# Participatory Techniques and Tools
# A WFP Guide

WFP
World Food Programme

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Booklet 1

**Concepts of Participation and Partnership**

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Participatory Techniques and Tools - A WFP Guide

# Booklet 1
# Concepts of Participation and Partnership

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Participatory Techniques and Tools
A WFP Guide

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*Those who have contributed in important ways to this document are too numerous to name individually. There are the people who first conceived the idea of such a publication and put the first draft together. There are people who read and commented on numerous drafts. There are people who tested the materials and contributed their field experience.*

*This is a beginning. It is expected that as WFP experience with participation and partnership continues to grow, techniques and tools that are specific to food assistance will evolve.*

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# Definitions

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| **Facilitator** | Someone who makes it easier to hold a discussion and encourage shared participation. In general, a facilitator ensures that participants meet their expectations to the greatest extent possible during a meeting or workshop. |
| **Focus Group Discussion** | A structured discussion among approximately 15-20 people who have opinions on a given topic. A focus group is facilitated by one person who contributes questions for exploring the topic, probing issues, and clarification, but does not otherwise voice an opinion in the discussion. |
| **Goal** | The highest-level result to which a WFP operation is intended to contribute. It is measured by impact indicator. |
| **Institutionalization** | The process of establishing a sustainable, functioning capacity within an organization. |
| **Logical Framework** | A management tool used to design projects and programmes. It involves identifying inputs, outputs, purpose (outcomes), and goal (impact), and their causal relationships, related performance indicators, and the assumptions or risks that may influence success and failure. It thus facilitates planning, implementation, monitoring and evaluation of a WFP operation. |

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| **Management** | A dynamic process of designing and maintaining an environment that enables individuals, often working in groups, to achieve organizational objectives. |
| **Methodology or Method** | Systematic way of doing something which has been found to work. Includes various techniques and tools, and is generally within an overall approach. |
| **Monitoring** | A continuing function that uses the systematic collection of data on specified indicators to inform management and the main stakeholders of an ongoing WFP operation of the extent of progress and achievement of results in the use of allocated funds and food aid. |
| **Needs Assessment** | The process by which one determines gaps between actual and desired performance on the job, related to skills, knowledge and attitudes that can be linked to capacity building (training). |
| **Negotiation** | A focused discussion regarding needs and interests, with the intention of finding a mutually acceptable agreement. It is a voluntary action, and negotiating parties structure the content of their meetings, determine the outcome of their agreement and stipulate methods for assuring the implementation of their final decisions. |

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| **Objective** | The purposes and goal of a WFP operation, representing the desired state which the operation is intended to achieve. |
| **Role Play** | A short, unrehearsed skit in which participants act according to the roles given them in order to experience and learn from a situation they might encounter in their work. |
| **Skill** | The ability to carry out an action. A skill may be cognitive, such as theoretical understanding, or behavioural, such as training in the participatory approach. |
| **Sustainability** | The continuation of benefits from a WFP operation after major assistance has been completed. |
| **Technique** | A method or skill used for a particular task. |
| **Training** | The systematic development of knowledge, skills, attitudes required for an individual to perform adequately given a task or job. |
| **Tip** | A piece of advice, suggestion. |
| **Tool** | A helper in any given situation, which assists with any given task. If it makes it go easier, it is a tool. |

# General Introduction

WFP is the largest food aid organisation in the world. In 2000, WFP brought help and hope to 83 million people with an expenditure of US$ 1.49 billion. WFP is known for providing a lifeline when floods, earthquakes, drought and hurricanes strike; when people are driven from their countries by war; when economies collapse.

But WFP does much, much more than deliver food fast. WFP's 8,077 staff members (including 5,544 temporary staff) in 83 countries around the world, are involved in making changes that get to the heart of the problems. Changes that build futures with local people and mitigate the effects of future disasters.

It cannot be done alone. Partnerships with governments, non-government organizations and local people are necessary. These partnerships are made up of stakeholders representing, involving and informing the primary stakeholders, food-insecure people. They will only be effective if they operate with strong principles of participation among themselves and at the grassroots.

WFP's approach to participation and partnership is built on wise reviews, thoughtful analysis and changes in policy. These are described in various policy documents and guidelines dealing with WFP's programmes in relief, rehabilitation and development. Policy documents include: Participatory Approaches (2000); Partnership with NGOs (2001); WFP Commitments to Women (1995); Enabling Development (1999); From Crisis to Recovery (1998). Guidelines include WFP in Emergencies: Framework, Preparedness and Response Strategy (1996).

*Participatory Techniques and Tools - A WFP Guide* was designed to support management and WFP staff and partners in participatory processes that give the policies breath and life. It is because of the diversity in audience that five booklets are offered within this package:

- **Booklet One "Concepts of Participation and Partnership".**
- **Booklet Two "Planning and Information Management"** is mainly for WFP staff at the programme planning or training levels, as they explore supportive policies, define participation and partnership, and describe some planning initiatives and ways to deal with information.
- **Booklet Three "Enhancing Participation in Partnerships"** is for WFP staff and partners as they work together to develop and deliver programmes.
- **Booklet Four "Techniques for Participation"** suggests communication techniques and attitudes for WFP staff and partners.
- **Booklet Five "Working with Communities"** is for field-level WFP staff and partners who work with communities.

This document is about people: listening, talking and developing understanding. It is not a final product, but part of a process that ultimately leads to deeper understanding of others and ourselves.

# A Supportive Environment for Participation

## WFP policy commitment to participation

Policy guides organizations. It changes slowly and cautiously, informed by careful review of experience and the changing situations. WFP policy over the past decade has increasingly focused on women's roles in development, participation and partnership. This document intimately links gender, participation and partnership.

*"WFP will ensure that its assistance programmes are designed and implemented on the basis of broad-based participation. Women in particular are key to change". (WFP Mission Statement, 1994)*

# WFP and Participation

The definition and approach of WFP are different from those used by other agencies. There are "no universal interpretations or models of participation applicable to all programmes".[1]
The definition of participation - who participates, how much and why - depends on the context and on the persons involved.

For WFP, the following factors help to define what is meant by participation:

[1] Clayton, A., Oakley, P. and Pratt, B. 1997. *Empowering people: a guide to participation*. Oxford. UNDP/INTRAC.

- WFP is an organization with a specific mandate, which uses a single commodity (food) to overcome specific problems (food insecurity and poverty).

- WFP assists the poorest people, including women: groups who often find it hard to participate in civil society.

- WFP's primary partner is the government, and much planning is done at a national level.

- A great deal of WFP's work takes place under emergency conditions, where time for planning is limited, interventions are of relatively short duration and security conditions can be poor.

*"Beneficiary participation is an essential ingredient in the successful and effective implementation of recovery activities. Through participatory approaches, WFP can initiate developmental activities that strengthen community organizational capacity for economic, social and physical recovery." (WFP's 'From Crisis to Recovery' policy, 1998)*

## Definition of Participation

WFP programmes are also different from one another. So it is important to consider what WFP means by participation in any given situation, and to share this interpretation clearly with partners. There is no single "right way" to do "participation", but in all programmes, we should ask:

- Are we listening to the people affected by our work?
- Are the right people involved in the work?
- Can these people influence the programme?

In WFP's document "Participatory Approaches",[2] participation is defined as:

> ***A people-centred approach which has the highest probability of success because it offers the potential to strengthen the voice of the most vulnerable. Participation involves women and men, allowing them to influence their food security through processes of empowerment. These processes increase knowledge and skills, and thus self-reliance. At a minimum, this implies consultation, knowledge exchange and equitable arrangements for the sharing of benefits.***

In exploring this definition WFP has identified a number of key participation elements. Participation:

- Offers the highest probability of success by allowing people to influence their food security through processes of empowerment. So participation is a means to ensure programme success but also an end in itself: participation leads to empowerment and increased skills and confidence. These skills can lead to improved food security, even after the programme has finished.

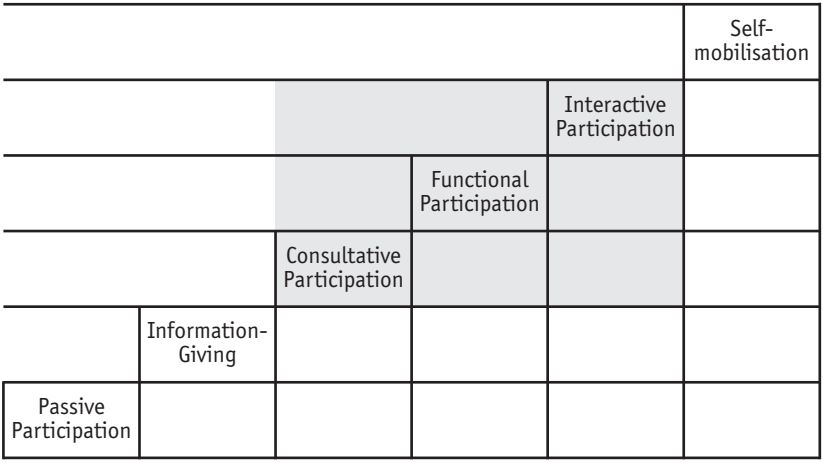
- Describes a relationship with *all stakeholders* – Government, NGOs and community leaders (it is "broad-based"), but aims particularly to "strengthen the voice of the most vulnerable". In particular, WFP seeks to ensure the full participation of women in decision-making structures. Work that does not make special efforts to increase the role of marginalized groups and women in decision-making, or which further marginalizes these groups, is not participatory.

[2] *Participatory Approaches.* WFP/EB.3/2000/3-D.

- Can occur at *several levels of intensity*. There are minimum standards that WFP has to achieve to be participatory: *At a minimum, this implies consultation, knowledge exchange and equitable arrangements for the sharing of benefits*. Beyond these minimum standards, the approach has to be flexible and context-specific. For example, an acute emergency is going to be very different from participation in a development programme. The appropriate "kind" of participation is thus easier to identify. The range of WFP types of participation is given in figure 1. It shows the shaded areas, keeping in mind that the minimum kind of participation for WFP is consultative participation.

Figure 1:

**Participation as a process**



**Self-mobilization** - communities or local partners participate by taking initiatives independent of external institutions to change systems; external agents may play a catalytic role.

**Interactive Participation** – partners and communities participate in joint analysis leading to action, formation of new local groups or strengthening of existing ones; local stakeholders take control over local decisions, giving them an incentive to maintain structures and/or practices.

**Functional Participation** – communities participate by forming groups to meet pre-determined objectives of a programme; driven by external stakeholders. Such involvement does not tend to be at the planning stage, but after major decisions have been made; such institutions may be dependent on external initiators but can also become self-dependent.

**Consultative Participation** – communities participate by being consulted, and external stakeholders consider their knowledge and interests; outsiders define both problems and solutions but may modify these based on local people's responses; process does not concede any share in decision-making, and outsiders are under no obligation to take on board local people's views.

**Information-giving Participation** - communities participate by answering questions posed by external stakeholders or programme staff; they do not have an opportunity to influence decision making as findings are not shared.

**Passive Participation** – decisions are made by external stakeholders only; local communities participate by being told what is going to happen or has already happened.

## The Benefits of Participation

*"With participatory approaches and tools, WFP can better locate hungry vulnerable people and understand their problems. The poor also benefit from participation by acquiring new skills and knowledge, and increased self reliance." (WFP's 'Enabling Development' policy, 1999)*

WFP promotes participation because experience shows that it leads to better programmes and better results for people.

### Participation leads to more efficient programmes

When communities contribute their own time, skills and resources, efficiency can go up and costs go down. In emergency operations (EMOPs), protracted relief and recovery operations (PRROs) and development work, participation increases people's ownership of a programme activity and can reduce diversions of food aid and long-term costs for WFP.

EXAMPLE:
*A recent evaluation of an EMOP in China confirms the importance of information dissemination: "Beneficiary participation was positive: Public posting of beneficiary lists ...increased transparency and reduced the scope for misuse of food aid." (Evaluation Report: "Emergency Food Aid to Flood-affected People in Anhui, Hubei, Hunan and Jianqxi provinces of China" WFP/EB.2/2000/3/1)*

### Participation leads to more effective programmes

For emergency relief, an "effective" programme is one that delivers food to the right people when they need it, and in the correct quantities. Participation can vastly improve the effectiveness of

EMOPs. Even relatively rapid and limited consultations can improve the security of distributions, improve assessments, targeting, distribution and monitoring.

EXAMPLES:

*In Angola and Rwanda, beneficiaries who had good knowledge of local security conditions were asked where and when distributions could safely take place.*

*A 1999 assessment of community-based targeting in Tanzania suggested that "all stakeholders were extremely positive about community-based targeting".*[3]

*In the Mozambique floods of 2000, beneficiaries were asked for their impressions of the effects of food aid. This gave WFP a vital insight into the effects of its humanitarian aid.*

In development, "effective" means helping people create the assets they want or acquire the skills they need to improve their livelihoods. The participation of key stakeholders is invaluable in areas such as the identification of assets and the development of workable, community-based solutions for the management of degraded natural resources. It has also been shown to increase the sustainability of programme activities by, for instance, increasing the commitment of communities to maintaining structures once aid has been phased out.

EXAMPLE:

*In Ethiopia, terracing and woodlots that had been constructed without adequate consultation were destroyed by the "beneficiaries" when the government fell. "Some conservation structures were destroyed because they had come to represent the power of the state. Yet most of the destruction occurred because they did not meet the needs of the farmer." Subsequently, a*

[3] Shoham, J. 1999. *A Review of the 1998/9 Community-managed targeted emergency feeding programmes in Singida and Dodoma Regions of Central Tanzania.* Nairobi. DFID.

*participatory planning approach has been taken, and farmers have received technical support to design structures that they want.*[4]

### Participation leads to more equality in resource distribution

Equality means making sure that all groups are targeted based on their need and that they receive food in a non-discriminatory fashion. The participation of women and marginal groups such as IDPs or indigenous people makes access to food and assistance on the basis of need more equal, regardless of attributes such as gender, age, ethnicity or disability. In many emergency situations, social structures may be changing continuously and it may be possible to support positive change that leads to greater equality (by placing food distribution in the hands of women).

EXAMPLES:

*Beneficiaries in Marsabit District, Kenya said that if community-based targeting had not been used in 2000, "Everybody would have died by now except the chief and his rich relatives."*[5]

*When food-for-work forestry activities were first implemented in India, women could not share equally in the long-term benefits because the species planted (primarily for timber) did not meet their needs. Subsequently, women participated in the selection of fuelwood and non-wood species and were included in benefit-sharing arrangements.*

### Participation empowers people

For WFP, empowering poor people means helping them gain the knowledge, skills, confidence, communal cohesiveness and decision-making authority to influence and improve their own food security. Participation in food aid programmes – especially by

[4] Wickrema, S. 2000. *Soil and water conservation in the Ethiopian Highlands.* Case Study. Rome. WFP.

[5] Newton, K. and Okondo, H. 2000. *WFP gender assessment of selected relief committees in Marsabit district, Kenya.* EMOP 6203. Nairobi. WFP.

those who have traditionally been excluded from community decision-making processes – empowers people and helps them fight hunger and poverty. Designing programmes in such a way that marginalized people and local groups, especially women, are given responsibility can be a major step towards improving their long-term food security.

WFP has considerable experience in empowering people, both as individuals and in groups, through development programmes, PRROs and emergency relief.

EXAMPLES:

*In Bangladesh, the participation of poor women in the Income Generation for Vulnerable Group Development Programme (IGVGDP) led to an "increase in women's mobility, access to the public sphere, and personal and social awareness".*[6]

*In Burundi, WFP microprojects managed by women's groups enabled women who had lost economic power as a result of the war to "enhance their management skills as well as their personal self-esteem and the villagers' respect for them".*[7]

*In south Sudan, communities that received food aid and organized their own feeding centres for the poor continued to run these centres using their own resources when food assistance stopped.*

## Participation and Partnership vis-a-vis WFP Objectives

Over the years, WFP has adopted a number of objectives, which are the basis of the supporting policies. Each of these objectives is possible only by inviting and involving stakeholder partners, especially women, to engage in a participatory process in which they make decisions regarding their own development.

6 Mancusi-Materi, E. 2000. *Food aid for social development in post-conflict situations.* Development 43:3.

7 WFP. 2000. *Le Programme food for work et la mise en oeuvre des engagements du PAM en faveur des femmes (1995-2001) au Burundi.* Bujumbura, Burundi. WFP.

For example:

**When WFP and partners work with women and children, participation and partnership are necessary to:**

- Identify the most nutritionally vulnerable in a community
- Empower women
- Create sustainable support systems for women's organizations

**When WFP and partners work to help create assets, participation and partnership are necessary to:**

- Develop community based organizations to manage assets
- Ensure community focus and commitment to the most vulnerable
- Identify important needs and assets

**When WFP and partners work to mitigate the effects of natural disasters, participation and partnership are necessary to:**

- Understand the basic reasons behind natural disasters
- Know those factors that are catalysts for action
- Identify assets in each circumstance, for each gender

## Challenges to Participation

Although country offices have faced a number of challenges in using participatory approaches, they have used a variety of methods to meet these challenges, both within partnerships and at the field level. The constraints have been mainly in the areas of attitude toward participation, structural or institutional limitations, time requirements, financial costs and conflict or security implications.

### Attitudes take time to change

The various roles and attitudes of people in assistance agencies have been etched over many years. Changing these roles and attitudes, and having confidence in the changes, will take time. And it is crucial. Without this change, the corporate commitment to participation will not translate into action at the field level.

The challenge of changing attitudes can be met by constantly fostering participatory attitudes and skills. With a participatory attitude, most of the challenges can be minimized. Be patient, start with small, well planned events that are "doable", and experience success. Then incrementally and carefully introduce more changes.

### Institutional structures may not allow for participation

Where there are no representative institutions, there is a danger that "participatory" activities will be "captured" by the most powerful people in the community and will not be useful to the poor. This is a real danger in emergency situations, where local organizations may have been disrupted. Participatory approaches require frequent contact with the communities, which organizational structures do not always support.

These challenges can be met by WFP and target populations together ensuring that institutions exist that honestly represent poor, marginalized people, particularly women. WFP offices have to consider whether they, or their partners, have organizational structures that allow for frequent field visits, or whether these structures can be put in place. Where these representative institutions exist, WFP and the institutions together should agree on the capacity-building support they will need.

### It takes time to build skills and communicate

In many instances, the time it takes to make real change happen is underestimated. Programmes are often designed within a framework bound by time and results. It can take more than two years to build good participatory skills within a programme, and this can be complicated by frequent staff changes. Time costs are also an important issue for beneficiaries: most people with whom WFP works have very little time to spare; their daily routines are busy, and most if not all of their time is spent trying to survive. Participation in development programmes – and even more in EMOPs – can make added demands on their time.

To meet the challenge of time constraints vis-a-vis the programme staff, it is important to think about the time required to implement participatory approaches, particularly when they involve building the skills and capacities of local groups. However, for programme staff, the additional time costs of adopting participatory approaches can be minimal, especially if viewed over the long term. For example, it may take some effort to change current practice and carry out a participatory exercise for needs assessment. But the results over time more than justify the extra time and effort.

When working with communities, it is important to understand their time constraints, and try to plan activities for periods when people are less busy. It is also necessary to keep the meetings focused, participatory and productive. For information on this, refer to Booklet Four: *Participatory Techniques*.

### The financial costs of participation are perceived as high

Many WFP offices are concerned about the high costs of participatory programming. However, in reality, the cost of many

participatory approaches is low. It just takes some creativity and planning. Moreover, cost becomes much less of an issue if there is a strong commitment to participation, together with a genuine willingness to listen to local people and partners and learn from them. Costs can also be kept down by good planning and creatively using the resources available.

Participatory programming typically has higher start-up costs than "top-down" programming, but lower costs later in the programme. When considering financial costs, it is important to think about the entire programme period and to weigh costs against the expected benefits. Participation may cost more initially, but the benefits are often much greater. In the longer term, a participatory approach can reduce costs through better programme design and implementation.

### Participation is difficult in areas which are "unsafe"

Including marginalized people and women in decision-making can be seen as a challenge to powerful groups in a society. This can cause conflicts within communities.

WFP needs to be sensitive to the possibility of conflict and to plan in ways that will avoid generating conflict by looking at the different objectives of different groups and trying to find common ground.

In situations where there is already open, violent conflict, especially in complex emergencies, an understanding of that conflict is particularly important to prevent beneficiaries and staff from being placed in danger through their participation. In these situations, it can be dangerous for WFP staff to travel extensively or to spend a lot of time in any one place. Minimizing the danger (for instance, by limiting travel) reduces the ability of WFP staff to

work with beneficiaries in a participatory manner. However, "windows" -- when WFP staff and partners can go in and work with local communities safely -- may be available. If these opportunities are used to encourage participation, local populations may take on more of a role in their programme, and in the long term, provide more effective programming, even in "unsafe" areas.

# WFP and Partnerships

## The Concept of Partnership

For policy purposes[8], WFP defines partnership as a mutually beneficial alliance between organizations. In these partnerships the roles, responsibilities and accountabilities are clearly defined and are based on a shared vision regarding objectives and purpose of work.

### Partnership is one form of relationship

WFP has a range of collaborative relationships, ranging from formal contractual arrangements to joint venture arrangements. Partnership is one kind of relationship.

The focus here is on the partnership types of relationships, which involve joint resource contributions, shared risks and/or joint control of information. However, it is recognized that each type of arrangement can benefit from a better understanding of each other, open discussions, and determining goals together.

[8] *WFP Working with NGOs: A Framework for Partnership.* WFP/EB.A/2001/4.B.

***WFP's policy on partnerships***

WFP's commitment to partnership and to undertake capacity building is reflected in a number of policies. One of the guiding rules is that:

*"WFP shall, whenever possible, associate its assistance with material, financial and technical assistance provided through other multilateral programmes and shall seek similar co-operation with bilateral programmes and non-governmental partners."* (General Rule III-1)

## The Benefits of Partnerships

Many benefits of partnerships have been identified. Prominent among them are that partnerships:

- ➢ Support weak public sector implementation capacity;
- ➢ Increase the availability of complementary inputs to government and WFP programmes;
- ➢ Introduce innovative approaches that enhance quality;
- ➢ Encourage sharing of common concerns and objectives regarding nutrition, food security, gender and humanitarian issues and willingness to advocate on behalf of the poorest;
- ➢ Capitalize on the extensive NGO experience with food management;
- ➢ Enable synergy in participatory approaches because many of the NGO partners possess strong grass roots linkages, field-based development expertise, the ability to innovate and adapt, skills in participatory methods and tools, long-term commitment and emphasis on sustainability.

### Partnerships are diverse

Each partner brings a special comparative advantage to the partnership, and having these different attributes available makes for more effective initiatives, whether in emergency relief, rehabilitation or development programmes. For example:

- The large NGOs have a proven capacity to design and carry out programmes, and many have considerable experience in dealing with food assistance on a large scale.

- National and local governments have expertise and experience in specific professional fields, and knowledge of the policies and legislation which guide the country.

- The local NGOs, Community Based Organizations (CBOs), have close working relationships with local communities, which is consistent with WFP's people-centred approach.

### Mutual respect and commitment are critical in partnerships

It takes vision and commitment to build durable partnerships that move beyond contractual arrangements to true partnerships. There must be respect for the different organizational mandates, and a sharing of objectives and a commitment to partnership. These must be expressed early on in the programme.

## Partnership Framework and Principles

### A framework for partnership has been developed

Incorporating the lessons learned from past partnerships, and to guide country-level strategies, a framework[9] was developed for partnership. This framework includes the following elements:

- *Shared goals, mutual respect and trust.* The partners must share ownership of programmes as well as responsibility for programme or activity success and failure.

- *Joint design, and joint decision-making about joint activities.* The decision to establish effective partnerships cannot take place unless WFP and partners regard joint programmes as achieving more than they could achieve on their own.

- *Commitment to building and nurturing partnerships.* Partnerships are not built in a day, and require significant investments of time and staff.

- *Willingness of partners to give up a certain amount of independence to pursue joint programmes.* A written agreement is key to clarify responsibilities and roles.

- *Commitment to accountability and transparency.* Partnership is based on a commitment to share information and jointly agree on processes to achieve accountability to donors and target groups.

### Strategic purpose and direction is common to partners

There has to be a clear reason for partnerships. Everyone must see that there is more value added by partnerships than by doing

[9] *WFP Working with NGOs: A Framework for Partnership.* WFP/EB.A/2001/4.B.

an initiative alone. The partners must have a clear idea that they are going in the same direction, and with somewhat the same purpose. They can merge on issues and common ground such as participation, gender or environment.

## Different Kinds of Partners

### Community partners are important

The community partners could be individuals or groups within the community who have come together for a specific purpose (for example, women's groups or community development committees). The community partners could be local governments, or traditional structures which represent communities. What is important is that those who represent the communities are actual advocates for the communities and working for the interests of the most vulnerable groups or the whole, rather than individuals.

### Government partners are already in place

Government partners are key to the sustainability of programmes. Luckily, WFP works through governments, and they are already partners. The challenge is to support government partners, building their capacity to sustain the programme over the long term. This entails working with government partners at all levels, from the Ministries down to the field level, and supporting the links with NGOs.

### NGO partners may be local or international

The NGO partners may be small and local, or large and international. They may be partners in a specific segment of the programme or involved in all aspects of it. They may be under a Memorandum of Understanding with WFP or working as partners to support their own programming.

### Agency partners can be solicited

There may be other agencies, such as United Nations High Commission for Refugees (UNHCR) which are either lead or support agencies. The situation may be that another agency, such as the Food and Agricultural Organization (FAO), which works within the government structure, can benefit from food assistance to do agricultural or forestry work.

## Challenges to Partnership

### Roles are already established and difficult to change

Implementing partnership and participation may involve changes to an already existing relationship. When this is the case, it will be even more important to plan for participation and plan to introduce participation into the partnership.

### Personal rewards for partnership are not clear

Making changes often involves some personal risk. This is especially the case when an individual is working within a system that does not value participation and partnership. The manifestation of this is that low-level staff, who are unable to

make decisions, are selected to represent the partner. When this is the case, raising awareness of the overall benefits of partnership and participation may be needed at a higher level and strategies sought to involve higher level officials.

### Individual charisma versus institutionalization

There may be some concern over the "leadership" of partnerships. While this initially might come from an external agency, there is scope for sharing the leadership role, and phasing leadership over to partners as they become more adept at understanding the benefits and rewards. This, of course, will rely on initial leadership which does plan to "hand-over" throughout the relationship.

### Time is needed to build the relationship

It takes time to build a real relationship. This may be thwarted by changes in the individuals representing the partnerships due to transfers, promotions or changes in jobs. Strategies can be employed to "mentor" the new recruits to the partnership.

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# Booklet 2
# Planning and Information Management

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# Planning for Participation

If the use of participatory approaches is to become a standard part of WFP's programming, planning is necessary. One participatory event or exercise does not necessarily lead directly to another participatory event.

Two commonly heard questions from those who are deciding on a participatory approach are: "Where do we begin with participation?" and "How do we deal with the data that are generated by the participatory process?" These are both reasonable questions. Booklet Two provides information, suggestions and guidelines to both of these questions. Specific techniques and tools to support these suggestions and guidelines will be found in Booklets Three, Four and Five. Please keep in mind that there are no "set" answers, and the best you can do is adopt what seems appropriate to your given situation, watch the process critically, and then develop your own processes for planning for participation.

It will take some planning to get things done a little differently, to guide the partnership and the community to a different way of "doing business". Participatory processes cannot always be set in advance; for example, they may arise spontaneously as part of daily operations. But for the most part, good leadership and good planning is needed to get the process going and to maintain it over the long-term.

The following list provides a base for planning for participation:

- Start with situation and stakeholder analysis.
- These are linked to the other assessments and analyses to

develop a comprehensive understanding of the situation; in particular to the work of VAM.
- Planning captures opportunities for participation at national as well as community level, i.e. from the logical framework process to community activity selection.
- Planning links specific, sequenced actions with partners and available resources.
- There are verifiable indicators for the activities as well as participation.
- The goals and objectives of participation are concrete, feasible and realistic.
- The plans are reflected in the CSO or Recovery Strategy.

## Key Planning Issues

Before an actual plan for participation is developed, it is useful to have an understanding of the following operational questions:

- What are the national policies and institutions, which support or discourage participation?
- How might national and local authorities react to the proposed participatory approach?
- What are the cultural, social and political factors within the area that could influence people's participation?
- What local organizations or traditional practices could play an effective role in promoting participation?
- How are local people likely to react to efforts to involve them?
- What contributions can different actors make to the project?
- What resources, skills and time are available to promote participation?

Depending on the circumstances, a concrete plan for participation may be developed or included as a section of the CSO or recovery strategy. If the programme strategy stage has already been completed, or for planning an EMOP, a participation plan can be elaborated before field work begins, when the situation analysis is conducted. It can even be developed during project implementation to make adjustments or improve effectiveness. It is possible to assess opportunities for using participatory approaches at any stage of the programme cycle.

It is useful to keep in mind the following suggested elements of a plan:

- Objectives of the participatory process
- Identification of key stakeholder groups, including their roles, responsibilities and commitments
- Identification of participatory approaches and methods
- Essential capacity-building activities
- Resource implications and funding sources, and
- Milestones to measure progress.

In all cases, it is useful to remember that:

- Participation is not merely an input but an underlying operational principle as well as a way of thinking. Participatory approaches are here to stay!
- Participatory processes cannot necessarily be predetermined; for example, they may arise spontaneously as part of daily operations.
- One participatory approach does not necessarily lead directly to another in linear fashion.
- Ideally, key stakeholders are involved during planning, especially when WFP operations involve new areas or activities.

**Planning for participation is different than programme planning**

Programme planning is unique to each agency, and sometimes even each country, although it has the relatively generic phases: the idea, the design, implementation, monitoring and evaluation, and phase-over phase-out. Planning for participation is not to be confused with programme planning. What you are looking for are "entry points" for participation within WFP's programme cycles.

The following entry points, already part of programme planning are key areas for achieving various levels of participation depending on particular programming objectives.

- Informational seminars
- Presentations
- Public hearings
- Dissemination of written materials
- Interactive public meetings
- Field visits
- Questionnaires
- Focus groups and interviews
- Beneficiary assessments
- Participatory planning workshops and retreats
- Conflict resolution meetings
- Public review of project documents
- Joint meetings with stakeholders and management teams
- Engagement of stakeholders in implementation responsibilities
- Community participation in M&E events

## Entry points for participation

A participatory process is beneficial in all types of programmes, although it is organized a little differently for each programme category. For example, in an emergency situation, when there is no

time to do lengthy information gathering to identify vulnerable groups, participatory tools can assist in obtaining **reliable and quick** information. While analysis might be done at the community level, community members may or may not continue with a high level of input.

In rehabilitation and development programmes, when there is more time, community members, beneficiaries and other stakeholders can become more involved in decision-making in all stages of the programme. There is more scope for them to be involved in decision making.

Given that programme planning is specific to each programme, we asked ourselves, what is common to all programmes? We found that there were particular decision points along each programme path. More importantly, some of those decision points were opportunities for joint decision-making, while others were decisions that would benefit from specific information that can be reliably and timely gathered and analyzed using participatory tools and methods. The decision making can be broadly categorized into:

- Situation analysis
- Stakeholder analysis
- Food needs assessment
- Targeting
- Activity selection
- Monitoring and evaluation
- Phase-over phase-out

### Determining decision points can be done jointly

Working with partners, or even when proactively forming partnerships, it is relatively easy to identify decision points in your programme. You could use the *Delphi Technique* (Booklet Four) for example, to generate the major decisions that are made for the programme. Put these decision points on cards, and group them, and/or set them down in chronological order. There may be similar decision points at different times. You might want to highlight those decision points when the participation of the partners and the community are absolutely necessary and instances where it might not be appropriate. Once you have generated the cards, and put them in some kind of order, it is an easy step to think of how you are going to involve important stakeholders, and which tools might help to make informed decisions at these decision points. Some examples of decision points follow:

Table 1:

**Decisions Points**

| | | | |
|---|---|---|---|
| What is the problem?<br><br>What are the solutions? | What resources do we have on hand? | What skill do we need, or do we already have, to do the job? | How can we phase-over to the local managers? |
| What is our overall goal? | Who will we work with? | How are we doing?<br><br>Does anything have to change? | Have we succeeded? |

## Entry Points in Situation Analysis

It is important to understand the characteristics of the environment in which WFP will be working. Identifying the relevant economic, political, demographic and ecological factors that affect food security in an area allows WFP to understand how it can work effectively.

Ideally, planning for participation is an integral part of the situation analysis process that occurs during development of the CSO, recovery or emergency response strategy.

The active participation of a variety of local "experts", including target groups, in situation analysis:

- Provides a more accurate reading of the local situation.
- Ensures that the poorest and most marginalized people are represented.
- Improves knowledge of the political and cultural context within which participation can occur.

