



Caribbean Natural Resources Institute

# Facilitating participatory natural resource management

A toolkit for Caribbean managers



MACARTHUR  
The John D. and Catherine T. MacArthur Foundation



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# List of Acronyms

AWNC	Asa Wright Nature Center
BGTT	British Gas Trinidad and Tobago
CANARI	Caribbean Natural Resources Institute
CBO	community based organisation
CHMC	Centre Hills Management Committee
CHP	Centre Hills Project
CNFO	Caribbean Network of Fisherfolk Organisations
CNIRD	Caribbean Network for Integrated Rural Development
DBCS	Dominica Beekeepers Co-operative Society Limited
DFID	Department for International Development
DoE	Department of Environment
EMA	Environmental Management Authority
ESA	Environmentally Sensitive Area
FCF	Forest Conservation Fund
FD	Forestry Department (Jamaica)
FAO	United Nations Food and Agriculture Organisation
GIS	Geographic Information Systems
GBP	Great Britain pounds
IDRC	International Development Research Centre
LFMC	Local Forest Management Committee
MPUE	Ministry of Public Utilities and the Environment
NGO	non-governmental organisation
NP	National Petroleum Marketing Company Limited
OECS	Organisation of Eastern Caribbean States
PBCS	Pure Blossom Co-operative Society Limited
PFM	participatory forest management
PV	participatory video
RSPB	Royal Society for the Protection of Birds
SIDC	Seafood Industry Development Company Limited
SOUL	Signs of Unlimited Love
STBFA	St. Thomas Bee Farmers Association
STEPA	St. Thomas Environmental Protection Agency
TAC	Technical Advisory Committee
UK	United Kingdom
USAID	United States Agency for International Development
USD	United States dollars
UWI	University of the West Indies
WASA	Water and Sewerage Authority of Trinidad and Tobago

# Introduction

In the islands of the Caribbean, government agencies and non-governmental organisations (NGOs) involved in natural resource management, biodiversity conservation, and rural development currently face many challenges. The economies of Caribbean countries and the livelihoods of their people, especially the rural poor, are highly dependent on natural resources, particularly in the tourism, farming and fisheries sectors. Yet the ecosystem goods and services on which these sectors depend have been eroded as a result of uncontrolled physical development, pollution and unsustainable agricultural and other extractive practices. And the situation has been exacerbated by the impacts of invasive species and, more recently, climate change.

If nothing is done, Caribbean people may soon no longer be able to depend on critical goods and services, such as water production, food production, soil stabilisation and landscape beauty. The situation is urgent and complex and therefore requires a holistic, multi-stakeholder approach to develop appropriate responses. No one agency or organisation can address the challenges on its own but by pooling the resources and capacities of all stakeholders – locally, nationally and regionally – innovative solutions are being identified that optimise the balance between conservation and human wellbeing. Such approaches often identify changes that are needed in the institutional framework (including structures, legislation and policy). But most importantly, they require the use of effective and equitable participatory processes for policy- and decision-making about the management of natural resources that balances conservation and livelihood outcomes.

While the concept of participation is increasingly being enshrined in policy and legislation in the Caribbean, the practice of systematically applying participatory tools and methods still lags behind. A key challenge is that most natural resource managers do not have the required capacity to effectively facilitate participatory processes to engage stakeholders.

This toolkit is designed to bridge this gap and help formal and informal natural resource managers as well as other independent persons to build their skills, knowledge and experience to facilitate participatory processes that can effectively and equitably engage stakeholders in decision-making about how the resources should be managed.

Facilitators of participatory processes may be from a government agency with formal legal responsibility for management of the resource, from an organisation (governmental or non-governmental) coordinating a programme or project addressing management of the natural



resource, or from a community or group using the resource. Or they may be external independent facilitators brought in by stakeholders involved to provide neutral facilitation.

Many of the tools in this document will also be useful to those involved in environmental advocacy, community-based adaptation to climate change, and other community development initiatives. The toolkit is designed primarily for those working in Caribbean small island developing states but many of the approaches are applicable to natural resource management in other countries and particularly other small island states.

CANARI uses this toolkit as a resource in its training of facilitators of participatory natural resource management and, as a resource in the design and implementation of the participatory processes it facilitates.

## **How to use the toolkit**

The toolkit is divided into four sections:

**Section 1** provides definitions of concepts and terms that are commonly used in participatory natural resource management and that you will find throughout the toolkit.

**Section 2** provides activity guides for the most important tools and methods in participatory natural resource management.

These include key steps for the facilitator of such processes and some guidance on the time needed, though this will vary depending on the number of participants and their capacities and interests.

Where relevant, the activity sheets also provide tips for facilitators and guidance on pitfalls to avoid.

**Section 3** provides brief case studies of participatory processes led by CANARI and others in various Caribbean islands, including lessons learnt that may be of value to other facilitators.

**Section 4** provides case studies based on feedback from forest managers who tested a previous version of this toolkit.

**CANARI regards this toolkit as a living document that will be refined, adapted and expanded based on its own and others' experiences. We welcome comments, suggestions and feedback to ensure that the toolkit meets the needs of natural resource managers in the Caribbean. Please send these to [info@canari.org](mailto:info@canari.org).**



# Section 1: Concept Sheets

Facilitation

Livelihoods

Sustainable livelihoods

Livelihood assets

Participation

Stakeholder identification

Institutions

Participatory planning

Capacities needed for participation

Participatory video



# Concept Sheet 1

## What is facilitation?

This concept sheet, defines facilitation, identifies some common tools and methods used in facilitation, describes capacities of an effective facilitator and provides elements to be considered in planning facilitation

### Definition

**Facilitation** can be defined as the process of helping groups or individuals come to a common objective without imposing, dictating or manipulating an outcome. Facilitation empowers individuals or groups to find their own answers to problems or plan approaches to issues identified.

Facilitation involves using a range of tools and methods to draw out information or ideas from the participants in the process. The facilitator guides the discussion towards some predetermined objective, for example an agreed way forward to resolve a management issue.

Facilitation is very different from teaching and training where there is a much higher flow of information from the teacher or trainer to the participants. In a facilitated process information is flowing from the participants. There is a high level of involvement of and interaction among participants. The facilitator asks questions and helps to clarify points. The facilitator does not control the decisions made by participants or the results of the process.

### Tools and methods in facilitation

There are a wide range of tools and methods that can be used in facilitation, for example:

- brainstorming;
- pair and small group work;
- plenary discussions;
- individual reflection;
- games;
- models;

- demonstration;
- role play and drama;
- debate;
- musical interpretation;
- movement and dance;
- visual interpretation (art, craft, mapping, diagramming);
- round robin;
- nominal group technique;
- case studies;
- field trips;
- focus groups; and
- exchange visits.

A facilitator uses a combination of different tools and methods to address the range of learning styles, needs, contexts and desired objectives to be achieved.

## Capacities of a good facilitator

Effective facilitation requires a facilitator with a range of qualities that guide the process to achieve the predetermined objective. Capacities required include skills, knowledge, values/ feelings/ attitudes, relationship and resources.

Skills: a facilitator needs to have skills in:

- **listening** to identify key points;
- **questioning** to probe, to redirect and summarise;
- **conflict management** to identify points of agreement, to reformulate contributions to highlight common ideas, to encourage people to build on others' ideas, to test for false consensus, and to test consensus for relevance or motivation;
- **language and communication** to aid in understanding and interpretation of feedback inclusive of verbal and non-verbal communication; and
- **using feedback** to guide participants to evaluate past activities/responses and formulate improved approaches.

**Knowledge:** a facilitator needs to have a basic understanding of the issue being discussed, sufficient to guide the discussion and not necessarily an expert on the topic.

**Values/ feelings/ attitudes:** a facilitator needs to have and show respect and demonstrate that he/she values input from each stakeholder through allowing each stakeholder to input into the process and ensuring that consideration is paid to every response.

**Relationships:** a facilitator creates and maintains relationships with each stakeholder to encourage sharing of experiences, opinions and ideas that can input into deriving the predetermined objective.

**Resources:** a facilitator needs to have access to sufficient and appropriate resources to assist with deriving the predetermined objective. These include an appropriate space for the session, materials, equipment, sufficient seating, lighting and wall space (for projecting presentations and placing charts and other materials). It also includes access to resource personnel to provide expert information on the issues to be discussed that can be used in preparing handouts.

