Integrated Conservation and Development

A TRAINER'S MANUAL

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WWF
Publication of this manual has been made possible through financial assistance from OFID and KEME, UK.

Layout and Illustrations by Tanta Sarody.
# Contents

## 1. Introduction

<table>
<thead>
<tr>
<th>Preface</th>
<th>1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acknowledgments</td>
<td>2</td>
</tr>
<tr>
<td>Integrated Conservation and Development: An Overview</td>
<td>4</td>
</tr>
<tr>
<td>Purpose of this Manual</td>
<td>8</td>
</tr>
<tr>
<td>Overview of the Manual</td>
<td>9</td>
</tr>
</tbody>
</table>

## 2. Planning and Implementing a Training Workshop

| A Model for Designing Effective Training      | 11 |
| Designing a Workshop Using this Manual       | 15 |
| Workshop Set-up                               | 17 |
| Facilitation Hints                            | 19 |

## 3. Basic Elements of a Training Workshop

| Introductions                                 | 23 |
| Expectations                                  | 26 |
| Setting Group Norms                           | 27 |
| Workshop Objectives and Overview              | 29 |
| Feedback                                      | 33 |
| Workshop Evaluation                           | 36 |
## Contents

4. **Integrated Conservation and Development:**
   Components and Issues

<table>
<thead>
<tr>
<th>Topic</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fundamentals of Integrated Conservation and Development</td>
<td>43</td>
</tr>
<tr>
<td>&quot;Experiencing Change&quot;</td>
<td>44</td>
</tr>
<tr>
<td>Biodiversity Conservation: What and Why</td>
<td>46</td>
</tr>
<tr>
<td>Community participation in Conservation</td>
<td>48</td>
</tr>
<tr>
<td>Biodiversity Conservation: Trends and Models</td>
<td>50</td>
</tr>
<tr>
<td>Integrated Conservation and Development: Perceptions and Assumptions</td>
<td>55</td>
</tr>
<tr>
<td>Working with Local Communities</td>
<td>57</td>
</tr>
<tr>
<td>&quot;The Box&quot;</td>
<td>58</td>
</tr>
<tr>
<td>What is ‘Participation’?</td>
<td>61</td>
</tr>
<tr>
<td>Attributes for Effective Participation</td>
<td>71</td>
</tr>
<tr>
<td>Community Diversity</td>
<td>75</td>
</tr>
<tr>
<td>Gender and Conservation</td>
<td>78</td>
</tr>
<tr>
<td>Working with People: What if?</td>
<td>80</td>
</tr>
<tr>
<td>Traditional Knowledge, Practices and Values</td>
<td>83</td>
</tr>
<tr>
<td>‘Paper Bag’</td>
<td>84</td>
</tr>
<tr>
<td>Community Beliefs and Value Systems</td>
<td>86</td>
</tr>
<tr>
<td>Pictures of Traditional Knowledge</td>
<td>88</td>
</tr>
<tr>
<td>Working with Traditional Knowledge</td>
<td>90</td>
</tr>
<tr>
<td>Policy and Legislation</td>
<td>93</td>
</tr>
<tr>
<td>Tenure and Biodiversity Conservation</td>
<td>94</td>
</tr>
<tr>
<td>Conservation Policies and Legislation: Impacts on ICDPs</td>
<td>97</td>
</tr>
<tr>
<td>The Enabling Environment: Wider Policies and ICDPs</td>
<td>99</td>
</tr>
</tbody>
</table>
Contents

Conservation and Development Linkages .............................................................. 102
Costs and Benefits of Conservation................................................................. 103
Conservation and Development Linkages......................................................... 106
Conservation Incentives........................................................................................ 111
Developing Livelihood Strategies........................................................................ 116
Generating Income and Conserving Resources................................................... 119

Conflicts and Conflict Management..................................................................... 122
"Chairs".................................................................................................................. 123
Conflicts: What and Where................................................................................... 126
Managing Conflict: A Process.............................................................................. 130

Partnerships for Conservation and Development............................................... 135
"House of Dreams"............................................................................................... 136
Partnerships: Who and Why................................................................................ 139
Partnerships for Conservation.............................................................................. 143
Collaborative Management: Approaches, Constraints and Opportunities.............. 149
Collaborative Management of Resources: A Process.......................................... 153
ICDP "Lessons"...................................................................................................... 156
Integrated Conservation & Development:
What, Where, Who and Whither......................................................................... 160
Contents

5. Participatory Planning, Monitoring and Evaluation for Integrated Conservation and Development

Participatory Planning........................................................................................................... 163
“Straws and Pins”................................................................................................................... 164
“Common Ground”................................................................................................................. 167
“If...Then”.............................................................................................................................. 169
Introduction to Planning for ICDPs........................................................................................ 171
Stakeholder Identification and Analysis.................................................................................. 175
Stakeholder Analysis: Problems and Potentials................................................................. 178
Mapping Stakeholder Relations............................................................................................... 181
Participatory Problem Analysis: Searching for Root Causes.............................................. 185
Project Mapping I: Objectives Setting.................................................................................... 189
Project Mapping II: Identifying External Factors................................................................. 194
Project Mapping III: Selecting & Developing a Strategy...................................................... 199
SWOT Analysis....................................................................................................................... 205

Participatory Monitoring and Evaluation.............................................................................. 211
Everyday Monitoring................................................................................................................. 212
Selecting Indicators.................................................................................................................. 215
Developing a Participatory Monitoring Plan......................................................................... 223
Experiencing Evaluation......................................................................................................... 226
Evaluation Basics.................................................................................................................... 229
“Designing a Tree”.................................................................................................................. 231

Participatory Methods and Tools for Information Collection and Analysis....................... 235
"Empty Your Pockets".............................................................................................................. 236
“Group Resume”..................................................................................................................... 239
Framework for Participatory Information Collection............................................................ 240
Toolshops................................................................................................................................ 245
Participatory Mapping and GIS............................................................................................. 253
<table>
<thead>
<tr>
<th></th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Suggested Norms</td>
<td>28</td>
</tr>
<tr>
<td>2</td>
<td>Principles of Adult Learning</td>
<td>31</td>
</tr>
<tr>
<td>3</td>
<td>Activities Continuum</td>
<td>32</td>
</tr>
<tr>
<td>4</td>
<td>Sample Final Evaluation</td>
<td>41</td>
</tr>
<tr>
<td>5</td>
<td>Proposed Definitions of Protected Areas</td>
<td>53</td>
</tr>
<tr>
<td>6</td>
<td>Protected Areas Timeline</td>
<td>54</td>
</tr>
<tr>
<td>7</td>
<td>Continuum of Participation</td>
<td>64</td>
</tr>
<tr>
<td>8</td>
<td>Caselette: Amboseli National Park, Kenya</td>
<td>65</td>
</tr>
<tr>
<td>9</td>
<td>Caselette: Grass Collection in Royal Chitwan National Park, Nepal</td>
<td>67</td>
</tr>
<tr>
<td>10</td>
<td>Caselette: Coastal Resource Conservation, Thailand</td>
<td>69</td>
</tr>
<tr>
<td>11</td>
<td>Attributes for Effective Participation</td>
<td>74</td>
</tr>
<tr>
<td>12</td>
<td>Sample Development Activities</td>
<td>109</td>
</tr>
<tr>
<td>13</td>
<td>C &amp; D Preconditions and Assumptions</td>
<td>110</td>
</tr>
<tr>
<td>14</td>
<td>Guidelines for Developing Caselettes on Conservation Incentives &amp; Disincentives</td>
<td>114</td>
</tr>
<tr>
<td>15</td>
<td>Definitions of Conservation Incentives &amp; Disincentives</td>
<td>115</td>
</tr>
<tr>
<td>16</td>
<td>Sample Conflict Matrix</td>
<td>129</td>
</tr>
<tr>
<td>17</td>
<td>Approaches to Conflict Management</td>
<td>132</td>
</tr>
<tr>
<td>18</td>
<td>Steps in Conflict Management</td>
<td>133</td>
</tr>
<tr>
<td>19</td>
<td>Conditions for Negotiation/Mediation</td>
<td>134</td>
</tr>
<tr>
<td>20</td>
<td>Observer Guidelines for “House of Dreams”</td>
<td>138</td>
</tr>
<tr>
<td>21</td>
<td>Types of Partnerships</td>
<td>142</td>
</tr>
<tr>
<td>22</td>
<td>Scenario for Partnerships Role Play</td>
<td>146</td>
</tr>
<tr>
<td>23</td>
<td>Proposed Roles</td>
<td>147</td>
</tr>
<tr>
<td>24</td>
<td>Continuum of Co-Management</td>
<td>152</td>
</tr>
<tr>
<td>25</td>
<td>Steps in Collaborative Management Process</td>
<td>155</td>
</tr>
<tr>
<td>26</td>
<td>ICDP “Lessons”</td>
<td>159</td>
</tr>
<tr>
<td>27</td>
<td>Observer Guidelines for “Straws &amp; Pins”</td>
<td>166</td>
</tr>
<tr>
<td>28</td>
<td>Action Planning Model</td>
<td>174</td>
</tr>
<tr>
<td>29</td>
<td>Sample Stakeholder Map</td>
<td>184</td>
</tr>
<tr>
<td>30</td>
<td>Sample Problem Tree</td>
<td>188</td>
</tr>
<tr>
<td></td>
<td>Title</td>
<td>Page</td>
</tr>
<tr>
<td>---</td>
<td>----------------------------------------------------------------------</td>
<td>------</td>
</tr>
<tr>
<td>31</td>
<td>Sample Project Map I</td>
<td>192</td>
</tr>
<tr>
<td>32</td>
<td>Means..... End Relationship (If...Then)</td>
<td>193</td>
</tr>
<tr>
<td>33</td>
<td>Identifying Assumptions (If....And....Then)</td>
<td>197</td>
</tr>
<tr>
<td>34</td>
<td>Sample Project Map II</td>
<td>198</td>
</tr>
<tr>
<td>35</td>
<td>Hierarchy of Objectives or Intervention Logic</td>
<td>202</td>
</tr>
<tr>
<td>36</td>
<td>Sample Project Map III</td>
<td>203</td>
</tr>
<tr>
<td>37</td>
<td>Sustainability Questions</td>
<td>204</td>
</tr>
<tr>
<td>38</td>
<td>Basic Questions &amp; Consequences</td>
<td>208</td>
</tr>
<tr>
<td>39</td>
<td>SWOT Strategies Worksheet</td>
<td>209</td>
</tr>
<tr>
<td>40</td>
<td>SWOT Definitions</td>
<td>210</td>
</tr>
<tr>
<td>41</td>
<td>Project Monitoring</td>
<td>214</td>
</tr>
<tr>
<td>42</td>
<td>Indicators</td>
<td>218</td>
</tr>
<tr>
<td>43</td>
<td>Types of Indicators</td>
<td>219</td>
</tr>
<tr>
<td>44</td>
<td>Hypothetical Case for Selecting Indicators</td>
<td>221</td>
</tr>
<tr>
<td>45</td>
<td>Participatory Monitoring Worksheet</td>
<td>225</td>
</tr>
<tr>
<td>46</td>
<td>Project Evaluation</td>
<td>228</td>
</tr>
<tr>
<td>47</td>
<td>Checklist of Key Points for PM&amp;E</td>
<td>230</td>
</tr>
<tr>
<td>48</td>
<td>Evaluation Sheet</td>
<td>234</td>
</tr>
<tr>
<td>49</td>
<td>Instructions for Role Play</td>
<td>238</td>
</tr>
<tr>
<td>50</td>
<td>Enquiry-Reflection-Action</td>
<td>243</td>
</tr>
<tr>
<td>51</td>
<td>A Framework for Information Collection</td>
<td>244</td>
</tr>
<tr>
<td>52</td>
<td>Advantages and Limitations of PRA</td>
<td>248</td>
</tr>
<tr>
<td>53</td>
<td>Principles of PRA</td>
<td>249</td>
</tr>
<tr>
<td>54</td>
<td>Participatory Mapping Toolshop</td>
<td>250</td>
</tr>
<tr>
<td>55</td>
<td>Participatory Transect Toolshop</td>
<td>251</td>
</tr>
<tr>
<td>56</td>
<td>Ranking and Scoring Toolshop</td>
<td>252</td>
</tr>
<tr>
<td>57</td>
<td>Participatory Protected Area Planning</td>
<td>256</td>
</tr>
<tr>
<td>58</td>
<td>Developing Overlay Maps</td>
<td>258</td>
</tr>
</tbody>
</table>
Introduction
This trainer's manual has been developed through the Integrated Conservation and Development Training Programme, an initiative funded by WWF UK and the UK DfID. As part of this training programme, a series of three regional workshops on Integrated Conservation and Development, bringing together trainees and resource people from 14 countries in the Asia/Pacific region, were held in Thailand, Nepal and the Philippines between December 1995 and November 1996. Following these workshops, two other regional workshops on Participatory Management of Protected Areas were held at the Regional Community Forestry Training Center in Bangkok, Thailand in February-March 1997 and 1998. This manual is a compilation of key training sessions developed for and carried out during these workshops.

Most of the training sessions in the manual have been “field tested” in many different situations and different countries and by many different people. Feedback from users has helped to update and improve the manual.
Acknowledgements

This manual would never have been possible without the creative efforts of a remarkable group of people who contributed enormously (without ever losing their sense of humour) to the ICDP Training Programme. Paul Chatterton, Gregory Ira, Timothy Jessup, Patty Larson, Kathy Means and B.M.S. Rathore helped develop and implement many of the training activities contained in the manual. Special thanks also to Indra Tiwari, Program Officer with the Training Programme who uncomplainingly dealt with endless drafts of the manual. The outstanding design and artwork is thanks to the exceptional talents and vision of Tania Sarony who worked closely with us throughout the long gestation of the manual.

Another equally exceptional group of people who contributed to the high quality of the training programme and the outputs contained here were the long-term participants and resource people of the ICDP Training Programme, both at the regional, sub-regional and national workshops. For their support and help, we would like to thank: Ejaz Ahmad, Luz Teresa Baskiñas, Shiv Raj Bhatta, Seri Hite, Xu Jianchu, Rosario Jiminez, Sukianto Lusli, James MacNeil, Robert Mather, Frank Noij, Ugen Norbu, Sanjeeva Pandey, Bouaphanh Phantavong, Dwi Pramudyo, Joseph Regis, Changjin Sun, Seri Thongmak, Krishna Prasad Woli, Deki Yonten, and Lü Zhi.

Lydia Braakman and Bob Fisher from the Regional Community Forestry Training Center in Bangkok contributed to this effort by giving me the opportunity to “test” much of this material at their own international training courses in Participatory Protected Area Management. They also provided a lot of useful feedback and inputs that have been incorporated into the training sessions. We would also like to acknowledge the many participants of the RECOFTC workshops for their direct and indirect contributions to the contents of this manual.

We would also like to thank the people and institutions who helped us during the workshops in their countries. They went out of their way to
assist us and to share their knowledge and experiences with the group, making an invaluable contribution to the overall learning experience. They are: Alberto de la Paz from the Population and Community Development Association in Bangkok, Thailand; Siddhartha Bajracharya from the King Mahendra Trust for Nature Conservation and the staff of the Annapurna Conservation Area Project at Pokhara and Lwang, Nepal; Dibya Gurung from UNICEF, Pokhara, Nepal; Orlando Ravanera, Nonoy Zerrudo, and Lolong Magallanes from the Center for Alternative Rural Technology, Cagayan de Oro City, Philippines; Connie del Castillo and Gladys Buenavista from Sustainable Agriculture and Natural Resources Management Collaborative Research Support Program, Bukidnon, Philippines; Easterluna Canoy from Kitanglad Integrated NGOs, Cagayan de Oro City, Philippines; Marvelisa Carmona from Haribon, Iligan City, Philippines; and Felix Mirasol and the DENR staff of Mt. Kitanglad National Park, Bukidnon, Philippines, and the staff of the International Institute of Rural Reconstruction, Cavite, Philippines.

Whenever we went into the field, we were warmly welcomed by the local communities who spent time interacting with, feeding and entertaining such a large group of strangers. For sharing their knowledge, experiences and time with us, we would like to thank the communities of Sup Tai in Thailand, Lwang in Nepal and San Vicente in the Philippines.

Finally, we would like to thank the donors of the ICDP Training Programme, WWF UK and DFID. Their flexible and open-minded approach to this project has enabled us to follow a participatory, experiential, and process-oriented approach to developing and implementing the training programme.
Integrated Conservation and Development: An Overview

This section briefly introduces the thinking and rationale behind the term “ICDP” as used in this manual. It does not discuss in detail the various components and elements, strengths and weaknesses or pros and cons of ICDPs as these issues are discussed in at least two recent publications.

The term Integrated Conservation and Development Project or ICDP was introduced in a 1992 World Bank, USAID and WWF study. In this report it was used to describe a set of initiatives that attempt to ensure the conservation of biological diversity by reconciling the management of Protected Areas (PAs) with the social and economic needs of local people. While the study states that the scope of ICDPs can range from individual PAs and buffer zones to regional land use planning, the focus of this report is on PAs and the areas immediately surrounding them.

This has generally also been the focus of the ‘first generation’ of ICDPs that emerged about 10 years ago. These projects usually had the goal described above, i.e., linking biodiversity conservation in PAs with local social and economic development. One of the main strategies for achieving this goal was to reduce the dependence of local communities on PA resources by providing them with viable economic alternatives outside the PA. Project activities were based around economic incentives and were often designed to ‘compensate’ local people for the loss of access to park resources.

Recent reviews of some of these ‘first generation’ ICDPs indicate that many of them have faced problems in achieving their goal. In some extreme cases, projects have reached neither conservation nor development objectives. In others, there is confusion over these two aspects of the project, with little ‘integration’ of conservation and development objectives. Lessons drawn from these ongoing initiatives indicate that these and other problems common to many ICDPs are the result of a few key weaknesses in project design and implementation. These are summarised below.

- **Insufficient knowledge base** at all levels (planning, implementation, monitoring, evaluation) leading to poorly informed decision-making and failure of planned activities because of too many unknowns and assumptions.
- **Limited focus and scale** (both conceptual and geographic) leading to ‘isolation’ of project sites, inability to deal with external threats and marginalisation of conservation efforts.
- **Lack of consensus among stakeholders** (on objectives, roles, responsibilities) leading to continued conflicts of interest, confusion over priorities and roles, unrealistic expectations and multiple non-transparent agendas.
- **Inadequate stakeholder participation** (in relation to both level of participation and number of stakeholder groups participating) leading to lack of ownership and involvement affecting long term sustainability of efforts.
Insufficient focus on institutional and capacity building (of all key groups involved) leading to lack of efficiency and effectiveness and limited long term impacts.

Weak monitoring and evaluation systems leading to an inability to assess progress and adapt to changing external situations, unclear conservation and development impacts and a limited ability to influence wider decision-making processes.

However, these problems were not integral to all of the early ICDPs. Most of these difficult, innovative and extremely important projects also included many successful elements that have provided valuable lessons for future ICD planning and implementation. In particular, experiences from the ‘first generation’ of ICDPs have helped to emphasise the fact that effective and long term conservation of biodiversity involves working with multiple stakeholders, optimising trade-offs, building ownership and creating and enabling environment that will allow conservation to take root. Many of these elements have been incorporated into the ‘next generation’ of ICD initiatives and are described in more detail below.

An Evolving Rationale for ICDPs?

- Unless basic socio-economic needs of communities living in and around Protected Areas are met, they will not support (or will remain hostile to) conservation efforts.
- Impacts of local communities on biodiversity can be mitigated by providing them with alternatives to natural resource dependent lifestyles.
- Local communities will act to conserve natural resources if they have an active role (or ‘stake’) in the planning, implementation and management of conservation programmes.
- Long term conservation is dependent on the development, implementation, monitoring and adaptation of negotiated agreements among key stakeholders.

Key Elements of an Integrated Conservation and Development Approach

Participatory situation analysis: An ongoing process of participatory situation analysis is a critical element of all ICDPs. This is important not only at the planning phase where information on conservation and socio-economic issues, linkages and impacts is essential for designing an appropriate strategy but at every stage of decision-making. Most actions (including negotiating conservation-development trade-offs and agreements, designing livelihood activities, monitoring impacts, etc.) require appropriate and timely information. Well designed, relatively rapid, participatory systems for information collection and analysis can help provide this information in a way that minimises risks and assumptions. A number of approaches and tools such as PRA/RRA, problem analysis, root cause analysis, feasibility analysis, etc. can be used for this. Participatory situation analysis can take the form of ‘action research’ and can
help with adaptive management to ensure that the initiative is able to respond to changing external circumstances. It is important to ensure that all key stakeholders are involved in the design, analysis and application of results of situation analysis, action research and adaptive management.

**Stakeholder negotiations and agreements:** This is often the most important aspect affecting the ultimate success or failure of an integrated conservation and development initiative. Discussions with key stakeholders in relation to the resource or the site of interest are initiated as early as possible. A transparent process of stakeholder negotiations that lays out each groups' interests, expectations, needs, priorities, strengths and weaknesses is the basis for effective negotiation. Reaching consensus can mean a degree of compromises and trade-offs on all sides. In order to do this, it is important that all stakeholders have the necessary information to allow them to make informed decisions. Any conservation/development agreement resulting from such a process of consultation and negotiation which lays out the roles and responsibilities of different groups as well as planned activities and inputs can eliminate much of the confusion over "how much conservation" and "how much development" within ICDPs. The process also helps to build and broaden ownership of the initiative. It is important to ensure adequate participation of all key stakeholder groups in this process and representation issues should be discussed and accepted by the different groups. An effective process of consultation does not stop at the point an agreement is reached, but is ongoing and evolves and adapts to changing external factors (based on implementation and monitoring).

**Partnerships for implementation:** It is unlikely that any one group can take the lead in all aspects of such complex initiatives. Strengths of the different groups (and individuals) involved in a conservation and development initiative are recognised and built upon. While activities and inputs are being identified through a process of stakeholder negotiations, partnerships for implementation of these activities are sought and developed. Such partners (whether 'external' or 'internal' to the initiative/site) are also involved in the negotiation and development of agreements at appropriate stages of the process.

**Building capacity for change:** Without all groups involved in planning and implementation of an integrated conservation and development initiative having the necessary attitudes, knowledge and skills to carry out their roles, it is unlikely that the initiative will be effective in either the short or the long term. Providing adequate attention and resources for institutional and capacity building is important for long-term sustainability of any initiative.

**Working on a wider scale:** In many situations, threats to biodiversity are not localised but may originate from further afield. Often these are the result of uncoordinated or short-sighted policy decisions. Such wider issues and threats are identified and their impacts on biodiversity assessed in order to develop ways of addressing them. In some cases, this means spending more time initially on addressing policy related issues (including issues related to tenure, entitlements, concessions, etc.) before actually implementing conservation/development "activities." It also means engaging groups of stakeholders outside the actual project site in negotiating agreements. In addition to addressing wider impacts on specific sites, conservation and development initiatives are also incorporating working on a regional or landscape scale. Without 'mainstreaming' conservation into broader land use issues and policies, there is a danger of becoming
marginalised and remaining effective only in isolated areas. Scaling up the importance and impacts of conservation can be achieved through working both at the policy level and at the regional planning level without necessitating a large increase in resources required.

Assessing impacts and sharing lessons: A participatory monitoring and evaluation system helps assess the progress of an integrated conservation and development initiative as well as distill key lessons which can be used to inform future decision-making. Monitoring and evaluation is not a complex, technical, externally driven process but is designed by key partners as an integral part of the initiative. Indicators selected for monitoring provide meaningful information that can help different stakeholder groups get the information they need to determine further action. Reviews and evaluations are seen as ways to reflect, analyse and share lessons for the future.

Starting as discrete projects with the key purpose of reducing human impacts on PAs through economic incentives, ICDPs now encompasses a range of multi-stakeholder initiatives with conservation and development goals which are not limited only to PAs. The term “ICDP” as used in this manual refers to initiatives that attempt to include all or most of the elements described above with the aim of achieving effective and participatory conservation of natural resources and sustainable human development. Such initiatives can include a range of activities and approaches related to both biodiversity conservation and socio-economic development depending on the situation and the priorities identified by key stakeholders.

It is important to emphasise that the process of determining the actual framework of an ICD initiative is as important as the outcome. External agencies such as international NGOs involved in such initiatives need to think carefully about their roles and responsibilities and, in particular, about the sustainability of the efforts initiated. Helping to facilitate partnerships for conservation and development and to develop an enabling environment which will allow these partnerships to function effectively, might be the most important role that they can play in ensuring long term conservation and development.

Purpose of this Manual

Individuals and organisations designing and implementing Integrated Conservation and Development Projects (ICDPs) or other participatory initiatives for natural resource management require a good understanding of the issues, linkages and complexities inherent in such initiatives. They also need skills in designing processes and selecting and using methods for participatory resource and social assessment, as well as participatory planning, monitoring and evaluation. The training sessions in this manual can help to develop this understanding and enhance skills.

The main purpose of this manual is to provide a resource for organisations involved in training related to Integrated Conservation and Development or participatory resource management initiatives. Detailed facilitator/trainer guidelines for conducting workshops aimed at building capacity for such initiatives are provided. The training activities contained in the manual are designed to develop initial understanding and skills on fundamental issues and approaches. Further skills on the areas covered in the manual would need a different level of training.

The training sessions in the manual can be adapted to develop workshops for different groups of people involved in participatory resource management initiatives. They have been effectively used with a range of target audiences including NGO staff, Protected Area staff, national policy makers and community groups. Many training activities can also be adapted and used for actual planning and implementation. The way the manual is used and adapted depends on the imagination, innovation, experience and confidence of the people using it.

We encourage users to adapt, modify and improve on these activities as they use them (not forgetting to provide us with feedback!). We hope you will enjoy using this training manual as much as we enjoyed developing it!
Overview of the Manual

The manual reflects an experiential model for learning, and a participatory strategy for monitoring and evaluation of conservation and development projects. The experiential learning model enables participants to experience that which is to be learned, reflect on their learning, generalise and apply to other situations. This approach to learning is used because research has shown it to be the most effective method for adult learning.

A participatory approach for conservation and development encourages shared decision making, cooperation, mutual respect, confidence building, and empowerment in the workshop just as participants should do in the field. Such an approach increases learning and strengthens participant’s ownership of the constructs and strategies developed through the workshop.

The manual is divided into five main chapters with several sections within each one. A list of key references for each of the topics within these chapters is also provided. These provide useful background information which can be used to prepare the sessions if necessary. Many sessions also contain “Attachments” which can be used as handouts or as presentations for overview “lectureettes.” These are examples which should be adapted or replaced to make them more appropriate for your training situation. A brief description of the contents and rationale of the different chapters is provided on the next page.
Chapter 1

Introduces the development and purpose of this manual and provides an overview of Integrated Conservation and Development.

Chapter 2

Introduces issues related to planning and implementing a workshop based on an experiential learning approach.

Chapter 3

Contains training activities related to basic elements of any participatory training workshop, such as: introducing participants, resource people and facilitators, generating participant expectations; setting group norms; introducing workshop objectives, overview and logistics; receiving and giving feedback; and carrying out formative and summative evaluations.

Chapter 4

Contains training activities designed to increase awareness and understanding on important fundamental issues and related to Integrated Conservation and Development (ICD). Some activities can be used at an introductory level, while others are more complex and might need some level of prior understanding on these issues among trainees (and trainers). 'Warm-ups' or activities designed to introduce ICD issues in a "light" way are included for some sections.

Chapter 5

Contains training activities related to participatory planning, monitoring and evaluation of ICDPs including an introduction of some participatory methods and tools that can be used for resource and socio-economic assessment.
Planning and Implementing a Training Workshop
A Model for Designing Effective Training

**Step 1.**

Establish a Positive Learning Situation or Climate

This process needs to start early and be maintained throughout the workshop. The following factors can either facilitate or limit learning: physical setting, interpersonal relations, organizational setting, communication, quality of facilitation and degree of self-awareness.

**Step 2.**

Establish a Structure for Mutual Planning

This step increases the sense of group ownership. It illustrates that learners can be trainers, and trainers learners; that all have things to learn and resources to contribute. Mutual planning encourages learners to take more responsibility for their learning and encourages leadership and independence.

**Step 3.**

Assess Interests, Needs and Values.

