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February 22, 2024

MEMORANDUM

FOR : **ALL CONCERNED DA AND BFAR OPERATING UNITS**

ATTN : **DA SAAD RPMSOS AND BFAR SAAD NPMSO AND RPMSOS**

FROM : **SAAD NATIONAL PROGRAM DIRECTOR**

SUBJECT : **SAAD PHASE 2 SOCIAL PREPARATION GUIDELINES**

In line with the enhancement of the Social Preparation component, the program aims to standardize its social preparation strategies, processes, and activities through the cascading of its SAAD Phase 2 Social Preparation Guidelines.

The said guidelines aim to capacitate all SAAD implementers in the identification, needs assessment, and capacitation of SAAD Beneficiaries and ensure their readiness towards receiving the agricultural and fishery livelihood projects.

With this, please see the attached SAAD Phase 2 Social Preparation Guidelines including its annexes.

For queries, please contact the NPMO – SPPM Sub-unit at (02) 929 7349 or local 2833/2834.

Thank you.


ULYSSES J. LUSTRIA JR.



*Masagana ng Agrikultura,
Masana ng Ekonomiya*

SAAD PHASE 2 SOCIAL PREPARATION GUIDELINES

I. Introduction

Social preparation is a series of preliminary activities that assess the current situation of the group or community that aims to identify their socio-economic needs in their past, current, and future setup. It helps community organizers to efficiently extract relevant socio-economic information from a group or community that further serves as a baseline for community development-related activities.

On the SAAD Phase 2 setup, social preparation is categorized as a preparatory tool that identifies the needs of its target beneficiaries and capacitates them in preparation to project implementation of the program. Further, it is treated as a vital component of the program in the assurance of sustainability of its projects.

To highlight, SAAD Social Preparation starts from the point when it selects specific area coverage, including preliminary activities for a community organizer to enter and integrate in the community. The social preparation process also includes the identification and assessment of community problems with the farmers and fisherfolks including organizing, capacity building geared towards organizational strengthening before the planned livelihood intervention. However, it is noteworthy that social preparation is a continuous process that would vary in timeline from one group/community to another. It may differ based on area, culture, religion, livelihood, and other factors contributory to the development of the group or community.

As discussed in Department Order No. 6 or the Implementing Guidelines of SAAD Phase 2, the social preparation component has three (3) major sub-components: 1. Community Needs Assessment 2. Profiling and Databasing and 3. Capacity building activities. These sub-components subsume activities that further provide details and steps on the conduct of social preparation in the SAAD Phase 2 setup.

However, this guidelines' goal is to highlight the importance of social preparation to the achievement of the program's end goal. Thus, it will tackle strategies and activities that shall be supplemental to previously released policies of the program relative to social preparation.

II. Objectives

The general objective of this guidelines is to capacitate SAAD implementers in conducting social preparation thru appropriate strategies and activities. Specifically, it aims to:

1. Highlight the importance of social preparation in SAAD Phase 2 implementation;
2. Familiarize the SAAD implementers with the activities and processes of social preparation;
3. Define the roles of the SAAD implementers in the conduct of social preparation;
4. Specify the stages of social preparation; and
5. Identify and engage with the institutions and agencies for partnerships and collaboration.

III. SAAD Phase 2 Program Management Offices

In order to implement the program's major activities and components, it has rationalized its organizational structure from the national, regional, and provincial program management offices. Units, sub-units, and clusters were created to primarily lead the implementation of the core components of the program.

In the case of Social Preparation, it is under the National and Regional Operational Planning, Budget, Monitoring and Evaluation (OPBME) Unit and Sub-unit respectively. As such, the Social Preparation shall be led by the OPBME unit/sub-unit as guided by the National Director and Deputy Director in the national; and Focal and Assistant Focal in the regional level. Further, these PMOs that are tasked to lead the Social Preparation are as follows:

1. **NPMO – Office of the Director (ODD):** The office shall approve all policies and guidelines for the conduct of Social Preparation in the program.
2. **NPMO – Office of the Deputy Director (ODD):** The office oversees the overall Social Preparation activities conducted by the program across agriculture and fishery sectors in all SAAD-covered areas.
3. **NPMO – OPBME Unit and OPBME Social Preparation and Program Management (SPPM) Sub-unit:** As guided by the ODD, the SPPM shall serve as the technical lead of the program in social preparation. Specifically, their tasks are:
 - a. Formulate relevant policies and guidelines on social preparation;
 - b. Lead the regional SPPM in the cascading of formulated policies and activities;
 - c. Monitor the progress of beneficiaries who underwent social preparation;
 - d. Evaluate social preparation-related reports submitted to the NPMO;
 - e. Provide recommendations to the RPMSO and PPMSO on social preparation-related activities; and
 - f. Perform other duties provided by the NPMO.
4. **RPMSO – OPBME Social Preparation and Program Management (SPPM) cluster:** This cluster shall serve as the overseer of social preparation activities at the field level. Further, it shall be tasked to:
 - a. Lead the implementation of Social Preparation activities in the region;
 - b. Capacitate the RPMSO sub-units and clusters on social preparation activities including the PPMSO (Provincial and Municipal coordinators) on social preparation activities cascaded by the NPMO-SPPM;
 - c. Process and provide data gathered from PPMSO for report generation;
 - d. Prepare social preparation-related reports;
 - e. Provide recommendations on issues and concerns identified on social preparation process and other related activities to NPMO-SPPM ;
 - f. Conduct M&E activities relative to the progress of beneficiaries who underwent social preparation activities; and
 - g. Perform other duties as may be assigned by the SAAD Regional officers.

5. **DA-APCO and BFAR-PFO:** The PPMSO who is headed by the APCO/PFO shall lead all social preparation-related activities at the provincial level. Further, it shall:
 - a. Serve as lead coordinators and overseers of all social preparation activities at the ground level; and
 - b. Supervise all social preparation activities conducted.
 - c. Coordinate with their RPMSO, LGUs including private sector organizations for the successful conduct of social preparation activities at their level; and
 - d. Supervise the provincial and municipal coordinators on social preparation activities.

6. **PPMSO – Provincial and Municipal Coordinators:** The PPMSO through its provincial and municipal coordinators shall be the field/community development workers that will capture necessary data requirements of the SPPM including possible conduct of necessary capacity building activities. Further, it shall:
 - a. Serve as community development workers/ community organizers;
 - b. Conduct community immersion activities and other preliminaries related to social preparation;
 - c. Guide and provide recommendations at all times to the group beneficiaries in their organizational development, and strengthening, including capacity building and partnership activities;
 - d. Coordinate and establish rapport with the local government units (LGUs), community gatekeepers, and other community stakeholders;
 - e. Organize identified group beneficiaries into formal group beneficiaries including the assistance of registration to DOLE;
 - f. Assist in the formal registration of the identified beneficiaries;
 - g. Conduct profiling of identified SAAD beneficiaries;
 - h. Lead the conduct of social preparation activities as defined by the manual;
 - i. Act as data enumerators on necessary information needed by the SPPM; and
 - j. Perform other functions identified by the APCO/PFO/ Provincial Coordinator.

IV. Stages of Social Preparation

In SAAD Phase 2 perspective, social preparation is conducted to understand the socio-economic situation of its covered communities and beneficiaries. This helps the program provide appropriate and timely livelihood projects that focus on the immediate and long term needs of the beneficiaries. Further, the effects of social preparation are viewed to resonate to the community as the implementation of the program progresses.

To appreciate the progress of its activities, the stages of SAAD Phase 2 social preparation shall be detailed in the succeeding items. These stages will define necessary activities and expectations that the program shall use to guide and evaluate its beneficiaries undergoing social preparation.

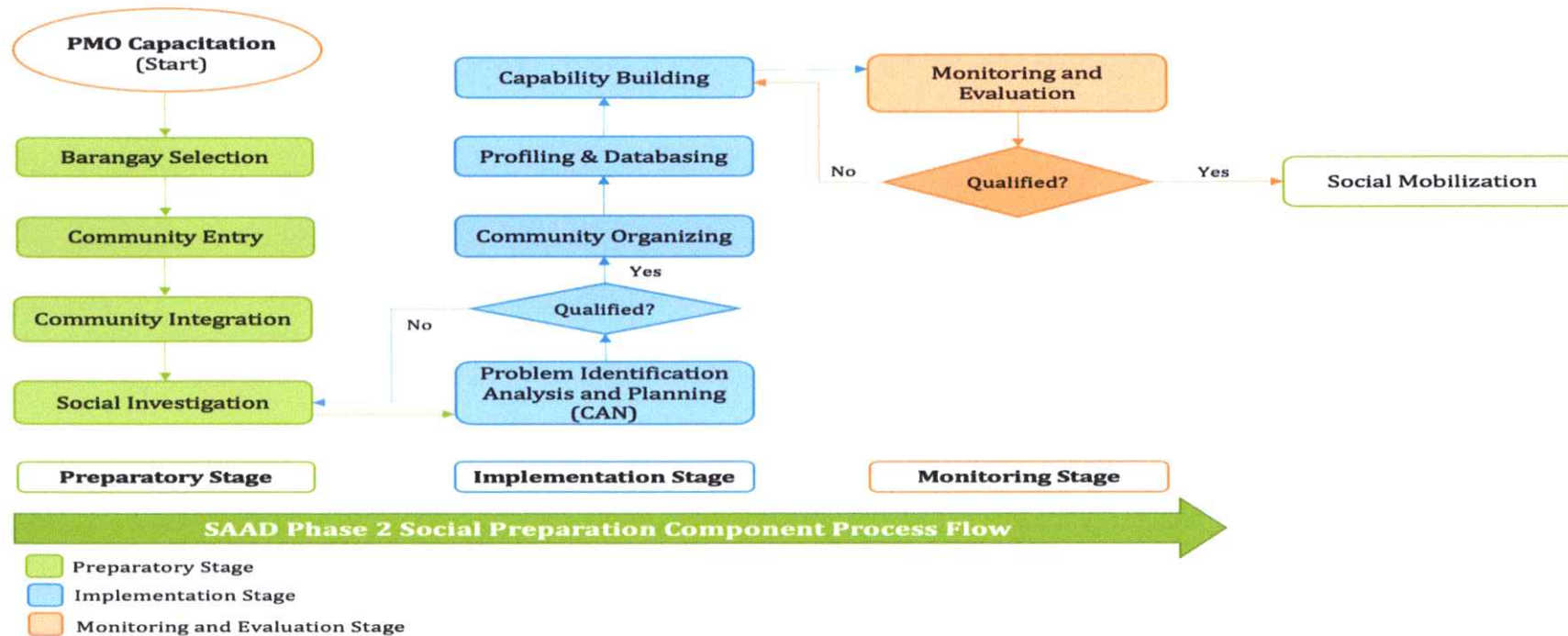
1. **Preparatory Stage** – this refers to activities conducted prior to the conduct of the Community Needs Assessment (CNA) of the program. This is conducted to ensure smooth implementation of the CNA at the field level.