## Planning facilitation

Effective facilitation also includes planning and designing the session with stakeholders. Elements to be considered when designing or planning a facilitated session include:

- **Goal/ objective** of the activity: what do you want to achieve?
- **Target audience:** who will be involved?
- **Agenda:** what will you do? What methods will you use?
- **Resources:** what materials or information will you need? How much money will you need for the meeting to provide materials, food, etc.?
- **Environment:** what is the space that you have for the session? Does it have sufficient room, seating, lighting, wall space, etc.? What are the potential distractions and how can these be managed? Is it comfortable for the participants?
- **Mobilisation:** how will you get people to come?

### Toolkit Links:

1. **Activity sheet 6: Effective facilitation** describes how to design facilitation for a participatory process to ensure that stakeholder participation is equitable and effective. It also provides useful tips for facilitators and a materials checklist.
2. The **case study summaries in Sections 3 and 4** below provide Caribbean experiences with facilitation of participatory approaches in natural resource management.
3. See **Concept sheet 4: Identifying who is a stakeholder** for the definition of stakeholder, a concept introduced above.

## Concept Sheet 2

# What are livelihoods, sustainable livelihoods, and livelihood assets?<sup>1</sup>

This concept sheet provides definitions of livelihoods, sustainable livelihoods and livelihood assets. It also expands on the concept of and different types of livelihood assets.

### Definitions

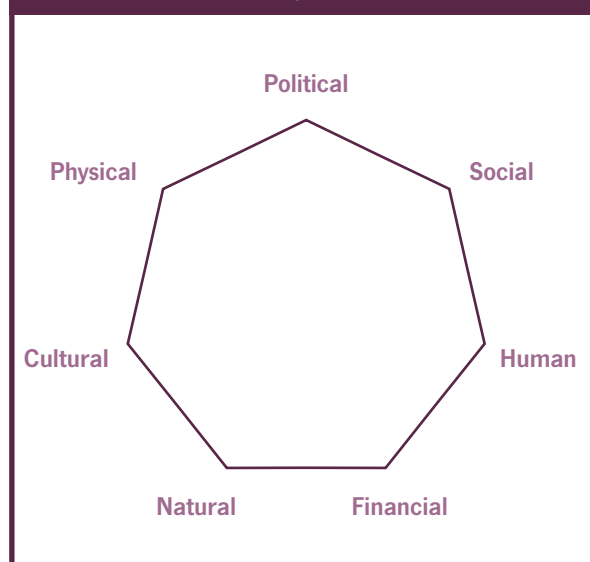
**Livelihoods:** the term ‘livelihoods’ encompasses the capabilities, assets and activities required for a means of living. This includes the concept of human well-being and quality of life including, but not limited to, the ability to earn a living in terms of having an adequate salary or generating enough money to cover at least basic needs.

**Sustainable livelihoods:** livelihoods are sustainable when they:

- can cope with and recover from stresses and shocks;
- do not depend on external support;
- maintain or enhance capabilities and assets both now and in the future;
- do not compromise the productivity of the natural resource base; and
- do not undermine the livelihoods of others.

**Livelihood assets:** the livelihoods framework developed by the United Kingdom’s Department for International Development (DFID) in 1999 is based on the idea that human well-being is determined by the extent to which individuals and households have access to a range of types of ‘assets’. A

**Figure 1: Caribbean livelihoods framework** (adapted from DFID framework)



<sup>1</sup> Information for this concept sheet was drawn from Department for International Development. 1999. Sustainable Livelihoods Guidance Sheets. <http://www.eldis.org/vfile/upload/1/document/0901/section2.pdf> as well as from CANARI’s own research.



balanced portfolio of assets is needed for human well being and quality of life. The DFID framework identifies five categories of livelihood assets: human, natural, social, physical and financial. The research conducted by CANARI suggests that in the Caribbean context it is also important to include political and cultural assets.

## Types of assets

- Human assets: education or knowledge; technical, management and other skills; talents; and health.
- Natural assets: ownership or access to natural resources, including land, water, and ecosystem services.
- Social assets: family, community and relationships built through social networks; and means of communication such as through websites and email lists.
- Physical assets: infrastructure such as housing, schools, hospitals, emergency shelters and other community buildings; vehicles and access to transport; and equipment.
- Financial assets: income, savings, access to credit, investment and inheritance.
- Political assets: power; access to and influence over policy and decision-making processes; and political connections.
- Cultural assets: assets such as natural and physical resources of religious and cultural significance to communities (including communities of interest, country, region and world).

## Toolkit Links:

1. The **case study summaries in Sections 3 and 4** provide examples of Caribbean participatory approaches to natural resource management that have sought to address both conservation and livelihood issues

# Concept Sheet 3

## What is participation?

This concept sheet provides a definition of participation and some guiding principles for carrying out effective participatory processes. It also reviews the different types of participation.

### Definition

**Participation** in the context of natural resource management can be described as a process that:

- facilitates dialogue among all actors;
- mobilises and validates popular knowledge and skills;
- encourages communities and their institutions to manage and control resources;
- seeks to achieve sustainability, economic equity and social justice; and
- maintains cultural integrity (Renard and Valdés-Pizzini 1994).

### Characteristics of participation

The characteristics of effective participatory planning processes are that they:

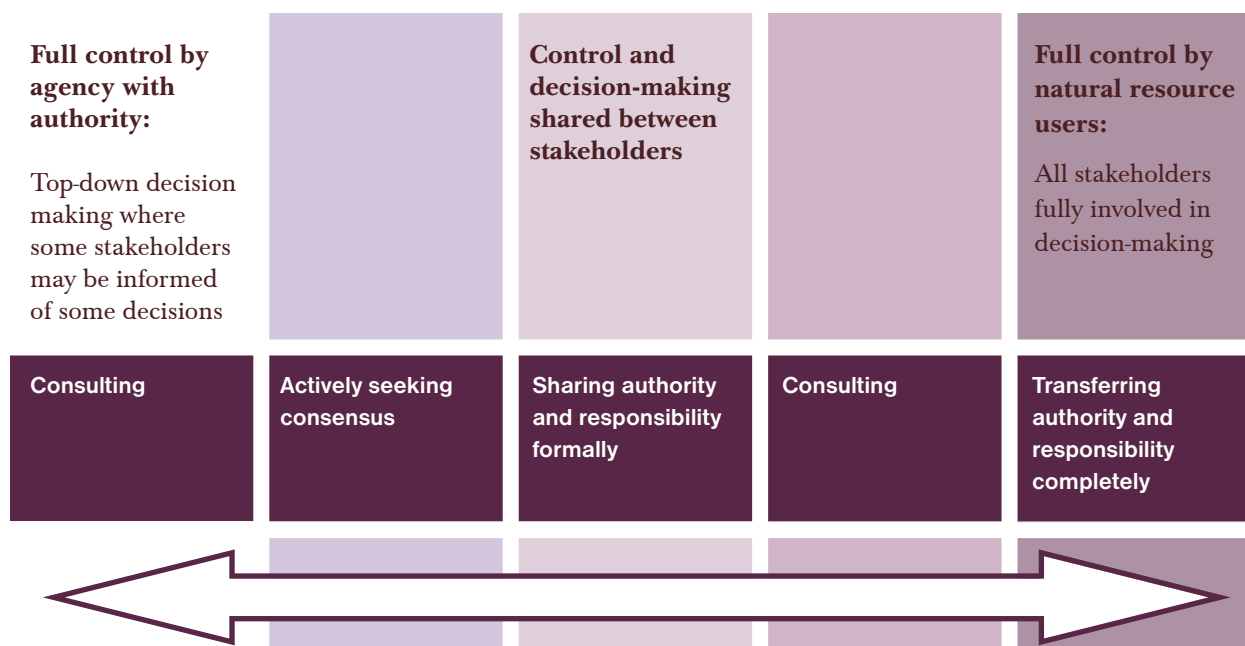
- have active, informed and equitable participation of all interested stakeholders throughout the process;
- provide opportunities for the diverse views and opinions of stakeholders to be presented and listened to;
- seek to negotiate between stakeholders to manage conflicts and build consensus;
- effectively communicate information to stakeholders so that they can understand the issues, form opinions, and make decisions;
- recognise the inequities among stakeholders and seek to find approaches that facilitate the equitable engagement of those with the least power and voice and ensure that the more powerful stakeholders do not dominate or manipulate the process;

- adapt the process to respond to emerging needs; and
- respect the process and the decisions reached.

An important focus in facilitating participatory processes is giving voice to stakeholders who are less powerful and may otherwise be marginalised from the process.