Participatory approaches to situation analysis also means asking those organizations that might have an interest and the capacity to be involved to identify themselves and to suggest how they can take part. It is here where we link the so-called "top-down" and "bottom-up" approaches by involving all stakeholders in analysing the potential for participation and in planning for it

## Entry Points in Stakeholder Analysis

WFP has learned a number of important lessons about participation in stakeholder analysis.

- The first is to prepare to learn from partners and stakeholders, bringing them into the planning process as early as possible.

- Second is to clearly outline WFP's position on participation, and, in particular, the participation of women, and ensure that the prospective partner is prepared to support this position.

- Third, wherever possible, consult people at a community level regarding the choice of partner, to ensure that the poor feel

that the partner really does help them participate.

- Fourth, be realistic about the strengths and weaknesses of potential partner organizations (particularly in PRROs and CPs) and be prepared to provide support and capacity building to local organizations.

The stakeholder analysis provides key information that will influence a number of aspects of the programme design. At the strategy planning level, the stakeholder analysis provides the basis for assessing the opportunities for participation, establishing or strengthening partnerships, understanding food security problems and laying out the objectives of the programme. The analysis helps lay the foundation for the involvement of key stakeholders throughout WFP's logical framework process.

It is a vital first step because we support governments, which, in most cases, are our main partners. Thus, WFP's relationship with the government is generally the starting point for identifying and bringing together stakeholders to begin our situation analysis. The CCA/UNDAF processes and our participation in country teams are other early entry points for this analysis.

## Entry Points in Food Needs Assessments

Food needs assessments will normally begin with a VAM analysis of secondary data (such as nutritional information, data on disease morbidity and mortality, and satellite imagery) at national level. These sorts of data are normally collected in a non-participatory way, and often the people described are not actively involved in the process of data collection at all. For example, the food insecurity of women and minority groups can be hidden from view when 'averaged out' with the majority of their neighbours. Asking these marginalized groups about their situation helps to correct

the picture. That is why WFP and other agencies almost always try to supplement secondary information with - and check them against - information collected in a participatory manner from people living in food insecure areas.

Furthermore, most secondary data are indirect indicators of food insecurity. That is, they are not measurements of food insecurity itself, but of things closely related to food insecurity; things which can cause food insecurity (such as drought, which shows on satellite imagery) or things which can be consequences of food insecurity (such as malnutrition). Without a good understanding of how people really live, it is very difficult to know how the indicators are related to the problem you are trying to measure:

- Will drought lead to food insecurity?
- Is the malnutrition in an area caused by there not being enough food, or by unhealthy water supplies?

For this reason, even agencies that rely very heavily on indirect indicators always try to 'ground truth' the indicators by using participatory tools to get the opinions of rural people.

In emergencies, where the situation is changing quickly, most secondary data will be out of date. In some chronic emergency environments, there may anyway be very little secondary data to use. Many Rural Rapid Appraisal (RRA) tools can be used quickly, to get a good overview of food needs. (See Booklets Three and Five).

Depending on the amount of time available to conduct the assessment, the area to be covered, and the level of staff training, participatory information collection and analysis for food needs assessment may be fairly limited, and used only to decide which indirect indicators should be used, or it may be more 'in depth'.[1]

[1] The WFP Emergency Needs Assessment guidelines and VAM SAF documents provide more information on food needs assessments for WFP. Both documents refer to SAF tools that are included in this toolkit.

In some cases, early assessments based mainly on secondary data or primary data that is collected using techniques that are not participatory may be added to, or superseded, by later field-based assessments.

In many cases, food needs assessments will only be at the 'information dissemination' level of participation: that is, there will be a one way flow of information from affected communities to WFP. Wherever possible WFP should attempt to conduct analysis with the people who provide the information at the time of the assessment, and take results back to the information providers after the assessment. This begins to place people at the centre of the information process, and improves the accuracy of the information.

It is important to understand how beneficiaries see 'food needs'. WFP and beneficiaries might not have the same understanding of 'need', particularly in emergencies, and this can lead to disagreements with local communities, and, in some cases, diversion of food aid away from intended beneficiaries. Using participatory tools to understand how people see 'need' can greatly improve the efficiency of a project.

## Entry Points in Targeting

The potential role of participation in targeting – deciding what sort of people, and which actual people, within an area, get food, is indeed great. People within a community generally know who within that community needs food the most. If community structures are not involved in targeting, and the community disagrees with the decisions that are made by WFP, food will often be taken away from the people targeted by WFP anyway, causing confusion and bad feeling between WFP and the beneficiaries. Even in those cases when WFP and local community leaders disagree on

who is needy, it makes more sense to discuss these differences and try to achieve compromise than to ignore them and wait until tensions come to the surface.

It is critical that targeting mechanisms promote women and powerless people's participation such as low caste workers or IDPs. Remember that exclusion can be conscious (where people don't allow women to receive food) or unconscious (where women cannot receive food because the distribution takes place at a time, or in a place, where only men can be present). Make sure that the criteria used for targeting the most vulnerable are agreed between WFP and community members, and that they are publicised and understood. Participation also provides an opportunity for individuals to appeal against targeting decisions.

Even quite limited participatory information collection can improve targeting. The major reason for asking for the opinions of poor people in geographical targeting is to confirm the choice of indicators that are used to compare one area against another. For example, in a country where some districts depend on wheat cultivation, and some depend on rice cultivation, it would be a mistake to use the wheat harvest in different districts as the major way of judging need. For geographical targeting, WFP should consult poor people (either directly, or through representative organizations) about the indicators used to make relative judgments about food security.

Community-based targeting goes beyond consultation to the 'collaboration' level of participation, by giving local community organizations control over food aid distributions, under general guidelines worked out with WFP. The inclusion of community based targeting in national level programme design means that WFP agrees to leave many targeting decisions until later in the design process, and allows these decisions to be made on the ground, by the people most affected by them.

Where WFP sets guidelines on who should be assisted, and then ensures that the food goes to those groups (administrative targeting). It is important that targeting guidelines are based on discussions with the community, and are publicly agreed with community leaders. Failure to do this often leads to food aid being diverted after distribution.

## Entry Points in Activity Selection

### There is scope for participation in emergency operations

In many emergency operations, and particularly in new, rapid onset emergencies, there will be no real need to think about the activities that WFP undertakes, as the choice of activity will be obvious: WFP will initiate general or targeted free distributions, or will expand ongoing programmes. But even if communities are not involved in activity selection, they should be consulted about how the activity is designed. In particular, vulnerable sections of the population should be asked who they trust to make the distribution, where and when distributions can safely be held, and, ideally, what should be distributed. Failure to identify the most vulnerable people and ask them about their concerns can mean that the people who have the greatest need of relief food cannot get to the distribution, or that if they do receive food, they are unable to prepare it.

### Rehabilitation and development activities can be highly participatory

In rehabilitation and development projects, time is less of a problem, but the amount of information required to develop a project is much greater. In these operations, programme designers need first to ask about stakeholder concerns and then to select

activities based on these concerns. Unlike relief operations (which deal with immediate food needs), people's longer-term concerns related to food security and poverty can be very broad, and there are numerous activities that WFP and communities can undertake to meet them.

It is essential that women and the most vulnerable groups identify their problems and prioritize the type of activities that they consider most appropriated to develop to diminish their food insecurity.

### Enabling Development policy requires participation

For development activities, the Enabling Development policy suggests five broad areas of activity where WFP can use food aid to overcome poverty and food insecurity. WFP, in collaboration with the government, chooses between these areas of activity, and the choice is normally made at a national level as part of the CSO, and refined during the CP process. For PRROs, the broad decisions will be taken – again at national level - during the formulation of the recovery strategy. Making these decisions at national level can be dangerous, because it means that poor and marginalized people can be easily 'left out' of the decision. Programmes can be set up which do not address the real problems of the poor, and which they do not want. To avoid this, it is important to make these processes open to national organizations which poor and marginalized people trust to represent them.

Another way to ensure that communities have more say in deciding which activities they undertake is to include Food Funds in the CSO and Recovery strategy. This means setting aside resources that can be programmed by community organizations at a later date. Establishing a Food Fund is a good way of opening decision making to local organizations.

## Entry Points in Monitoring and Evaluation

Monitoring and evaluation provides many important entry points for participation, the greatest of which is the choice of indicators of success. If a programme has not "worked" for beneficiaries, it has not worked at all. Therefore, input by beneficiaries into determining how success will be measured is key. But there are also requirements of other information users, and these must be considered as well.

### Collect basic information

When monitoring and evaluating WFP interventions – in all categories – it is important to collect regular information on:

- ***Inputs —*** the goods and services provided to an intervention (primarily food, in most cases).
- ***Outputs —*** the immediate results of the intervention (the number of people fed or the quantities of assets created for poor families).
- ***Outcomes —*** the effects of being fed, and of the creation of assets, on people's livelihoods.[2]

This information is important to understand how an intervention is proceeding, and how it may need to be corrected.

### Use indicators for basic information

The information that WFP or partners collect should be in the form of indicators, which accurately reflect these inputs, outputs and

[2] For Concrete examples, see the indicator menus on 'WFP Go'.

outcomes. It is relatively easy to set indicators that measure inputs and outputs in quantitative terms. Generally, the participation of local communities is not the major element in deciding on these indicators or in collecting the information; WFP or partner staff can count the number of people receiving food (an indicator for the number of people fed) or the number of fish ponds built. But first-hand information from beneficiaries is still important for checking whether the right indicators are being used, and for supplementing the indicator information. Say that we want to know who ate WFP food, and we measure this by counting the number of people who receive food at the distribution (a slightly different thing, but easier to measure).

It makes sense to also ask people:

- Who actually ate the food?
- Did the food go to the people targeted?
- Was the food redistributed?

This qualitative information helps fill out our understanding of how well the intervention worked.

Measurement of inputs and outputs is normally done by WFP, but is very difficult to measure the outcome of WFP assistance -- the effect of food aid on people's lives and livelihoods -- without asking the people who received the food, and whose livelihoods were (hopefully) improved. So while participation is an important element of measuring outputs, it is an essential basis for measuring outcome.

### Participatory tools can be used to monitor and evaluate

A participatory way of monitoring is to use some of the tools presented in these booklets for conducting community- and

household-level monitoring. In this way, people are more likely to assess the programme in terms that are relevant to them, and to bring up issues which may be important to them but might have been missed in answers to a questionnaire. This is as important in emergencies as it is in longer-term programmes: asking people to explain, in their own terms, what the effects of food aid have been can uncover information about commodity suitability, security, and the success or failure of targeting systems.

### Involvement in monitoring and evaluation increases sustainability

Where WFP aims to increase the skills and confidence of people and communities, programmes should aim to hand over many of the responsibilities of monitoring to communities themselves. This is most successful where the project has been designed to allow the community to make changes to the intervention on their own initiative. In these cases, the primary users of the information are the community. The community needs the information because the community owns the project. In these circumstances, community organizations may need support in developing monitoring questions and establishing indicators for these questions. They may also need capacity building in analysing and presenting the information that comes from monitoring indicators and in presenting this information in an accessible way.

### Stakeholders identify indicators of success

Throughout the programme, it is important to involve stakeholders in identifying **their** objectives and whether or not these have been achieved. In other words: *What are the stakeholders' indicators of success?* They may be similar to the objectives and indicators in the logical framework, or they may differ. When the latter is the case,

it may be necessary to review the objectives and ensure that they are complementary, if not entirely aligned.

When stakeholders choose their own indicators, they are motivated to collect this information over time, and review it frequently to ensure that they are meeting their objectives.

Involving stakeholders in deciding whether or not the programme has achieved its goals and objectives can be done at a number of levels. WFP staff and partners (the "partnership") can undergo a participatory evaluation, deciding whether the partnership has achieved its aims. Field activities can be evaluated by the beneficiaries and partners together, and changes made if necessary.

## Entry Points in Phase-over

Building the capacity of local organizations is not enough to ensure a self-sustaining development process. If the support organization strengthens the capacity of a governmental organization, NGO or community group, but does not progressively hand over responsibility for programme activities, the capacity will go unused and may be lost.

On the other hand, if the support organization hands over responsibilities without ensuring that the community organization has developed the necessary capacities, there is the risk of failure.

Planning for transfer of responsibility begins at the planning stage, when capacity-building skills are identified, and continues over the life of the programme with constant encouragement and support.

# Dealing with Data

## Managing Information

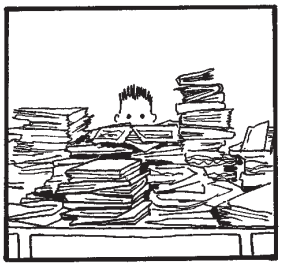
### Information from a participatory process may be overwhelming

A great deal of information is generated when using a participatory approach, and unfortunately, unless there are strategies developed to cope with it, much of it is lost to decision makers. These strategies can entail determining what is "nice to know" and what is "necessary to know", and always linking the information to decisions. It is also important to combine the quantitative and qualitative information in complementary ways.

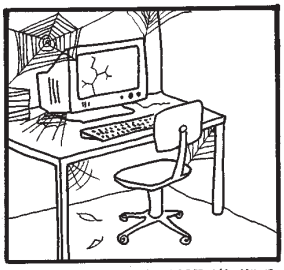
### There are common mistakes in dealing with data

Experience has shown that we often repeat the same mistakes in dealing with information. These mistakes can be exacerbated by having more information in the system, such as that produced by the participatory process.

- ***We collect too much information.*** It is important to know which information is just interesting, and which information is absolutely necessary and needs to be tracked over time. Therefore identifying the questions to be answered is critical.

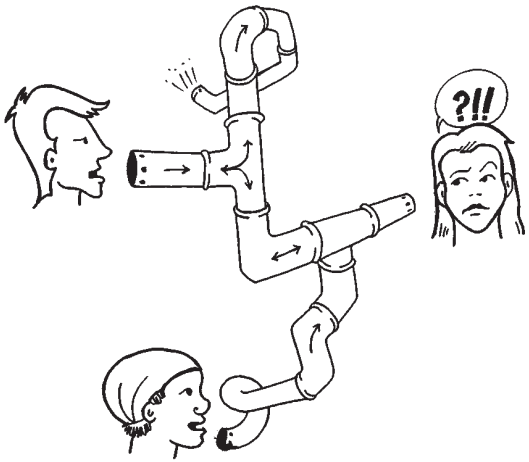



- ***We don't analyse the information that is generated.***
  This may be the fault of not having the capacity to analyze because of the way the data is configured, or just too much information to handle. Using participatory tools effectively requires that information analysis become part of using every tool and that the analysis be completed before leaving the community.



INABILITY TO ANALYZE VOLUME OF INFORMATION

- ***We don't have systems in place to act as a conduit for information.*** This ensures that the information won't get to where it has to go on time. "Cleaning up" the conduits makes it possible for information generated by the participatory process to get where it needs to go on time.




POOR FLOW OF INFORMATION THROUGH SYSTEM

### Using the existing information system works well

The most effective way to move the information from the participatory process through to decision makers is to employ the existing management information system (MIS). Making a parallel information system to encompass the data from the participatory process is expensive and time consuming. For most programmes, an MIS is already in place, or has been planned.

Because WFP works with partners, it must be appreciated that each partner will have its own MIS, and data from the participatory process will also have to provide each partner with a certain kind of data at a certain time. It may be necessary to negotiate between the partners so that each gets the information it needs, when it is needed.

## Reliability of Information

People often ask whether information collected using participatory tools – often in a limited number of locations – is "accurate". For information to be accurate, it must be:

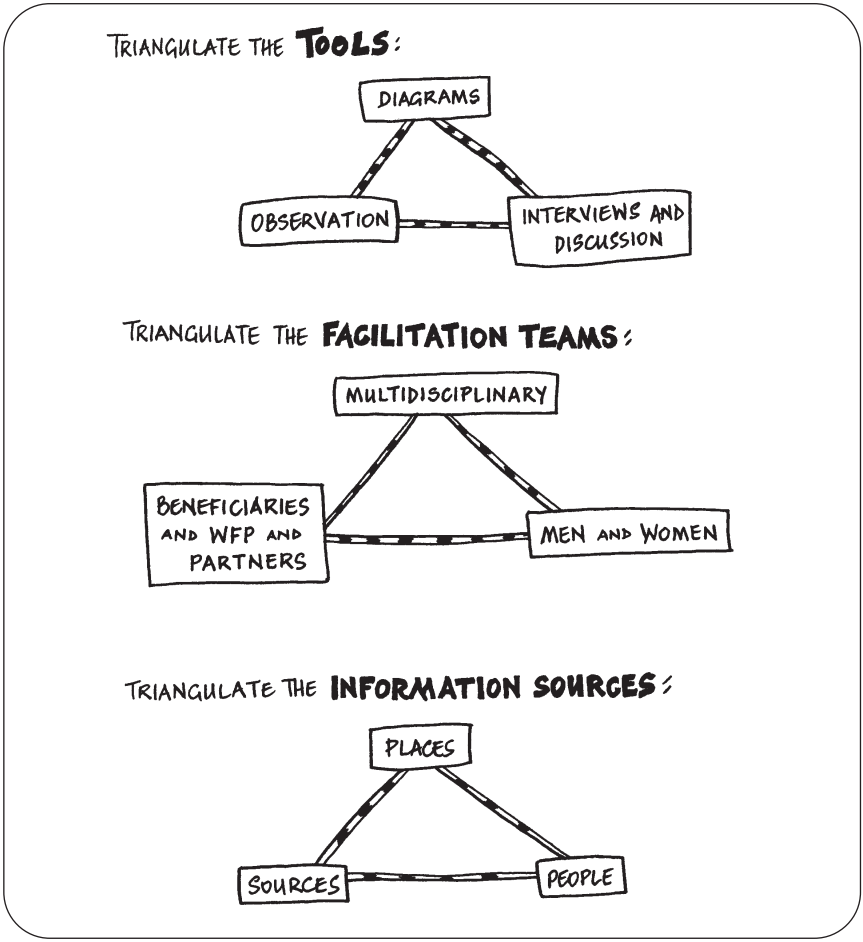
- True in itself.
- True across an area (representative).
- Independent of the biases or prejudices of the observer.

There are ways to maintain the reliability of data:

- Triangulate
- Check trends through questionnaires
- Balance qualitative and quantitative information
- Validate analyzed data with the sources.

### Triangulate for reliability

When the data are analysed with the community, it may be that many of the reasons given by different communities under the same type of conditions will be somewhat similar. Triangulation means that the tools, the information sources and the people facilitating the tools all have three different ways to deepen their understanding.



When these kinds of triangulation are done, the reliability of the data increases. They do not just come from one source, but from many sources, collected in many different ways, and by many different people.

Do not always assume that your information is wrong if it does not triangulate. Look into discrepancies: often information collected in a participatory manner can help clarify information collected using other methods.

### Check reliability of trends

If you require highly quantitative data, then use a one-page questionnaire, with no more than six questions which focus specifically on what you need to quantify. Remember that questionnaires can only establish quantitatively what you already know, while participatory tools can discover new information. Both are valid and, when used together, can increase the reliability of data. Information from the participatory tools can tell us about likely trends, and a one-page questionnaire can quantify the strength of a trend. Quantitative information from secondary sources can also be used to cross-check and validate participatory data and analysis.

### Balance qualitative and quantitative information for validity

Qualitative and quantitative information will need to be analysed separately and then related in such a way that each type complements and supports the other. For example, you might find from a proportional piling exercise that 80 percent of women prefer to cook small rather than large beans while only 10 percent of men have the same preference (quantitative information). The reason for this is that smaller beans require less cooking and

fuelwood, increasing the time women have for other tasks. The men, on the other hand, prefer larger beans because they are more familiar with their taste (qualitative information).

### Validate from the source

Always return to the source after collation and further analysis; this may be the partners, or the communities. If the collated analysis makes sense to them, it is probably true. The discussion that ensues using these feedback validation mechanisms has many benefits. It not only validates (or refutes) the data, but also keeps people involved in the decisions and in the programme.

## Analysing Information

To get the full benefits of using participatory tools, one basic principle is that the people who provided the information should be involved in collating, analysing and presenting the data. This will increase community ownership of the information and help insiders and outsiders learn about each other's way of thinking. Also, marginalized people in the community can gain skills in organising (collating), analysing and presenting information. This improves the ability of WFP's target groups to use information to make decisions, increases their perceived range of choices, and brings them into new social relationships. All these benefits empower people, who then can use the experience in the future to improve their livelihoods.

### "Circles of analysis" help move information through the system

There will be cases when the information needs to be aggregated; in other words, all the analyzed data put together and re-analyzed. The easiest way to do this, with the most benefits, is to generate

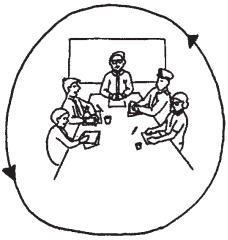
"circles of analysis" at the different levels of information users, and ensure that there are links and feedback between them.

THE DATA IS FIRST ANALYZED BY THE COMMUNITY WITH THE HELP OF FACILITATORS. DECISIONS ARE MADE AND SUPPORTED WITH DATA.

ANALYZED DATA FROM COMMUNITIES

WFP FIELD STAFF AND PARTNERS FROM AN AREA MEET AND COMPARE ANALYZED DATA FROM COMMUNITIES. DECISIONS ARE MADE AND SUPPORTED WITH DATA.

ANALYZED DATA FROM AREAS



PARTNERS AT MANAGEMENT LEVEL MEET AND REVIEW ANALYZED DATA FROM AREAS. DECISIONS ARE MADE AND SUPPORTED WITH DATA.

## Reporting Information

There are many challenges in the reporting of data from a participatory process. There are many users of the data, and many different reporting formats, reporting times and organizational structures. However, a number of general guidelines can be suggested.

- **Data must be transparent.** Transparency of data means that it is available to all users and easily understood by them.

- **The community must own the data.** Information collected from a community must remain with the community so that it can be used by community members for many years. Providing communities with "safe" boxes, plastic holders or books is the first step to their eventual management of activities.

- **Report to communities on their own terms.** Think about your audience when deciding how to present the information: Are they able to read? Do they expect reports? Should the information be presented in a drawing, or in a play? In this way, those who provided the information understand it and are able to discuss the results.

Participatory Techniques and Tools - A WFP Guide

Booklet 3

# Enhancing Participation in Partnerships

WFP
World Food Programme

Participatory Techniques and Tools
A WFP Guide

# Table of Contents

***Enhancing Participation in Partnerships*** *is written for those of you who may already be working within partnerships, or for those of you who are considering the benefits of partnerships, and contemplating how to best proceed.*

*It is written not only for WFP staff, but also for partners. Although one agency or group may be initiating and facilitating the partnership in the early days, basically, all partners are in the venture together, and will benefit from sharing and discussing some of the concepts, techniques and tips that form the "road map" of the partnership.*

*Partnership promotes sustainability. It is a process that will go on throughout the WFP initiative in an area, and can be designed to continue after WFP withdraws. In a well planned and effectively managed partnership, new partners, especially local partners, are empowered to continue on with their own development initiatives after the initial assistance.*

*There are three parts to* ***Enhancing Participation in Partnerships****. The first part is a relatively generic partnership process. This process includes seven steps, although it is to be understood that these steps may not always take place cumulatively. Each partnership will have its own evolution. However, it is still important to know the steps in a process to better understand the process itself.*

*The second part contains a number of tools that have been used by partners to help understand and analyse a situation and each other. These tools may be used as necessary, rather than as prescribed directives, and it is important to*

*know which ones to use and when. They have been organized to follow the generic partnership process, although there is a great deal of fluidity possible in choosing appropriate tools. Adapting the tools for other purposes is strongly encouraged.*

*The third part describes four overall appraisal approaches and methods that may be used by WFP and partners: Rapid Rural Appraisal, Participatory Rural Appraisal, Community-based Management and Food Funds.*

# The Partnership Process

Partnership does not happen spontaneously, although sometimes it does appear that way. It happens because there is systematic planning and effective leadership guiding it. Planning is flexible, open to new possibilities, but within a framework of common vision and tried-and-true principles.

As you embark on a partnership, there are a number of steps in the process which are likely to occur. These steps are linked but will not necessarily occur chronologically. In fact, they are more effective when there is constant feedback between them, a continual "back and forth" movement. The circumstances may change over time, and this might mean revisiting some of the steps.

The steps in the partnership process are to:

- ❑ Identify and Invite Potential Partners
- ❑ Analyse the Situation
- ❑ Analyse the Stakeholders
- ❑ Assess and Manage Conflict
- ❑ Develop a Partnership Plan and Agreements
- ❑ Share Information, Monitoring and Review
- ❑ Develop Phase-over Strategy

The first four steps, i.e. those leading up to the development of a partnership plan, are elaborated in this booklet. The steps that are triggered by the partnership plan are elaborated in Booklet Two, *Planning and Information Management*. The development of a partnership plan itself is contained in both booklets. Tools have been suggested at each step and are signified by a 'Y'. However, it is not always necessary to use tools; it will depend on the

situation. For example, if there are a limited number of partners, and you have worked well together in the past, then tools may not be necessary. If there is open discussion and few tensions in the partnership, the tools may not be applicable. You will have to use your own judgment.

The use of some new techniques during the partnership process is often necessary. Useful techniques are signaled by a  . The techniques, such as Brainstorming, Strengthening Ideas of the group and Drawing People Out, are found in *Booklet Four: Participatory Techniques*.

Best practices in the partnership process include:

- ❑ Recognizing that participation will not happen on its own, and planning for the involvement of key stakeholders as early as possible.

- ❑ Consulting people at the community level about who will best represent them in the planning process.

- ❑ Clearly outlining WFP's policies on participation to partners, in particular the participation of women, as well as understanding the policies of their organizations.

- ❑ Recognizing that identifying relevant stakeholders is an ongoing process.

- ❑ Working jointly to arrive at operational strategies.

- ❑ Being realistic about the strengths and weaknesses of all partner organizations and recognizing that capacity building may be required.

## Identify and Invite Potential Partners

### Involve partners as early as possible

Ideally, when WFP does a Country Strategy Outline (CSO) the potential partners are involved in identifying problems and determining strategies for development. Doing so provides a base for establishing partnership relationships for future programming purposes. Because the potential partners have already been involved in decisions, much of the groundwork and the "buy-in" have been accomplished.

### WFP is also a partner

It is important to remember that although WFP is initiating the partnership, it is also a partner. Once the partnership is forged, WFP should honor all the requirements that have been established.

### Review partner selection criteria

Selecting appropriate partners is a mutual process which takes some thought. Given the diversity of potential partners operating in the various countries where WFP works, it is appreciated that not all potential candidates make equally good partners.

The following generic selection criteria, identified jointly by WFP and NGO partners, can help you to identify some potential partners. They are explained more fully in *WFP Working with NGOs: A Framework for Partnership* (2001). While the suggestions given in this paper should be followed, WFP Country Offices could further refine these criteria based upon country-specific circumstances.

- **Partners should have demonstrated:** transparency and accountability; credibility and local acceptance; financial stability and capacity; and legal status.

- **Partners should have a commitment to:** shared vision, goals, values and interests; the value added of partnerships and potential for complementarities; and gender policies.

Some partners may not meet all the identified criteria, but still be key partners, and have the potential to learn and grow through the partnership. For example, the Community Based Organizations (CBOs) may not, in the early stages, be legal, or financially viable. But they may still be considered important potential partners.

### Identify potential partners

At an initial meeting with current main partners, you might want to work together to identify other potential partners. This can be readily accomplished by doing a **Stakeholder Identification** (in Booklet Three) to understand which stakeholders are likely to be key to the success of the programme.

It is to be noted that while all partners are stakeholders, not all stakeholders are going to be partners. Some stakeholders need only be consulted or informed of the decisions that involve them.

Some of the techniques which can assist in identifying stakeholders in early meetings are **Brainstorming** and **Delphi Techniques** (in Booklet Four).

If this is the first meeting with potential partners, looking over the **Facilitation Techniques** (in Booklet Four) might be worthwhile.

This initial stakeholder list is invaluable. It will be used later in **Stakeholder Analysis** (in Booklet Three). It should be readily available to all partners, and reviewed and updated by them frequently.

### Identify and involve community-level partners

Community-level partners may not be easily identified as "partners" at the onset of the programming and the first stages of the partnership. However, it is important to include some community representation from the beginning in order to "hold a place" for them.

The local NGOs who work closely with communities may be able to identify key local leaders who are representative of, and advocates for the more vulnerable groups, such as women and food-insecure households.

The tools identified in Booklet Five, *Working with Communities*, help to ensure the involvement of the communities throughout the process.

### Identify and involve government partners

In many instances, because WFP works within the national government structures, it has an ongoing relationship within the government ministries, and with national government field staff. Often the government will have worked with WFP in developing the Country Strategy Outline (CSO). In addition, the link between NGOs and governmental organizations is often weak, and WFP can help to strengthen it.

Identifying the right government ministry and the right level of partnership support within the ministry is critical. WFP supports governments, which, in most cases, are already main partners. WFP's relationship with the government is generally the starting point for identifying and bringing together potential partners to begin the situation analysis.

### New partners will emerge over time

In emergency relief, with a community-based approach, the Committees that are formed become potential partners. They may need to develop some organizational skills before they can represent their constituents.

In PRROs or in refugee camps, leaders and committees may develop on their own initiative, or with the assistance of others and become important development partners.

In development programmes, there may be committees, such as forest management committees formed under the initiative provided by WFP and partners. The representation of these interests in the partnership is invaluable.

### Partners will self-select

There may be a change in the partners over the first few years, and this should be seen as natural and healthy. Generally, some individuals and the organizations they represent show initial interest and then realize that the partnership does not hold enough for them to continue. Others may see the partnership opportunities only after the programme has been in operation for some time.

It is a good idea to spend some time in de-briefing with partners who wish to disengage to ensure that the reasons are not inherent in any organizational dysfunction within the partnership.

## Be aware of problems in partnerships

It is essential to recognize that the missions and cultures of the partners are very different. To form successful partnerships, representatives of the partnership must address the focal issues of the partnership from the viewpoint of their constituents, even though they may have substantive personal disagreements over some of the related issues.

The first meeting is very important, and its goal is to build enough trust and commitment to meet again. See Booklet Four, Participatory Techniques (Techniques for Meetings), for more information. However, in this instance, particular attention must be given to the following issues:

- ***Who will convene the meeting?*** It is important to identify an individual or organization that is well regarded by all parties to call the meeting. The convening individual or group needs to have credibility with all the partners.

- ***Where will the meeting be held?*** For an initial meeting, it is best to identify some neutral ground, which prevents the meeting from being perceived as under one organization's control.

- ***Who will moderate the meeting?*** When choosing a moderator for the initial meeting, find someone who is at ease facilitating a participatory meeting.

## Analyse the Situation

### Dealing with pre-defined situations

In order to understand which stakeholders will be crucial to the partnership, it is necessary to first understand the situation being addressed. A situation analysis might involve political, cultural, financial and/or food security aspects.

The CSO of WFP, as well as the documentation that governs other partners, may be a good source for understanding the situation and developing strategies to deal with it. They can be reviewed by partners, who can confirm agreement on the objectives. There may already be a well defined programme with a developed logical framework, which also can be reviewed. At this stage, benefits are to be gained if some of the partners have been included in the early identification of the situation and strategies.

### Dealing with a new situation

If there is a newly emerged situation, such as flooding, earthquake, war or famine, you may need to gather new information in order to understand the situation. In these instances, information can be obtained from secondary sources such as VAM or national government offices.

The local partners may prove to be invaluable sources of information to help with the situation analysis, especially if they have been working within the country and at the local level for a long time.

Rapid Rural Appraisal (RRA) (in Booklet Three) is one of the methods to understand a situation quickly, relatively broadly, and systematically enough to be reliable. This method is highly

beneficial if the partners do it together as a team, assisted by other specialists (such as nutritionists or medical professionals) when necessary. The RRA method works well at this early stage because while it systematically explores a situation, it does not involve local populations enough to create expectations.

## Gender considerations are critical

Look at the situation from the perspective of both genders. Ensure that the partnership has a balance of both men and women, and that women are given a voice in the partnership. They represent a large and important constituency, especially concerning food insecurity.

Gender analysis should take place even in emergency relief situations. In an emergency, the focus is on primary needs -- water, food, shelter, sanitation and basic health facilities -- and on meeting them through the delivery of "aid" as quickly as possible. But the need for speed and efficiency cannot justify the delivery of "blueprint" emergency operations. Food aid issues and gender issues are closely intertwined. Three out of four victims of war, drought and other disasters are women and young children. The victims of disasters (both women and men) still have to be consulted and actively involved in the process of planning the disaster response activities.

### Situation Analysis may require tools

After collecting and analyzing the data gathered from secondary sources, partners and/or RRA, the situation may need to be further analysed.

The tools (in Booklet Three) that may be helpful here are **Force Field Analysis**, which helps to identify shared visions, or **Problem Tree**, which identifies the root causes and relates them to solutions, or **Base Mapping**, to enable discussion of areas of expertise, problems and differences in the culture.