2. **Implementation Stage** – this refers to activities from the CNA to the Capacity Development activities of the program.
3. **Monitoring Stage** – this refers to activities conducted after the implementation stage that would help identify the progress of the covered beneficiaries.

Lastly, to further understand the stages of social preparation, a process flow shall be in place. Further, this shall provide a preview of other underlying activities conducted within the social preparation which is viewed as vital to the success of the program's implementation of social preparation.

V. Social Preparation Process Flow

The three (3) external components of SAAD Phase 2 are categorized as a ladder of activities that partially coincide with each other during its implementation. As the 1st level on the ladder of implementation, social preparation serves as the stage that prepares the program's beneficiaries prior to the receipt of intervention. However, the conduct of capacity-building activities onwards may coincide with the Food Production and Livelihood component due to the process of government implementation. Lastly, partnerships may be forged pre-, during, or post social preparation depending on the agreement of the SAAD PMOs with the identified partners. (See Figure below)



VI. Social Preparation Activities

The social preparation activities refer to all major activities and strategies that the concerned implementing units shall use to implement the SAAD Phase 2 Social Preparation. In addition and as guided by the process flow, these activities shall serve as the main reference for the program in delivering progressive activities aiming to create a ladder in developing its beneficiaries.

The process of conducting social preparation consists of interrelated activities from preliminary to post-implementation of the social preparation component where implementers conduct a social analysis of the target group or community. It must be noted that social preparation like organizing, strengthening the organization, and consultative meetings with the targeted FA is a “Continuous Process” depending on the situation at the ground level or barangay level or depending on the level of the FA’s readiness towards reaching Social Mobilization. In terms of the actual process, it shall be guided by the following:

1. Preparatory Stage - refers to activities conducted prior to the conduct of CNA that are vital to the execution of the entry of the program to the target community.

a. PMO capacitation – in order to start the social preparation, the PMO must be capacitated in the conduct of its sub-components. However, there are prior preparations that must be done internally to ensure that the conduct of activities is comprehensive to the implementers. Further, the PMO shall undergo:

- i. Orientation and capacitation on the policies and guidelines of Social Preparation;
- ii. Field trainings on social preparation related activities and tools such as facilitation skills in Focus Group Discussion (FGD), Community Organizing, Organizational Strengthening, and Participatory Rural Appraisal including BNA;
- iii. Post-evaluation and recalibration after field training activities

It must be emphasized that these trainings must be cascaded before the formation of the PRA team by the RPMSO

b. Barangay Selection – refer to Department Order No. 6 or the Implementing Guidelines of SAAD Phase 2 for FY 2023 – 208 pages 5 & 6 (additional selection criteria for SAAD Phase 2 areas).

c. Community Entry – refers to the coordination with the local leaders/ gatekeepers of the target community to establish a core group and conduct the initial assessment of the target group or community;

d. Community Integration – an in-depth understanding of the target beneficiary to acquire primary data such as their history, norms/culture/ tradition and aims to establish rapport within the community;

e. Social Investigation – is the process of gathering the social, economic, environmental, gender sensitivity, and political dynamics in the target group or community. Further, it aims to scan the community in terms of political landscape.

community. Further, it aims to scan the community in terms of political landscape. This can be done using the secondary data that can be gathered from the LGU and other gatekeepers of the community and personal observations of the Community Development Worker

2. Implementation Stage – refers to the activities that follow after the preparatory stage.

A. Problem Identification, Analysis, and Planning (CNA) – the beneficiaries through their assigned community development worker reflect, identify, and discuss the issues and concerns affecting their lives. This is the time when the CNA are used to extract key information from the beneficiaries themselves using the BNA/PRA tools. This process produces key information contributing to the crafting of possible livelihood opportunities. It creates a “the sense of ownership” and sustainability of the project, with the end goal towards the community based enterprises (CBEs) status as envisioned by the SAAD program. However, as mentioned earlier, this process must be regularly done to the FA by the Area Coordinator assigned to monitor the progress of the FA or identify gaps that can affect the progress of the FA as an organization toward its ability to achieve a social mobilization status.

i. Participatory Rural Appraisal - SAAD embraces the concepts and principles of Participatory Development where it advocates for the total empowerment of the marginalized farming and fishing communities through the use of various social development approaches that include social preparation, community organizing, and organizational development to ensure their readiness to accept and manage their projects. To make it more meaningful and effective, capability-building of both SAAD implementers and beneficiaries is given priority under the program. Another strategy as one of the innovations of the SAAD program Phase 2 is the mainstreaming of the PRA as its planning tool in establishing beneficiaries' baseline data. Through this activity, all SAAD covered areas are aimed to have a PRA study that will be the basis of development and impact at the end year of the program.

PRA is a more detailed approach to get the real needs of the targeted beneficiaries compared to the Beneficiary Needs Assessment (BNA) earlier implemented. It shall be emphasized that conducting PRA needs skills and cannot be conducted by 1 to 3 Area Coordinators at a given time in 1 organization or FA considering the various tools being used. It shall be understood that the PRA information can be crosschecked with the secondary data gathered about the FA and the community including the AC's own observations during his/her initial or preliminary activities and community integration mentioned earlier along the social preparation process. The PRA results shall be validated and revalidated based on the actual conditions or using the triangulation approach mentioned in previous guidelines. In cases, where the need arises in areas where BNA has been previously conducted but doubtful on the initial BNA results, the Area Coordinator can opt to use the PRA tools.

The RPMSO shall prepare and submit a PRA report to be submitted and approved by the Regional Executive Director/Regional Director as the SAAD Regional Focal person.

The SAAD NPMO shall spearhead a Training of Trainers (TOT) of RPMSO and PPMSO for skills development of its field implementers. There shall be the formation of PRA Teams in each region. To maximize the RPMSO/PPMSO capacity, it is highly recommended that all members shall attend the PRA TOT. (refer to the attached PRA guidelines and report outline (Annex A and B) for further information).

- B. Community Organizing** – it is a tool under the social preparation process being used in situations where there are no organized groups in the community or the existing organization is already inactive as a result of the community needs assessment (CNA). However, it can also be used in situations that need immediate action by the Area Coordinator, such as, if the existing and active organization suddenly becomes problematic as a result of conflict between officers and members or among officers in the organization that can be critical in achieving the objectives of SAAD.

The main focus is to develop the organization making the members realize the need to be organized and participate in the SAAD Program. On the other hand, in areas where there is an existing/active organization the community development worker may opt to focus directly on strengthening the organization. To ensure strong participation in the program, the organized group shall undergo a series of capability-building activities as programmed by the assigned community development worker. Suggested topics are enumerated under capability building training of these guidelines.

- C. Profiling and Geotagging** – in establishing the baseline data, the program conducts profiling and databasing. Primarily, socio-economic data on beneficiary profiles are extracted from the Registry System for Basic Sectors in Agriculture (RSBSA). If the selected beneficiaries are yet to be registered to RSBSA, the SAAD RPMSO shall proceed first to SAAD profiling and shall be later endorsed to DA RFO RSBSA for official registration

- i. **Beneficiary Profiling** - This activity involves capturing qualified SAAD beneficiaries' primary personal, socio-economic, and agri-fishery-related data. This shall be conducted by the concerned Area Coordinator. It is also used to monitor the provided SAAD livelihood projects discussed in the guidelines of the SAAD Phase 2 Information Technology Database Development Unit (IDD). **Profiling shall be done after the conduct of the BNA or PRA to ensure that the farmers and fisherfolks are really the identified beneficiaries.**
- ii. **Geotagging** – This activity involves processing gathered SAAD profiling data for mapping and uploading to the SAAD Program database through the use of the Global Positioning System (*refer to IDD guidelines for further information*). This shall be done immediately after profiling.

- D. Capacity Building** – Comprises activities that aim to strengthen the functional group beneficiaries through series of trainings that focus on strengthening the individual and organizational capability of farmers and fisherfolk to ensure beneficiaries' readiness to receive the livelihood projects. As such, the types of capacity-building training are as follows;

- i. **Organizational Development** – For areas without existing FAs or with inactive FAs or in areas where there is an existing FA but there is/are internal conflict in the organization and those FAs analyzed or observed with minimal capacity to become SAAD interventions based on its orientation/mandate and priorities/ organized and initiated by a government organization for a specific purpose. These capacity-building trainings will focus on setting up the organization by strengthening the following aspects; Organizational Structure, Skills, Strategy, Systems, Officers, and the organizational goals specifically on clarity of specific roles and functions of members and officers including their individual commitments to manage their project and their organization as well. The following are the suggested topics that promote the organization's development such as;
 1. Organizational Structuring
 2. Developing the Mission, Vision, and Goals of the organization
 3. Delineation of authority, tasking, and functions
 4. Organizational planning and management
 5. Organizational culture
 6. Values formation

- ii. **Organizational Strengthening** – For areas with already existing and active FAs. This refers to strengthening the organization's capabilities to manage and sustain the livelihood project.
 1. Leadership Development – This capacity-building training will focus on developing the organization members by identifying potential leaders, and capacitating the core group in leading the identified.
 2. Team Building – a capacity building activity that incorporates and tests or exhibits the effects of the previous three (3) capacity building activities to enhance the cohesiveness of the group further.
 3. Financial Literacy – this capacity building mainly focuses on organizational development in terms of financial aspects such as management, budgeting, and investment.
 4. Basic bookkeeping – refers to capacity-building on basic financial record keeping and management of the organization.
 5. Advocacy, networking, and linkage - refers to the capacity-building for the FAs to have the skills and confidence to push various issues and concerns for the benefit of the FA including partnering and collaborating with other organizations.