## Types of participation

Perceptions of what participation entails vary widely. One way of thinking about the effectiveness of participation is to consider the level of stakeholder involvement in decision-making as a measure of the depth of the participatory process. Figure 2 (from Borrini-Feyerabend 1996) shows a continuum from high to low participation in natural resource management. In this continuum, the extreme left represents the top-down decision-making model, which has been the norm in Caribbean islands. The extreme right represents the complete transfer of management delegation from the government agency with formal authority for natural resources to another entity, such as a NGO or community-based organisation (CBO). Between these two extremes are situations where roles and responsibilities are shared among the different stakeholders in varying degrees.




**Figure 2: A continuum of participation in natural resource management**

Others have sought to classify different types of participation. Table 1 (Bass et al 1995) describes one typology. This highlights power issues in participatory processes, with

manipulative participation having the lowest stakeholder power in the decision-making process and self-mobilisation having the most.

**Table 1: A classification of types of participation and corresponding characteristics**

	Types of Participation	Characteristics
 <p>lowest stakeholder power</p> <p>highest stakeholder power</p>	<b>Manipulative participation</b>	Participation is simply a pretence, with ‘people’s representatives on official boards but who are unelected and have no power People participate by being told what has been decided or has already happened.
	<b>Passive participation</b>	It involves unilateral announcements by an administration or project management without any listening to people’s responses. The information being shared belongs only to external professionals
	<b>Participation by consultation</b>	People participate by being consulted or answering questions. External agents define problems and information gathering processes, and so control analysis. Such a consultative process does not concede any share in decision-making, and professionals are under no obligation to take on board people’s views
	<b>Participation for material incentives</b>	People participate by contributing resources, for example labour, in return for food, cash or other material incentives. [People] ... are involved in neither experimentation nor the process of learning. It is very common to see this called participation, yet people have no stake in prolonging technologies or practices when the incentives end
	<b>Functional participation</b>	Participation is seen by external agencies as a means to achieve project goals, especially reduced costs. People may participate by forming groups to meet predetermined objectives related to the project. Such involvement may be interactive and involve shared decision-making, but tends to arise only after major decisions have already been made by external agents. At worst, local people may still only be co-opted to serve external goals.
	<b>Interactive participation</b>	<p>People participate in joint analysis, development of action plans and formation or strengthening of local institutions. Participation is seen as a right, not just the means to achieve project goals.</p> <p>The process involves interdisciplinary methodologies that seek multiple perspectives and make use of systemic and structured learning processes. As groups take control over local decisions and determine how available resources are used, so they have a stake in maintaining structures and practices</p>
	<b>Self-mobilisation</b>	<p>People participate by taking initiatives independently of external institutions to change systems. They develop contacts with external institutions for resources and technical advice they need, but retain control over how resources are used.</p> <p>Self-mobilisation can spread if governments and NGOs provide an enabling framework of support. Such self-initiated mobilisation may or may not challenge existing distributions of wealth and power.</p>

## Toolkit Links:

1. The concept of stakeholders is explored in **Concept sheet 4: Identifying who is a stakeholder**.
2. **Activity sheet 4: Participatory planning** provides an overview of the characteristics of effective participatory planning.
3. The **case study summaries in Sections 3 and 4** provide examples of participatory approaches to natural resource management in the Caribbean.

# Concept Sheet 4

## Identifying who is a stakeholder

This concept sheet provides a definition of a stakeholder; expands on this by examining who might be considered a stakeholder in natural resource management based on identifying their rights to, responsibilities for and interests in a resource; and defines who is a key stakeholder.

### Definition

**Stakeholders** in natural resource management are “the individuals, groups and organisations that are involved in or may be affected by a change in the conditions governing the management and use of a resource, space or sector” (Geoghegan *et al.* 2004, p.3).

### Who has rights, responsibilities and interests?

Stakeholders can also be defined as the people who have rights to, responsibilities for, and interests in a resource as illustrated in the analysis in Table 2 below.

Typical stakeholders in natural resource management therefore include:

- government agencies, the private sector, CBOs, NGOs, academic institutions, the media, intergovernmental bodies, technical assistance agencies and donors;
- stakeholders found at many levels:
  - local (e.g. communities living adjacent to a forest, forest users);
  - national (e.g. government agencies with responsibility for forest management, private sector companies)
  - regional (e.g. regional NGOs, regional intergovernmental bodies)
  - international (e.g. tourists, foreign-based companies, international NGOs, regional or international donors and technical assistance agencies);
- organisations or formal groups as well as individuals, communities and informal networks;

**Table 2: Analysis of rights, responsibilities and interests of stakeholders in a resource**

Stakeholders have <u>rights</u> to a resource if they:	Stakeholders have <u>responsibility</u> for a resource if they:	Stakeholders have <u>interest</u> in a resource if they:
<ul style="list-style-type: none"> <li>• have a traditional link to it (e.g. people who traditionally harvest medicinal plants from the forest)</li> <li>• depend on it for their livelihood (e.g. timber harvesters)</li> <li>• own the land or access to it (e.g. a group of craft makers who are allowed to go and harvest materials from the forest)</li> <li>• have been conferred rights via some legal mandate (e.g. forestry departments, private landowners)</li> </ul>	<ul style="list-style-type: none"> <li>• undertake actions that change the nature of it (e.g. marijuana farmers, people who set fires in or near the forest, people helping with reforestation)</li> <li>• derive economic benefits or well-being from it (e.g. tour guides who make a living from ecotours into scenic natural areas)</li> <li>• are formally or informally managing it (e.g. forestry departments are formal managers but timber harvesters also informally manage their extraction)</li> <li>• have a statutory responsibility (e.g. state land and planning agencies)</li> </ul>	<ul style="list-style-type: none"> <li>• have a cultural attachment to it (e.g. Rastafarians)</li> <li>• derive some enjoyment from it (e.g. local and foreign hikers and birdwatchers)</li> <li>• are actively involved in its conservation (e.g. environmental NGOs)</li> <li>• have an intellectual association with it (e.g. researchers)</li> </ul>

- people with legal rights, responsibilities and interests as well as people undertaking illegal activities (e.g. illegal hunting, illegal occupation of land); and
- people directly using or managing a resource as well as people who have an indirect impact on a resource, for example, people benefiting from the ecological services (e.g. watershed functions) or people whose activities have an impact on the ecosystem (e.g. residents in an upper watershed impact on coastal and marine ecosystems downstream).

## Key stakeholders

It is not always possible (given limitations in time, money, etc.) to fully involve every stakeholder in a participatory process. It is therefore important to identify the key stakeholders, that is, the ones most likely to affect and be affected by (positively or negatively) the outcomes.



In determining who the key stakeholders are, it is useful to ask the following questions:

- Are their purpose, focus, interests and mission particularly relevant to management of the resource?
- Do they have a high level of power, authority and influence?
- Do they have a low level of power, authority and influence, and are therefore at risk of being marginalised?
- Do they have a large stake in the outcomes (for example, are they the management agency or do their livelihoods depend on the resource)?
- Is the scope of their involvement high (for example, this is or should be a key area of work for them)?
- Do they have the capacity to contribute (for example, can they participate in meetings with other stakeholders and effectively express their ideas)? Can they provide special or unique skills or knowledge (for example, a university has high technical capacity to contribute to management)?

## Toolkit Links:

1. Stakeholders are part of institutions and are further discussed in **Concept sheet 5: What is an institution?**
2. **Activity sheet 1: Stakeholder identification** explains how to identify stakeholders.
3. The **case study summaries in Sections 3 and 4** speak to the significance of this concept, the importance of understanding stakeholder rights, responsibilities and interests and, the benefits of identifying those that are key.



# Concept Sheet 5

## What is an institution?

This concept sheet provides a definition of an institution, reviews the roles that institutions play in natural resource management and broadly discusses institutional arrangements.

### Definition

An **institution** is the set of arrangements for making decisions about the development, management, and use of a natural resource, including the stakeholders, as well as the laws, formal and informal policies, plans and structures that guide how these stakeholders interact with each other and with the resources.

### Understanding institutions in natural resource management

In the context of natural resource management, an institution can best be defined as the manner in which rights and responsibilities over the use and management of the resource are distributed, regulated and applied. These rights and responsibilities can be grouped into four broad categories:

- the right to sell the resource (conventional ownership right);
- the right to use the resource and consume or sell the products derived from that use;
- the right and responsibility to exclude other users; and
- the right and responsibility to define and modify the conditions under which use can take place.

A useful analogy is to think about an institution as a football game. The team of players, the referee and the spectators are the stakeholders. There are formal rules governing how the game is played but also informal norms about how to behave at a football game, for example, cheering when a goal is scored.

