Chambers 1997). It therefore emphasised the need for systems of learning and action that can 'seek the multiple perspectives of the various interested parties and encourage their greater involvement' (Pretty 1995). PRA and other qualitative tools have since proved their value in research and development interventions. Yet, in the day-to-day reality of implementing projects, PRA is often used in ways that are closer to the 'old' linear models than one might like to acknowledge. Much of this has to do with the quality of facilitation, the lack of long-term commitment to strengthening community groups, and the limitations of the tools and approaches used. Many of these issues are by now familiar and uncontroversial for anyone who has experienced PRA at the local level, but they have not yet been sufficiently reflected in changes in the overall strategies of PRA-based interventions at project or organisational level. Much can be gained from linking PRA approaches with broader reflections on group dynamics.¹ In this paper we use a case study from planning exercises with local groups conducted in the Indian state of West Bengal. This will illustrate the importance of finding a balanced and locally specific facilitation strategy through a process of intensive experimentation, reflection, and training of facilitators. Below, we identify three broad categories of concerns that deserve increased attention in planning PRA-based interventions.

Long-term involvement

A major concern is that of the role of the facilitator and her/his involvement over time. While PRA tools are generally based on one-off or two-off sessions, facilitating local action requires a longer-term involvement in a process that goes beyond sharing knowledge and includes activities to form sustainable groups, build confidence, and provide conflict-resolution skills. Facilitation processes often lead to absolutely nothing. The community welcomes a team of facilitators with great enthusiasm, and after a highly stimulating PRA session, in which a range of (often sensitive) problems is identified, it is left without any tangible results. After the three-hour discussion time is up, people need to go back to their fields, start cooking, or take care of the kids. On the way back they wonder: what did I get out of all this? Often, expectations are raised (and disappointed), meetings become shopping-list sessions, and the ultimate aim of empowering groups to deal collectively with local concerns is nowhere near being met. Without fitting PRA into a longer-term coherent strategy for group development, local institution building, accountable leadership structures, and conflict-resolution mechanisms, all the mapping, diagramming, and discussion are in vain. PRA is too often seen as a 'stand-alone' toolbox and needs to be integrated into a larger context of work with small groups.

Dealing with community differences

If PRA-type approaches are to play an empowering role, they need to take into account differences within community groups and between these groups and the external socio-political environment. Facilitators need the skills and strategies required to handle differences in power and status effectively. As Irene Guijt puts it: 'despite the stated intentions of social inclusion, it has become clear that many participatory development initiatives do not deal well with the complexity of community differences, including age, economic, religious, caste, ethnic and in particular gender' (Guijt and Shah 1998:1). Besides internal group dynamics and differences, PRA-based approaches must also deal with the effect of the broader political and socio-economic context on the participating process. The general cultural and political environment is a key determinant for the way a community group positions itself, and becomes active or refrains from doing so (Kumar 2002).

Ensuring the quality of facilitators

The quality of facilitation is of concern in most PRA programmes. PRA studies show a bias towards well-conducted exercises: generally the first and best-documented sessions are conducted by experts, researchers, or team leaders, but the overall programmes are then run by fairly inexperienced facilitators. Facilitators often know how to use the tools (although even this is often problematic), but are generally unfamiliar with the world of ideas behind the mapping and diagrams and so on. Less experienced facilitators tend to lean heavily on going through the motions of the PRA tools, approaching a mapping exercise, for example, more as a bureaucratic requirement than a way to generate common understanding. Ultimately, the issue of effectiveness and efficiency on a larger scale needs to be addressed; in other words, how to sustain a programme in a larger number of locations, while still remaining close to the original principles of PRA.

Our case study

Our case study is taken from the upper north of the Indian state of West Bengal, and originates from activities conducted under the North Bengal Terai Development Project (NBTDP), a project sponsored by the Dutch government and implemented by a Dutch consultancy firm (Arcadis Euroconsult). The NBTDP was a fairly broad rural development project, working closely with the West Bengal Ministry of Agriculture. Besides installing irrigation facilities and supporting agricultural innovation, the NBTDP also initiated a number of group-based activities at the community level. One of these activities was the formation of women's microcredit groups and men's irrigation-management groups. The groups were also involved in a planning process aimed at improving village-level management of water resources for domestic use, fisheries, irrigation, etc. The fieldwork was conducted partly by the project's own Project Support Unit (PSU), and partly subcontracted to the West Bengal NGO IBRAD (Institute of Bio-social Research and Development). IBRAD worked in a total of 60 villages in the three districts of Darjeeling, Coochbehar, and Jalpaiguri, while the PSU conducted local planning exercises ('micro planning') in 15 villages in the same region. Monitoring and research took place alongside the programme to help identify some of the practical methodological constraints it faced, and to look at the interaction of the groups with the larger institutional context. This article is based on that research. The original idea for the activity was for . . . groups of water users to, together with the local government, make a participatory assessment of local water resources and the opportunities and threats to them. Following this, micro water management improvements were to be identified, that would in the first instance be undertaken by the water users themselves. (Department of Agriculture 2000) The planning sessions used PRA tools to assess local circumstances and a planning matrix to define an action plan. These exercises were conducted with women's groups, groups using small-scale river lift irrigation systems (water-user groups), and in some cases with whole villages. During a workshop on micro-planning methodologies a joint definition was agreed upon by project facilitators: 'Micro planning is facilitating a planning process of villagers, in which local resources are identified, confidence is built, groups are formed and activated, information and training is supplied and action according to villagers priorities is supported'. Micro planning ideally embraced the idea of the development agency as a facilitator for change, whereby people initiate their own action on the basis of collective planning. While the study found that this ideal was often far-fetched, for reasons to do with the quality and experience of facilitators, it also found that the idea itself was limited in the sense that the socio-political context required much more than a shared problem analysis to activate and sustain coherent groups.

The North Bengal context

Most of the population of North Bengal depends on agriculture, generally smallholdings cultivating jute, paddy, vegetables, and other crops. Tea plantations are common in the northern parts and in high-lying areas. The rice-cropping areas are characterised by scattered paras (clusters of homes) with a variety of trees and bamboo bushes, amidst a more or less open agricultural landscape of small, banded fields. In many ways water is a decisive factor for the rural landscape, which contains a range of large rivers, and countless small rivers, streams, and ponds in the rainy season. Water is both an opportunity and a constraint.