The capacity building activities indicated above are basics in Social Preparation that must be provided to the group beneficiaries for the improvement of their skills individually and as an organization. However, the RPMSO and PPMSO may identify and provide additional types of training based on the needs of the FCA beneficiaries.

It must be emphasized that these trainings are based on the initial diagnosis of the organizations by the concerned Area Coordinator whether the organization is already moving towards social mobilization or not.

3. Monitoring and Evaluation Stage- refers to the activities conducted after the implementation stage.

A. Monitoring- refers to progress field monitoring on the development of the beneficiaries covered under the SAAD social preparation. This shall be conducted by the RPMSO/PPMSO thru the Provincial and Municipal Coordinators. In addition, this aims to:

- i. Provide a continuing discussion on the issues and concerns to further assist and guide the development of the beneficiaries and the organization as a whole;
- ii. Validate feedback from the beneficiaries and re-echo to the RPMSO – SPPM; and
- iii. Provide recommendations to the RPMSO – SPPM to further enhance its activities relative to the field situation.

B. Evaluation – evaluation plays a major role in the development of policies and adjustment or enhancement of its conducted activities. It assesses the consolidated feedback and data during the monitoring stage and provides key result areas that can be used to assess the beneficiaries or the program’s activity as a whole.

In addition, the evaluation serves as the declaration of the program if the FA beneficiary that underwent social preparation has passed and received their livelihood interventions or would require further capacity-building activities en route to the level of social mobilization. Further, this evaluation shall be guided and based on the following categories:

- a. **Social Preparation Assessment (SPA) Pre-Evaluation form** – this shall provide a snapshot of the current level of organizational development / organizational strengthening of the identified group beneficiaries only in areas where there is an existing organization **prior to the conduct of CNA** (see Annex C). This shall be conducted by the assigned Area Coordinator and shall be assisted by the Regional team. It shall be attested by the concerned Agriculture Provincial Coordinating Officer (APCO) / Provincial Fishery Officer (PFO) and shall be submitted to SAAD Regional Focal.
- b. **Social Preparation Assessment (SPA) Post-Evaluation form** – this shall evaluate the level of organizational development/organizational strengthening of the identified group beneficiaries **after all the Capability Building activities** have been conducted. (see Annex D). This shall be conducted by the assigned Area Coordinator and shall be assisted by the Regional team. It shall be attested by the concerned Agriculture Provincial Coordinating Officer (APCO)/Provincial Fishery Officer (PFO) and approved by the SAAD Regional Focal

VII. Social Mobilization

For SAAD Phase 2, it must be emphasized that the program's vision is to achieve the socio economic empowerment of its beneficiaries and community in improving their living conditions. It must also be made clear that the process of social preparation is the

achievement of the organization and community towards the condition of **Social Mobilization—the ultimate goal of the SAAD Social Preparation component**. It is a situation where the Organization can already stand alone, advocate for changes, influence policy-makers, negotiate and access their needs, network/link and partner with other organizations, and build social capital. Social capital is achieved if the Organization where able to win and gain support from other organizations in the locality, the local government units, and other stakeholders in relation to their vision and goals for collective actions towards the realization of their desire to uplift their lives and the community as well. Hence, the process of social preparation in the SAAD program is critical thing towards social mobilization.

The readiness of the organization going into the Food Production and Livelihood (FPL) component of SAAD lies primarily in how social preparation is properly done. As mentioned in these guidelines, social preparation is a continuing process and a never ending consultation with the farmer/fisherfolk organization. This is the main reason why Area Coordinators are assigned in the covered barangays to guide the farmers/fisherfolk in their journey to attain the first step which is to gain CBE status. Achieving the social mobilization status of the organization or the community itself requires the prerequisite of economic empowerment which is the CBE that serves as the triggering device needed to propel the organization or community to strive for more, rally together, and decide towards one direction.

As mentioned social preparation is geared towards the development of an organization thru community organizing approach (for areas without existing organization or FA, for areas with existing organization or FA but inactive or with internal problems in the organization).

There shall be a short evaluation of the farmers and fisherfolks that must be done to gauge the status of the Organization and the community as well. Attached are the suggested interview guide for the individual members and officers of the organization. This portion is very important to determine the status of the Organization towards the road to the social mobilization that the SAAD program wants to achieve.

It must be emphasized in these guidelines that social mobilization does not require an FA to achieve a cooperative status to stand alone. It depends on how the individual members and leadership become cohesive and unified in their collective efforts not only in running their SAAD projects but more on their desire and commitment to continue their projects, uplift their lives and living conditions even in the condition that the SAAD program is no longer around.

VIII. Partnerships

In order for the program to maximize its resources, it shall seek partnerships internally and externally both from the private and government institutions. This will help mobilize the program more efficiently and accordingly in terms of expertise and capacity. However, the identification of these partner agencies/institutions requires consultation for joint undertakings relative to the achievement of the program goals. These identified partners, but not limited to, are as follows:

Agriculture and Training Institute (ATI) – may assist in the formulation and/or conduct of general training needs of the program in terms of social preparation. It may also provide capacitation to the SAAD in the formulation of related training materials such as modules.

Cooperative Development Authority (CDA) – may assist in the facilitation of accreditation for SAAD group beneficiaries into cooperatives including all necessary activities such as orientations, training, registrations, and the like.

Department of Social Welfare and Development (DSWD) – may provide supplementary support that coincides with the social development of the program whether in the form of technical training, policy development, or additional financial support to help the SAAD group beneficiaries achieve community development.

Philippine Crop Insurance Corporation – may provide insurance protection to farmers against losses from calamities, plant diseases, and pest infestation of their crops.

State Universities and Colleges (SUCs) – may assist in the formulation and/or conduct of localized training needs of the program in terms of social preparation. It may also provide capacitation to the SAAD in the formulation of related training materials such as modules.

Local Government Units (LGUs) – may provide additional support in the achievement of objectives of the social preparation process through policy related activities at the field level and/or additional technical and financial support to the SAAD group beneficiaries.

IX. EFFECTIVITY

This guidelines including all its annexes shall take effect immediately upon approval. The purpose of these guidelines is to cover the social preparation processes of SAAD Phase 2 from 2024 to 2028. Therefore, all social preparation activities conducted prior to the approval of this guidelines shall not be affected.

ACRONYMS

ATI – Agriculture and Training Institute

BNA – Beneficiary Needs Assessment

CDA – Cooperative Development Authority

CNA – Community Needs Assessment

DSWD – Department of Social Welfare and Development

FPL – Food Production and Livelihood

IDD – IT and Database Development

LGU – Local Government Units

M&E – Monitoring and Evaluation

NPMO – National Program Management Office

NPMSO – National Program Management Support Office

OPBME – Operational Planning, Budget, Monitoring and Evaluation

PCIC – Philippine Crop Insurance Corporation

PPMSO – Provincial Program Management Support Office

RPMSO – Regional Program Management Support Office

SPPM – Social Preparation and Program Management

SUC – State Universities and Colleges

DEFINITION OF TERMS

Community – a group/s of people living in a particular area sharing the same interests, social group, or nationality.

Community Development –is a practice-based profession and an academic discipline that promotes participative democracy, sustainable development, rights, equality, economic opportunity, and social justice, through the organization, education, and empowerment of people within their communities, whether these be of locality, identity or interest, in urban and rural settings.

Community Participation - refers to an active process whereby beneficiaries influence the direction and execution of development projects rather than merely as recipients of projects project profits.

Beneficiary Needs Assessment (BNA) – refers to the gathering of the basic socio-economic profile of the SAAD target beneficiaries through a focused group discussion to ensure alignment of the present and plans of the SAAD Program (*refer to BNA guidelines*)

Participatory Rural Appraisal (PRA) –is a planning tool that aims to identify and establish accurate baseline data incorporating the actual needs of its target communities to formulate agricultural and fishery livelihood projects that are suited and appropriate as identified by the farmers and fisherfolk themselves to improve their socio-economic conditions (*refer to PRA Guidelines*).

Community Needs Assessment- a planning tool that comprises preliminary activities that identify the problems, conditions, concerns, needs, and analysis with the targeted beneficiaries and aim to validate the accuracy of gathered secondary data in preparation for the implementation of the livelihood projects. An example of this is the conduct of BNA/PRA.

Focus Group Discussion - is a qualitative method of gathering data or information that involves the participation of a group of people in a discussion to yield information about their perspectives, attitudes, and practices on a particular issue. The discussion is guided by a moderator who asks questions and keeps the conversation casual yet informative. (Development Alternatives, Inc., 2008)

Group – a number of individuals assembled together for a specific purpose.

Implementers - a person/entity/body that puts the project plan into action to complete the program's objectives. In the context of the SAAD Program Phase II, the implementers are the Regional Program Management Support Office (RPMSO) and Provincial Program Management Support Office (PPMSO).

Livelihood – refers to the provision of agricultural and fishery package of interventions provided based on the needs of the targeted farmers/fisherfolks.

Organization – refers to the farmers/fisherfolk groups organized/strengthened under the program.

Organizational Development - is a systematic approach that promotes the overall growth of an organization in terms of its structure, systems, plans, operations, values, and culture.

Organizational Strengthening- This refers to strengthening the organization's capabilities to manage its own operations, promote teamwork, and enhance the individual capabilities of its individual members/officers to sustain their livelihood projects and improve their living conditions.