### Clarify the common mission

The situation analysis is often the first time that partners clarify their vision and determine whether that vision is shared. Generally, the partner that is instigating will facilitate or initiate this step.

Questions to consider might be: "What is the nature of the problem that the partners might solve, and why is it necessary to bring these partners together to solve it"?

Tools that can be used to clarify common vision are **Problem Tree** (in Booklet Three) or **Positive Discussion** (in Booklet Three).

### Situation and stakeholder analyses are linked

For WFP, the situation and stakeholder analyses are strongly linked as they provide key information that will influence a number of aspects of the programme design, including:

- Assessing the opportunities for participation (strategic planning level).

- Establishing or strengthening partnerships.
- Understanding food security problems.
- Laying out the objectives of the programme.

These linked analyses lay the foundation for the involvement of key stakeholders throughout the programme and are mediated through the logical framework and/or the action plan.

Linking stakeholder capacities and interests with the broader characteristics of the environment in which WFP will be working entails putting the findings of the stakeholder analysis in the context of the relevant economic, political, demographic, security and ecological factors that affect food security in the food-insecure areas identified by VAM. Since much of this information is from secondary sources, including government statistics, it is essential to involve local stakeholders in many aspects of the situation analysis. A tool which would be useful in this instance is **Base Mapping** (in Booklet Three).

## Local-level involvement is important

The situation analysis should not be seen as useful only at the national or strategy level. Local-level stakeholder involvement in situation analysis is crucial because it provides a more accurate "reading" of the local situation and improves knowledge of the political and cultural context within which participation can occur. This is where the so-called "top-down" and "bottom-up" approaches are linked by involving all stakeholders in analysing the potential for participation and in planning for it. When working with communities, they will do their own stakeholder and situation analyses, which should complement and coordinate with the partners' analysis of the situation.

***Questions to consider***

***Participatory approaches can be integrated into a WFP programme and linked to the situation analysis and stakeholder analysis by considering the following questions:***

- ➢ *How might national and local authorities react to the proposed participatory approach?*
- ➢ *What are the cultural, social and political factors within the area that could influence people's participation?*
- ➢ *What are the security factors that need to be taken into account?*
- ➢ *What local organizations or traditional practices could play an effective role in promoting participation?*
- ➢ *How are local people likely to react to efforts to involve them?*
- ➢ *What contributions can the various actors make to programme activities?*
- ➢ *What resources, skills and time are available to promote participation?*

*Based on the findings of the participation analysis, concrete steps can be outlined in a plan and country office work plans and partnership agreements.*

## Analyse Stakeholder

### Partners and stakeholders are not the same

Partners are stakeholders, but not all stakeholders are partners. The partners would be wise to undergo a stakeholder analysis

shortly after they come together as partners. This will give them some insight into the others they will be dealing with, or others they may wish to invite into the partnership.

Partners work closely together over the longer term, while stakeholders may work together from time to time. However, at any time, any one of the stakeholders or stakeholder groups may become a partner.

Stakeholders who are not partners, or who are not represented in the partnership, must be considered as constituents and kept informed of all decisions made. They must know that they have a voice in the decision-making at any time, and that their needs are being considered.

### Categories of stakeholders and stakeholder groups may be necessary

If there are many stakeholders because of a particularly complex situation, it may be most efficient to categorize them into primary and secondary stakeholders, and from each of these categories draw key stakeholders. In doing this, the particular information needs and concerns can be tracked and addressed.

See **Stakeholder Identification** (in Booklet Three).

### Stakeholder analysis is crucial

A stakeholder analysis gives a comprehensive picture of all persons, groups or institutions that:

- ❑ Have an interest in the programme's success.

- ❑ Contribute to or are affected by the objectives of the programme. positively or negatively.
- ❑ Can influence the situation.

It also helps to identify groups that should be directly or indirectly involved and to ensure that the poorest and most marginalized people are represented. Sometimes this is not as easy as it seems, especially within communities. Stakeholders, or "actors" as they are called by some agencies, include WFP staff, women and men community members, community leaders, representatives of community groups, NGO partners, government officials at various levels, political groups, United Nations agencies, bilateral agencies, foundations and/or donors.

The stakeholder analysis identifies:

- ➢ Key stakeholders involved in a programme.
- ➢ The interests of stakeholders in relation to the programme.
- ➢ The capacities of stakeholders and capacity building needs.
- ➢ The resources stakeholders may contribute.
- ➢ The potential roles of stakeholders in the programme cycle.
- ➢ Potential partners.
- ➢ Perceptions of potential difficulties, conflicts or coalitions of support between various groups.

A stakeholder analysis can vary from a quick and superficial analysis that only summarizes who is there and what the basic interests are, to an in-depth review delving into such things as values, internal functioning, representation, capacity and needs for participating.

The kind of stakeholder analysis will depend on the situation, the partners, the scope of the programme and the activities, and the type of questions derived from the situation. One of the easier forms of analysis is a matrix  **Stakeholder Analysis Matrix** (in

Booklet Three), which is very adaptable and can be used for many purposes.

The **Venn Diagram** (in Booklet Five) can be used to analyse the differences in power and influence of the stakeholders. It can also serve to identify those whom the proposed activities might negatively and positively affect, or those stakeholders who are going to offer resistance and may cause problems.

The **Sustainable Assessment** (in Booklet Three) looks at the partners themselves, or the viability of stakeholder groups or organizations that are expected to continue when external support is withdrawn.

To facilitate the selection process, a joint assessment exercise could be carried out with potential partners to look at the strengths and weaknesses of each organization and to determine the value added of partnering from individual agency perspectives. This could be assisted by the tool **Capacity Analysis Match** (in Booklet Three).

### Identify stakeholders

Identifying stakeholders is an ongoing process, and throughout the programme new stakeholders will emerge. However, the initial list drawn up by the partners will serve as the base.

The following list of questions, used in conjunction with techniques such as **Brainstorming, Mind Mapping and Delphi** (in Booklet Four), is very effective to generate discussions around identifying the different stakeholders.

- Who might be affected negatively/positively by the programme or programme activity?

- Who are the "voiceless" for whom special efforts may have to be made?
- Who are the representatives of those likely to be affected?
- Who is likely to actively support or oppose the proposed programme?
- Who can make the programme more effective through their participation or less effective through non-participation or outright opposition?
- Who can contribute financial and technical resources?
- Who are we forgetting?

### Identify the interests of stakeholders

There may be as many different interests as there are stakeholders, and it will be necessary to understand where these interests converge. The basic tool **Stakeholder Analysis Matrix** (in Booklet Three) can be adapted to the following questions about the interests of stakeholders.

- What are the stakeholders' expectations of the programme?
- What benefits/drawbacks are there likely to be for stakeholders?
- What resources will stakeholders wish to commit (or avoid committing) to programme activities?

### Ensure that women are disaggregated as stakeholders in all groups

Gender cards can help identify those stakeholders groups who are making decisions, and highlight whether they are mainly women or men. This clearly shows where women's interests are likely or not likely to be considered.

## Identify the capacities of stakeholders

A quick way to identify the capacity of stakeholders is to answer the following questions, which can be incorporated in the **Stakeholder Analysis Matrix** (in Booklet Three).

Which stakeholders have:

- Some experience and success in using participatory approaches?
- Technical and administrative skills?
- Qualified staff available?
- Resources that they can contribute to the programme?
- The ability to relocate, expand or make contacts to move into non-traditional areas?
- The willingness to be transparent and accountable?
- Local knowledge?

Another tool which may be useful to establish the capacities of the various stakeholders is the **Capacity Analysis Match**. (in Booklet Three).

## Identify the potential roles of stakeholders

The various stakeholders will be more capable of performing different roles throughout the programme. The **Stakeholder Analysis Matrix** (in Booklet Three) can also be adapted to serve this analysis, with the following questions:

- To which phase of the programme can stakeholders contribute?
- What type of contribution (information, funds, management, organizational) can they make during these different phases?

### Community stakeholder analysis is useful

The community also can do a stakeholder analysis, which more specifically deals with those community stakeholders. Community stakeholder analysis is described in Booklet Five, *Working with Communities*. While community stakeholders are usually represented in the partnership by one or two individuals, there are also other very specific stakeholders who are unique to certain areas. For example, the village shopkeeper may be negatively affected by food aid and can be represented in the community stakeholder analysis, but not necessarily in the partnership.

### Stakeholder analysis can be sensitive

Stakeholder analysis often involves sensitive information. Many interests and agendas are covert. In many situations, there will be few benefits in trying to uncover such agendas in public.

However, the support of senior decision-makers is necessary, and this is reflected in their sending representation who have the power to make decisions on behalf of the organization.

## Assess and Manage Conflict

### Conflict does not always mean violence

There are many forms of tensions or conflict inherent in implementing programmes. Conflict may involve a number of different groups, for example men and women, different users of the same natural resource, or community groups and government organizations. These non-violent conflicts, which may take place in the home or the meeting hall, can be harder to identify than armed conflict, but they can ruin programmes just as effectively.

When WFP and partners intervene, it is likely to change behaviour or processes. There is a real danger that existing conflicts may be intensified, or new conflicts created. The participation and consideration of all stakeholders and/or stakeholder groups are important ingredients in preventing or resolving conflict.

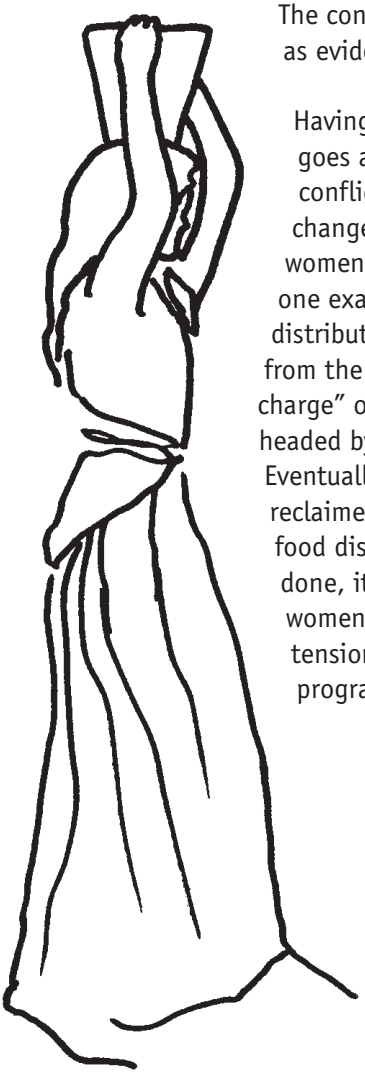
Conflict management includes the whole range of conflict anticipation, limitation and resolution. By trying to identify and address the root causes of conflict, such as inequity, discrimination or injustice, during the programme design, implementation and monitoring phases WFP, working within the partnerships, hopes to reduce potential conflict over newly introduced resources or changes in power structures. Since assistance brings a change from the status quo, and will nearly always create tension and conflict in a community, skills are needed to avoid the negative influence or impact some stakeholders could create.

## The role of the partnership in community conflict

It is almost impossible for outsiders to understand how their actions will affect the power relations and lines of tension in a community. However, it is often very easy for people within the community to identify potential tensions. While it is impossible to "stamp out" conflict from outside if the conflicting parties do not want to end the conflict themselves, the partners can help people do things for themselves and involve stakeholders in identifying and reducing potential tensions.

Partners can seek to understand the tensions that may occur by the various interventions and activities, and try to mitigate them with good communication and good information. Tensions are best understood by focusing on the strategic interests of all stakeholders and dealing with these interests sensitively.

**Conflict and gender often go together**



The conflicts that involve gender may not always be as evident as those which are more overt.

Having women representatives in the partnership goes a long way to understanding the gender conflicts that may emerge. Awareness that any changes may result in tension between men and women is the first step to effective strategies. In one example, men were given charge of the food distribution in communities. This was a departure from the conventional role of women being "in charge" of food for the household. The organization headed by men did not distribute the food equitably. Eventually, and after some tensions, the women reclaimed their role and there was more equitable food distribution. If a gender role analysis had been done, it would have been recognized early on that women were traditionally "in charge" of food, tensions could have been avoided, and the programme been more effective in a shorter time.

***Key principles for WFP staff in conflict management***

- Establish and maintain a transparent process of collaboration based on mutual respect, shared goals and joint learning.
- Develop partnerships that maintain effective working relationships with all stakeholders.
- Facilitate stakeholder ownership and commitment.
- Assist partners to design and implement activities that, to the extent possible, build on traditional or local knowledge.
- Support interventions that respect and accommodate cultural and other diversity.
- Foster continual learning and a flexible management style.
- Be open to the ideas of others.

## Stakeholder analysis is key to identifying potential conflict

The experience of other agencies shows that successful conflict assessment rests on a thorough identification of who the stakeholders are and an analysis of their interests.

Through a stakeholder analysis it is possible for the partners to identify those who might support and those who might resist the interventions. There will always be someone who will resist change and it is important to be aware of it and be able to mitigate these situations before they get out of hand.

When doing a stakeholder analysis, in whatever form you choose, it is strongly suggested that one of the elements concern stakeholder interests and potential conflict. This can be done easily by, for example, flagging the circles on the **Venn**

**Diagram** (in Booklet Five) to indicate which stakeholders might have a potentially positive interest, and those who have the potential for conflict. If the latter emerges, then move the analysis further by strategizing ways to deal with the potential conflict.

### Identify potential conflicts and coalitions of support

When exploring the elements of conflict in any stakeholder analysis, develop a list of questions such as those shown below. This will encourage discussion and move to strategies to relieve potential tensions.

- Do stakeholders have interests that may conflict or align with those of others?
- How do stakeholders regard others?
- Do proposed programme activities challenge existing power structures?
- Who is likely to support or oppose the programme?

The basic matrix in the **Stakeholder Analysis** (in Booklet Three) can be easily adapted to review potential conflict and support. Some of the tools (in Booklet Three) which can be used to understand and strategize to mitigate conflict are:

**Conflict Identification and Management**

**Conflict and Resolution Time Line**

**Conflict and Alliance Mapping**

Partners may wish to map conflict within their group, or within the group that they represent. They can be effectively used with programme staff and community partners to illustrate the level and distribution of conflict.

## Partnerships will also have conflict

Bringing diverse partners together to jointly plan, implement and monitor a programme will undoubtedly create points of conflict. Most newly formed groups go through the following standard process:

**Forming** – this is known as the "honeymoon period", when members of the group show their best sides, and avoid or ignore any potential problems.

**Storming** – when the different interests and agendas come to the foreground, generally when work is required, the group goes through a period of tensions and disagreements. This is a necessary step in the process, but also a time where the group can fall apart if not sensitively led through it.

**Norming** – as disagreements are resolved, the group recognizes common bonds and begins to have group "norms" or ways of doing things together.

**Performing** – as the norms become comfortable, the group begins to perform as a group capable of working together with their different diversities, strengths and weaknesses.

Learning how to manage conflict (the "storming") within the partnership helps partners understand conflict within group organizations at the community level.

## When conflict does arise, emphasize interests

In any conflict, people have certain underlying **interests** at stake. There are also certain standards which can be taken as guidelines as to what a fair outcome might be -- these are **rights**. Finally,

there is usually a balance of **power** between the conflicting parties. These three basic elements -- interests, rights and power -- are present in any conflict, and in seeking to resolve or head off a conflict, the parties may choose to focus their attention on any one or a combination of these elements.

An effective conflict resolution system would have a main focus on interests, and less focus on rights and power.

**Conflict Resolution**

| Characteristics | Types | Language Patterns |
|---|---|---|
| Very positional<br><br>Often assertive, aggressive, emotional | **Power**<br><br>Exercise of authority | Threats, demands:<br><br>"If you don't ----, we will ----!" |
| Positional<br><br>One position vs another position | **Rights**<br><br>Appeals to rules, procedures, regulations, agreements and traditions | Many statements, often personalized:<br><br>"I think-----"<br>"In my opinion------"<br>"This is not in accordance with----" |
| Exploratory<br><br>Looking for information, choice, options, reasons | **Interests**<br><br>Partnership problem solving. Getting behind the position as to "why do people want what they say they want?"<br><br>The "Orange Story": We both want the orange. What do we do? Argue about it? Cut it in half? Or find out why we both want it?<br><br>Why: I want the peel to flavour my cake. You want the juice to squeeze for a drink. So we can both get what we want, if we can find out why we want what we say we want! | Tentative statements and many questions:<br><br>"What do you think about-?"<br><br>"Would it be an idea to-----?" |

## Develop Partnership Plans and Agreements

### Planning includes many elements

All of the steps in the partnership process described thus far bring the partners to the place where they can make plans on how they are going to reach their common objectives and goals.

This planning of the partnership is not to be confused with programme planning or planning for participation, although they are all linked and complementary.

Many of the decisions may already have been made during the various analyses, and planning generally means just putting all these decisions together and sorting out who is going to do what, where, when and how. It might be that the issues have been explored, but decisions have not yet been made, and more information and analysis is needed before the planning begins.

Planning might include:

- Statement of the objectives of the partnership process and the goals they hope to achieve together.
- Identification of key stakeholder groups, together with their roles, responsibilities and commitments (e.g. WFP will organize community meetings, beneficiaries will form joint programme activity committees).
- Identification of participatory approaches and methods.
- Essential capacity-building measures.
- Measures of success (indicators).
- Resource implications and funding sources.
- Milestones to measure progress.

These planning elements, as well as the management of information generated by a participatory initiative, are elaborated in Booklet Two, *Planning and Information Management*.

# Tools Frequently Used with Partners

The tools described here, often called "exercises" or "helpers", can be used to assist partners with information gathering and analysis. All of them are participatory, i.e. inclusive, interactive and iterative.

Tools can be useful even when the partners know each other well, or have been working together closely for some time. The participatory tools can help to understand the very different attributes that each of them brings to the partnership. Tools used at this level also help partners to understand how including stakeholders in decisions that will affect them (or the constituents whom they represent) is essential for effective assistance programmes.

Because tools are interactive and inclusive, they signal to people that the conventional "top-down" relationship is shifting. The tools are fun and enjoyable and using them can result in very different kinds of interactions.

It is important to remember that these tools are only part of a larger participatory process that includes activities such as: gathering programme information; assessing organizational capacities in a variety of areas; examining trends; and formulating concrete action plans. Tools should not be seen as a substitute for "participation", but rather as "helpers" to the participatory process.

Equally important is the need to adapt these tools to meet the specific issue, context and/or situation. Involve all the partners in facilitating and using the tools to build important skills throughout the partnership.

**Tool Name** | **1. Stakeholder Identification**

**Description**

Using Brainstorming, Mind Mapping or Delphi Techniques to identify stakeholders, this tool then places each stakeholder or stakeholder group on a separate card and sorts the cards into various categories. From these categories, further analysis can be done.

**Possible Applications**

- ❑ Make stakeholder analysis "workable" when there are many stakeholders and/or a complicated set of activities.
- ❑ Begin discussing the differences between stakeholders in order to take the analysis further.
- ❑ Decide on whom to invite as potential partners at the beginning, and identify other potential partners once a few partners have been chosen.
- ❑ Highlight inequities in stakeholders in a relatively easy and value-free way.

**What you need**

- Category sets that complement the situation, for example:
  - Those with legal status.
  - Primary, secondary and/or key stakeholders.
  - Rural-based and urban-based stakeholders.

- Stakeholders of potential conflict and support decisions made mainly by men or women.
- Stakeholders with and without money and power.
- Stakeholders with the most to win, and to lose.

- 20-40 (3" x 10") cards

- Masking tape, stones or pins, depending on where the exercise takes place.

**How to use**

➢ Put the potential programme activities on a large sheet of paper that can be seen by all. This is to focus the group, as the stakeholders identified will relate to that focus.

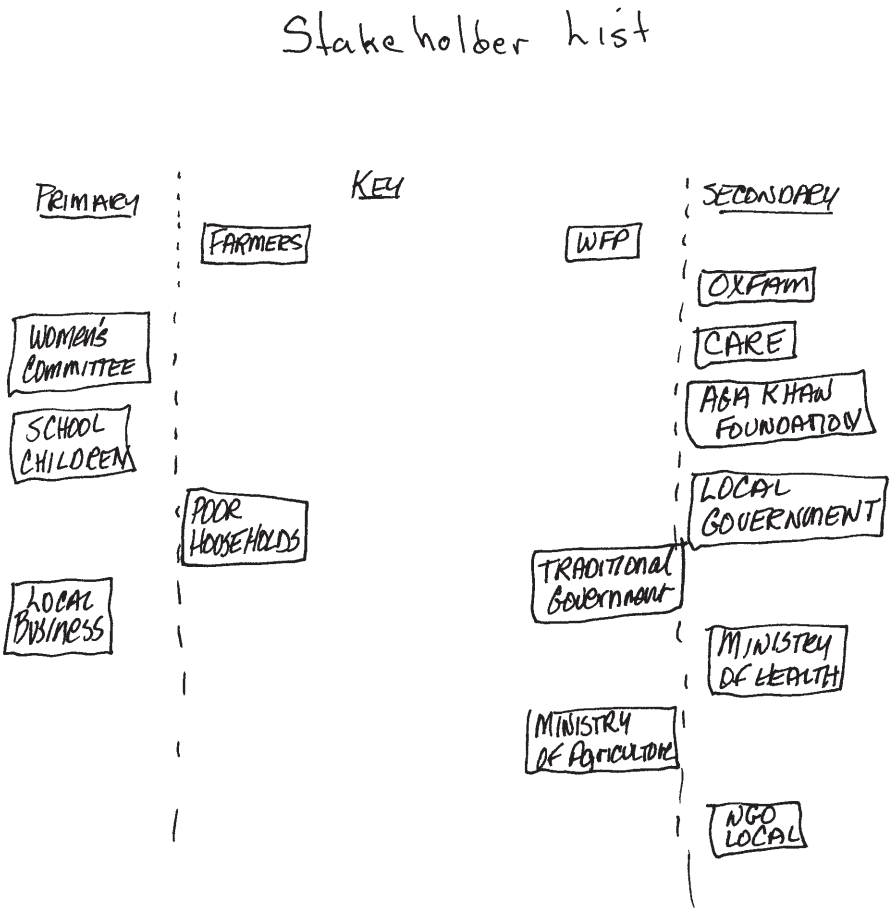
➢ Begin to Brainstorm (or use Delphi Technique, or Mind Map in Booklet Four). Identify all those who fall into the category of stakeholders relative to the programme activities. Write the common name for each stakeholder or stakeholder group on one of the cards. Place these cards where all can see them: either on a flat table facing participants or taped onto a wall or chalkboard, or under stones on the ground. Print the stakeholder names in large legible letters.

- Once the stakeholder identification has been exhausted, introduce the set of categories that has been chosen. Have the participants move the stakeholders around to match the categories. If there are many participants, split the group so that each group takes a category and discusses which stakeholder cards belong in it. Provide extra cards so that stakeholders can be added during the sorting. Provide a space for stakeholders who were identified but who, on second thought, "don't belong".

- When the sorting has been finished, open discussions about why these decisions have been made, and what it means to the partnership. The probing questions from the facilitator will be relevant to the category that is being discussed.

- Let participants know that this is only one way in which stakeholders can be categorized, and mention some of the other possibilities that can take place at a later date. Have participants suggest other categories.

**Example of Stakeholder Identification**



**Stakeholders** are those persons, groups or institutions with interests in a programme. They can include both winners and losers, and those involved or excluded in the decision-making process.

**Primary Stakeholders** are those people and groups ultimately affected by the programme. This includes intended beneficiaries, or those negatively affected, such as those who are involuntarily resettled or those who already have charge of a resource. In some programmes, primary stakeholders can be categorized according to social analysis. They can be divided by gender, social or income classes, occupational or service user groups. In many instances, categories of primary stakeholders may overlap; for example, women and low-income groups, or minor forest users and ethnic minorities.

**Secondary Stakeholders** include WFP and others who are intermediaries in the aid delivery process. In other words, they deliver aid to the primary stakeholders. They can be further divided into funding, implementing, monitoring and advocacy organizations, or simply governmental, NGO and private sector organizations. In many projects, it will also be necessary to consider key individuals as specific stakeholders (i.e. heads of departments or other agencies who have personal interests as well as formal institutional objectives such as politicians, local leaders, or respected persons with social or religious influence). Within some groups, there may be sub-groups of stakeholders such as public service unions, women employees, or specific categories of staff such as forest guards.

**Key Stakeholders** are those who are of major importance to the success or failure of the programme or activities.

**Tool Name** | **2. Stakeholder Analysis Matrix**

**Description**

The stakeholder analysis matrix can be adapted to many purposes. It is merely a way of asking a set of questions across the range of stakeholders being examined. It provides a deeper level of analysis than categorizing.

**Possible Applications**

- ❑ See how the stakeholders are linked.
- ❑ Understand the differences between stakeholders.
- ❑ Monitor and review changes in stakeholder capacity.
- ❑ Identify any possible tensions such as religious differences concerning food.

**What you need**

- List of stakeholders.
- Matrix (either blank or with pre-set categories).

**How to use**

- ➢ Identify and list all potential stakeholders and determine those that will be dealt with by using this matrix.
- ➢ Identify stakeholder interests (overt and hidden) in relation to the problems being addressed by a programme and its

objectives. Note that each stakeholder may have several interests.

- Briefly assess the likely impact of the programme on each of these interests (positive, negative, neutral or unknown).

- Indicate the relative priority which the programme should give to each stakeholder in meeting interests. These interests can refer to priorities derived from WFP's policy and project objectives related to partnerships. Indicate these with a .

- When the matrix, as you have presented it, is completed, open discussions about what this means to the programme activities or to the partnership. Then, if it seems appropriate, proceed with other related columns, for example, possible points of tension between stakeholder groups.

**Tool Name** **3. Base Mapping**

**Description**

This tool uses a map to encourage discussion about a wide range of topics, not all of them physical, but all capable of being located on a map. The map can be a national map or a local map; a political map or a topographic map. It will depend on the participants and their level of comfort. If there is a VAM office in the country, there will be many different kinds of maps that can be used.

**Possible Applications**

- ❑ Choose areas which are most vulnerable. This may have already been done within the CSO.
- ❑ Identify dangerous routes or areas.
- ❑ Discuss and identify areas for RRA samples.
- ❑ Discuss areas of vulnerability and food insecurity.

**What you need**

- A map of the district, region or country, depending on the scope of the programme activities. If a map is not available, use flipchart papers and wide nib pens to draw a map.
- A clear objective for the exercise. For example: "Find sites to visit during RRAs which will take place in July."

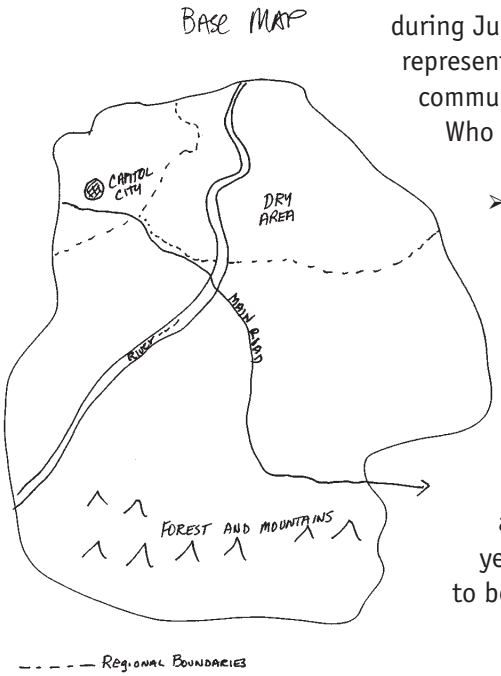
- Coloured mapping pins, stick pins, small post-its.

**How to use**

➢ Put the map down where all participants can see it and be involved in touching it. A round table is perfect.

➢ Familiarize participants with the map by having them place stick pins in familiar places – for example, where they were born and where their children were born.

➢ Describe the objective of the exercise, and establish criteria together. For example: Which communities are easily accessible during July? Which communities are representative of the area? Which communities are most vulnerable? Who is working in which areas?




➢ Go through each area and discuss the purpose of the exercise. Before decisions are made, signify that the area is being covered by putting on a post-it. When decisions have been made, put in a stick pin. These can be colour coded -- for example, red for an area that is "for sure", yellow for an area that needs to be "reassessed".

**Tool Name** | **4. Capacity Analysis Match**

**Description**

This is a highly interactive tool, which enables stakeholders to determine whether they have the capacities, skills, resources, knowledge and/or experience amongst them. These stakeholder capacities are relative to the activities within each stage of the programme, and can be done in the preparation stage, or before entering each subsequent stage.

**Possible Applications**

- ❑ Assess the potential or capacity of partners to learn from each other, train each other and determine when outside help is required.

**What you need**

- Flipchart paper, pens.

**How to use**

- ➢ Explain the task that has to be accomplished. In the examples, the tasks are "food needs assessment" and "activity selection".
- ➢ Brainstorm the skills, experience and resources that are needed to accomplish the task.
- ➢ Place each one of these skills in the Match grid on the flipchart, as shown in the examples.

- Have partners put their names down in the places where they have the necessary resources, skills or experience.

- Discuss the results, with special emphasis on the areas where capacity is not fully met by the partners.

### Examples of Food Needs Assessment

Programme Stage: **Idea**

| | M | A | T | C | H |
|---|---|---|---|---|---|
| 1 | *Do you have access to, and the ability to interpret, national-level nutritional information?* | *Do you have an understanding of micro-economics?* | *Do you have adequate staff skilled in participatory techniques?* | *Do you have logistical support for the field (transportation, field offices, etc.)?* | *Do you have financial resources?* |
| 2 | *Do you have a good understanding of the cultural and political climate at the national and local levels?* | *Do you have experience and connections to the poor and marginalized populations?* | *Do you have a good understanding of food-insecurity coping practices at the community and household levels?* | *Do you have staff who know the local languages?* | *Do you have a good understanding of food strategies?* |

Programme Stage: **Design**

| | M | A | T | C | H |
|---|---|---|---|---|---|
| 1 | *Do you have staff trained in PRA techniques?* | *Do you have a broad-based (national and local) knowledge of natural resources (forestry, wildlife, parks, environment)?* | *Do you have broad-based (National and local) knowledge of health issues?* | *Do you have logistical support for the field (transportation, field offices, etc.)?* | *Do you have broad-based (national and local) knowledge of educational issues?* |
| 2 | *Do you have staff who know the local languages?* | *Do you have broad-based knowledge of infrastructures (roads, bridges, school buildings, clinics, etc.)?* | *Do you have experience in conducting community-based needs assessments?* | *Do you have experience in conducting participatory baselines?* | *Do you have a good understanding of food strategies?* |

| Tool Name | 5. Sustainability Assessment[1] |
|---|---|
| **Description** | With this tool, participants identify characteristics of a sustainable organization, rank them in importance and then rate their organizations according to these characteristics. |
| **Possible Applications** | ❑ Determine the characteristics of a sustainable organization.<br>❑ Enable participants to assess their organization according to these characteristics.<br>❑ Identify key issues that need to be addressed to make the organization more sustainable.<br>❑ Help partnerships look at themselves as an organization.<br>❑ Help partners understand how community-based organizations might work. |
| **What you need** | • Flip chart paper, cards (coloured paper cut into strips), ballots, wide-nib markers, pencils and tape. |
| **How to use** | ➢ Ask the participants to name the characteristics or qualities of a sustainable |

[1] World Neighbors from the roots up: In Action. Volume 26. No2E. Oklahoma City, Oklahoma, 1999.

organization. Write each characteristic on a card. Suggest other qualities if necessary.

- Have the participants sort the cards into three groups: most important, important and less important. Then prioritize the characteristics within each category.

- Write the rank letter on each card, and place the cards in descending order of importance on the vertical axis of a grid (see example). Along the horizontal axis there should be one column for each participant and one column at the end for totals and/or averages.

- Explain the scoring scale (i.e. 1 to 5) using the analogy of a growing tree: embryonic, emerging, growing, well developed and mature. Hand out ballots and ask participants to score their organization for each of the characteristics listed. Once all the ballots have been completed, collect them and write the average scores on the grid. To protect anonymity, collect all the ballots before transferring the scores to the grid.

- Facilitate discussions with open-ended questions such as:

  **"What factors have enabled your organization to score high on some of these qualities?"**

**"What factors have hindered your organization from becoming more sustainable?"**

**"What critical factors need to be addressed to help the organization become more sustainable?"**

EXAMPLE OF GRID FOR SUSTAINABLE ORGANIZATION

| Characteristics of a Sustainable Organization | Participant #1 | Participant #2 | Participant #3 | Averages |
|---|---|---|---|---|
| *Most Important* | | | | |
| A. Effective leadership | 3 | 3 | 4 | 3.3 |
| B. Capacity to raise funds | 2 | 2 | 2 | 2 |
| C. Strong Strategic Plan | 2 | 3 | 3 | 2.7 |
| D. High level of participation | 3 | 3 | 4 | 3.3 |
| **IMPORTANT** | | | | |
| E. Good financial management | 2 | 2 | 3 | 2.3 |
| *Less Important* | | | | |
| F. Good documentation | 3 | 2 | 2 | 2.3 |

*Values used in Rating:*

*1= Embryonic 2= Emerging 3= Growing 4= Well developed 5=Mature*

**Tool Name**

## 6. Threats to the sustainability of an organization

**Description**

This is a self-created grid which includes identifying, ranking, rating and highlighting potential threats to an organization.