Too often trainers assume learning needs of a group and straight away design a program, project, or workshop. Despite past familiarity with a group of learners and vast experience in training, needs assessment should be undertaken and seriously studied. Learning needs are those things which a person or a group of persons needs to learn in order to meet some of their specific requirements. Learning needs should be distinguished from interests.
Step 4.

Set Objectives

Before continuing with training design, we must turn training needs into objectives. Factors to consider when interpreting needs are: limits and potential of training, background of learners, needed competency and feasibility factors. Turning needs into objectives helps us to clarify what we want to accomplish, in what time, and under what conditions.

Step 5.

Determine Content of Learning Activities

Content is directly derived from learning objectives. Each objective may require certain content. For example, if one of the objectives is related to identifying stakeholders, appropriate content must be included. Factors to consider when determining the depth and scope of content include: level of learners, strategy of training, and size and composition of learners' group.

Step 6.

Determine Sequence of Learning Activities: The Flow of the Workshop

Sequence determines the flow of the entire training program, project, or workshop from beginning to end; how one content area relates to another. Some factors to consider are: a conceptual model or frame helps to establish sequence and illustrate linkages and relationships. A metaphor, a wheel for example, may help to illustrate the conceptual model. There should be a logic for how skills build upon each other. Also, one content area may set the stage or provide the foundation for succeeding content areas.
Step 7.

Determine Methods

Factors to consider when determining methods include: What is the focus of learning (knowledge, skills, attitudes)? How does the method relate to the learning environment? How will the method demonstrate the value of learners’ past experience, promote learner involvement, sustain interest, and promote sharing of experience?

Field Trips or Site Visits. This is the point where you should consider whether or not a field trip or site visit would be appropriate. Will taking such a trip help to achieve the objectives? If the answer is yes, carefully choose the site considering not only what participants might experience there but also logistics, timing, seasonal issues (such as weather problems) and any other social factors, such as acceptance by local communities, which may help or hinder learning.

Resource Persons. At this step you should consider your human resources. What resource persons and specialists might you need to help make your workshop a success. Rarely does one person have all the process and content knowledge and skills to conduct a long workshop. Carefully consider what is needed, then determine who the best person or persons will be able to help with the workshop. Factors to consider in addition to needed knowledge and skills are availability of the person or persons, costs involved including salary or fee, transportation, food, and lodging. Also consider using participants as resource persons if this is feasible. Often the participants themselves have extensive knowledge and experience related to aspects of the workshop. This can be explored prior to or in the early stages of the workshop.

Step 8.

Implement Learning Activities

If careful planning and design work has preceded this step, implementation should be fairly smooth. However, one still needs to be aware of last minute changes in the environment, or learner group composition, availability of resource persons, and logistical problems. Carefully monitor your plan and be prepared to make last minute changes if necessary.
Step 9.

Monitor and Evaluate

Elicit and analyze feedback from participants throughout the workshop as well as at the end. Monitoring can help determine if the training is progressing as planned. If not, are the changes positive and desired? Evaluation can help to determine reactions, learning, behavior change, and results. Some of this can be measured during the training event itself, such as reactions, but other aspects may be assessed post-training.

Step 10.

Reassess Needs, Interests, and Values

Not only do we need to assess throughout the program and at the end, but we should follow-up on training. All of this evaluative information can, in turn, be utilized to continue the learning process. Follow-up provides support and encouragement, defines additional learning needs, is used to assess the impact of the training program, and helps learners to consolidate their learning.
Designing a Workshop using this Manual

Length of Workshop

The overall length of any workshop will vary depending on the objectives of the training, the needs and experience of the target group, amount of time available and other criteria. The manual allows you to 'mix and match' different training activities to develop a workshop appropriate to your situation.

Session Times

Times listed in the individual sessions are indicative and will vary, depending upon group size, composition, experience, interest, opinions, and other factors. Experience with different groups will enable you to judge and allocate time effectively. Times should also remain somewhat flexible in order to be responsive to participants' needs and interests. It is especially important when using an experiential training approach to build flexibility into the daily agenda.

Beginnings

You may wish to begin the day or each major topic with a short warm-up, activity relating to the focus of the day or topic. These activities are designed to introduce the main topic(s) to follow in a light, enjoyable fashion. Warm-ups for some topics are included. It is important to differentiate between warm-ups and energisers. The latter are used mainly to energise the group when things are going slow. Warm-ups take much careful thought in designing, adapting and applying and are generally related to specific topics or issues.

Breaks

Take at least two 15-20 minute breaks – one in the morning and one in the afternoon. Suggest short “stretch breaks” or use energisers, as needed.
Endings

Each day should end with a brief (5-10) minute wrap up session to tie together the events of the day and help the group to focus on what is coming the next day. Each day should also close with a short feedback activity where participants provide their thoughts on the content and process of the day. This will inform facilitators of how the workshop is progressing. Ideas for different ways of receiving feedback are included in the next section. Summarizing this feedback and informing the participants the following morning (feedback-on-feedback) enables them to know how other participants are reacting to the workshop.

Such feedback enables facilitators to stay abreast of participant feelings as well as learnings. Facilitators and workshop designers can then adjust future plans to the extent possible in response to participant feedback. Such daily feedback also helps participants to feel that their opinions are important and that they are being "heard" by the facilitators and planners. Daily feedback strengthens workshop design and increases feelings of ownership.

Adaptations

Read each activity carefully and adapt it to fit your situation. Examples, situations, cases and stories used in the activities are examples. If they fit your situation, use them. If they are not appropriate for your situation, adapt them. You can make the workshop more realistic for your participants by replacing these with local examples and cases. Use the existing examples as models.

Handouts

Handouts that participants might find useful as reference material, but are not considered essential for conducting the sessions, are not included in the manual. Detailed references for important handouts are included in the relevant sessions.
Workshop Set-up

Arrange the room to suit your plan. Hold the workshop in a place that allows participants to sit in a circle, u-shape, semi-circle, or at several small tables. Participants communicate more with each other when they can see each others' faces. If participants want a place to put their books and bags, place tables behind the chairs. Such an arrangement is also more flexible for breaking into dyads, trios, and small groups.

Take inventory well in advance and make sure:

- sufficient chairs are available
- room acoustics are adequate
- there are sufficient tables for participants and for holding resource materials
- space is available, either within the large room, or outside the room for small groups to meet without disturbing each other
- there are enough electrical outlets (or extension cords available) to run audio visual equipment
- you are familiar with the use of the audio-visual equipment available (have spare bulbs on hand)
- there is adequate lighting and ventilation in the room (fans and/or air conditioning units are operational if required)
- there is adequate wall space for posting flip charts
- arrangements for meal and tea/coffee breaks have been finalized
The following materials should be supplied for all sessions:

- coloured markers
- pens and paper for participants
- flip chart paper
- tape (masking tape or other adhesive which won’t destroy walls)
- flip chart stands
- whiteboard and whiteboard markers or chalkboard and chalk
Facilitation Hints

A facilitator is neither a content expert nor a lecturer. A facilitator "facilitates," or helps to move along a process whereby participants interact with each other, gain new information, and build upon their experience. The facilitator may at times present new information, but his or her key role is to help the group experience and learn together. Explain the role of the facilitator to the group if this concept is new.

A good facilitator ...

- Keeps the group focused on task and process
- Remains objective
- Is an informed guide helping the group to chart its course and accomplish its goals
- Listens more than talks
- Adapts to various learning styles
- Encourages everyone to participate while remembering that individuals participate in different ways. Some may talk only in small groups, but are still participating. Others may wish to talk constantly and may be contributing little
- Protects members of the group from attack by the others
- Is gender and culture sensitive
Helps keep group within time constraints

Energises a group or slows it down, as needed

Recaps, occasionally, what has happened in the workshop and helps group to make connections between the sessions.

You will become a good facilitator if you follow the above hints and also

Be alert to signs of confusion (asking neighbours questions, puzzled or frustrated looks, resistance, etc.)

Don’t do the group’s work. Learning is more effective and lasting if the individuals and small groups discover on their own (learning by doing)

Circulate, but don’t become a part of any one group because you may too easily influence the group

Spend sufficient time with each group during small group work to be certain they have grasped the tasks and concepts supporting it

Review portions of the workshop which are causing confusion if several individuals or groups are having trouble

Ask frequently if there are questions. Sometimes the training activity specifically suggests asking if there are questions, but you should ask even if the activity does not specify doing so
When you DO ask a question, allow group members time to think before answering. To make sure you allow time, silently slowly count to 10. Ten seconds may seem like a long time and silence may seem uncomfortable, but allowing time to think is essential if you want thoughtful answers. You also communicate to group members that you ARE interested in their responses.

Don't feel you are an expert. Remind the group and yourself that you are a facilitator. Remind THEM (and perhaps yourself) of THEIR expertise and experience. One way to do this is to toss questions back to them. Such as, "That's an interesting question, Lina, what do you think Jacob?" This technique is essential when you know or presume individuals in the group have good ideas. Don't do this just to get someone to pay attention. You could also leave the "toss back" open-ended, such as "That's a good question. Does anyone have any ideas about it?"

Be flexible. This manual is intended to guide, not to dictate. Times of the sessions as well as depth and breadth of content should remain flexible. If participants are already familiar with aspects of the workshop, eliminate those aspects, or simply review them. Use your judgment, too, and your perceptions of the group's energy, interest, and comprehension to decide when to lengthen or shorten sessions. Changing something doesn't mean you planned poorly, it probably means you are listening, watching, and adjusting your plans as the situation requires.

Take at least two 15-20 minute breaks, one in the afternoon and one in the morning. Suggest short "stretch breaks" as needed.

Finally, relax and enjoy the workshop!

Note: You may find yourself playing the role of a facilitator as well as a trainer (or "content expert") in some situations. Explain this to the participants if necessary.
Basic Elements of a Training Workshop
Introductions

To introduce/reintroduce participants to each other and share information which will help to form and strengthen the group.

Flip charts, coloured markers, large sports ball

None

30 minutes to 1 hour (depending on number of participants)

Explain the purpose of the activity. Explain how important it is with any group that group members get to know each other and begin to feel comfortable being a part of the group. Point out that an important function of the facilitator, or group leader, is to help make this happen. Three different processes for introducing/reintroducing participants are described below. You can use the one that is most suitable to your group and situation.

Introduction i

Explain that you would like participants to take a few moments and think about what they are bringing to the workshop which will help it to succeed. What unique skills, experience, ideas are they coming with. Ask them to write down at least one.

Next, ask them to think about what they hope to leave with and write this down.
Explain that in 5 minutes they should be prepared to introduce themselves by giving their name, place of origin (if relevant), organisation they work for, what they bring and what they hope to leave with.

After 5 minutes, ask someone to begin. S(he) should introduce her/himself then ask someone else to introduce him/herself.

Ask if anyone learned new information, even about someone they knew.

Mention that we will all be getting to know each other much better over the next few days as we work through the activities of the workshop together.

Close by again stressing the importance of getting to know each other and to always make sure group members are introduced if they are new to the group.

Note
This activity is best carried out in a group where participants are meeting for the first time. Make sure they understand that ‘what you bring to the workshop’ refers to knowledge, experience, skills, attitude, talents, etc. and not ‘physical’ or other assets.

Introduction ii

Ask each person to choose a partner.

Instruct participants to find as many things as possible that they have in common with their partner. Ask them to look for commonalities that are not evident from physical appearance alone.
After a few minutes instruct pairs to stop generating commonalities and to select the two that might seem the most intriguing to the other participants. Then ask them to invent a feasible commonality that is NOT true.

After a few minutes, reassemble the full group with partners seated together. Have them introduce themselves to the group and report the three commonalities they selected (the two true statements and the one false). As they do so, invite other participants to speculate on which commonality is false. Then ask the pairs to reveal the truth.

Close by reminding the group that we know a little more about each other and a little more about what we have in common. During the workshop, as we work together we will be drawing upon our similarities and our differences to make this a good productive workshop for all.

**Introduction**

Ask everyone to stand in a circle, hold the sports ball and toss it to one of the participants. Asking the "catcher" a specific question about her/himself (as opposed to a general question which anyone could answer). The question could be about the person’s interests, hobbies, etc. That person answers the question, then tosses the ball to another person asking a question of that person.

Proceed this way with the "throwers" asking questions of the "catchers" until all participants have been introduced.

**Note**

This activity works well when people already know each other because there is always something new to learn about colleagues. It could also be used with a new group where people do not know each other. If used with a new group, the "catcher" can be asked to introduce herself/himself (and also to include one interesting point about themselves that is not related to their work)
Expectations

To determine expectations of the participants in coming to the workshop and to revisit these at the end of the workshop to determine how these were met (or not).

Post-its, pens

None

30 minutes

---

Distribute post-its and ask each participant to write down one to three things they most WANT to happen at the workshop and one to three things they DON'T WANT to have happen.

After all have finished, ask them to one by one read their responses and stick their post-its on the whiteboard/flip chart in front of the room. Have them read all the WANTS first before the DON'T WANTS.

With the help of one or two resource people, quickly cluster these responses as they are placed on the whiteboard.

After all are posted, comment on what probably will happen in the workshop and what probably won't, giving reasons.

At the end of the workshop, summarise the main expectations on a flip chart using key-words and initiate a discussion to see which ones were met and which weren't (and why not).
Setting Group Norms

To agree on guidelines for group functioning during the workshop.

Flip charts, coloured markers

Prepare flip chart with Suggested Norms (Attachment 1)

15 minutes

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Process

1. Explain the purpose of the activity.

2. Post the Suggested Norms and ask the participants to think about them for a minute or two.

3. Discuss and make necessary changes and additions to the norms.

4. Post in a prominent place in the room and refer to the norms throughout the workshop, as necessary.

5. Point out that respecting the norms is everyone's responsibility.
Attachment 1

Suggested Norms

每个人都有权利知道（他们可以随时询问引导者为什么要做某事以及它与总体工作坊目标的关系）

任何问题都是好问题

实践我们正在学习的内容

开始并完成时间表，并接受时间表的灵活性

分享社区任务的责任

分享学习的责任

允许所有参与

禁止在培训室吸烟

Note

修订这些规范，使其适合您的工作坊环境。
Workshop
Objectives & Overview

To provide a preview of the workshop and explain why the content and methods have been selected.

Flip charts, coloured markers

Draw/write the workshop "flow" showing the main sessions of each day on a series of large flip charts (one or two days per flip chart). Note down the date or the day number (e.g., Day 1, Day 2, etc.) on a corner of each flip chart. Mix these up to form a single pile of flip charts such that the days are not organised sequentially.

Note the objectives and outputs of the workshop on a flip chart.

Note the daily agenda of the workshop on a flip chart (showing starting and finishing times, session timings, and breaks - not the actual titles of the sessions).

Note the Principles of Adult Learning (Attachment 2) on a flip chart. Draw the Continuum of Training Techniques (Attachment 3) on a flip chart.

1 hour

Explain that we are going to look at the workshop purpose, objectives, sequence of content, flow and process in a "participatory" way. This is the WHAT of the workshop.

Post Purpose/Outcomes of the workshop on a prepared flip chart and explain how these were determined.
Clarify any questions on these and post in a prominent place in the training room throughout the duration of the workshop. They will be needed again for the expectations and on the last day for the workshop evaluation.

Place the pile of prepared flip charts showing the 'flow' of the workshop in the middle of the room. Ask some participants to stand in a line facing the rest of the group and tell each one to pick up one of the flip charts.

Ask them to figure out the sequence and organise themselves such that the flip charts face the remaining participants in the right order.

Once they have the flip charts in the right sequence, quickly read through this "flow" and ask for any clarifications.

**Note**

Use your imagination and artistic skills to make this 'flow' look lively and interesting. Try and use a 'theme' that connects the different days together.

Explain that we will now look at **HOW** the workshop will be conducted, i.e. based on experiential learning.

Post the flip chart outlining the key principles of adult learning and explain why we will be using this approach.

Next, post the flip chart depicting the continuum of training and describe each of the methods briefly, focusing on the ones that will be used during this workshop and why.

Draw attention to the 'physical' setting of the room and explain why it has been arranged the way it has (refer to section on workshop set up).

Explain the **WHEN** of the workshop by posting and reviewing daily agenda. Revise if necessary. Explain that the detailed agenda will be reviewed at the start of each day.
Attachment 2

Principles of adult learning

- Experiential or experience based
- Participatory, not passive
- Based on mutual respect between learners and teachers
- Self directed
- Reflective
- Immediately applicable

Adults remember:

20% of what they hear
40% of what they see
80% of what they experience for themselves
Attachment 3

Activities Continuum

<table>
<thead>
<tr>
<th>Trainer Centred</th>
<th>Learner Centred</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lectures</td>
<td>Small Group Discussions</td>
</tr>
<tr>
<td>Guided Discussions</td>
<td>Role Plays</td>
</tr>
<tr>
<td>Structured Exercises</td>
<td>Case Studies</td>
</tr>
</tbody>
</table>

Feedback

To determine how the workshop is progressing from the participants’ point of view and to generate information that will help improve the workshop if necessary; to enable participants to know what others feel about the workshop and increase feelings of ‘ownership’.

Flip charts, coloured markers, post-its, pens, index cards (as necessary depending on process used)

None

10 - 20 minutes

Explain that we will be carrying out daily feedback in different ways at the end of each day to inform the facilitators about the workshop’s progress. The information generated through the feedback sessions will be summarised and presented to the participants the next day (feedback-on-feedback) for them to get an idea of what their fellow participants are thinking. Changes made as a result of the daily feedback will also be discussed. A few ideas for receiving feedback are given below.

Words

Ask participants to mention words which they remember most strongly from the day’s sessions or which best describe what they have learned that day.
They should note these on post-its which you can cluster on a white-board so that participants can look at the results as they leave the room or cluster them overnight and post them so that participants can see them as they come in for the training session the following day.

You can then ask questions about their choice of words and the explanations of these words. – Why did they choose that word(s)? Can they say more about the word chosen?

Feedback cards

Distribute note cards. Ask participants to respond briefly to the following on one side of the card each:

- What was most helpful today?
- What could have been improved?

Take the cards and summarise overnight. Give feedback on the following morning.

Feedback circles

Ask a part of the group (5-6 people) to sit in a small ‘inner’ circle facing each other and ask the others to sit around them in an outer circle. Give the group in the inner circle a question related to learning from the day to discuss. For example, “what were the most helpful parts of the workshop today?” and “why?”

Explain that only those in the inner circle can speak. After a few minutes, have them change places (inner circle goes to the outer circle and the outer circle to the inner circle). If the group is large (over 15 persons) use 3 rounds – one group first, then the second, then the third.
Note

What to include in the feedback-on-feedback summary - A simple way to do this is to count the responses related to particular aspects of the day, then summarize the responses. The frequency of responses indicates which aspects were of greatest interest to participants, and the summary of comments reveals participants' perceptions of the day's activities. DO NOT include particularly negative or embarrassing comments directed at particular persons (participants, resource persons, or facilitators). If there are a number of comments about a particular person, you may wish to discuss the issue privately with the person involved.

Peer feedback

1. Explain that this activity provides a semi-structured way to observe and reflect on others' behaviour, and provides an opportunity for giving positive constructive feedback.

2. Give each participant an index card with the name of one of the attendees written on it (this should be totally random). They should not show the cards to each other.

3. Explain that during the course of the workshop, they should observe their designated person (discreetly) and write positive observations about the person on the index card. Tell them to do this throughout the workshop and not only on the last day.

4. At the end of the workshop the cards will be collected and distributed to the people whose names are on them. Each person will get a card with some positive observations about them. But they will not know who has written them.

Note:

Explain that this is not to be an opportunity to anonymously write negative things about the person being observed.
Workshop Evaluation

To have participants evaluate contents and process of parts of the workshop or the entire workshop.

Flip charts, coloured markers, index cards, post-its, evaluation forms (as necessary)

See individual activities described below

15 minutes to 1 hour

Evaluations can be carried out in different ways and for different purposes. Depending on your purpose, you can use one or more of the following ideas to carry out your evaluation. Some of the less ‘formal’ approaches are useful for ‘mid-way’ evaluations or for workshops that are very short (1-2 days). For longer workshops, you may wish to use several different types of evaluations at different times during the workshop.

Evaluation Mural

Using symbols, ask group members to create a collective mural which represents their collective feelings and thoughts about the workshop.

Discuss the finished mural with the participants and display it during the formal closing ceremony (if there is one) with participants taking the lead on explaining it to people not involved in the workshop.
Evaluation Collage

Ask participants to think about what they have learned from the workshop.

Ask them to divide a flip chart into free form sections with each section related to an aspect of the workshop which has proven to be important to them. They should label each section accordingly. The differing sizes of the sections of the page should be proportionate to the usefulness of that aspect of their learning. For example, if a particular participatory technique has been particularly important, it may occupy 1/3 of a page while another remembered aspect of a workshop may only occupy 1/8.

Once they have finished their visual collages (this could be done individually or in small groups), ask participants to post these around the training room for all to see.

Look for patterns and uniqueness in the collages and discuss these with the group.

Evaluation Wheel

Ask participants to draw a wheel on a piece of flip chart with the spokes representing the important issues (or objectives) covered during the workshop (try not to have more than 6-8 spokes per wheel).

Explain that the spokes represent a scale from 0 to 10, with 0 at the center and 10 towards the edge.

On this scale of 0 to 10 ask each participant to ‘score’ the different issues (or objectives) according to how well they thought each one was covered or addressed by marking the spoke with a dot at the appropriate point. The dots can be connected to represent a polygon.
Once all have finished, post the wheels and discuss the varying (or similar) shapes of the polygons to see the degree of difference or consensus within the group.

**Ranking Accomplishment of Learning Objectives**

Write the learning objectives of the workshop on a series of index cards (one objective per card) and make sets of these per group or individual (depending on whether the activity is to be carried out by small groups or individually).

Ask individuals or small groups to rank cards containing learning objectives according to learning, usefulness, etc. Then ask them to explain and justify their ranking.

**Lessons Learned & Remaining Questions**

Explain that we will review lessons learned from the workshop so far and identify new questions which have been raised and/or remaining questions on the topics covered until now. (You can carry out this activity at the midpoint of a workshop or more than once in a longer workshop.)

Post individually prepared flip charts around the room. Each flip chart should list one of the major topics of the workshop already covered as the heading. The paper should be divided into two columns, one labeled "MOST IMPORTANT LEARNINGS" and the other labelled "REMAINING QUESTIONS".
Ask participants to move around the room and briefly write down their most important learnings and remaining questions for each of the topics listed.

Explain that they should mark with an * their most pressing remaining questions/concerns.

Explain that this information will be helpful in revising the curriculum for this workshop and for planning for future ones.

**Personal Accomplishments**

Explain that we would like to bring closure to the workshop on a positive note of accomplishments.

Explain the importance of focusing on positive accomplishments in ourselves and in others, as well as focusing on areas needed for improvement.

Ask participants to look back at the workshop and think about all that they have experienced and learned. Ask them to think of at least one accomplishment of which they are proud of. This could be in the form of a new insight, new learning, attitudinal change, etc.

Distribute post-its and ask them to write this down. After all have finished writing, ask them to read these out one by one.

After each participant reads his/her accomplishments, post it on a white board. Try to cluster and draw some conclusions about accomplishments for the week. Draw an inclusive circle around these clusters and name each.

Close by thanking participants for their active involvement in the workshop.
Final Workshop Closure & Written Evaluation

Ask participants to think back to the first day of the workshop when they were asked to think about their expectations for the week. Also to think back to the daily feedback sessions.

Explain that now is the time to think about the workshop as a whole and try to determine the workshops effectiveness.

Has it accomplished the objectives?
Has the workshop met expectations?

Tell participants that evaluating this workshop is very important and that you will use their comments to improve future workshops. Distribute the evaluation form and give participants time to complete and submit it (Attachment 4).

Thank participants for their hard work, acknowledge any additional helpers you used before and during the workshop. Close with a simple farewell and offer continuing support in their efforts.
Attachment 4

Final Evaluation

You have completed daily feedback forms at the end of most days of the workshop enabling us to monitor your reactions over the week. We now ask that you reflect back over the entire workshop and summarize your evaluative comments in this end-of-workshop written evaluation. Please answer the following questions. Continue onto the back of the page, if necessary.

Part one

1. To what extent has the workshop achieved stated purpose and objectives?

2. What changes have you experienced in your knowledge (K), skills (S) and attitude (A), related to the workshop topics?

3. What have been the best parts of the workshop for YOU? Why?

4. What parts could have been de-emphasized or eliminated? Why?

5. What parts should be strengthened or expanded upon in future workshops of this nature?
Part two

Using the following scale, indicate your satisfaction regarding the workshop. Use the back of this sheet for additional comments.

6. Level of satisfaction with the content of the workshop?

   1  2  3  4  5
   dissatisfied  moderately  very satisfied

Why? ___________________________________________________________

7. Level of satisfaction with the daily schedule (time spent in and out of sessions) during the workshop?

   1  2  3  4  5
   dissatisfied  moderately  very satisfied

Why? ___________________________________________________________

8. Level of satisfaction with the length (number of days) of the workshop?

   1  2  3  4  5
   dissatisfied  moderately  very satisfied

Why? ___________________________________________________________

9. Level of satisfaction with the Training and Facilitation Methods (Experiential Learning) of the Workshop?

   1  2  3  4  5
   dissatisfied  moderately  very satisfied

Why? ___________________________________________________________

10. Level of satisfaction with the venue (location and facility) the workshop?

    1  2  3  4  5
    dissatisfied  moderately  very satisfied

Why? ___________________________________________________________

11. Other comments

    ___________________________________________________________
Integrated Conservation and Development: Components and Issues
“Experiencing Change”

Purpose

To identify feelings of embracing and resisting change and to relate these to a 'different' approach to conservation.

Materials

None

Preparation

None

Time

30 minutes

Process

1. Ask participants to find a partner. Ask them to stand and face each other and to carefully look at their partner for one minute.

2. Next, ask them to turn so that they are facing away from their partners and then change three things about their appearance. (Give examples - if you wear glasses, take them off, roll a sleeve up or down or take a shoe off.)

3. After a few minutes, ask the participants to face each other and see if they can identify what their partner changed.

4. Next, ask them to turn around again and change three more things. Repeat step 3.

5. Ask participants to change more things ... when most of them begin to resist changing more things about themselves, ask them to be seated.
Fundamentals of Integrated Conservation and Development

Selected References:


Begin a discussion with the following questions:

- What was your first reaction to the activity? (Point out that reactions are often mixed because people react differently to change. Sometimes people think they don’t have five things to “give up or take off” but change is not always “giving up” but can be “adding to”.)

- What made you uncomfortable? (Point out that we often think of change as something undesirable, or uncomfortable, but it can be fun!)

- Which do you find more comfortable, the known or the unknown? (Point out that people are often more comfortable to stay with the known. Even if we don’t like it, at least we know what it is! The fact is, change often involves risk!)

- Did anyone help anyone else? Why or why not?

- Did anyone ask for help? Why or why not? (Point out that we usually don’t have to go through change alone, but we sometimes think we do.)

- How did your feelings change as the activity progressed? (Point out that as we see others embrace change more readily, it can affect our behaviour too.)

Explain that this activity was used at the beginning of the workshop because many things we will do in the workshop require openness to change. In particular, the methods and approaches used in this workshop may also represent a change from what you may be used to. ICDPs in general represent a different approach to conservation. As you move forward with any new approach you must be aware that people deal with change differently, from one person to another. Some embrace it, some resist it.
Biodiversity Conservation: What and Why

To explore the importance of biodiversity conservation from different perspectives.

Flip charts, coloured markers, large post-its (or index cards and glue)

None

1 hour

Introduce the purpose of the session and ask participants what they understand by the term “biodiversity.”

Note the responses on a flip chart and add information if necessary to make sure there is a common understanding on the term.

Explain the following group task to be carried out in 20 minutes:

1. In their small groups, participants should discuss the question “Why conserve biodiversity?”

2. They should list the various responses from within the group on the post-its (one reason per post-it). At this point they should not try to come to a consensus on the reasons but should list all the reasons that emerge from within the group.
They should then analyse the reasons by trying to develop a hierarchy. Very specific reasons should be posted at the bottom of a flip chart, with broader reasons posted near the top.

For each of the broader reasons, the group should ask the questions “WHY” or “HOW” and try to break these down into more specific reasons (for example, if one of the reasons is “to maintain the stability of ecosystems” they should discuss WHY this is important; if a reason is “for the benefit of society”, they should discuss HOW does society benefit.)