SAAD Target Beneficiaries - identified groups that qualify under the beneficiary selection criteria of the SAAD Program Phase II that will be provided with livelihood projects.

Socioeconomic – refers to the interaction of social and economic factors that identify and evaluate the social and financial status of an individual or group.

Social Analysis - is a process that aims to identify the social dimensions of projects, as well as analyze the different stakeholder perspectives and priorities.

Social Mobilization- It is the situation where the Organization can already stand-alone, can advocate for changes, can influence policy-makers, can negotiate and access their needs, network/link and partner with other organizations, and build social capital.

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PARTICIPATORY RURAL APPRAISAL (PRA) OPERATIONAL GUIDELINES
SAAD Phase 2 Social Preparation Component

I. INTRODUCTION/OVERVIEW AND RATIONALE

The SAAD Phase 2 is a developmental DA locally funded project that aims to help reduce poverty incidence in its covered municipalities. Through its core components, it shall develop its farmer and fisherfolk beneficiaries by providing appropriate tangible and intangible support. One of its core components is the Social Preparation. Its preliminary activities involve the establishment of baseline data that shall serve as the basis of project implementation, policy formulation, and developmental activities of the program.

The SAAD Participatory Rural Appraisal (PRA) is a planning tool that aims to identify and establish accurate baseline data incorporating the actual needs of its target communities to formulate agricultural and fishery livelihood projects that are suited and appropriate as identified by the farmers and fisherfolk themselves relative to achieving the goals of the program.

One of the innovations of the SAAD program Phase 2 is the mainstreaming of the PRA as its main planning tool in establishing beneficiaries baseline data. Through this activity, it is aimed that all SAAD targeted group beneficiaries in the covered areas have a PRA study that will be the basis of development and impact at the end year of the program.

The PRA tools shall be utilized by the SAAD RPMSOs and PPMSOs in their respective regions beginning the fiscal year 2024 and onwards. SAAD NPMO shall oversee the process.

II. OBJECTIVES

The general objective of these guidelines is to mainstream the utilization of PRA in the SAAD social preparation process. Specifically, it aims to:

1. Harmonize and standardize the processes involved in PRA;
2. Provide options to implementers based on current manpower capacity, target timeline, and budget constraints;
3. Strategize implementation of PRA based on deadlines and required deliverables;
and
4. Enhance the comprehension of SAAD staff involved in the conduct of PRA.

III. PARTICIPATORY RURAL APPRAISAL

a. Team Composition and Functions

There shall be a Regional PRA team to be created by each RPMSO, these teams shall be composed of SAAD Officers coming from OPBME (SPPM, FPL, and MAED) ITDD, PRDC, and assigned PPMSO to maximize manpower requirement of the PRA process.

The members of this team had undergone the PRA TOT training initiated by the SAAD NPMO. The PRA team shall be responsible for the conduct of all PRA related activities in the region. They shall be also responsible in the crafting of PRA reports to be submitted to the Regional Assessment Team.

b. PRA Regional Report Assessment Team Composition and Functions

On the other hand, the draft report crafted by the Regional PRA Team shall be reviewed, assessed, and approved by the regional assessment team composed of:

1. **Regional Focal.** Serve as the chair of the team and shall be responsible in presiding meetings of the team. Shall also approve the PRA reports submitted by the regional PRA team.
2. **Regional Assistant Focal.** Shall assume the responsibilities of the regional focal in the absence of the latter.
3. **Regional OPBME lead, SPPM lead, MAED lead, FPL lead.** Who shall be responsible for the evaluation of the technical merits of the reports.
4. **PPMSO – APCO.** Shall also serve as an evaluator of the PRA reports submitted.

The concerned area coordinators and members of PRA team serve as resource persons during the evaluation. The RPMSO shall serve as secretariat during meetings.

c. Methodology

Data gathering and sources

The data source shall vary based on the tools used under the PRA. It shall be a mixture of primary and secondary data gathered through the guidelines provided under the PRA. As such, these shall be based on the following:

Primary Data

1. **Phase 1** - thru the village walk, it shall identify vital information related to the mapping of the concerned community. In terms of data per tool, the following are highlighted to be captured during the village walk:
 - a. Village Map – zoning, topography, road networks, land use, infra development, bodies of water,
 - b. Social Map
 - c. Village Transect
2. **Phase 2** – a Focused Group Discussion (FGD) shall be conducted to discuss with the community the situationer of the area. This includes past, present, and future information that will fill out the following PRA tools:
 - a. Timeline – all relevant major events remembered/recalled by the participating community and/or respondent relative to the agriculture landscape of the area covered.
 - b. Trend Analysis (based on recall) – time series data involving the evolution of identified socio-economic indicators and propagation/proliferation of agricultural commodities grown within the community. This also includes forecasting relative to the identified indicators and commodities.

3. **Phase 3** – data needed for phase 3 shall be gathered using FGD and shall identify the natural and man-made factors that affect production and post-harvest activities within a certain community at a specific time (1 year). It involves various players participating and monetary/non-monetary considerations in formulating possible business decisions for the concerned individuals, groups, or the community as a whole.
 - a. Seasonal Calendar – data required includes climate situationer, cropping patterns, sources of food, water supply, pest and diseases, and farm related information (production to post-harvest)
 - b. Hazzard Map – series of climatic events identified based on intensity, effects, and timelines
 - c. Resource Flow Diagram – identified livelihood sources both on and off-farm
 - d. Cost and Return Analysis – identified resources in item c. including cost items both fixed and variable including household income
 - e. Institutional Diagram – list of government and non-government institutions that extended or provided support, both financial and non-financial either as goods or services, to the covered community.
 - f. Market Analysis Map – listing of identified market outlets both local and foreign, fixed and moving, within the community
4. **Phase 4** – based on the data gathered during Phase 1 – 3, phase 4 shall be the culmination of this information and further understanding of its uniqueness and interconnectivity relative to prevailing and future problems as well as identifying possible solutions both short, medium, and long term.
 - a. Problem Ranking – identification of existing problems of the community and ranking such based on its degree or effects as a whole including its prioritization
 - b. Problem Cause Diagram – identifying the causes (primary, secondary, tertiary, etc.) based on the identified problem of the community. This includes the connectivity and relevance of each problem from one another.
 - c. Possible Solution Ranking – as identified in item 1, listing of solutions ranked based on its feasibility and applicability to address certain identified problems.
 - d. SWOT Analysis – data relevant to the identification of strengths and weaknesses internal to the community and external factors reflective of the opportunities and threats.
 - e. Recommendation – identification of proposed livelihood projects, related trainings, and other interventions

Secondary Data

Review and use of secondary data by the PRA team shall provide and level off certain expectations within the target community in support to the preparation of necessary activities, relevant guide questions, and data acquisition methods unique to the identified situation in the area, such as:

1. Phase 1 – Existing Barangay Map and LGU reports
2. Phase 2 – Barangay list of major socio-economic and agricultural events identified by existing National government and LGU reports
3. Phase 3 – DA related reports from AMIA, LGUs concerned

4. Phase 4 – DA and LGU related reports

d. Reference Tools

As cited in the previous sections, the PRA tool is subdivided into five (5) phases. Each phases require unique but relevant and validated data that shall be used for the crafting of the PRA report. As such, it is important to study secondary data in the preparation for the conduct of the PRA since it will provide the similarities and differences of existing reports from other national and local agencies. With this, the following are possible secondary data sources that the PRA team can research and use as references in PRA preparation:

1. Phase 1: Google Maps, Google Earth, PSA Data, Municipal website
2. Phase 2: DA reports, SUC reports, LGU reports, PSA Data, NSO reports, DENR reports, Google
3. Phase 3: DA reports, PSA reports, LGU reports, DILG reports, DSWD reports
4. Phase 4: DA reports, PSA reports, LGU reports, DILG reports, DSWD reports and other government agency reports

e. Strategy for PRA Implementation

The RPMSO shall create a Regional PRA Team (as cited in Section III). Members of this team shall undergo Training of Trainers (TOT) for PRA initiated by SAAD NPMO to harmonize the PRA process in all regions. However, the RPMSO may tap the services from other government and non-government organizations who have direct experience in the conduct of PRA to assist. In some cases, the RPMSO may also request other technical personnel from RFO/RO to augment the manpower capacity of the Regional PRA Team.

Pre-PRA Activities:

The assigned Area Coordinator shall notify the RPMSO through the PPMSO on the agreed scheduled date of PRA as per consultation with the targeted group beneficiary. The Area Coordinator shall likewise notify the Local Government Unit (LGU) on the date of PRA for proper coordination. The selection of the PRA venue is at the discretion of the LGU concerned or the targeted group beneficiary whatever is possible.

However, in case the selected barangay has no existing group beneficiary the Area Coordinator and the office of the Municipal Agriculturist (MA) through the Barangay LGU shall agree to call a general assembly meeting of the farming/fishing community in the barangay for an orientation about SAAD and scheduling of the PRA. The Area Coordinator shall immediately inform the RPMSO of the agreed schedule.

Conduct PRA Activities:

The RPMSO/ PPMSO as the regional PRA Team, shall conduct the PRA using the various tools outlined and discussed in the attached PRA Activity Guide (Annex A). The regional PRA team shall use various strategies and options to facilitate the

process and achieve the objective of the PRA approach. Normally, a PRA can be conducted in one (1) day after which a PRA report shall be prepared by the team and shall be submitted to the Regional Executive Director/ Regional Director. (refer to the attached outline for PRA report- Annex B)

All information gathered as a result of PRA shall be affirmed by the targeted group beneficiary/community through a plenary session of the PRA participants.

Post PRA Activities:

The RPMSO/PPMSO shall call a general assembly meeting of the farming community in that barangay and may proceed to conduct social preparation activities such as community organizing/strengthening and profiling of qualified beneficiaries prior to the distribution of livelihood interventions.

f. Timeline

The SAAD PRA shall be conducted starting the fiscal year 2024 onwards as mentioned under Section I of this guideline. As such, all SAAD targeted group beneficiaries must undergo PRA.