In the case of the natural resource management of a protected area, the institution for managing it involves many stakeholders who can be formally or informally involved in

management. There are formal laws and policies guiding how the area is to be managed and who has formal responsibility for management. There are also informal policies that influence management decisions. For example, there may be an informal policy that supports the involvement of surrounding communities that is not written in a formal document but has become the accepted practice.

It is important to understand and be able to explain to others the difference between an institution and an organisation. Organisations are one type of stakeholder within an institution and they can take many different forms. For example, in a marine protected area management institution, organisations might include the fisheries department, one or more NGOs, the tourism association and a dive company.

### Toolkit Links:

1. For background see **Concept sheet 4: Identifying who is a stakeholder**.
2. **Activity sheet 3: Institutional mapping** will detail how institutional mapping, as a type of stakeholder analysis, can be carried out during the participatory planning process.
3. The issues identified in the **case study summaries in Sections 3 and 4** can be viewed through the lens of institutions in terms of the rights to sell and use resources, as well as the rights and responsibilities to exclude others or to define and modify conditions of use.

# Concept Sheet 6

## What is participatory planning?

This concept sheet provides a definition of participatory planning and explains how it differs from traditional planning.

### Definition

**Participatory planning** is planning with the active, informed and equitable participation of all (key) stakeholders.

### What is involved in participatory planning?

Participatory planning processes share the following steps with conventional approaches:

- problem or need identification and analysis;
- definition of goals and objectives;
- collection and analysis of information;
- identification of options;
- formulation of plans and decisions;
- implementation; and
- monitoring and evaluation.

They however, differ from conventional process in several ways; participatory planning processes:

- involve stakeholders in most, if not all, of the steps;
- begin with stakeholder identification and analysis;
- solicit stakeholder inputs and negotiate among different perspectives;
- are non-linear and iterative because the process itself creates changes in perceptions, relationships, practices and outcome;
- promote action learning; and
- encourage action at any stage of the planning process not just the end, as one of

the objectives is to bring about a change in the condition of the resource and/or management arrangements.

Each situation is unique and there is no single or ideal model of a participatory process. However, characteristics of effective participatory planning processes are that they:

- have active, informed and equitable participation of all (key) stakeholders throughout the process;
- accept and incorporate the diverse views and opinions of stakeholders and negotiate to reach consensus;
- effectively communicate information to and between stakeholders so that everyone can understand the issues, form opinions, and make decisions; and
- recognise the inequities among stakeholders and seek to find approaches that facilitate the equitable engagement of those with the least power and voice and ensure that the more powerful stakeholders do not dominate or manipulate the process;
  - adapt the process to respond to emerging needs; and
  - respect the process and the decisions reached.

### Toolkit Links:

1. See also Concept sheet 3: What is participation? and **Concept sheet 4: Identifying who is a stakeholder.**
2. **Activity sheet 4: Participatory planning** details the steps in a participatory planning process.
3. The **case study summaries in Sections 3 and 4** involve the application of participatory planning processes to unique situations throughout the Caribbean and, in turn, illustrate the characteristics of effective participatory planning.

# Concept Sheet 7

## Capacities needed for participation

This concept sheet provides a definition of capacity and examines the range of capacities needed for stakeholders to be able to effectively engage in a participatory process.

### Definition

**Capacity** is a term that is widely used but rarely defined so may mean different things to different people. In this context it is used as an umbrella term to refer to the ability of a person or organisation to participate effectively in the process in which they are engaged. In practice, as noted below, several different elements of capacity (or capacities) are needed to participate effectively.

### What are the capacities needed for effective participatory processes?

Stakeholders need a range of capacities in order to participate effectively, as outlined below in Table 3 which was adapted from Krishnarayan et al. 2002. If one or more of the capacities is missing or weak, then the ability to effectively facilitate or engage in participatory processes will be compromised. For example, if there is inadequate financial support for the process, effective stakeholder engagement is likely to be limited. However, the most important aspect of capacity is having a world view or philosophy that places a high value on participatory approaches, particularly for those leading the process. The effectiveness of any participatory process is likely to be compromised if there is not a sincere commitment to stakeholder involvement in decision-making.

Capacity assessment and capacity building should be integral components of a participatory planning or management process and involve:

- an assessment of the existing capacity of each stakeholder;
- identification of the capacities needed (for participation in planning and/or management);
- development of a capacity building strategy that builds on existing capacities and uses methods appropriate to each stakeholder;



- evaluation of the capacity built; and
- identification of further capacity building needs.

**Table 3: Elements of capacity to engage in participatory processes**

Capacity	Requirements
<b>Culture</b>	There must be a willingness to work with other stakeholders towards shared objectives and a belief that this can be effective. Within an organisation this is expressed through procedures and processes guiding how the organisation does things.
<b>Structure</b>	Structures need to be in place to facilitate open and clear communications internally within the organisation and with partners. Communication channels must exist to receive input, share information, and facilitate discussion, debate and negotiation.  Structures must have a clear definition of roles, functions, lines of communication and mechanisms for accountability.
<b>Adaptive culture and strategies</b>	The importance of continuous adaptive management as a result of active learning must be recognised.  Internal structures and mechanisms need to be flexible to adapt to changes in the natural resource being managed, the patterns of use of this resource, and the needs, interests, roles and responsibilities of all of the stakeholders involved.  A learning organisation will have policies and practices that support systematic monitoring and evaluation and ensure that lessons learnt are put into practice for continuous improvement.
<b>Linkages</b>	An ability to develop and manage relationships between individuals, groups and organisations is needed.  Multi-disciplinary and inter-sectoral approaches are needed that bring together different government agencies and the full range of stakeholders, e.g. academia, private sector, NGOs, CBOs, communities and individuals.
<b>Skills, knowledge, abilities (competencies)</b>	Technical skills and knowledge relevant to the specific management area are required.  These may include, for example, knowledge about the ecosystem, management issues, management approaches (e.g. protected area, sustainable extraction) and livelihood aspects.  Skills might include for example research, map reading, data interpretation and analysis, use of technology, etc. Skills and knowledge in how to effectively facilitate or engage in participatory processes is also needed. Examples include communication and interpersonal skills, ability to negotiate, ability to speak clearly and communicate effectively in front of a large group.
<b>Material resources</b>	Technology, equipment, materials and finance must be in place to support the effective implementation of the participatory process. There must be flexibility in allocation of these resources to respond to changing needs. Equitable allocation to stakeholders is also important.

## Toolkit Links:

1. See also **Concept Sheet 3: What is participation?** and **Concept Sheet 6: What is participatory planning?**

# Concept Sheet 8

## What is participatory video?

In this concept sheet, we explain the use of participatory video as a facilitation tool, the process involved, its uses and advantages.<sup>2</sup>

### Definition

**Participatory video (PV)** is a facilitation tool that stakeholders use to tell their story. It is not traditional documentary film-making as stakeholders are fully involved from conception to production of the video. PV gives control to those who are affected by specific concerns to decide what the issues and questions are, who should be part of the process, who needs to hear the messages and how those messages should be crafted. The final product can be a documentary, a skit or a music video.

### What is involved in participatory video?

In PV, the process is more important than the product. Key elements of the process are:

- facilitating introductions to the group or community to explain the process and ensure interest in participating;
- immediately handing over the camera and building the group or community's capacity to do the filming through ongoing technical support and guidance while they film;
- facilitating the process of planning the story that the group or community wants to tell through story boarding. This may involve using other participatory tools e.g. participatory problem identification and analysis, visioning, community mapping, ranking, prioritising, etc.;
- guiding the process of identifying the target audiences and message development;
- continuous open screening of footage with the group or community to facilitate reflection, analysis and consensus building by the group or community;

<sup>2</sup> This concept sheet draws from Lunch, N. and C. Lunch. 2006. *Insights into Participatory Video: A Handbook for the Field*. Insight, London.

- ensuring participation in editing so that the film accurately reflects what the group or community wants to say; and
- ensuring that the stakeholders have use and ownership of the final product.

## Uses of PV

PV is a very versatile tool that can be used for:

- **advocacy:** this is the most common use of PV where stakeholders work together to effect change (vertical communication to decision-makers);
- **exchange of ideas and experiences:** between groups or communities (horizontal communication) to share ideas and experiences, which can:
  - build relationships and fostering solidarity and collaboration among groups or communities;
  - promote innovation and endogenous development; and
  - encourage and to inspire;
- **participatory research and action learning:** allows stakeholders to develop research skills and to be part of knowledge generation and the sharing of the results;
- **participatory monitoring and evaluation:** a fun way of involving stakeholders in assessing the impact of projects;
- **facilitating dialogue:** between a group or community and stakeholders from outside the community (e.g. researchers, policy-makers, donors); and
- **building consensus:** through sharing among a group or community.