The quality of drinking water is a major concern as water from local dug-wells tends to be highly contaminated, particularly during the monsoon, which results in high levels of disease. There is plenty of water available for agriculture, with continuing scope for the development of irrigation for dry-season cropping. Rivers supply a range of fish species, and there is great potential to boost production through pond-based fish cultivation. Water is also a threat; heavy rain or hail damages standing crops, while surface flows and shifting river courses endanger valuable agricultural land. In many areas (flash) floods occur, damaging fields, roads, and houses. The government invests considerable resources on building bridges, culverts, dykes, and protection works. Villages are generally constructed on higher land or land that has been raised artificially, in order to prevent any flooding of homesteads. Generally some 20–50 homes are grouped together to form a para, with the village's agricultural lands lying around it. Some households comprise an extended family including parents, several brothers, and their wives and children. Communities are distinguished by the caste or tribe to which people belong and/or their origin or ethnicity. Minorities include people of Nepali or Assami origin, the 8–10 per cent Muslim population, and many who originally came from Bangladesh. In the northern blocks, tribals form a large part of the population, often working in the large commercial tea gardens, or involved in forestry. A majority of the non-tribal rural population is scheduled caste, so-called Rajbansji, who see themselves as the 'original' inhabitants of the region, speaking the Rajbansji dialect of Bengali. There is a higher percentage of other (higher) castes in the towns, usually with higher incomes, better education, and government jobs. In practice, it is difficult to tell whether differences are based on caste alone or on a combination of caste, income, education, and the rural–urban divide. West Bengal, like many Indian states, has adopted the three-tier panchayat system of local government. This provides for direct elections at gram panchayat (local), block, and district level. The structures of the major political party(s) play a significant role. The Communist Party of India (Marxist) (CPI(M)) has an overall majority at all levels. Over the years it has developed a finely mazed party structure, which has its base all the way down into the para level. This structure exists 'independently' of the panchayats and provides electoral candidates. The leftist parties owe much of their local credibility to the land reforms in the early years of their Left Front rule, the impact of which was due not so much to an administrative vigilance as to the direct intervention of organised political movements in the countryside (Chatterjee 1997:86, 147). The panchayat regulations require a quota of general and chairperson (Prodhhan) positions to be allocated to women and members of scheduled castes, on a rotational basis. In practice, many of the positions for women go to candidates with limited political capabilities, often manipulated into the position by a powerful vice-chairperson. This vice- Prodhhan then basically makes the decisions, while ensuring that the woman takes the blame when things go wrong. (Such Prodhans are locally nicknamed Kathr Pudl, or 'wooden doll'.) Some of the women chairs are, however, very capable, particularly those who gained their seat through the regular political process. The panchayat system has brought politics to the villages and has fully entrenched village–government relations in party politics. Most local political strategies evolve around the panchayat's budget for rural development. Support for the party is often rewarded by becoming eligible for benefits such as wells, latrines, seed packages, loans, or government housing schemes. The parties' standard election campaign strategy is to target the doubters and create an atmosphere of expectation of

material benefits. After the panchayat and political system comes a range of government officials active in the rural areas. Unlike the local politicians, most of these officials live in the towns, even if their work is in remote rural areas—as is the case for most of the teachers, agricultural extension workers, health workers, and administrators. The picture of the local teacher taking the bus from town to village and back characterises the divide: generally, government employees see themselves as educated and aware, and refer to villagers as backward and unaware. The way in which villages and government interact exerts a strong drive towards keeping the villagers dependent: both through the promise of material benefits (from politicians) and in terms of cultural differences (in relation to the civil service). The challenge for facilitators working in this politicised, divided, and fairly dependent rural context is to create an atmosphere in which collective action might flourish.

Project approach to facilitation

During the evaluation of the programme, it emerged that facilitators, project staff, and consultants had very different expectations of what the programme was meant to achieve: to match local needs with what the government has to offer; . to create local ‘awareness’ and get people involved in a programme of largely pre-set activities; . through one-off sessions to give local groups ideas and motivation to take action; . to strengthen and activate group structures. What happened on the ground was generally that facilitators would organise meetings with a group of women (and sometimes men), introducing them to the idea of forming a group, whether for a group saving or microcredit system or for water-management activities. If the group agreed, the facilitator in a second or third meeting would use simple PRA tools, such as mapping, historical diagrams, and other exercises, to identify local problems and jointly build a plan of action. The plan would be a simple matrix stating the action required, who would be responsible, the timeframe, and who would monitor implementation. Common activities would include various measures to ensure clean drinking water, such as applying bleach in dug wells, lifting sediment, and repairing cracks. Some groups, for instance, built local bridges, negotiated with the government for irrigation facilities, or collaborated with health workers on improving child health. Groups would usually build a meeting hut and make joint savings for local emergencies and small business activities. After (PRA) planning sessions, groups would be supported in taking forward their plans by a mix of regular meetings, group monitoring, cultural programmes, and local ‘cleaning-drives’. Some activities were organised beyond the para level, involving various dignitaries. This helped to build the status of women’s groups in relation to the ‘outside world’, and sought to give the groups recognition and confidence. After various experiments with different approaches to facilitation, it became obvious that a clear strategy for more long-term interaction and group strengthening was needed. In cases where facilitators had experimented with adopting a more laid-back stance, leaving the initiative to come from the group after in-depth PRA-based group analysis, very little happened. Action would then depend on the leadership of a VIP or large farmer in the village. In cases where the facilitator took the group along in small (but relevant) activities, more diverse leadership roles could emerge. In the more successful cases, facilitators worked with groups to organise small activities on a regular basis and build social pressure for action through group checks and balances. By doing this over a period of time, the activities became habitual in both group and household behaviours.

Effective facilitation strategies

To a certain extent the programme has helped to address some of the concerns that had been voiced. In particular, several women's groups successfully addressed the need for clean drinking water and health-related issues. It was much more difficult, however, to address problems in the management of 'open-access resources', problems beyond the boundaries of the para, and problems requiring infrastructural investments, which are typically the domain of panchayat. These issues, traditionally male responsibilities, were not addressed by any of the groups, although both men and women had mentioned these as major concerns. Addressing individual family concerns (drinking water, health, education) through group activities was feasible, whereas the activities that would require engagement in larger-scale, politically sensitive domains was something few felt compelled to do. The newer and less consolidated groups in particular felt ill-equipped to get involved in these issues. Facilitators experimented with a variety of strategies. In some cases PRA was left rather open ended, leaving it up to the group to take further action, in others agreements were made with the local government to follow up on the planning sessions; in some cases the project even supplied some inputs, while in others long-term group building was the main focus. Ultimately the key to success was the building of long-term group structures. Groups that were not too large, had shared interests, and well-established group structures and norms had a reasonable chance of achieving their local planning exercises. Where planning was conducted with whole villages rather than with women's or men's groups, or on a more casual basis, very little action followed. There was fairly strong guidance from facilitators in the initial phases, for example in terms of suggestions for activities to be initiated, and in stimulating accountability and mutual social pressure towards compliance with the plan. Overall, the approach that evolved has yielded fairly good results, while experiments with fully open-ended approaches (with initiatives completely left to the group) have failed, even in groups with members who were initially highly motivated. Some of the reasons for failure included the role played by perceived hierarchies, whereby groups actually expect outsiders (whether facilitators or local political figures) to guide the activities and thus tend to wait for instructions. Many local people say they see themselves as 'unaware and uneducated', a view encouraged by city dwellers who see the rural population as backward, and which is further entrenched by a politicised rural landscape in which the aim is to keep voters dependent. Group leadership is often weak, and usually dependent on local VIPs, large farmers, and/or political figures. This in turn renders groups dependent on the larger political context rather than taking up activities themselves. In addition, people are often just too busy with other tasks, and will devote energy to group work only if direct tangible results are in sight. Finally, there is a great deal of mistrust within the current political climate. People would often not understand the outsiders' interest in problem analyses at village level and suspect the facilitators' intentions: 'why are you so interested in all this information . . .?'. Facilitation became a complex process of fine tuning. Too much guidance resulted in inflexibility and limited group involvement; too little guidance was insufficient to build cohesive groups, give the weaker members a chance, and encourage group independence and selfconfidence. Altogether, initial small-group activities helped to create an atmosphere in which people felt they could handle problems themselves rather than calling on the government. Through the starter activities, often based on facilitators' suggestions, the groups could build