Once they have specific reasons, they should cluster these under broad headings (e.g. economic values, cultural/spiritual values, ecological values, etc.)

Divide participants into groups of 4-6, distribute post-its, flip charts and markers to each group and ask them to begin the activity.

At the end of 20 minutes, ask each group to post their flip chart on the wall and allow 5 minutes for the participants to look at each others’ results.

Begin a large group discussion with the following:

- How similar or different are the broad and specific reasons for conserving biodiversity that the groups came up with?

- What are the main clusters and what is the relative importance given to these? (This could vary depending on the composition of the group. Point this out noting how different people value biodiversity in different ways - and how this can sometimes lead to conflicts.)

- Would these reasons be adequate to convince decision-makers or non-conservationists about the importance of biodiversity conservation? If not, what is missing? How can the value of biodiversity conservation be made more convincing?
Community Participation in Conservation

To highlight the importance of community participation in conservation and to gain insights into the groups’ perspective on this issue.

Flip charts, coloured markers

None

1 hour

Process

1

2

3

Explain the purpose of the activity.

Distribute one index card to each participant and ask them to individually write down three reasons why they think community participation is important for effective conservation. Give them 5 minutes to do this.

After they have finished the individual activity, explain the following group process:

- Once they are in their small group, each participant should present her/his ideas to the group and discuss the contents of each others' cards.

- After they have discussed everyone’s ideas and come to agreement on the reasons (these can be more than three reasons if individuals had many differences in their ideas), they should note these on a flip chart.
They will have 30 minutes for this activity, after which they should be prepared to present and justify their reasons if questions are raised by other group members.

Divide participants into groups of 4-5 and ask them to begin the group task.

At the end of 30 minutes, ask all the groups to post their flip charts around the room and spend 5-10 minutes looking at the results of the other groups.

Initiate a plenary discussion with the following questions:

- Which are the most frequently appearing reasons for community involvement in conservation? Why? (See if there is a link between the composition of the groups or the overall participant composition and the reasons they come up with. Discuss this if there is one.)

- Are some reasons more “important” than others? Why or why not? (Explain that different stakeholders may have different perspectives on the same issue and why it is important to understand these.)

- Are any important reasons missing? (Try and bring out as many reasons as possible. Make sure all “types” of reasons, such as those related to efficiency, effectiveness, impact, ethic, human rights, etc. are brought out. If something important is left out, point this out here.)

End the session by presenting the reasons noted on the flip chart (if any of these were not brought out). Explain that this activity has helped us better understand our collective thinking on the importance of community participation and that we will be revisiting these points in more detail at various times during the workshop.

Note:

If the results generated appear to be comprehensive, you might want to ask one or two participants to consolidate the lists and come up with a single list of reasons for the importance of community participation in conservation.
Biodiversity Conservation: Trends and Models

To explore and discuss ideas on different approaches and models for biodiversity conservation and Protected Areas.

Flip charts, coloured markers

Write each of the different Definitions of Protected Areas (Attachment 5) on a separate flip chart, fold them over and post them in three different areas of the training room. Draw the Protected Areas 'Timeline' (Attachment 6) on a series of flip charts pasted together horizontally and put this up (covered) on a wall of the training room.

1 hour

1 Introduce the purpose of the session. Explain that in most countries Protected Areas (PAs) have been one of the key mechanisms for biodiversity conservation. Ask participants what they understand by the term “Protected Areas.”

2 Explain that PAs can be defined in different ways depending on conservation goals and other criteria. Uncover the three 'generic' definitions of PAs posted around the room.

3 Ask participants to read the definitions carefully and select the one they most agree with. Explain that they have to choose a definition even if they might not fully agree with it.
They should then go and stand near the poster with the definition they agree with and discuss the reasons for their selection with other participants who have chosen the same one.

Once all the participants are standing near one of the posters, ask them to explain the reasons why they felt more comfortable with a certain definition compared to one of the others.

After this discussion, uncover the 'PA Timeline' and "walk" participants through this, emphasising that this may not apply everywhere but is a generalised description. Give a brief history of the origins and evolution of PAs. Explain that many of these "types" of PAs still exist today (give examples).

Initiate a plenary discussion with the following questions:

- How might PA definitions and categories differ depending on different conservation and development goals? (Point out that there are different reasons for setting up PAs and that a range of PA categories is necessary to make them relevant to differing situations and objectives.)

- What is the most common definition/category of PAs in the experience of the participants? Is this suitable? Why or why not? (Point out the management problems and conflicts that can develop under situations with limited and rigid definitions/categories of PAs.)

- Under what circumstances might each of these 'types' of PAs be most suitable? (Point out different social, economic, demographic, political, biological and development situations that affect this. Link this with the concept of PA "categories" that already exist in different countries)

- Can different 'types' exist within one PA? (Discuss the concepts of zonation within PAs and the problems associated with different PA categories in some situations)
Close the session by pointing out that the group will be examining issues related to PA management in more detail throughout the workshop (if relevant). This session helped clarify group thinking and perceptions on the topic.
Attachment 5

Proposed Definitions of Protected Areas

The three definitions should be phrased such that they reflect differing degrees of "strictness" and stakeholder involvement in the conservation and management of biodiversity resources (you should substitute your own relevant definitions here if necessary.) For example:

a. "An area of complete wilderness that is set aside for the sole purpose of preserving biodiversity and ecosystems for global and national interests and is managed entirely by the government"

b. "An area of high biodiversity with a primary goal of biodiversity conservation and where use is restricted or prohibited by national law"

c. "An area of conservation value where certain restrictions on use and extraction of natural resources (identified and implemented at local, provincial or national level) apply in order to conserve biodiversity, maintain ecological processes and support sustainable local use"
## Attachment 6

**Protected Areas “Timeline”**

<table>
<thead>
<tr>
<th>1000 years ago</th>
<th>10 years ago</th>
</tr>
</thead>
<tbody>
<tr>
<td>* Religious/spiritual areas (eg. sacred groves) * Protection of Royal privileges (eg. hunting reserves)</td>
<td>* Areas with a range of values contributing to meeting society's needs (including biodiversity conservation) * Increasing participation of stakeholders</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>100 years ago</th>
</tr>
</thead>
<tbody>
<tr>
<td>* Inspirational, high aesthetic value</td>
</tr>
<tr>
<td>* Wildness set apart and protected from people</td>
</tr>
<tr>
<td>* Focus on recreation and research</td>
</tr>
</tbody>
</table>
Integrated Conservation and Development:
Perceptions and Assumptions

To determine participant’s perceptions and assumptions related to ICDPs and to build a common understanding about what Integrated Conservation and Development is about.

Flip charts, coloured markers, transparencies (as needed for lecturette)

None

1½ hours

Explain the purpose of the activity. Explain that before proceeding with a workshop on Integrated Conservation and Development, it is important to look at our different ideas about ICDPs and to try to reach some common understanding on issues, components, problems and basic assumptions related to ICDPs.

Explain the following group task that participants will undertake:

Discuss ideas among their group members to answer the question WHAT IS INTEGRATED CONSERVATION AND
DEVELOPMENT? (They should consider issues, components, problems, principles and assumptions related to ICD.)

Illustrate the results of their discussion with pictures, symbols, and words on flip charts.

Prepare to report back to the group.

Divide participants into small groups and ask them to begin:

After 45 minutes have each group post and briefly explain their collective drawings. Allow time for clarifying questions on the group results.

Begin a discussion with the following questions:

- What are the commonalities in the different pictures?
- How do the collective pictures differ? Why?
- What are some of the basic principles/assumptions about integrated conservation and development that emerge from the pictures and the group discussions? (Make sure underlying principles are drawn out. Record these on a flip chart.)
- What are the issues and components of ICD that emerge? (Make sure that all relevant issues/components are drawn out. Record these on a flip chart.)
- What are some problems than can/do emerge in integrated conservation and development? (Make sure that key problems drawn out. Record these on a flipchart.)

Synthesise key issues (those raised as well as those that might not have been raised) into a lecturette covering the principles, practice and problems of integrated conservation and development. Close by pointing out that this workshop will be exploring many of these issues further (if relevant)
Working with Local Communities

Selected References:


"The Box"

To illustrate how perceptions and decisions are affected by 'closeness' to (or information about) any given situation.

Materials
Flip charts, coloured markers, cardboard box
10-12 familiar small objects including a pamphlet or piece of paper with writing on it (something that can be completely recognized only through sight)

Preparation
Prepare "The Box" by placing the objects inside it and sealing it so that the objects do not fall out when the box is shaken.

Time
20 minutes

Process

1
Open the activity by explaining that perceptions about a situation are often influenced by how close we are to it as well as by how much information we have about it.

2
Show the group the closed box and explain that the box contains several items which are familiar to them. During the next few minutes the participants will be asked to identify what is in the box.

3
Divide participants into Groups A, B, and C and move them to different parts of the room or to adjacent areas such that they cannot see what the other groups are doing.

4
Allow members of Group A to briefly shake the box, then to discuss what they think is inside. Ask them to note down what they think is in the box.
Ask members of Group B to feel objects inside by holding the box behind their backs and allowing them to briefly put their hands inside one by one. They should also discuss and note down what they think is inside.

Finally, allow members of Group C to touch and look inside, discuss, and note down what is inside the box.

Assemble the three groups together and ask Group A to call out what they think is inside the box. Note this on a flip chart. Repeat the process with Groups B and C.

Begin a discussion with the following questions:

- What were the results of this activity? Why?

- How did each group feel when they tried to describe objects inside? Does this relate to situations in real life? (Bring out the frustration of having to accomplish tasks or make decisions without adequate information.)

- How did the groups obtain information under the given constraints? How does this relate to real-life situations? (Bring out importance of teamwork and discussion, also the importance of involving more partners/stakeholders in any task.)

- In your own situation, who could each group represent? Why? (Bring out that often people who live 'close' to a resource often have the greatest amount of knowledge and information while those who are more 'distant' often make decisions based on inadequate information.)

- From this activity, what conclusions can you make about the importance of involving key stakeholders in a conservation and development initiative? (Bring out that this activity suggests that those closest to the resource should play a major role in planning and implementing any initiatives that are related to the conservation and management of the resource.)
How is this related to where decisions regarding conservation and development are made? Should be made? (Bring out the importance of decision makers moving 'closer' to situation before making any decisions.)

How can an outside perspective also be useful? (Bring out the importance of different perspectives. Groups that could not see the objects used different senses. This can be related to the importance of using different sources of information to understand a situation.)
What is “Participation”

To explore the concept of community participation in relation to conservation and development initiatives.

Flip charts, coloured markers, scissors

Draw the Continuum of Participation (Attachment 7) on a flip chart. Make copies of all the “Situations” (Attachments 8-10) for all participants. Keep the two parts of each attachment separate.

2 hours

Process

1. Explain the purpose of the activity. Mention that participation is a fundamental concept of ICDPs, therefore it is important to understand the concept at the start.

2. Post the Continuum of Participation and “walk” participants through it, making sure that they have understood the different levels of participation. Point out that there are different interpretations of this, but that the principle is similar, i.e. participation can be of different types and at different levels.

3. Explain that we will now be examining and discussing short case studies from “real” situations that demonstrate different levels of participation.
Explain the following small group process:

1. Each group will be given one "situation" to examine. They should read the caselette and discuss their thoughts about the level of participation (based on the Continuum) in the given situation. After they have agreed on this, they should draw the continuum of participation on a flip chart and indicate where they feel the case study fits it. ( Mention that it can also lie in-between two "levels".)

2. They should then discuss WHY they feel it fits at a certain level and note their reasons on the flip chart.

3. Finally, based on the information that they have, they should discuss the future of this initiative, i.e. what do they think happened next? They should note the results of this discussion on the flip chart as well.

4. They will have 40 minutes for this discussion, at the end of which they should be prepared to present their results.

Divide participants into groups of 4-6 and distribute one set of situations per group (every member of each group should have one copy of the same situation). Distribute only the first half of the situations at this point. Ask them to begin the group task.

After 40 minutes re-assemble the groups, and ask the first group to be prepared to present their results. Distribute copies of the first half of this group’s case study to the other two groups and give them a few minutes to read it.

Once the first group has presented their results, ask the other groups if they agree with the analysis and lead a small discussion on the group’s outputs.

After the discussion, distribute the second half of the case study to all participants and briefly discuss this.

Repeat the process with the other two groups.
Initiate a discussion with the following:

- What are their general comments on the cases and the results? (Point out that these ideas represent some broad generalisations and assumptions but are useful for analysis and discussion.)

- Did the level of participation change during the course of the initiative? (Groups should have already brought this out in their results. Point it out if they haven’t and discuss reasons for this.)

- Should all these initiatives be classified as “participatory”? Why or why not? (Participants will have different opinions depending on their attitudes, perceptions, experience, etc. Discuss differences of opinion within the group further. Bring out the impact of different social, political, economic, cultural systems on the way ‘participation’ is interpreted and understood.)

- Should ICDPs in general try to move towards the ‘right’ of the continuum? Is there an ‘optimum’ level of participation? (Again there will be different opinions. Discuss advantages and disadvantages of different levels of participation drawing on the experiences and background of the group.)

Close by asking participants what factors they think act as constraints to increasing the level of community participation in an ICDP. List these on a flip chart and briefly discuss each.
## Attachment 7

### A Continuum of Participation

<table>
<thead>
<tr>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Passive participation</td>
<td>Decisions made by powerful 'external' stakeholders only; local communities participate by being told what is going to happen or has already happened</td>
</tr>
<tr>
<td>Participation by information giving</td>
<td>Communities participate by answering questions posed by external stakeholders or project staff; they do not have opportunity to influence decision making as findings are not shared</td>
</tr>
<tr>
<td>Participation by consultation</td>
<td>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</td>
</tr>
<tr>
<td>Functional participation</td>
<td>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</td>
</tr>
<tr>
<td>Interactive participation</td>
<td>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 in maintaining structures or practices</td>
</tr>
<tr>
<td>Self-mobilisation</td>
<td>Communities participate by taking initiatives independent of external institutions to change systems; external agents may play a facilitating or catalytic role</td>
</tr>
</tbody>
</table>

Adapted from: "A typology of participation" in Pimbert and Pretty 1996 Parks, people & professionals. UNRISD, Switzerland.
Attachment 8

Conservation and Development in Amboseli National Park, Kenya

For centuries the Amboseli region had been used by the Maasai, and was of crucial importance to their herding system, being the main areas where water and green pasture could be found during the dry season. In 1960, during the establishment of the park, the Maasai lost their grazing rights and access to the area, whilst the major benefits from tourism went to the central government in Nairobi. Although a portion of these benefits was given to the district council, the Maasai were not included in its distribution.

In 1977 a programme was established to settle the conflicts between the local people and nature preservation in and around Amboseli National Park by arranging to compensate the Maasai for lost access to water and forage for their livestock. The programme was based on the principle that the Maasai would become joint owners of areas around the park and that they would organise themselves into 'communal cattle ranches'. The main elements of the programme were funded by the World Bank under the 1976 Wildlife and Tourism Project and included the following:

- Construction of a water pipeline system to transport water to areas outside the park boundary for livestock watering;
- Payment of a compensation fee to the Maasai for lost access to the park and for grass consumed by wildlife outside the park;
- Development of camps and tourist circuits on Maasai land outside the park;
- Return of lodge royalties to the district council to help pay for the construction of schools and community centres and the provision of health services; and
- Employment of game guards from a local group ranch.
Amboseli, Kenya....... 

Progress during the first three years was encouraging, but after 1980 problems began. Payment of financial compensation was delayed, and then the water supply system broke down owing to a complete lack of maintenance. In 1983, the agreement to pay financial compensation was withdrawn without explanation. A school was situated in an unpopular location and tourist activities did not develop. Because government commitments were not honoured, the Maasai have re-entered the park and still use the springs there to water their livestock.

Attachment 9

Resource Conflicts & Management in Royal Chitawan National Park, Nepal

Royal Chitawan National Park had been protected as a royal hunting reserve until the 1950s but was not made a national park until 1973. Prior to the park’s establishment, local people used the area to collect fuelwood, graze livestock, and collect tall grasses for building material. After the establishment of the park, these activities were banned. Forced relocation of several villages from inside the park generated considerable hostility and mistrust towards the park authorities.

Since the establishment of the park, further tension and conflict have arisen because of prohibitions on grazing and collection of forest products, and because human injury and death as well as crop and livestock loss from large mammals protected inside the park. Enforcement is strict and several hundred soldiers from the Royal Nepal Army are deployed around the park to enforce regulations, resulting in frequent conflicts and arrests. A large proportion of the national park budget (up to 80% according to some estimates) goes into funding the army.

At the same time, Chitawan has grown in importance as a tourist destination since the first wildlife safari lodge was established in 1985. Seven high-cost tourist lodges now have licences to operate within the park and several dozen small ones have sprung up outside the park. Park entry fees have increased and the numbers of visitors continue to rise steadily. Local people are only marginally involved in the tourism industry and get few benefits from it. While outside traders benefit, most local residents face higher prices as a result of the tourism.

Conflicts and violent clashes over denied access to resources finally pressured the park authorities to allow villagers to collect tall grasses for house construction and thatching for 15 days annually from inside the national park. This arrangement is at the discretion of park authorities and can be changed at any time. More than 100,000 people from local villages take part in the grass collection each year. This grass cutting is not considered detrimental to wildlife because it is permitted only at the end of the growing season when most plant materials are dead, of poor nutritional quality, and unattractive as food for wildlife.
Chitwan, Nepal

While the army continues to be deployed around the park, recent legislative changes in the forest and wildlife laws in Nepal have facilitated increased participation by local communities in resource management. In particular, the 1993 amendment to the National Park and Wildlife Conservation Act regarding buffer zones in particular stipulates that 30 to 50% of park revenues should be spent on development activities to benefit communities living around the park in collaboration with these communities.

Attachment 10

People’s Organisations in Coastal Resource Conservation, Thailand

Traditional small-scale fishermen in Pattani Bay (located on the eastern coast of southern Thailand) have been facing increasing livelihood problems because of destructive fishing practices carried out by trollers using push nets and trawl nets. The small-scale fishermen generally use non-destructive fishing gear and fish within three kilometers of the coastline. Because of their sustainable fishing practices, they were able to obtain a good livelihood, while at the same time ensuring the continued survival of marine life, including corals and sea grass beds.

Over the last 10 years, there have been increasing encroachments of larger trollers carrying destructive fishing gear such as push nets, into the 3 km zone. This fishing apparatus, unlike the traditional fishing gear is non-selective and highly destructive to spawning and feeding grounds of many species. While this is illegal, according to Fisheries Department regulations, the government has been unable or unwilling to stop these trollers from encroachment and illegal fishing.

Concerned about the negative economic, environmental and social impacts of these destructive fishing practices, local small scale fishermen held several meetings to discuss the problems and possible solutions. In 1995, they formed the Small Scale Fishermen’s Club which had four main objectives: to rehabilitate and conserve marine and coastal resources; to stop illegal fishing operations within the 3 km zone; to network and coordinate with other small-scale fishermen’s groups; and to work with NGOs and MGOs to find long term solutions to their problems.

Since then, the Small Scale Fishermen’s Club has carried out a range of activities including: demarcating the 3 km boundary with natural materials; reviving the traditional practice of creating artificial reefs using bamboo and palm fronds; rehabilitating mangrove areas destroyed by shrimp farming; protecting sea grass areas; patrolling the bay at night to prevent illegal encroachment of push net trollers and collaborating with a local university and an NGO to monitor the impacts of these activities on marine resources.
Coastal Conservation, Thailand

Data from the research studies has shown that marine resources have increased dramatically since the Club started its activities. The income of the fishermen has increased and many people who had left the area to go and work as illegal laborers in neighboring countries are now returning. The government has recognised the efforts of the fishermen and have increased patrolling in the area against illegal trawlers. External donors and NGOs are increasingly interested in providing additional resources and support to the People's Organisation. Dolphins, sharks and dugongs have returned to the Bay after a long absence.

Attributes for Effective Participation

To assess positive attributes within a community or opportunities that enable and encourage participation.

Envelopes, scissors, flip charts, coloured markers

Make one copy of the Attributes List (Attachment 11) per participant. Enlarge each attribute so that it can be clearly seen when posted after the group discussion. Cut out each attribute and insert one set of attributes per envelope. Prepare one envelope per participant.

1½ hours

Explain the purpose of the session.

Stress that in this activity there is no right or wrong answer but that people will have to justify the choices they make. In so doing, they should draw from their own personal experiences or knowledge in working with partners in different situations (if they have the experience, ask them to focus on their work with local communities).

Hand out an envelope to each participant. Explain that each envelope has slips of paper with words depicting certain attitudes, dispositions, behaviours and capabilities within communities/community members. Many of these attributes (but not all) are important ‘enabling’ factors that can help effective participation.

Ask the participants to carefully review all the attributes individually and choose five which in their personal opinion are the most vital to a
programme which hopes to initiate effective participation with local communities in natural resource management. (Do not exceed five; tightness of choice is important. Participants will have to think harder and draw more deeply from their experiences in defense of their choices.) Give them 5-10 minutes to do this.

After everyone has finished choosing the attributes, explain the following small group task to be completed in 30 minutes:

1. Once they are in their small groups, they should discuss the attributes chosen by each group member and come to a group consensus on a consolidated list of five attributes.

2. After they have come to agreement on the five most important attributes for participation, they should paste or note these on a flip chart.

3. They should be prepared to explain their choices as well as the process that led to this.

Divide participants into sub-groups of five or six and ask them to begin the group task.

At the end of 30 minutes, ask them to post their results and ask each group to briefly discuss their process and reasons for their choice.

Initiate a plenary discussion with the following questions:

- What are the differences and similarities between the attributes selected by the different groups? Why? (This is often based on personal experience and different attributes may be more or less important in different situations.)

- What were the differences in the process the groups went through in selecting the attributes? Was it easier in some groups than in others? Why? (Bring out issues related to the size and diversity of the different groups. You might want to deliberately form groups that are different to assess differences in the process.)
Did most of the groups start consensus building by focusing on attributes that they had selected in common? What are the implications of this. (Bring out the links between the process and time limitations. Point out that the "individual" attributes that were discarded might have been very important to those people. Participation means listening to all opinions and this takes time.)

Did groups add attributes that were not on the provided list? What were these? Why were they considered important?

How useful was this process in helping to share experiences and understand other people’s perspectives on opportunities for participation? (Point out that most of the attributes are important for effective participation and that one of the purpose of limiting the choices to "critical" attributes was to generate active discussion.)

Note
Make sure that participants understand that they are identifying attributes that one would look for in communities with whom they might be working not in themselves. To clarify this difference, you could end the activity by asking participants to list attributes in themselves (or their organisation) that might be important for enabling effective community participation. Many of these might be similar to those they might look for in communities. Discuss these similarities and differences, pointing out that we will be exploring this further when we look at participatory methods and approaches (if relevant). If you carry out this extra step, be sure to add extra time for the session.

### Attachment 11

Some possible attributes for effective participation

<table>
<thead>
<tr>
<th>Sense of Responsibility</th>
<th>Financial Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initiative</td>
<td>Willingness to Accept Advice Without Questioning</td>
</tr>
<tr>
<td>Common Vision</td>
<td>Acceptance of Women’s Roles in Decision-Making</td>
</tr>
<tr>
<td>Willingness to take Risks</td>
<td>Strong Socio-Cultural Identity</td>
</tr>
<tr>
<td>Technical Know-how</td>
<td>High Levels of Literacy</td>
</tr>
<tr>
<td>Political Connections</td>
<td>Openness to New Ideas</td>
</tr>
<tr>
<td>Sense of Humor</td>
<td>Strongly Hierarchical system of Decision-Making</td>
</tr>
<tr>
<td>Ability to Plan</td>
<td>Deep-Rooted Spiritual Beliefs</td>
</tr>
<tr>
<td>Ability to Motivate Others</td>
<td>Resistance to Change</td>
</tr>
<tr>
<td>Good Communication</td>
<td></td>
</tr>
<tr>
<td>Enthusiasm</td>
<td></td>
</tr>
<tr>
<td>Conflict Mitigation Mechanisms</td>
<td></td>
</tr>
<tr>
<td>Strong Leadership</td>
<td></td>
</tr>
</tbody>
</table>

**Note**
Replace/modify this list to make it appropriate to your situation. Be sure to include some blank slips for participants' ideas.
Community Diversity

To identify variables that make up a "community" and to discuss how these differences relate to resource use and management.

*Sheets of different coloured poster paper, flip charts, coloured markers, glue*

Cut poster paper into different shapes (10-15 per sheet). Indicate the "right" side on each piece with a dot. Mix up the pieces and clip pieces of each sheet together. Add one community variable (a different one for each group) to one of the pieces in each set, leaving the rest of the pieces blank.

1 hour

Explain the purpose of the activity and ask participants what they understand by the term "community." Note the responses and agree on a common definition that will be used during the rest of the workshop. Explain that we will be focusing this session on things that vary from community to community; that make each community unique, for example, in the ways different members of a community use or value natural resources.

Explain that communities are not homogeneous entities. They are composed of different types of people with different needs, interests, skills, problems, and ways of using resources. Better understanding and appreciation of the diversity within communities will help to ensure that any conservation and development initiative includes participation different groups and individuals that make up a community. (Examples of community variables include education, distribution of wealth, distribution of power, gender, age, etc.)
Explain that participants will be working in small groups to examine community variables based on their own experience with communities. Describe the following group task:

1. Each group will be given a set of puzzle pieces. One piece will already contain a word or phrase describing a community variable. Other pieces will be blank.

2. The groups should discuss and list other community variables (these could be differences within a community or between communities) that they think are linked to natural resource use or management. One or more community variables can be listed per puzzle piece (word or phrase).

3. When they are satisfied with their puzzle, they should glue the pieces to the piece of flip chart paper to form the original sheet and be prepared to explain their variables. They will have 20 minutes to complete their puzzle.

Divide participants into groups of 4-6 and ask them to begin.

After all have completed the task, post the puzzles so that all the groups can see them and discuss each puzzle. Ask...

- What else might be missing? (Add these if none of the groups have listed some key variables.)

- How do the different variables listed impact use and management of natural resources? (Pick some out of the ones listed which are not very obvious.)

- Why is understanding of community variables important for successful ICD planning and implementation? (You can draw out links related to indigenous knowledge, equity, benefit sharing as well as links to conservation impact, use of resources, regulatory mechanisms, decision making, etc.)
What groups and forces exist outside a community which can effect a conservation and development initiative? (Some groups may have already listed these. Bring out issues such as policy, macro-economic forces, migration, development schemes, etc.)
Gender and Conservation

To highlight the importance of understanding men’s and women’s roles, needs and priorities in relation to resource use and management.

Flip charts, coloured markers

You might want to work with a resource person with knowledge about gender issues in conservation for this session.

2 hours

Introduce the purpose of the session and the resource person (if relevant).

Ask participants what they understand by the term ‘gender’ and clarify the definition. Ask the resource person to introduce the topic in a 15-20 minute lecturette highlighting: the importance of considering gender issues in conservation; constraints and problems that women (or men) might have in participating in conservation and development initiatives; and, ways of increasing participation of women (and men).

After clarifying questions, explain that small groups will be examining their own projects to assess them in terms of ‘gender sensitivity’.

Explain the following group process:

Once in their small groups, each participant should describe a project that she/he is currently involved with and discuss how effectively (or not) men and women had been involved in different stages of the initiative.

Once they have discussed this, they should discuss WHY their project was particularly gender sensitive (or not).
Next, they should discuss the CONSEQUENCES of gender sensitivity (or lack of it) in their projects.

Once they have completed their discussion, they should prepare to present the results of their discussion.

Divide participants into groups of 4-6 and ask them to begin the activity.

At the end of 40 minutes, ask the groups to present their findings, giving each group 10 minutes for the presentation.

Allow a few minutes for clarification of the results and initiate a plenary discussion with the following:

- What was the general result in terms of gender sensitivity in the projects? (See if this can be related to anything in the project or to external factors.)

- At what phase in a project are both men and women more likely to be consulted? Why? (Often projects start off with consultations with both men and women but this sometimes is not followed through during implementation. Discuss possible reasons for this "token participation").

- What are some of the main consequences of involving/not involving men and women in the projects? (Give examples here if nothing obvious emerges from the results.)

- What are some common problems/obstacles in involving men and women that emerge from the results? How could these be overcome?