**Possible Applications**

- ❑ Help participants identify and analyse the main threats to their organizations' ability to become viable and self-sustaining.
- ❑ Identify critical issues that need to be addressed to strengthen the organizations' ability to overcome these threats.

**What you need**

- Flip charts, cards, markers and tape.

**How to use**

- ➢ Completed Sustainability Assessment.
- ➢ Review the results of the Sustainability Assessment exercise, including the qualities of the sustainable organization and the scores given.
- ➢ Clarify the term threat. Emphasize that threats are external to the organization, but can nevertheless lead to its downfall.
- ➢ Ask participants to list key external threats to the viability of the organization. Write

these threats down on cards. Suggest other threats if necessary.

- Discuss the difference between a large threat and a small threat to ensure common understanding and acceptance of the criteria for each. Have participants group the threats into these two categories based on their potential impact on the organization. Write codes on the cards to identify in which category they were placed.

- Ask participants to explain why they categorized some threats as large and some as small. Allow time for participants to modify the lists based on this discussion. Then ask participants to prioritize the threats within each category.

- Discuss ways in which the external threats under the control or influence of the organization can be addressed. List these on cards and tape to the side of the graphic.

- Ask participants to identify factors that constrain the organization's ability to address or control threats to its sustainability. List these on cards and tape to the bottom of the graphic.

## Threats to Sustainability

| External Threats | Partially within our control | Completely out of our control |
|---|---|---|
| Climatic Conditions (L) | | X |
| Donor Withdrawal of Support (L) | X | |
| Conflicts with other NGOs (L) | X | |
| Lack of Qualified Personnel (L) | X | |
| Political Instability (L) | | X |
| Late arrival of funds from donor (S) | | X |
| Change in donor policies (S) | | X |
| Lack of Access to New Donors (S) | X | |

### Ways to Address These Threats

- Seek to collaborate with other orgs.
- Communicate better with donors
- More staff training & development
- Partecipate more in NGO network

### Constraining Factors

- Staff workload too large/stressful
- Project tends to be donor driven
- Lack of local donor base

**Tool Name** | **7. Positive Discussion**

**Description**

*Positive discussion* is a structured discussion with communities and groups that searches for solutions that already exist, identifies what is already working and focuses on the potential for positive change.

By concentrating on problems and on "what does not work" in a given situation/society, people are often made to view their community as a place full of problems and needs that require the help of outsiders to overcome. Positive discussion turns this approach upside-down by discussing how to improve a given situation.

This tool consists of a framework for discussion organized in three steps:

- The **appreciative** step: appreciating "what works well" in a given context.
- The **envisioning** step: creating a vision of "what it would be like if" the discussed objective was "working well".
- The **action** step: seeing "how" to make the vision become real and improve reality in the desired direction.

**Possible Applications**

❑ *Positive discussion* is a cyclical tool: actions carried out will become "best experiences" on which future visions will feed.

❑ Can be used at all levels of programming. By its use, groups and communities build on existing strengths and concentrate on positive aspects of their organization and of their relationships with others to develop new features. It is a tool that can be used by groups at all levels, from community to national self-development. *Positive discussion* has an empowering effect. It is particularly useful in rehabilitation environments.

❑ Useful in conflict assessment and management and forms a sound basis for participatory activity selection.

**What you need**

- If there are many topics of discussion, it may be useful to keep track of them with cards containing either drawings or writing.

**How to use**

➢ Form small groups of five or six people.

➢ Start the **appreciative step** by facilitating discussion on appreciating the best of "what is working well" in a given situation.

➢ Focus on positive aspects and mechanisms. If discussing a programme or programme activity, ask what were the best experiences that people have had of similar activities. If discussing a situation or relationship, ask what is, or has been, good about the relationship. Ask what is working well; for

example, in the relationship between Government and community, or between men and women. (Discussion can take the form of story-telling. Each member of the group can tell a story about their "best time" related to the subject and the other members can interview them.)

- Unite the different groups and analyse the information, seeking to understand the strengths that made the "best times" possible. Ask questions such as: What were the factors that made it a peak experience? Who were you with? How was it? How did it come about? What would have to change for it to happen all the time?

- In the **envisioning step**, the group imagines what it would be like if the situation (or programme activity) it is analysing worked as well as the "best time" identified in the first phase: How would the current programme be if it were like the best times of previous programmes? How would the relationship between men and women be if it were always like the best time of the relationship?

- In the **action step**, the group should discuss how to implement the vision: how to make the situation described in the second phase happen. The facilitator has a limited role. Group and community members should feel completely responsible for their proposals. The facilitator should emphasize that they

are discussing what *they* can do and should not be thinking about what *external organizations* might do.

### Examples of Positive Discussion

In the case of a WFP food-for-work (FFW) programme in an area where previous development programmes have been carried out, positive discussion would concentrate on what the community identifies as the "best of" previous development efforts. It would discuss "what it would be like if" the FFW programme were founded on the positive aspects identified.

The emphasis would then move to discussing and identifying what the community itself would need to do to build on the existing positive aspects. Only after having placed themselves at the centre of activities would they identify what other people (WFP, for example) need to do.

Finally, to enable review of the cycle and be of use for the future, the community would, during monitoring, identify the programme's moments of excellence and introduce them into future planning.

Another example is a programme component to improve the relationships between a community and a nearby refugee camp, so as to secure effective distribution of food. In this case, positive discussion carried out with the community would identify what positive elements there are in their relationship with the nearby refugee camp. It would then imagine what it would be like if all interaction between the two groups were based on those kind of positive aspects, and help the community group to identify what is needed to make it work that way.

**Tool Name**

## 8. Understanding the Decision-making Process

**Description**

This tool encourages and stimulates people's understanding of their participation in the decision-making process. It does this by matching the current decisions being made with those who make the decisions. This highlights any inequities or inefficiencies there might be in the decision-making process.

**Possible Applications**

- ❑ In participatory planning with partners for protracted relief and recovery or development activities.
- ❑ When decisions have previously been made by one group or sector, and a change to inclusive decision making is needed.

**What you need**

- Several sets of large cards showing decision makers (e.g. community officials, community committees, community women and men, government staff at various levels, NGOs, WFP staff). These must be prepared beforehand, and include some spare cards.
- A number of blank smaller cards to show key decision points or factors. The number of cards will vary depending on the local situation and the decision-making processes to be analysed.

- A board or flat surface to allow visibility to the group.

**How to use**

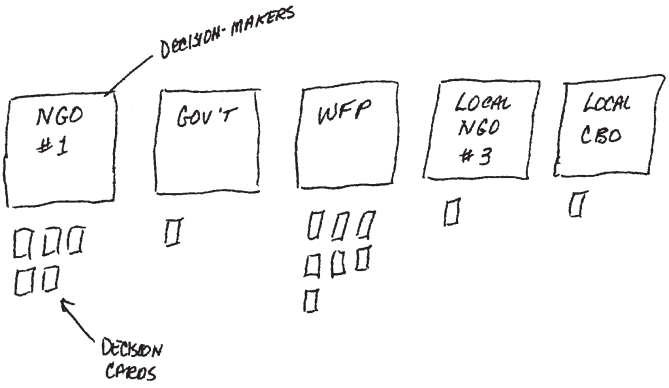
- ➢ Pass the smaller cards out to the partners.
- ➢ Identify actions or events that have required decisions by the partners and that the partners would like to discuss.
- ➢ Obtain agreement on which decisions have been made and in which order.
- ➢ Write these decisions on small cards.
- ➢ Place the large cards denoting "decision-makers" down where all can see them, and explain that each card represents a person or group that has influence on how decisions are made. The exercise can be simplified by reducing the number of decision-makers.
- ➢ Ask the partners if all of the decision-makers have been identified. Fill in gaps using spare cards.
- ➢ Ask the partners to discuss who made the decisions and how they made them.
- ➢ Identify the other stakeholders who were influential in the decision-making process but did not make decisions themselves.
- ➢ Initiate an open discussion about the

decision-making process, touching on key issues such as:

- Is there a system in place for decision-making and who participates in it?
- Who decided what was going to be done?
- Who determined who would contribute? Who decided which assets would be contributed? Who decided the timing and ration scale? How?
- How is conflict resolved?

➢ When general agreement is reached on the key issues, ask the partners to place the decision cards next to the large cards of the decision makers. If there is not agreement, note this by a star on the decision card.

➢ If partners are not satisfied with their role or the role of others in the decision-making process, this becomes clear. The discussion can then focus on what changes might be possible and why these changes are necessary.



**Tool Name**

## 9. Mapping the Institutional Landscape

**Description**

This tool moves beyond the simple cause-effect chain of change to an approach that accepts diversity and is able to work with it creatively. It takes the concept of Venn Diagrams and enriches them to do more tasks vis-à-vis deeper stakeholder analysis, and especially visualizing the differences between stakeholder groups. In normal participatory tools, emphasis is on consensus and not conflict. This tool, on the other hand, does not hide conflict, but explores ways in which relationships can be changed and power balances shifted.

**Possible Applications**

- ❑ Identify positive and negative relationships that are constraining or facilitating change in their livelihoods or patterns of work.
- ❑ Understand the diversity of current relationships from the different perspective of the user versus the delivery of enabling agencies.
- ❑ Identify potential areas of conflict, and those stakeholders who are going to be against the proposed activities.

**What you need**

- Circles (3 sizes).

- Big space – walls, floor, and table.
- Cards to fit into all circles.

**How to use**

- ➢ Select one stakeholder group as the centre point. This group will be placed in the centre of the circle, and all the other stakeholders are seen in relationship to it.
- ➢ Group the other stakeholders around the centre by potential dysfunctionality, by institutions, or what they do. You can group in more than one way.
- ➢ Each other stakeholder group is given a circle which represents its relative degree of importance.
- ➢ Draw lines which represent the strength of the relationship between the centre and each external circle. (weak -------; medium_____and strong thick line).
- ➢ Put other variables into the diagram. For example, flow and importance of financial resources, strength of the relationship (# visits, intimate knowledge of X).
- ➢ Discuss these and keep the diagram active so that when changes are made to the stakeholders, or people are strategically dealt with, the changes can be seen on the diagram, or talked about.

**Tool Name** | **10. Problem Statement**

**Description**

This is very effective for coming to a common understanding of the problem and giving all participants a chance to discuss it in some detail with others.

**Possible Applications**

❑ Arrive at common objectives or goals.

❑ Free any blocked situation.

**What you need**

- Group of stakeholders or partners.

**How to use**

➢ Ask everyone present at the meeting to write down their definition of the problem.

➢ Ask people to pair off and share their problem statements with each other. Together, the pair can create a new problem statement, incorporating ideas from both.

➢ Ask pairs to join together to form groups of four, and again merge the statements into one.

➢ Continue joining groups in larger and larger groups until everyone is together again and you have one agreed-upon statement.

| Tool Name | 11. Flow Chart |
|---|---|
| **Description** | Variables such as people, institutions and resources are represented in a diagram, and arrows are drawn to indicate the flow or the linkages between variables. |
| **Possible Applications** | ❑ Track the effects of planned change on the flow of resources in a system.<br><br>❑ Explore and understand a livelihood "system" – exploring the linkages and relationships at a local level. As such it generates information but can also be used for analysis. Expressing things visually often enables people to see them differently.<br><br>❑ Review target group priorities and concerns, activity selection and/or monitoring.<br><br>❑ Explore possible effect of activities before programme implementation, or during or after programme implementation for monitoring and evaluation.<br><br>❑ Understand stakeholder priorities and concerns regarding the importance of natural resources or assets to livelihoods. |
| **What you need** | • Flipchart paper, pens. |

**How to use**

➢ Divide a large group of people into smaller groups of no more than five. Get the participants to sit around a shared large piece of paper, which is either on a table or on a wall. For this exercise the group can be a mixed one. The exercise can be carried out with separate groups of women and men as a way of understanding different perspectives of a "system".

**For exploring effect:**

➢ Ask participants to select the programme activity or event they wish to analyse – for example, a programme activity such as food for work, or a change such as a decrease in the food basket.

➢ Write this on the paper and then consider its consequences – both positive and negative. Who/what is affected by these consequences?

➢ Write these on the paper, and draw arrows between them representing the direction of the flow of the effect. Put a few words along the arrows to explain what the consequence is, perhaps indicating whether it is positive or negative.

➢ Go beyond the primary effects and consider effects or consequences further down the line. Get the groups to present their *flow charts* and discuss them. What is the spread of the

positive effects? Which groups are negatively affected? What can be done?

**For exploring a system:**

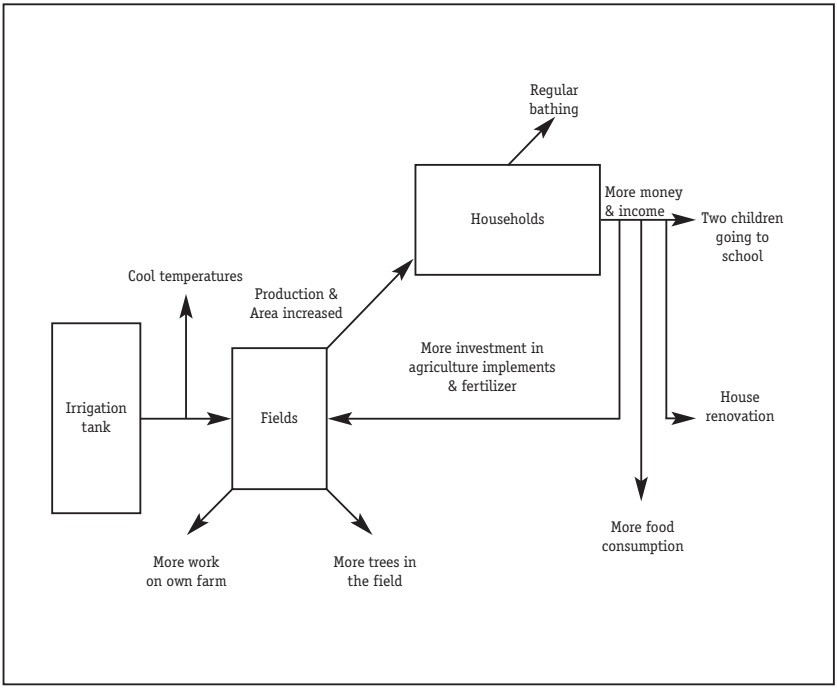
- Ask participants to identify the components that make up that system. For instance, within a farming system, the components would include the fields, the storage facilities, the markets, the households, etc. Write all these components on the paper.

- Use arrows to demonstrate the linkages and flows between the different components -- for instance, crops will flow from the fields to the household and the market. labour will flow from some households to the fields.

- Add other components that may be more remote -- for instance, fertilizer from a distant town.

- Get the groups to present their *flow charts* and discuss them. Have the linkages changed over time? Are more components being added? What would happen if any of the linkages broke down? Are there any significant weaknesses in the linkages?

## Flow chart of the effect of an irrigation tank introduced in Gadechi community




Source: Pretty, N.J. et al. 1995. *Participatory Learning and Action: A Trainer's Guide*. London. IIED Participatory Methodologies Series.

**Tool Name** | **12. Force Field Analysis**

**Description**

This tool is a diagrammatic analysis of a situation, useful for generating a shared vision of a future goal and for developing action plans to achieve that goal.

*Force field analysis* makes planning easier by identifying what can help and hinder change. The tool helps participants identify the actions necessary to minimize opposing forces and to support driving forces.

**Possible Applications**

- ❑ Identify and assess responses to a defined problem.
- ❑ Identify those assets available to poor households and options for diversifying livelihoods.
- ❑ Facilitate the creation of a shared vision and shared change process, either in operational or strategic terms.
- ❑ Identify areas where actions may reinforce latent tensions between communities or groups. Once these have been identified, action can be taken to minimize such tensions.
- ❑ Describe existing gender roles and responsibilities and help determine the

consequences of changing existing gender relationships.

**What you need**

- Large sheets of paper, marker pens and other drawing materials.

**How to use**

➢ Select a representative group of participants (knowledgeable about the situation to be analysed) and divide them into small groups.

➢ Ask participants to draw a large box on the left-hand side of a large piece of paper. Explain to them that this represents the current situation.

➢ Then ask participants to draw a second box on the right-hand side of the page, indicating the same situation once it has been improved. This represents the future goal.

➢ Get participants to draw a straight line from the left- to the right-hand box to indicate the "critical path" or direction of change.

➢ Under the critical path line, have participants draw a few arrows pointing diagonally downwards towards the left, to indicate the forces acting against movement along the critical path ("constraints" or opposing forces to the desired change). Above the critical path arrow, draw a few arrows pointing diagonally upwards towards the right. These indicate the "driving forces",

those available resources or strengths that assist movement along the critical path.

- Once the diagram has been explained, ask the group to start defining the current situation and summarize it with a drawing or with words in the left-hand box. Then, in the right-hand box, define the desired goal either in words or with a drawing. During this phase ensure that there is agreement amongst the group.

- The next stage is to identify those forces that are either assisting or restricting movement along the critical path. Draw or write these forces alongside the appropriate diagonal arrows on the diagram. These forces can be external or internal to an organization, related to people, time, material resources, capacities or political climate. This stage can be started using a *Brainstorming technique* (in Booklet Four) and the results discussed later among the group to establish any connections between different forces.

- During the final stage, which will need enough time to be fully explored, ask participants to identify actions that would minimize, if not eliminate, the opposing forces identified and also those that would build on any driving forces.

Example

**Force Field Analysis in "Community Development through Forestry"**

*Force field analysis* was used as a tool by local people to identify the likely driving and opposing factors to a proposed programme called 'Community Development through Forestry'.

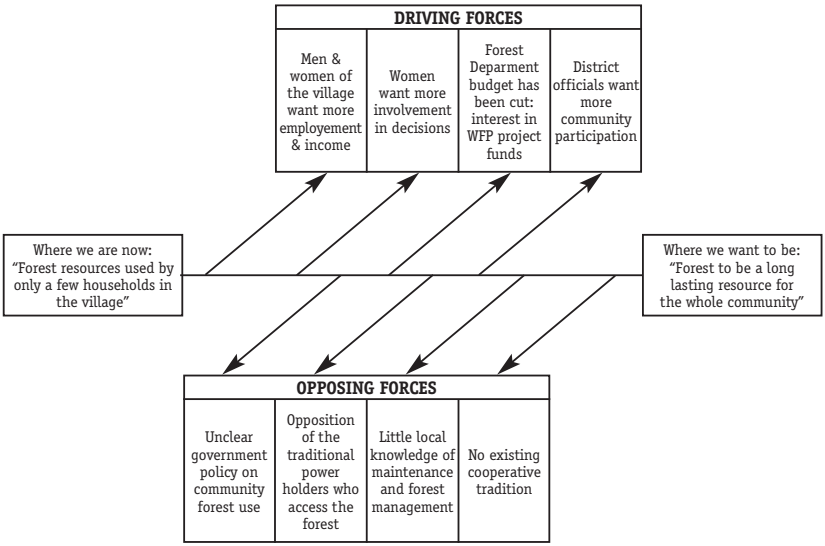
Community members drew the current situation to represent "Forest resources used by only a few households in the community", while they drew the goal as "Forest to be a long-lasting resource for the whole community". They then identified some opposing forces and driving forces.

Subsequently, the participants were able to take opposing and driving forces into consideration when planning the details of how the programme was to be implemented. For instance, steps were taken to involve the traditional community holders of power, so that they were less likely to sabotage the programme (minimizing an opposing force) and they decided to represent the plans to the District Officials (building on a driving force).

As a result of these strategies, the Forest Department staff was commissioned to provide training for community members on the management of forestry resources, and District Officials were asked to clarify policies on access to and control over the forest resources.

Women wanted more involvement in decision-making after their positive experience in a women's group that had previously been formed to improve children's education. Building on this, the women of the community took on key roles within the cooperative groups that were formed to represent and manage the community members' interests.

## Force Field Analysis



| Tool Name | 13. Problem Tree |
|---|---|

**Description**

This is a visual, multipurpose tool that describes "core problems" diagramatically, in a tree-like formation. The trunk represents the problem, the roots represent its causes and the branches its effects or consequences.

A detailed analysis of the effects or consequences of a problem can lead to appropriate activity selection. It can help to identify the "root causes" of a problem rather than getting stuck on managing the symptoms or effects. For instance, shortage of food may actually be identified as being caused by unequal distribution of food supplies, in turn caused by the power relations within the community. To deal with such a problem, attention would need to be given to the social organization of the community rather than attempts to increase supplies.

**Possible Applications**

❑ Identify and analyse the connections between problems and their causes and effects.

**What you need**

- Flipcharts, pens, cards.

**How to use**

➢ Make sure everyone is seated in a semicircle around the wall or table where the " tree" is to be constructed. This is essential for all to participate fully in the discussion.

- The trunk represents the main problem or issue that is being analysed, so this should be the first thing that is clearly identified and stated by the group. The issue can be of any type: a high rate of ill health, inadequate irrigation systems, etc. It is likely that the group will have already identified the problem that it wishes to analyse, and it can be modified as the session continues, so don't spend too much time on it.

- Using the *Brainstorming* technique (in Booklet Four), participants identify and mark causes and effects of the main issue. Each idea is put on a separate piece of paper or card.

- Build a tree shape with lines of causality creating the roots (causes) and the branches (effects). For example, hunger (the problem) has the effect of children hungry at school and children not learning (shown as branches on the tree). However, hunger is seen as caused by low crop production, labour and small land holdings (all shown as the roots of the tree).

- Participants then take turns to present one of the issues identified and come to a consensus about where each card fits in relation to the tree trunk and to each other. It may be difficult at first to distinguish between cause and effect. The facilitator can help identify causes by asking, "But why?" as each issue is raised.

- Cards can be moved around as appropriate following detailed discussion by the group.

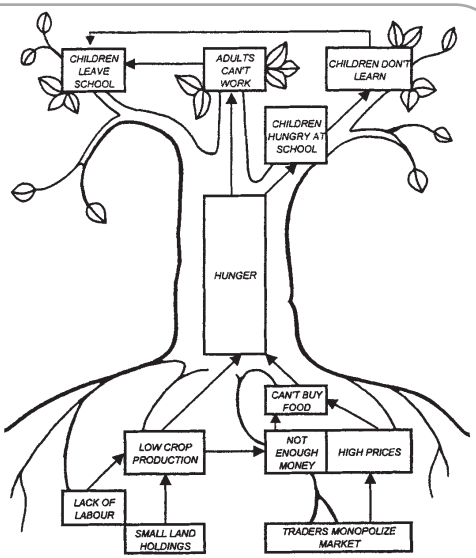
Depending on the details required, the roots and branches could develop quite complicated connections, showing how they relate to each other and which problem is caused by another.

- Once the tree seems more or less complete, identify those causes that seem more significant than others (*Ranking* can be used for this).

- Now, turn the *problem tree* into a "solution tree" by choosing one of the "significant" causes, and identifying possible actions that would tackle it. Again use separate cards and order them in terms of causality (e.g. if A is done this will solve B, then that will help us solve C, or indeed maybe affect D!).

EXAMPLE

**A PROBLEM TREE LOOKING AT SOME CAUSES AND EFFECTS OF HUNGER**




**Tool Name**

## 14. Conflict and Resolution Time Line

**Description**

This tool involves constructing a timeline of past conflicts which are then discussed with participants.

**Possible Applications**

❑ Understand the diversity of past conflict issues in the region and examine their traditional or local resolution practices, by constructing and discussing a time line of past conflicts.

**What you need**

- Flip charts, coloured marking pens, tape.

**How to use**

➢ Divide community members into groups of three to six people. Introduce the purpose of the exercise.

➢ Ask the participants to think about conflicts that the community (or area, region, institution, etc. – whatever is relevant to context) has experienced. Ask them to list these conflicts in order of sequence along the time line and to mark carefully the times within which they occurred.

➢ For each point on this time line, ask the group to identify:

- The conflict management methods used;

- Any third party who helped conflict resolution;
- The forum used.

➢ Record this information in columns running parallel to the time line.

➢ When the group feels that the time line is complete, request that they take a few minutes to review it, together with the compiled information. Start a discussion with the following questions:

- What observations can be made about the nature and frequency of conflicts?
- What are the principal types of management or resolution methods that have been used in the past to address conflict issues?
- What significant changes have there been in the kinds of conflict that have occurred over the years? What changes have occurred in resolution methods?
- What do you think accounts for those changes?
- Are there any specific kinds of conflict that are more difficult to resolve today? Why?

➢ Divide the participants into groups of four or five individuals. Explain that each group is to consider the benefits of traditional practices and what constraints or obstacles it is currently facing in addressing conflict issues. They are to record their ideas on a

flip chart. They will have 30 minutes for this.

➢ After 30 minutes of discussion, ask each group to post its flip charts around the room and spend several minutes looking at the results of other groups.

➢ Begin a group discussion with the following questions:

- What are some of the advantages of traditional practices?
- What actions can be taken to try to remove the constraints that are listed?
- Are there some conflict management strategies that would be useful to teach others? If so, who should be taught these skills?
- Would learning new conflict management practices be helpful? Why?
- Who could be trained in these processes? In what kind of situations would these people be called upon?
- Is there a way to balance or integrate traditional or local practices with the new conflict management skills?

Example

**Two conflict time lines from Uganda: events viewed by people of Teso and events viewed by the Ugandan Government**

| Long-term factors | Specific long-term factors | Capacities | Vulnerabilities |
|---|---|---|---|
| Physical/material | Climatic | • Sun | • Greenhouse effect with irreversible desertification and subsidence<br>• Poor rainfall/ flooding/ insect invasion |
| | Land | • Beautiful landscape<br>• Agroforestry potential<br>• Non-seasonal crops<br>• Irrigation potential<br>• Mining (uranium, oil and gold) | • Land locked<br>• Compact, dry soil<br>• Low nutrient content<br>• Poor water retention<br>• Fragile erosion phrone |
| | Agricultural pattern | • Traditional and nomadic<br>• Ecosystem potential for regeneration<br>• Non-seasonal crops introduced<br>• Cereal banks, cooperatives | • Pastoral/herding; poor output, with short fallow period resulting from intensive/extensive farming<br>• Overgrazing in pastoral areas |
| | Resource/capital | • Existent infrastructure; road, international airport | • Rising food prices<br>• Low level of food stock<br>• High dependency on imports<br>• Low tax collection<br>• Misallocation of investments |
| | Skills | • Koranic schools increasing literacy level<br>• Women's education potential<br>• Farming skills | • Low literacy level, disrupted education system, poor health status |
| Social organization | | • Existence of opposition groups<br>• Inter ethnic cohesion<br>• Religion<br>• Parliament<br>• Regional and local councils of participation | • Settlements concentrated in the south<br>• Nomadic/sedentary tension<br>• Weak health and education systems |
| Motivational/attitudinal | | • Cultural constraints in woodburning<br>• Foreign will to fund<br>• Government will maintain territorial integrity<br>• Implementation of peace agreements with Touareg | • Factionalism among ethnic groups and within the government<br>• Public sector attitude towards IMF and IBRD SAPs<br>• Lack of government will to enter into meaningful dialogue with opposition |

Source: Fisher, S, Working With Conflicts: Skills and Strategies for Action, Zed Books, 2000.

**Tool Name** | **15. Conflict and Alliance Mapping**

**Description**

This tool is a visual examination of relationships between parties in conflict, this tool uses different types of lines to represent different relationships. This helps to visualize the relationships between parties clearly.

**Possible Applications**

❑ Check the relationship of an ongoing programme to groups in conflict, thus identifying openings for intervention or action.

❑ Identify if there are conflicts that can negatively affect programme activities. Conflicts can be mapped at different times throughout a programme's lifetime and the results used to monitor and evaluate progress.

**What you need**

- Large sheets of paper, pens, tape/pins to stick the paper to a wall.

**How to use**

➢ Form a group of no more than ten participants and sit in a semicircle around a large piece of paper on the wall or on the ground.

➢ First identify the main parties who are involved in the conflict. Write them within circles spread out on the large sheet of

paper. The relative size of the circles can indicate the power they have with regard to the conflict (see Venn Diagram in Booklet Five).

- Next, explain that the nature of the relationships between these parties will be shown by the use of different types of lines. *Alliances* can be bold lines, *conflicts* jagged lines and *influence* broken lines.

- Ask: What is going on between these parties? Choose the appropriate line from the key and draw this sort of line between them. Where there is no relationship, do not draw anything.

- When this is done, try to find out if there are any internal conflicts within the main parties. For instance, there may be different factions within a community that are themselves in conflict, which may or may not be related to the main conflict. Show these relationships on the diagram inside the circles.

- Next ask: What is going on between these parties and the broader "environment" in which they exist? This will require an analysis of other parties who are not directly related to the conflict but nonetheless have an effect on it. For instance, the local government is likely to have a relationship with many parties to a conflict. What form does this relationship take? Draw all these

secondary parties on the diagram and indicate the nature of their relationship with the main parties.

- If this tool is being used by WFP for its own purposes, where is WFP on the map? Who are the intended beneficiaries? Where are their alliances?

- Once the map is complete, a wider analysis can be undertaken. Who gains from the conflict? Who loses? Is there a range of extremists and moderates within any group? What possible "exit strategies" are there for any parties to the conflict? Who are the stabilizing influences outside a conflict? How can they be used?

- Consider the role of an ongoing or proposed programme; can the programme be changed to have a more positive effect?

**Tool Name**

## 16. Transfer of Tasks and Responsibilities

**Description**

With this tool, a matrix is created by partners to review phase-over strategies.

**Possible Applications**

- ❑ Identify the degree of responsibility held by the different groups.
- ❑ Assess the degree to which responsibility has been transferred to the local groups.
- ❑ Establish objectives and indicators for the continued transfer of tasks and responsibilities, in response to the growing capacity of the local groups.

**What you need**

- Flipchart paper, cards, small stones or beans, markers and tape.

**How to use**

- ➢ Ask the participants to name all the tasks and responsibilities of their development efforts. Suggest other responsibilities if necessary. Write each response on a card, and then place the card on the vertical axis of the matrix.
- ➢ Have participants name all the major partners involved in running the programme. Make one column for each partner in each of the sections (past, present and future) on the grid (see example).

- **Look at the current situation first**. Explain that for each task, there are ten beans (or stones) to distribute among the various partners in a way that reflects their relative level of responsibility. For example, if the task is now equally shared between the community group and the NGO, the participants would place five stones under each.

- Ask the participants to repeat distribution of the stones for the remaining tasks and responsibilities, always looking at the present situation.

- When the matrix is completed, discussion can focus on questions such as:

  Why are we seeing this kind of distribution of responsibilities?

- Repeat the exercise for the past and the future, using different types of beans or stones to distinguish between the past and the future. When these are completed, discussion questions can include:

  - Where are we seeing the largest transfer of responsibility and why?
  - Are the predictions for the future realistic?
  - What capacities must be strengthened in order to achieve this transfer of responsibility?

## Example of Transfer of Responsibilities

**Transfer of Responsibilities**

| Tasks | 5 years ago (1994) | | | Present (1999) | | | Future (2004) | | |
|---|---|---|---|---|---|---|---|---|---|
| | Village Group | Support NGO | Extension Office | Village Group | Support NGO | Extension Office | Village Group | Support NGO | Extension Office |
| Fundraising | | XXXXX XXXXX | | | XXXXX XXXXX | | | XXXXX XXXXX | |
| Choosing Trainers | | XXXXX X | XXXX | | XXXXX X | XXXX | XXXXX | XXX | XX |
| Scheduling Trainings | | XXXXX XXXXX | | XXX | XXXXX XX | | XXXXX XXXXX | | |
| Organizing Participants | XXXXX XXX | XX | | XXXXX XXX | XX | | XXXXX XXXXX | | |
| Designing Training Tools | | XXXXX X | XXXX | | XXXXX XXX | XX | XXX | XXXXX | XX |
| Follow Up Trainings | | XXXXX XXXXX | | | XXXXX XXXXX | | XXXXX | XXXXX | |
| Ongoing Evaluations | XXXXX | | XXXXX | XXXXX | | XXXXX | XXXXX | XXX | XX |
| Totals | 13 | 44 | 13 | 16 | 43 | 11 | 38 | 26 | 6 |
| Percentages | 18% | 64% | 18% | 23% | 61% | 16% | 54% | 37% | 9% |

# General Assessment

## Rapid Rural Appraisal

Rapid Rural Appraisal (RRA) is a way to gather information quickly and reliably; it is often used at the design stage of a programme. Technical experts undertake RRA to better inform themselves about the prevailing conditions and interests in the field. These appraisals are a learning experience for design teams, but they are not a substitute for stakeholder analysis and participatory needs assessments, and they rarely increase the participation of stakeholders in decisions about the goals and objectives of the programme.