confidence that they themselves—as a group—could address some of the larger concerns as well. The small activities helped to pull the group along quickly, gain confidence and get things going, to create a sense of movement, and of action not dependent on outside political forces. Facilitators appointed a group member to monitor implementation of the planned activities and supported the negotiation of clear rules and procedures. Groups were stimulated to arrange award ceremonies for those individuals who showed the best results and to organise cultural programmes, religious ceremonies, and other occasions aimed at increasing social cohesion and applying pressure for actual implementation. Good results were obtained when local planning exercises were combined with long-term binding elements, such as a group savings and microcredit programme, because everyone had an interest in continuing the management of the common bank account. However, in cases where local government officials were involved during planning and took on a role in addressing problems that perhaps could not be solved at a local level, the results were disappointing. Whenever such officials (e.g. panchayat members) were involved in the planning exercise itself, they would make a range of promises that often remained unfulfilled. The result was that the groups became demotivated, more dependent, and less active. In order to build confident, independent, and sustainable groups it proved better to involve the government in terms of encouraging improved regional policies based on information from the villages, rather than pushing for local politicians to solve individual problems, which tended only to strengthen existing patron–client relations and group dependency. It was also more effective to involve politicians and civil servants in such a way that their role vis-à-vis individual groups was to stimulate and facilitate rather than to provide things. Well-established and independent groups could, later in the process, collectively take up possibly beneficial contacts with various departments and the panchayat without losing their own independence and action orientation. Keeping this interaction focused on exchanging knowledge and ideas rather than material needs also made it less of a political minefield of lost promises and placed the emphasis on the provision of facilities, such as irrigation. Various health workers and agricultural extension workers found a great audience and discussion partner in some of the more cohesive and active groups. Involving politicians in roles other than providing things in fact turned out to be quite useful, for example in monitoring the group's activities, mediating conflicts, or forming a communication link between the project teams and the groups. Besides working with individual groups, the project gathered the information from the local sessions to form the basis of several policy debates with panchayat, local teachers, youth clubs, health workers, block-level administration, and representatives from the local women's groups. The stronger women's groups were particularly active in these meetings, which further strengthened their profile in the general political environment.

Timing of PRA sessions

While participatory tools are time efficient for researchers and facilitators, to farmers they are often time consuming. It can sometimes be difficult to get everyone together and interested for a whole exercise. In North Bengal, with several harvests a year, either the men would be working on planting or harvesting, the women on planting or post-harvest processing, or both were otherwise occupied. If a PRA approach seeks only to gather information it may be perfectly satisfactory to undertake exercises with different subgroups in the village. For the purposes of action planning with village groups, however, it is important that most

people attend so that the plan has some legitimacy. Sessions of more than three or four hours would generally be a problem, because many people had other things to do. Splitting up the sessions would not help, as the resulting split between analysis and action planning would leave members without anything tangible after the first meeting, making it unlikely that they would attend subsequent sessions. Combining problem analyses and activity planning in one session would generally leave too little time for the activity planning, so that this part of the meeting became rushed. Short PRA sessions had a tendency to become rather problem oriented, which tended to generate a negative atmosphere. It therefore proved useful to limit the time spent on analysis of local needs and focus more on guiding a process that would build common understanding and motivation for collective action. This also helped to avoid shopping-list sessions. Overall, it was better not to dwell too long on needs and problems (which PRA exercises sometimes elicit . . .), but to get on with probing the actual situation and lead people to a discussion focused on opportunities beyond the problems. This is certainly possible if facilitators know the area well (perhaps because they grew up in similar villages) or if the programme has already done more extensive work in the region. The advantage is that enough time is allowed for a discussion of a timeframe for action, the division of tasks, and monitoring responsibilities.

Action orientation

Emphasis on planning, negotiating, and writing a formal plan that is agreed upon by all participants, and less on lengthy enquiries, tended to strengthen the process. Priority ranking on the basis of possible actions rather than needs (the usual content for this PRA tool) can help to create the necessary sense of purpose and collective determination. Enthusiasm generated during a meeting is often more relevant to action planning than is the full and impartial analysis of local circumstances. Indeed, the latter could even be counter-productive in North Bengal, where needs assessments by panchayat or party apparatus are common bureaucratic requirements, but are seldom followed up with concrete action. A clear action orientation during the whole meeting is hugely important for a facilitator. The main point is to find local solutions, to motivate, and to make feasible joint plans with specific commitments for action. All the rest—the PRA tools used, the analysis of the situation, in-depth discussion of the issues—should contribute towards that goal. An action-oriented PRA would need to start out with a broad picture, but move soon to prioritisation and then quickly narrow down to two or three priorities that look promising for action planning. Later, once these issues are being addressed in practice, new concerns can be fed into the process in follow-up planning sessions. Many of the concerns mentioned by village groups are determined by highly problematic socio-economic bottlenecks: politically stubborn systems, financial or social dependency, a need for technological innovations, internal conflicts, a lack of constructive interaction with levels above the village, a lack of interest in or mechanisms to address problems in managing common resources, natural disasters, and so on. The assumption of some ‘PRA practitioners’ that PRA in itself, by enabling common analyses and increased insight, almost ‘automatically’ empowers needs to be challenged; it is generally a risky assumption. For the facilitator, and particularly researchers and consultants involved in a few PRAs in one area, sessions may be highly enlightening, and lead them to assume that this is equally

true for the group involved. Our own experience is that many groups want to please (particularly white-faced or highranking) outsiders, and will express interest and learning to please them. On many occasions, it appeared that great learning had taken place, but resulted in very little action. It should not simply be assumed that PRA sessions will help a group to gain new ideas from outsiders: farmers are not stupid, but generally face real and intractable constraints. These constraints may be economic, technical, environmental or political; they may also include social divides or a lack of options to work collectively, rather than a lack of ideas. There were several cases where I (WS) as an outsider, and other 'experts', were involved in a brainstorming session with a group of farmers to generate new ideas for solving a certain village problem, but every single idea that we came up with they had already thought of earlier but had discarded for good reasons. The best that a session can deliver is a sense of determination and enthusiasm to take up group action where individual action had so far failed, not radically new solutions or ideas.