- What are some social/cultural differences related to this issue that emerge from the results? What are the implications of this in relation to gender and conservation?
Working with People: "What if?"

Purpose

To enable participants to air questions and concerns related to working with local people/communities and to draw upon their shared experiences to address these.

Materials

Index cards, flip charts, coloured markers

Preparation

None

Time

1½ hours

Process

1. Explain the purpose of the activity and distribute an index card to each participant.

2. Explain the following small group task to be carried out in 30 minutes:

   a. Each participant should think of a difficult situation they might face or have faced in "working with local people" or "working with communities."

   b. From this situation they should make a "what if" question and write it on the card.

   c. They should then mix the cards and draw one of them. One of the group members should read the question and the group should then discuss it among themselves to see if they can come up with a satisfactory response (they should try not to spend more than 5 minutes per card).
If they cannot address the "what if", they should bring the card(s) back to the large group to see if anyone there, or a resource person, can respond.

Divide participants into groups of 4-5 and ask them to begin the activity.

At the end of 30 minutes, convene in a large group and ask each group for questions they had particular difficulty with. Ask the participants and resource people if they can help address these based on their own experiences. Allow 30 minutes for this discussion.

Ask a member of each group to read their remaining questions and present ideas that were generated within the group to resolve these. Go around the groups, asking participants to read out only 'new' questions and solutions. Allow 30 minutes for this discussion.

If time permits, and interesting results are generated, ask participants to think about what principles might lie behind the resolution of the questions and begin to generate Guiding principles for working with local communities. List these on a flip chart.

Note: You can adapt this activity to discuss a range of issues where participants might have experiences and information to share with each other.
Traditional Knowledge, Practices and Values

Selected References:


"Paper Bag"

To examine what people value as individuals and as a group in order to demonstrate the importance of understanding and appreciating different value systems.

Small paper bags (one per participant)

None

30 minutes

Process

1

Distribute a paper bag to each of the participants and ask them to think about what they value most in their personal or professional lives.

2

Then ask them to look for something that symbolises this thing or aspect they value. They can look for their symbol in the training room or anywhere outside. They should return to the room in 10 minutes with their object in the paper bag, not showing it or discussing it with other participants.

3

After all have assembled, ask them to one by one take out their object/symbol from the bag and place in the centre of the room, explaining what it symbolises.

4

After all have placed and described their objects/symbols, initiate a discussion on the following:

What does this tell us about the individual and collective values of the group?
How do values change based on where one is at a given point in time and space? (Point out that many participants may symbolise their ‘family’ because they are away from them during the workshop.)

Why is it important to understand and appreciate different values when working with people on conservation and development? (Draw out how different values can affect the way people make decisions; also that local communities and different stakeholders may value natural resources in a different way as compared to conservationists.)

Close by examining the purpose of this activity and pointing out how quickly and clearly we have developed insight into what this particular group values.

Note
This activity can also be used effectively with local communities to bring out different and shared values. It can also be used to introduce other training sessions in this manual such as "Conflicts" (explaining that conflicts often arise because different stakeholder groups have different values and do not understand or appreciate these differences).

Community Beliefs
and Value Systems

Purpose

To focus on non-technical/material forms of indigenous beliefs and examine how these affect conservation or resource management.

Materials

Flip charts, coloured markers

Preparation

None

Time

1 1/2 hours

Process

1

Introduce the purpose of the session, emphasising its focus on beliefs and value systems of communities (related to conservation) rather than on indigenous “knowledge” or “practices”.

2

Explain the following small group activity to be carried out in 30 minutes:

- Each participant should share with the rest of the group their knowledge of local/indigenous beliefs or values that have an impact on natural resources (positive or negative).

- Once they have discussed different experiences, they should note the belief/value on one column of a flip chart with the other column describing the conservation impact of that belief or value.
Within the groups (or in a plenary if time is short), they should also examine the similarities/differences in the beliefs/values (from different countries or different regions or different ethnic groups, etc.) and discuss reasons for these.

Form participants into groups of 4-5 (mixing people from different countries or regions if relevant) and ask them to begin the activity.

At the end of 30 minutes, ask the groups to post their results on the walls and allow 10 minutes for all groups to examine each others' results.

Post the flip charts on the wall and initiate a plenary discussion examining the different beliefs/values with the following:

- How strong/weak are the different beliefs? Why?
- Can they think of examples of conservation projects/initiatives they know which have run into problems because they failed to recognise the importance of local beliefs or values? How might these problems have been avoided?
- Can they think of projects that have pro-actively incorporated beliefs or values? What has been the result?
Pictures of
Traditional Knowledge

To bring out visually what participants already know about local/traditional practices linked to natural resources use and management.

Flip charts, coloured markers

Draw an example of a traditional/indigenous practice on a flip chart.

1 hour

Process

1

Explain the purpose of the activity and mention that most of us are aware of traditional practices that are related to resource use and management in our own countries/situations. We will examine the 'collective knowledge' we have about these practices.

2

Use the prepared flip chart to illustrate an example of a traditional practice related to natural resource use and tell participants that they should start thinking about similar practices that they might be aware of.

3

Explain that in the small group activity, each group is to illustrate as many traditional practices related to natural resource use and management as they can within 30 minutes.

4

Form participants into groups of 4-5 and ask them to begin the group task.
At the end of 30 minutes, ask the groups to come together and one by one post and briefly describe their activities.

Initiate a plenary discussion with the following:

- What are the similarities between activities selected by different groups? What could be the reason for this?
- Do the examples illustrate the experiential and evolving nature of traditional knowledge? How?
- What do the different examples tell us about the groups' knowledge and attitude in relation to traditional practices?

Close by pointing out how quickly this introductory activity brought out a range of traditional practices related to resource use and management and that we will explore this topic in further detail in subsequent sessions.
Working with Traditional Knowledge

To introduce the role and importance of traditional knowledge and practices in relation to conservation and to discuss how this can be better understood and incorporated into ICDPs.

Flip charts, coloured markers (and materials needed for lecturette)

As needed by resource person.

2 hours

Process

1

Explain the purpose of the activity and introduce the resource person (if relevant).

The resource person should briefly introduce the topic, covering the following:

a. Meaning/definition/clarification of indigenous/traditional/local knowledge
b. Types of knowledge; who knows what; characteristics of traditional knowledge systems
c. The importance of respecting, understanding and building on traditional knowledge for conservation
d. Different kinds of indigenous resource management systems; incorporating knowledge about biodiversity
e. Factors affecting traditional resource management systems; reasons for the breakdown of some resource management systems
After the introduction allow few minutes for clarifying questions and explain the following group process:

- Within their small groups, they should select a specific traditional resource management/use practice that had positive implications for conservation or demonstrated principles of sustainable resource use but which is now changing so as to have negative conservation implications as it is currently practiced (they could select this from the previous activity if it has already taken place).

- Next, they should discuss the potential positive conservation aspects of this traditional practice (which may not be realised as it is currently practiced).

- They should also discuss reasons WHY this practice is changing, thinking of both internal and external factors that are driving this change.

Finally, they should discuss how the positive conservation aspects of this practice can be revived or strengthened.

Once they have finished the discussion, they should prepare to present their results back to the group in the following format (they can draw the practice on a flip chart if they think it helps illustrate it better to the rest of the participants):

<table>
<thead>
<tr>
<th>&quot;Good&quot; practice (that is changing negatively)</th>
<th>Positive conservation aspects</th>
<th>How it is changing</th>
<th>Why it is changing</th>
<th>How it can be strengthened or revived</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

Chapter 4: ICDP: Components & Issues  page 91
Divide participants into groups and ask them to begin the group task.

At the end of 40 minutes ask each of the groups to post their results and briefly explain them to the rest of the participants.

Initiate a discussion with the following:

- What are some of the commonalities and differences in the results? (Bring out issues related to the practices as well as the changes and impacts.)

- What are some of the factors that have led to modifications in the IK/practice? (This is an important discussion point. Make sure that "root" causes for change of practices such as population pressures, changes in access/authority, specific external influences, policy changes, etc. are brought out).

- How can you best combine traditional and "modern" knowledge for conservation and development? (Build on the ideas developed by the group for reviving traditional practices and give some examples related to this.)

- Are all indigenous practices "good"? (You might want to pick a practice that most participants are familiar with such as swidden agriculture and explore positive and negative aspects of it in relation to conservation.)
Policy and Legislation

Selected References:


Tenure and Biodiversity Conservation

To build understanding of the importance and impacts of land/resource tenure systems on conservation.

Flip charts, coloured markers

For this session, you may wish to work with a resource person with experience in land/resource tenure issues.

2 hours

Process

1. Introduce the purpose of the session and resource person (if relevant).

2. Ask participants what they understand by 'tenure'. Clarify definitions and concepts. Using examples, bring out the following issues in a 20-minute lecturette.

   a. What is meant by tenure
   b. Basic tenure systems/arrangements
   c. Tenure in theory and in practice (De facto and de jure situations)
   d. Complexity and 'mixture' of tenure arrangements
   e. Dynamic/evolving nature of tenure
   f. Importance/impacts of tenure on conservation
After clarifying questions explain that we will start to explore aspects related to tenure and conservation in small groups. Explain the following group process:

1. Participants should identify a project or situation related to tenure that they want to work with from within their group.

2. After they have identified a project, they should focus on a specific resource in relation to that area (e.g., pasture land, trees on agricultural/common lands, rivers, forests, wildlife, etc.) and discuss the following in relation to the resource:
   - Who uses it?
   - What is the current tenurial arrangement?
   - What impact does the tenurial system have on conservation (positive or negative)?
   - Why do you think it has this impact? (This could be related to an older or traditional system that has broken down or changed.)

3. After 30 minutes of discussion, each group should present the results of their discussion in the following format on a piece of flip chart paper.

<table>
<thead>
<tr>
<th>Resource</th>
<th>Users</th>
<th>Tenurial Arrangement</th>
<th>Impact on conservation</th>
<th>Why</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Form groups with 4-5 members each and have them begin group task.

After all the groups have completed the task, give each group 5 minutes to present their results.
Initiate a plenary discussion with the following questions:

- What are the differences/similarities in the results of the different groups?

- What are some of the most common types of tenure systems? What are some less common ones? What are the reasons for this? (If one or more of the groups has brought out customary tenure, discuss this in relation to other forms.)

- How does customary tenure affect resource use? Is it always better for conservation? Why or why not? (Bring out impacts of external forces on traditional/customary tenure and conservation implications of these.)

- What are some linkages between tenure and conservation that can be seen from the results? How have these evolved over time? (Bring out the evolving nature of tenure in relation to changes in the external environment and how government policies affect tenure.)

- What are some of the implications of this on the amount of attention conservation and development initiatives should place on tenure issues? What should they do in this regard?
Conservation Policies and Legislation: Impacts on ICDPs

To examine the role and impacts of conservation policy and legislation in ICD implementation.

Flip charts, coloured markers

None

1½ hours

Introduce the purpose of the session and explain the importance of national conservation related policies and legislation in helping or hindering ICD.

Explain that during this session, participants will examine and discuss conservation policies from their own countries and their impacts on ICDPs.

Explain the following group process to be completed in 40 minutes:

1. Once in the small groups, they should first discuss key pieces of existing (or proposed) conservation legislation from their countries.

2. Next, they should examine specific aspects of the policy/legislation that support ICD (for example, in relation to favouring stakeholder participation, resource/benefit sharing, collaborative resource management, etc.) and those that do not.
After they have identified supportive and unsupportive aspects of the policies, they should note these on flip charts, explaining how the different aspects support or hinder ICDPs.

Divide participants into country/sub-regional groups and ask them to begin the group task.

At the end of 40 minutes, ask each of the groups to briefly present their results and initiate a plenary discussion around the following:

1. What are the similarities and differences between the different country policies at a broad level? At a specific level? Why? (This may be related to a number of historical/social/political factors.)

2. In general, are most conservation policies largely supportive or unsupportive of ICD approaches? (Point out that while ‘overall’ policies may appear unsupportive, there can be specific aspects within the broader framework that might be more supportive.)

3. What have been the general trends in the evolution of conservation policy in the different countries? Why? (It is important here to try and examine links between changes in policy and reasons for it.)

4. What are the ways in which unsupportive policies might be influenced to become more supportive? (Discuss the role of “pilot” initiatives and the importance of documenting “success” stories. Ask participants to share ideas and experiences on other actions that ICDPs can undertake to influence policy.)

5. How important are supportive/unsupportive policies to effective ICDP implementation? How much effort should ICD initiatives spend in trying to create a supportive policy environment? (Bring out the point that a major role of ICDPs is to influence policy if they are to have a wider impact that just at a specific site.)

Note: If your participants are all from the same country, the groups can be divided on the basis of ‘state’ or ‘regional’ differences in policy within the country, i.e. looking at local level policies.

Developed by Sejal Worah
The Enabling Environment:  
Wider Policies And ICDPs

To examine the impacts of wider policy environment on ICDPs.

Flip charts, coloured markers (and materials as needed by case study presenters)

Prior to this session you may want to identify key participants/resource people and ask them to prepare for the case studies as described below.

2 hours

Explain the purpose of the session, mentioning that we will be drawing on the “story telling” skills of the participants to make the session interesting.

Explain that while the previous sessions on policy focused on conservation policy, ICDPs are also impacted by a range of other local, national and international policies. Such policies can have either a positive or a negative impact on the initiative.

Give examples of some ‘external’ policies that can affect ICDPs such as those relating to agriculture/land use, logging, transmigration, macro-economics, indigenous peoples, gender, engagement with multinational corporations, mineral and oil exploration, resettlement, education, etc.
Explain that we will now explore this issue in more detail based on the experiences within the group. Explain the following small group process to be completed in 40 minutes:

1. Within the small group, members should share experiences on what external policies have affected their projects/sites and what the impacts of this have been (positive and negative).

2. After all group members have had a chance to exchange experiences, the group should pick the most interesting example to develop into a “story” or role play.

3. Group members should use their imagination to then develop the example into an interesting story (using drawings, pictures, etc.) that brings out the following:

   a) A short background of the initiative, describing main stakeholders and their roles
   b) A brief description of what the ICDP was involved in
   c) The external policy (or policies) that had an impact on the initiative. What were the impacts?
   d) What were the results of this?
   e) What was the project’s response?

4. They will have 10-15 minutes to tell their story to the rest of the participants.

Divide participants into groups (mixing people from different countries/regions/projects) and ask them to begin the activity.

At the end of 40 minutes, ask each group to present their story. At the end of each presentation, allow time for clarifying questions and responses but hold the general discussion for later.

After all groups have presented, initiate a discussion with the following questions:

5. What are some broad similarities in the different cases? What are the major differences?
What are some of the common external policies that have a negative impact on ICDPs? Are there examples where these have been influenced? How?

What kinds of policies (or specific policies) have the biggest impact on ICDPs?

Which ones are most difficult to influence? Why?

What are some of the ways in which ICDPs can influence these policies? (Bring out the different options such as lobbying, strategic partnerships, awareness raising, research and documentation, etc.)

Are all ICDPs influenced by external policies? What does this imply in terms of activities? (Bring out the importance of a policy focus in ICDPs and the importance of assessing the wider environment. Point out that in the absence of an 'enabling environment', ICD initiatives are unlikely to have a long term impact.)

Close by pointing out that often ICDPs might need to invest substantial time and resources in ensuring that there is a supportive environment for them to operate in. Without this, they may have problems in implementation and in ensuring long term sustainability of the effort.
Conservation and Development Linkages

Selected References:
Costs and Benefits of Conservation

To explore the distribution of costs and benefits in a conservation initiative and to relate this to stakeholder interest in ICDPs.

Flip charts, coloured markers

None

1½ hours

Introduce the purpose of the session, explaining that in general, conservation initiatives (specifically Protected Areas) incur different costs and benefits to various stakeholders.

Explain that since ICDPs are often linked to Protected Areas and usually attempt to redress some of the costs incurred by local people as a result of the PA, we will explore costs and benefits 'before' and 'after' an ICD initiative.

Explain the following group process to be completed in 40 minutes:

1. In the small groups, participants should pick an example of an ICDP that one of them is involved in which is linked to a Protected Area.

2. They should first think of a 'BEFORE' situation which existed prior to the ICDP initiative but after the creation of the PA and list all key stakeholder groups.
They should then describe the costs and benefits related to the PA incurred by each of the stakeholder groups and list these.

Next, they should think of the 'AFTER' situation which exists (or is planned) as a result of the ICDP and again list costs and benefits against each stakeholder group.

They should present the results of their discussion in the following format:

<table>
<thead>
<tr>
<th>Stakeholder Groups</th>
<th>BEFORE</th>
<th></th>
<th>AFTER</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Costs</td>
<td>Benefits</td>
<td>Costs</td>
</tr>
</tbody>
</table>

Divide participants into groups of 4 - 6 and ask them to begin the activity (you might want to keep people from the same area/project together).

At the end of 40 minutes, ask each group to briefly present the results of their discussion. Allow 5 minutes for clarifying questions.

After all groups have presented, initiate a plenary discussion with the following questions:

1. What were the similarities and differences between the results of the different groups?

2. What are the costs of Protected Areas? Who bears these costs? How are these distributed among the stakeholder groups?
What are some of the (direct and indirect) benefits of PAs? Who gains?

What are some of the obvious trends in the distribution of costs and benefits? (Point out that while benefits are usually spread widely, higher costs are often borne by those 'closest' to a PA, i.e. local communities.)

Do the ICDP initiatives help to decrease some of the inequities in the spread of costs and benefits? Who is benefiting and who is losing as a result of the initiative? (Point out that ICDPs can sometimes unknowingly increase costs for marginalised groups.)

Do people see the link between the benefits of the ICDP and conservation?
Conservation and Development Linkages

Purpose

To highlight preconditions and assumptions in linking development with conservation and to discuss the importance of identifying and influencing assumptions.

Materials

Flip charts, coloured markers, index cards

Preparation

Make sets of four index cards (one set per group) so that each card contains a short description of a Sample Development Activity (Attachment 12)
Prepare a flip chart with the Conservation & Development: Preconditions & Assumptions (Attachment 13)

Time

2 hours

Process

1 Explain the purpose of the activity. Highlight the importance of this session during which the group will explore one of the fundamental concepts of ICDPs.

2 Explain that most ICDPs implement socio-economic development initiatives that are intended to have positive conservation impacts. However, the linkage between the development activity and the anticipated conservation impact is often based on a number of assumptions or pre-conditions which can influence this link.

3 In this activity, the group will analyse conservation and development linkages by examining some development initiatives being implemented by a hypothetical ICDP. They should draw on their own experiences during the discussions.
Use the example provided (or your own more appropriate one) to illustrate the thinking process.

Describe the following small group task that has to be completed in 45 minutes:

- Each group will be given a set of index cards with a brief description of a development activity that is intended to lead to positive conservation impacts.

- They should pick one of the cards and discuss the pre-conditions for selecting that development activity and assumptions which need to hold true for that particular activity to lead to improved conservation.

- After they have discussed the first card, they should paste this on a column of a flip chart and list the pre-conditions/assumptions in an adjacent column.

- In a third column, they should list the ‘supporting activities’ that need to be undertaken that would positively influence each of the assumptions, strengthen the linkages and ensure sustainability (some may be out of control of the project).

- Once they have finished discussing the first card, they should move on to the second one and so on until they have discussed all four cards.

Divide participants into groups of 4-5 and give each group a set of index cards with the listed development activity. Ask them to begin the group task described above. (You might want to ask each group to start with a different card to make sure all activities are covered if time runs out.)

At the end of 45 minutes, ask them to post their flip charts on the wall, and spend minutes looking at each others’ results.

Initiate a group discussion based on the results with the following questions:
What do the results show about linkages between conservation and development? (Point out the complexity of ensuring conservation and development linkages. Note the number of assumptions that have to hold true before this can work.)

What do the pre-conditions tell us? (Bring out the importance of being clear on pre-conditions before initiating a development activity. If the preconditions do not hold true then this is probably not an effective strategy for conservation.)

Which are the activities with the greatest number of assumptions or the assumptions that might be most difficult to influence? What could this imply? (Point out that this might imply that the activity is not feasible - depending on the resources available.)

What are some critical assumptions that will ensure clear links between conservation & development? (Point out the importance of all stakeholders understanding the linkages and agreeing - formally or informally - to making these work.)

Close by pointing out that there are two "types" of assumptions - those that are linked to the feasibility of the development activity itself and those that are linked to the conservation impact of the activity. Both have to hold true if the strategy is going to be effective.
Attachment 12

Sample Development Activities

- The ICOP is supporting a local women's group to develop handicrafts made out of certain forest products harvested from the protected area.

- The ICOP is promoting community-based ecotourism linked to the protected area.

- The ICOP is providing training and resources to introduce agroforestry to local farmers.

(Replace these with more appropriate activities relevant to your area/situation)
### Conservation and Development: Preconditions and Assumptions

<table>
<thead>
<tr>
<th>Development Activity</th>
<th>Preconditions/Assumptions</th>
<th>Supporting Activities</th>
</tr>
</thead>
</table>
| The KCP is providing resources to local farmers for 'intensifying' existing agricultural practices | ✓ Expansion of agriculture is a threat to biodiversity/habitat conservation  
✓ Farmers with agricultural land (not landless people or new settlers) are the ones clearing additional land  
✓ Local/national policies support the strategy  
✓ Stakeholders understand and appreciate links with conservation  
✓ Farmers will be willing (and able) to accept new techniques  
✓ Conservation regulations can be agreed among stakeholders  
✓ Techniques introduced are socially and culturally appropriate  
✓ Income generated will be adequate to compensate for clearing additional land  
✓ Inputs needed are available and accessible over long term  
✓ Target group is large enough to have conservation impact  
✓ There are no adverse environmental or social impacts from new techniques  
✓ Farmers will continue to apply new techniques after project ends  
✓ Etc. | Information collection and analysis  
Consultations  
Information sharing  
Information sharing  
Extension/training  
Negotiation/Agreement  
Institutional mechanisms  
Traditional knowledge/practices  
Feasibility/Market analysis  
Benefit sharing  
Long term funding mechanisms  
Feasibility assessment  
Monitoring  
Monitoring/Evaluation  
Sustainability analysis  
Institutional arrangements |
Conservation
Incentives

To illustrate the role of conservation incentives and disincentives and to examine strengths and weaknesses of different types of incentives and disincentives.

Flip charts, coloured markers
Materials for developing “case stories” as needed (see below)

Identify three case studies where different incentives and disincentives for conservation are being developed and implemented. See Guidelines for Developing Caselettes (Attachment 14) for ideas on this. Illustrate each of the cases in a series 5-6 “panels” (drawings or photos or both).
Identify resource people familiar with each of the cases to man the ‘caselette stations’.
Set up ‘caselette stations’ in three corners of the training room or in different rooms (each one should have a table, some chairs, flip charts, markers).
Prepare flip chart with Definitions (Attachment 15)

2 hours

Explain that we have already looked at some of the assumptions linking conservation and development in the previous session. Review some of the major points that emerged from that session. Explain that we will now examine these linkages further by exploring the concepts of conservation incentives and disincentives.
Post and discuss terminology related to conservation incentives, conservation disincentives, and perverse incentives. Explain that for an ICDP to be effective, it should build in (and build on) both incentives and disincentives. These can be at various levels (local, provincial, national) and of different types (economic, social, policy). As far as possible, perverse incentives should be eliminated or minimised.

Explain that during this session, we will examine different types of conservation incentives and disincentives and discuss the roles, strengths and weaknesses of these through the following small group process:

- Each group will rotate among 3 “caselette stations” where they will review and analyse 3 caselettes illustrating different conservation incentives and disincentives.

- At each station, the caselette will be presented by a facilitator who will explain the background and activities of the initiatives using pictures (in 5 minutes). The facilitator will focus on the action/s taken by the project related to conservation incentives and disincentives and the impacts of these (intended and unintended).

- Each group will be given 20 minutes at each station to discuss the caselette and complete the following matrix on a flip chart.

| PROJECT TITLE: incentives/disincentives initiated by the project | GROUP NO: |
|---|---|---|
| Incentives/Disincentives | Strengths | Weaknesses | Alternate/additional incentives (or disincentives) that could be considered |

- At the end of 20 minutes, they should leave the completed matrix with the facilitator at the station and proceed to the next station. They should follow the same process at the next and the third station.
Divide the participants into 3 groups and ask them to begin the activity.

After all groups have visited all 3 stations, ask them to walk around the stations again and examine the results of the other groups (the facilitator should post these up for all to see).

Begin a plenary discussion with the following:

- What were the differences and similarities in the way the different groups identified and analysed incentives and disincentives for the same cases? Why?

- What kinds of conservation incentives/disincentives are stronger/weaker? Why?

- Were the intended impacts always achieved? Why or why not?

- What does this tell us about the range of incentives needed to achieve effective conservation? (Bring out the fact that while many ICDPs tend to focus largely on economic incentives, other types of incentives are also critical. Economic incentives are often very difficult to implement and monitor and policy incentives/disincentives might have a much bigger overall impact. “Internal” incentives/disincentives such and social/cultural ones may often be more easily accepted by communities than “external” ones.)

- What were the different groups targeted by the incentives? How were these decisions made? (Bring out the importance of targeting different kinds to incentives at different groups both within and outside communities)

- How can the effectiveness of incentives be measured?

- What combination of incentives and disincentives seemed to work best? Why? (Point out that disincentives by themselves are often unsuccessful just as only incentives may not lead to effective conservation.)

- How does the use of the incentive affect participation? Is the incentive a ‘bribe’? Is it being used as a ‘shortcut’ to gain entry into a community?
Attachment 14

Guidelines for Developing Caselettes on Conservation Incentives and Disincentives

(Make sure that the cases illustrate a range of economic, social and policy incentives and disincentives)

**Economic Incentives**
These are usually the most common types of incentives used in ICDPs. They are often designed to provide increased economic gains to the target groups with the objectives of reducing pressures on biodiversity or encouraging sustainable use of resources. Economic incentives to achieve the former objective include promoting sustainable agriculture, animal husbandry, agroforestry, etc. Conservation-based enterprises (harvesting and marketing NTFPs, ecotourism, etc.) and resource sharing agreements are often used to achieve the latter objective. Economic disincentives can include fines for breaking conservation regulations, etc.

**Social Incentives**
"External" social incentives are often based on the premise that impoverished and socially deprived communities will not see conservation as a priority and also on moral and ethical considerations. These can include providing health care and education facilities and other social services that can help to "build trust". Other social/cultural incentives can be "internal" to the community and can be linked to religious/cultural/social values that favour conservation. Social disincentives can include taboos, community pressures, etc.

**Policy Incentives**
At the macro level, these can include tax exemptions or fiscal breaks for conservation-friendly initiatives. They can also include debt-for-nature swaps and access to other funding mechanisms. At the micro level, these can include working on tenure reform or working to provide land rights to communities/individuals as lack of secure tenure is often seen as a major threat to biodiversity. Policy disincentives can include taxes, pricing, legislation, etc.
Attachment 15

Definitions

Conservation Incentive
An inducement or initiative that is designed to encourage or motivate the conservation of biodiversity. E.g. Loans to local farmers for intensifying agriculture rather than expanding into Protected Areas or providing benefits from ecotourism to local communities.

Conservation Disincentive
An inducement or initiative that is designed to discourage the depletion of biodiversity. E.g. Fines for breaking Protected Area regulations, social taboos, etc.

Perverse Incentive
Initiatives that encourage biodiversity depletion. E.g. Subsidies to clear forests for farmland; Low rates on forest products to industry, etc.

Adapted from: Incentives and disincentives to conservation by McNeely, Rojas and Vorhes in Borriini-Feyerabend, G. 1997. Beyond Fences: Seeking social sustainability in conservation. IUCN, Switzerland
Developing Livelihood Strategies

Purpose
To discuss the issue of alternate livelihoods and examine a process for determining alternate livelihoods in ICDPs.

Materials
Flip charts, coloured markers

Preparation
You might wish to work with a resource person with experience in livelihood issues for this session.

Time
2½ hours

Process
1
Explain the purpose of the session. Remind participants that we have already examined the linkages between conservation and livelihood development in earlier sessions. Here we will explore further a process for developing alternate livelihoods in an ICDP.