1. PRA Schedule – As a guide to the implementation of the SAAD PRA, the team is tasked to formulate a calendar that shall detail the target timeline vis-à-vis communities to be covered. This shall be in a calendar format both printed and e-copy shareable to the whole RPMSO and PPMSO.

2. PRA Report – Once approved by the Regional Executive Director/Regional Director the PRA report shall be submitted immediately to the SAAD NPMO. This is for the vetting of the NPMO on the report provided by the RPMSO. Vetting of reports refer to the random validation of PRA reports in the reported communities. This will provide an opportunity for the NPMO to identify the fluidity and accuracy of information gathered in the PRA reports.

In addition, an updating of PRA shall be conducted three (3) years after its 1st conduct to provide updated details of the community.

SAAD Participatory Rural Appraisal (PRA) Activity Guide

Introduction

The PRA is composed of 5 Phases which shall be the reference in conducting the SAAD PRA. These Phases require primary data gathering and data processing to come up with a report that provides the overall needs of the program's target communities and beneficiaries. The succeeding sections will discuss each phase including its processes, requirements, and desired output.

I. **Phase I. Mapping**

A. **Overview**

The first phase is a set of activities that determine the geographical, topographical, agricultural, and meteorological features of the area. Additional maps are also created to locate specific facilities and structures and identify certain characteristics and phenomena.

B. **Objectives:**

- Identify the general biophysical, socio-cultural, and economic conditions of the area; and
- Organize the collected information into intelligible illustrations and maps.

C. **Materials Needed:** *(Note: It is advised that the facilitators have already prepared and secured the appropriate amount of cutouts and extra materials before venturing into the field.)*

- Pen
- Notebook
- Camera
- Manila paper (may be cut into the desired size of the map)
- Markers (different colors encouraged)
- Plastic cover (multiple sheets of the same size as the manila paper sheets for overlay)
- Tape
- Meter Stick

D. **Activities**

Activity 1: Reference Map. Facilitators will conduct a desk review of the map's features gathered from the municipal and other sources that serve as part of secondary data. This shall be done before the actual conduct schedule of PRA.

Procedure:

The facilitator will source reference maps containing key geographical, topographical, agricultural, and meteorological features. This includes, but is not limited to, the following Reference materials in preparation for a village walk:

Maps/Data	*Source/s
Area map	Google Earth or Google Maps, National Mapping and Resource Information Authority (NAMRIA)
National Color-Coded Agricultural Guide (NCCAG) Map	DA Farmers Guide Map (% AMIA, BSWM) - http://farmersguidemap.da.gov.ph/ , SAAD database (if available and updated)
Agricultural suitability map	UPLB-SARAI Project - http://maps.sarai.ph/
Meteorological/climate map	Concerned Local Government Unit (LGU)
Geological and Geohazard Map	DENR-Mines and Geosciences Bureau https://mgb.gov.ph/en/2015-05-13-02-02-11/mgb-news/303-mgb-s-geohazard-maps-now-viewable-and-downloadable-online
Ethnographic Locations of ICCs/IPs or Philippine Map-approved Certificate Ancestral Domain Title (CADT) areas (NCIP/NMRIA)	

**Sources and maps are not limited to the given references. It is highly encouraged that the facilitators explore all possible sources of information to gain extensive insight into the area.*

The facilitator will process the mandatory office documents and appointments with the LGUs and targeted group beneficiaries for the conduct of PRA.

Activity 2: Village Walk. This shall be done separately before or after the scheduled PRA. This is being done to allow the facilitators to observe and experience the actual conditions of the area.

Procedure:

1. The facilitator will secure permission from the LGU/NCIP/Tribal chief for their arrival for coordination and assistance.
2. Farmers will lead a tour around the target area where the facilitators will validate community boundaries, land use patterns (agricultural areas, pasture, forest, human settlements), landmarks, and prominent structures and infrastructure.
3. During the village walk, the facilitator (using a camera), will document important landmarks, structures, and infrastructure.

Note/s:

- a. *The facilitator must be keen in listening to and taking note of key information, historical events, and stories shared by the farmer as they are vital to understanding and empathizing with the true needs of the farmer.*
- b. *The facilitator must refrain from asking leading questions or influencing any response from the farmers (in other words, the line of questioning must not encourage or guide the respondent/s toward a desirable answer)*

Activity 3: Drawing of the Base Map and Overlays. The farmers will be asked to recreate a basic drawing of maps and overlays that identifies community boundaries, major bio-physical land use patterns, landmarks, and infrastructure within the community.

Procedure:

1. Gather the farmers at a designated working area.
2. On a sheet of manila paper ask the farmers to draw the base map of their area.
 - **Base Map** is a drawing of the entire land area, which includes community boundaries, major bio-physical land use patterns, landmarks, and infrastructure within the community.
3. In a separate sheet of plastic wrap, ask the farmer to draw the following overlays:

Map or Overlay	Brief Description
Topographical map	Indicates terrain (hilly, slope, flat) and soil type (clay, loam, sandy, etc.)
Transect map	Describes soil properties (acidity, color, texture, nitrogen, phosphorus, and potassium levels) Identifies the land use, crops produced (annual/perennial crops), animals raised, including the problems encountered/opportunities during production.
Social map	Indicates spatial distribution of household in the community, it also determine the social status and well-being of different community members. It locates the poorest people situated in the community.
Enterprise map	Plots all business activities in the area
Soil map (<i>optional</i>)	Indicates areas with specific soil types (clay, loam, sandy, etc.)
Climate-related hazard map (<i>optional</i>)	Indicates disaster-prone areas (flooding, landslides, earthquakes, drought, strong winds, salt intrusion, sea level rise)
Hydrology map (<i>optional</i>)	Depicts natural and artificial water resources, irrigation systems

4. When the drawings are finished, ask the farmers to identify a group leader or presenter who will explain their map and overlays to the group for confirmation of the data gathered

II. Phase II. Timeline and Trend Analysis

A. Overview

The second phase is a set of activities that compiles and depicts important historical events, from the improvements in infrastructure to the increase or decrease in output of agricultural goods, as well as goods that are no longer produced for any reason. It consists of the following PRA tools:

- a. The **timeline** describes the history of the community and how it contributed to its development.
- b. **Trend analysis** is a visual documentation of past, present, and future directions or patterns of the community's life. It also examines the implications and causes of such changes.

B. Objectives

- List down important events in the community's past that contributed to its current state;
- Identify the crops and livestock produced across periods;
- Compare the agricultural yield across periods;
- and
- Perform trend analysis in the community

C. Materials Needed

- Manila paper
- Marker

D. Activities

Activity 1: Timeline

Procedure:

1. The facilitator will gather the local elders and farmers of the area for a storytelling conversation about the history of the area. (Activities are recorded or documented by the facilitator)
2. The facilitator will ask the farmers to recall highlights of the development of the community, such as the agricultural and infrastructure improvements and the introduction of crops and livestock. The following are (but are not limited to) possible points of interest to take note of
 - Significant historical events in the community (changes in name, classification, the division into smaller barangays, etc.)
 - Community health history (common illnesses; outbreaks occurred) and improvements in healthcare
 - Timeline of urbanization, such as the construction or evolution of infrastructure (roads, residential, business, schools and other establishments, electricity, telecommunications service, water sources (residential/farming), etc.)
 - Development in the source of income and livelihood including means of selling their crops/livestock produce.

- Natural calamities and observed changes in weather patterns over the years (typhoons, floods, earthquakes, volcanic activity, drought, etc.)
 - Developments in local agricultural production (increase/decrease of agricultural yield and its market value, the introduction of new crops and varieties, machinery, new breeds of livestock, etc.)
 - Political influences and/or militia struggles
3. The facilitator will ask the farmers to list and package their timelines into notable, desirable time frames on a cartolina or manila paper.

*Timeline of (insert area name)	
Year/s	Historical Events of the Area
<i>Lorem ipsum</i>	<i>Lorem ipsum</i>

**Sample timeline format, add as many rows as applicable*

Activity 2: Trend Analysis

Procedure:

1. From the timeline created, ask the farmer to identify development highlights/parameters that affect the socioeconomic and agricultural conditions in the area.
2. The facilitator will ask the farmers to craft a table with 4 columns on a manila paper the columns may contain visual representation or drawings that depict the development:
 - **Column 1:** Each developmental highlight/parameter identified from the timeline
 - **Column 2:** Pre-development condition of each highlight
 - **Column 3:** Present the condition of each highlight
 - **Column 4:** Projected future condition of each highlight
3. The facilitator will ask the farmers to list down as many community development highlights in the area as they can. (for the last ten (10) years)
4. The facilitator will ask the farmers to roughly draw or write in words the condition of each highlight in the past, present, and future, which should be drawn in their appropriate column.
5. The facilitator will ask the farmers to present and explain their output.

*Trend Analysis of (insert area name)			
Developmental Highlights of the Area	Condition of the Area before the development	Current Condition of the Area	Projected Condition of the area in the future
Sample 1: Roads	Rough road	30% concrete, 70% gravel	100% concrete

Sample 2: Livestock	<i>(drawing of swine)</i>	<i>(drawing of the increased number of swine, and poultry)</i>	<i>(drawing of the increased number of swine, poultry, and cattle)</i>
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**Sample format for Trend Analysis Table*

III. Phase III. Seasonal Calendar, Cost and Return Analysis, Resource Flow, and Institutional Diagram

A. Overview

Phase 3 consists of the following PRA tools that visually present the interconnection between the elements in a community:

- a. The **seasonal calendar** is an illustration that shows household activities, events, farming variables, or climatic conditions over a particular period, usually within a year.
- b. The **cost and return analysis** is an analytical method of determining the profitability of different farm practices, technologies, business enterprises, or cropping patterns in a given accounting period.
- c. The **livelihood gender/sex roles** is a tool that indicates the involvement of men and women in a specific farming/fishing activity. It also indicates the participation of adults, youth, and children engaged in farming/fishing activities.
- d. The **resource flow** is a sketch of the elements of the household's livelihood systems. Lines and arrows imply the interrelationship of these elements.
- e. An **institutional diagram** is a network of Venn diagrams indicating the institutions, organizations, and people. The size of the circle indicates the frequency, intensity, or importance of the relationships in the community.