Group heterogeneity

The facilitators chose to emphasise typical 'women's issues' (education, sanitation, health) with the women's groups. This generated enthusiasm with the groups, for whom these were important topics. But it also meant that facilitators missed the opportunity to involve the women's groups in issues beyond the 'traditional' domains. Expectations quickly formed: women will work on clean drinking water, health, education, sanitation, and keeping the village roads clean, whereas men will work on irrigation improvements, flooding, or fisheries. In their daily lives, many women do have an important role in the domains ascribed to men, but in the end the facilitators reinforced traditional gender roles. Within the groups, the young women were the most active participants and usually the driving forces behind the group's activities. They tended to be the secretary or cashier, the most influential positions in the committees. They are also better educated than the older women (women's average literacy rate is 33.2 per cent compared to 56 per cent for men) (Government of West Bengal 2001). In the men's groups, however, it was those between the ages of 40 and 60 years who generally dominated. The young men would be quiet, while the old babus generally did not speak much, having already partly withdrawn themselves from the world—whenever they do speak, however, everybody listens. It was therefore important for facilitators to use these internal dynamics, but also encourage less outspoken members to come forward. Groups contain a heterogeneous mixture of opinions, interests, and/or hidden agendas. The 'reality' that presents itself through PRA is seldom the reality. The notion of 'community needs' can also be quite deceptive. Every villager has his/her own ideas of what the needs of 'the community' are; the outspoken, politically influential people will try to impress their own concerns and needs on the discussion. Groups also tend to adapt their perceived 'needs' according to what they think the facilitator wants to hear, or to the areas in which they think the facilitator can help. The way meetings are set up, the specific questions asked, and the categories used in PRA charts (e.g. the historical transect), influence the direction of the meeting and the action plans. A good way to deal with this, when working in teams of two or three facilitators, is for one member not to participate directly but observe who is involved and who isn't, what biases emerge, and how the group responds to the facilitator.

Quality of facilitation

The approach described here depends upon maintaining the subtle, flexible, and difficult process of facilitating and guiding a planning process, guarding against blueprint sessions and activities. The mismatch between local needs and group activities generally results from the lack of listening and facilitation skills. Used properly and in a flexible manner, PRA can help to structure a discussion on local realities. However, things can go seriously wrong when using PRA becomes an end in itself. The training of facilitators should therefore focus on the principles of PRA and facilitation strategies rather than on the tools, which is where the emphasis tends to be placed. Sadly, although most development workers now realise the importance of good facilitation, many organisations still hire anyone off the street, only to put them back on the street again a couple of years later, when the project has ended. Much more needs to be done to build management systems that are geared to developing good facilitators, through training, monitoring and evaluation, long-term human resources management, and integration with government institutions/programmes. Certainly, PRA helped to provide an insight into the realities of the villages in North Bengal, and to elicit some interesting issues, particularly in the sessions conducted by more experienced facilitators. However, some of the disadvantages of using a typical PRA-type approach were also encountered. First was the dangerous assumption that if a facilitator knows the PRA tools, s/he can facilitate community meetings effectively. Second, PRA is essentially a research tool, developed to generate knowledge of local realities efficiently and in a participatory way. But while it emphasises that joint knowledge and awareness are the agents of change, it focuses less on other bottlenecks. Without negotiation, group-building, and motivation skills, PRA facilitators ultimately have very little to offer. PRA should thus be embedded in an extensive strategy for working with groups over a longer period, so that through experimentation, research, monitoring, and training, context-specific strategies for the whole process can evolve. These strategies should be action oriented and challenging, but also practical, flexible, and simple enough for relatively inexperienced facilitators to use. It is vital to involve the facilitators in developing this so that the strategy connects with the skills and opportunities of the fieldworkers. While the facilitators are often the lowest-paid employees within a project, the quality of the project itself depends on them. Obviously, if an organisation preaches participatory practices in its fieldwork, then it should apply the same principles to the way it treats its own staff.

Conclusions and recommendations

Micro planning sought to achieve the dual goal of activating local groups and involving the government in addressing local concerns where local communities could not do so themselves. In practice, however, these two goals tended to clash. Groups would wait for the government to act and then try to get as much as possible out of any participating representatives (and project workers), often resulting in disappointments later. This tendency was further strengthened by the political system in North Bengal, which emphasises the government's role as 'provider' (or promising to provide) and uses this to consolidate its own political position. However, many established groups will survive (at least for a few years), and we feel that they have helped to strengthen social cohesion, reinforce people's feeling of independence, and establish some

good water-management practices. Facilitating local action through micro planning in the context of North Bengal did occasionally have the intended 'empowering' impact, but for the impact to be more lasting and on a larger scale the socio-political mechanisms of dependence need to be taken into account and challenged, where possible, by the groups themselves. The link between government departments and village groups can be a healthy one if it is focused on discussion and the exchange of information, rather than revolving around material benefits. The same goes for the contact with the panchayat system, where results were good when it played a monitoring rather than a providing role, particularly among 652 well-established and confident groups. Action took place where facilitators were able to help create a sense of collective responsibility and a shared vision of a collective solution to a given concern. In conclusion, local planning should start at the beginning of a project cycle, allowing time for local concerns to feed back into the design and management of the project, and with opportunities to scale up information from the village level to regional policies. Micro-planning groups require a framework, a set of group-binding elements and focused goals that link into the planning process (water-users' group, microcredit, etc.). There must be sufficient time and expertise to build a context-specific strategy through experimentation, reflection on the fieldwork, and research that involves all the fieldworkers. PRA may provide some useful tools, but more importantly it should foster a commitment to take seriously the realities of groups themselves. However, PRA needs to be part of a broader strategy for the facilitation process, and facilitators need to keep a critical perspective on the ways in which PRA tools contribute to the overall dynamics of working with the group. Facilitators need to be well trained and to operate within a long-term strategy for human resources management. Training should take into account the underlying principles of PRA, not merely its tools, and should also highlight the ways in which PRA can be improved at low cost, and offer both facilitation skills and strategies for the process beyond PRA. If a project or programme is to be conducted in a participatory fashion, then the organising agency should also work in a participatory, open, engaging, and transparent manner, seeking to bridge its own hierarchical divides. Fieldworkers should be treated as partners and taught the principles of PRA, and not just the tools and techniques. Finally, it is important to foster an enabling political-institutional environment and to guard against unrealistic expectations raised by the project or NGO staff, or the government officials involved. Bringing in the government and guiding it into a facilitating role can be useful, provided this can be done without creating dependency on individual politicians or departments. At its best, however, such collaboration can provide a communication channel through which to advocate on specific concerns through the higher echelons of government.

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Note

1. A range of useful ideas on group dynamics can be found in the sociological literature pre-dating the emergence of PRA (e.g. Mills 1967; Phillips and Erickson 1970).

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DEVELOPMENT OF COLLABORATION – PRINCIPLES GAME

PRINCIPLES GAME

AIMS

1. To show how principles emerge in competition.
2. To emphasise the merits of collaboration.

GROUP SIZE

Two teams required of not more than eight members each.

TIME REQUIRED

Approximately one hour.

MATERIALS

Copies of Principles Game Tally Sheet for all participants.

PHYSICAL SETTING

Enough space for the two teams to meet separately without overhearing or disrupting each other. A separate location where team representatives can meet in round 4, 9 and 10.

PROCESS

1. Divide the group into two sub-group - a "green" team and a "red" team. Seat the groups apart n'rom each other and ask the teams not to interact with the other during the exercise except when instructed to do so.
2. Distribute a copy of the Principles Game Tally Sheet to each participant. Give members time to study the directions and scoring and ask if there are any questions.

Tell the two teams that the objective is for each group to score as many points as possible. Explain that no one will probably understand clearly how the game is played until the activity proceeds.

3. Round 1 begins. Each team is given **five minutes** to decide on a letter. When the time is up, each team passes its decision to the facilitator. The scoring is computed on the Principles Tally Sheet and the score passed back to each team member.
4. **Rounds 2 and 3** are conducted in a similar manner to Round 1, but with **three minutes** for discussion in each round. The scoring for each round is entered on a Principles Tally Sheet and the scores passed back to each team member.