## Advantages of PV

The advantages of PV include:

- PV is an **easy and accessible** medium for people of all literacy levels;
- PV is **immediate and powerful** and people feel excited to see themselves on film and share their story or idea;
- PV **engages** people to tell their stories in their own voices in their own environment. They feel comfortable to voice concerns, explore issues or tell stories to their peers who are interviewing them;

- PV **builds community** through screenings of footage which show all of the perspectives within a group or community. This helps to raise awareness and stimulate a rich discussion and consensus building among a group or community;
- PV **catalyses** people to come together and identify and analyse problems and solutions;
- PV **amplifies** people's voices and brings them to life for others in a powerful visual medium; and
- PV **empowers** a group or community and allows them to communicate their ideas directly to decision-makers and/ or other groups and communities. It allows them to share their vision of sustainable development based on their own needs.

## Toolkit Links:

1. See **Case Study 1: Participatory video: An advocacy tool to help the Blanchisseuse fishing community to communicate their challenges and develop partnerships to solve them** for the implementation of the steps detailed above and for the link to the video developed.



# Section 2: Activity Sheets

Stakeholder identification

Stakeholder analysis

Institutional mapping

Participatory planning

Stakeholder mobilisation

Effective facilitation



# Activity Sheet 1

## Stakeholder identification

Stakeholder identification is an incremental (step-by-step) process. It is best done as a group exercise—and that is the focus of this activity sheet—as every stakeholder will have a different perspective and be familiar with a different set of stakeholders. But obviously some initial stakeholder identification is necessary to determine who takes part in the group exercise. This is usually done by the project team or the resource management organisation.

This activity sheet can then be used by the facilitator to guide a group through the process of identifying stakeholders based on thinking about the different types of natural resources at the site or the site to be managed.

There are other approaches to identifying stakeholders but this is one of the most effective in ensuring that no one is overlooked.

It is also important to recognise that stakeholder identification is not a one-off process. It needs to be done on a continuous basis as changes in the external environment or the management regime may alter who is affected and, new resource users may emerge.

### Objective

The objective of this stakeholder identification activity is to name all the individuals, groups and organisations that have a stake in the management of the natural resources under consideration.

### Background

Stakeholder identification is a prerequisite for, and should be the first step in any participatory planning or management process as it is essential in identifying who should be involved. It then continues throughout the process and beyond as new information or interests are identified.

It is important to focus on identifying both the less powerful stakeholders, who may otherwise be marginalised in the process, as well as the most powerful stakeholders who



may not feel a need to engage in the participatory process if they feel they can influence high-level decision-makers directly. An effective stakeholder identification process helps resource managers to:

- understand the different ways in which people interact with the natural resources and the management regime;
- identify the stakeholders that are key to successful implementation of management strategies; and
- identify areas of potential conflict.

## Resources

### Box 1: Resources needed for facilitating stakeholder identification

Materials	Requirements
<ul style="list-style-type: none"> <li>• <b>Concept Sheets:</b> <ul style="list-style-type: none"> <li>• <b>Concept sheet 4: Identifying who is a stakeholder?</b></li> <li>• <b>Concept sheet 3: What is participation?</b></li> <li>• <b>Concept sheet 6: What is participatory planning?</b></li> </ul> </li> <li>• <b>Handouts:</b> <ul style="list-style-type: none"> <li>• <b>Table 2 from Concept sheet 4: Identifying who is a stakeholder?</b> (as a handout or on a PowerPoint slide)</li> </ul> </li> <li>• <b>Probing questions as listed below (optional)</b></li> <li>• <b>Flip Chart Paper, Pens and Markers</b></li> <li>• <b>Masking Tape</b></li> <li>• <b>Power Point Presentation</b> summarising points from the concept sheets and with examples of goods and services from natural resources</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Meeting room</b> large enough for the entire group and with wall space for putting up the work from whole and small group exercises.</li> <li>• <b>Break out rooms</b> or enough space for smaller group work.</li> <li>• <b>PowerPoint software, a projector and screen</b> (or white wall) if using slides.</li> </ul>

## Method

### STEP 1: Recap or define key concepts:

- Review the definition of stakeholders and the value of identifying them to the entire participatory process using **Concept Sheet 4: Identifying who is a stakeholder?** as well as **Concept sheet 3: What is participation?** and **Concept sheet 6: What is participatory planning?** to review participatory processes.

**STEP 2: Introduce the idea of who is a stakeholder** using information presented in Concept sheet 4 (whole group exercise):

- Emphasise that stakeholders can be:
  - individuals, informal groups, or formal organisations;
  - legal or illegal users; and
  - formal or informal managers.

**STEP 3: Identify the natural resources within the site to be managed<sup>3</sup>** (whole group exercise).

- Ask the participants to identify what types of natural resources exist at the site (e.g. forest, savanna, mangrove, coral reef) and list each of them on flip chart paper.

**STEP 4: Identify the goods and services provided by different natural resources** (small group exercise).

- Explain that in this exercise, they will work in small groups to identify the goods and services provided by each of the natural resources identified in Step 2.<sup>4</sup>
- Provide one or two examples of natural resource goods and services (see Table 4 below).
- Divide the participants into small groups. Groups should normally be between four and eight people to ensure that everyone participates.
- Allocate each group one or more natural resources, depending on the number identified and how many small groups there are. The allocation should also take account of who is in the group, i.e. who has good knowledge of a particular resource.
- Encourage groups to select a coordinator or chair and a presenter.
- Ask the groups to report back on a) the goods and b) services provided by each natural resource and provide them with flip chart paper and markers.
- Give the groups adequate time to identify the goods and services which will depend

<sup>3</sup> This step is not needed if there is only one resource e.g. it is all mangrove.

<sup>4</sup> If there is only one resource then do this activity in plenary with the whole group

on the number of resources, for example 15-20 minutes. Bring the groups back into plenary session and give each group 5-10 minutes to present their identified goods and services to the rest of the group.

- Ask for comments, validation and additions from other participants, adding your own inputs if necessary. This should take at least 5-10 minutes per group.

**Table 4: Example of a natural resource and the goods and services it provides**

Natural resources present on the site to be managed	Good and services produced by each resource
Forests	<b>Goods</b>
	1. timber
	2. food
	3. craft materials
	<b>Services</b>
	1. carbon sequestration
	2. protection of water resources
	3. landscape beauty/aesthetics

**STEP 5: Analyse rights, responsibilities and interests<sup>5</sup>** (small group exercise).

- Note that for the process of stakeholder identification, it is important to think of all of the different types of stakeholders with differing rights, responsibilities and interests.
- Present Table 2 from **Concept sheet 4: Identifying who is a stakeholder?** (as a handout or on a PowerPoint slide) and clarify what is meant by ‘rights’, ‘responsibilities’ and ‘interests’ using the examples provided.
- Emphasise that it is not necessary to distinguish among these for any one stakeholder, but it might help to stimulate thinking about the different types of stakeholders from each of these three perspectives. For example, you can think about all of the different types of interests (e.g. economic, conservation, spiritual), or responsibilities (e.g. formal legal management, having a voice in decision-making), or rights (e.g. traditional use rights).

<sup>5</sup> This step could also be considered as a method of stakeholder analysis but it is useful to conduct it at this stage to help you identify those who are the key stakeholders.

- Ask participants to re-form into their small groups.
- Using Table 2 to guide them, ask each group to identify the stakeholders with rights, responsibilities and interests in the natural resource(s) they identified before. Emphasise that they need to be as specific as possible. For example, listing local communities or government agencies is too vague; instead, they should identify the names of specific villages and agencies.
- To help with their analysis, you may want to provide a list of probing questions on a handout or flip chart, for example:
  - Who has responsibilities to manage the resource?
  - Who uses the resource?
  - Who benefits (or potentially benefits) from the use of the resource?
  - Who wishes to benefit from the resource but is unable to do so?
  - Who impacts on the resource positively or negatively?
  - Who would be affected by a change in management status?
  - Who makes decisions that affect the use and status of the resource?
  - Who is interested in how the resource is managed, even if they are not directly using or managing it?
- Remind them that they need to have a coordinator or chair and a presenter.
- Give the groups adequate time to list the stakeholders under the three categories, for example 15-20 minutes.
- Bring the groups back into plenary session and give each group at least 5-10 minutes to present followed by discussion. Reassure them that it does not have to be a complete list at this point as the stakeholder identification process will continue. Ask for validation and additions.