B. Objectives

- To visually represent the interrelationships within the community
- To show the important elements of the community
- To determine the profitability of the community in agriculture
- To identify important time-bound farm and non-farm activities of the community
- To plan particular development activities according to their most appropriate time
- To identify the percentage of men and women including the participation of adults, youth, and children in agricultural/fishery activities
- To describe the kind and extent of the relationships built

C. Materials Needed

- Cartolina or manila paper
- Marker
- Paper and pen

D. Activities

Activity 1. Seasonal Calendar

Procedure:

1. The facilitator will ask the farmers to draw a graph on a manila paper with the horizontal axis indicating the months of the year and the vertical axis the time-bound activities or phenomena such as (but not limited to):
 - a. Climate (dry or wet months); flood and drought-prone months
 - b. Planting and cropping season (should identify top commodities)
 - c. Identify farming activities
 - d. Outbreaks of pests and diseases on crops and livestock
 - e. Abundance of food supply
 - f. Abundance of water supply (for farms and households)
 - g. Alternative food items consumed once production fails
 - h. Movement of the price of commodities (whether fresh produce or processed goods)
2. The farmers will plot which month the activity or phenomenon occurs. How it will be visually presented in the seasonal calendar is completely up to the farmers. They may use conventions or describe information in words.
3. The farmers will present and explain to the facilitators their seasonal calendar.

Activity / Phenomena	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Season: (Rainy, Dry, Typhoon, Flood)												
Agricultural activity for crops: (land preparation, planting, harvesting, weeding, pest, and diseases)												

Agricultural activity for livestock: (<i>parturition, weaning, production, selling, pest, and diseases</i>)																			
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Activity 2. Cost and Return Analysis

Procedure:

1. The farmers will identify the major commodities that bring the most income/profit based on the farmer’s practice and local cost of inputs guided by the facilitators.
2. The facilitators will guide the farmers in computing simple costing (fixed and variable costs) with consideration to the farmers’ agricultural practices.
 - **Fixed cost** - costs that the farmers have to pay regardless of their production volume
 - **Variable or Operating cost** - costs that the farmer pays, the amount of which will depend on how much they produce and/or sell
3. The facilitators will let the farmers discuss their findings among themselves.
4. Cost will be defined based on the timeframes of commodities/items acquired (crops: the cycle of cropping, livestock, and poultry)

*Items	Quantity	Unit	Unit Cost	Total Cost (Unit Cost x Quantity)
A. Fixed Costs				
<i>Sample: Land rent</i>				
<i>Repair of tools and equipment</i>				
<i>Utilities (electricity/water)</i>				
B. Variable Costs				

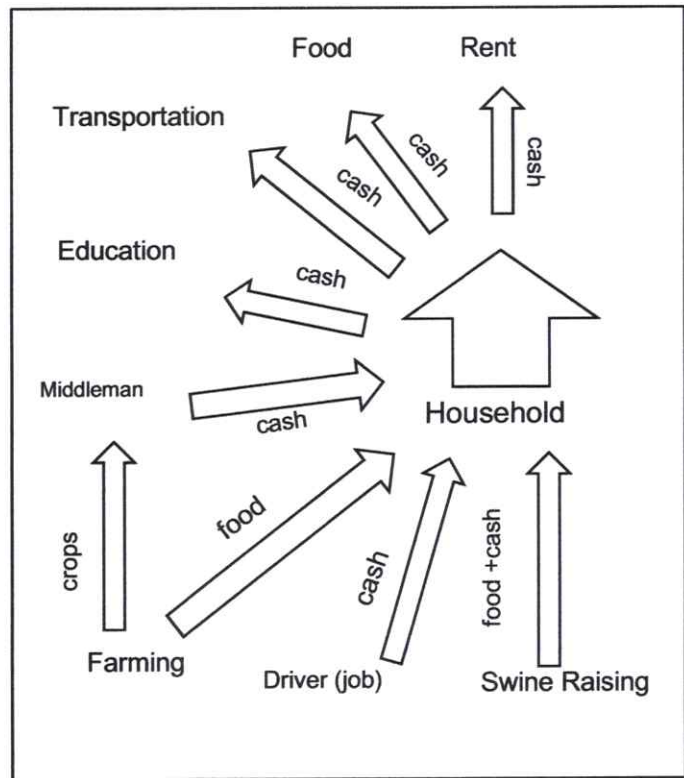
Sample: <i>Fertilizer</i>				
<i>Seeds</i>				
<i>Hired labor</i>				
TOTAL PRODUCTION COST (Fixed Cost + Variable Cost)				
C. Average Yield				[TOTAL PRODUCTION]
Gross Income				[TOTAL PRODUCTION * Unit Price]
Net Income				[GROSS INCOME - TOTAL PRODUCTION COST]
Gross Margin				[GROSS INCOME - VARIABLE COST]
ROI				[NET INCOME / TOTAL PRODUCTION COST]

Activity 3.Resource Flow

Procedure:

1. The farmers/fisherfolk will be asked to list down elements of their livelihood system, both farm-related and non-farm-related.

2. In a manila paper, the farmers/fisherfolk will creatively layout or arrange the elements by drawing lines or arrows to show inflow (income from production, labor, entrepreneurial activities, etc.) and outflow (expenses for food, clothing, transportation, education, rent, etc.) of their valuable resources.
3. The farmers/fisherfolk may also indicate estimated percentages on the amount used for their inflows and outflows; They may also label the type of resources flowing into and out of specific elements in the diagram.

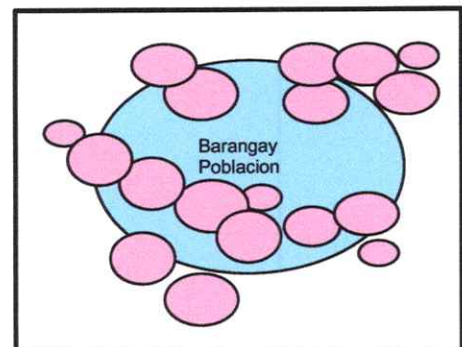


4. The farmers will present their diagrams to the facilitator.

Activity 4. Institutional Diagram

Procedure:

1. The farmers will identify and list down the different organizations, institutions, and people that provide goods and services to the community on a piece of paper.
2. The farmer may enclose each organization/institution/people in separate circles, the size of which will depend on their importance/influence to the community.
3. The farmers will arrange each element, with the community at the center.
4. The farmers may group the elements according to the frequency and intensity of their relationship. The closer to the center, the more important it is to the community.



IV. Phase IV. Problem Identification, Problem Ranking, Problem Cause Diagram, Possible Solution Ranking, SWOT Matrix, and Recommendation

A. Overview

After presenting the physical characteristics, history, culture, production, and livelihood systems of the community, the next course of action is to find the root causes of issues and concerns and prioritize which should be resolved to arrive at the most optimal solution(s).

B. Materials Needed

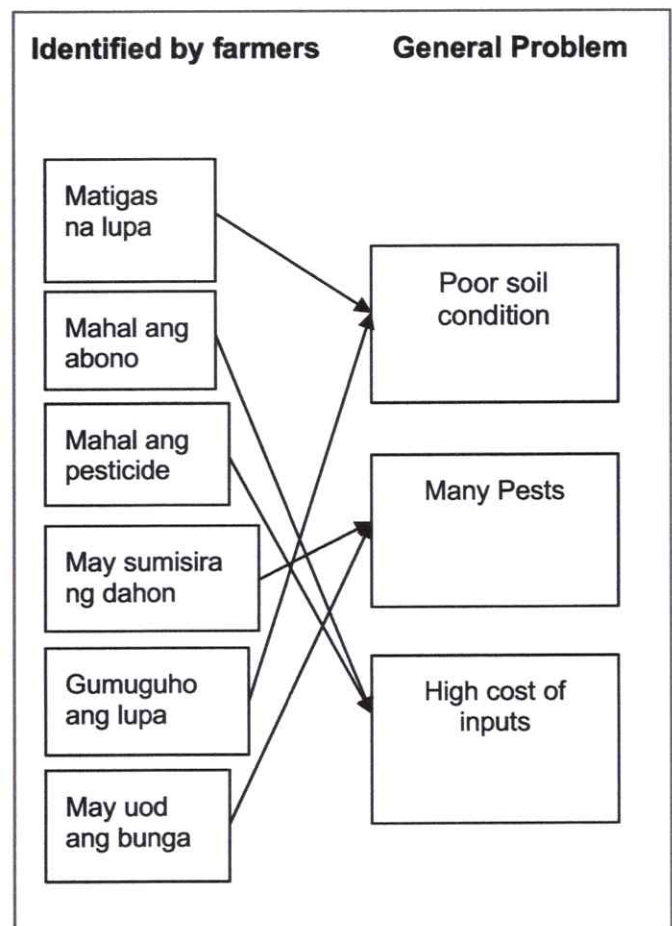
- Pen and Marker
- Manila paper
- Cartolina or bond paper (cut into meta cards)

C. Activities

Activity 1. Problem Identification and Problem Ranking

Procedure:

1. The facilitator will let the farmers identify as many specific agricultural problems as possible by listing them on a piece of paper.
2. The facilitator will examine the list of problems and guide the farmers in classifying each specific problem into general problems. *(For example, "matigas na lupa" and "gumuguho ang lupa" can be grouped into "poor soil condition". See photo.)*
3. Once all agricultural problems have been identified and grouped, the farmers will vote for the ranking of each problem identified through a show of hands or allocation of points. The facilitator may devise a way of voting for this. (Higher amount of votes/points means that the problem has a larger impact on the lives of the farmers)
4. The facilitator will tally the votes to determine the top three (3) identified problems of each agricultural commodity.