¹ [Adepted from "PEOPLE AT WORK-A Practical Guide to organisational change" - Dave Francis & Mike woockock (University Associates Inc, La jolla, California, 1975)]

5. For **Round 4**, each team sends one representative to a neutral place to negotiate 'for **three minutes**. Then the representatives return to their teams. After **three minutes**, each team passes its decision to the facilitator. The outcome of the round is doubled and the score is computed and passed to each team member.
6. Rounds 5 to 8 proceed in the same manner as the first three rounds, with three minutes for discussion in each. The score is computed after each round and passed to each team member.
7. In **Round 9**, another special round is conducted like Round 4, the outcome is **multiplied by 5**. The score is passed to each team member.
8. **Round 10** is conducted in the same way as Round 9, except the outcomes are **multiplied by 10**.
9. The entire' group meets to tally the final score and to discuss who won and why. The following questions should be considered :

How do you feel about the other members of your own team?

How could you have achieved a higher score?

What lessons are there for management?

What is required for successful negotiating?

PRINCIPLES GAME TALLY SHEET

DIRECTIONS

For ten rounds, the **green** team will choose either an 'A' or 'B' and the **red** team will choose either an 'X' or a 'Y'. The score for each team is determined by both teams' joint decision. It is computed according to the following schedule :

Green Team choice	Red Team choice		
A	X	Both teams win	3 points
A	Y	Green team loses	6 points
		Red team wins	6 points
B	X	Green team wins	6 points
		Red team loses	6 Points
B	Y	Both team lose	3 points

ROUND	CHOICE		CUMULATIVE POINTS	
	GREEN TEAM	RED TEAM	GREEN TEAM	RED TEAM
1				
2				
3				
*4				
5				
6				
7				
8				
** 9				
***10				

* Results are doubled for this round

** Results are multiplied by 5 for this round

*** Results are multiplied by 10 for this round

DEVELOPMENT OF COLLABORATION

The Facilitator may help the participants gain perspicacity in the process of the development of collaboration amongst individuals and groups. The following dimensions are suggested in this regard.

Bases of Collaboration: Power and Trust

One important condition which contributes to the development of collaboration in a group is the perception of power. Power can be of both kinds: power to reward and power to punish. Reward and punishment are used in a wider sense. Punishment may be in the form of depriving the other person or group of the rewards which he or his group is likely to get. Everyone in the system has at least the negative power of depriving the other person of something that is desirable to him. In this game one group may decide to deprive other groups from winning together. Thus even one group' or one individual can use such a negative power. Negative power can be used by holding back information, or misleading the other person and so on. Even the person at the lowest level in the organisation can use his negative power by creating annoying situations, delaying matters, holding back information, giving information that creates misunderstanding etc. Every person in the system seems to have some kind of power, which should he not only, perceived very clearly, but also demonstrated. If in a situation people do not perceive the other person's power they are likely to use the power in a competitive framework. On the other hand, if a person involved is not demonstrating the power this can also lead to a continued exploitative activity (use of competition by the other party).

Unconditional cooperation does not lead to the development of collaboration. Unconditional cooperation by one party may communicate a lack of power. If this happens, the other party will find it more and more difficult to get into a collaborative relationship. For effective collaborative behaviour the perception of power of both is essential.

Many researches have shown that cooperation emerges after some competitive moves by the groups concerned, in this process the various parties or individuals involved in the situation demonstrate to one another the power they have, and their ability to use power. Researches have also shown that competitive move or some kind of stalemate in a relation ship can result in collaboration, particularly in situations in which the parties concerned are competitive by nature. In situations where parties are collaborative by nature, a stalemate of negotiation and relationship goes against collaboration.

Along with the perception of power, it is important that the parties concerned perceive that the power that the other party has will not be used against it. This is a part of trust. Some amount of mutual trust is likely to lead to cooperation. Trust indicates the high probability that the power of the concerned party or individual will not be used in a benevolent way.

A combination of perceived power and a minimum level of trust leads to cooperation. This is shown below.

Figure 1: Power and Trust model

Power Trust	<i>Only I</i>	<i>Only He</i>	<i>Neither</i>	<i>Both</i>
No Trust	Coercion Exploitation	Compliance Submission	Indifference	Competition or <i>Individualistic Task</i>
High Trust	Nurturance	Dependence	Mutual sympathy	Cooperation

As shown above, collaboration results from a combination of perceived power of both minimum trust in one another. In a no-trust condition there may be coercion and exploitation if the other person is seen as weak, or submission or compliance if he is seen as having power; if the perception is that neither have power, there may be an indifference for one another; the perception that both have power may lead to either competition or individualistic behaviour. Under conditions of high trust perception of the partner having low power may lead to nurturance (paternalistic attitude); the perception that he has power may result in dependency; the perception that neither have power may generate mutual sympathy. It is only what both perceive, as well as it is clearly demonstrated that both have power, and there is enough trust in one another that collaboration emerges.

Figure 1 shows that collaboration results from three main factors: the perception that the goal is shareable by both (or all) concerned, the perception that both (or all) involved have power, and a minimum level of trust prevailing amongst those involved in the task. The absence of these may result in low (or an absence) of cooperation. We thus see that trust interacts both with power and the super-ordinate goal.

The Final Step in Building Collaborations

In the final analysis, cooperation results from the initiative taken by one person or one group to cooperate. This is a kind of risk-taking on the part of the individual or the groups. This is also making oneself vulnerable. This turns the win-lose strategy into a win-win strategy. A win-lose strategy can only be temporary as it changes into either a lose-lose or a win-win strategy. In a non-zero-sum game like this exercise, the individual or the group who makes the cooperative move runs the risk of losing a great deal and have a lower payoff. This risk, the initiative demonstrating the courage to lose initially for the benefit of all the parties concerned, taken by an individual or a group is the key to the development of cooperation. However, this has to be after the other parties concerned perceive the power this group or the individual has. This risk-taking is important in combination with trust and demonstration of one another's power. It is only after this has been achieved that both mutual trust and mutual power lead to the risk-taking tendency, but not the other way round. Only the risk move leads to cooperation, so that the team that takes the initiative, making itself vulnerable, is able to start the process of change towards collaboration. This inner strength of the team to be able to make such a move helps to build a collaborative relationship.

DECISION BY CONSENSUS: LOST AT SEA

Time – 2 hours

Completing the rankings - 45 minutes

Group discussions – 15 minutes

Processing of Experience (Lecture discussion) – 1 hour

Learning Outcomes

The following are the main objectives of this exercise.

1. Experiencing and developing insight in the process of making a decision in a group.
2. Experiencing and understanding the process of and the factors contributing to the development of consensus.
3. Developing an insight in the various processes involved in decision making groups-problem solving processes, task facilitating processes, and group building processes.
4. Becoming sensitive to the resources available in the group, and the need to make use of such resources.
5. Developing insight into the conflict between the concern for evolving an effective decision (achievement motive) and the concern to get one's own point of view or solution accepted in the group (power motive).

RATIONALE

The exercise essentially consists in comparing the decision made by individual members with that made by them as a group. The idea of involving a group in decision making is that the collective "wisdom" of a number of individuals will produce a more effective decision than one made by a single individual, howsoever competent he may be. This is the idea of synergy- Synergy or synergism is the simultaneous action of separate agencies which, together, have greater total effect than the sum of their individual effects. Typical examples of synergy are the combined or cooperative action or force of different organs of the body, as of muscles working together, which is much greater than the arithmetic sum of the forces of the individual organs/parts had they been working separately of one another.