An RRA has value in that it serves to get the outsiders caught up, without raising expectations of local populations.

Although RRA has evolved considerably as a research methodology, experience suggests that certain principles account for the strength and potential of this research method. While not all RRA practitioners employ the same rules and procedures, the core principles that have emerged are:

Triangulation – at a very basic level, RRA can be seen as a methodology that consciously approaches information from several intentionally different points of view, usually a minimum of three, hence "triangulation". This involves conscious, non-random selection in a number of different dimensions such as team composition, units of observation and research methods.

Exploratory and highly iterative research – RRA researchers must be able to abandon old hypotheses to form and explore new ones when evidence indicates the need to do so.

Rapid and progressive learning – the exploratory and iterative nature of RRA does not result in a final solution, and often raises as many questions as it answers. Nevertheless, the new questions and insights usually allow researchers to move more directly toward a better understanding of the real problems and their possible solutions.

Substantial use of indigenous knowledge – RRA is carried out as close to the source as possible. Local perceptions and understanding of the situation are important to learn and comprehend because solutions must be viable and acceptable in the local context, and because local inhabitants possess extensive knowledge about their situation.

Interdisciplinary approach and teamwork – it is seldom possible for professionals specializing in any single discipline to adequately understand all of the factors which local people must address. Thus, a small team of researchers representing different disciplines is normally used. It is to be noted that including some local people (teachers, farmers, women's committee members) on a RRA team is not only possible, but very effective.

Flexibility and use of judgment – an important principle of RRA is not just to "plan the work" but also to "work the plan" in a flexible manner that allows for creativity and modification where appropriate.

## Participatory Rural Appraisal

Participatory Rural Appraisal (PRA) has been an extremely popular approach in development over the past two decades. One of the more important benefits is that it has allowed communication which has opened the windows to local knowledge and wisdom.

PRA has been taken beyond the "appraisal" stage by many organizations, and is also referred to as "Participatory Learning in Action" or PLA[2].

PRA is a set of tools and methods to gather and analyze information with local people, and to make informed decisions with them. Given this, it is better to do PRA/PLA only after you have decided that you are going to work with the community. It is not appropriate to use PRA for site selection or to increase the understanding of outsiders. It is an approach which involves the community in the process of their own development, and a two-way learning process.

There have been some recently recognized limitations to PRA. It was found that the focus on tools, and using them in a rote way, took the focus off the overall process of participation. Another limitation recognized was that PRA only deals with the appraisal stage, rather than all the stages (design, implementation, monitoring and evaluation), and that it did not permeate the various developmental levels

However, PRA does have many benefits. It takes advantage of RRA principles of triangulation, local populations (herders, teachers, farmers, women, men, business people, etc.) rather than a mixed professional team of outsiders. Some of the tools in the PRA "set" are:

- Participatory Mapping
- Venn Diagrams
- Transect Walks
- Seasonal Calendars

[2] For information about PRA or PLA, contact IIED, Endsleigh Street, London, England.

## Community-based Targeting (CBT)

Community-based targeting allows communities to identify who among them requires food aid most, and to manage the food distribution themselves. It builds on a community's knowledge of vulnerable households and reinforces community responsibility towards its vulnerable members. It can contribute to the building of grassroots development structures, is cost-effective and generally produces more effective distribution. It has also been found to be an excellent way of empowering women. It is used, for example, in relief or protracted relief and recovery operations to set up agreed targeting criteria appropriate to the local situation.

As perceptions of vulnerability vary from community to community, WFP needs to have an overview to ensure that the organizational mandate and priorities are maintained in the targeting criteria.

CBT works well if the following two conditions are met:

- There is a strong feeling of community, and leaders are willing to assist certain sections of the community (displaced persons, women, low-caste groups, and/or the food insecure).

- The levels of redistribution in the community are so low that any input is unlikely to be shared between everyone, regardless of the need for food aid.

Finding out whether these two important conditions are present in a community can be done with the assistance of **C Social Network Mapping** or **C Venn Diagram** (in Booklet Five). These tools can also show who the opinion leaders in the community are, and which institution(s) women and marginalized people trust to represent them.

### Organize a Briefing Meeting

If the community appears to be a candidate for CBT, organize a preliminary briefing meeting between WFP and the opinion leaders, representatives of the marginalized people, representatives from government and other local partners to give details of the CBT process and to plan the implementation.

Organize a public meeting with the assistance of community leaders. The aim of this first public meeting is to provide information about the purpose and basis of selection of the community for food aid and the total food allocation and household ration. During the meeting, it should also be emphasized that:

- Food aid is only for the most vulnerable and affected households.
- Community members themselves, through a committee elected by them, will determine who will receive the food aid and who will distribute it.
- The household unit, rather than the individual, will be the basis of registration (the household unit must be defined).

The second part of this meeting is devoted to the election of the Community Relief Committee. A proportion of the committee must be women – this is non-negotiable. WFP may appoint some members to the committee.

Make clear that committee members will have to work full time at registration for up to one week, that they will not normally be paid, that they will be subject to the same criteria as other community members as regards decisions on eligibility for food aid and that they are accountable to the community.

Make sure that each committee member has a separate job to do, to prevent women or poor people from sitting on the committee as "token" members. This may require separate leadership training for the female members.

After the first public meeting, the committee must identify criteria for the selection of beneficiaries and undergo training concerning targeting, roles and responsibilities, record keeping, signing of waybills, food storage, off loading and so on. The committee members can suggest their own criteria for beneficiary selection as well as using those of WFP. Participatory tools such as **C Pictures of Vulnerability** or **C Wealth or Well-being Ranking** (in Booklet Five) could be useful.

### Hold a second public meeting

In a second public meeting, no more than a week after the first, the chairperson of the committee reads out and explains the selection criteria as proposed by the committee. Changes can be made following proposals and discussions by participants.

The community members must approve the final set of criteria and a permanent record of the criteria should be made and remain on display. A mural can be used instead of a written document.

### The registration process can begin

Finally, announce the arrangements for the registration of households. The committee then carries out registration. The number and names of household members, with the woman's name as head of household, are registered in a book.

A mechanism should be established for feedback from the committee to WFP regarding food needs, together with another mechanism through which beneficiaries who have been excluded can appeal directly to WFP. The committee is responsible for the distribution, and for recording records.

***CBT in Loyangalani, Kenya***

There are eight women and six men on the Loyangalani Relief Committee. There were some differences between the men's and women's perception of community-based target groups. The men emphasized that the main advantage of the system is that it reduces corruption because it prevents the distributors from keeping food for themselves. They said that they welcome the participation of women but spare women the role of information dissemination due to the pressure of domestic duties.

The women emphasized that they have a lot more responsibility in food distribution under the new system and that it benefits the average person to a far greater extent than the old system. They said that according to their culture, women are not supposed to take "leadership roles". Initially this caused problems because the men in the community wanted to take full control of the relief food, but they have gradually retreated, having seen that when women are involved in the distribution of relief food, it reaches the people who need it. One woman said, "They now realize that women's effort means the food gets home".

Another group said that the community-based system encourages women to talk in public *barazas* (meeting places) for the first time and that it encourages unity and working together within the community.

The Relief Committee in Loyangalani sees itself as a potential development committee. For example, discussions have been held about using the Relief Committee structure to manage, for example, kitchen gardens and the production of fishing nets.

## Food Funds

A Food Fund is a way of allocating food to a community organization that represents vulnerable groups. Food is used to support activities; it is sometimes called a "microproject". Using the Food Fund, the community organization plans and implements activities on its own.

A committee in each community is necessary. The importance of representation for women and minority groups must be kept in mind in establishing committees.

Food Funds often benefit from the use of **C Wealth or Well-being Ranking** *(in Booklet Five)* and **C Capacity Analysis Match** *(in Booklet Three)*.

The establishment of Food Funds begins with the elaboration of the Country Programme or PRRO document, where they can be included as a specific activity of the programme.

### Publicize the Food Fund

Within targeted areas, the media may be useful to publicize the fact that food (and limited funds, if possible) is available for use by community organizations. Publicize some of the conditions related to the use of food:

- ❑ The importance of including women as beneficiaries, as well as in decision-making (as per the Commitments to Women).

- ❑ The importance of ensuring that the food is used as rations for poor and food-insecure people in ways that will benefit these people.

- ❑ Poor and food-insecure people will have a degree of ownership over any assets produced.

### The application process

A standard, simplified project application document for community organizations can be developed to enable communities to describe their planned activity. All parties retain copies of this document.

When applications are received, WFP can use tools such as **C Venn Diagrams** (in Booklet Five) in the community to measure the extent to which the submitting organizations are trusted and represent the interests of vulnerable people and women.

When applications are approved, WFP should request the community organization to hold community meetings to explain the Food Fund to community members. The meeting should deal with topics such as entitlement to assistance, and the constitution of the community organization. All this information should be recorded in a visible and accessible way.

### Capacity building and assessment must be built into the process

WFP and the community organization should work together on a capacity building programme. This might include training in programme activity selection, analysis of information, or how to keep records.

WFP staff and the community organization will need to meet regularly to discuss the progress of the Food Fund, and the technical feasibility of the Food Fund will have to be assessed throughout the process.

# Booklet 4
# Participatory Techniques

WFP
World Food Programme

Participatory Techniques and Tools
A WFP Guide

# Table of Contents

*The overall objective of Booklet Four **Participatory Techniques** is to provide information about some of the important building blocks of a participatory "attitude". It is for WFP staff and partners working together to enhance participation in partnerships and also for WFP staff and/or partners who are working in the field to deepen understanding with communities. The techniques do not provide the "attitude", but they do offer a different way of communicating with people, and this has spin-off effects that change communication patterns. When this happens, there is an opportunity for participation to take place.*

*The techniques are categorized into two parts. The first deals with elements of a participatory "attitude" and why it is important. The second deals with five types of techniques: facilitation; meetings; group decision-making; creative thinking; and energizing, training and warm-up techniques.*

# Participatory Attitudes and Actions

**Participation is actualized through partnerships**

Participation does not happen by itself. Where possible, WFP works with local institutions that represent women and marginalized people to build the capacity with these people. It is recognized that the majority of WFP's most successful participatory initiatives have taken place when the government actively supported beneficiary participation. Where appropriate, WFP advocates for participation and promotes effective relationships between community organizations and governments. **WFP sees participation as an underlying operational principle.**

**Participation starts with you!**

For WFP to fulfill its commitment to participation as an organization, individuals within the organization have to be committed to participation. A personal commitment forms the basis of a participatory attitude, and this attitude, in turn, forms the basis for using any of the participatory techniques and tools.

As individual practitioners of a participatory approach, a few basic principles are suggested:

- Be open to participatory approaches.
- Develop a participatory attitude when working with people.
- Take specific actions to prepare for participation.

A simple rule is respect people, their customs and their way of life.

## Be open to participation

Participatory approaches are not new – many WFP staff have some experience with them. To ensure the success of participatory programming, it is vital to start with a positive, receptive attitude and willingness to use the participatory techniques and tools. Being open to participation can mean:

- A willingness to work in new ways or with new partners, such as consulting more closely with community members during field missions.
- Starting "small and simple", especially if you have limited first-hand experience, and building up to greater levels of participation. After mastering the basics and experiencing the benefits of participatory approaches, you can take on greater challenges.
- Learning from others and adapting the tools and techniques to suit the situation.
- Being creative, and trying to introduce participatory approaches when opportunities arise.

## Develop a participatory attitude with people

It is not enough to be convinced of the benefits of participation – a participatory attitude towards working with people is also necessary and reflects basic good practice. Considering these points before and after meeting key informants or community groups can help you assess – and perhaps change – behaviour:

- *Be respectful of other knowledge and other points of view.* Listen to the women and men you are working with, even if you don't agree with them. After meetings, reflect on your attitudes towards other people's knowledge and the way in which this affected your approach and body language.

- *Respect others' priorities*. This means that you should be aware of the daily work schedule, of seasonal tasks to be performed, and of the work habits and location of the people you want to work with. For example, when working with farming communities, avoid holding meetings during harvest time. When working with women, try to arrange for child care for mothers with young children.
- *Be realistic about your objectives and capacities*. In particular, you should be confident that any information and decisions that come out of the process can be used by the programme, or at least seriously considered. You should never raise false expectations.
- *Be polite*. Don't go directly into serious discussions. First greet people appropriately. Ask local team members to advise you on appropriate behaviour and warn you (discreetly!) if you are doing anything that is considered rude. Remember to thank people for their time. Do not be in a hurry to leave.
- *Be honest and open*. As a stranger, people may be suspicious of you. Tell them why you are here, what your plans are and why you wish to talk to them.

## Prepare yourself for participation

Developing a positive attitude towards participation and towards working with people will make your work with communities and stakeholders easier and more productive. There are certain preparatory actions that can be implemented to ensure success. Before undertaking participatory approaches:

- *Be clear about your objectives and how best to achieve them*. You may change your mind after talking to people, but you should begin with a clear idea to avoid wasting people's time. For example, if you are trying to collect information and points of view, be clear about the general areas that interest you and

choose tools that will help obtain that sort of information.

- *Ensure that your team is as varied as possible* (male/female, old/young and a variety of nationalities). This will help overcome bias (prejudice).
- *Be confident and practised in using the tools*. If you are working in a group, try out the tools with other members of the group. Make sure that the translator also understands how to use the tools.
- *Ensure the appropriateness of the tools*. Make sure that the tools you have chosen are culturally, socially and politically appropriate to the situation.
- *Allow time*. Remember to set aside sufficient time to complete the task, which may change as a result of ideas provided by other stakeholders. Include time to present results to those you are working with (the community and partners) where suitable.

# Participatory Techniques

## Facilitation Techniques

Some people seem to be natural facilitators, but generally when you look behind what makes them good, you will find that they have a broad range of communication techniques which they use well. These techniques can be learned, and practicing them can lead to facilitation skills that look effortless but are amazingly effective.

This section covers eleven different facilitation techniques, and awareness of each of them allows you as a facilitator to use whichever is appropriate at the time.

Everyone will have their own style of facilitation. You may be a serious person, a shy person or a joking person. You may be very confident or very nervous in front of an audience. What will make you a good facilitator will not depend on any one of these characteristics, but on the desire to have people work together. If you have managed to encourage learning amongst the majority, then you have done your job well.

It is commonly believed that effective facilitators:

- lead but do not control;
- keep opinions to themselves;
- are flexible and adapt the programme as necessary;
- are responsive to the group's body language and other non-verbal signals; and
- do not try to cover too much in one session, and conversely, do not drag out a session just to keep to the programme.

When WFP staff and partners are working together, it is a good idea to rotate the facilitation tasks so that no one person is "in charge", but the group is "in charge". This also builds the facilitation skills of all partners.

When WFP staff and partners are working together with communities, there may be an initial period when the partners will facilitate, but as soon as community members get a sense of the difference between a top-down and a facilitated discussion, they can share the facilitation responsibility. This builds skills in the community organizations.

*Facilitation Technique 1*

**Mirroring**

Mirroring is repeating, in a condensed version, what a person said. It speeds up the tempo of a slow-moving discussion and is used a great deal during brainstorming.

If the speaker says a single sentence or a short phrase, repeat it back verbatim. However, if more than one sentence is said, repeat back key words or phrases by using the original words as much as possible. Mirroring the speaker's words and the speakers tone of voice are different things. You want your voice to remain warm and accepting, regardless of the speaker's voice.

*Facilitation Technique 2*

**Gathering Ideas**

If the pace is slow, with many gaps between contributions, or if the group is slowed down by too much discussion, try quickly building a list of ideas. This is a time to gather the ideas, not to discuss them. For the facilitator, gathering is a skill that combines

mirroring with physical gestures of enthusiasm. This facilitation technique acknowledges people's thoughts and reduces their inclination to defend their ideas.

Gathering ideas effectively starts with a concise description of the task. For example: "For the next ten minutes, please evaluate this activity by calling out a 'pro' and a 'con'. First, I'll ask for a 'pro' reaction, then for a 'con', and so on. We'll build both lists at the same time."

If it is the group's first time listing ideas, spend a little time discussing freely. For example: "For the next activity, I would like everyone to feel free to express their opinion, even the most creative or unpopular ones. So please let it be a time of idea generation, not a time of judgment. The discussions can come after we have finished making the list."

Now have the groups begin. As members call out their items, mirror whatever is said. For example:

> **Member:** "Last year, there were many times when there were food shortages, even though there was enough. Somebody got into the go-down and took more for themselves. We don't know who it was, but everyone suffered."
>
> **Mirror:** "Lack of security resulted in food shortages."

Honor all points of view. If someone says something that is completely unusual, just "mirror" it and keep moving. If, as the facilitator, you are non-judgmental about all the ideas, people are encouraged to be open and non-judgmental with the ideas of others.

*Facilitation Technique 3*

**Making Space**

Every group has some members who are highly verbal and some who speak less frequently. There are a number of reasons for holding back: people may perceive speaking out as rude or competitive; or people may be new to a group and unsure of what is acceptable; or people may feel that their ideas are not as good as those of others.

This technique sends a message to the quiet people that there is always a space for them to speak, should they choose. As a facilitator, watch the quiet members and be aware of their body language and facial expressions which indicate their desire to speak. Invite them to speak: "You look like you might want to say something....". If they decline, be gracious and move on. If necessary, hold others off. For example: "Let's have one person speak at a time. Abdul, why don't you go first". If participation is very weak, try a structured "go around" to give each person a chance to speak.

*Facilitation Technique 4*

**Drawing People Out**

This is a way to encourage people to take the step to clarify and refine their ideas. It sends the speaker the message: "I understand you so far, now tell me a little more". This is a particularly useful technique when people are having difficulty clarifying ideas, or they think they are being clear, but the thoughts are actually vague and confusing.

Paraphrasing is useful to draw people out. For example, the speaker might say: "I think it is really fair to say that we don't consider the nomadic herders as part of the community, even though they live here." The listener paraphrases: "So it sounds like

you are saying that nomadic herders are generally not considered part of the community. Can you give an example of ways in which they are not considered?"

The most basic technique of drawing people out is to paraphrase the speaker's statement and then ask open-ended, non-directive questions such as: "Can you say more about that?"

*Facilitation Technique 5*

**Paraphrasing**

This is a fundamental listening skill which has both a calming effect and reassures speakers that their ideas are worthy. It also provides speakers a chance to hear how their words are being heard by others. It is especially useful when speaker's statements are convoluted or confusing.

As a facilitator, use your own words to say what you think the speaker said. If the speaker's statement is one or two sentences, use roughly the same number of words when you paraphrase it. Preface your paraphrase with: "It sounds like what you are saying is...." or "This is what I'm hearing you say...." or "Let me see if I understand what you are saying.... "

When you have completed the paraphrase, look for the speaker's reaction. Say something like: "Did I hear you correctly?" Keep asking for clarification until you understand what was meant.

*Facilitation Technique 6*

**Stacking**

This technique helps everybody take turns when there are several people who want to speak at once, and signals to everybody that

they are going to have their turn to speak. So instead of competing for speaking time, people are free to listen to the discussion without distraction.

Stacking has four steps:

- The facilitator first asks those who want to speak to raise their hand.
- A speaking order is created by assigning a number to each person with a hand raised.
- People are called upon to speak by number.
- When the last person has spoken, the facilitator asks if anybody else wants to speak. If so, another round of stacking is done.

*Facilitation Technique 7*

**Tracking**

In many discussions, there are a number of ideas being discussed at once. This is because there are many aspects to each issue. But people often focus only on the particular issue that interests them. Tracking lets the whole group see the several elements of the topic being discussed, and treats each with equal validity. This relieves the anxiety often felt by people who wonder why the group is not responding to their ideas.

Tracking has three steps:

- The facilitator indicates that s/he is going to step back from the conversation and summarize it.
- The facilitator summarizes the different conversations. For example: "It seems one conversation is about food distribution points, another about the committee and another about the food packages."

- The facilitator asks for clarification: "Are these the three items being discussed?"

People generally respond well to these questions. If somebody tries to further clarify what was important about an issue, be supportive, but do not play favorites. Ask for clarification from others as well.

*Facilitation Technique 8*

**Encouraging**

Creating an opening in a discussion without putting any one individual on the spot is part of the technique of encouraging. Often during a meeting, one or more people may not appear to be engaged by the discussion. With a little encouragement, they often discover an aspect of the topic that holds meaning for them. This is especially relevant when facilitating mixed groups of men and women. Encouraging is especially important at the early stages of a discussion. As people become more engaged, they don't need as much encouragement.

Some examples of how to encourage:

- "Is there a shopkeeper's perspective on this?"
- "Who else has an idea?"
- "Why don't we hear from someone who has not spoken yet?"
- "Do any of you have a story that you would be willing to share?"

*Facilitation Technique 9*

**Listening for Common Ground**

When group members become polarized on disagreements, the situation becomes difficult. However, most disputes contain

elements of agreement. This technique validates the group's areas of disagreement and focuses on their areas of common ground.

Listening for common ground has four steps:

- Indicate that you are going to summarize the group's differences and similarities. For example: "Let me summarize what I am hearing from each of you. I am hearing a lot of differences but also a lot of similarities."
- Summarize the differences. For example: "It sounds like one group wants to put the food delivery at the edge of the village, while the other group wants to locate it in the centre of the village."
- Note the areas of common ground. For example: "You both seem to agree that you want the marginalized families to have easy access to the food delivery."
- Check for accuracy. For example: "Have I got it right?"

A variation is to highlight an area of likely agreement. For example: "Several of you think that security is going to be a problem. Do other's think so?" Look around the room for affirmation and then say: "Well, there's something that you all agree on."

*Facilitation Technique 10*

**Balancing**

The direction of a discussion often follows the lead set by the first few people who speak. Using the technique of balancing, a facilitator helps the group to round out its discussion by asking for other viewpoints that may be present but unexpressed. Balancing not only assists individual members who need a little support for their ideas, it also has a strong positive effect on the norms of the group as a whole, sending the message: "It is acceptable here for people to speak their mind, no matter what opinions they hold."

Try using phrases such as:

- "Now we know where two people stand. Does anyone else have a different position?"
- "Are there other ways of looking at this?"
- "Does everyone agree with this?"

*Facilitation Technique 11*

**Intentional Silence**

Intentional silence is highly underrated. It consists of a pause, usually lasting no more than a few seconds, to give speakers that brief extra quiet time to discover what they want to say. Speakers may need the silence to get their thoughts together into a coherent communication or decide whether or not to say something that might be risky. Five seconds of silence can seem a lot longer than it really is, and the ability to tolerate the awkwardness most people feel during silence is the most important element of this listening skill.

While maintaining eye contact, and with body language, stay focused on the speaker. Say nothing, and do not nod or shake your head. Just stay relaxed and pay attention. If necessary, hold up your hand to keep others from breaking the silence.

Sometimes everyone in the group is confused, agitated, or having trouble focusing. At such time, silence may be very helpful. For example: "Let's take a minute of silence to think what this means to each of us."

***Keep in mind...***

- Have a colleague give you feedback on your facilitation and give the same service to your colleague. There is always room for improvement.
- Always remember the difference between manipulation and facilitation. Manipulation is trainer-centred. You are in charge and everybody knows it. You yourself rarely learn. Facilitation is learner-centred. You are helping others to learn, but you will also be learning.
- Good facilitation means going through "due process" to come to decisions. It is disrespectful to go through due process and then revert to a decision made outside the group. The group must have the power to make decisions that are binding. If there is major disagreement, a time frame on the decision with re-evaluation at a specified date may be required.
- For many facilitators, often the most difficult part is learning to hold their opinions and allow those in the group to express themselves.

## Meetings

There are a number of ways to plan and organize discussions or meetings. You may decide on meetings which are large (community meetings); or smaller and more focused (focus groups) either within the large group meeting, or smaller individual meetings held at different times; or meetings with one or two people (semi-structured interviews) to get their opinions. For any of these types of meetings, there are three elements: time, agenda and venue.

**Time** – Have a set time for the meeting, advertised as far in advance as possible. Ensure that the time is convenient for those who have been invited to attend. Knowing the daily schedule of the community, especially in terms of gender differences, will have a lot to do with the number of men

and women who will attend. If the purpose of the meeting is not achieved, it may mean asking participants if they wish to schedule another meeting, or to extend the time of the current meeting.

**Agenda** – An agenda does not always have to be formal with exact times and exercises laid out. An agenda can be an overall purpose that is agreed upon, with the details being flexible and determined during the meeting. For example, the purpose may be to determine which development activities the community envisions, but the way in which this purpose is achieved may be as envisioned by the facilitator, or unfold differently. Do not have agendas, or purposes which try to cover too much ground, or too many issues. **Many short meetings are better than long meetings which try to handle too many purposes.** And remember, careful planning and brilliant improvisation are important for meetings which are truly participatory. The facilitator has to be prepared for anything, and be willing to let go of careful preparations and respond to the circumstances.

**Venue –** The place where the meeting will be held should be comfortable for the number of people expected, convenient to get to for those invited, and available. It is up to the facilitator to ensure that these details are looked after.

### Community Meetings

These meetings are open to all members of the community. They can be extremely useful for: gathering information about issues of general interest; ensuring that decisions are made in a public and open way; informing and obtaining feedback from all members of the community on decisions that have been made by a committee; or passing information and raising awareness.

Community meetings have to be extremely well planned, and well facilitated to be successful.

Some points to remember:

- Follow local meeting conventions such as opening with a prayer, or having the local authority open the meeting.
- Have a clear purpose to the meeting, and clarify this purpose when opening and closing the meeting.
- Advertise the meeting through local authorities well in advance, and follow up a few days before with reminders.

### Focus Group Meetings

A focus group meeting is useful for collecting information but is also important for discussing opinions, ideas or plans. Focus groups are normally small (6-10 people) and represent member groups within a community such as young women, irrigation users or landless labourers. They are particularly useful when some members of a community are not comfortable speaking in large groups. They are a good way to encourage discussion and viewpoints from women or marginalized groups, especially if these groups are not comfortable taking part in large community meetings.

A focus group meeting is a conversation between members of the group about a certain topic or set of topics. It is not a discussion between an "interviewer" and a group. As such, focus groups not only deepen understanding of how people see certain issues, but can also provide a good means of understanding how people interact and discuss issues.

Focus groups may be used to investigate details of differing opinions about issues that have arisen in community meetings. They can be seen as informal "small committees" to further discuss issues and then take analysed discussion back to the community as a whole.

Some points to remember:

- Stress that participants are part of an informal discussion, that all can participate and that all ideas, however diverse, are welcome,
- Meetings should be held in venues which ensure privacy, and with seating arrangements that allow the maximum interaction between participants.
- Summarize a closure to the focus group meeting by agreeing on what has been achieved.

**Semi-structured Interviews**

These small meetings (1-3 people) are used for collecting quantitative and/or qualitative data. An interview guide is used to ensure that the main topics are covered. From this, the interviewer/facilitator guides the discussion to cover the main topics. There is no time limit on the response to each topic, and the exploration of related topics of interest is encouraged.

Some points to remember:

- Organize interviews with people from similar groups. For example: one interview may be with a group representative of food insecure women, another interview may be with a group representative of nomadic herders, while another interview may be with a group representative of local authorities.
- Facilitate the interview with open ended questions. Start with easier and less personal questions and move to more difficult questions towards the end of the interview.
- Ensure that questions are well understood, especially when working with an interpreter.
- Whatever the issue or topic, ensure that interviews are held with a wide range of groups, women and men, in different geographical areas and with different socio-economic groups.

Whatever the topic or purpose of the interview, develop four main areas of interest around the topic. Reduce each main area down to one or two words or a picture. Use these during the interviews to keep yourself and the persons being interviewed focused.

EXAMPLE:

**Topic/Purpose: Design of a temporary settlement after an earthquake**

| | |
|---|---|
| **Safety and Security**<br>(what and where are the threats to people's safety -- men and women, young and old ?) | **Potential Tensions**<br>(residents, new arrivals, religion, socio-economic, caste, gender, culture, professional, etc.) |
| **Access to Basic Services**<br>(food, roads, businesses, clinics, schools, etc.) | **Access to Resources**<br>(water, agricultural land, forests, etc.) |

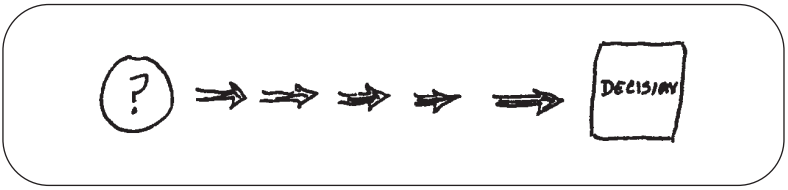
## Techniques to Promote Group Decision Making

### Understanding Group Dynamics and Decision Making

Dialogue to promote group decision making to arrive at some form of consensus needs to be nurtured. This is not always an easy process. One of the main problems which face most groups making decisions is that everyone concerned is impatient to tackle the issue at hand and reach a resolution as quickly as possible. As the discussion begins, it seems that people agree and arrive at a decision without much diversion. Each person raises a point, and pursues a parallel direction of thought, making a contribution to a common line of thinking.

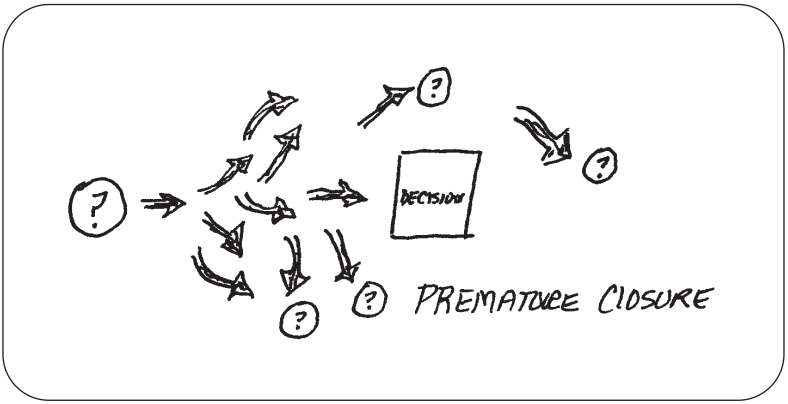
This view of decision making suggests that once everyone's view has been taken into account, the decision can be made. This is quite normal in decisions which are not highly "charged" with different interests. However, all too frequently this dynamic is highly idealized. Figure 1 shows the "idealized" dynamic of group decision making.

Figure 1: Idealized Group Decision Making



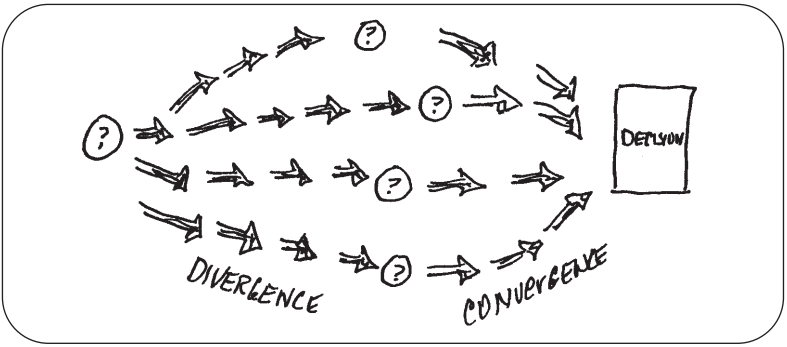

In real-life situations, discussions do not always work this way. More often, as each person contributes, the focus becomes less and less clear. Different people tend to pursue different lines of thought, and these lines of thinking can get further and further away from each other. Sometimes, it seems that the longer the time spent in discussion, the more divergent the views become. To compensate for this, facilitators tend to hurry decisions along and assume they are agreed upon. This is shown in Figure 2, Premature Closure on Decisions. In situations with premature closure, the decision is made before everybody has had a chance to negotiate and come to the place where they can agree on the decision made. This is not a good thing, as those who have not agreed will more than likely stop communicating.

Figure 2: Premature Closure on Decisions



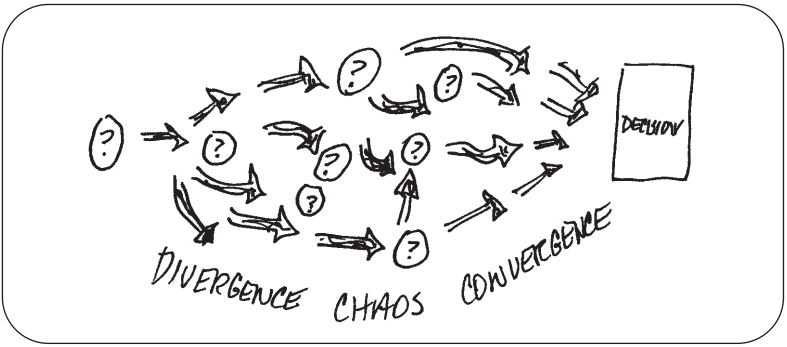
An effective group decision (one that will likely be enacted) may have people diverging at the beginning, with all contributing their viewpoints, and then all coming to an agreement when they have discussed enough. Figure 3, Decisions Made with Divergence and Convergence, shows this dynamic.