### **STEP 6: Keep asking – who else?**

- Note that the list may still be incomplete but that the process of getting stakeholders to identify other stakeholders becomes a mechanism for progressively adding stakeholders and widening the circle of participation to make it truly inclusive.
- Wrap up by explaining that stakeholder identification is an ongoing activity since additional stakeholders may emerge as conditions or resource use or interests change. Consequently the list needs to be constantly updated. It is useful to keep asking ‘who have we forgotten?’ and ‘who else is there?’ and to find mechanisms to include new stakeholders into the process at any time.

## Tips for the facilitator

- This activity works best if you can invite a diverse set of participants who have different knowledge and experience to participate in the session. If this is not possible, interview different knowledgeable individuals or groups before or after the session to help to develop the list of who are stakeholders.
- You may want to validate and add to the work carried out by the group by reviewing relevant literature, through field observations, by conducting interviews or focus groups using the probing questions, or through informal discussions with key informants.
- Doing comprehensive and systematic stakeholder identification is critical for any participatory process. It is worth investing the time to do this thoroughly. Failing to identify and involve a stakeholder or stakeholder group can compromise the desired management outcomes and may be much more time-consuming in the long run.
- Involving the people that you will be working with in the stakeholder identification process can set an important foundation for further engagement. An effective process can make participants feel involved from the outset and help foster commitment.
- In addition to the formal outputs of the activity, pay attention to and record any additional information that participants provide about stakeholders, such as what they are doing, how the resource is affected, and what are the areas of conflict. You can get a lot of information that will help later in the participatory process.

## Toolkit Links:

1. **Concept sheet 4: Identifying who is a stakeholder?** and **Concept sheet 3: What is Participation?** provide useful background information on stakeholders and the participatory process.
2. **Activity Sheet 2: Stakeholder analysis** builds on this activity sheet by providing the steps for identifying key stakeholders and understanding more about each stakeholder.
3. **Activity Sheet 3: Institutional mapping** provides a tool for analysing the relationships between stakeholders.
4. The **case study summaries in Sections 3 and 4** provide examples of participatory processes at work. **Case study 2: Facilitating participatory protected area planning for the Aripo Savannas, Trinidad and Tobago** in particular, used stakeholder analysis as the foundation to the management planning exercise.
5. **Concept sheet 1: What is facilitation?** and **Activity sheet 6: Effective facilitation** provide additional guidance and tips to facilitators.

# Activity Sheet 2

## Stakeholder analysis

Once the main stakeholders have been identified, the next step in the participatory process is to analyse their interests. By understanding stakeholders' rights, responsibilities, interests, perspectives, and power relationships and, which are the key stakeholders, you can better facilitate their involvement in a participatory process.

### Objective

The objective of the stakeholder analysis activity is to better understand stakeholder roles, responsibilities, interests and perspectives as well as power relationships among them. This will help in identifying how they should be engaged in management, what are the potential areas of conflict, and the capacities and capacity gaps that might support or hinder resource management. It also enables you to identify the key stakeholders.

### Background and rationale

Conducting a stakeholder analysis involves:

1. identifying the relevant questions to ask about stakeholders in relation to the management context, including:
  - What are the stakeholder interests, roles, responsibility and power relationships?
  - How do they use the resource?
  - How are they involved in management now and in the past?
  - What will be the impact on them of a change in management?
2. determining how the stakeholder analysis will be conducted, key questions include:
  - Who will be involved?
  - What is the level of participation?
  - How will information be collected?
  - What are the potential sources of information?
3. collecting and validating the information for each stakeholder;
4. organising and sharing the information in a format that is clear and understandable by all stakeholders; and

5. constantly revising the stakeholder analysis as the situation changes.

A well-facilitated participatory stakeholder analysis allows each stakeholder to state their own needs and expectations and hear and understand those of others.

Stakeholder analysis can also help to identify underlying needs as well as hidden agendas by providing a framework for inquiry into the different ways that people relate to natural resources and to each other.

The process can also serve as a forum for negotiation. When a conflict has flared, a stakeholder analysis can be used to identify where alliances can be built and which interests might be negotiable.

## Resources

### Box 2: Resources needed for facilitating stakeholder analysis

Materials	Requirements
<ul style="list-style-type: none"> <li>• <b>Concept Sheets:</b> <ul style="list-style-type: none"> <li>• <b>Concept sheet 3: What is Participation?</b></li> <li>• <b>Concept sheet 4: Identifying who is a stakeholder?</b></li> </ul> </li> <li>• <b>Flip Chart Paper, Pens and Markers</b></li> <li>• <b>Letter-sized coloured paper</b></li> <li>• <b>Masking Tape</b></li> <li>• <b>Power Point Presentation or handouts or flipcharts</b> of the outputs of the stakeholder identification activity as detailed in <b>Activity sheet 1: Stakeholder identification</b></li> <li>• <b>Probing questions</b> as a handout or on a flipchart or on a slide</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Meeting room</b> large enough for the entire group and with wall space for putting up the work from whole and small group exercises.</li> <li>• <b>Break out rooms</b> or enough space for smaller group work.</li> <li>• <b>PowerPoint software, a projector and screen</b> (or white wall) if using slides.</li> </ul>

## Method

### STEP 1: Recap or define key concepts.

- Review who are stakeholders and the importance of identifying them using **Concept Sheet 4: Identifying who is a stakeholder?** along with **Concept Sheet 5: What is an institution?**

### STEP 2: Assign stakeholders into the most important and relevant categories<sup>6</sup> (whole group exercise).

- Provide a list of the stakeholders identified from the stakeholder identification process on a flipchart, slide or handout. It may be useful to organise stakeholders into different categories based on their primary area(s) of interest. Discuss with participants which category or categories each stakeholder should be assigned to.

Examples of categories can include:

- biodiversity and cultural resources (for tourism and recreation)
  - land resources
  - water resources
  - mineral resources
- Under each category further subdivide stakeholders by sector and/or type (e.g. government (public sector), civil society, private sector, donors and technical support agencies, inter-governmental agencies, communities, etc).

**Table 5: Subdividing stakeholders by sector and type**

	<b>Government</b>	<b>Civil society</b>	<b>Private sector</b>
<b>Biodiversity</b>	Ministry of Environment Ministry of Agriculture Ministry of Tourism Community Development Agency	CANARI Save Our Birds Hunters Together	Tourguides Inc.
<b>Land</b>	Ministry of Transport	Against Development	Big Trucks
<b>Mineral</b>	Ministry of Energy and Mines	Village of Beauty	Sand Limited

<sup>6</sup> This step is only applicable if you are examining different categories of resources.



**STEP 3: Determine which are the key stakeholders<sup>7</sup>** (can be done as a whole group or small group exercise).

- Explain that it is not always possible (given limitations in time, money, etc.) to fully involve every stakeholder in a participatory process or the management arrangements, so it is useful to identify those who are most likely to positively or negatively affect the outcomes. Use the factors outlined in Concept Sheet 4: Identifying who is a stakeholder? to have participants (in plenary or small groups) analyse which of the stakeholders identified are key by asking:
  - are their purpose, focus, interests and mission highly relevant to management of the resource?
  - do they have a high level of power, authority and influence?
  - do they have a low level of power, authority and influence, and are therefore at risk of being marginalised?
  - do they have a large stake in the outcomes (for example, they are the management agency or their livelihoods depend on the resource)?
  - Is the scope of their involvement high (for example, this is or should be a key area of work for them)?
  - do they have the capacity to contribute (for example, they can participate in meetings with other stakeholders and effectively express their ideas)? Can they provide special or unique skills or knowledge (for example, a university has high technical capacity to contribute to management)?
- Record which stakeholders are identified as key.

**STEP 4: Refining the analysis** (whole or small group exercise).

You may want to expand on the analysis of stakeholder roles, responsibilities and interests by natural resource or natural resource goods and services that you conducted earlier.

What you decide to analyse will depend on what you need to know to implement your participatory process and design effective management arrangements.

The following are examples of the type of question you can ask about each stakeholder or stakeholder group:

- **Interests:** what are the current and future interests of stakeholders in the use and management of the resources? What do they need and want? What benefits do they currently or potentially derive?
- **Power:** does the stakeholder have formal rights and responsibilities? Legal power? Political influence? Economic power? Or a combination of these?
- **Relationships:** what are the relationships between stakeholders? Are there formal structures and/or informal networks and mechanisms?