2
Introduce the resource person who will give a short lecture on livelihood development in ICDPs covering the following points:

Issues
a. What is a livelihood
b. Characteristics of rural livelihoods
c. How does conservation affect livelihoods/How do livelihoods affect conservation
d. Conservation-oriented livelihoods
e. Degree of change from existing livelihoods/Feasibility
f. Equity, benefit sharing and sustainability
Process

a. Recognise bounds and limits
b. Identify target areas and groups
c. Assess feasibility options
d. Develop implementation plans
e. Train and build capacity
f. Local testing and adaptation
g. Sharing, dissemination, scaling up

After the presentation, explain that small groups will now be examining these issues and process of livelihood development in relation to their own ICDPs.

Divide the participants into groups of 5-6 and explain that they should select a project for analysis from within their group. Once they have agreed on a project, they should discuss the following questions in relation to livelihood development activities in that project and present them in the following format:

<table>
<thead>
<tr>
<th>Questions</th>
<th>Discussion</th>
</tr>
</thead>
<tbody>
<tr>
<td>What type of livelihood was used?</td>
<td></td>
</tr>
<tr>
<td>What was the degree of change from the previous livelihood (modified, re-focused, introduced)?</td>
<td></td>
</tr>
<tr>
<td>On what basis was it selected?</td>
<td></td>
</tr>
<tr>
<td>What were the local priorities?</td>
<td></td>
</tr>
<tr>
<td>What were the bounds and limits in determining the livelihood activity?</td>
<td></td>
</tr>
<tr>
<td>What were the target areas and groups?</td>
<td></td>
</tr>
<tr>
<td>What were the feasibility concerns?</td>
<td></td>
</tr>
<tr>
<td>What was the linkage with conservation?</td>
<td></td>
</tr>
<tr>
<td>Did it succeed/fail?</td>
<td></td>
</tr>
<tr>
<td>Why?</td>
<td></td>
</tr>
</tbody>
</table>
After 40 minutes ask each group to briefly present its results.

Begin a plenary discussion with the following questions:

- What are some of the commonly selected alternate livelihoods? Why? (Suggest a focus on existing livelihoods)

- What are some of the common weaknesses? What steps are omitted? (Bring out the importance of a thorough feasibility analysis of any introduced livelihood.)

- What are some of the main problems with introducing alternate livelihoods? How can these be avoided?

- Did the target groups understand and accept the linkages between livelihoods and conservation goals? If not, why? What did this lead to?

Close by re-examining the key steps in developing successful livelihood strategies for ICDPs.
Generating Income and Conserving Resources

To examine the pros and cons of two different approaches to income generation and livelihood development in ICDPs.

Flip charts, coloured markers

To save time during the session, you might want to identify the 'teams' on the previous day and give them the topics of the debate (and relevant reference materials if necessary) to enable them to prepare strong arguments on the day of the debate.

Prepare the room so that there are two rows of chairs for the two teams facing each other, with the remaining chairs arranged behind them for the 'supporters'. Place chairs for the judges and timekeeper in strategic locations near the teams.

Develop a 'scorecard' for the judges which assigns scores for different criteria (for each debater). The criteria could be: content of argument, delivery, persuasion skills, originality, etc.

1½ hours (if pre-prepared); add 1 hour for preparation if necessary

Introduce the purpose of the session reminding participants that we have already explored issues of linkages and incentives to which this session is related.

Introduce briefly the current concepts and controversies related to improving livelihoods for people living in and around Protected Areas. Mention that determining an appropriate strategy for this is often what ICDPs grapple with. During this session, we will be adding our own 'voice' to these discussions.
Introduce the two strategies that will be debated during the session:

a) 'De-linking' people and Protected Areas by generating income through providing alternate livelihood options outside the PA (to reduce or eliminate dependency on park resources).

b) 'Linking' people and Protected Areas by generating income through adding value to natural resources sustainably harvested by people living in and around PAs (to increase people's 'stake' in the PA).

Explain that teams for the debate have already been selected and that each team will have to argue convincingly for 'their' strategy as the most effective one for achieving conservation.

Appoint two judges and give them each a scorecard, explaining the scoring process and criteria briefly. Appoint a timekeeper to remind debaters when their time is up. Tell the rest of the participants that they can choose 'sides' and seat themselves on the chairs on the side of their choosing.

Introduce the rules of the debate:

- Each member of each group will get an initial 1 minute to make a case for his/her strategy.

- One person from each side will speak in turns (i.e. one from side A followed by one from side B).

- Once all team members have made their initial arguments, members from either side can make counter arguments - not more than 30 seconds each. Each person can make only two interventions.

While the debate is taking place two resource people should note down the key points of each side's arguments. At the end of the debate ask the participants if any points were left out. Add these to the flip charts.
Close the session by reviewing the following points that should have emerged from the debate:

- In what situation is either of the strategies more (or less) appropriate? (Bring out that there is no 'right' or 'wrong' strategy but that the one selected is determined by social, cultural, economic, ecological, capacity and policy factors. Also bring out the point that the approaches are not 'mutually exclusive' and can both be applied at any given site.)

- What are the advantages/disadvantages of the two approaches? (A range of issues should have emerged here. You may want to highlight the issue of 'who makes choices' on the strategy used.)

- What is the more commonly used approach in their experience? Why do they think this is so? (Give examples and bring out situations under which each may or may not be an appropriate strategy.)

Ask the judges to announce the winning team and determine a prize for them.

**Note**

If you want to have all the participants actively "involved" in the entire process, you can ask people to choose 'sides' in advance and then have the groups help the debaters prepare for the debate.

A variation on this approach (particularly if the participants have language difficulties or if time is limited) would be to simply have two 'teams' and get them to note points in favour of their given strategy on a flip chart and then present these.
Conflicts and Conflict Management

Selected References:


"Chairs"

To 'actively' demonstrate how conflict can be managed through cooperation (or to demonstrate the importance of working together and compromising to achieve a task or goal)

None

Write three sets of instructions as described below on pieces of paper making sure that there is one set for each one third of the participants.
Clear the room of all tables and chairs except for about 20 chairs placed in the centre of the room.
Choose two points 'x' and 'y' which are on opposite corners of the room and mark these prominently.

20 minutes

Don't explain the purpose but tell participants it will become apparent at the end of the activity.

Give each participant a set of instructions (either A, B or C - see below), distributing equal numbers of each set of instructions randomly among the group. Tell them they should not read their instructions until they are told to do so.

A. Arrange all the chairs in a circle
B. Put all the chairs near the point marked 'X'
C. Put all the chairs near the point marked 'Y'

Tell participants that they will have 5 minutes to carry out the instructions given to them. Tell them that they should not show their slips to anyone else (make sure you don't say anything about not talking to anyone else).
Once the above instructions are clear to all, ask them to open their slips and carry out the task described in it.

Watch the process in the different groups and the large group carefully, especially noting how they start to cooperate and come to a solution. If they don't come to agreement and reach an 'impasse', stop the activity and begin a discussion with the following questions:

- What did they experience during this activity? (Answers will probably range around conflicts, confusion, communication breakdown, etc.)

- How did they interpret the instructions? Did they follow them?

- Why or why not? (Often people interpret them as "competing" rather than "collaborating" - relate this to resource management situations.)

- When did they start to cooperate? (If they didn't, ask them how they could have compromised.)

- Was there an obvious mediator? What was his/her role?

- How did the different people relate to each other? Confront each other? (Often individuals will focus on their specific task without relating to what others are doing or how they can work together to complete a task.)

- How is this related to 'real' situations in their experience? (Bring out issues of conflict, collaboration, working in isolation, partnerships, etc.)

- What does this tell us about conflicts over limited resources? About compromises and trade-offs? (Point out that often a goal that seems impossible to achieve because of conflicting interests can be modified to accommodate different stakeholders such that everyone's interests are 'partially' met. This might sometimes be the only way to move forward without conflict.)
Note

This exercise cannot be "completed" unless people with identical instructions start to cooperate and the three groups then come up with a 'compromise' solution. Remember that participants are allowed to talk to each other - they often assume that they are not allowed to talk.
Conflicts:
What and Where

To identify main causes, areas and levels of conflicts in ICDPs and to “map” these visually

Flip charts, coloured markers

Draw a Sample Conflict Matrix (Attachment 16) on a flip chart.

1 ½ hours

Introduce the purpose of the session, explaining that some level of conflict between interest groups is almost inevitable in any situation.

Present a 15-20-minute overview of causes and types of conflicts in ICDPs covering the following points and asking participants to draw on their own experiences to illustrate them:

a. When and why conflicts over resources occur
b. Levels and types of conflict
c. Root causes of resource conflicts

Allow 10 minutes for clarifying questions and then explain that during this session, the groups will be using a simple “tool” that can help identify the intensity and distribution of conflicts between different groups at any level.
Post the example of the conflict matrix which shows the existence and severity of conflict between different stakeholder groups in an area/project.

Explain the following group activity to be undertaken in 30 minutes:

First, groups should discuss and select a project or site that one of them is involved in where there are existing conflicts involving different stakeholders.

They should then list the key stakeholders on both the horizontal and vertical axes of the matrix as shown in the example.

Next, they should then discuss the level of conflict between each of the groups and assign a different sized circle in each of the boxes such that the size of the circle indicates the level or severity of the conflict.

Divide participants into groups of 5-6 and ask them to begin the activity.

After 30 minutes, ask the groups to post their results and allow 5 minutes per group to explain the matrix to the rest of the participants.

Initiate a plenary discussion around the following questions:

How useful was this activity in helping to 'map' conflicts? (Point out that this activity can help get a quick initial picture of existing conflicts.)

What are the similarities between the results of the groups? (Point out that often severe conflicts appear between the same kinds of stakeholder groups even in different countries.)

How can you use this matrix in helping with project management? (Explain that it can be used to 'monitor' conflicts. Changes in the matrix over time will show whether conflicts are increasing, decreasing or whether new conflicts are emerging.)
What do the results tell us about potential partnerships for conservation? (Point out that different groups who have conflicts with a common group can form alliances to increase their effectiveness as they may have similar goals.)

Note
This activity can be carried out at any "level". Participants may wish to "map" conflicts within a group (such as the government or the Ministry of Forestry). It can also be used effectively with project staff and community partners to illustrate the level and distribution of conflict.
# Attachment 16

## Sample Conflict Matrix

<table>
<thead>
<tr>
<th></th>
<th>Indigenous community</th>
<th>Immigrant farmers</th>
<th>P.A. management</th>
<th>International NGO</th>
<th>Ecotourism company</th>
<th>Logging concession</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indigenous community</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Immigrant farmers</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>P.A. management</td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>International NGO</td>
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<td></td>
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<td></td>
</tr>
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<td>Ecotourism company</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Logging concession</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(Replace with your own locally appropriate example)
Managing Conflict: A Process

Purpose

To examine the nature of conflicts in ICDPs and explore a process and approaches for conflict management.

Materials

Flip charts, coloured markers

Preparation

Prepare a flip chart with the Approaches to Conflict Management (Attachment 17).
Make copies of Steps in Conflict Management (Attachment 18) and Conditions for Negotiation (Attachment 19) for all participants.
Identify three resource persons/participants who are involved in projects/sites with unresolved conflicts and explain the process of the activity to them to enable them to prepare for it.

Time

2 hours

Process

1

Explain the purpose of the session informing participants that there are many approaches to conflict management. In this session, we will examine one of these. Introduce the three different mediation styles to conflict management with the help of examples.

2

Explain the following small group process to be completed in an hour:

Participants will be divided into groups with one resource person per group. This person will describe a conflict situation that is being experienced in his/her project or site. They should discuss this briefly and seek clarifications from the resource person on things that they might not have understood.
After the discussion, they should develop a short, realistic 3-4-minute role play showing the original scene and the conflict(s).

Each group will be given one conflict management style to demonstrate. They should also develop another role play demonstrating the use of the pre-assigned approach to conflict management.

Divide participants into three groups, assigning a resource person to each group. Give each group a conflict management style to demonstrate and ask them to begin the activity.

After they have completed the activity, ask each group to present both scenes. Allow a few minutes for questions and clarifications.

After all have presented, begin a discussion with the following questions:

- What were the conflicts in each situation? (Ask those who were not in a particular group to try and describe the conflict in that group.)

- What was the management style used in each of the cases? How obvious was it? Why or why not?

- How did the approaches to conflict management work in each situation? Could a different approach have worked better? Why or why not?

Distribute the Handout on “Steps in Conflict Management” process and ask participants what steps were followed in the role plays. Were some steps consistently missed? Why?

Distribute the Handout on “Conditions for Negotiation” and ask participants to relate these to their own conflict situations. Can all conditions always be met? Which ones might be “critical” for success in conflict mitigation?
Attachment 17

Approaches to Conflict Management

Negotiation
Where the parties discuss their differences and attempt to reach a joint decision with or without the help of a facilitator. It is a voluntary process in which the parties meet to reach a mutually acceptable resolution. If a facilitator is involved, it is only for guiding the process in a non-partisan manner.

Mediation
Involves the assistance of a neutral third party in directing the process of clarifying positions, identifying interests and developing agreed solutions. This is also a voluntary process and a mediator has no powers to render a decision.

Arbitration
When each side is required to present its case to an independent person who has legal authority to impose a solution.

Adapted from: Borrini-Feyerabend, G. 1997 Beyond Fences: Seeking Social Sustainability in Conservation, IUCN, Switzerland
Attachment 18

"Steps" in Conflict Management

1. Compile all important information related to the conflict from all stakeholders. Verify these facts where possible.

2. Select a time and a place for the meeting that is agreeable to all parties and organise the meeting.

3. Ask each party to explain their position clearly (what they want and why). They should be allowed to do this without interruptions (except for clarifying questions).

4. Identify where there are areas of agreement or similar interests.

5. Identify the areas of disagreement or conflicting interests.

6. Agree on a common overall goal for the negotiations.

7. Compile a list of possible options to meet this goal.

8. Evaluate each option against mutually agreed criteria (e.g. threat to resource, livelihood needs, etc.).

9. Facilitate an agreement on the options that maximise mutual satisfaction among the parties.

10. Determine a process, timeframes and responsibilities for actions required to implement the agreement.

11. Write up any decisions reached and get parties to sign this.

Adapted from: Borrini-Feyerabend, G. 1997, Beyond Fences: Seeking Social Sustainability in Conservation, IUCN, Gland.
Attachment 19

Conditions for Negotiation/Mediation

- All people or groups who have a stake in the negotiations should be willing to participate.
- Parties should be well prepared for the negotiations.
- Each party should have some means of influencing the attitudes and/or behaviours of the other parties.
- They should have some common issues and interests on which they are able to agree.
- They should be dependent on each other to some degree.
- They should have a willingness to resolve their conflicts.
- They should be willing to compromise to some degree.
- They should feel some pressure or urgency to reach a decision.
- The issues should be negotiable.
- The parties should have some authority to actually make a decision.
- Any agreement reached should be feasible and achievable.

Adapted from: Borrini Feyerabend, C. 1997, Beyond Fences: Seeking Social Sustainability in Conservation, IUCN, Switzerland.
Partnerships for Conservation and Development

Selected References:


"House of Dreams"

To experience the challenges of planning and implementing a task with a common goal while considering interests of other stakeholders.

15 index cards per group

Make one copy of Observer Guidelines (Attachment 20) per group.

45 minutes

Process

1

Don't explain the purpose of the task initially. Just say that they will be working together in small groups on a task. We will discuss it afterwards.

Ask for one person from each group to volunteer to be an observer (or choose one). Explain to these representatives that their task is to observe what happens in the group and record them on the Observer Guidelines sheet.

2

Explain that each group will be given 15 index cards. Their task is, as a group, to build "the house of their dreams". They may use no other supplies than the cards. They will have 15 minutes to build their houses.

3

After all have finished, invite the whole group to tour the neighborhood. They may explain aspects of their houses to each other if they wish and if there are questions.

4

Assemble in a plenary and ask each group to briefly reflect on their experience and to describe helpful and non-helpful things that happened in the group.

5

Chapter 4: ICDP: Components & Issues  page 136
Next, ask the observers to describe what they saw, referring to the questions on their guidelines as well as anything else they observed.

Comment on what came out of the groups' experiences particularly in terms of developing a shared vision and implementing it.

- What compromises were made? Why and how?
- Also think of the groups as groups of stakeholders who have shared, equal (we assume) interests. From their points of view, was this an effective/successful project?
- What does this tell us about working with partners and developing common goals?

Adapted from Silberman and Whiteling, 1993. Twenty active training programs, Volume I.
Attachment 20

Observer Guidelines

Observer Directions:

Carefully observe your small group to determine the following:

1. How did they decide what to do?
2. How did they plan?
3. How did they develop a common vision?
4. How was this implemented?
5. Who were the main stakeholders?
6. How did the stakeholders relate to each other?
7. What problems or difficulties did they have?
8. What went particularly well? Why?
Partnerships: Who and Why

To build awareness on the role and importance of different kinds of partnerships in conservation.

Flip charts, coloured markers

Write the definitions of Types of Partnerships (Attachment 21) on a piece of flip chart paper

1 hour

Explain the purpose of the session and ask people to think about partnerships (related to conservation initiatives) that they are currently involved in. At this point, don't go into further details on what is meant by partnerships or types of partnerships. Ask them to think of anything they consider a "partnership."

Explain the following group activity:

Once in their small groups, they should go around each person in the group and list different partnerships each person is involved in. They should list these (2-3 per group member) in a column on a flip chart.

Next, they should discuss the positive aspects of the partnership. Why did they get involved in it? How does it help them (and their partners meet their goals or interests? What are the strengths of the partner? They should summarise this in a second column on the flip chart.
Finally, they should discuss any problems that they (or their partners) might be experiencing in relation to each of the partnerships. Why are these problems occurring? List these in a third column.

At the end of 30 minutes, they should be prepared to present their results in the following format.

<table>
<thead>
<tr>
<th>Partners</th>
<th>Purpose/strengths of Partnership</th>
<th>Problems/constraints in Partnership</th>
</tr>
</thead>
</table>

Divide the participants into groups of 4-5 (splitting up people from the same country/project/organisation/department) and ask them to begin.

After all groups have finished, ask them to post their results and allow 10 minutes for all participants to examine each others' outputs.

Point out the number and variety of partnerships that the group are already involved in. Post the flipchart with the Definitions of Partnerships and briefly introduce these. Ask participants to think about how these fit with the partnerships they have already identified.

Initiate a plenary discussion around the following points:

1. What are the similarities in the partnerships listed by the different groups? What are the differences? What are some unique partnerships? (See if any groups listed partnerships with communities or indigenous groups or industry and discuss the implications of this.)

2. Do all groups agree that the relationships listed can be considered "partnerships"? Why or why not? (Discuss different perceptions of partnerships. What factors would constitute an "ideal" partnership?)
Are any of the partnerships "equal"? Why or why not? (Discuss what people understand by "equal" partnerships. Is this feasible? How does power affect partnerships?)

What are the different objectives for the partnerships that have been listed? Are there others which have not been listed?

What are some of the common problems/constraints? How do they hinder the achievement of common goals?

What does this tell us about partnerships in conservation and development? (Bring out the idea of working through partnerships as a fundamental concept of ICDPs)
Attachment 21

Types of Partnerships

Network
A loose linkage of group or individuals around a particular topic

Coordination
A closer arrangement of an agreed goal; activities undertaken individually but checked with other members against the goal

Collaboration
When two or more groups established formal agreement to work together; involves a clearly defined relationship and often written goals

Consortium
Open and non-binding; any individual or organisation with an interest in the goal can join

Alliance
Usually has a legal basis and a permanent organisational set-up
Partnerships for Conservation

To examine conditions necessary for balancing stakeholder interests and building effective partnerships for conservation.

Flip charts, coloured markers, coloured poster paper, scissors, glue

Make one copy of Scenario (Attachment 22) and Roles (Attachment 23) for each participant.
Use the coloured poster paper to design a different 'hat' for each of the roles. Write the title of the role clearly on the hat.
Arrange the room for the role play, with chairs in a circle around a central area where the role play is to be enacted.

2 hours

Explain the purpose of the session, highlighting the difficulties of balancing the varying interests of different stakeholders in developing effective partnerships for conservation.

Ask participants for examples based of their experiences in attempting to work with different stakeholder groups and problems encountered in this. Explain that we will be exploring in this issue further through a "participatory role play."
Distribute a copy of the 'Scenario' to all the participants and explain the process.

Seven participants/resource people will initiate the role play. Each person will be assigned a particular role and a 'hat' corresponding with that role.

They should put on their hats, sit in a circle in the centre of the arranged chairs and discuss the issue raised in the scenario amongst themselves. This should be from the perspective of their assigned role.

The rest of the participants should sit in a circle around the role players and listen to the discussion.

After 5-10 minutes, any participant is free to add to the discussion. If they have something to say, they should put on the hat of the person they are representing and say their piece. Again, this should be based on the assigned characteristics of each of the roles. Once they have said what they wanted to say, they should return the hat to the original role player and return to their seat. The role players should continue their discussion, taking into account what has just been added.

Except for the original seven people (who cannot change their assigned roles), the rest of the participants can take on any role as often as they like. They should be sure to identify themselves with the appropriate hat each time they speak.

Ask for seven volunteers to take on the initial roles and assign one of the seven roles to each of them. Distribute their role characteristics and hats. Give them about 10 minutes to reflect on their role and clarify any questions they might have. Explain that they should not discuss their roles with each other at this point.

Distribute the descriptions of the roles to the rest of the participants and begin the role play.
At the end of 40 minutes, end the role play and begin a discussion with the following questions:

- How useful was the role play in identifying issues and problems related to developing partnerships for conservation?

- How did knowing/not knowing the characteristics or agendas of other stakeholders affect the interactions? (Bring out the importance of transparency in the formation of effective partnerships)

- How were conflicting priorities of different stakeholders reconciled (or not)?

- What does this tell us about moral/ethical issues in developing partnerships? (Bring out the difficulties of doing what's "right" - and from whose point of view. How do we know that partners represent others in that group? Should one work with traditional structures if they are 'repressive'? Who considers them repressive?)

- What are some of the driving forces in developing partnerships? (Bring out issues related to 'power' or influence of different stakeholders)

Wrap up the discussion by asking participants to list some "Conditions for Successful Partnerships" based on the results of the session.

Note
If you have time, you can extend this important session by identifying people who have developed partnerships with different stakeholders and having them present short case studies on these partnerships (covering issues raised in the discussion questions)
Attachment 22

Scenario

The Nation of Palu.

Palu is a small landlocked nation whose population is largely made up of small-scale and subsistence farmers. The main export of the country is timber from its rich but rapidly depleting forests.

One of the reasons for the rapid depletion of Palu's forests is rampant and illegal logging by companies from larger, economically powerful countries in the region. This is having a serious impact on the lives of subsistence farmers (many of whom are indigenous groups) who are increasingly marginalised and face severe hardships from the impacts of destructive logging.

Indigenous communities no longer have legal ownership of forest lands, most of which now belong to the state. However, since communal ownership of forest lands was abolished only recently, there is still some confusion over the traditional ownership and usufruct rights of these communities. This confusion is exploited by logging companies. To address this, the government is considering acknowledging customary ownership of some forests, under specific terms and conditions. This legislation is still being debated in parliament.

In the province of Juma in the biologically rich north of the country, most stakeholders are agreed that something has to be done to achieve long term conservation of the forests and to control the illegal loggers. The broad plan is to obtain international funding from an NGO to set up a Protected Area with a multi-stakeholder management board. However, there are still many conflicting interests within the stakeholders which need to be addressed in order to develop a functional partnership.

They have been discussing how they will work together to implement the plan. We now have a chance to observe (and join) this discussion. Welcome!

Note: You should adapt/change the scenario and roles to fit in with your situation.
Attachment 23

Roles

**Indigenous People's Leader**

- Quiet and poetic. Cares deeply about land and forests
- Traditionalist. Not opposed to change but wants to be convinced it will work within the culture and needs of his people
- Cautious about working with the government from past bad experiences

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**Educated Local Community Representative**

- Harvard educated
- Sees need for quick development in communities. Sees no value in continuing traditions or cultural practices.
- Wants Palu to 'modernise' fast
- Corrupt and self interested. Getting kickbacks from logging companies

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**Local Conservation NGO Representative**

- More interested in economic development of indigenous communities than in environmental or cultural values
- Concerned about agenda of outside conservation groups
- Sometimes comes across as naïve and hasty
Women's Group Leader

- Represents women of Juma who are generally unrecognised and under-represented and who suffer most from impacts of logging
- Is eager to get women's voice heard in decision making
- Does not trust either government representative or educated community representative

National Government Bureaucrat

- Believes that a partnership with the indigenous community will only bring problems, but also knows that funding for the project will not come unless the project unless you keep them on your side
- Strongly pushing for increased tourism after study tour to Australian National Parks
- Doesn't want NGOs involved under any circumstances

International NGO Officer

- Biologist who does not know the country well
- Seeking to negotiate a partnership agreement so that all the players will cooperate in implementing the multi-million dollar program that his/her NGO has developed
- Supports indigenous rights but wants to set aside large part of forest as strict nature reserve
- Impressed by the young community leader
Collaborative Management: Approaches, Constraints and Opportunities

To examine different 'models' of co-management in Protected Areas and to identify constraints and opportunities in implementing co-management in different situations.

Flip charts, coloured markers

Write the Continuum of Co-management (Attachment 24) on a series of flip charts pasted together. Meet with some participants/resource people prior to the session and try to draw out examples for each approach from within the group.

2 hours

Introduce the purpose of the session.

Explain that we will start with a brief overview of different types of collaborative management approaches related to Protected Areas. Explain that there are many examples of collaborative management of resources outside of PAs, but fewer in PAs which are faced with greater constraints in moving towards co-management.

Post the Continuum of Co-management and illustrate each approach on it with examples (or ask participants/resource people to provide the examples if these have been identified previously). Allow 30 minutes for this including time for clarifying questions.
Tell participants that we will now examine our own situations (i.e. Protected Areas that we are working in or are familiar with) to identify problems or constraints in setting up collaborative management mechanisms and use the collective experience of the group to try and come up with some solutions or identify opportunities.

Explain the following small group process to be completed in 40 minutes:

1. First, each group should select a site/project and discuss what they are already doing in terms of co-management. They should indicate where this fits on the Continuum (if it is not described, they should add it).

2. They should then discuss what co-management “model” they would ideally like to move towards and identify constraints and opportunities in adopting some of the other approaches (especially increasingly ‘participatory’ approaches - moving to the right of the continuum).

3. They should summarise their results and be prepared to present them to the large group.

Divide participants into groups (keeping people from the same country/project together) and ask them to begin the activity.

At the end of 40 minutes, ask each group to briefly present their results and allow a few minutes for clarifying questions.

Begin a plenary discussion with the following questions:

- What emerged as the most common type of co-management arrangement? Why do you think this is? (If one type dominates, it might be because the group is homogenous - either geographically or institutionally.)
If there is a range of types, what might be the reason for this? (It may be because different countries are represented in the group.)

What are some of the main constraints to developing 'more collaborative' arrangements? (Make sure that all major constraints such as policy, attitude, lack of information, capacity, etc. emerge.)

How could you maximise some of the opportunities? Can these transferred or replicated in other sites/countries?

Is there an 'optimum' type of co-management arrangement that we should strive for? Why/Why not?
Attachment 24

A Continuum Of Co-management

More formal agreement involving formation of some sort of stakeholder committee. Usually limited to communities living outside a PA and related to "development" benefits and restrictions on access to PA. Driven and controlled by PA.

Multi-stakeholder PA Management Boards. Stakeholders have greater role in overall management of PA. Reduced authority of PA management. Needs greater political recognition.

Informal or semiformal agreement between PA management & one or more stakeholder groups regarding the use of specific resource (or resources). No stakeholder committees or institutions. Agreement based entirely on discretion of PA manager.

Agreements with people living inside and outside the PA. More complex arrangements with some shared decision-making on use and management of PA resources. Committees may have a wider political recognition and may not be entirely under control of PA management.

"Community managed" reserves. Main decision-making rights with local stakeholders/communities. Government representation and role based on decisions by community.
Collaborative Management
Of Resources: A Process

To understand the process and some of the key steps involved in developing and implementing collaborative resource management.

*Flip charts, coloured markers, scissors, envelopes*

Print out each of the 'Steps in a Collaborative Management Process (Attachment 25) in a large type that can be easily seen from a distance. Make one set per group and be sure to include some 'blank' slips. Cut out each of the steps and put these in an envelope (one set per group)

2 hours

Explain the purpose of the activity, mentioning that we have looked at many of the issues related to developing collaborative management agreements. We will now examine the process of developing such an agreement.