¹ Adepted from "The 1975 Annual Hand Book for Group Facilitators" J. William Pfeiffer and John E Jones/Editors. (University Associates, Inc/ La Jolla, California, 1975)

LOST AT SEA A Consensus-Seeking Task

AIMS

1. To explore the effectiveness of consensus-seeking behaviour in groups through experiences with individual decision making and group decision-making.
2. To explore the concept of synergy through group decision making.

GROUP SIZE

Any size group split into syndicates of five to twelve participants. Several syndicates may be directed simultaneously. (Synergistic outcomes are more likely to be achieved by smaller / groups, e.g. five to seven participants.)

TIME REQUIRED

Approximately one hour.

MATERIALS

1. Pencils.
2. Two copies of the Lost at Sea Individual Worksheet for each participant.
3. A copy of the Lost at Sea Group Worksheet for each syndicate.
4. A copy of the Lost at Sea Answer and Rationale Sheet for each participant.
5. Flipchart paper and felt-tipped markers.

PHYSICAL SETTING

Facilities for both privacy in individual work, and for syndicates to hold discussions without interrupting each other.

PROCESS

1. The facilitator distributes two copies of the Lost at Sea Individual Worksheet to each participant and asks each person to complete the forms in duplicate including their name. Emphasise that participants are to work independently during this phase and that they have a maximum of fifteen minutes to complete the worksheet.
2. After fifteen minutes, the facilitator collects one copy from each participant. The other copy is for use in the syndicate.
3. The facilitator forms syndicates of five to twelve participants and tells them to work in specific areas either in the room or in syndicate rooms. The membership of each syndicate is worth planning in advance so that it can be organised smoothly. Listing the members of the syndicates on a flipchart is an effective way to do this.
4. A representative of each syndicate is given a Lost at Sea Group Worksheet. The trainer then reads the instructions to the group, emphasising that each member of a syndicate should partially agree with the syndicate choices to establish consensus, but that they are not to use such techniques as averaging, majority voting, or trading to reach agreement. The syndicates should be asked to make serious efforts to achieve success in this task.
5. The syndicates should then be sent to complete the task with a time limit of thirty minutes.
6. While the syndicates are engaged in their task, the facilitator marks the individual ranking sheets. The score is the sum of the differences between the "correct" rank for each item and its rank on the Individual Worksheet (all differences should be made positive and added). Higher scores have greater negative implications. The facilitator then totals all individual scores for each syndicate and divides by the number of members to obtain the average individual score for each syndicate.
7. After thirty minutes, the facilitator collects the Group Worksheets making sure that they are named for each syndicate and invites the syndicates to come back together. The participants should be invited to discuss their consensus-seeking approaches to performing the task.

What difficulties did they encounter? How did they resolve them?

How happy were they with their result? Did they use the time effectively?

These questions may be written up on a flipchart for the group to consider.

8. The facilitator then scores the Group Worksheets as was done for the Individual Worksheets. If there are two facilitators one may mark the Worksheets while the other leads the discussion.
9. The facilitator then prepares a chart such as the one following, summarising the statistics.

BEFORE GROUP DISCUSSION

Group	Average Individual Score	Score of Most Accurate Individual
Example	55	45
1		
2		
3		
Average for all groups		

AFTER GROUP DISCUSSION

Group	Score for Group Consensus	Gain/ Loss Over Average Individual	Gain/ Loss over Most Accurate Individual	Synergy*
Example	40	+ 15	+ 5	Yes
1				
2				
3				
Average for all groups				

* Synergy is defined as having occurred when the consensus score is lower than the lowest individual score in the syndicate.

10. The facilitator returns all Individual and Group Worksheets and distributes a copy of the Lost at Sea Answer and Rationale Sheet to each participant. After allowing the group a few minutes to discuss the answers and rationale, the facilitator analyses the statistics and explains the synergy factor.
11. The facilitator leads a discussion of the comparative outcomes of individual rankings and group consensus rankings. Discussion questions such as the following might be suggested by the facilitator:-
 - What behaviours helped or hindered the consensus-seeking process?
 - What patterns of decision-making occurred?
 - Who were the influential members and how were they influential?
 - How did the group discover and use its information resources? Were these resources fully utilised?
 - What are the implications of consensus-seeking and synergistic outcomes for intact task groups such as committees and staff of institutions?
 - What might be the consequences of such a process for the group's attitudes?

Processing the Exercise

The following dimensions need to be brought out during the processing of the experience in the exercise.

1. Motivational Dimensions of Consensus: The trainer may ask the volunteers from the various groups to share with others what they thought was the main focus of the group while it was involved in decision making. What was the prevailing meta-climate, one of arriving at an effective decision or one of getting one's opinion accepted. The first orientation is that of achievement motivation, and the second that of power motivation. In the process of decision-making the group may range between two extremes. One extreme may be the main concern of getting one's own point of view accepted. On this extreme the members are concerned about whose views will be accepted, instead of being concerned with the problem on which a decision is to be made; they are more concerned about the personal influence they can wield and they use various methods of testing the strength and power which different members have. On the other extreme is the focus on making good decision, generating resources in the group, and pooling and using the resources. The decision making process can be near one of these two points in a continuum. We can broadly say that the decision making in a group can be either by the process of division (power, or by the process of consensus (achievement),

In the process of division, the strength of various members is tested and the group gets divided. In the process of consensus the strength of various members is brought to bear on the best possible decision. Consensus does not necessarily mean unanimity. It means the sharing of differences, listening to one another accepting the final choice in spite of the difference which may still exist. As a result of consensus, all members of the group do not come to the same conclusion. The differences may continue. However, members have an opportunity to express such differences, discuss the rationale behind the different points of view, and have the satisfaction that the members of the group have listened to them and they in turn listened to the logic put forward by the other members. At the end of such discussion the members come to a conclusion that one optimum solution is to be selected. And this helps them to accept one solution out of several alternatives, even though some of them may not agree with that alternative completely. However, the commitment of the members to the implementation of the solution is assured.

2. Facilitating and Hindering Factors in Consensus Building : The trainer may probe two contrasting groups to find out what factors helped one group to move towards consensus, and what factors hindered such a movement in the case of the other group. Usually the following factors hinder consensus building:

(a) Domination by a few: When there is a tendency by some members to dominate in a group, and influence the decision, consensus is difficult to develop.

(b) Withdrawal: The natural result of domination by, a few is withdrawal by several other members when they do not see an opportunity to express themselves freely and influence the process of decision making.

(c) Tendency to make quick decision: When members of the group rush to make decision very fast the possibility of consensus decreases. Consensus would require patience, and members' tendency to pay attention to the opinions of other members. This takes time.

(d) Testing strength: In the process of decision making, when some ways are used to test the strength and take a decision according to the strength either on the basis of numerical strength or on the strength of argument, the group splits. Instead of moving towards a consensus there is always a tendency to break the group into divisions. Voting in a group to find the majority and minority opinion, does not help the group to move towards a consensus because the members holding the minority view usually fail to commit themselves to the decision taken by the majority.