5. The facilitator will present the results of the problem ranking vote to the farmers. This activity will also help the farmers identify corresponding recommendations, alternative options, or possible solutions.

Activity 2. Problem Cause Diagram

Procedure:

1. After showing the top three (3) identified agricultural problems of the farmers, the facilitator will ask the farmers the root cause of each problem. The farmers will write their answers on meta cards. The facilitator must be critical in guiding the farmers in identifying the root cause of each problem.
2. The facilitator will ask the farmers to identify secondary causes that contribute to the main problem.
3. The farmers will do the same for the next highest-ranked problem and so on.
4. In a manila paper, the farmers will present their output to the facilitator.

Activity 3. Possible Solution Ranking

Procedure:

1. Before proceeding to the ranking of possible solutions the facilitators must ensure that the farmers make the final agreement with the problem cause diagram to compare and prioritize problems.
2. The farmers will group similar problems and discuss every possible solution that arises.
3. Solutions that rank the highest upon casting farmer's votes will be listed in the manila paper, and farmers will present their output to the facilitator.

Activity 4. SWOT Analysis

Procedure:

1. The facilitator will ask the farmers to identify internal and external factors that could contribute to or impede the success of their agricultural success. On a manila paper, the farmers will draw a square with 4 columns, with each quadrant containing one of the following:
 - **Strengths:** Attributes the farmers excel at, as well as their good practices
 - **Weaknesses:** Areas the farmers need to improve to remain competitive
 - **Opportunities:** Favorable external factors that could give the farmers an advantage
 - **Threats:** Unfavorable external factors that could potentially harm the farmers' way to success
2. The facilitator will ask the farmers to fill up the SWOT table as much as they can.
3. The farmers will present their output to the facilitator.

Strengths	Weaknesses	Opportunities	Threats

**Sample format for SWOT Analysis*

Activity 5. Recommendations

Procedure:

1. After conducting the SWOT analysis the next step is to identify the proposed livelihood projects, and training-related activities based on the PRA Result and plan the course of action based on the outcome.
2. The facilitators as part of the project will guide the farmers, to come up with appropriate strategies that complement Strengths and Opportunities, Weaknesses and Opportunities, strengths and threats, and weaknesses and threats.
3. The PPMSO and RPMSO must analyze this recommendation for approval of the Regional SAAD Focal.

POINTERS IN THE CONDUCT OF PRA

The following are pointers that may help the smooth conduct of the SAAD PRA in its target communities:

1. **Coordination with LGU** – assure that all activities conducted by the PRA team are coordinated with the corresponding LGUs
2. **Data Collection (secondary data)** – review and use of existing data may help in setting pointers or indicators to assess during the study. This may shorten the data capture and/or efficiently focus on topics relevant to the community.
3. **Checklist and guide questions preparation** – in relation to item 2, preparation of guide questions or checklist shall aid the PRA team in acquiring data most relevant to the concerned tool and avoid deviating topics to be discussed during the conduct of the PRA.
4. **Leveling of PRA tools to be used** – it is substantial to assure that the tools to be used and data needed are well comprehended by the target community. This shall require allocating time in defining such tools and providing a well written presentation.
5. **Use of “Laymanized” or indigenous tools**
 - a. Localized unit of measure – let the community discuss and provide details based on the local measurement they use. This is to increase the accuracy of data provided specially on production related outputs.
 - b. Local terms and dialects – most of the problem in data acquisition is due to language barrier or miscommunication. As such, it is suggested that the PRA be relayed using local terms and dialects to assure smooth information flow and non-distortion specially to topics that are technical in nature.

6. **Beneficiary Participation** – as highlighted in the PRA, participation is vital in the success of its conduct. Therefore, assurance that the community lead the crafting of data illustrations to give them the confidence to share valuable information needed in the PRA.
7. **Data Validation meeting with LGU, FAs, etc.** – after the consolidation of the report, it must be presented to the concerned community for them to be able to grasp the outcome of the activities that the program conducted. It is a good means to inform the community the importance of their participation with government activities including the highlighting of the program.
8. **Patience is key** – due to possible challenges in communication brought about by various factors such as detail comprehension and communication barrier, the PRA team is requested to practice patience in informing and guiding the concerned communities. This has a ripple effect that helps better transmission of information from the community to the PRA team.
9. **End each tool politely** – in relation to no. 8, the tools presented must be well communicated by the PRA team to the community. This involves proper means of ending the discussion per tool and addressing all queries prior to the termination of one tool or topic.
10. **Respect people's output** – in relation to no. 8 & 9, all output from the community is deemed vital for the success of the PRA activity. It is advised to avoid comments or gestures that are categorically non-constructive and aim to explain in details all remarks addressed to the community. This shall avoid negative perception of the community on remarks made by the PRA team addressed for the improvement of the community's output.

ACRONYMS

PRA – Participatory Rural Appraisal

RRA – Rapid Rural Appraisal

SWOT – Strength, Weakness, Opportunities and Threats

TOWS – Threats, Opportunities, Weaknesses and Strengths

DA – Department of Agriculture

SAAD – Special Area for Agricultural Development

LGU – Local Government Unit

AMIA – Adaption and Mitigation Initiative in Agriculture

FGD – Focused Group Discussion

DEFINITION OF TERMS

Appraisal – an act of assessing the economic value of an agricultural land based on a specific standard or criteria.

Baseline – refers to data generated/provided prior to the conduct of an activity. This serves as a reference point for the development of a project implemented.

Commodity – basic agricultural products that are either in its original form or have undergone only primary processing.

Primary Data – refers to data gathered from first-hand sources (e.g. personal interviews, Focused Group Discussions, etc.).

Secondary Data – refers to data collected and is further cited and used for related studies or references.

Village Walk – a walk or series of walks across the landscape which involve observing directly and getting a systematic first-hand impression on the visible bio-physical, socio-cultural and economic conditions in the community.

Bio-physical conditions – identifies the topography, soil type, water bodies, vegetation and land use pattern of a specific area.

Socio-cultural characteristics – identifies landmarks related to the social landscape of a community such as meeting place, religious structures, school and health facilities.

Village Map – a basic drawing that identifies community boundaries and major bio-physical land use patterns, landmarks and infrastructure within the community

Social Map – a drawing indicating the spatial distribution of households in the community. Marks on specific houses are used to indicate social status and well-being of different community members

Economic Map – a drawing that provides the current economic condition of a community including road, market structure, local products, type of houses, electricity, water supply, communication and transportation

Village Transect – A diagram which provides a cross-sectional view of the distribution and boundaries of major resource unit, the crops grown, animals, soil characteristics, topography and other information are indicated

Soil Analysis – a valuable farm analysis that determines the crop nutrients available in the soil

Hydrologic Map – maps depicting the distribution of water on the earth's surface, characterizing the regime of bodies of water and making it possible to evaluate the water sources of individual land areas

Timeline – a chronological description of important events which occurred in the community's past and how much has influenced its development

Trend Analysis – a visual documentation of past, present, and future directions of patterns of changes in the community's life. It examines the implications and causes of changes

Seasonal Calendar – an illustration of schedules of various household activities, events, farming variables of climatic conditions over a particular time frame, usually one year.

Resource Flow Diagram – a sketch of the components or elements including its interrelationships with the household's livelihood system.

Farm Income – refers to income acquired/gained thru farming or agribusiness related activities

Non-farm Income/ Off-farm source – source of income that is acquired on non-farm related activities. Refers to the portion of farm household income obtained off the farm, including non-farm wages and salaries, pensions and interest income earned by farm families.

Cost and return analysis – a systematic method for quantifying and then comparing the total costs to the total expected rewards undertaking a project. It is used to analyze w/c business decisions to make or forgo.

Input and Output Flow – refers to the flow of input vis-à-vis the output of certain commodities at a certain community

Livelihood System – is the total combination of activities undertaken by a typical household to ensure a living

Profit – a financial gain, especially the difference between the amount earned and the amount spent in buying, operating and producing something.

Institutional Diagram/Venn Diagram – a sketch indicating the institutions, organizations or people. It provides and identify the relationships (degree or intensity), services and interactions with the community or individual households.

Institutions – a society or organization founded for a religious, educational, social or similar purpose

Market Analysis – a thorough assessment of a market within a specific industry

Problem Ranking – a matrix that identifies, compares and prioritize main problem of villagers. It serves as basis for focusing recommendations, alternative options or possible solutions.

Problem Cause Diagram – a diagram which traces and diagnose the root cause of certain problems in the community and/or household

Possible Solution Ranking – a matrix that identifies, compare and prioritize the best possible solutions to overcome identified priority problems

SWOT Analysis – an acronym that stands for Strength, Weaknesses, Opportunities and Threats. It describes and evaluates internal strength and weaknesses within the community or proposed solutions. It analyzes opportunities and threats external to the community which may affect the implementation of the proposed solution

Participatory Rural Appraisal Report Outline

- I. Introduction**
 - Why and how the area was selected.
 - Location and boundaries of the area.
 - Physical characteristics of the area. (major agricultural commodities, population, hydrology & topography, and climatic condition)
 - Agricultural enterprises present in the area (agri-enterprises, market, and resource linkages)

- II. Methodology**
 - When and How the PRA was conducted.

- III. Highlights of the PRA Results**
 - Mapping (hazardous area)
 - Livelihood activities and gender roles
 - Institutional linkages and services available in the area
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- IV. Highlights of the Problem Identification, Causes, and Possible Solution**
 - 1. Problems Identified
 - 2. Problem cause and effect
 - 3. Possible solutions

- V. SWOT Matrix**

- VI. Recommendations**
 - Proposed livelihood projects for production, processing, and marketing.
 - Proposed training-related activities:
 - i. Organizational development and strengthening
 - ii. Specialized training (production-related)
 - iii. Market-related training (processing, value-adding, product development)
 - Other plan of activities/interventions

SOCIAL PREPARATION ASSESSMENT PRE-EVALUATION FORM

Respondents Background:

Name of farmer/fisherfolk: _____

Age: ____ Sex: _____

Position: _____ (Officer/Member)

Name of Association: _____

Address of Association: _____

Instructions: This SPA Pre-evaluation form shall be conducted by the assigned Area Coordinator prior to the conduct of CNA, in areas where there is already a formal organization or target group beneficiary. Likewise, this evaluation form shall be administered to not less than 20 members of the targeted group beneficiary. However, if there are cases that need additional personnel to conduct evaluation, the RPMSO through its Regional team shall assist the Area Coordinator in facilitating the process.