Figure 3: Decisions Made with Divergence and Convergence




It is also important to understand where there is likely to be disagreement before any decision is reached. As shown in Figure 4, Divergence, Chaos, Convergence, each negotiates, at different times, and finally all come to an agreement that "everybody can live with".

Figure 4: Divergence, Chaos, Convergence



## Strengthening Ideas of the Group

If the views of the group diverge a great deal, convergence of ideas can be assisted by having individuals and/or groups evaluate and refine the logic and quality of their thinking, thus strengthening their ideas. The process is iterative: every new insight causes the basic idea to strengthen and grow.

| When the issue is... | Try strengthening ideas by... |
|---|---|
| The choice of a number of clear options... | Clarifying, agreeing on, and applying selection criteria:<br>• get the partners to brainstorm criteria<br>• select and agree on 5 of the most important criteria<br>• apply the criteria by using them to compare the various proposals |
| Concern about the resources available to implement the decision... | Carrying out a resource analysis:<br>• brainstorm tasks that must be done, and the time and resources needed |
| Not having enough information on the group making the decision... | Carrying out a ***stakeholder identification and analysis:***<br>• define criteria for inclusion<br>• brainstorm<br>• assess, evaluate, involve |
| An idea that seems far-fetched but is popular within the group | Carrying out an action plan:<br>• brainstorm a matrix with columns -- task, who, by when, resources needed<br>• select a person to take on coordination of the action plan |
| A high-risk decision... | Clarifying the risks and payoffs:<br>• list risks (-) and payoffs (+)<br>• explore ways of reducing risks<br>• find new ideas which preserve payoffs and minimize risks |

### Creative Re-framing of Problems

Creative re-framing involves altering one's beliefs about the nature of the issue at hand. Members identify core assumptions and deliberately replace or reverse them in order to gain an alternative perspective.

### Examples of Creative Re-framing

| When the issue is... | Try creative re-framing by... |
|---|---|
| Getting stuck in the traditional mind set and limiting creative thinking | Exploring the fixed assumptions by carrying out a brainstorming around the issue. For example, asking the question: "What is unchangeable about this issue?"<br><br>Identifying key words in the problem statements and systematically questioning them<br><br>Reversing fixed assumptions and then ask the question: "How could we make this happen?" |
| Creative thinking limited by practical constraints that are considered fixed | Removing constraints by brainstorming around the question: "What is keeping us from developing the best solution to this issue?" |

## Creative Thinking Techniques

Getting "stuck" in thinking patterns is something that everybody does individually, and every group does jointly. However, getting "stuck" in thinking interferes with effective programming and activities. Some of the techniques to help when thinking is "stuck" are Brainstorming, Delphi Technique and Mind-mapping.

*Creative Thinking Technique 1*

**Brainstorming**

Brainstorming is used to generate ideas in a rapid and inclusive manner. Often, because there are many ideas, it helps to write them on a flipchart or on cards. Ask people to agree on an issue on which they wish to generate ideas. This issue can be a problem on which solutions are brainstormed, or a topic on which information is generated. If there is a large group, ask a volunteer to write down the ideas as they emerge.

It is important to assure people that all ideas are going to be entertained, and they do not have to have "well formulated" ideas to say them. The idea is quantity not quality. The ideas can be grouped, analysed, reviewed, categorized or tabled afterward. Within these, many ideas may be the "diamond" of a new idea.

*Creative Thinking Technique 2*

**Delphi Technique**

This involves brainstorming and also organizing the ideas that are generated. Cards (3"X8" paper size) are used to write down the ideas, one idea on each card. With a small group, the cards can be pinned or glued to a flat surface or placed in front of participants as they are generated. In large groups, it may be best to make smaller groups and have each group generate ideas around the topic, and then pull them all together and sort them out as a large group. Another tactic is to give each person a number of cards and a wide nib pen, and have them generate their own ideas and then share them.

After the ideas are generated, the cards are moved around, sorted, prioritized, categorized, removed, added to. This technique involves all participants, does not require a wall or flipchart holder and can easily adapt to drawings for situations of lower literacy.

*Creative Thinking Technique 3*

**Mind-mapping**

This is a technique used to generate, organize and relate ideas at the same time and is especially useful when examining complex situations with many inter-related parts. It is an excellent technique to move people from linear thinking to more creative thinking. Once the creative part is explored, the ideas generated can be organized in a linear way. *Mind-mapping can be done with flipchart paper, or with different shaped, size or coloured cards.

The primary topic or issue is placed in the centre in one or two words. From this, the secondary "parts" that are connected will radiate. And from these "parts", more "parts" that are connected to the secondary parts will radiate.

## Energizing, Training and Warm-up Techniques

Often, meetings become slow and people need to be energized by an exercise. At the beginning of a session, there may be a need to pull people together as a group. There are many energizing and warm-up exercises[1]. The few given here were selected because they are related to communication skills and understanding.

*Energizing, Training and Warm-up Technique 1*

**Drawing Bricks**

This technique highlights communication patterns and channels and demonstrates the importance of training and listening when communicating. It is an easy, effective and interesting "warm-up" or energizer with groups; it also builds skills, knowledge and understanding.

[1] See "Participatory Trainer's Notes", International Institute for Education and Development (IIED) 1996.

A volunteer sits with his or her back to the other participants and is given a prepared drawing which is not seen or generally known by the others. Participants are given paper and pens to recreate the drawing. The volunteer describes the drawing for them, and they are asked to recreate it, without asking any questions. The results are shared, with much laughter.

The exercise is then repeated with another drawing, but this time the participants are allowed to ask questions. The results are shared. The main point is that when people try to understand without being able to communicate, the results are generally misleading.

*Energizing, Training and Warm-up Technique 2*

**Fact, Opinion, Rumour**

This technique enables people to better judge the quality and use of information that they receive, thus improving their analysis skills. It also highlights the need to cross-check information.

To introduce the tool, first discuss the problems that sometimes arise from relying on information collected in the field. How do participants judge the reliability of the information they are given? Suggest that the information be categorized into fact, opinion or rumour. Ask participants to define these; if time is short, present the definitions:

FACT (F) – a thing/action that is known to have occurred
OPINION (O) – an identified person's or group's view on a topic
RUMOUR(R) – unsubstantiated information from an unknown source

The paragraph in the example below can be used as a practice for judging whether something is a fact, an opinion or a rumour. Read the paragraph out loud, and ask participants to raise their hand for a fact, place their hands on their head for an opinion and keep

their hands down for a rumour. After the exercise, discuss how the information that is opinion or rumour can be cross-checked.

*"Everybody says that the fighting will start again in the spring (R). If that happens, I think things will be very hard, and there won't be enough food to get through to next year (O). We grow rice here, and some maize (F). Most households grow enough food for about six months (F), although the poor households grow less (F). Things have got much worse with the political change (O). In the north, we heard that the rebels confiscated a lot of food as 'taxes' (R). If they did that here, there would be violence (O). In 1989, there were riots in the nearest city when the taxes went up (F). These days, most people have guns in their houses, and are ready to fight (O)."*

*Energizing, Training and Warm-up Technique 3*

**What's Wrong with the Question?**

This technique can be used in an exercise to improve interviewing skills. It helps people to understand how to phrase questions in ways to encourage participation.

First, review the three different kinds of questions:

| | | |
|---|---|---|
| **Leading Question** | The answer is indirectly implied in the question. | *"Is it true that you only grow millet here?"* |
| **Closed Question** | Generally elicits only a "yes" or "no" answer, or has already supplied the answer in the question. | *"Do you grow millet here, or do you grow sorgum?"* |
| **Compound Question** | Contains two or more answers in one question. | *"What proportion of sheep and what proportion of goats give milk for how long over the year?"* |

Read out or distribute the prepared list of questions and ask participants to identify what is wrong with each question. Then ask them to convert the questions into less ambiguous or open-ended questions.

- "You don't have any irrigation systems, do you?"
- "Do you have goats, or do you have sheep?"
- "Wouldn't it be better to have wells in the community?"
- "What proportion of your income, and what proportion of your expenses, are related to food over the year?"
- "Do you go to market in Njamba?"
- "We think that it would be too dangerous to have the distribution there, what do you think?"
- "What were the major benefits of the programme to the food security and welfare of women, children and old people?"
- "Is wage labour the most important form of income generation activity here?"

Participatory Techniques and Tools - A WFP Guide

# Booklet 5
# Working with Communities

WFP
World Food Programme

Participatory Techniques and Tools
A WFP Guide

# Table of Contents

# Introduction

## Who uses participatory tools?

This Booklet is for those of you who work directly with communities. It provides tools to be used together with communities to identify, vulnerable groups within those communities, and to reach these groups with the resources available.

It may be that you are WFP staff working alone in a small country office and wish to make your resources go further and your food programming more effective. It may be that you work for an NGO or a government agency partnering WFP and wish to enhance the service you provide to communities in need. The nature of the relationship between WFP and partners might mean that you work closely together at the community level and in all stages of development, or that you have distinct roles and responsibilities. In any of these situations, participatory tools can help you serve food insecure-people more effectively.

This part of the guide is also of use to those of you not directly involved in fieldwork. You will probably base some of the decisions you make on information and analysis that have been generated by using participatory tools. It is important that you understand the information generated and can trust its reliability.

## Participatory tools can be beneficial in all types of WFP activities, interventions and programmes

Participatory tools can be beneficial in all types of food programming, although the scope may differ from one programme

to another. Participatory tools have been used effectively during emergency and protracted relief operations to determine food distribution mechanisms; in recovery operations to rebuild infrastructure or assets; in longer-term relief operations to assist refugees and internally displaced persons (IDPs); to explore training opportunities; and in long-term development programmes to select suitable activities.

In **emergency relief operations**, it is essential to know what the situation was before the emergency arose. This knowledge is required for the planning of a successful intervention: without it, mistakes will be made. Participatory tools in this guide can be used to generate the information quickly. This information is vital in planning the composition and level of food required; the most effective timing and frequency of food distributions; the location of distribution sites; how to distribute food most efficiently; and checks and balances to ensure that the food gets to the most vulnerable.

In **protracted relief operations**, such as those that typically assist refugees or IDPs, participatory tools can help to explore the disruptions (military operations, transport limitations, restricted movements of populations) that people have to live with, and the coping mechanisms that can help them "restart" their lives. Participatory tools can deepen your understanding of the situation so that appropriate support can be given.

In moving from an emergency to a **recovery operation**, there is time to develop a deeper understanding of the situation. Participatory tools can help people to determine for themselves when the situation is stable enough to move towards self-reliance as well as the best times and modalities for asset creation. For example, in situations of drought, there is a time when those who frequently undergo drought cycles recognize when the period of drought is over and it is time to rebuild assets.

In **development activities**, participatory tools can help to identify activities and analyse them in a way that brings together the knowledge of the community and the knowledge of those who are trying to help. For instance, the tools can help us understand the process of deforestation and the steps that need to be taken to protect watersheds and hillsides from erosion.

Participatory tools have also been used effectively for awareness building, advocacy and training, and when working with local partners. They have also been used to understand sources of community conflict; to assess the impact of operations and activities on communities; and to monitor the progress and effectiveness of such operations continuously.

In the short or the long-term, participatory tools can deepen our understanding of situations and help us to assist food-insecure people.

## The broad application of participatory tools

It is important to realize that the participatory tools are basically **tools of communication** that highlight the collective wisdom of all stakeholders and encourage its expression in any given situation. Participatory tools have been used effectively with many different kinds of populations: urban and rural, illiterate and highly educated; in developing and developed countries; and with mountain dwellers and plains dwellers. Participatory tools have been used extensively around the world: in North and South America, Europe, South Asia, India and China. They have been used with all age groups and many different religious and ethnic groups. They have been used in the boardrooms of highly organized companies in Geneva, and in small agricultural offices in Laos.

The tools described in this guide have been tested for their usefulness in food aid management and distribution. However, they cross-cut all sectoral boundaries and are used in health care, fisheries and forestry, agriculture, livestock activities and education.

Participatory tools can also provide a deeper understanding of **gender relationships**, recognized as key factors in relief, recovery and development. Each time a participatory tool is used, it is essential to see things from the perspectives of both men and women. This can be accomplished by using the tool separately with groups of men and women, or by the introduction of "gender cards". For instance, after a community map has been completed, the cards can be introduced and placed in areas in the community where it is not safe for women to go, or places where it is not safe for either men or women to go. In this way, food distribution points can be effectively located to serve both men and women.

Participatory tools are extremely useful and effective in ensuring that **environmental factors** are considered in all stages of operations or activities. The tools can be used to identify potential or existing environmental issues at an early stage, and encourage discussions on ways to manage and monitor environmental problems. For instance, if a new settlement area is established, such as a refugee camp, there may well be concerns about the over-exploitation of forests around it. A community map can identify forest areas and the potential problem, and stimulate discussions to try to reach agreement on viable alternatives.

It is increasingly recognized that change of any kind will result in some level of **conflict**, and that most conflicts can be anticipated and managed before they have a chance to escalate. Participatory tools can help to identify potential areas of conflict between stakeholders. Once such areas have been detected, discussions can begin about ways to deal with the potential conflict. For example, discussions may focus on something as basic as involving important stakeholders in any decisions that affect them, or keeping them informed about decisions that have been made.

## Using participatory tools for the first time?

If you are new to using participatory tools and approaches, look in Booklet Three. Here you will find many ideas for enhancing your skills and techniques, and facilitating the participatory process.

You have to be flexible and creative in applying the tools. They may not work exactly as presented here, even if you follow every step. Allowances frequently have to be made for cultural

differences and literacy levels, and the general appropriateness of a tool should always be considered before using it. For example, in some countries, it would be impossible to go on a transect walk with women of the community. The challenge then becomes to try to discover ways that will enhance communication in your particular situation.

In many instances, you will have to modify the tool to make it fit the kind of information needed or the analysis sought. There are as many modifications of the tools as there are people who use them! Once you have worked with them for some time, you will find them easier to use and develop your own particular style. You will probably notice that when participatory tools are used, people respond differently from when replying to direct questions. The reason for this is that participatory tools provide more scope for common learning and understanding.

## Some important points about materials, time and participants

The materials used to facilitate the tools also require flexibility and creativity. In many situations, the materials are not available, and you just have to use what is at hand. Usually, this works better than it would with pre-planned materials. Try to use materials that are familiar to the community. Innovation in creating materials has been steadily increasing. One interesting innovation was introduced by WFP staff in Turkana, Kenya who performed a rating of the Relief Committees using three types of livestock dung: camel, cow and goat! Visits to local markets can fill a basket with useful local materials such as matchboxes to represent households, small twigs wrapped with string for fuelwood, and plastic bottle caps to represent water points. Be creative in the use of materials, and encourage others to be creative, too!

The time that it takes to employ the tools has been found to vary so much that setting a specific time, such as one or two hours, serves no purpose. Basically, you just have to take the time it takes and the time people are willing to give. For example, the development of a *Time Line*, which is a simple and straightforward tool, may go on for four or five hours if it is a really outstanding session and people are engaged. Often, if people are comfortable with the facilitator and are engaged, they will modify the tool to provide a better analysis and more information.

In almost all instances, each tool can be employed with individuals; with a few people; with a large group of people split into smaller groups; or with one large group. There are no guarantees concerning how large or small the community turnout is going to be, nor how much control you will have over the number of participants. The number of participants who can take part is flexible.

## Moving the information from participatory tools through the organization

Using participatory tools generates a great deal of information. Often, the amount of information is so overwhelming that it is left unanalysed, and much effort and many potential benefits are lost. One way to combat this is to ensure that you analyse the data with the community.

A participatory tool is most effective when the information generated is analysed, used to make decisions, and the reasons for those decisions are supported by the data. If each session results in analysed data, everyone will benefit.

There are two main benefits to analysing the data in the field. The first is that community members understand, and have in fact generated, the rationale for a decision and do not need to be further convinced by lengthy awareness sessions.

The second benefit is that it is much more efficient for busy WFP field staff and partners to document decisions and reasons than to document raw data. For example, if one or a number of participatory tools are employed to examine which activities will most effectively rebuild community assets, the community may decide that safe drinking water is the most important priority as their children are becoming sick and there is no clinic and no money to buy medicines. They may decide that building a school is the second most important task because they do not want their children to lose their place in the educational system. Returning from a community session with analysed data makes it easier for you to manage and understand the data, and easier to move the data through your organization.

If there is a system in place (such as a monitoring and evaluation system) that functions well, it may be more effective to insert the analysed data from the participatory tools into this system than to build a parallel structure. It is important that the information be reliable and reach the next level of decision-makers in time to help them make informed decisions.

Another method of ensuring that the analysed data "flows" to decision-makers is to create "circles of analysis" at each level throughout the organization. This is shown in detail in Booklet Two, *Planning and Information Management*.

## Continue to enhance your skills

For those intending to facilitate the participatory process, it is especially important to develop a sincere interest in people and respect for their views. This often comes with experience. Participatory tools allow people to express themselves openly and this serves to generate respect for their wisdom, their knowledge and their ability to cope under difficult circumstances.

# Tools Frequently Used with Communities

**Tool Name** **1. Transect Walk**

**Description**

Walking through a community with local members as guides provides an opportunity to gain a better understanding of many aspects of community life. The role of WFP staff and partners in a transect walk is to be curious, observe, ask questions and listen. The role of the community members is to guide their guests, answer questions and facilitate discussion at any stops along the walk. Everyone benefits: the community members have a chance to see their community through different eyes, and WFP staff and partners can deepen their understanding of community life.

**Possible Applications**

- ❑ Encourage understanding of the physical, economic, cultural and social aspects of community life.
- ❑ Validate secondary data concerning the level of food insecurity and vulnerability.
- ❑ Verify the statements of key informants regarding the existence of marginalized groups. (For example, low-caste groups or non-residents may be overlooked during

discussions about food needs with community leaders but can be identified in *transect walks*. By asking questions about what is seen, valuable information about resource access within a community can be understood. This information can contribute to the targeting process).

❑ Understand the relationships between people and natural resources.

❑ Monitor the level of improvement or deterioration in food security.

**What You Need**

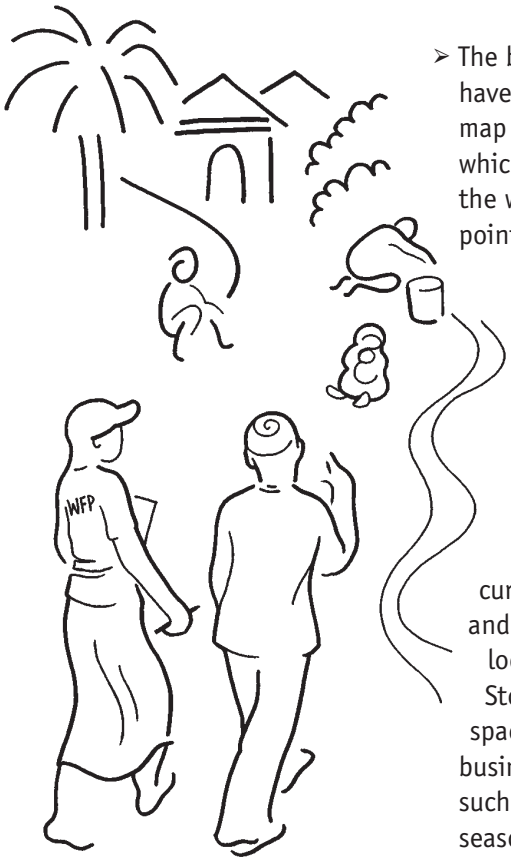
The most important thing needed is time. *Transect walks* that are unhurried and provide plenty of time for listening are likely to be more effective. Also:

- Local guides, such as schoolteachers, elders or community leaders, for at least half a day.
- Small notebook and pen to note key information.

**How to Use**

➢ The local guides are part of the team for the *transect walks* and it is important to include them in planning the walk. In the initial meeting, be very clear that the purpose of the *transect walk* is to deepen general understanding of the community. Highlight the important role of the guides, and involve

them in making the first decision, which is to determine the transects (lines from one point to another) that will yield useful information. These will depend on the focus of the walk and on the size and population of the community.




➢ The best way to determine the transect is to have the local guides draw a rough sketch map of the community, and then discuss which transects will best serve the purpose of the walk. Other decisions to be taken at this point are: How many groups are necessary (the ideal group size is 3-5 persons, as this is less intrusive than a large group)? Who will be the *transect walk* recorder? When and where will the groups meet to compare their findings?

➢ During the walk, be aware of sights, sounds and smells along the way. Your curiosity will provide occasions for stopping and asking open-ended questions of the local guide or people met along the way. Stops at water points, clinics, residential spaces, grazing lands, forests and businesses are all occasions to discuss issues such as ownership, access and control, and seasonality. There may be opportunities to stop for longer discussions or be invited into homes, schools or clinics.

➢ A feedback session, which may take one or two hours, should include the local guides.

The groups can compare notes and discuss their findings. Sometimes, the recording of *transect walks* is a description of a "slice" of the landscape, with the various observations documented in the places where they were made.

➢ A good way to end the exercise is to present the local guides with a copy of the observations and ask them to validate the information. Thank them for hosting the walk.

EXAMPLE:

**A transect walk in the arid zone of Pakistan identifies the role of religion in protecting vegetation**

The arid zone of Sindh, Pakistan includes some of the world's most densely populated deserts. Unreliable rainfall frequently reduces the millet harvest on which the community members and their goats depend for staple food and for fodder. When Village Development Committees (VDCs) were established to address the problem of increasingly regular droughts, part of their initial training included transect walks. These exposed startling differences between the amount of vegetation in common lands and in areas managed by the mosque. Although grazing was not subject to restrictions on the mosque lands, the lopping and cutting of trees was forbidden. Technicians were able to point out that the cover provided by trees and shrubs in the mosque lands had created microclimates conducive to plant growth. As a result, VDC members agreed to enforce similar restrictions on common land.

**Tool Name**

## 2. Community Mapping

**Description**

This is one of the more popular and successful participatory tools. It is an excellent way to begin in a community because producing the map is concrete and rather neutral. It makes local people the experts, teaching the outsiders about their community through the exercise.

*Community mapping* provides local perceptions of: the natural environment, such as rivers and hills; infrastructures, such as roads, schools, clinics, religious centres and shops; and the social, ecological and economic environment of the community.

**Possible Applications**

- ❑ Highlight some of the potential conflicts between the social groups.
- ❑ Establish which areas of the community are distinct (often because of religious, socio-economic or cultural reasons). In all emergency relief efforts, it is important to understand that communities may have well established physical, socio-economic and socio-cultural barriers, which must be respected.
- ❑ Target those households differentiated by relative wealth or poverty.
- ❑ Help local people recognize what they have

themselves achieved over the years. Highlighting the development done by community members in the past helps to reinforce their self-reliance, which is good preparation for sustainable activities.

- ❑ Show the difference in importance of resources for men and women when comparing maps made by each (if men and women do not map separately, it may be useful to ask women specific questions while the map is being developed).

- ❑ Identify dangers or hazards (such as food distribution points that are unsafe for women) during the process of community mapping.

- ❑ Identify social services and organizations in the community such as schools, training institutes, hospitals and social organizations.

**What You Need**

Maps can be made in a number of ways, and the materials used will often depend on what is at hand and what local people are comfortable using.

Often, the map is first created on the ground, especially when there are many people involved and a large space is required. It can also be produced on a blackboard or whiteboard placed on the ground, or on sheets of paper on a large table. Preparations for any kind of mapping

might include a basket of objects collected from around the area such as sticks, nuts, stones and matchboxes.

If maps are going to be used frequently, they may need to be more durable. Painting community maps on cotton sheeting fabric (any local t-shirt maker will have paint supplies) allows them to be stored, washed and easily carried. The process of creating a fabric map generally starts with the ground map which is reproduced on paper; when there is agreement, it can be transferred to the fabric. This map is left with the community to help them with future planning. A paper copy can be made, and photographs taken for reference.

The number of community members in the mapping exercise can vary, depending on the situation. If there are over 100 people, and it is a large settlement, the participants can be separated into area groups, each mapping its own area. Then the groups can come together to join the maps.

**How to Use**

- If possible, advertise the mapping event at least a week in advance so that all those interested may attend.

- Describe to the group the purpose of the map: to learn from each other and to learn about the community. If you can, describe other successful mapping exercises, and what both insiders and outsiders learned. If

local political maps, road maps or aerial photographs are available, show them to people. They are useful and can stimulate interest in mapping.

- Choose a community facilitator and two helpers and hand them the stick, pen or basket. They are to be directed by community members, with comments from the external facilitator from time to time.

- Mapping always begins from outside the boundaries of the community. These may include agricultural land or forest land. It is important that the community members define the boundaries themselves. The boundaries may sometimes overlap with those of nearby communities, and it may be of useful to find out if there is any conflict over boundaries, and how local people deal with such conflict.

- Mark North, South, East and West.

- Next, put the landmarks such as rivers, streams, hills, parks, religious centres, schools, clinics, hospitals, and shopping and market areas, on the map.

- If the community is small, each household might be identified. If the community is large, areas where certain people live may be identified. For example, there may be areas where the more wealthy live and areas where the more marginalized live.

- Services such as water points may then be identified.

- Agriculture and common grazing land might then be identified, or recreational or restricted areas such as parks or protected forests that are on the periphery of the community.

- Questions to seek clarification can be asked throughout the making of the community map.

- When it seems that everyone is content with the community map, and questions are exhausted, the exercise is over.

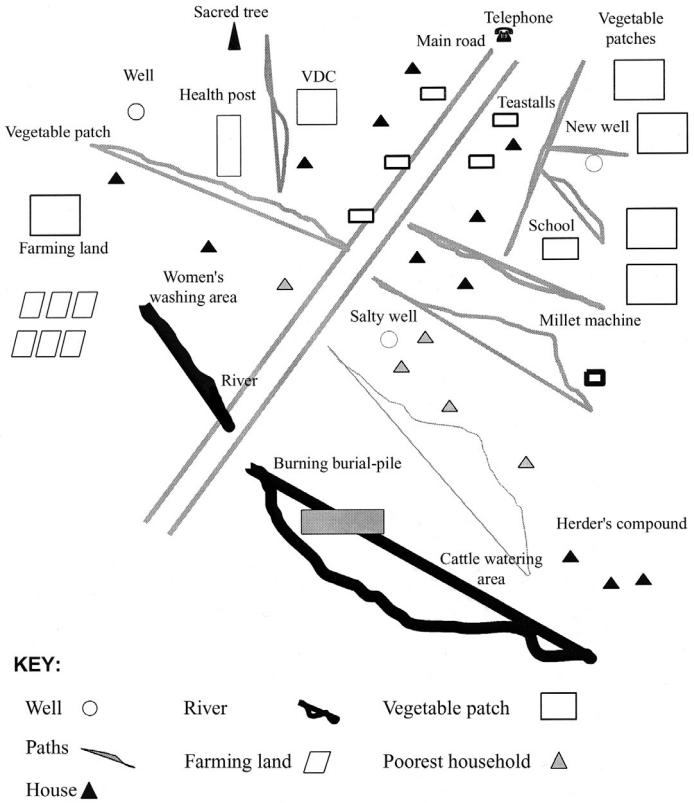
- Community maps are left with the community, although copies can be taken for reference.

- A good way to end is for the external facilitators to explain the map, asking community members to correct them as they do so.

- If the map is produced by a few community members, it will be necessary to show it to the whole community in a feedback meeting. This helps validation and forms the beginning of planning and working agreements.

EXAMPLE:

**Mapping of a Nepalese community**




This map, drawn by a women's group in a community in Nepal, shows the physical marginalization of poor households, situated on the edge of the community, close to the salty well. Interestingly, the women included the telephone installation and the sacred tree as important features of the community. The women said that since the telephone had been installed, it had become easier for them to contact their husbands working in the city.

**Tool Name** **3. Time Line**

**Description**

A *time line* is an illustration of key events in the life of an individual, household, community or organization over a specified period of time. It is used to analyse perceptions about a particular event or series of events affecting the level of food security. *Time lines* may be constructed by individuals or by groups.

**Possible Applications**

- ❑ Understand the history of a community. It can be used, for example, to describe how the relationship between a community and its natural resource base has changed over time, and how this has affected food security.
- ❑ Analyse cause-and-effect relationships in a situation which changes over time. People can also provide information about their perceptions of events that occurred before their own lifetime. This information can be used, for example, to plot the occurrence of natural disasters, or previous land use patterns.
- ❑ Highlight and celebrate some of the achievements the community has made on its own.
- ❑ Point out areas where there has been community conflict or external conflict in the past, and initiate open discussions on

whether or not these conflicts have been successfully resolved.

❑ Help communities envision their future by establishing a time period that projects into the future.

❑ Analyse changes in gender roles such as school attendance for girls or control over resources by men or women within households and within community organizations.

**What You Need**

Depending on the situation, use:

- A line drawn in the sand or earth with sticks, stones and other local materials to symbolize events. The line can be highlighted with ash or flour, depending on the colour of the earth or sand; or
- Large sheets of paper and marker pens.
- A line drawn on the ground with picture cards to indicate events. Identify somebody who can be directed by others to draw simple symbols of an event. These are placed on the ground or on any flat surface.

**How to Use**

➢ Describe the idea of a *time line* as a way to talk about shared history, using key events to trigger discussion. Decide on an important

issue, such as food insecurity, invasions by rebel groups or environmental degradation.

- Draw a line, deciding together where it makes sense for the timeline to begin and where it should end.

- Then, ask participants to describe events along this *time line*. It may help to ask what is the most exciting or memorable thing that has happened in the community, and place this on the *time line* as a point of reference.

- The exercise can be done separately for men and women, and differences (if any) discussed. All events are recorded either by writing (on paper), by objects that represent time periods (on the ground) or by picture cards.

- When people feel that they have a *time line that includes* all the important events relative to the issue being discussed, encourage participants to think about the possible cause-and-effect relationships between the events described. Also encourage participants to think about the effect each event has had on their current situation. This can be done by arranging a quiet "five minutes" to give everybody time to absorb the information. Then go around the group asking what each person has "seen" in the *time line*.

➢ To finish, discuss the possible future of the community and what participants see as the "best possible future".

EXAMPLE:

**Historical time line in Nyamawende community (Mchinji District), Malawi**

| | |
|---|---|
| **1960** | High yield from local maize though fertilizer was not in use |
| **1970** | High yields |
| **1980** | Introduction of hybrid maize and fertilizer |
| **1982** | High yields and surplus maize |
| **1992** | Drought: low yields which resulted in acute hunger<br>GOM provided maize |
| **1993** | Drought & hunger<br>Strategies included:begging from relatives; remittances; bolied nkhwani, cooked bananas/mangoes |
| **1995** | Drought<br>Strategies: lived on maize bran, mangoes |
| **1996** | Abundant maize, amount of rain was adequate; sold maize to Zambia |

This historical *time line* helped find and determine past household coping strategies in relation to food security.

Source: Jones, K. et al. (undated). *Participatory Assessment and Planning for Sustainable Livelihoods*. Government of Malawi and the United Nations System.

EXAMPLE:

**Time lines show past development activities**

Two time lines were made in different locations with nomadic herder populations who were affected by the continuing drought. They were created to deepen understanding of asset-building in moving from an emergency relief operation to development activities. The time lines showed that two NGOs who had worked in the area had both tried asset-building activities in the previous periods of drought. However, according to the two communities, neither building up the herds, nor assistance given to agriculture (an irrigation system, tools and seeds) had been successful. The information from the time line started a discussion on why these past development activities had not worked and highlighted the importance of including local people in decisions about time and environmental stability when considering asset-building activities.

**Tool Name** **4. Social Network Mapping**

**Description**

*Social Network Mapping* shows the economic, social and cultural ties and relationships that people have within a community or that exist between people from different communities. Maps of social networks can indicate ways in which different social groups benefit from these linkages. These linkages are the exchange of materials or services and are determined by bonds based on kinship, religion, politics or reciprocal exchange.

**Possible Applications**

- ❑ Identify marginalized or excluded groups for the targeting element of a programme. It is particularly useful to understand social networks before starting any community based targeting initiatives.
- ❑ Understand how WFP food, or assets created with food, are being redistributed within a community. This is important in understanding coping strategies.
- ❑ Monitor increased participation by marginal groups in community life. (In this case, *social network mapping* would be employed at the baseline stage and again during monitoring and evaluation).

**What You Need**

*Social Network Mapping* can be done in a number of ways, using:

- A large sheet of paper and coloured marker pens
- Chalkboard and coloured chalk
- Sticks in the ground and coloured string or wool or
- Pins stuck on a board with coloured string or wool

**How to Use**

➢ Select a representative group of participants from the community. Include, for example, men and women, those in the community who are marginalized, and non-residents who may be living in the community.