<sup>7</sup> This can be done before or after Step 3.

- **Impacts on the resource:** what impacts are stakeholders having on the resource, both positive and negative?
- **Conflict:** what are the areas of existing or potential conflict? What are the areas of agreement and shared interest upon which consensus and collaboration can be negotiated?
- **Capacity:** are stakeholders willing to participate in planning or management? What capacities do they have to contribute? What capacities do they need to be able to effectively contribute (and are there resources to build these)?

**STEP 5: Documenting the analysis** (may be done during or after the workshop).

- Record the analysis in a format that gives you easy access to the information you need, for example in table format as shown in Table 6 below, where the key stakeholders are identified in bold.

<b>Table 6: Compilation of the results of a stakeholder analysis</b>		
<b>Biodiversity Resources</b>		
<b>Stakeholders</b>	<b>Rights, power, responsibilities, use, interests</b>	<b>How will they be affected by a change in management? What are the existing and potential sources of conflict?</b>
<b>Government</b>		
<b>Ministry of Environment</b>	Legal responsibility for management of biodiversity resources	Conflict with other government agencies where there are conflicting land uses
<b>Community Development</b>	Interested in promoting rural livelihoods based on the sustainable use of natural resources	Conflict with stakeholders promoting conservation as there is a perception that they are against people and use of natural resources
<b>Civil Society and Private Sector</b>		
Save the Birds	Interested in bird conservation	Conflict with hunters as there is a perception that hunting is currently unsustainable
<b>Hunters together</b>	Interested in recreational hunting	Conflict with stakeholders promoting conservation as there is a perception that they are against people and use of natural resources

### Tips for the facilitator

- The process of stakeholder analysis can help to build trust and respect between different stakeholders.
- Participatory stakeholder analysis is likely to work best with independent facilitation, especially if there is conflict.
- If you are from the agency with formal management responsibility, you are probably coordinating the participatory process. But it is also important to participate actively in the analysis process and to recognise that you are just one stakeholder, albeit a key one, and that your interests may be different from others.
- Stakeholder analysis is a valuable change management tool as when you regularly re-examine who are your stakeholders and subsequently re-analyse them throughout the life of a management intervention, changes in power relations and social dynamics can be re-assessed and new entrants into the natural resource management system identified.

### Toolkit Links:

1. **Concept sheet 4: Identifying who is a stakeholder?** and **Concept sheet 3: What is Participation?** provide useful background information on stakeholders and the participatory process.
2. This activity can be expanded to include **Activity Sheet 3: Institutional Mapping**, which provides guidance for analysing relationships among stakeholders, and the policies and laws within the relevant institution.
3. See also **Concept Sheet 7: Capacities needed for participation**.
4. The **case study summaries in Sections 3 and 4** provide examples of participatory processes at work.
5. **Concept sheet 1: What is facilitation?** and **Activity sheet 6: Effective facilitation** provide additional guidance and tips to facilitators.

# Activity Sheet 3

## Institutional mapping

Institutional mapping is another type of analysis that includes some aspects of stakeholder analysis. In this case, 'maps' are used to analyse relationships among stakeholders, policies and laws within the institution.

### Objective

The objective of this institutional mapping activity is to analyse relationships among stakeholders, policies, and laws in an institution. The influence of power and flows of information and money can also be examined.

### Background and rationale

Graphically mapping the relationships among stakeholders, policies and laws in an institution is useful in understanding how decisions are made about the management of the natural resources and by whom. It can also help to identify gaps, avenues for stakeholder participation, and capacity needs (including areas for developing or improving relationships or linkages).

## Resources

### Box 3: Resources needed for facilitating institutional mapping

Materials	Requirements
<ul style="list-style-type: none"> <li>• <b>Concept Sheets</b> (optional as handouts)               <ul style="list-style-type: none"> <li>• <b>Concept sheet 4: Identifying who is a stakeholder?</b></li> <li>• <b>Concept sheet 5: What is an institution?</b></li> </ul> </li> <li>• <b>Activity sheets</b> <ul style="list-style-type: none"> <li>• <b>Activity sheet 2: Stakeholder analysis</b></li> </ul> </li> <li>• <b>Flip Chart Paper, Pens and Markers</b></li> <li>• <b>Letter-sized or card-sized coloured paper</b></li> <li>• <b>Masking Tape, string or wool</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Meeting room</b> large enough for the entire group and with wall space for putting up the work from whole and small group exercises.</li> <li>• <b>Break out rooms</b> or enough space for smaller group work.</li> <li>• <b>Wall space</b> to stick maps.</li> </ul>

## Method

### STEP 1: Recap or define key concepts.

- Review who are stakeholders and what are institutions using **Concept Sheet 4: Identifying who is a stakeholder?** and **Concept Sheet 5: What is an institution?**

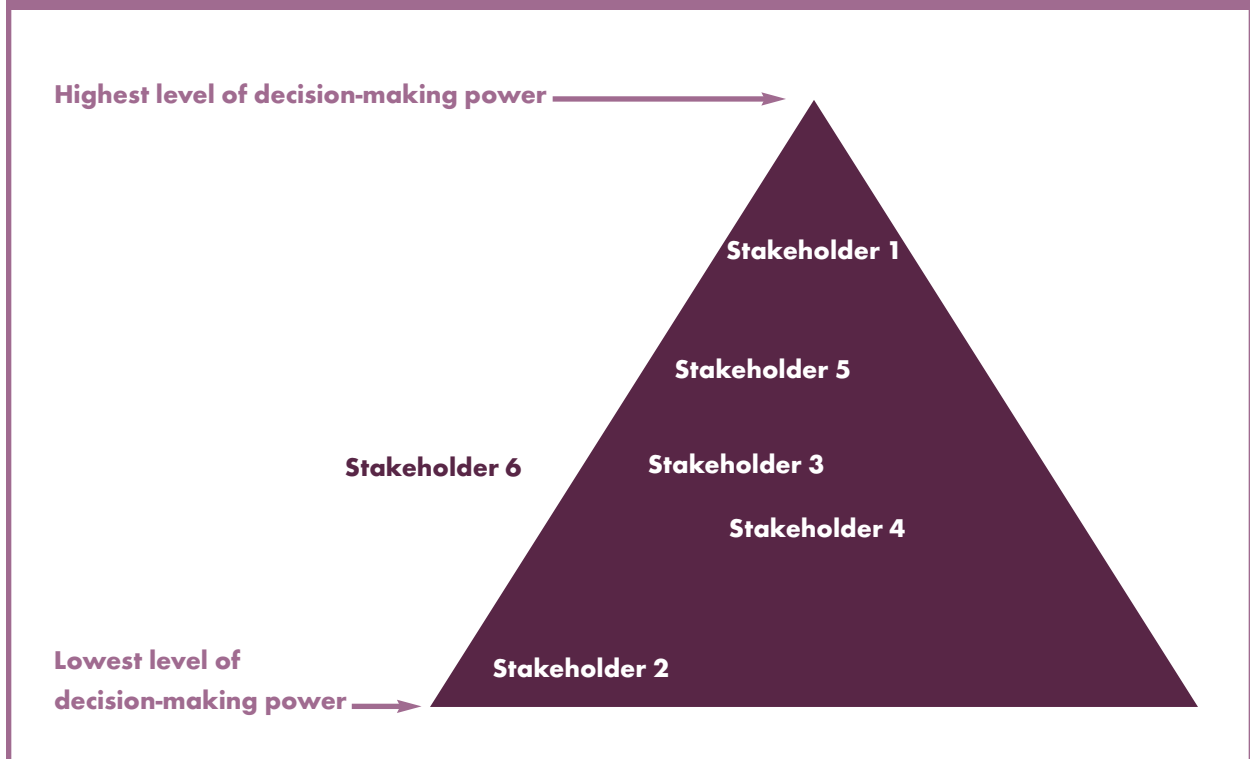
### STEP 2<sup>8</sup>: Analyse power relations.

- Draw a large triangle on flip chart paper (or several pieces of flip chart paper stuck together) and explain that this represents the decision-making pyramid for the institution governing the natural resources or site in question. The top of the triangle is where the most decision-making power lies and the base represents the lowest power.
- Write each key stakeholder identified under **Activity 2: Stakeholder analysis** on a separate piece of coloured paper (card or letter size depending on the size of the triangle, these can be prepared in advance or done during the workshop). You can also use different colours of paper to represent different types of stakeholders e.g. government, private sector, civil society, etc.).