(e) Avoiding confrontation: When the members of a group avoid confronting differences in making the choice by continuous discussion, the possibility of consensus decreases. One way to avoid confrontation is to use a third party intervention or decided by chance like flipping a coin.

(f) Trading or compromising: Sometimes, people in order to get their suggestion or point of view accepted, trade their own point of view with some others; this way they come to an agreement that the suggestion given by one member will be accepted in exchange of another suggestion given by another member. This kind of trading or compromising reduces the possibility of consensus.

The following factors have usually been reported to help build consensus.

(a) Concern for others: The basis of consensus is respect and concern people have for one another. This also helps them to look for expertise and the resources available with the different members.

(b) Listening: A consequence of respect and concern for others leads people to listen carefully to what others say, rather than being obsessed with their own ideas about a problem.

(c) Identifying and using resources: People in the group realise that each member is a special resource. In order to make a good decision it is necessary that all the resources are utilised. The group takes active steps, to find out what the dimensions of the problem are, and if anyone in the group seem to have necessary resources on the various dimensions. It is recognised that different members have different skills. Without necessarily formal discussions on the matters an effective group brings to use these skills in order to perform its task effectively.

(d) Discussing underlying assumptions and logic: When people discuss not only their own suggestions and ideas - but also why they are proposing these and what the underlying rationale of these suggestions and ideas is the movement towards a common understanding becomes easier and the group is able to move towards consensus.

(e) Testing consensus and disagreements: A consensus is reinforced when after some amount of discussion the members of the group examine if there are still some disagreements; and such disagreements are allowed to be expressed and discussed. However, if agreements are not discussed and avoided, or are not voiced it would be difficult to develop a consensus. From time to time the group may stop and see whether enough consensus about what is being decided exists.

(f) Process orientation: The group which spends some time on the process is able to develop consensus faster. Instead of being concerned only with the task, the group is also concerned about how people are feeling, whether some people have withdrawn as a result of some hot exchange of feelings, how many people are speaking and how many are silent, how fast the group has been going etc. Such questions, when discussed from time to time, will help the group to move towards consensus.

3. The Problem Solving Process: In developing a consensus it *is* necessary that enough attention is paid to the process of problem solving. The process involves several aspects like the following. The trainer may elicit these by the appropriate probing of the groups and may emphasise their importance. As will be seen from the following discussion the consensus involves both generating alternatives, as well as the narrowing down of the choices, resulting in an agreement amongst members of the group.

(a) Deciding priorities: The effective groups in such exercises have been found to spend enough time discussing the main priorities. For example, in this exercise they debate about the priorities of survival, locomotion, and communication (being spotted out by a search party). Such a discussion may narrow the objectives for the members, and they may take the first step of moving towards consensus by agreeing on the objectives.

(b) Analysing the problem at several levels: The problem may seem to be single, but it may have several aspects. For example, in this exercise the problem need to be analysed at these levels: the psychological conditions of the survivors; the conditions of the desert; implications of these conditions for survival, locomotion, and communication; effect of dehydration and so on. When the time is spent on the discussion of such dimensions, the various aspects of the problem are clarified, and the issues for decision-making get considerably narrowed.

(c) Generating alternatives: Before the final decision making, a number of alternatives need to be considered. When members give different opinions, or advance what may be called “theories” on which action will be based, the possibility of making a more rational choice increases.

(d) Discussing consequences of each alternative: Before the group makes the final decision, two processes are important. One is to consider the consequences of the various alternatives generated. For example, one alternative here may be locomotion. If this is accepted what are the consequences: how long can a person walk during the day/during the night; how much energy he will be left with to take other actions etc.

(e) Developing criteria for discussion: An effective group does not rush into the final decision but spends enough time on deciding on the criteria against which the decision will be judged. The priorities discussed will help in generating the criteria.

(f) Reviewing: In the end, the group gets an opportunity to make the necessary corrections and modifications if it plans some time to review the decision ‘in the light of the accepted criteria.

4. Task Facilitating Processes: Several processes help in making effective decisions. Some of these relate to task accomplishment. The following aspects are worth mentioning in this connection.

(a) Initiative: Unless members of the group take the initiative to discuss no task can be properly accomplished. It needs to be stressed that the responsibility of effective group functioning lies on each member in terms of his initiative in various matters. It may be discussed why some people took initiative and others did not.

(b) Information seeking: Members, who ask for more and more information in the group, help in discovering new things that may help in decision-making. For example, in this exercise, questions *like* the following may be *helpful*: “Who in this group has lived in a desert? How long can a man survive without food? After how *long* of deprivation of water does dehydration set in? How far can the reflection of a mirror be seen? Why?”

(c) Information giving: The complimentary part of seeking information is giving information. Information would also *include* opinions, doubts, special knowledge One has, what one has read, etc. Generating such information by the various members may help in clarifying the issues, and narrowing (zeroing in on) the choices.

(d) Summarising: As the proceedings move on, people tend to forget what has been discussed, what have been agreed, and where the differences persist. A member who summarises the Position at such a point of time plays an important role, and facilitates the task process.

(e) Synthesising: Synthesising helps in reaching and pointing out the underlying similarities in the apparently different opinions expressed by two or more members. Consensus building is helped by the revelations of such implicit agreements and common understanding.

(f) Time keeping: When the priorities are discussed, a group may also discuss how they would like to utilise their time, and will distribute the available time. Some members may remind the group how much time has already been spent on some aspects, and how much work remains to be done. Such reminders *help* the group take timely Corrective actions.

5. Group Building Processes: While *the* task processes help in effective *completion* of the task, attention to the group *building* processes has to be paid, otherwise the group does not function as a cohesive and mutually supportive group. The following are some of the important group processes.

(a) Listening: Listening indicates the regard members have for one another. Listening by one member to what the other member is saying will generate reciprocal listening and the important contributions by various members can be brought out.

(b) Expressing and responding to feelings: Even when the group is seriously discussing a task, paying attention *to* the feelings of the members is important. In effective groups members both freely express their feelings (“I feel confused,” “I feel I have not been listened to”) and respond to others’ feelings (“can you elaborate on your feeling that you have been ignored?” “I also feel confused now”). Such expressions help in the faster accomplishment of the task.

(c) Gate keeping: When several members enthusiastically speak at the same time, confusion is created. A member may point out that he cannot hear when so many persons speak simultaneously, and may request a particular person to speak first, and then may invite the next one to say what he has to say. This is called gate keeping function, which can be taken up by any member in the group-in fact, the more the members perform this function from time to time, the better it is likely to be for the group.

(d) Supporting: The more the members support one another, the more effective the group is. Support is provided by reinforcing a member's point of view or information by another, and also includes encouraging silent members, and those *who* are shy, to contribute to the discussion.

(e) Process reviewing: The group may from time to time review what has been done and how the group has functioned. For example, a member may raise a question as to how the various members feel about the decision, or if there are still some members whose opinion has not been taken, etc.