➢ Agree upon a definition of a household within the local context.

➢ Choose ten households that represent all household "types". These types can be determined by, for instance, main economic activity, income level, religious affiliation, cultural factors, and political or tribal links. List the most important resources exchanged between them, such as labour, gifts, information and credit.

➢ Choose different colours or types of lines to represent different types of relations and exchange processes. Draw arrows at both ends or one end of the lines to show reciprocity (two-way exchange) or one-way exchange.

- Link the ten households with these lines.

- Once the *Social Network Mapping* exercise is complete, ask the participants to describe it and discuss the features shown.

- Maps can be drawn by different groups and then compared to promote discussion. Often there are very different perceptions of the social networks within the same community.

**Tool Name**

## 5. Stakeholder Identification and Analysis

**Description**

A *Stakeholder Identification and Analysis* gives a comprehensive picture of all persons, groups or institutions that: i) have an interest in the programme's success or failure; ii) may hinder its smooth implementation; iii) contribute to or are affected by the objectives of the programme, positively or negatively; or iv) can influence the situation.

*Stakeholder Identification and Analysis* is designed to answer questions such as: Who are the key stakeholders? What are their interests in the activities? What relative influence do they have, or might they have on the operation?

**Possible Applications**

- ❑ Provide critical information to planners in an early stage of planning. It is recommended throughout the activity cycle and can be refined and revised during annual reviews.
- ❑ Assess and manage potential conflict by identifying stakeholders and the way in which their interest effects implementation and outcome of activities.
- ❑ Analyse a situation, and those involved, and thus articulate and advance the interests of the marginalized and vulnerable groups.

❑ Strengthen knowledge-sharing between the different stakeholders involved in an activity and establish responsibility and their different roles.

**What You Need**

A number of methods have been used successfully, but it is necessary to have something that signifies large, medium and small for two sets of information. The different colours add interest, but are not essential. The optimal materials are indicated here, but creativity and innovation are often needed to produce suitable materials.

- Pens, different colours
- 25-30 slips of paper, 3" x 8"
- Coloured poster paper, scissors, glue sticks

Cut several circles of different sizes - at least six - out of the coloured poster paper. Circles of the same size should be the same colour. Cut out triangles of different sizes. Again, triangles of the same size should be the same colour. Prepare enough circles and triangles so that each group or groups can have several circles and triangles of different colours and sizes.

**How to Use**

➢ Explain the purpose of the exercise. Ask participants what they understand by the term "stakeholder" (or a name that they understand). A stakeholder is often defined as an individual or group who has something to gain or lose by the proposed

intervention. Clarify any confusion and proceed when everybody understands who is to be identified.

- Participants first define their community. This task can be made easier by referring to a *Community Mapping*, *Time Line or Social Network Mapping* exercise that may already have been done. (In Booklet Five)

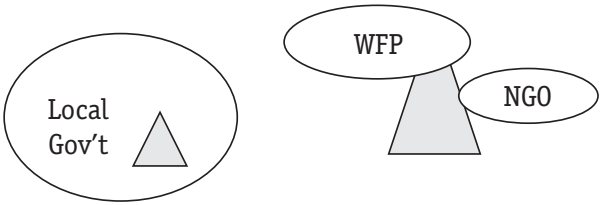
- Participants then discuss and list all the stakeholders or stakeholder groups in the context of the proposed activity. This list can be generated using the *Delphi* or *Brainstorming* tool. (In Booklet Four)

- The names of each stakeholder or stakeholder group are written (or their pictures drawn) on slips of paper that all can see. If many stakeholders are identified, it may be worthwhile to pick out the key stakeholders: those who are most important. However, keep the list of all stakeholders for future reference.

- Next, produce the coloured circles, which will represent each stakeholder group. Participants choose a circle size to represent the **relative interest or stake** of that particular group. To determine this stake, it is useful for them to consider how affected a group may be by the initiative or its outcome. The larger the circle, the bigger the stakeholder interest/stake.

- Place (or glue) the circles on a piece of paper with the activity or initiative stated in the centre (for example, the centre statement may be "emergency food distribution"). Use distance from the centre and from each other to depict the relative "closeness" (not geographical) of the stakeholders to each other, or to the initiative.

- Once participants are satisfied with their stakeholder interest circles, they then discuss the relative influence or power that each group has in relation to the initiative. They choose triangles that represent the **relative influence/power** of each group in the initiative. The larger the triangle, the more powerful the stakeholder. The triangles are placed (or glued) on the circles that represent them. For example, local traditional government (the chief and elders) may be currently seen as having a big interest, but little influence/power over "emergency food distribution".



➢ Once the stakeholder identification and placement is completed, the analysis can begin. Questions that might facilitate discussion are:

- Why are some stakeholders placed far away?
- How can stakeholders be involved if they are important and influential, but distant?
- Which stakeholders are likely to create difficulties because they do not support the activity or initiative? (Those stakeholders seen as "problematic" can be indicated in some way, such as by using flags on the circles.)
- What kinds of problems might arise? How can they be minimized?
- Which stakeholders need to be involved in the planning, implementation, monitoring and evaluation of the activity?

➢ The stakeholder analysis may also be moved to a matrix that shows "strategic interests" and the potential positive or negative impacts on each stakeholder. This is shown in the following example.

EXAMPLE:

**Stakeholder Identification and Analysis**

A programme involving the training of marginalized women to work as local health operators used the *Stakeholder Identification and Analysis* tool, and produced the following table. This information indicated that each stakeholder has several interests. The proposed project may have a positive impact on some of those interests, but not all.

| KEY STAKEHOLDER GROUP | INTEREST | PRIORITY | POTENTIAL CONFLICT | ROLES |
|---|---|---|---|---|
| **Women** | More free time to invest in improving livelihood | + | No | |
| | Enhanced health for themselves and their children | + | | |
| **WFP** | Short-term food distribution | + | No | |
| | Institution building | + | | |
| **Traditional midwives** | Status | +/- | Yes | Include as teachers |
| **Local NGO** | Enhancing role as grassroots institution | + | No | |
| | Strengthening extension services | + | | |
| **Islamic clergy** | Conserve social and religious influence | +/- | Yes | Involve in curriculum design, invite to observe |

**Note.** Other stakeholders are traditional healers, medicinal plant collectors, local government, women's committee.

**Tool Name** **6. Venn Diagram**

**Description**

The *Venn Diagram* is a popular and effective tool for encouraging participation. A set of circles, each representing a group or institution, is selected or drawn and then arranged to show the relationships between these institutions and groups.

**Possible Applications**

- ❑ Identify the relationship of key institutions with the local community. This can help WFP and partners identify those institutions that best represent the interests of the poor, as part of situation and stakeholder analysis.
- ❑ Enable local community organizations to consider their role within various networks and alliances.
- ❑ Assess how, and the degree to which, a community may be disempowered by unfamiliar institutions (in emergency situations where an analysis of the institutional environment is necessary).
- ❑ Identify potential conflicts by knowing those stakeholders who are likely to be negatively affected by the proposed operation or activity.

**What You Need**

The diagram can be made in a number of ways, depending on literacy levels and what materials can be found:

- Large sheets of paper, scissors, marker pens
- Pre-cut circles of three sizes
- Pictures that represent the different organizations for groups whose literacy levels are mixed

A mixed group of men and women representing all the different kinds of households in the community.

**How to Use**

➢ Describe the purpose of the *Venn Diagram* and your previous experience with it. In particular, highlight how it helped to deepen the understanding of both "insiders" and "outsiders".

➢ Focus on the overall intent of this particular diagram. It may be that it is decided to concentrate on institutions that affect the community or households in a particular situation, such as a conflict. The participants decide which characteristics of the relationship with institutions are to be discussed and analysed. Those taking part may, for instance, choose to examine how much people trust the institutions or how powerful or effective they perceive the institutions to be. Ensure that everyone understands the focus before moving on.

- Ask participants to list all the institutions known to affect the community relative to the topic that has been chosen.

- Participants then select a circle to represent each institution. If the focus is on power and trust, the size of the circle shows the relative power of the institution. A powerful institution will be assigned a large circle, and a less powerful institution a smaller circle.

- Participants then draw or choose a circle representing their community and place this in the centre. This can be done on a sheet of large paper or on any flat surface where everyone can see it.

- Participants then place the cut-out circles (which have names of institutions/groups or individuals on them) on the paper (or flat surface) in relation to the circle that represents their community.

- If participants are looking at power and trust, explain that the closer they place the cut-out circles to the central one, the greater the trust the community has in the organization.

- The group should move the circles around until agreement is reached.

- Once the *Venn Diagram* is complete, participants can discuss and analyse the relationship of their community to the

various institutions identified. Reference can be made to the effect each institution has upon their community.

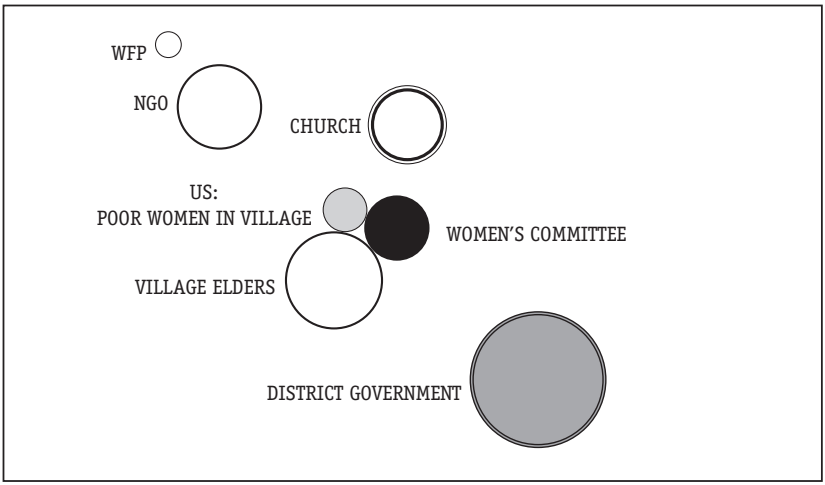
- *Venn Diagrams*, with the same focus, can be produced separately with a group of men and a group of women, and the results discussed.

- One way to end the exercise is to ask participants to imagine the changes that would occur if one of the more powerful institutions were moved closer to the centre or further away from it.

- The findings can be further discussed with all members of the community.

EXAMPLE:

**Venn Diagram made by a group of women in the community**




The poor women who produced this diagram said that the community elders and the women's committee (which had previously been formed to improve the health of women and children) were the closest groups to them. The community elders were seen as being more powerful than the women's group. WFP, on the other hand, was perceived as distant and not very powerful.

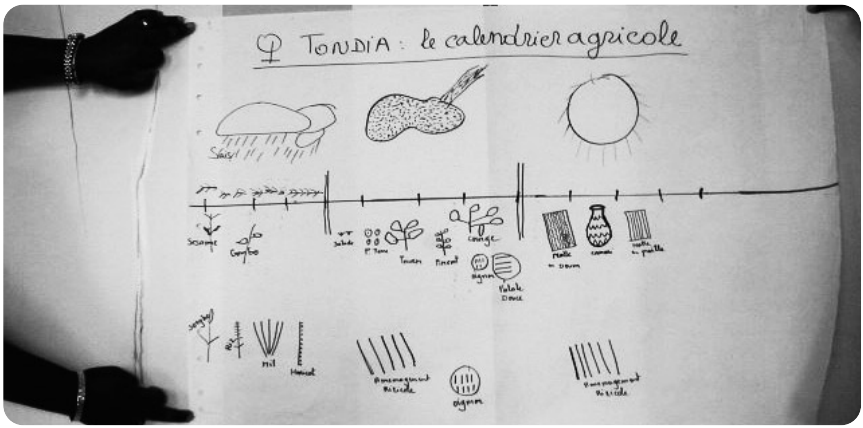
In the analysis it was noted that, had WFP and its partners been working effectively together, they may have been perceived as being closer to each other and closer to the group of poor, marginalized women.

**Tool Name**

## 7. Seasonal Calendar

**Description**

The *Seasonal Calendar* is a well-known and much used tool. It is essentially a chart used to identify, illustrate and compare key events and periods over a year.




**Possible Applications**

- ❑ Show seasonal differences in food supply and access, as part of a food needs assessment during a protracted relief and recovery operation.
- ❑ Gain interesting insights into who does the bulk of the work (through gender-specific calendars). This allows for more gender-sensitive programming and can avoid overburdening women or men.
- ❑ Identify and compare multiple variables, such as cropping patterns, diet composition, labour demands, food stocks, market prices

and weather. This allows an understanding of key factors that influence production and food gaps.

❑ Enable a comparison of the degree of difference in the demand for labour at different times of the year, which is an important aspect to consider in determining seasonal activities.

❑ Help participants recognize and analyse the effects and/or causes of particular situations such as natural disasters or drought (during early assessment). This information can be useful in addressing disaster mitigation strategies.

**What You Need**

A number of alternatives are possible:

- Large sheets of paper and coloured marker pens or
- An area of sandy ground and local materials such as stones or sticks, or
- Either of the above with picture cards.

**How to Use**

➢ Select participants who represent the different socio-economic groups in the community. These groups can be determined by using *Wealth* or *Well-being Ranking* or *Pictures of Vulnerability*. Community members to develop the *Seasonal Calendar* can be selected from categories based on gender, age and/or occupation.

- As an introduction to the *Seasonal Calendar*, discuss with participants the way that they divide up the year. (For example, students may divide it into periods of school and holiday periods. Agriculturists or seasonal agricultural labourers may base their division of the year on planting and harvesting periods, or according to when the "long" rains and the "short" rains occur. Herders may divide the year into migration periods.)

- *Seasonal Calendars* can be made by splitting the participants into small groups with a mix of characteristics, or into small groups with the same characteristics. Alternatively, the calendar can be created by everyone together, as a large group. Alternatively, the calendars can be made by groups of men and women and the results compared. If done together, the gender cards will help to analyse each category.

- Participants make a chart marking units of time to divide the year. These can be months or seasons, using the local calendar where appropriate.

- Select important activities, events or situations that last some time, such as crop planting, harvesting, periods of hunger and work (labour) opportunities. Ask groups to mark in which months/seasons these occur.

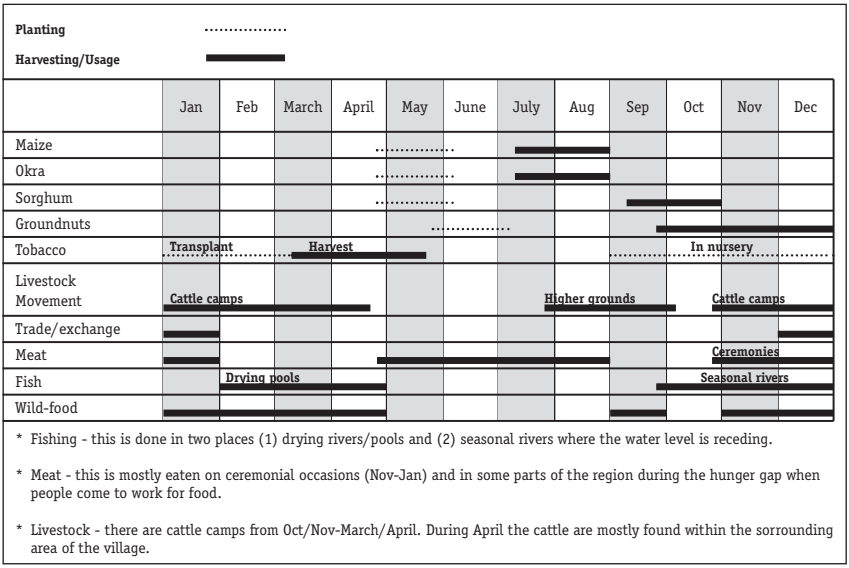
- If in small groups, bring all participants together and ask each group to compare its

calendar with the others, identify common aspects and draw general conclusions.

➢ One way to finish off is to ask participants to pick the best time of year for a happy event, such as a wedding.

EXAMPLE:

**A Seasonal Calendar from northern Bahr el Ghazal and Lake Area in the Sudan shows strategies for meeting food gaps**




* Fishing - this is done in two places (1) drying rivers/pools and (2) seasonal rivers where the water level is receding.

* Meat - this is mostly eaten on ceremonial occasions (Nov-Jan) and in some parts of the region during the hunger gap when people come to work for food.

* Livestock - there are cattle camps from Oct/Nov-March/April. During April the cattle are mostly found within the sorrounding area of the village.

Source: WFP and Save the Children (UK). *An Introduction to the Food Economy Research in Southern Sudan 1994-2000*.

The use of the Seasonal Calendar can identify those times in the year when there are food shortages in most households. When this is known, food can be assigned to cover these vulnerable periods.

**Tool Name** 

## 8. Daily Schedule

**Description**

A *Daily Schedule* identifies an individual's patterns of labour over the course of a day. This usually reveals the type and distribution of a workload of a household or an individual.

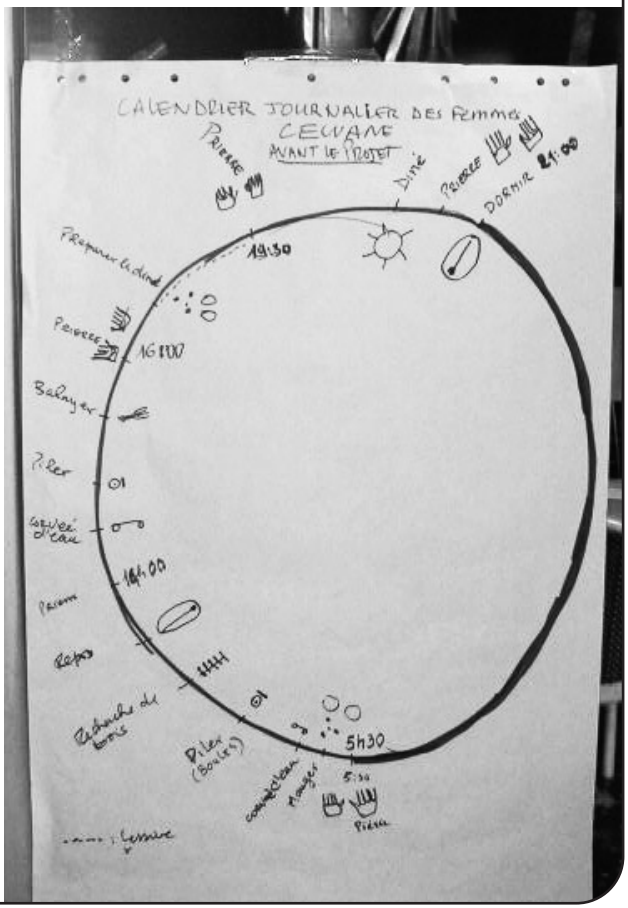
Just as the *Seasonal Calendar* can demonstrate the busiest times of the year, the *Daily Schedule* indicates the busiest times of the day. The two can be used jointly.

This tool is also known as the *24-Hour Clock* and *Gender Division of Labour*.

**Possible Applications**

- ❑ Identify appropriate time for food distribution in emergency relief operations.
- ❑ Identify when work can be done, or events such as meetings or training can take place (in protracted relief and recovery operations and development programmes).

- ❑ Enable comparison of different community members such as men and women, young and old, and/or domestic and agricultural workers.
- ❑ Ensure that groups are not excluded from participation on the basis of inconvenient timing.
- ❑ Monitor the effects programmes might have on people's time.




❑ Note: Daily schedules can be used for many types of analysis, depending on the schedules available for comparison and the type of information that emerges from the discussion. For an example, comparison is part of gender analysis when comparing schedules of men and women, and role analysis when comparing the employed and the unemployed. Discussion can explore how work loads can be managed differently to reduce burdens or simply identify the best times to do things.

**What You Need**

There are many alternative materials:

- A large sheet of paper and a pen for each participant
- Picture/symbol cards and a daily time line
- A line on the ground with found objects

**How to Use**

➢ There are two ways of completing a *Daily Schedule*. The first is to divide a large circle into 24 one-hour segments. The second, easier method is to draw a straight line starting at the time the person gets up inthe morning; mark the hours along its length up to the time the person goes to bed. To enable comparisons, the whole group should choose the same method.

➢ *Daily Schedules* can be drawn up individually, or by focus groups of people in similar situations (for instance, women from the same socio-economic group).

- Each group/participant draws a circle/line divided into 24 periods representing the hours of the day.

- Each group/participant should then write, or represent in drawings, what they typically do during each period (if a circle is used, this can be done either in the circle or around the edge). Segments of a circle can be shaded to give a clear visual representation of how periods of time are used. If the *Daily Schedule* is done as a *Time Line*, write above or below the line. In a variation, women's schedules can appear above the line, and men's schedules below it.

- Participants can also be asked to highlight in some way the most important actions or jobs undertaken in a day.

- Participants can also draw a second *Daily Schedule* illustrating how their partner or someone else in their household normally spends the day, or they can complete a second schedule for a different season or a different point in time – for example, ten years ago to examine environmental degradation.

- All participants then discuss similarities and differences in their schedules. They can also explore whether the tasks they have described have changed over time. When do people feel they are busiest? What can People do to manage their workloads

differently? They may want to discuss how new tasks or demands on people's time will affect their workloads.

➢ Additional discussion questions may include:

- Which is the most difficult task of the day?
- What would you prefer to do if you did not have to do 'x' task?
- What measures have you taken to improve your situation? Is your family helping? If so, how?
- Do you think that the compensation you receive for your work is sufficient? If yes, why? If not, why not?
- What task would you like your partner to help you with?

➢ It is important to remember that people often conduct many different tasks simultaneously (especially women), such as child care and harvesting.

EXAMPLE:

## Daily Schedule of schoolchildren

**Daily Schedule of school children for girls**

| 5.00hr | 6.00hr | 7.00hr | 8.00hr | 9.00hr | 10.00hr | 11.00hr | 12.00hr | 13.00hr | 14.00hr | 15.00hr | 16.00hr | 17.00hr | 18.00hr | 19.00hr | 20.00hr | 21.00hr |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| I fetch water | | I leave for school | I'm in class | | | | Play during recreation | In class | I eat | I return home | | I prepare food | I eat | I study | I sleep | |

**Daily Schedule of school children for boys**

| | 6.00hr | 7.00hr | 8.00hr | 9.00hr | 10.00hr | 11.00hr | 12.00hr | 13.00hr | 14.00hr | 15.00hr | 16.00hr | 17.00hr | 18.00hr | 19.00hr | 20.00hr | 21.00hr | 22.00hr |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| I leave for school | I wash myself<br>I eat breakfast<br>I wash the floor<br>I fetch water<br>I attach goat | | I'm at school | | | | I eat | School | | School ends | I work in the fields | | | I eat | I play or sit outside | I study | I sleep |

This *Daily Schedule* shows the different use of time between school-age girls and boys. For example, the girls wake up and start working an hour earlier than the boys, while the boys go to sleep later. After spending the morning hours together in school, the girls have lunch an hour and a half after their male schoolmates do.

To someone planning a school environmental activity, this information shows clearly that if it were organized at lunchtime, the female students would find it difficult to participate.

**Tool Name** **9. Wealth or Well-being Ranking**

**Description**

The purpose of this exercise is to get an understanding of local perceptions of the different wealth groups within a community and place every household in one of these groups.

**Possible Applications**

- ❑ Help to understand who is poor, and in what way they are poor, and suggest ways in which they can improve their situation (in targeting). *Wealth or Well-being Ranking* helps to identify marginalized, excluded groups.
- ❑ Assess food needs.
- ❑ Compare changes over time (monitoring and evaluation).

**What You Need**

A group of people who have lived in the community for a long time and form a representative sample of that community in terms of age, gender and socio-economic status. If the number of households is too high (over 100) to be ranked by one group, or if the participants only know their own neighbourhood, several groups may be necessary.

- One facilitator for each group.
- Set of sheets of paper or cards upon which household names can be written.

**How to Use**

- Describe the purpose of the *Wealth* or *Well-being Ranking*. If Community Mapping has been done, the map can be used to discuss the different areas in which people live, relative to their wealth or well-being.

- Discuss and come to an agreement on a common definition of what a household is within the community.

- Draw up a list of all households with the participants. Write the name of each household on a separate card or piece of paper.

- Split the participants into groups if necessary, and ask each group to conduct the exercise individually. If working with three to five people, do the exercise individually.

- Ask each group/participant to take cards, one by one, and to form piles representing the different levels of wealth/well-being. The group/participant decides on the number of piles. (If any of those taking part cannot read, the facilitator can read out the names written on each card while the participants allocate each household to a pile.)

- Once the card sorting is completed, read off the cards in each pile and allow the participants to make corrections if they wish to do so.

- Then discuss with participants why they have put particular households in particular piles. This will give a good understanding and description of the different social strata in the community.

- Record the results, i.e. the indicators of wealth suggested by the participants in each group and the names of the households in each group.

- You might finish off by producing a simple graph of well-being and wealth for the community, and comparing this with the normal "curve" found in most communities: some very poor households, most households falling somewhere in the middle, and some rich.

EXAMPLE:

**Wealth or Well-being Ranking conducted in the Sudan**

Three key informants were asked to name all the household heads residing in the community. The name of each was written on a separate piece of paper.

The *Wealth or Well-being Ranking* was then conducted for the (50) households.

The first informant was wealthy. He began with five piles, but after allocating the 50 cards he divided the pile for the richest into two, and described the separate characteristics of the two. Finally, he created an extra category for the very poorest, leaving seven piles in all.

The second and third informants were both poor. Both made five piles.

The main results of the exercise were:

- All households were allocated a wealth group.
- The majority of households relied on non-farm income sources. Very few relied solely on farming. Those that did were mainly in the poorest group.
- There were some interesting comparisons to be made between the different rankings of the three informants. Differences between the two poor informants and the rich one over a few households probably reflected knowledge the rich informant had that the poor informants did not.

Source: Pretty, N. et al. 1995. *Participatory Learning and Action: A Trainer's Guide*. London. IIED Participatory Methodologies Series.

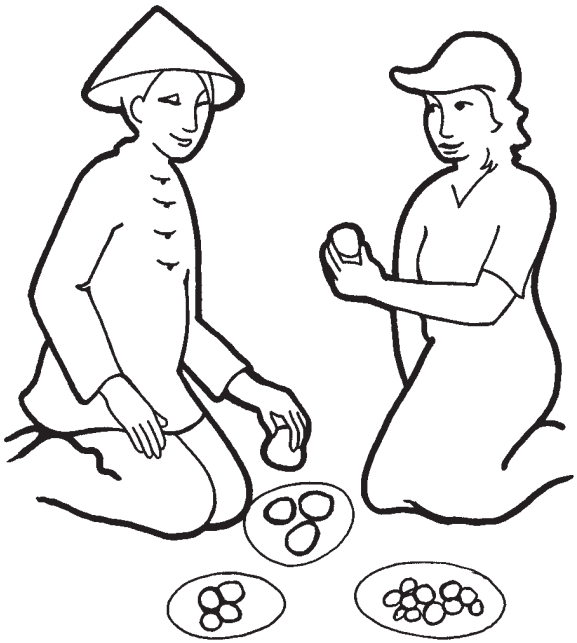
**Tool Name** **10. Proportional Piling**

**Description**

*Proportional Piling* allows people to express their perspective of quantity by piling "counters" such as stones or beans that can then be put into percentages. Pie charts, bar charts and diagrams can be used to represent the relative values obtained. These percentages are a useful means to understand how resources and roles are divided within a community.

**Possible Applications**

- ❑ Gain a quick and simple understanding of food sources before and after an emergency.



❑ Show the proportion of households in a specific area that have certain characteristics (e.g. single-parent households, landless households).

❑ Identify the relative importance of natural resources in livelihood patterns before a programme is implemented.

❑ Assess the effects or impact of a programme.

**What You Need**

- 100 beans or stones of similar size and colour.
- Local people from different socio-economic groups or different kinds of households, or a representative group of individuals, depending on the focus.

**How to Use**

➢ Explain the way the tool works with an easy example that you do yourself.

➢ Discuss and agree on the different elements that make up the total of whatever is the focus. This could be types of household in a community or types of food that people eat. Make a list of these elements and draw pictures on separate cards to represent each one.

➢ Hand over the beans/stones to the participants.

- Explain that the pile of 100 represents the total: for example, all the food they eat in a year, or all the households living in the community. Go back over the list of elements that make up the total (e.g. meat, cereal, milk) and lay down the pictures that represent these elements.

- Ask the participants to divide the total into piles, one pile for each element. All the beans/seeds must be used.

- Once the initial pile has been split up into different piles, they are counted. For example: if out of 100 beans, 35 represent the quantity of food purchased on the market, it means that this accounts for 35 percent of the source of food of the household.

- This tool can be used with both men and women separately, and the results compared.

- When the piles are completed, analyse the results with the participants. Have these proportions always been like this? Have they changed over the years? Do the proportions (especially if the focus is food) fluctuate from one season to another?

**Tool Name**

## 11. Benefits Analysis Flow Chart

**Description**

The *Benefits Analysis Flow Chart* is a matrix that shows the main beneficiaries of an activity and the community's perceptions of the benefits arising from the activity.

The chart can be modified or simplified to fit many situations.

**Possible Applications**

- ❑ Evaluate the benefits of an activity and who benefited and how (central to gender assessments).
- ❑ Understand who has access to and control over the use of the resources and the benefits to be gained from a proposed activity.
- ❑ Explore the differences between outputs and outcomes of development and protracted relief and recovery programmes.
- ❑ Identify appropriate activities to benefit poor and marginalized people, helping to ensure that the workload for a particular group does not increase as a result.
- ❑ Highlight potential conflicts when there is any change in traditional patterns, such as control of food by men rather than women, or vice versa.

❑ Understand food distribution patterns -- the *Benefits Analysis Flow Chart* can be modified and used with three categories: food assistance, food from production, and food from other sources (gifts, relatives, etc.).

**What You Need**

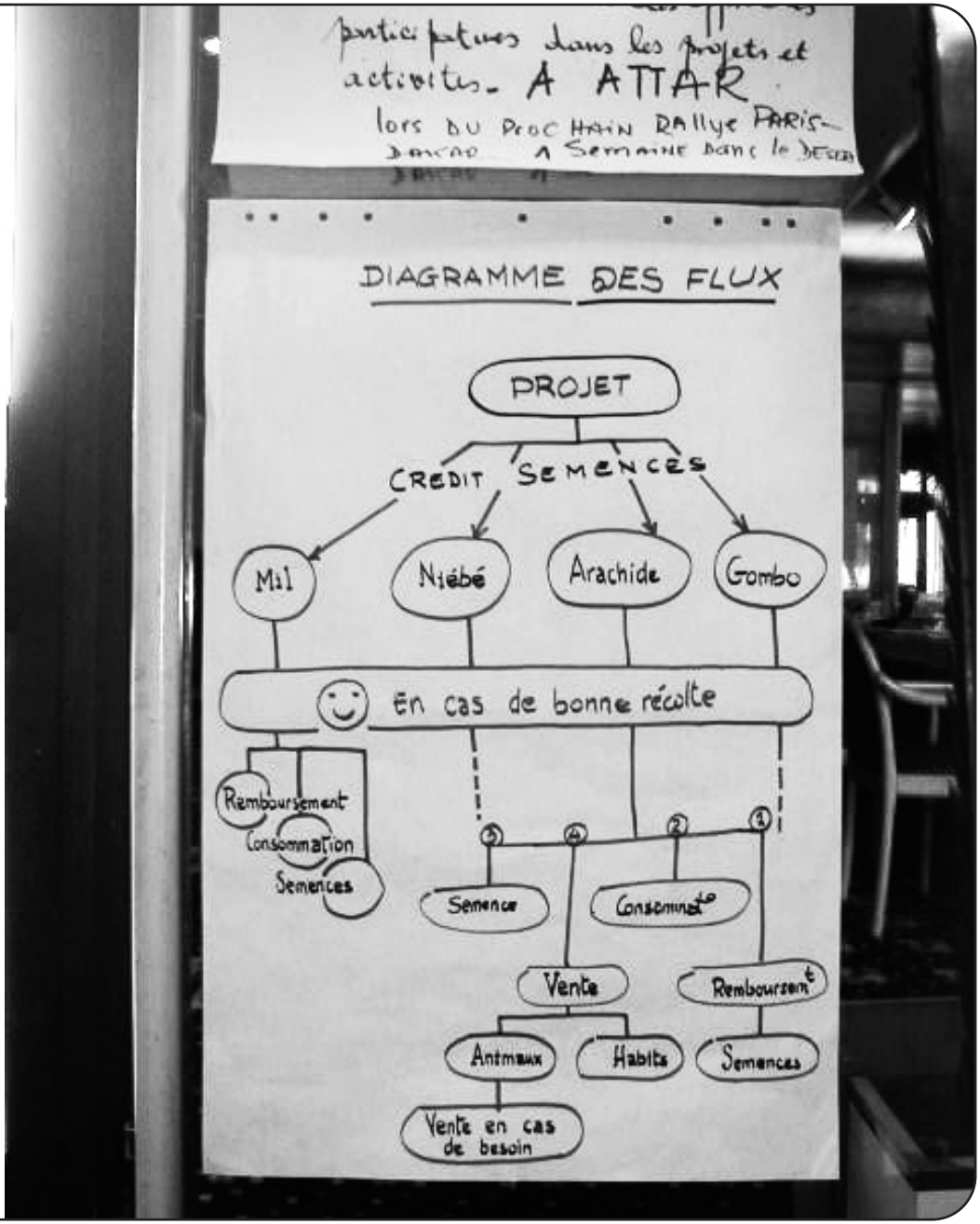
The are two main alternatives:

- Large sheets of paper, whiteboard or blackboard. At least ten cards for each group and pens, or
- For mixed literacy groups, draw the matrix on the ground, and use picture cards to identify the columns or categories.