Indicate the farmer's responses by putting the number that corresponds to his/her answer to the questions using the following rating scale. For example, if the farmer responded to a question that he is not sure the score should be three (3).

Guide Questions	Rating Scale					Total
	1 (Very low/poor or strongly disagree)	2 (Poor/low or disagree)	3 (Seldom or neutral)	4 (Good or agree)	5 (Very good or Strongly agree)	
1) Are you comfortable with the present set of officers to manage your organization? <i>(Komportable ka ba na ang mga kasalukuyang opisyal ang magpalakad ng organisasyon na iyong kinabibilangan?)</i>						
2) Do you follow the decision and taskings in the organization? <i>(Sumusunod ka ba sa mga desisyon at gawain sa organisasyon?)</i>						
3) Do you understand the functions and responsibilities of the individual officers and						

<p>members of the organization? <i>(Nauunawaan mo ba ang mga tungkulin at responsibilidad ng mga opisyal at myembro ng organisasyon?)</i></p>						
<p>4) Are the plans, direction, task and project being undertaken by the organization are clear and always consulted to the members? <i>(Maliwanag at madalas ba ang inyong pag uusap sa inyong mga plano, direksyon, gawain at mga proyekto ng inyong organisasyon?)</i></p>						
<p>5) Do you agree that every members must help each other to achieve the plans and task of the organization? <i>(Sang ayon ka ba na bawat kasapi ng organisasyon ay dapat nagtutulungan upang maisatuparan ang mga plano at gawain nito?)</i></p>						
<p>6) Do you all believe that this organization is united in its aspiration, purpose, and convictions in their desire to develop and implement plans of the organization? <i>(Naniniwala ba kayo na ang organisasyong ito ay nagkakaisa sa kanyang adhikain, layunin, at mga paninindigan sa kanilang hangaring umunlad at maisakatuparan ang mga plano ng organisasyon?)</i></p>						
<p>7) Do you believe that consultations and meetings are important in the organization?</p>						

<i>(Naniniwala ba kayo na mahalaga ang mga konsultasyon at mga pagpupulong sa organisasyon?)</i>						
8) Do you all believe in the way of managing and keeping the organization strong? <i>(Naniniwala ba kayo sa pamamahala at pagpapapanatiling malakas ng organisasyon?)</i>						
Total Score	0	0	0	0	0	0
Average Score						0

Score Guide:

Add up the figures per question and get the total. Compute for the average. If the average score is 3 or more from at least 60% of the total respondents which is equivalent to 20 shall get the passing mark and hence shall be eligible for succeeding social preparation activities. If the average score is less than 3, which means that there is an immediate need to strengthen the organization or reorganization, the Area Coordinator shall validate the information through a PRA.

Administered by:

Attested by:

Submitted to:

Name- Area Coordinator

Name- APCO/PFO

Name- RED/RD

SOCIAL PREPARATION ASSESSMENT POST-EVALUATION FORM

Respondents Background:

Name of farmer/fisherfolk: _____

Age: ____ Sex: _____

Position: _____ (Officer/Member)

Name of Association: _____

Address of association: _____

Instructions: This SPA Post-evaluation form shall be conducted by the assigned Area Coordinator after the conduct of all the capability building activities of the SAAD group beneficiary. Likewise, this evaluation form shall be administered to 70% of the actual group beneficiaries. However, if there are cases that need additional personnel to conduct evaluation, the RPMSO through its Regional team shall assist the Area Coordinator in facilitating the process.

Indicate the farmer's responses by putting the number that corresponds to his/her answer to the questions using the following rating scale. For example, if the farmer responded to a question that he is not sure the score should be three (3).

Guide Questions	Rating Scale					Total
	1 (Very low/poor or strongly disagree)	2 (Poor/low or disagree)	3 (Seldom or neutral)	4 (Good or agree)	5 (Very good or Strongly agree)	
1) Are you comfortable with the present set of officers to manage your organization? <i>(Komportable ka ba na ang mga kasalukuyang opisyal ang magpalakad ng organisasyon na iyong kinabibilangan?)</i>						
2) Do you have trust and respect with the present set of officers to manage and lead the organization? <i>(May respeto at tiwala ka ba sa mga kasalukuyang opisyal sa pamumuno at pamamalakad ng organisasyon?)</i>						
3) Do you respect the decisions of the organization at all times? <i>(Ginagalang mo ba ang mga</i>						

<i>desisyon ng mga namumuno sa organisasyon?)</i>						
4)Do you follow the decision and taskings in the organization? <i>(Sumusunod ka ba sa mga desisyon at gawain sa organisasyon?)</i>						
5)Do you understand the functions and responsibilities of the individual officers and members of the organization? <i>(Nauunawaan mo ba ang mga tungkulin at responsibilidad ng mga opisyal at myembro ng organisasyon?)</i>						
6)Do you understand the vision and goals of the organization? <i>(Nauunawaan mo ba ang adhikain at layunin ng inyong organisasyon?)</i>						
7) In your opinion, is it important for you the vision and goals of the organization? <i>(Sa palagay mo, mahalaga ba sayo ang adhikain at layunin ng inyong organisasyon?)</i>						
8)Are you willing to share your ability/skills to help the organization perception? <i>(Pumapayag ka ba na gamitin ang inyong sariling kakayahan sa mga pangangailangan ng organisasyon na iyong kinabibilangan?)</i>						
9)Are the plans, direction, task and project being undertaken by the organization are clear and always consulted to the members? <i>(Maliwanag at madalas ba ang inyong pag uusap sainyong mga plano,direksyon, gawain at mga proyekto ng inyong organisasyon?)</i>						

<p>10)Do you agree that every members must help each other to achieve the plans and task of the organization? <i>(Sang ayon ka ba na bawat kasapi ng organisasyon ay dapat nagtutulungan upang maisatuparan ang mga plano at gawain nito?)</i></p>						
<p>11)Do you agree that every members must spent his/her time, knowledge and skills in helping and supporting the activities of the organization? <i>(Sang ayon ka ba na ilaan mo ang iyong oras, kaalaman at kakayahan sa pagtulong at pagsuporta sa mga gawain ng organisasyon?)</i></p>						
<p>12)Do you all believe that this organization is united in its aspiration, purpose, and convictions in their desire to develop and implement plans of the organization? <i>(Naniniwala ba kayo na ang organisasyong ito ay nagkakaisa sa kanyang adhikain, layunin, at mga paninindigan sa kanilang hangaring umunlad at maisakatuparan ang mga plano ng organisasyon?)</i></p>						
<p>13)Do you all believe that all members and officer of the organization knows their duties and responsibilities? <i>(Naniniwala ba kayo na ang bawat myembro at opisyal ng organisasyon ay alam ang kanilang mga gawain at tungkulin?)</i></p>						
<p>14)Do you all believe that every member and officer of the organization are willing to perform the tasks and duties assigned to them?</p>						

<i>(Naniniwala ba kayo na ang bawat myembro at opisyal ng organisasyon ay handang gampanan ang mga gawain at tungkuling nakaatang sa kanila?)</i>						
15) Do you believe that consultations and meetings are important in the organization? <i>(Naniniwala ba kayo na mahalaga ang mga konsultasyon at mga pagpupulong sa organisasyon?)</i>						
16)Do you all believe in the plans, processes, and systems of the organization? <i>(Naniniwala ba kayo sa mga plano ng organisasyon, mga proseso, at sistema upang maisakatuparan ang mga ito?)</i>						
17)Do you all believe in the policies, rules and regulations implemented by the organization? <i>(Naniniwala ba kayo sa mga polisiya, patakaran at mga alituntunan na ipinapatupad ng organisasyon?)</i>						
18)Do you all believe in the way of managing and keeping the organization strong? <i>(Naniniwala ba kayo sa pamamahala at pagpapapanatiling malakas ng organisasyon?)</i>						
19)Are the plans, direction, task and project being undertaken by the organization are clear and always consulted to the members? <i>(Maliwanag at madalas ba ang inyong pag uusap sa inyong mga plano,direksyon, gawain</i>						

<i>at mga proyekto ng inyong organisasyon?)</i>						
20)Do you all agree that every members must help each other to achieve the plans and task of the organization? <i>(Sang ayon ba kayo na bawat kasapi ng organisasyon ay dapat nagtutulungan upang maisatuparan ang mga plano at gawain nito sa proyektong pangkabuhayan na ibinigay ng SAAD?)</i>						
21)Do you all agree that every members must spent his/her time, knowledge and skills in helping and supporting the activities of the organization? <i>(Sang ayon ba kayo na ilaan ang inyong mga oras, kaalaman at kakayahan sa pagtulong at pagsuporta sa mga gawain ng organisasyon sa proyektong pangkabuhayan na ibinigay ng SAAD?)</i>						
Total Score	0	0	0	0	0	0
Average Score						0

Score Guide:

Add up the figures per question and get the total. Compute for the average. If the average score is 3 or more from at least 70% of the total respondents shall get the passing mark and hence shall be made as a reference point for succeeding plans and activities intended for the organization to move forward to achieve the CBE status. If the average score is less than 3, the Area Coordinator shall immediately diagnose the organization's weaknesses and create a plan of activities and other safeguards in coordination with the RPMSO to ensure that they are ready to achieve the CBE status.

Administered by:

Attested by:

Approved by:

Name- Area Coordinator

Name- APCO/PFO

Name- RED/RD