Explain the following group task to be completed in 30 minutes:

1. Each group will be given a set of 'steps' that might form part of a process of developing a co-management agreement (for resource management) with stakeholders.

2. They should discuss the steps and agree on a sequence for the process of setting up a co-management agreement/mechanism.
Explain that there are blank slips which they can use to add steps if they wish. They do not need to use all the slips provided if they consider some steps to be redundant or not relevant. Mention that there is no 'right' or 'wrong' process, but they must be able to explain or defend their order to the larger group.

Once they have agreed on a process, they should paste or tape their strips to a piece of flip chart paper. Mention that they can add or draw anything else they want as well (such as arrows, linkages, etc. to make a flow chart).

Divide participants into groups and ask them to begin.

At the end of 40 minutes, ask all groups to post their results and allow 5 minutes for participants to look at each other's flip charts.

Initiate a plenary discussion on the results with the following:

- What are some of the major differences in the processes identified by the different groups? Why?

- What were the major areas of discussion/disagreement within the groups? How were they resolved?

- How many groups identified some of the steps as ongoing processes? What were these?

- What are some of the critical steps without which the process cannot succeed or proceed? (Bring out issues related to supportive policy, conflict resolution, common vision, etc.)

- What are some of the key steps that can ensure continuation of the agreement? (Bring out importance of institutional strengthening, monitoring, feedback, etc.)
Attachment 25

“Steps” in a Collaborative Management Process

Note: You should use these only for guidance. Substitute some other steps more relevant to your own situation. Don’t include more than 15 steps or groups will be overloaded. Also remember to include some blank slips.

- Initial dialogue between stakeholders on feasibility of co-management
- Monitor process and review agreement
- Clarify rights, responsibilities, and procedures to maintain agreement
- Determine membership of co-management committees or groups
- Establish mechanisms for resolving disputes or conflicts
- Identify areas where information/research is needed
- Develop/identify institution for co-management
- Develop a common goal/vision among the stakeholders
- Build mutual trust and confidence
- Discuss and develop collaborative management options
- Identify main stakeholders
- Develop mechanisms for communication and review
- Review and analyse existing situation regarding resource use, rights, conflicts, impacts, etc.
- Publicise the co-management agreement through different means (media, meetings, events, etc.)
- Expand the agreement to include wider (or new) areas
ICDP "Lessons"

To encourage participants to re-examine ICD issues from several different perspectives.

Flip charts, coloured markers, 'dot' stickers (or substitute)

Prepare one set of ICDP Lessons (Attachment 26) flip charts per group. Paste one ICDP “question” in a different part of the room so that participants know where to post the results of their discussion on each of these questions.

2 hours

Introduce the purpose of the session and explain that there are many lessons' that have been learned from ongoing and past ICDPs, some of which we will examine during this session.

Explain that the statements have been deliberately worded to be provocative and contradictory to generate discussion. Also add that they have been taken 'out of context' and may therefore appear incomplete or too general. Several 'conditions' will obviously apply for any of the statements to hold true. Again, stress that this is for purposes of generating discussion among the groups.

Explain the following group process:

Each group will be provided with a set of four prepared flip charts and a set of coloured 'dot stickers' (each person in the group should have a different colour). Each flip chart lists a key question related to ICDPs, along with some statements that 'answer' these questions.
Participants should first spend 10 minutes individually examining the 'questions and answers' to see which ones they agree with most.

By the end of the 10 minutes, each group member should have placed one or more coloured dots against the statements they most agree with (two dots if they strongly agree, one dot if they agree - under certain conditions, no dots if they strongly disagree). They should also be prepared to explain later the reasons for choosing their statements.

After all members have marked their statements, they should look at their flip charts and spend the next 45 minutes discussing the results. Group members should explain to each other reasons for marking certain statements and list these next to the statement.

Explain that it is not necessary for the group to come to a 'consensus' on the different statements as long as everyone has a reason why they agree or disagree with any statement. After the discussion within the groups, members may or may not wish to change the way they had originally marked their statements. If they have some other statement to add to any of the topics, they can do so.

At the end of the discussion, all groups should post their flip charts around the room such that all charts with the same question from different groups are posted together.

Divide participants into groups of 4-6, distribute the prepared flip charts and ask them to begin the activity.

At the end of an hour, ask groups to post their flip charts and spend 5-10 minutes looking at the results of the other groups.

Initiate a plenary discussion with the following questions:

What are some of the commonalities between the results? What are some of the main differences? (Select a statement where there is a variation in results and ask participants to explain their reasons for agreeing/disagreeing with it.)
- Why do they think there is such a range in the results? (Point out that the situation of each ICDP is unique and therefore there are no 'set' answers.)

- How useful was this activity in getting them to think about the different approaches ICDPs can take?

- What does this tell them about the 'evolution' of ICDPs? (Bring out the increasing number of issues that ICDPs need to address.)
Attachment 26

ICDP "Lessons"

*Note* Substitute your own, more appropriate "statements" here if you wish

What is the optimum size and scale for ICDPs?
- Large, multilateral funded (e.g., GEF, etc.) ICDPs are the only ones that are likely to have any impact.
- ICDPs must be designed and implemented on regional and landscape scales in order to be effective.
- ICDPs should be small-scale "pilot" projects that demonstrate an approach to conservation.

What is the role of different institutions/organisations in implementing ICDPs?
- ICDPs should be planned from the beginning for local takeover and phasing out of external support.
- ICDPs should be handed over governments as soon as possible to continue the support that has been initiated.
- NGOs are in the best position to design and implement ICDPs.

What are the key conservation/development "linkages" in ICDPs?
- ICDPs should primarily aim to decrease communities' dependence on natural resources to ensure conservation of the resource base.
- ICDPs should aim to increase the value of resources by creating a need for certain resources and/or adding value to resources already being used.
- There is an inherent conflict between creating viable enterprises and protecting the resource base.
Integrated Conservation
And Development:
What, Where, Who and Whither

To examine some key emerging issues related to Integrated Conservation and Development in a ‘participatory’ manner.

Flip charts, coloured markers

Prior to the session, identify four resource people/participants who can ‘lead’ the discussion and assign one of the four questions to each of them. Arrange the room for the ‘fish bowl’ discussion with eight chairs in a central circle and the remaining chairs in an outer circle.

1 1/2 hours

Explain the purpose of the session. Explain that over the last few years, many new ideas on Integrated Conservation and Development have emerged from lessons learned through implementation. This session will allow us to explore some of these and share experiences.

Briefly explain the following questions about ICDPs that we will discuss during this session:

a. WHAT — is Integrated Conservation and Development? What are the main elements of an ICD approach? What are some of the perceptions and misconceptions about ICDPs?
b. WHERE – should ICD initiatives be located? How is this determined? What criteria is it based on?
c. WHO – are the key players in an ICD? Who should be involved in What way? Who determines this and sets priorities?
d. WHITHER – What are some of the trends in ICD? What have been the lessons learnt? What is the future direction?

Explain that we will be discussing these issues in a “fishbowl.”
Describe the fishbowl process:

1. The four resource persons who have already been assigned one of the question will sit in the centre circle. They will be joined by three participants, with one chair remaining empty. The rest of the participants should sit on the chairs in the outer circle.

2. Each resource person will spend 3 minutes addressing his/her specific question (aimed at the six people in the ‘bowl’, but loud enough so that the people on the outer circle can also hear). At the end of this, the remaining six people in the bowl should discuss the issues raised by the speaker.

3. At any point, participants from the outer circle can move to the empty chair in the ‘bowl’ to add to the discussion. Once his/her point has been addressed, he/she should vacate that chair and Move back to the outer circle, leaving the chair vacant for another participant to join in.

4. One or two people (this could include the facilitator) will record the main points on flip charts.

Ask resource people and participants to take their respective seats and begin the fish bowl. You might need to monitor this session so that individual people do not take up too much time and as many as possible get a chance to participate.

At the end of an hour, regroup for a plenary discussion around the following questions:
How useful was this process in addressing issues related to ICDPs? (Ask participants to focus on the ‘process’ first rather than the contents. Try to assess whether hearing more than four points of view was useful or not).

Did it help in answering remaining questions related to ICDPs that they might have had?

What questions still remain? (Try to address these in the plenary sessions).

Are there any points recorded on the flip charts from the discussions that need further clarification? (Try to get the other participants to clarify these).

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**Note**

Make sure that the resource people present their ideas in an interesting and “discussion-provoking” manner. They should try and raise points for discussion, not go into detail on any single point. Use the background discussion on Integrated Conservation and Development in the first chapter of this manual to guide the discussion if you wish.
Participatory Planning, Monitoring and Evaluation
Participatory Planning

Selected References:


"Straws and Pins"

To explore the importance of planning, monitoring, roles and collaboration in implementing a given task.

80-100 plastic drinking straws per group (preferably those that ‘bend’ at the top), approximately 100 straight pins for each group

Make one copy of the Observer Guidelines (Attachment 27) per group.

45 minutes

1. Explain that participants will be working together on an activity related to planning. Explain that the purpose of the activity will be discussed afterwards.

2. Divide the participants into groups of 5-6 people and select a volunteer to be an observer from each group.

3. Meet briefly with the observers alone. Go over the Observer Guidelines with them and explain how these should be filled out. They should not talk or discuss anything with the groups during the exercise.

4. Give each group the straws and pins and explain that each group is to spend 15 minutes building the tallest, freestanding tower which will stand for at least 30 seconds.

5. Move the groups to different parts of the room or different rooms if available (ideally, the groups should not be able to observe each other while they are constructing the tower) and instruct them to begin. Keep them appraised of the time. Make sure the observers understand their task and are filling out the forms.
At the end of 15 minutes, ask the groups to stop and move all the towers to the centre of the room. Announce the winner of the competition.

Ask the observers to share their observations with the whole group and bring out the following key points related to planning:

- Did any group consciously plan what they did before starting?
- Did they have a hypothesis? Assumptions?
- Did they include contingency planning?
- What changes did they make along the way?
- What were some of the key ‘milestones’ or ‘events’ that shaped the process?
- What would have happened if they could not have made changes?
- Did they monitor? How did this lead to decisions?
- What were the different team roles and how did these evolve?
- What was the level of participation and how did this change?

Close by asking the group to reflect on how this activity relates to the way they currently plan and implement ICDPs and what lessons emerge from it.
Attachment 27

Observer guidelines

You are to observe the group's planning process. You are not to speak or participate in the activity in any way. If you are asked to help simply say that you are not allowed to. Observe and note the following:

1. Does the group do any planning? How?

2. Does the group test ideas? How?

3. Who takes leadership roles? Does leadership emerge or does the group appoint a leader?

4. Does everyone participate? In what ways?

5. Does the group monitor and evaluate? How?
"Common Ground"

To explore issues in finding common ground with others, especially with many and diverse stakeholders/partners.

None

None

30 minutes

Explain the purpose of the activity.

Ask everyone to find a partner. Make sure that each participant is paired of with someone.

Explain that each pair should discuss and choose a specific and unique fact about themselves that they share (for example, that both of them collect Ornithoptera butterflies or are mad about whitewater rafting). General facts such as we are both humans or we are both men are not acceptable.

Once pairs have decided on this fact, ask them to raise their hand to indicate that they are done.

Instruct a pair that has completed the task to find another pair. Have them explain their fact and negotiate another (or the same) specific and unique fact that is common to all four of them. Again ask them to raise their hand when they are done.
Repeat this process (with groups of 8, 16, etc.) until all groups have joined to make one single group and have discovered a fact common to the entire group.

With everyone seated, discuss the following questions:

1. What did they learn from this exercise?
2. How did the shared fact change as the group got larger?
3. How did they negotiate towards common ground?
4. What problems did they strike in your negotiations?
5. What does this say about developing shared objectives or a common vision?
6. Do you think the results would have been different with a different (more homogenous/more heterogenous) group?
"If.....then"

To illustrate 'cause' and 'effect' linkages in a humorous and interesting manner.

**Index cards**

**None**

**20 minutes**

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Divide participants into two groups, 'A' and 'B' on either side of the room and distribute one index card to each participant.

Explain that every participant in Group A should independently write the first half of a short sentence beginning with "IF" on their index card. The sentence can be about anything at all, e.g. "If the world was not round......"

Participants in Group B should at the same time write the second half of a sentence beginning with "THEN" on their index cards, e.g. ".....then I will be the happiest person in the world."

Give the groups a few minutes to think of their sentences and write them down.

Once all have finished, ask a participant from Group A to read out his/her 'IF' statement, immediately followed by a 'THEN' statement by a participant from GROUP B. The results will often be quite funny since there is no link between the 'IF' and 'THEN' statements.
Continue this process until all the cards have been read out. Explain that this light activity was used to highlight the cause and effect relationship (or the lack of it). Point out that often projects are designed without a logical case and effect relationship, leading to problems in implementation.
Introduction to Planning for ICDPs

To introduce participants to the participatory planning process for ICDPs.

Post-its, coloured markers

Draw the Action Planning Model (Attachment. 28) on a flip chart.

30 minutes

Explain the purpose of the session, emphasising that the participatory process is critical for ensuring effective implementation of ICDPs.

Point out that weak planning usually leads to problems during implementation while a strong participatory planning phase can help minimise such problems and/or have effective systems in place to deal with them.

Post the Action Planning Model, and 'walk' the participants through each stage. Stress the importance of stakeholder participation throughout the planning and implementation process, highlighting the importance of the following steps/processes:

a. Participatory situation analysis to understand interactions, linkages, threats, uses, values, perceptions, policies, etc. related to resources. Point out that a number of participatory tools and methods such as root causes analysis, problem analysis, stakeholder analysis, PRA, etc. can be used to undertake this.
b. Mention that stakeholder consultation and negotiation is a critical process that is often not given enough importance. Once key stakeholders have been identified it is important to facilitate a process of interaction, negotiation and consensus building. This helps to ensure that project goals and objectives are developed jointly, based on agreed stakeholder priorities even if this means some amount of compromise among the different interest groups. Without this process of negotiating agreed priorities, there will be little stakeholder “ownership” of the initiative.

c. Point out that during the above steps it is important that all parties are open and transparent about interests and motivations. It is also important during these phases to share and exchange information among the stakeholders so that balanced and informed decision-making can be facilitated.

d. Once agreement among stakeholders has been reached, the project’s strategy and objectives can be developed. At this point it is critical that roles and responsibilities of the different stakeholders are clarified.

e. The next step is to develop the overall project plan which should include details of the specific activities to be undertaken as well as details of a monitoring strategy. Point out that if the process is followed, the activities (including development interventions) should emerge from a process of consultation and after roles and responsibilities have been agreed. Many ICDPs run into problems because they tend to start with activities before a proper situation analysis or development of stakeholder agreements in relation to their roles and responsibilities regarding the activities.

f. Point out also the importance of working through partnerships for implementation. Most institutions will not have all the skills necessary to implement complex ICDPs and it is important to form partnerships with other groups who may have common interests and complementary skills.
g. Explain that project implementation should include ongoing monitoring and adaptive management based on the results of the monitoring.

h. Finally, the evaluation should be participatory and should be fed into an ongoing process of policy influencing and institutional change.

Stress that some of the steps are iterative — they are not carried out just once, but need to be revisited at different steps during the life of a project cycle or programme and adjusted as external or internal factors change. Also, point out that in ‘real life’, the process is dynamic and different ‘steps’ will merge into each other depending on the specific situation.

Respond to questions or comments about the model. Ask participants to think of their experiences with project planning and add any missing/additional steps on Post-its and stick them at the appropriate place on the model. Discuss these points with the whole group and if everyone agrees, modify the model.

Close by pointing out that this process can be used at several “levels” within the same project. For example at the level of overall ‘macro’ planning as well as for local level ‘micro’ planning.
Stakeholder Identification and Analysis

To introduce a 'visual' approach for identifying and assessing the 'interest' and 'influence' of different stakeholder groups in an initiative.

Flip charts, coloured markers, coloured poster paper, scissors, glue sticks

Cut several circles of different sizes (at least six sizes) out of the coloured poster paper. Circles of the same colour should be the same size. Cut out triangles of different sizes (again, triangles of the same colour should be the same size). Prepare enough of both so that each group can have several circles and triangles of different sizes and colours.

2 hours

Explain the purpose of the activity. Ask participants what they understand by the term 'stakeholder' in the context of an ICDP and clarify any confusion.

Explain that participants, working in small groups, will be looking at their own projects/sites and identifying stakeholder groups and their relative interest in and influence on the initiatives using the following small group process:

1. First the group should select an initiative that they want to work on.
2. They should then discuss and list all the key stakeholder groups for this project/initiative.
3. Next, they should use the coloured circles that will be provided to represent each stakeholder group (by labeling the circle). They
should choose a circle size to represent the relative 'interest' or
'stake' of the group in the project or its outcomes. The larger the
circle, the bigger the stakeholder interest/stake.

Glue circles to a piece of paper with the project initiative stated in
the center. Use distance from the center and from each other to
depict the relative 'closeness' (not geographic) of the stakeholders to
each other or to the initiative.

Once they are satisfied with their stakeholder interest circles, they
should discuss the relative power or influence each of these groups
wield in relation to the initiative. Choose a triangle that represents
relative influence (the bigger the triangle, the more powerful the
group) of each group on the initiative. Glue this on top of
(overlapping) the appropriate circle.

At the end of this activity, each group should have a piece of flip
chart paper for their project with circles and triangles
representing the stakeholder groups and their relative influence
pasted on it. They should be prepared to present and explain their
results to the other groups.

Divide participants into groups, distribute flip charts, circles, triangles and
and glue sticks to each group and ask them to begin the activity.

At the end of 40 minutes, ask each group to briefly present and explain
their results.

Hold a general discussion around the following points:

- How useful was this activity in identifying and carrying out a
preliminary analysis of stakeholders related to an ICDP? (See if
people think the “visual” way of depicting stakeholders is more
effective than the more common ‘matrix’ approach.)

- How useful was this approach in introducing/implementing a
preliminary analysis of stakeholders ? (Point out that sometimes a
more “visual” approach can be more effective and interesting than a
linear matrix approach that is more commonly used. Explain that
should choose a circle size to represent the relative 'interest' or 'stake' of the group in the project or its outcomes. The larger the circle, the bigger the stakeholder interest/stake.

Glue circles to a piece of paper with the project initiative stated in the center. Use distance from the center and from each other to depict the relative 'closeness' (not geographic) of the stakeholders to each other or to the initiative.

Once they are satisfied with their stakeholder interest circles, they should discuss the relative power or influence each of these groups wield in relation to the initiative. Choose a triangle that represents relative influence (the bigger the triangle, the more powerful the group) of each group on the initiative. Glue this on top of (overlapping) the appropriate circle.

At the end of this activity, each group should have a piece of flip chart paper for their project with circles and triangles representing the stakeholder groups and their relative influence pasted on it. They should be prepared to present and explain their results to the other groups.

Divide participants into groups, distribute flip charts, circles, triangles and glue sticks to each group and ask them to begin the activity.

At the end of 40 minutes, ask each group to briefly present and explain their results.

Hold a general discussion around the following points:

- How useful was this activity in identifying and carrying out a preliminary analysis of stakeholders related to an ICDP? (See if people think the “visual” way of depicting stakeholders is more effective than the more common ‘matrix’ approach.)

- How useful was this approach in introducing/implementing a preliminary analysis of stakeholders? (Point out that sometimes a more “visual” approach can be more effective and interesting than a linear matrix approach that is more commonly used. Explain that
there are a number of different ways to carry out a stakeholder analysis and that there is no “fixed” approach. The method/tool selected would depend on the specific information needs and the composition of the group carrying it out. They should experiment with and adapt different approaches depending on their situation.)

What does this tell us about stakeholders and power/influence?

How could this information be used in deciding project interventions?

How did they determine ‘key’ stakeholders? (This is an important point. It is often impossible to engage “all” stakeholders and choices have to be made about whom to work with.)

What could go wrong if certain stakeholders are not included? How could one deal with ‘negative’ stakeholders?

Are there new stakeholders likely to emerge as a result of the project?

Remind participants that stakeholder or interest group identification and analysis is a process that should be repeated throughout the project cycle. New stakeholders can emerge as the initiative progresses and the roles and impacts of existing stakeholders will evolve.

Stakeholder Analysis: Problems and Potentials

To introduce a method for stakeholder analysis that helps to identify problems and potentials in working with different stakeholders in an ICDP.

Flip charts, coloured markers

You might want to identify projects/sites that the groups will be working on prior to this activity.

1½ hours

Explain the purpose of the activity, reminding participants about the importance of stakeholder analysis in any conservation and development initiative.

Explain that there are many different ways to carry out stakeholder analyses and we will work with one of these. Any method can be adapted to be made more appropriate to a specific situation. There is no ‘fixed’ approach to stakeholder analysis.

Describe the following group process:

1. Once in the small groups, they should identify a project that they want to work with (if this has not already been determined).
They should then list the key stakeholders in that project/initiative and discuss the following questions in relation to each of the stakeholder groups:

a) What is their main interests in the project? What are their expectations
b) What is the (negative) impact that the project might have on them?
c) What resources/potentials could the stakeholders bring to the initiative? What is the strength of the group? How might they positively influence the project?
d) What interests/priorities do the stakeholders have that might conflict with the initiative? What problems could arise because of this?

Once they have finished their discussion, they should present the results on a flip chart in the following format. (Point out that the initial two columns describe the effect of the project on the stakeholders whereas the latter two describe the impact of the stakeholders on the project.)

| Project Title: |
|---|---|---|---|---|
| Stakeholder Group | Interest/Expectations | Impacts | Potentials | Conflicts/Problems |
| | | | | |

Divide participants into groups and ask them to begin the activity.

At the end of 40 minutes, reassemble the groups and ask each group to briefly present its results.

Initiate a plenary discussion with the following questions:
What was the most useful part of the activity? Why?

Could you apply this in your work? How would you do it and with whom?

How could you use this information to develop strategies to work with different stakeholder groups?

Why do you think this is important and how would this information feed into project design? What could go wrong if stakeholders are not identified and involved?

How do you think stakeholder priorities might change through the project? How might this affect the project?
'Mapping'

Stakeholder Relationships

To examine and illustrate the relationships between (or within) different stakeholder groups.

Flip charts, coloured markers

Prepare a Stakeholder ‘Map’ (Attachment 29) based on a hypothetical or real situation

1 hour

Explain the purpose of the activity.

Explain that stakeholders don't only interact with an initiative but also with each other. This brief activity will introduce a tool to help 'map' these relationships between stakeholders.

Show participants the sample stakeholder ‘map’ and describe the relationships depicted in it. Tell participants that they will be developing similar maps based on their own projects.

Explain the following small group process to be completed in 30 minutes:

Once they have identified a project to work on, each group should first draw circles on a flip chart to depict key stakeholder groups (they can use different sized circles to depict stakeholder 'interest' if they wish).
They should then discuss whether the relationship between each of the stakeholder groups is positive/cooperative or negative/conflicting.

Each stakeholder group should then be connected with the others by a red or a green line of varying thickness. A red line depicts a conflicting or negative relationship between two stakeholder groups and a green line represents a cooperative or positive relationship between two stakeholder groups. The thickness of the line depicts the relative strength of that positive or negative relationship (the thicker the line, the stronger the relationship).

Divide participants into groups and ask them to begin developing the stakeholder maps.

At the end of 30 minutes, ask the groups to post their maps and allow a few minutes for them to look at each others’ results. After they have had a chance to do this, initiate a plenary discussion with the following questions:

- What are the similarities/differences in the results of the different groups?
- What does this exercise show about stakeholder relationships? (Point out that interactions between stakeholders are much more complex than what we might initially think. Try to bring out underlying or ‘hidden’ conflicts or collaboration if possible.)
- How could you use this activity in your work? (Explain that this approach can also be used to identify and ‘map’ conflicts between/within stakeholder groups. It is also a useful and ‘visual’ way to bring out stakeholder interests and relationships at a community level.)
- How might this help you in determining initial priorities/approaches at an early stage in a project? (Discuss decisions that might need to be made if there were too many thick red lines on a map.)
How can you use this for monitoring project impacts? (Explain that repeating this process with partners can help show change in stakeholder relations as an initiative progresses.)
Attachment 29

Sample Stakeholder Relations Map

Positive Relationships

Negative Relationships

Develop your own map based on this example
Participatory
Problem Analysis:
Searching for Root Causes

To examine and analyse underlying or root causes of problems related to conservation and development.

Flip charts, coloured markers, large post-its (or pieces of coloured card paper and masking tape)

Draw the Sample Problem Tree (Attachment 30) on a flip chart.

2 hours

Introduce the purpose of the activity, linking problem analysis to the situation analysis stage of the Action Planning Model. Remind people about the importance of a thorough and participatory problem analysis early in the project cycle and the importance of doing this with stakeholders.

Explain that this modification of the 'problem tree' approach can help to get the 'big picture' of the existing situation and to identify root causes that lead to the overall problem. This is the first step in a logical process of identifying potential strategies for intervention.

Post the Sample Problem Tree and 'walk' participants through it. Explain that groups will be developing their own Problem Trees once they have understood the process. Clarify any questions participants may have about
the process (explain that they should focus on the process rather than the contents of the example).

Next explain the following group process to the participants:

1. First, they should select a focal problem (remember a problem should be stated as an existing negative state NOT the absence of a solution) and write it on the top of a large piece of flip chart paper (or two pieces glued together).

2. Next, they should determine the immediate causes of the problem and place these on post-its below the focal problem.

3. Then, working outward, they should keep asking the question WHY for each of the immediate causes until they have reached some basic or root causes of the problem. They can move the post-its around if necessary.

4. Finally, they should connect the post-its with lines as appropriate (to show linkages between the causes and effects).

Form small groups (keeping people from the same project/site together) and ask them to select a project and focal problem from within their group and practice using the problem tree technique on this. Allow 1 hour for this group activity.

Spend time with each of the groups to ensure that they have understood the process. Remind them that this is only a METHOD for problem analysis. The group still has to think, make connections and ultimately, make decisions.

As the groups complete their trees, reconvene them into a large group again and ask one person from each group to post and explain their charts.

Begin a discussion with the following questions:

1. What were some of the problems they faced in completing the trees? (A common one is usually confusion between cause and effect. Explain this is not unusual and will become clearer through discussion and practice.)
How does this help in starting to design a project? (Explain that this is an important first step and that the accuracy of the Problem Tree will help determine the effectiveness of the intervention.)

How they could use this activity with partners? Would they feel comfortable doing so? What might be some of the constraints? How could these be overcome? (Give examples of using this approach with multiple stakeholder groups and some of the issues encountered in doing this such as: different interpretations of cause and effect; unwillingness to bring out key problems; differing perceptions about the ‘importance’ of different problems; etc.)

Close by pointing out that in the initial stages, many of the “linkages” in a problem tree might be based on assumptions. Once the initial problem tree has been developed with stakeholders, it is important to identify areas where more information is needed, verify the information and then carry out the exercise again. It might look different!
Attachment 30

Sample Problem Tree

(Replace with your own example)
Project Mapping  
(Part I): Objectives Setting

To introduce project mapping as a planning/design tool for setting and analysing objectives.

Flip charts, coloured markers, large post-its

Prepare Sample Project Map I (Attachment 31) on a flip chart (this should be based on the Sample Problem Tree developed in the previous session).

Prepare Means and End Relationship (Attachment 32) on a flip chart or transparency.

Pre-select participants or resource people willing to use their projects as examples for the activity and briefly review the activity with them. Ideally, these should be the same projects and groups that developed the Problem Trees in the previous session.

1½ hours

Explain the purpose of the activity. Explain that this type of "mapping" is not the geographical sort, but is conceptual mapping, or mapping of project ideas.

Explain that project mapping is particularly useful in planning conservation and development projects because it is a quick, visual way of diagraming what the project aims to accomplish - its goal, purpose, outputs and activities - in order to:

a. Clarify causes and effects
b. Separate out different levels of objectives
c. Identify assumptions or external factors
d. Provide a basis for developing evaluation questions and indicators
In this activity, small groups will be starting to develop project maps so that when they return to their project areas, they can work with project partners to map their projects.

Mention that project mapping is similar to an Objectives Tree, with which some participants may be familiar.

Explain that project mapping consists of the following steps which they will be carrying out in their small groups:

1. The first step is to go back to the problem tree developed by the groups in the previous session and convert the existing negative situation into a future positive one. This is done by rewriting the problem statements as objective statements (illustrate this using the Sample Project Map).