**How to Use**

➢ First decide what activities or intervention are to be analysed. If the group is large split it into smaller mixed groups so that each can work separately on its own matrix.

➢ Ask the participants to list all the "benefits" they can identify that have arisen, or could arise, from a particular activity. (For example, for the establishment of a community woodlot the benefits could include timber, fuelwood, other forest products, animals to hunt, grazing, food received for work, training and community solidarity. For an emergency distribution, participants might identify benefits such as food, preservation of assets, better health,


participatives dans les projets et
activités. A ATTAR
lors du prochain Rallye Paris-
DIAGRAMME DES FLUX
PROJET
CREDIT SEMENCES
Mil
Niébé
Arachide
Gombo
En cas de bonne récolte
Remboursement
Consommation
Semences
Semence
Vente
Antmaux
Habits
Vente en cas de besoin
Remboursemt
Semences

the development of skills and rebuilding community solidarity.)

- Ask them to draw each benefit identified on a separate card (as a picture or by writing the words).

- Draw a matrix (on the large sheet of paper, or some alternative) with columns, as shown in the example. The questions or topics in the columns will depend on the purpose of the exercise.

- The benefit cards are placed in the left-hand boxes of the matrix to make up the vertical axis.

- Work across the matrix for each benefit under each column heading.

- Ask the group to reflect on the outcome of the matrix. This can open up discussion about issues such as power relations and/or access to and control of resources.

EXAMPLE:

**Exploring the role of the Relief Committees within a community**

| Benefits of Relief Committees | What do Relief Committees do? What is your job? | Who is involved? | Who decides? How are you elected? | Who is the most influential? |
|---|---|---|---|---|
| *More people get food, which gives the following benefits:<br><br>*No beating of young girls to make them work in the refugee camp<br><br>*No longer any need to chop wood for fuel and destroy our environment to buy food | *Food delivered, check way-bill<br><br>*Ensure food is put in secure place<br><br>*Pass on information and determine the capacity to do the distribution<br><br>*Divide ourselves to count bags and monitor<br><br>*Elect community people to scoop on distribution days<br><br>*Monitor scooping<br><br>*Report on all problems to the Chief | *Religious leaders<br><br>*Chief<br><br>*LWF<br><br>*WFP<br><br>*Relief Committee (RC)<br><br>*Community<br><br>*DO, DC, MP | *First, WFP comes and tells us that we can have a local distribution. They have said what the composition of the RC should be<br><br>*We elect the RC in a general assembly election | *The influence of the government in the RCs is very strong. Only the most influential in the community stand for election, and thus the RCs very much reflect the current political situation |

The basic Benefits Analysis Flow Chart was successfully modified to help analyse the role of the Relief Committees (RCs) in an emergency food distribution. It was combined with a Rating to determine the influence of those involved in food management. The matrix gave a good understanding of how the RCs operated, together with their political base.

**Tool Name** **12. Rating**

**Description**

The *Rating* tool assigns a relative value, rank or position to a number of elements (e.g. different stakeholder groups or functions). In establishing ratings, priorities and the reasons for the priorities can be discussed, established and compared over time. In some modifications, the elements are sorted into pre-assigned values.

**Possible Applications**

- ❑ Order priorities
- ❑ Improve decision-making capacity
- ❑ Encourage discussion

**What You Need**

Pictures representing ratings adapted to the local culture. These could be stars (large, medium and small) or ratings adapted to local symbols, such as a glass that is overflowing, empty or half-full.

Cards either with drawings of the elements to be rated, or their names written on them, and some blank cards for any other elements suggested during the exercise.

**How to Use**

- ➢ Lay the symbols of ratings on the ground in order of decreasing size/value and explain what they mean. The symbols can correspond

to "very good/average/poor" or "very important/important/not important", depending on the type of issue examined.

➢ Describe and explain the meaning of the pictures on the cards.

➢ Ask the group to discuss each element card and explore how it should be rated. When participants generally agree on the rating, the card is placed underneath the rating chosen, and the reasons noted.

➢ End the exercise with a brief review of the ratings, some of the issues raised and possible solutions.

EXAMPLE:

**Rating of key stakeholder groups and functions**

Three stars (large, medium and small) were used to rate the performance of a community group responsible for food management and distribution.

Elements to rate: 

- The key stakeholder groups: for example, community leader, committee members, community members, food monitors and labourers.
- The key stakeholder group functions: for example, management, financial and administrative.

The participants were asked to comment on and rate these elements, based on the effectiveness of each key stakeholder group and its functions.

**Tool Name**

## 13. Access to and Control of Resources/Assets

**Description**

This tool identifies the different assets or resources that men and women have access to and control over.

There are two ways of using the tool. In the *picture card* version, the assets/resources available in the community or to a household are drawn on cards and put next to one of three large pictures of women, men, or men and women together, depending on who has access to and/or control over the resources. As this version is based on pictures and discussion, it is appropriate for participants with low levels of literacy.

In the *matrix* version, the same information is written into a matrix format.

**Possible Applications**

- ❑ Identify assets and resources and select activities to which poor people have access.
- ❑ Monitor whether assets and resources are owned or being used by beneficiaries.
- ❑ Understand the division of labour, cultural norms and power relations within households and communities.
- ❑ Design programmes activities which avoid causing tension over access to resources or

to reduce existing tensions and potential conflict.

**What You Need**

*Picture card version:* drawings for each of the identified groups (for example, three cards – one with men, one with women and one with both men and women; alternatively, the three cards could be for rich, average and poor households, or urban, peri-urban and rural households.); pens, and blank smaller cards in two colours, or two sizes, or two shapes.

*Matrix version:* large sheet of paper, marker pen.

**How to Use**

- Introduce the tool and its purpose: to understand the different ways that different groups use resources.
- For larger groups, divide the participants into groups of six to ten. Consider breaking them into groups of men and women or putting them into different socio-economic groups in order to explore whether perceptions regarding access and control are different amongst different groups.
- With participants, decide on the focus of the exercise. It may be to explore household assets or community resources/assets (private or commonly held), or both.

➢ Ask participants to identify all assets and possessions that are important to a household (e.g. land, bicycle, chickens, plough, currency, jewellery, water pots), or ask them to identify all the resources/assets that are important to the community (e.g. forests, water).

*For the picture card version:*

➢ Make two cards for each asset/resource, each a different colour, representing it by a picture and/or words. One set of coloured cards will be used to indicate **control**, and the other set will indicate **access** to resources/assets.

➢ Some cards can be prepared ahead of time, but always have blanks available for resources/assets identified by participants during the exercise.

➢ Discuss the three large "category cards" (for example, of women, men, and women and men) and place them where they can be easily seen and used.

➢ Clarify with the group the difference between:

***Control*** - who owns the resource/asset, who decides how it is used, and who decides who uses it, and
***Access*** - who uses and benefits from the resource/asset.

- Ask participants to choose one of the coloured sets of the smaller (resource/asset) cards. This colour of card will relate to access to resource/assets.

- After discussion, place each resource/asset card below the category cards. For example, for a resource/asset such as water pots that only women use, the card is placed below the figure of the woman. If both men and women use the resource, such as land, place the card below the picture of the two figures together.

- Take the other coloured set of resource/asset cards **(control)** and place them under one of the three large drawings according to who has control over the asset/resource. This may or may not be the same as the person or people who use the resource.

*For the matrix version:*

- Write all the identified assets/resources on the vertical axis of a table drawn on the large sheet of paper.

- Along the horizontal axis, divide the matrix into two to indicate who has use of the assets/resources and who has control over them. Then divide each of these two columns into two more columns, with the headings "Men's view" and "Women's view"; split these into three further columns, with the headings "Men", "Women", and "Men & Women" (see example).

➢Clarify with the group the difference between control (who owns the asset/resource, who decides how it is used, who decides who uses it) and access (who uses it).

➢ Go through the assets/resources listed down the left-hand side of the matrix and indicate, for each one, who has use of and control over it by placing a star in the appropriate column.

*For both versions:*

➢ Once each group has finished, invite the groups to look at each other's results and discuss any differences. Are assumptions being made about who controls certain assets/resources? Does everyone feel it is an accurate report of the situation? Is there a general consensus between groups? If not, why not? Why did they make the choices they did?

➢ Try to draw some reflective conclusion from the group about these patterns. Was it difficult to identify who controls the assets/resources? Was anyone surprised by what emerged? Is there an imbalance between rich and poor, or men and women? Why might that be?

➢ To end the exercise, ask participants to choose the three most interesting findings from this exercise.

EXAMPLE:

**Access to resources for programme activity selection**

In the Gambia, rice is cultivated on the river floodplain. This work is carried out by women. Extension workers in the area were keen to offer improved technology to the women who work in the fields.

The *Access to and Control of Resources/Assets* tool was used with a mixed group in one of the communities. First, they identified all existing resources related to rice cultivation. To these, the participating extension workers added the technological resources they had proposed.

All resources were then represented by drawings on cards. In allocating the cards to "who used them" and "who controlled them", it became apparent that the men held very tight control over most of the resources.

It was also found that there were strong beliefs and traditions about which tools were considered suitable and which unsuitable for women to use. It became clear that it would not be possible - in the short term - to offer certain types of improved technology to women.

As a result, the technologies were adapted to make them more suitable for women. An additional benefit was the opportunity to discuss gender roles and, in particular, women's use of resources.

## Matrix version

| **Resources and Assets** | **Access to assets/resources** Who uses them? | | | | | | **Control over assets/resources** Who decides on their use? | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Men's view | | | Women's view | | | Men's view | | | Women's view | | |
| | M | W | M+W | M | W | M+W | M | W | M+W | M | W | M+W |
| Land | X | | | | | X | X | | | | | X |
| Forest | | | X | | | X | X | | | X | | |
| Water | | | X | | | X | X | | | X | | |
| Cash money | X | | | X | | | X | | | X | | |
| Crop | X | | | X | | | X | | | X | | |
| Food | | | X | | X | | | | X | | | X |
| Farm Implements | | | X | | | X | X | | | | | X |

M: Man
W: Woman

This matrix was completed by a mixed community group of men and women when WFP was exploring problems resulting from natural resource degradation. It was apparent that although both men and women had access to the forest to collect products, only men had control over it. Discussions then took place about the value of shared control for more effective forest management.

**Tool Name**

## 14. Problems and Solutions

**Description**

This tool allows participants to identify problems and possible solutions themselves and consider their priorities and concerns. It presents sets of possible problems and solutions to "jumpstart" discussion. It highlights the fact that there are solutions to problems, and puts the latter in order of priority.

**Possible Applications**

- ❑ Raise and discuss specific issues within a community.
- ❑ Identify and rank problems and possible solutions.
- ❑ Provide a record for comparison at a later date by gauging community perceptions of a current situation. If the tool is used more than once during a programme cycle, it can monitor community needs and be a way of checking to see if problems are continually identified and ranked in the same way.
- ❑ Draw out a wide variety of solutions to a conflict situation.

**What You Need**

Prepare beforehand by making picture cards that show a range of common problems and/or potentially sensitive issues, and a good range of possible solutions. It is best to test the

cards before using them. A couple of unsuitable solutions can be useful to encourage the group to disagree with "set" solutions if they are not appropriate. Keep some blank extra cards for problems and solutions that may emerge during the discussion.

There are alternatives for using the cards:

- Two large cardboard sheets (one for problems, one for solutions) can be used, and pins or glue to fasten the picture cards.
- Two categories can be identified (Problems and Solutions) and rows made for them on the ground or on a table. The heading of the rows can be either written or in picture form. Participants put the problems and solutions in the appropriate row.

**How to Use**

➢ Introduce the tool by telling participants of your personal experience of having a problem and finding a solution. Then ask them to relate instances when they had a problem and found a good solution.

➢ Introduce the "basic set" of problem cards, one at a time, discussing each one before laying it down or pinning it to the cardboard.

➢ Involve participants in making the second cardboard sheet or other row, where they will place or pin their chosen "problems".

People should be physically involved when putting the cards on the board or in the new row and moving them around.

- Ask participants to work together to rank the problems or issues they have identified as common to them, and tell them to rearrange the cards to reflect this ranking. Decide together to deal with the three or four most important problems.

- Ask participants to identify possible solution cards that correspond to the problems. Use the blank cards for problems or solutions that had not been foreseen.

- Once the group has completed this part of the exercise, open a discussion on what can realistically be done with and without external assistance.

- To finish, ask participants to summarize conclusions and discuss solutions that they had not previously thought about that emerged during the discussion.

EXAMPLE:

**Why children drop out and reasons for lack of enrolment**

| Problems | Solutions | Implications for activities |
|---|---|---|
| Lack of latrines: sharing latrines is difficult for females around the age of puberty | Parents construct more latrines for girls.<br>(This was accepted, and parents agreed it could be done without external support and with local construction materials.) | Food activities can help with the construction of latrines |
| Nomadic way of life<br><br>Low attendance of boys because they become nomadic herd boys (some of the animals and male children are in the Sudan or Uganda)<br><br>Girls have low attendance because they have to walk a long way and are more vulnerable during these walks | Construction of dormitory facilities for children who have to come a long way, or whose households are nomadic.<br>(Parents will then leave the children in school. There are two dormitories in Turkana already, and they work well.) | Food activities can help with construction of dormitories |
| Food shortage: children have to search for food, work at home | In the more vulnerable households, food rations can be given, while developing awareness of the importance of education | School feeding programmes can be started and more vulnerable households targeted |
| Death of livestock due to prolonged drought makes people unable to afford to send children to school: girls are kept at home to do housework and mind children while mothers gather fuelwood for sale | Veterinary services for animal care suggested, as animals have died not only of drought but also disease<br><br>Food distribution to vulnerable households | The most vulnerable households are those with children not enrolled in school. The school feeding programme misses these children |
| School fees cannot be paid | Teach parents about the importance of education | Work with NGO partners on solutions |

In this example, the *Problems and Solutions* tool was used in the Turkana area of Kenya. Those who took part in the exercise belonged to the parent-teacher association of the local school.

**Tool Name**

## 15. Exploring the Decision-making Process

**Description**

This tool encourages people's participation in decision-making processes and stimulates their understanding of them by using cards to describe key decision-making points: how and when key decisions are made, and by whom.

**Possible Applications**

- ❑ Understand and ensure the representation of marginalized people in decision-making.
- ❑ Identify tensions and points for resolution.
- ❑ Design activities and monitoring and evaluation.
- ❑ Reveal changes in the decision-making processes over time (for example, to determine whether marginalized people have become more representative).

**What You Need**

Several sets of cards showing decision makers. For example: community official(s), community committee(s), a woman and a man (both local). These must be prepared beforehand. Some spare cards.

A number of smaller blank cards to show key decision points or factors. The number of cards will vary depending on the local

situation and the decision-making processes to be analysed.

If available, a board to make it easier for large groups to participate; alternatively, the exercise can be done on the ground or at a large table.

**How to Use**

- Introduce the tool by talking about how decisions are made in households, how some are the same, and how some vary. Explain how this tool will explore decision-making within a community.
- Identify actions or events that have required decisions by the community and that the community would like to discuss.
- Get agreement on which decisions have been made and in which order.
- Pass the smaller cards out to the participants, either individually or in groups, and ask them to write or draw these "decisions" on the small cards.
- Place the large cards on the ground and explain that each card represents a person or group that has influence on how decisions are made. The exercise can be simplified by reducing the number of decision-makers.

➢ Ask the participants if all of the decision-makers have been identified. Fill in gaps using the spare cards.

➢ Ask the participants to discuss who made the decisions and how they made them.

➢ Identify any others who were influential in the decision-making process but did not make decisions themselves.

➢ Initiate a free-flowing discussion about the decision-making process, touching on key issues such as:

- Is there a system in place for decision-making and who participates in it?
- Are certain groups regularly excluded?
- Who decided what was going to be done?
- Who decides how committees are formed, their composition?
- Who determined who would contribute? Who decided which assets would be constructed or rehabilitated? Who decided the timing and ration scale? How?
- How is conflict resolved?
- What types of tension/conflict are there, and what is the role of women and men in resolving them?

➢ When general agreement is reached, ask participants to place the smaller decision cards next to the matching large cards of the decision-makers. If there is no general

agreement on the matter, note the differences and go on with the exercise.

- If people are not satisfied with their role or the role of others in the decision-making process, this becomes clear. The discussion can then focus on what changes the community would like to see in decision-making processes. Gender differences and tensions that have become visible can be discussed.

**Tool Name**

## 16. Story with a Gap

**Description**

A *Story with a Gap* tells (in pictures or words) only part of a story. It may, for instance, describe the beginning and the end of a particular situation, such as how people come to a camp for refugees or internally displaced persons (IDPs) with no means of feeding their families, and later resettle in a particular area. The middle section of the story is deliberately left out. The end of the story describes the situation once the problem has been solved.

Here, the participants fill in the middle part with their own assessment of what might have to happen in order to arrive at the situation described at the end.

However, the gap can also come at the beginning or the end of the story, depending on the objective of the session. To develop an understanding of the causes of displacement, the beginning would be left out. An open ending would provide an opportunity to explore possible solutions.

*Story with a Gap* assumes some knowledge of problems and constraints faced by the community, and links well with *Time Line* (In Booklet Five).

**Possible Applications**

- ❑ Encourage thinking about transforming situations, as well as possible actions required for success (as such, it can be used for activity selection).
- ❑ Identify areas of potential conflict that may be present in moving from the present situation to an improved situation.
- ❑ Seek early solutions to potential environmental problems which may result from an operation or activity.
- ❑ Identify activities.

**What You Need**

A life-like and interesting picture of the community, organization or household at the current time, and what it might realistically be able to achieve. This story should be pre-tested. (The "story" might be about a natural hazard faced by farmers or a conflict situation affecting the community. The time period covered by the story might be several months or several years.) It can be presented either as a narrative, or as a series of pictures showing only the beginning and end of the story. If pictures are used, they will first have to be prepared and tested.

**How to Use**

- ➢ Introduce the tool by asking about stories that are told in the community, and how stories sometimes motivate and encourage

people. What do people think a story is? What is the purpose of a story?

- Present the prepared *Story with a Gap* (either in pictures or in spoken form).

- Ask participants to discuss the missing section of the story in terms of possible actions that could be undertaken to reach the ending described. Participants may also discuss the outcome in terms of any barriers to its realization. Participants may, for example, refer to the role of specific institutions and discuss what steps they feel must be taken to achieve the outcome given. What obstacles or difficulties do they foresee and what resources would be needed?

- If using picture cards, drawings can be created for the "gap", and the story laid out on the ground or a large table where all can see them.

- The same *Story with a Gap* can be done with men, with women and/or with children, and the results compared.

- Close by recognizing that the participants have created an interesting and useful "middle" to the story. The "middle" can help to identify suitable activities.

**Tool Name** **17. Pictures of Vulnerability**

**Description**

This tool is a visual type of wealth ranking. It allows people to describe elements of wealth and poverty in their community and helps them to identify vulnerable households.

**Possible Applications**

- ❑ Identify, understand and target those households which are most vulnerable.
- ❑ Monitor changes in vulnerability.

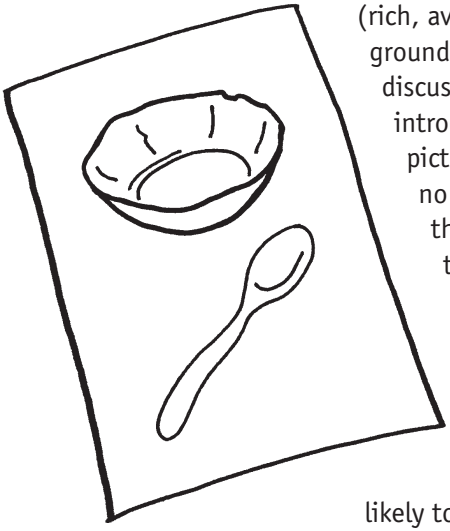
**What You Need**

A set of prepared cards:

- Three with labels/symbols (rich, average and poor).
- Four with drawings (a man, a woman, a couple and some children).
- A minimum of 15 cards with pictures of different assets, adapted to the local context (e.g. furniture, construction materials, cart, garden, chickens, goat, educational qualifications, labour, trees, fruit-trees, crops, vegetables, radio, bicycle, maize, money).
- A few blank cards.

**How to Use**

➢ Introduce the tool by discussing the importance of identifying vulnerable households in a community.



➢ Place the three labelled cards (rich, average, and poor) on the ground or table, side by side, discussing them as they are introduced. Then place the 15 picture cards on the ground, in no particular order, ensuring that all participants can see them.

➢ Encourage the participants to discuss and classify the picture cards by placing them with goods that are more likely to be possessed by "rich", "average" or "poor" people, below the most suitably labelled card.

➢ Ask participants to use the available blank cards either to draw any asset that is not already shown on the cards or to write qualities or characteristics associated with the three levels of wealth (for instance, powerlessness, sense of property, happiness).

➢ Once all the cards have been assigned to the "rich", "average" and "poor" categories, ask participants to select the three most representative assets for each level of wealth.

➢ Encourage discussion and analysis of the results, and record separately. Numbers on the 15 cards can facilitate recording.

➢ The exercise can be stopped at this stage or can continue with the gender cards.

➢ Set down the four drawings of households:

- Headed by a man alone
- Headed by a woman alone
- With a couple (a man and a woman)
- With a large number of children

➢ Lay down the 15 asset cards in no particular order and ask the participants to place the cards below these four drawings according to what they think these types of household are most likely to own.

➢ Discuss findings and ask the participants to describe a typical "vulnerable" household in their community.

**Tool Name** **18. Matrix Ranking and Scoring**

**Description**

*Matrix Ranking and Scoring* is a way to structure the perceptions and opinions of informants so that individual or group qualities can be ranked in order of importance and the reasons for this ranking discussed.

**Possible Applications**

- ❑ Visually show the relative importance that community members and households give to different issues, tasks or decisions.
- ❑ Assess sources of food and their relative importance.
- ❑ Assess the reasons for and against selecting different activities.
- ❑ Rank vulnerability of food-insecure households.

**What You Need**

Depending on the context, you might:

- Use local materials such as beans or stones.
- Require paper and pens.

**How to Use**

➢ Divide the participants into groups of four or five people.

- Explain the topic of discussion (for example, food sources).

- Ask participants to identify the five or six most important items within this topic (e.g. if food sources are chosen, these might be meat, vegetables, grains, milk/cheese and vegetables).

- Participants must then find up to ten characteristics of each item, some good and some bad. For food sources, these might be "tastes good", "requires little fuelwood", "grows in a bad year", "stores well" as good characteristics, and "expensive to buy", "needs a lot of rain" as bad characteristics.

- Turn all “negative” characteristics into “positive” ones, to have consistent terms for comparison. For example: "expensive" would become "cheap". You may sometimes be given a positive feature, "grows in bad years", and a negative feature, "needs a lot of rain", for the same item, although they are the opposite of one another. In such cases, ignore the negative feature.

- The next step is to draw the matrix itself, with items on the horizontal axis and characteristics on the vertical one.

- Give each participant a number of stones as counters, equal to the number of boxes in the matrix. All then use their stones or beans to vote. Each participant goes down

each column of the matrix, putting counters in each box. The stronger the characteristic of a particular item, the more votes it gets. Alternatively, people can tick the box with a pen.

- After discussion, participants may jointly change the way the votes have been distributed. Alternatively, each person can be limited to a number of choices or votes that cannot be changed by others.

- The exercise works best if each step is explained and completed before the next step is begun.

- Analysis of the results by the participants can show which activities are most likely to succeed.

EXAMPLE:

**Matrix comparing different types of training offered in a refugee camp**

| | Sewing | Carpets weaving | Motor mechanics | Joinery | Massage therapy | Typing | Soap making |
|---|---|---|---|---|---|---|---|
| Receipt of credit | XXX | XX | XXXXX | XXX | XXX | XXXXX | XXX |
| Bank Ioan availability | XXX | X | X | XX | X | X | XX |
| Skill required | XX | XXX | XXX | XXXX | XX | XX | X |
| Expected profit | X | X | XXX | XX | XX | XX | X |
| Financial contribution required | XXX | XXXX | XX | XX | X | X | XXXX |

The number of 'X's in each box represents the relative importance given to that item. For example, it became clear through this exercise that carpet weaving requires a significant financial contribution.

**Tool Name** | **19. Role Play**

**Description**

A *Role Play* can be either a pre-planned situation that is acted out, or a problem that people address while "pretending" to be other people. Findings are presented in a way that is entertaining and easily understood by a broad audience.

**Possible Applications**

- ❑ Identify and understand underlying tensions.
- ❑ Create awareness of a problem.
- ❑ Encourage new ideas and pass on knowledge.
- ❑ Analyse sensitive situations.

**What You Need**

People who are comfortable with *Role Plays*.

**How to Use**

- ➢ Decide with participants on a topic or issue for the *Role Play*. The topic, which may emerge from other discussions, could be an issue that participants agree needs further analysis, such as gender roles or potential environmental impacts.
- ➢ Role plays can be organized in a number of ways. Different roles can be developed with participants, then assigned or taken on by volunteers. Alternatively, a role play can be

designed for a specific purpose, and the roles are then pre-designed.

➢ In the discussion that follows the *Role Play*, ask the participants to list the key issues exposed.

EXAMPLE:

**A *Role Play* to highlight the effects of not identifying or informing key stakeholders**

In a joint forest management development activity, stakeholder roles were assigned to everyone in a group of 30, by writing roles on cards and asking participants to pick a card from a basket. Some of the roles were: community development committee members, women's committee members, nomadic herders who used the grazing land of the community, adjacent community members who used common grazing lands, and all those who used the forest, such as fuelwood collectors, medicinal plant collectors and mushroom collectors.

Some of the cards were arbitrarily assigned a seat on the (role play) joint forest management planning team. These people were seated in a circle in the centre of a room, far enough away from the others to ensure that what they said could not be overheard. They began to plan. After some time, those who were not invited to be part of the team staged a spontaneous demonstration outside the planning circle, asking to be informed about what was being planned.

The lessons for participatory planning from this *Role Play* were easily identified by participants: **identify** key stakeholders, **invite** key stakeholders, **involve** those who are invited, and **inform** those stakeholders not invited.

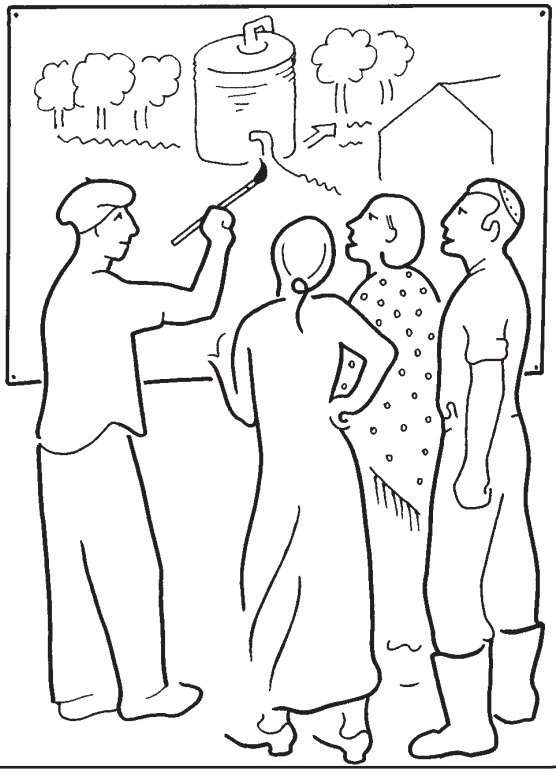
**Tool Name**

## 20. Murals and Posters

**Description**

The aim of *Murals and Posters* is to record and present community/group problems, decisions and plans so that they are constantly visible. The tool provides visual connectors between identified problems, decisions and plans and the community/group.

*Murals and Posters* are designed by the community, drawn by a local artist and located where members of the community can easily see them.



**Possible Applications**

- ❑ Develop community-directed activities. When community groups make murals and posters, they produce a public statement that presents their decisions and plans. By making their decisions and plans visible to all, accountability and "trustworthiness" are built.
- ❑ Monitor and evaluate. The murals and posters can be a representation of activities, and thus serve as a visual goal statement against which success can be monitored.
- ❑ Create a visual promise to the community (extremely useful in areas where literacy is low).
- ❑ Raise community awareness on a topic.

**What You Need**

A local artist, paint, drawing material (pencils, chalk), a poster or mural surface. Materials should be of high durability.

**How to Use**

- ➢ First, hold a collective discussion on what theme should be illustrated. This is necessary so that the artist can be given some clear instructions on how to express the community's perceptions.
- ➢ Assign responsibility to one or several community members to gather information and obtain "validation" from the rest of the community that this theme is representative. This can be a draft drawing for comment.

- This community group then chooses and agrees on the content, presentation and location of the murals, especially if they are displayed in public.

- Find a local artist who understands the objectives of the exercise and the community-directed process. The community group guides and directs the artist at all stages of production.

- Carry out a series of "painting sessions". While the whole community or group can be physically present and actively participate in giving feedback to the artist, concrete directions may have to be given through the responsible community group.

- Encourage discussion of the mural(s) and/or posters and celebrate their completion with a formal "unveiling".

**Tool Name** | **21. Drama and Puppet Theatre**

**Description**

In *drama*, community members themselves are the script-writers and the actors. The same applies to puppet theatre, where puppets are used in place of actors to represent the characters in the script.

As a presentation tool, drama and theatre performances usually follow a previous phase in which a problematic issue has been discussed and analysed.

**Possible Applications**

- ❑ Voice local views and promote discussion of them.
- ❑ Build confidence and general approval around decisions.
- ❑ Present information and/or community views to a wider audience.
- ❑ Identify tensions, sensitive situations, and/or the gender relationships.
- ❑ Motivate and mobilize the community around community-directed activities.

**What You Need**

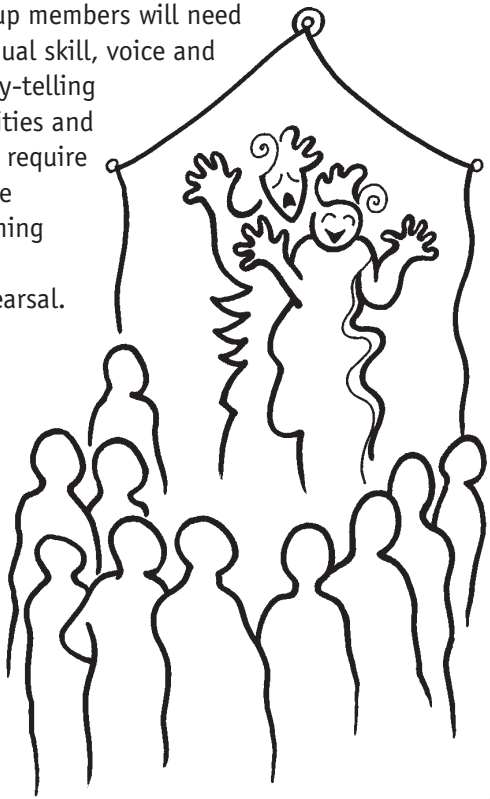
*Drama:* a facilitator, a group of community members willing to act, a script, costumes.

*Puppet theatre:* puppets and a stage (preferably made with local materials – gourds can be used for puppet heads, stages can be made of local cloth and scrap wood; otherwise, materials can be purchased).

Trained puppeteers or lots of practice!

**How to Use**

- For *drama*, form a group of community members willing to be the actors.
- For *puppet theatre*, form a puppet group. Group members will need manual skill, voice and story-telling abilities and may require some training and rehearsal.



- Build a story on the results of the analysis to be presented. Do this by jointly writing a dialogue or by incorporating ideas into an existing narrative for a drama. The community organization and the actors must work closely to ensure that the acted-out scenes represent the group's perceptions. The facilitator must be aware of the need to ensure that marginal views also find a voice in community representations.

- The story can now be shown to other community members, decision-makers and/or other interested parties.

- After each performance, or even during it, encourage the audience to comment on possible solutions and express their reactions and perceptions.


**STRATEGY AND POLICY DIVISION**

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