6. Decision by Consensus: The exercise focuses attention on the process of effective- decision making, the process of development of consensus. The trainer may like to summarise the learning from the experience in the exercise. Decision-making involves making a choice from the available or generated alternatives. When a decision is made by a face-to-face group (a task group or a committee, or a departmental team) every member is a potential contributor to the process of decision making which involves understanding the problem or the issue, breaking down the problem or the issue into its meaningful components which indicate the real problems on which the decisions are required, formulating a general strategy in terms of the sequence of action steps, generating alternatives, providing and pooling required information, generating favourable and unfavourable points for each alternative, coming to a shared understanding, making a final choice, and getting commitment of all members to the choice made. The main advantage of a group is that it has more resources than a single individual has, and as the saying goes no one of us is as bright as all of us.

Decision by consensus creates *synergy* in the group. When members listen to one another, use the resources represented by one another and arrive at the decision to which they seem to be committed in spite of their personal differences of opinion, we may find that the decision made may be even better than taken by the most capable person in the group. The group in a way is able to produce even more than the total sum of the resources represented in the group. This is the concept of synergy. The group can move towards synergy by taking steps to continuously mobilise the group as a team and identify and use the various available resources.

The following learning points may emerge from the exercise and discussion:

- * Synergy may happen, resulting in the team answer being better than any individual answer.
- * Decision making in teams is often difficult and time consuming.
- * Negotiating group decisions after individuals have made decisions is difficult.
- * It is tempting to compromise rather than negotiate.
- * Time pressures lead to bigger compromises.
- * Dominant individuals may reduce team synergy
- * Effective teams recognise and value the expertise of individual members.
- * Teams tend not to manage their time effectively.
- * Finding the reasons for individual team members decisions is a better strategy than arguing over details (such as the positions of particular items).
- * Effective teams foster commitment to team success.

When leading the discussion the trainer should be careful to ask questions based on observed behaviours. The group should identify their own learning points from what happened. They should not be told what should have happened or which learning points they ought to have identified. If the group are told what they should have learned there is a risk that they will reject the learning.

VARIATIONS

1. Observers can be used to give feedback about either group behaviour or individual behaviour.
2. A lecturette on synergy and consensus-seeking can immediately precede the group problem-solving phase to establish a mental set toward co-operation.
3. Participants can be given only one copy each of the Lost at Sea Individual Worksheet and instructed to score their own sheets.
4. Participants can be asked to complete their selection again after the group decision to see whether they have improved their personal score.

LOST AT SEA INDIVIDUAL WORKSHEET

Name _____

Group _____

Instructions : You are adrift on a private yacht in the South Pacific. As a consequence of a fire of unknown origin, much of the yacht and its contents have been destroyed. The yacht is now slowly sinking. Your location is unclear because of the destruction of critical navigational equipment and because you and the crew were distracted trying to bring the fire under control. Your best estimate is that you are approximately one thousand miles south-southwest of the nearest land.

Below is a list of fifteen items that are intact and undamaged after the fire. In addition to these articles, you have a serviceable, rubber life raft with oars large enough to carry yourself, the crew, and all the items listed below. The total contents of all survivors' pockets are a package of cigarettes, several books of matches, and five one-dollar bills.

Your task is to rank the fifteen items below in terms of their importance to your survival. Place the number 1 by the most important item, the number 2 by the second most important, and so on to number 15, the least important.

- Sextant (A navigation instrument for measuring angular distances)
- Shaving mirror
- Five-gallon can of water
- Mosquito netting
- One case of army rations
- Maps of the Pacific Ocean
- Seat Cushion (flotation device approved by the Coast Guard)
- Two-gallon can of oil-gas mixture
- Small transistor radio
- Shark repellent
- Twenty square feet of opaque plastic
- One quart of 160-proof Puerto Rican rum
- Fifteen feet of nylon rope
- Two boxes of chocolate bars
- Fishing kit

LOST AT SEA GROUP WORKSHEET

Group _____

Instructions : This is an exercise in group decision-making. Your group is to employ the group consensus method in reaching its decision. This means that the prediction for each of the fifteen survival items must be agreed upon by each group member before it becomes a part of the group decision. Consensus is difficult to reach. Therefore, not every ranking will meet with everyone's complete approval. As a group, try to make each ranking one with which all group members can at least partially agree. Here are some principles to use in reaching consensus.

1. Avoid arguing for your own individual judgements. Approach the task on the basis of logic.
2. Avoid changing your mind if it is only to reach agreement and avoid conflict. Support only solutions with which you are able to agree at least somewhat.
3. Avoid "conflict-reducing" techniques such as majority vote, averaging, or trading in reaching your decision.
4. View differences of opinion as a help rather than a hindrance in decision-making.

— Sextant

— Shaving mirror

— Five-gallon can of water

— Mosquito netting

— One case of army rations

— Maps of the Pacific Ocean

— Seat cushion (flotation device approved by the Coast Guard)

— Two-gallon can of oil-gas mixture

— Small transistor radio

— Shark repellent

— Twenty square feet of opaque plastic

— One quart of 160-proof Puerto Rican rum

— Fifteen feet of nylon rope

— Two boxes of chocolate bars

— Fishing kit

LOST AT SEA ANSWER AND RATIONALE SHEET

Officers of the United States Merchant Marines ranked the fifteen items and provided the “correct” solution to the task.

According to these “experts”, the basic supplies needed when a person is stranded in mid ocean are articles to attract attention and articles to aid survival until rescuers arrive.

Articles for navigation are of little importance. Even if a small life raft were capable of reaching land, it would be impossible to store enough food and water to survive during that period of time. Therefore, of primary importance are the shaving mirror and the two-gallon can of oil-gas mixture. These items could be used for signalling air-sea rescue. Of secondary importance are water and food, e.g., the army rations.

A brief explanation is provided for the ranking of each item. These obviously do not represent all of the potential uses for the specified items but, rather, the primary importance of each.

1. **Shaving mirror**
Critical for signalling air-sea rescue.
2. **Two-gallon can of oil-gas mixture**
Critical for signalling - the oil-gas mixture will float on the water and could be ignited with a dollar bill and a match (obviously, outside the raft).
3. **Five-gallon can of water**
Necessary to replenish loss by perspiring, etc.
4. **One case of army rations**
Provides basic food intake.
5. **Twenty square feet of opaque plastic**
Used to collect rain water, provide shelter from the elements.
6. **Two boxes of chocolate bars**
A reserve food supply.
7. **Fishing kit**
Ranked lower than the chocolate bars because “a bird in the hand is worth two in the bush”. There is no assurance that you will catch any fish.
8. **Fifteen feet of nylon rope**
May be used to lash equipment together to prevent it from falling overboard.
9. **Floating seat cushion**
If someone fell overboard, it could function as a life preserver.
10. **Shark repellent**
Obvious.

11. **One quart of 160-proof Puerto Rican rum**
Contains 80 percent alcohol - enough to use as a potential antiseptic for any injuries sustained; of little value otherwise; will cause dehydration if ingested.
12. **Small transistor radio**
Of little value since there is no transmitter (unfortunately, you are out of range of you favourite AM radio stations).
13. **Maps of the Pacific Ocean**
Worthless without additional navigational equipment -it does not really matter where you are but where the rescuers are.
14. **Mosquito netting**
There are no mosquitoes in the mid Pacific.
15. **Sextant**
Without tables and a chronometer, relatively useless.

The basic rationale for ranking signalling devices above life-sustaining items (food and water) is that without signalling devices there is almost no chance of being spotted and rescued. Furthermore, most rescues occur during the first thirty-six hours, and one can survive without food and water during this period.

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