2. Next, they should check the logic of the relationship between the different levels of objectives to ensure that there is a clear means and end relationship in the hierarchy. They should do this by asking If.....Then questions for each objective or set of objectives and moving up the map. (Illustrate using the Means-End relationship drawn on the flip chart and go back to the sample map to demonstrate the logical relationship between the objectives.)

3. If there is a problem with the logic at any level in the map, they should clarify it by rewriting the objective. (Explain that they might want to revisit their problem trees in order to do this - A good problem analysis will lead to a stronger objectives map. Weak problem analysis often result in unclear or unlinked objectives.)

4. Once they have completed this, they should have the ‘big picture’ of what needs to be done in order to address the central problem in a given situation. (Explain that while any one organisation or institution may not be able to address the entire situation, it helps to see where each organisation’s niche might be and what else might need to be done by others or through partnerships.)

Divide participants into groups, distribute flip charts, markers and post-its and ask them to begin (explain that we use post-its because they allow us to move ‘ideas’ around based on the discussion).
At the end of 40 minutes, ask the groups to post their results and quickly ‘walk’ all the participants through each map. Check the logic and make corrections if necessary.

Explain that this is the first step in developing a detailed project plan and ask participants for feedback on the process and outcomes focusing particularly on problems encountered and usefulness of the process.

Adapted from Larson, P. and Svendsen, D. 1995. Participatory Monitoring & Evaluation for ICDPs. WWF-USA.
Attachment 31

Sample Project Map (I)

- Improved biodiversity conservation in PA
  - Sustainable/managed use of resources by local communities
    - Community-based resource management systems developed
      - Improved access to alternatives
        - Communities involved in PA management
        - In-migration controlled
  - Pressures on resources reduced/stabilised
    - Alternative sources of income developed
  - Effective enforcement of regulations
    - Motivated & committed forestry staff
    - Increased staff capacity
    - Policy makers aware of PA values
  - Illegal logging in PA controlled/eliminated
    - Conservation of PA is part of local policies
    - Effective coordination between government departments
Attachment 32

Means.....End Relationship (If.....then)

WIDER OBJECTIVE

THEN

OBJECTIVE (1)

THEN

OBJECTIVE (1.1)

THEN

OBJECTIVE (1.1.1)

IF

IF

IF
Project Mapping (Part II): Identifying External Factors

To continue the participatory planning process through project mapping by identifying external factors or assumptions that have an impact on the initiative.

Flip charts, coloured markers, large post-its

Prepare If...and...Then (Attachment 33 ) flow chart on a flip chart or transparency.
Add Assumptions and Pre-conditions on previous Sample Map to develop a Sample Project Map II (Attachment 34) and cover these with the post-its (you don't need to develop assumptions at every level - add enough to explain the process).

1½ hours

Explain the purpose of the activity, mentioning that we will now be further expanding the Project Maps by adding assumptions at each level.

Explain that the Project Map we developed in the previous activity does not cover the whole situation. There will usually be external factors outside the direct control of the project that will influence it. It is therefore important to identify and assess these external factors or assumptions and include them in the Project map so that they can be monitored and acted upon where possible.

Mention that Assumptions are those factors which are outside the direct control of the project but are important for the achievement of outputs, purpose and goal of the project. Preconditions are factors that need to be in place before project activities can be initiated.

Chapter 5: ICOP: Planning, Monitoring & Evaluation page 194
Remind participants about the IF...THEN flow diagram used to help test the hierarchy of objectives. We had not considered external factors at the time. We will now use a similar approach to help identify assumptions.

Post the flip chart with the IF...AND...THEN flow chart and ‘walk’ the participants through this, i.e. IF we carry out the first level of objectives AND certain assumptions hold true THEN we will achieve the next level of objectives, etc.

Next, post the Sample Project Map II and lift the post-its one by one to reveal the assumptions, using the IF...AND...THEN logic to explain the map. Ask participants to identify additional assumptions where you have not already done so.

Explain that in some cases, something that is identified as an assumption can actually be influenced by converting it into an objective. Give an example of this.

Make sure all participants are clear on the process and the logic. Tell them that they should now follow the same process in their small groups to complete their project maps by adding assumptions at each level. After they have developed the assumptions, they should examine each one to see if any of them can be converted into an objective. If so, they should re-write these as objectives.

Ask participants to form the same small groups and begin the task. Give them 40 minutes for this. (The activity can be quite confusing and it is important that the groups have resource people who can help guide them if necessary).

Once all groups have completed (or partially completed) the task, ask them to post their results and present them one by one.

Initiate a plenary discussion with the following questions:

- How useful was this approach in helping clarify project objectives and identify critical external factors?
What were the major areas of confusion?

What is significant about assumptions as you move up the Project Map? (Point out how it is easier to influence assumptions at the lower level, but they are more difficult to influence at the higher levels.)

Could they use a modification of this approach with project partners/stakeholders to develop project plans?

What might be some of the problems they anticipate in using this approach with partners at the grassroots level?

Explain that the Assumptions and Pre-conditions identified by them can help determine project activities and strengthen the chances of success of the project as we will explore during the next session.

Note
If relevant, you might want to mention that this process is a modification of the Logical Framework approach and is used because it is more "visual" and shows linkages more clearly. They can now easily "insert" the results from the project map into the first and last columns of a logframe.
Attachment 33

Identifying Assumptions (If...and...Then)

```
WIDER OBJECTIVE

THEN

OBJECTIVE (1)

THEN

OBJECTIVE (1.1)

THEN

OBJECTIVE (1.1.1)

THEN

PRE-CONDITIONS

IF

AND...

IF

AND...

IF

AND...
```

Chapter 5: ICDP: Planning, Monitoring & Evaluation  page 147
Project Mapping
(Part III): Selecting and Developing a Strategy

Purpose

To complete designing a project's framework using the project mapping approach.

Materials

Flip charts, coloured markers, large post-its

Preparation

Prepare the *Hierarchy of Objectives (Attachment 35)* on a flip chart or transparency and make copies of this for each group.
Prepare *Sample Map III (Attachment 36)* with chosen 'strategy' on a flip chart. This should be based on the Project Maps developed in the previous sessions.
Prepare *Sustainability Questions (Attachment 37)* on a flip chart or transparency.

Time

2 hours

Process

1

2

Explain the purpose of the activity, mentioning that we will now be using the Project Map to come up with a more specific project plan.

Remind participants that the Project Map developed in the previous activity helped to illustrate the 'big picture' and that we now need to decide what aspects of this overall situation, the project might be able to address. This will be the 'strategy' of the project or initiative. (Point out that large, multi-faceted ICDPs often try to address the whole situation - either through the project or with partners).
Explain that in choosing an appropriate strategy, they should keep in mind organisational priorities, strengths and weaknesses. Availability of funding is another criteria that will determine what strategy is finally selected.

Mention that while ICDPs usually try to address a number of linked root causes or problems, in some cases it might be a better approach to select a focal issue and develop strategic partnerships to address other, related issues.

Use the prepared example to show how a strategy can be selected and expanded to develop a project "plan.”

Tell participants that they will be carrying out the following steps in the same small groups as in the previous exercise:

- First, they should go back to the project map and select an appropriate strategy. (They should make sure this is based on agreed criteria.)

- Next, they should ‘expand’ on this strategy to develop a map that clearly lays out the different levels of objectives. (Explain the different levels using the definitions in the Hierarchy of Objectives and using the Sample Map III where one specific strategy has been selected and further developed.)

- They should start with the Pre-conditions, which can help define the kinds of activities the project should initially undertake. Assumptions at each level should be checked to see if they can be addressed by developing specific activities. If not, they should remain as external factors.

- They should ensure that each map has only one Purpose level objective. (Explain that while ICDPs often have multiple purposes, it is better to develop separate but interlinked maps for each of these Purposes. This allows for clearer and easier project implementation and monitoring. However, each Purpose can contribute to more than one Goal.)
Once they have finished developing the hierarchy, they should check the logic to make sure the means-end relationship holds for each level as they move up the map (i.e. IF we carry out the Activities, AND the Assumptions hold true, THEN we will produce the Outputs; IF we produce the Outputs......etc.)

Finally, they should draw the ‘revised’ project map on a flip chart, showing the Activity, Outputs, Purpose, and Goal level objectives as well as the Assumptions at each level.

Ask participants to break into their groups, distribute the definitions of the Hierarchy of Objectives to each group and ask them to begin.

At the end of one hour, ask groups to post their results and re-assemble in a large group.

Ask a volunteer from each group to quickly ‘walk’ the participants through their revised map, making sure to explain why they chose a particular strategy.

Initiate a plenary discussion on the process, asking participants if they felt it helped to clarify points of intervention. Explain that while the selected example has been simplified in order to explain the process, in reality, ICDPs are much more complex. This complexity can be better managed when the linkages between the different levels of objectives are clearly identified and external conditions are identified, assessed and monitored.

Finally, explain the concept of “sustainability” to the group and discuss why this is an important issue to consider when designing a project. Introduce the Sustainability Questions (replacing the ones in the attachment with your own) and ask participants to ask these of their “plans” to carry out a “sustainability check.” If time permits, ask them to modify their plans to include activities that will help ensure sustainability of the effort.
Attachment 35

Hierarchy of Objectives or Intervention Logic

**GOAL**
- Longer term objective towards which the project will contribute
- Rationale/need for the project
- Also called Overall Objective or Wider Objective

**PURPOSE**
- Effects or changes the project will bring about
- Also called Immediate Objective or Project Objective

**OUTPUTS**
- What the project will deliver
- Completed tasks as a result of Activities being implemented
- Also called Results or TORs

**ACTIVITIES**
- What the project will actually carry out in order to achieve Outputs
Attachment 36
Sample Project Map (III)

GOAL(S)

Policies remain supportive
Systems are effectively implemented and monitored
Further in-migration/enroachment by outsiders controlled

PURPOSE

Community-based resource management systems in place
Capacity building is adequate and appropriate
Institutions function effectively
No new conflicts emerge

OUTPUTS

Communities involved in PA management
Participatory resource use and management plan developed
Stakeholder capacity for implementation and monitoring of plan developed
Institutional mechanisms for implementation of plan developed

ACTIVITIES

- Awareness generation among stakeholders
- Consultative stakeholder meetings
- ‘Sensitisation’ workshops to create enabling environment
- Etc.

- Participatory research on resource availability, use, impacts, etc.
- Training on plan development
- Etc.

- Training for stakeholder groups on implementation and monitoring
- Etc.

- Consultative meetings
- Develop Agreements
- Etc.

Policies remain supportive
Competent trainers can be identified
Competent personnel are hired
There is initial agreement among stakeholders on need for initiative
Attachment 37

Sustainability Questions

POLICY
To what extent will supportive policy continue after the project has ended?

OWNERSHIP
To what extent will stakeholders have "ownership" of project initiatives after it has ended?

TECHNOLOGY
To what extent will agencies responsible for follow up be able to sustain/use the technology after external support has ended?

ENVIRONMENTAL IMPACT
What will be the longer term impacts and how will potential negative impacts be mitigated/limited to an acceptable level?

SOCIAL/CULTURAL IMPACTS
Will the project lead to negative long term social/cultural impacts? How could these be mitigated?

MARGINALISED GROUPS
How can continued access to project benefits be guaranteed to marginalised groups (including women)?

INSTITUTIONAL/MANAGEMENT CAPACITY
Will organisations/institutions responsible for follow up have sufficient management capacity to guarantee this?

ECONOMICAL/FINANCIAL VIABILITY
To what extent will there be sufficient finances to allow for continued running costs, maintenance, etc.?
S.W.O.T. Analysis

To analyse needs for institutional strengthening by assessing internal strengths and weaknesses of the organization/project/institution in relation to external opportunities and threats.

Flip chart, coloured markers

Prepare the following on flip charts: Basic Questions and Consequences (Attachment 38); and Strategies Worksheet (Attachment 39). Make a set of Definitions (Attachment 40) for each participant.

Time

2 hours

Process

1

Explain the purpose of the session and post and explain the flip chart with the Basic Questions and Consequences.

2

Point out that a SWOT analysis can help organizations/projects/institutions to do the right thing right. Explain that a SWOT analysis can be carried out at any level from the project level to the organisational level.

3

Distribute the Definitions to each person in the group and make sure that all participants understand these.

4

Explain that results of a SWOT analysis can enable organizations, projects or institutions to choose strategies to meet demands of the external environment (O and T) while taking into account internal potential and weaknesses (S and W).

5

Explain that groups will be applying the SWOT analysis to their own situations. They can work on their projects, their organisations, local institutions they may be helping to set up, etc.
Explain the following small group process to be completed in 45 minutes:

1. First the group should pick the institution that they will apply the analysis to. This should be something that one or more members in the group are familiar with.

2. Next, they should identify Strengths, Weaknesses, Opportunities and Threats that apply to the institution.

3. Once they have completed this part of the activity, they should prepare to present the results to the large group.

Divide participants into groups (keeping people from the same organisation/project in the same group) and ask them to begin the activity.

At the end of 45 minutes ask the groups to briefly present their results and clarify any questions raised during this part of the activity.

Explain that we now have generated some important pieces of information and that we now need to move to action. We need to analyse these Strengths, Weaknesses, Opportunities and Threats in relationship to the institutional/project vision, goal, and objectives.

Post the Strategies Worksheet. Explain that the next step is to use this worksheet to analyse we can truly build upon strengths and address weaknesses. Give an example of each strategy to illustrate the use of the worksheet.

Ask participants to get back in their original small groups to develop their own strategies based on their SWOT analyses. Give them 30 minutes to do this.

At the end of 30 minutes ask the groups to post their results and allow 15 minutes for all groups to read each others’ outputs.

Finally, close by discussing problems and usefulness of this activity.
NOTE: While a SWOT analysis is usually done during planning, specifically strategic planning, it can be used at points during implementation to help determine current threats, opportunities, strengths and weaknesses in order to adjust plans accordingly.
Attachment 38

Basic Questions And Consequences

Is the organization/institution/project...

<table>
<thead>
<tr>
<th>DOING THINGS RIGHT (EFFICIENT)</th>
<th>DOING THE RIGHT THING (EFFECTIVE)</th>
</tr>
</thead>
<tbody>
<tr>
<td>NO</td>
<td>YES</td>
</tr>
<tr>
<td>this organization/institution/project will die quickly</td>
<td>this organization/institution/project may survive</td>
</tr>
<tr>
<td>YES</td>
<td>YES</td>
</tr>
<tr>
<td>this organization/institution/project will die slowly</td>
<td>this organization/institution/project will thrive</td>
</tr>
</tbody>
</table>
# Attachment 39

## Strategies Worksheet

<table>
<thead>
<tr>
<th></th>
<th><strong>OPPORTUNITIES</strong></th>
<th><strong>THREATS</strong></th>
</tr>
</thead>
</table>
| **STRENGTHS** | Maxi-maxi strategy  
Build on existing strengths to increase opportunities | Maxi-mini strategy  
Build on existing strengths to fight off threats |
| **WEAKNESSES** | Mini-maxi strategy  
Minimize weaknesses to make the most of opportunities | Mini-mini strategy  
Minimize weaknesses to fight off threats |
Attachment 40

SWOT Definitions

**Strength**
any internal asset (knowledge, skills, motivation, etc.) which will help to capitalize on opportunities or fight off threats

**Weakness**
any internal condition which keeps the organization/institution/project from reaching its desired aims

**Opportunity**
any external circumstance which will help the organization/institution/project to reach its goals and succeed

**Threat**
external challenges which, unless acted upon, could cause the disintegration of the organization/institution/project, or otherwise keep it from meeting its aims, fulfilling its purpose
Participatory Monitoring and Evaluation

Selected References:


Everyday Monitoring

To introduce the concept of project monitoring using common, everyday examples.

Flip charts, coloured markers

Write the definition and purpose of monitoring (Attachment 41) on a flip chart or transparency.

½ hour

Ask participants what they understand by the term "monitoring". Clarify confusion if any, and point out that we engage in monitoring all the time, every day.

Divide the group into three teams. Give each team a flip chart paper and markers Tell them they have 5 minutes to list as many 'everyday' examples of MONITORING as they can.

After 5 minutes, ask each team to post their results. Discuss these with the group, especially 'unusual' examples (participants should have listed everyday examples like 'time', 'oil in car', money in bank, etc.). Point out that the results show how difficult it is to get through even single a day without systematic monitoring. It is difficult to make informed decisions if one does not monitor.

Next, post the definition of Project Monitoring. Explain that there are many ways to define project monitoring and the at this is a simple, 'composite' definition. Briefly discuss and clarify this if there are any questions. Point out again that just as it is difficult to carry out everyday activities without monitoring, it is also difficult to make informed decisions about project activities without systematic monitoring.
Explain also that monitoring is not simply the process of collecting information - but also a communication system where information flows in different directions between the people involved. Now ask participants why they think project monitoring is essential. Note their answers on a flip chart and add missing points if necessary.

Close by explaining that this session introduces the 'what' and 'why' of monitoring and that we will next be examining the 'how' of monitoring.
Attachment 41

Project Monitoring

What

Systematic and ongoing process of information gathering over the lifespan of a project which leads to regular assessment of objectives and enables adjustments and refinements to be made.

Why

- Tracks progress towards project objectives
- Provides timely information for decision making to improve project efficiency and effectiveness
- Helps to identify problems as they come up (before they turn into crises)
- Allows for adapting to changing circumstances
- Provides essential information for project evaluation
Selecting Indicators

To examine the concept, selection and application of indicators for project monitoring.

Flip charts, coloured markers, index cards

Prepare the definition and process for Selecting Indicators (Attachment 42) on a flip chart or transparency.
Prepare the examples of Types of Indicators (Attachment 43) on a flip chart.
Make copies of the hypothetical Indicators Case Study (Attachment 44) for each participant.

2 hours

Briefly introduce the objectives of the session.

Ask participants what they understand by the term “indicator” as used in project monitoring. Note the responses and then define if necessary.

Explain that just as there are many different ways of defining monitoring, indicators are also defined in many different ways. It is important to remember that indicators are NOT targets and therefore are “neutral” (i.e. they should not be defined as “increase in....” or “decrease in....”) but should indicate whether there is an increase or decrease. Indicators are a measure of change.

Explain that indicators are always linked to objectives (particularly at the Purpose and Output levels) and do not “stand alone”. Similarly, they are always linked to baseline data without which it is impossible to measure change.
Explain the key points in selecting indicators based on the prepared flip chart. Clarify any questions raised on this.

Use the examples from the attachment (replace these with your own) to illustrate different types of indicators. Clarify questions raised on these.

Explain that they will now be working in small groups to select indicators for a hypothetical case study, keeping in mind the above criteria and types of indicators. Describe the following steps to be completed in 40 minutes:

1. Once in their small groups participants should carefully read and discuss the case study.

2. Next, they should identify the Purpose and Outputs of the project and list these on one column of a flip chart.

3. They should then go through the list of indicators in the case study and determine which objectives they are linked to.

4. Next, they should ‘improve’ on these indicators and add others that they can think of for the different objectives.

5. Finally, they should determine means of verification for each of the indicators (this is an important step - if the indicator cannot be verified in a cost and time effective manner, it should be replaced).

6. When finished, they should present their results in the following format:

<table>
<thead>
<tr>
<th>Objective</th>
<th>Indicator</th>
<th>Means of Verification</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Chapter 5: ICOP: Planning, Monitoring & Evaluation  page 216
Divide participants into small groups, distribute a copy of the hypothetical ICDP case to each group and ask them to begin the activity. Try and ensure that each group has one resource person if possible.

At the end of 40 minutes, ask the groups to post their results and allow 5 minutes for the groups to look at each others’ results.

Begin a plenary discussion with the following questions:

1. What are the similarities and differences in the results of the different groups? (Point out the need to be ‘creative’ when thinking of indicators as well as the importance of working with stakeholders to develop indicators that are meaningful to them.)

2. How many different kinds of indicators were identified? Were they all appropriate and relevant? (Bring out the concept of ‘experiential’ or indigenous indicators that communities already may be using for decision-making. Point out that only “scientific” or quantitative indicators may not be enough for effective monitoring.)

3. What were some of the problems faced by the groups in identifying appropriate indicators? (Identifying and measuring qualitative indicators is often brought up as a difficulty. Discuss the importance of qualitative indicators.)

4. Did the ‘scale’ of the indicator change based on the level of the objective? What does this mean in terms of verification? (Show how developing indicators can help with project design. If an indicator cannot be verified then it is not a very good indicator and this may be because the objective is unrealistic.)

Close by pointing out that selecting indicators is only one aspect of monitoring and evaluation and that we will be looking at other elements of monitoring in the following session.
Indicators

Variables that help to "indicate" whether progress towards project objectives is being made (or not)

Indicators should be.....

- Quantitative and Qualitative
- Minimum but Sufficient
- Specific (Who, Where, etc.)
- Verifiable/Measurable
- Appropriate (Scale, Resources, Time)
- Relevant to all Stakeholder Groups
Attachment 43

Types of Indicators

Direct (or Primary) Indicators provide a direct measurement of the variable in question

<table>
<thead>
<tr>
<th>Objective</th>
<th>Indicator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Decreased use of fuelwood from PA in pilot village</td>
<td>Amount of fuelwood collected from PA by villagers in pilot village</td>
</tr>
</tbody>
</table>

Indirect (or Secondary or Proxy) Indicators provide an 'indirect' measure of something that is too difficult (or expensive, or time-consuming) to find out directly

<table>
<thead>
<tr>
<th>Objective</th>
<th>Indicator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Decreased use of fuelwood from PA in all villages in buffer zone</td>
<td>Number of households in buffer zone villages using alternate energy sources</td>
</tr>
</tbody>
</table>
Quantitative Indicators are concerned with numbers and amounts and are usually measured or counted (How much, How many, How often, What, When)

<table>
<thead>
<tr>
<th>Objective</th>
<th>Indicator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Train PA staff in biodiversity survey techniques</td>
<td>Number of PA staff trained</td>
</tr>
</tbody>
</table>

Qualitative Indicators are usually concerned with descriptions and attitudes and measured through discussion and observation

<table>
<thead>
<tr>
<th>Objective</th>
<th>Indicator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Train PA staff in tiger census techniques</td>
<td>Level of understanding of trained staff in census methodology</td>
</tr>
</tbody>
</table>
Attachment 44

The Curious Case of
the Jub-Jub Bird in
Jabberwocky National Park

The rare and endangered jub-jub bird survives only in the 500 sq km Jabberwocky National Park. It is threatened by hunting, habitat degradation, and predation by the (introduced) frumious bandersnatch. It is believed that male hunters from traditional local communities prize the jub-jub bird for its ornamental feathers. There is also evidence that they occasionally hunt the bird to sell to traders. However, they reportedly shun the bandersnatch. Forest clearing to make wabes (grassy plots for grazing slithy toves) by local residents is thought to be the main cause of the loss of habitat.

Because of the rarity of the species, it is believed that birdwatchers may be willing to pay substantial money to see the jub-jub in its native habitat. It is anticipated that increased income to communities from birdwatchers could help offset the losses to the local communities from reductions in commercial hunting and clearing of wabes.

The purpose of the 5-year project is to ensure the survival of this last breeding population of jub-jubs. In order to do this, the following project outputs will be produced:

- reduced wabe clearing;
- decreased hunting of jub-jubs by local hunters;

Chapter 5: ICDP: Planning, Monitoring & Evaluation page 221
increased economic benefits to local communities from Community residents, park managers, and jub-jub scientists are all interested in the success of this project (although for somewhat different reasons). A steering committee with representatives from each group has been established to promote cooperation among stakeholders, although there is still some mutual suspicion, especially between the local communities and park management. However, the committee is going to draw up a fine monitoring plan that is meant to involve all the stakeholder groups. The first step in this plan is to develop meaningful indicators that are relevant to all the groups. A preliminary list might include:

- total numbers of jub-jubs
- amount and quality of jub-jub habitat
- incidence of new wabe clearing
- evidence of jub-jub hunting
- household income of local communities
- numbers of birdwatchers coming to the area
- amount of money spent by birdwatchers in the area
- numbers of community members engaged in tourism related activities

The group now needs to match these indicators with the project objectives, refine them, come up with more indicators where possible and determine how and from where the information for the indicators will be collected.

**Note** Develop your own case study if this is not appropriate to your situation
Developing A Participatory Monitoring Plan

To demonstrate the process of developing a detailed participatory monitoring plan.

Flip charts, coloured markers

Prepare a Sample Monitoring Worksheet (Attachment 45) on several pieces of flip chart taped together based on Sample Project Maps developed in previous sessions.

2 hours

Explain the purpose of the session.

Post the prepared flip chart with the Sample Monitoring Sheet and ‘walk’ participants through this.

Explain that the plan can be as detailed as needed or feasible. This will depend to some extent on resources available. Stress the fact that a participatory monitoring plan means that more information can and should be collected by stakeholders as it is relevant to all of them. Large project teams focusing on monitoring and evaluation are not usually necessary.

Inform participants that we will now develop plans based on our project maps in the small groups as follows:

1. First, they should draw out the Monitoring Worksheet on two or more pieces of flip chart paper taped together
Next, they should go back to their Project Maps and select at least two Outputs and the Purpose and note these in the first column of the Worksheet.

They should then proceed to complete the worksheet by identifying evaluation questions, indicators, etc. for each objective.

Ask participants to form into small groups and begin the activity. Give them an hour to complete the worksheets.

At the end of an hour, ask the groups to post their results and briefly describe these one by one.

Initiate a plenary discussion examining the usefulness of the process and outputs. Point out the importance of ensuring baseline data for monitoring. Discuss issues related who should collect specific kinds of data and what methods can be used. Explain the importance of planning this with stakeholders if they are to be a part of the collection and analysis of data, leading to joint decision-making. (If relevant, explain that the third and fourth column of this Worksheet correspond to the middle two columns of a Logical Framework).

## Participatory Monitoring Worksheet

<table>
<thead>
<tr>
<th>OBJECTIVES</th>
<th>EVALUATION QUESTIONS</th>
<th>INDICATORS</th>
<th>MEANS OF VERIFICATION</th>
<th>BASELINE DATA NEEDED</th>
<th>FREQUENCY</th>
<th>WHO IS INVOLVED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communities involved in PA mgt.</td>
<td>Are communities involved in PA mgt?</td>
<td>No. of joint meetings &lt;br&gt; Level of participation in mtgs. &lt;br&gt; No. of community decisions/ priorities considered</td>
<td>Minutes of meetings &lt;br&gt; Attend meetings &lt;br&gt; Interviews &lt;br&gt; Plans</td>
<td>Existing no. of jt. mtgs.</td>
<td>Every 6 months</td>
<td>Project, Comm. Members, Forestry Dept.</td>
</tr>
<tr>
<td>Stakeholder capacity developed</td>
<td>Has stakeholder capacity been developed?</td>
<td>No. of people trained &lt;br&gt; Level of skills among trained people &lt;br&gt; Composition of trainees</td>
<td>Workshop reports &lt;br&gt; Interviews &lt;br&gt; Attend trainings</td>
<td>Existing number of people with skills &lt;br&gt; Current level of knowledge and skills</td>
<td>After each major training</td>
<td>Trainers, project, trainees</td>
</tr>
</tbody>
</table>
“Experiencing”

Evaluation

Purpose
To explore the basic issues related to participatory project evaluation.

Materials
Flip charts, coloured markers, index cards

Preparation
Prepare Definitions and Criteria of Evaluation (Attachment 46) on a flip chart or transparency.

Time
1 hour

Process
1
Explain that in this activity, we will be working with participant observation skills — an important M&E skill — and will generate some data about the process of evaluation based on experience.

2
Ask participants to form pairs and, for the next 5 minutes, explore and evaluate the training room. They should get up, move around it, explore it in any ways they want, to try to see things from different perspectives. After 5 minutes they should write their observations on an index card.

3
After all have explored and written their evaluations, ask for volunteers to read what they have written. Note points as they are mentioned. The observers will probably report different perspectives on the same experience.

4
Begin a brief discussion with the following question:

What would have been required to produce a more focused set of observations and evaluations?
(Typical points might include: establishing clear goals; establishing criteria for what is being evaluated; deciding in advance what to observe; stating clear directions; stating the purpose of evaluation; deciding ahead of time how evaluation will be used; deciding who will use evaluation; training evaluators who will evaluate the same thing; etc.)

Next, post and discuss a commonly accepted definition of Project Evaluation.

Finally, post and discuss some key Evaluation Criteria.

Attachment 46

Project Evaluation

Retrospective assessment of a project's performance and achievements at a particular point during or after the completion of the project.

Evaluation Criteria

RELEVANCE
Significance with respect to specific needs/problems

EFFECTIVENESS
Performance in relation to objectives

EFFICIENCY
Rate and cost at which activities lead to outputs

IMPACT
Broader ecological, economic, technical, social, political consequences (as relevant)

SUSTAINABILITY
Potential continuation of project activities/institutions/impacts following withdrawal of external support.
Evaluation Basics

To explore some of the basic issues related to participatory evaluation.

Flip charts, coloured markers

Prepare a series of flip charts with the title of the session and the questions – Why, For Whom, Who does it, When, How is it done, What then – making sure to leave sufficient space for answers after each of the questions (Attachment 47)

1 hour

Explain that we will be exploring the basics of participatory evaluation in a 'participatory' manner, drawing on the collective experience in the room.

Explain that we have looked at the 'what' of evaluation and now we will try to answer some other key questions.

Post the prepared flip charts and ask participants to answer the questions. This can be done in a plenary with the facilitator noting the answers as they are called out or by the participants walking around the room and writing down their answers directly on the flip charts.

Discuss each question in detail, asking participants to share experiences based on evaluations they have been involved in. If any points are missing for each of the questions, raise these before moving on to the next one.

Explain that we have generated a comprehensive list on the basics of participatory evaluation and have addressed most of the key questions.
Attachment 47

Checklist of Key Points for PM&E

**WHY?**
- Accountability
- Efficiency
- Impact
- Sustainability
- Effectiveness
- Learning
- Sharing
- Etc.

**FOR WHOM?**
- Partners
- Stakeholders
- Donor
- Project

**WHO DOES IT?**
- External consultants
- Joint External/Internal team
- Project staff
- Stakeholders
- Organisation

**WHEN?**
- Midway
- End of project
- After end of project

**HOW?**
- Using participatory approaches

**WHAT NEXT?**
- Share
- Learn
- Build upon
"Designing a Tree"

To explore and 'actively' demonstrate the links between project planning, implementation and evaluation.

One set per group of the following: an index card, a pen, 3-4 sheets of different coloured poster paper, a length of string, 20 large paper clips, Evaluation Sheet (Attachment 48).

Place one set of the above items in each of three different rooms and prepare a 'rotation schedule' for the three groups. In this activity, groups will move from one 'station' to the other so that each group visits a different station each time, i.e. the group that develops Plan A should implement Plan B and evaluate Plan C. Make sure you have the order of group rotation clear before starting the activity. If not, there is likely to be considerable confusion!

1 hour

Don't explain the purpose of the activity initially but inform participants that it will become clear during the course of the activity.

Explain that small groups will be competing to design a tree. The best tree will be the tallest, most stable, most beautiful and the most resource efficient. Post these criteria on a sheet of flip chart paper if necessary.

Explain that each group will be asked to work in a different area and instructions on what they should do will be provided during the course of the activity.

Ask groups to move to the different areas and provide the following instructions to each group for Planning the Tree. Each group will have 15 minutes to:
Discuss and decide on the plan for building tree against the given criteria.

Choose the raw materials to be used in building the tree from the pile available to the group.

Write this plan on the index card. It should be written as specific instructions on how to go about building the tree from the raw materials.

At the end of 15 minutes, each group should place the raw materials on the ground at their station as they had found them and place the instruction card on top.

Inform the groups that they can 'practice' with the materials to see how their tree might look but that they should leave the materials as they found them when they finish writing the plan.

Once all groups have written their plans, rotate the groups so that each group is at a station with a plan developed by another group. Now explain instructions for Building the Tree. Each group will have 15 minutes to:

Read the instruction card left by the previous group at their station and build the tree according to the specifications given on the card left by the planning group.

Instructions should be followed as closely as possible, including use of materials, etc. If the instructions are not clear, the group can be 'creative' in building the tree.

After 15 minutes, ask the groups to stop building the trees and rotate them again so that each group is at a station where they have neither planned nor implemented the tree building.

Explain instructions for Evaluating the Tree. Each group will have 15 minutes to:
Examine the quality of the plan designed by the first group and the performance of the building team.

Check on the performance of the planning and implementing teams against the criteria.

Fill out the Evaluation Sheet, leave it at the foot of the tree and move back to their original starting point (i.e. where they wrote the plans for building a tree).

At their original stations, the groups should examine the tree developed from their instructions and the results of the evaluations. After quickly discussing these, the groups should re-assemble in a plenary.

In a plenary, discuss and list in flip chart the answers to the following questions:

- How easy was it to implement a plan developed by someone else? What were some of the problems?
- What happened when someone else implemented your plan?
- Was it easy to carry out the evaluation? Why or why not?
- Was the evaluation helpful or not? Why?
- What does this activity about linkages between project design and implementation?
- What does this exercise teach you about evaluation?
## Attachment 48

### Evaluation Sheet

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Score</th>
<th>Reasons</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1-low</td>
<td>5-high</td>
</tr>
<tr>
<td>1. Height</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Stability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Beauty</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Resource Efficiency</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Score (out of 20)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Please also add comments on:

- Quality of the Plan (How clearly was the plan written? How easy was it to implement?)
- Implementation of the Plan (How well did the group follow instructions? Did they change these? Improve on the plan?)
Participatory Methods and Tools for Information Collection and Analysis

Selected References:


"Empty your Pockets!"

**Purpose**

To highlight the difference between participatory and 'conventional' or non-participatory methods of information gathering.

**Materials**

Bag with some personal belongings

**Preparation**

This role play is best acted out by three resource people or participants who understand its purpose clearly. Adapt the **Instructions for Role Play** ([Attachment 49](#)) and clearly explain the roles to the people acting it out.

**Time**

20 minutes

**Process**

1. Don’t explain the purpose of the session at this point. Have participants seated as usual, waiting for the next session to start.

2. Act out the role play as 'spontaneously' as possible so that participants are not immediately aware that it is a role play, but think that the situation is "really" happening.

3. After the role play, ask participants what they think the "villager" is thinking/feeling at this point (responses will probably be: confused, angry, frustrated, upset, robbed). Discuss the reasons for each of these responses briefly.
Ask the group if this bears any resemblance with the way we generally collect data for our work/projects. (Bring out issues related to “conventional” survey approaches that are still widely used. Also relate this to “token” participation that is also increasingly practiced).

What does this tell us about the importance of using participatory approaches for the collection and analysis of information? (Bring out issues of transparency, relevance, ownership, collaboration, etc.).
Attachment 49

Instructions for role play

Two people (outsiders) walk into the room talking to each other about data collection, time constraints, difficulties of getting information from villagers, etc.

They look around the room and rudely ask another person (villager) to join them in the centre of the room with his/her belongings.

Talking among themselves all the time and ignoring the villager much of the time, they grab his/her bag and empty out its contents.

Examining the contents of the bag, they occasionally ask direct (and sometimes rude) questions of the villager (but mostly discuss the contents among themselves).

The villager tries several times to ask questions and find out what is going on, but the researchers pay no attention to him/her.

Once they have finished examining the contents of the bag, they ask the villager to empty his/her pockets and discuss this amongst themselves.

Finally, they pick up a couple of items and leave without explanation or thanks.

The villager remains on the floor for a minute or two, surrounded by his/her strewn belongings, looking confused and angry.
"Group Resume"

To demonstrate use of a 'shared' approach to collect and present data

None

None

30 minutes

Explain the purpose of the activity.

Divide the participants randomly into small groups and explain that the groups will be competing for a 'prize' for the best all round, talented, skilled and unique group.

Each group should decide on how to best present the educational background, skills, talents, and other outstanding features of those in their group. They will have 15 minutes to plan how to do this.

After 15 minutes, ask each group to present it's resumé or vita.

Close by highlighting the skills within the groups and how effectively and creatively these were brought out by working together as a team.

Point out that this is a way of gaining information/collecting data about a group. Having the "resume" be a group effort eliminates some of the discomfort people might feel about highlighting themselves.

Framework for Participatory Information Collection

To develop a framework for guiding participatory information collection for ICDPs.

*Flip charts, coloured markers*

Prepare the Enquiry-Learning-Action (Attachment 50) cycle and the Framework for Information Collection (Attachment 51) on flip charts.

2 hours

Explain the purpose of the session, pointing out that collecting the right information is a key step in the overall process of making decisions and often the first step in the process of creating change.

Post the Enquiry-Reflection-Action flip chart and “walk” participants through it, explaining that this should be an ongoing process within any conservation & development initiative and takes place at all stages.

Explain that given often limited resources, it is important to design data collection approaches effectively and efficiently. Point out that many conservation and development initiatives suffer from either not having adequate information or from having large amounts of “raw” data that is hard to use for decision-making. Often this is the consequence of inadequate or poorly designed information collection systems.
Use the prepared flip chart to show how stating the general purpose of the information collection via a series of answers to targeted questions can help clarify and narrow the scope of the work.

Highlight the fact that all stakeholders should be involved in identifying the purpose and in generating questions that will give them the answers they need. Point out the importance of examining trends (by asking questions about change) and reasons for this. Demonstrate how answers to each question lead to a new set of questions and how important it is to have this ongoing process of enquiry built into any initiative.

Explain that we will now practice this in small groups and explain the following group activity to be completed in 40 minutes:

- Once in their small groups, participants should pick two-three issues from one or more of their projects that they need information on. They should try and pick a range of issues from specific to broad levels if possible.

- After they have selected the issue/purpose of information collection, they should identify initial key questions that need to be answered.

- Next, they should think of follow-up questions that might arise from the answers to the initial key questions and list these on the chart as well.

Divide the participants into groups (keeping people from the same project/area together) and ask them to begin the activity.

At the end of 40 minutes, ask them to post their results and allow 10 minutes for everyone to look at each others’ results.

Initiate a plenary discussion with the following:
- How useful was this activity in helping to clarify and focus the design of information collection/research/surveys?

- How could they ensure participation of key stakeholders in the development of such a framework?

- What might be some limitations and constraints in implementing the results of such a framework?

- What are some advantages in developing targeted questions for information collection?

Remind participants that ongoing collection and analysis of information is critical at all stages of a project from initial planning to implementation to monitoring and evaluation. Having an effective framework for ensuring that the “right” questions are answered can help integrate the information more easily into decision-making processes.

Close by re-emphasising that the information collection should be designed with stakeholders and that they should be involved in the analysis and application of results. Shared decision-making is the key to ensuring ownership and ultimately sustainability of the initiative.
Attachment 50

Enquiry-Reflection-Action
<table>
<thead>
<tr>
<th>&quot;Management&quot; issue/Purpose of data collection</th>
<th>Targeted questions</th>
<th>Follow-up questions</th>
<th>Tools/Methods</th>
</tr>
</thead>
<tbody>
<tr>
<td>To determine patterns of NTFP collection from PA</td>
<td>What species are being collected?</td>
<td>Has there been any change in the species collected? Why?</td>
<td>SSI*, trend/time line, historical transect</td>
</tr>
<tr>
<td></td>
<td>Who is doing the collecting?</td>
<td>Where do they come from? Has this changed? Why?</td>
<td>SSI, trend/time lines, mobility mapping</td>
</tr>
<tr>
<td></td>
<td>How many people are involved?</td>
<td>Have the numbers increased or decreased? Why?</td>
<td>SSI, trend/time lines</td>
</tr>
<tr>
<td></td>
<td>How much of each species is being collected? From where? When?</td>
<td>What &quot;limits&quot; collection? Are there internal or external regulations or systems in place? Are they working? Why or why not? Has this changed? Why? Have there been changes in amount collected? Why?</td>
<td>SSI, trend/time lines, resource mapping, seasonal calendar, venn diagrams, transects</td>
</tr>
<tr>
<td></td>
<td>How are the species used? By whom? Who gets the benefit?</td>
<td>Has this changed? How and why?</td>
<td>SSI, trend/time line, ranking, mapping</td>
</tr>
<tr>
<td>To determine impacts of NTFP collection on PA biodiversity values</td>
<td>What is the level of regeneration of the species?</td>
<td>Is this &quot;sustainable&quot;?</td>
<td>SSI, transects, longer term research</td>
</tr>
<tr>
<td></td>
<td>What is their distribution (amount and area)?</td>
<td>Has this changed? How? At what rate? Why?</td>
<td>SSI, mapping, transects, time/trend line</td>
</tr>
<tr>
<td></td>
<td>Are other species affected by the collection?</td>
<td>What is the impact on other species? Is it &quot;harmful&quot;?</td>
<td>SSI, transects, ranking, research</td>
</tr>
</tbody>
</table>

*SSI = semi-structured interview*
Toolshops

To introduce the principles, approaches and applications of some participatory methods for information collection and analysis in an 'interactive' way.

As required for each 'toolshop' and determined by people setting up and running them.

Prepare **PRA Principles and Approaches (Attachments 52 & 53)** on flip charts or transparencies for Part I of this session.

Resource persons and organisers should discuss and agree in advance what the focus of the toolshops will be and how the toolshops will be set up, what information they will provide, what materials will be needed, what activities will be included, etc. Make sure you have as many experienced resource people as there are toolshops.

Choose some key 'tools' that are relevant for your target group and set up the each toolshop in a different room if possible. Ideally, there should be three toolshops running simultaneously. If you want to demonstrate more 'tools', break this up into two sessions (morning and afternoon) of three toolshops each.

Make the toolshops interesting by including posters illustrating examples of applications of the tool, slides or videos showing field applications, overheads, computers, etc. Make them interactive and participatory by including at least one short 'activity' demonstrating the use of the tool. Try to have relevant reference materials, books, etc. available for participants to browse through.

See **Participatory Mapping Toolshop (Attachment 54)**, **Participatory Transect Toolshop (Attachment 55)** and **Ranking & Scoring Toolshop (Attachment 56)** for ideas.

4 hours to a whole day, depending on the number of toolshops and the level of detail per toolshop.
PART I: Overview of Principles and Approaches to Participatory Information Collection and Analysis

1. Ask a resource person with experience in participatory methods and approaches to present this overview. Try and build on participant experience during this session to bring out the following points:
   - What are some of the main differences between 'conventional' and participatory approaches?
   - What are some of the key principles of participatory appraisal?
   - What are some of the advantages and limitations of participatory approaches?

2. Clarify any questions that are raised by the participants and explain that we will now be learning more about the application of the tools mentioned in the framework through the "Toolshops". This part should last no more than an hour.

PART II: Toolshops

1. Explain that the toolshops approach is designed to make maximum use of a classroom or "non-field" setting in demonstrating the use and application of some participatory tools for data collection and analysis.

2. Explain that three Toolshops have been set up by resource people to demonstrate the applications of some important participatory methodology for data collection and analysis. Describe the following process that will be followed during the session:
   - Participants will be broken up into three groups and each group will visit one Toolshop at a time.
   - Once they are at their assigned Toolshop, the resource person will explain the application of the tool using examples, will conduct a short activity demonstrating the use of the tool and will address any specific questions related to the methodology that the group might have.
After 45 minutes, the groups will be asked to move to the next Toolshop. In this way, the groups will rotate through all three Toolshops.

Break participants into three groups and assign each group to a Toolshop. Keep track of the time and keep the groups moving so that there is no 'backlog' at any one toolshop.

After all groups have visited all toolshops, bring them all back to a plenary and discuss the usefulness of this approach and any remaining questions.

Close the session by reminding people that the 'participatory' nature of these methods depends on the way they are used and how the information generated is shared and applied. There is a danger of the methods being used the methods in an 'unparticipatory' way. Remind people that this was merely a brief introduction and that they should not consider themselves as 'experts' as a result of this exposure.
Attachment 52

Some advantages of 'good' PRA

- Allows for greater community involvement
- Gives local people a sense of ownership in the project/process and outcomes
- Increases the relevancy of the project by addressing community-identified problems, needs, etc.
- Generates more reliable information in a shorter timeframe compared to some other methods
- Is simple, cost-effective, efficient and flexible

Some limitations of 'bad' PRA

- Rapidity vs. participation
- Extractive vs. participatory
- Instant fashion
- Formalisation and routinisation
- Does not guarantee 'automatic' participation
- Costs of time for community

And watch out for:

× Raising expectations and issues that cannot be met or dealt with
× Causing new or 'hidden' conflicts to emerge
× Contradicting national policies and 'attitudes' towards participation

Chapter 5: ICP: Planning, Monitoring & Evaluation  page 248
Some differences between PRA & 'traditional' methods:

- Extracting - Sharing
- Closed - Open
- Individual - Group
- Verbal - Visual
- Quantitative - Comparative

Some principles of PRA:

- Facilitating
- Reversal of learning
- Progressive learning
- Sharing
- Offsetting biases
- Optimising tradeoffs
- Triangulation
- Seeking diversity
- Teamwork
- Optimal ignorance
- Behaviour and attitude
Attachment 54

Participatory Mapping Toolshop

Application:

Participatory Mapping has so many applications that a number of different Toolshops can be set up on this one method (applied in different ways). It can be used to generate information on a variety of issues ranging from literacy and health to farming practices and resource distribution. The scale can be as fine (micro-habitats within an area of forest) or as large (distribution of villages around a Protected Area) as required. It can be as simple as a map drawn with sticks on the ground or sophisticated using computers and GIS. This is one of the most powerful and important participatory assessment methods when carried out and analyzed effectively.

Toolshop Ideas:

Try and include as many different examples of the application of mapping in the Toolshop as possible. If the focus of the workshop is specifically on biodiversity conservation, you may want to emphasize this application of mapping by using examples of participatory mapping of wildlife or habitat distribution. In particular, use examples of maps showing natural resource distribution and traditional use/tenure patterns related to resources within and around Protected Areas. Make sure that you have examples or discuss the differences between maps developed by different stakeholder groups (women, older people, youth, hunters, etc.). Try to include an example of participatory mapping using GIS.

Activity Ideas:

If you have access to a computer and GIS software, you can allow participants to use this to develop their own resource distribution maps for an area that they might all be familiar with (a field trip site, for example). The group can then compare the different results and relate this to observation, perception and information differences. Alternately, you can have the group develop maps of the training campus both individually and as a group. Differences between the individual and participatory mapping results can be discussed. Relate this to Participatory Mapping in ICOPs.
Attachment 55

Participatory Transect Toolshop

Application:
Participatory transects have a number of different applications depending on where they are carried out and who is involved. They can be used to gain information on land use and tenure, agro-ecological zones, resource use and impacts, wildlife distribution, etc. When carried out with key informants or different stakeholder groups, they can not only provide a spatial dimension to interactions between people and the environment but can also provide valuable insights into local people’s perceptions on a number of issues. Participatory transects can be conducted through settlements, agricultural land or forests depending on the information to be collected.

Toolshop Ideas:
Use examples of participatory transects from different ecological and land use zones and with different applications to show the variety of information that can be generated through this tool. Emphasise the difference between ‘traditional’ transects as used in conventional research (usually with only a team of researchers) and participatory transects that take into account the perceptions and priorities of stakeholders. Illustrate how the data obtained, even in the case of ‘biological’ transects is enhanced manifold when transects are carried out in a ‘participatory’ manner.

Activity Ideas:
Have participants carry out a ‘transect’ through a part of the training campus and record their results. You can have them do it first on their own (without a group member who knows the area well) and then again with somebody who knows the campus and its history well. Compare the two results to highlight how data is enhanced through involvement of local stakeholders. Relate this to Participatory Transects in ICPs.
Attachment 56

Ranking and Scoring Toolshop

Application:
There are several methods within ranking and scoring that can help gain an understanding of local people's understanding, priorities and preferences on a number of issues. This can include fodder and fuelwood use, general use of forest resources, food intake, crop species, alternative livelihoods, resource management approaches, etc. Methods include matrix ranking and scoring, preference ranking, pairwise ranking, wealth ranking, etc.

Toolshop Ideas:
Set up the Toolshop with different examples of ranking and scoring on different issues. Focus on the analysis that emerges from the application of the method and how it helps decision-making. For example, what are the implications of a ranking activity where women ranked fuelwood and fodder species very high while men ranked only timber species; or what are the implications of a very high score for a certain fodder species given by some women, whereas another group of women scored a different species very high. Make sure to bring out differences in ranking and scoring between and within stakeholder groups. What are seasonal differences? Spatial differences? Etc.

Activity Ideas:
Divide participants into groups and have them carry out their own ranking and scoring activities on issues that they are familiar with. For example, you can have them rank and score makes of cars based on criteria such as fuel consumption, aesthetics, price, comfort, safety, etc. Compare the group results and discuss differences. Ask them how they came to consensus within the group when there were different ideas. Relate this to participatory ranking and scoring for ICOPs.
Participatory Mapping
And GIS

To illustrate the importance of participatory mapping in planning for Protected Areas, and a participatory application of GIS.

Overhead Projector (OHP), transparencies, OHP marker pens

Prior to the session, prepare three sets of the Mapping Case Study (Attachment 57). The last paragraph of each case study should relate to a different stakeholder group as described. Prepare the accompanying overlay maps based on the Ideas for Developing Overlay Maps (Attachment 58) on transparencies, so that each group has one set of the two maps and a blank transparency overlaid one on top of the other. Each group should have a different resource use map but the same forest cover map. You might want to invite a resource person with experience in GIS to explain the (optional) GIS overview.

1½ hours

Explain the purpose of the session and introduce the resource person (if relevant).

Ask the resource person to provide a brief (10-15 minute) overview of the principles and practice of Geographical Information Systems (GIS), emphasising participatory applications of the method.

Explain that we will now be using some GIS-generated forest and resource use maps to examine a hypothetical situation related to participatory planning of a Protected Area.
Divide the participants into groups and distribute the sets of blank transparencies, maps, markers and case studies to each group. Make sure that each group has a different case study and has the resource use map relating to the stakeholder group in their case study.

Ask participants in each group to:

- Read the case study carefully

- Examine the two overlaid maps showing the forest types and the resource use of the stakeholder group they represent

- Discuss the task and use the markers to draw, on the blank transparency, the "ideal" boundaries of the PA from the perspective of the stakeholder group that they are representing

Give the groups 30 minutes to carry out the task and at the end of this time, collect the prepared transparencies from both groups.

Display each of the results on the OHP in turn and ask the respective groups to explain their rationale for the boundaries they selected.

Overlay the results of the different groups on each other and discuss reasons for the differences in the PA boundaries between the groups.

Initiate a plenary discussion around the following questions:

- What is striking about the boundaries drawn by the groups? (If the case study and the maps have been prepared 'creatively', there will be a marked difference between the boundaries drawn by the groups.)

- What does this tell us about PA planning? (Bring out that most PAs are demarcated without participation, leading to conflicts because interests of primary users are not taken into account. Also bring out the point that people from the same community may not necessarily agree on PA boundaries. Revisit the concept of stakeholders and interest groups.)
How can this approach be used for PA planning? (Point out that this can be a very important first step in identifying areas of mutual consensus and areas of potential conflict that can then be used for further planning and implementation.) What is the use of GIS in planning for conservation and development? (Point out that although most users see GIS as a technical, "non-participatory" tool, it has a number applications that can assist participatory planning and management. Describe how such maps could be generated with inputs from PRA exercises.)

Note: If you do not have access to a GIS system, you can also hand draw the different maps on OHPs and carry out this exercise, leaving out the references to GIS but focusing on participatory planning and mapping aspects of the session.
Attachment 57

Participatory Protected Area Planning

Palu is a small, landlocked Asian country. The relatively small population of the country is primarily rural, engaged in subsistence farming and most people are still highly dependent on natural resources. One of the country’s main sources of income is logging. Logging pressures have intensified in recent years because of the recent government policy of handing over large logging concessions to overseas operators with little vested interest in managing these areas for long term sustainability. While Palu still has about 50% of its current area under forests, predictions are that this will decline rapidly. Already, the unsustainable logging operations have had serious negative impacts on both biodiversity and the social fabric of the country.

Under pressure from international conservation organisations, external donors, local NGOs and the various international treaties that Palu is signatory to, the government has decided to take biodiversity conservation seriously. The plan is to have 15% of the country’s land area under Protected Areas. Many donor agencies, international NGOs and consulting firms have descended on the country and are “advising” the government on the best way to plan and manage a system of Protected Areas.

Learning from the mistakes of neighbouring countries where serious conflicts are occurring between people and Protected Areas, the government of Palu has (in theory) decided to follow a participatory approach to PA planning. A consultative approach to setting the boundaries of PAs will be taken and local residents living in key biodiversity areas will contribute to this process by helping identify and demarcate PA boundaries to minimise conflicts with existing land and resource use patterns and local needs and priorities.

A new PA is being planned in Atipa District in southern Palu. This is an important area that has several different ecosystems and contains several key wildlife species, but detailed surveys have still not been carried out. The government has asked the local community to help identify the boundaries of the PA from their perspective. However, the government has made it clear that there are several criteria that the PA should meet.
These are that the PA should:

- be large and contiguous
- contain all of the different habitat types
- not have any settlements should be located inside it
- be subjected to minimal human "impact"

The local community also has several criteria that need to be met if they are to cooperate with the government in the planning of this PA. These are that the communities should:

- continue to have access to key natural resources for subsistence and for their livelihood
- continue to have access to their traditional spiritual sites within the forest
- have enough land outside the PA to allow for an expansion of their fields in the future
- not suffer negative impacts from the wildlife in the PA

Once the boundaries are agreed by both groups, restrictions will be imposed on the use of resources from within the PA and on access to the PA.

You are representing the women from the communities. How would you draw the boundaries of the PA based on your specific interests?

Note: Use this case study as an example to develop your own. Make sure to have as many different interest groups (e.g. women, men, government, etc.) as there are participant groups working on the activity.
Attachment 58
Developing Overlay Maps

Transparency A:

Should show forest cover and habitat types and ecosystems including areas of high biodiversity importance (unique/endemic species, key wildlife habitats, etc.)

Transparency B:

Prepare at least two different sets of these. One could show areas of resource use/importance for women and another for men. Areas equally important for both could also be included. Use your imagination to develop these maps including areas for collection of key natural resources for different purposes, hunting/fishing areas, areas of cultural/spiritual importance, etc. Make sure that resource extraction patterns are laid out in a manner that will make the development of the PA boundaries interesting and controversial.

Transparency C:

Groups should draw the proposed PA boundaries based on the instructions given in the case study on this transparency.

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Integrated Conservation and Development (ICD) is increasingly being seen as the way forward in meeting both biodiversity conservation and socio-economic development goals. Over the years, this approach has evolved from being one that treated local communities as passive beneficiaries of compensation schemes to one that involves active partnerships between key stakeholders to meet joint conservation and development objectives. However, although there is widespread recognition for this approach, it is important to ensure that conservation planners and managers have the capacity to implement it.

This trainer’s manual is designed to provide a capacity building resource for organisations involved in ICD training and/or planning. The manual is divided into five chapters of which the first three introduce fundamentals of planning and organising participatory training workshops. The remaining two chapters contain training sessions with detailed facilitator guidelines. Chapter 4 introduces key concepts and issues in ICD, such as: community participation, gender, traditional knowledge, policy and legislation, conservation development linkages and incentives, livelihood strategies, conflicts and conflict management, and partnerships and collaborative management. Chapter 5 focuses on participatory planning, monitoring and evaluation of ICD initiatives and contains a number of training activities related to this. Attachments including short case studies provide much of the basic background material needed for the training sessions. A list of key references for each topic is also provided for more detailed preparation for the training if needed.

The training approach described in the manual is based on an experiential and participatory learning model that can be adapted for target audiences ranging from community groups to government policy makers. The training activities in the manual have been developed by a diverse group of people through a series of regional ICD training workshops in Asia conducted by the WWF ICDP Training Programme, a four year capacity building initiative funded by WWF UK and DFID. Most of the activities have been field tested in a variety of training workshops in a range of countries including Pakistan, India, Sri Lanka, Bhutan, Vietnam, China, Philippines, Malaysia and the Solomon Islands.

The manual has already proved to be an extremely useful resource to academic institutions, training institutions, NGOs and government staff involved in Integrated Conservation and Development. It is anticipated that planned translations into key regional languages will make it more accessible and will continue to contribute to the ongoing adaptation of the training activities to make them more relevant and applicable to specific situations. We see this as an important contribution to promoting the attitudes, knowledge and skills required for effective participatory management of natural resources.

ISBN: 1 85850 161 X

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