<sup>8</sup> Note to facilitators: Steps 2 and 3 can be done independently of one another or sequentially (and in either order).

- Ask participants to position the key stakeholders within the triangle in terms of the level of power (high, medium, low) they have in the decision-making and management arrangements. Key stakeholders can be placed outside the triangle if the perception is that they are not involved at all).
- Discuss the findings using probing questions, for example:
  - Which types of stakeholders (e.g. government, private sector or civil society) have the most power and why? Which sub-sectors dominate (e.g. tourism or energy)?
  - Do the identified key stakeholders have power? Why or why not?
  - What determines how much power a stakeholder has (e.g. money, legal mandate, connections, etc.)?
  - How can stakeholders that are low on the triangle get more power in the decision-making process?
  - Has the process identified any new stakeholders?

**Figure 3: A pyramid of decision making power**



**STEP 3: Analyse relationships.** Write each key stakeholder identified under **Activity 2: Stakeholder analysis** on a separate piece of coloured paper (card or letter size depending on the space that you have to work with, these can be prepared in advance or done during the workshop).

- You can also use different colours of paper to represent different types of stakeholders e.g. government, private sector, civil society, etc.).
- Place the pieces of paper with the names of stakeholders on the floor in a circle (or stick on the wall). Start with one stakeholder and ask participants to identify relationships that this stakeholder has with other stakeholders. Ask participants to place the tape, string or wool from the first stakeholder to each one it has a relationship with. This connection between stakeholders demonstrates the relationship between them.
- Repeat the analysis of relationships until you have exhausted all identified key stakeholders. You should now have a ‘web’ of relationships among stakeholders in the institution.
- Optional: Use thicker lines to indicate stronger relationships.
- Optional: Describe what type of relationship exists between two stakeholders (e.g. is it a one- or two-way flow of information/ideas, money/technical assistance, etc.) by using arrows and different coloured string or wool to indicate different types of relationships.
- Optional: Add to the web on separate pieces of paper the key laws, policies, programmes, etc. Use tape, string or wool to identify whether and how these are influencing or are influenced by the various key stakeholders in the institution (e.g. a law may guide the actions of a forest management agency and the agency may also lead on drafting the law and deciding how it is implemented).
- Discuss the findings using probing questions, for example:
  - Which stakeholders have the most relationships? Emphasise that these stakeholders are key points of influence and power and may be hubs in the network.
  - Which stakeholders do not have many relationships with other stakeholders and why? Should they develop more relationships, and if so, how and with whom?
  - Who is providing money and technical assistance and to whom? Are potential beneficiaries excluded? Are there other potential sources of support?
  - Are information and ideas flowing between the right people in both directions? If not, why not? How can this be achieved?
  - What might be the most strategic points of intervention to improve a stakeholder’s role in management of the natural resource?



**Figure 4: Example of institutional mapping done for the Blue and John Crow Mountains National Park, Jamaica in 2009 with the two colours representing different flows**



## Tips for the facilitator

- Creating a map of the relationships among stakeholders, policies and laws can help to quickly identify the key relationships and gaps and provides a clear picture of the current situation.
- If the institution has many stakeholders, laws and policies, the final map may look extremely messy and almost incomprehensible to those who were not involved in creating it. But the process of creating the map is just as, if not more, valuable than the product as the discussion and analysis help to bring out different perspectives, develop consensus, question assumptions, and reveal issues that may not be obvious.
- As with stakeholder identification and other types of analysis, the institutional map needs to be continuously updated to reflect changes.
- Tracking changes in the institutional map can be an interesting way to conduct a participatory evaluation of contributions made by the participatory planning or management process.
- Sometimes it is also useful to create a map of what the institution would look like if the collective vision for management of the site or resources were achieved. This helps to focus attention on what needs to change.



## Toolkit Links:

1. This Activity Sheet complements **Activity Sheet 2: Stakeholder analysis** which provides another approach to analysing stakeholders.
2. See also **Concept Sheet 4: Identifying who is a stakeholder?** and **Concept Sheet 5: What is an institution?** provide background information
3. The **case study summaries in Sections 3 and 4** describe applications of institutional mapping or refer to the importance of institutional arrangements particularly:

**Testing the tools 2: Application of the principles of facilitating participatory forest management to a prospective Local Forest Management Committee in the Morant River Watershed, St. Thomas, Jamaica**

**Testing the tools 5: Building the capacity of technical staff of Forestry Division of Trinidad and the Department of Natural Resources and the Environment in Tobago in participatory forest management.**

**Case study 3: Participatory development of the Trinidad and Tobago forest and protected areas policies**

**Case study 4: A participatory approach to biodiversity conservation and protected area management in the Montserrat Centre Hills**

4. **Concept sheet 1: What is facilitation?** and **Activity sheet 6: Effective facilitation** provide additional guidance and tips to facilitators.

# Activity Sheet 4

## Participatory planning

This activity sheet gives an overview of the steps involved in a participatory planning process and guidance on how to implement them.

### Objective

The objective of this activity is to outline the steps in a participatory planning process, which uses several participatory tools to facilitate the involvement of stakeholders in all stages of a planning process.

### Background and rationale

The steps in a participatory process are similar to conventional approaches to planning, and include problem identification, definition of goals and objectives, collection and analysis of information, identification of options, formulation of plans and decisions, implementation, and monitoring and evaluation. The main difference is that stakeholders are involved in most of the steps, using participatory methods.

Participatory planning lays the foundation for engagement of stakeholders in management. It helps to establish institutional arrangements where rights and responsibilities are distributed in the most effective and equitable manner and to identify ways to manage conflicts.

Before the process begins, it is important to discuss with stakeholders leading the process (e.g. the government agency coordinating the activity) the objectives of the process and especially what type of participation they would like to achieve in the process and beyond (see section on types of participation in **Concept sheet 3: What is Participation?**). This is important to check how deeply stakeholders should be engaged, what resources and time are needed for the process, and to be able to manage stakeholder expectations that may be raised as part of the process.

## Resources

### Box 4: Resources needed for participatory planning

#### Materials

- **Concept Sheets**
  - **Concept sheet 2: What are livelihoods, sustainable livelihoods and sustainable assets?**
  - **Concept sheet 3: What is participation?**
  - **Concept sheet 4: Identifying who is a stakeholder.** (optional as handout)
  - **Concept Sheet 5: What is an institution?**
  - **Concept sheet 6: What is participatory planning?**
- **Activity sheets**
  - **Activity sheet 1 : Stakeholder identification**
  - **Activity sheet 2: Stakeholder analysis**
  - **Activity sheet 3: Institutional mapping**
  - **Activity sheet 5: stakeholder mobilisation**
- **Flipcharts**
- **Paper – letter sized, white or coloured**
- **Masking tape**
- **Sticky dots** or **stickers**
- **Pens** and **marker**
- **String** or **wool**

#### Requirements

- **Meeting room** large enough for the entire group and with wall space for putting up the work from whole and small group exercises.
- **PowerPoint software, a projector and screen** (or white wall) if using slides.
- **Wall space** to stick maps.

## Method

A participatory planning process will include some or all of the following steps. They need not be conducted in precisely this order and in some cases will be iterative.

### STEP 1: Recap or define key concepts.

- Review what are livelihoods, who are stakeholders, what is participation, what is participatory planning and what are institutions using:
  - **Concept sheet 2: What are livelihoods, sustainable livelihoods and sustainable assets?**
  - **Concept sheet 3: What is participation?**
  - **Concept Sheet 4: Identifying who is a stakeholder?**
  - **Concept Sheet 5: What is an institution?**
  - **Concept sheet 6: What is participatory planning?**

### STEP 2: Conduct a preliminary stakeholder identification and assess who are key stakeholders.

- Use **Activity Sheet 1: Stakeholder identification** to identify stakeholders.
- Use **Activity Sheet 2: Stakeholder analysis** to identify who are key stakeholders.

### STEP 3: Establish a Steering Committee of key stakeholders (assuming that a deep level of key stakeholders is desired)<sup>9</sup>.

- Identify a group of key stakeholders representing key (and diverse) interests and with the capacity to guide the process.
- Establish this group as a Steering Committee (formal or informal) to validate the approach and input into the activities of the participatory planning process.

<sup>9</sup> Can also be established after the stakeholder analysis step.

### Steps in a participatory planning process (Geoghegan et. al. 2004):

A typical participatory planning process will involve the following main steps:

- Determine need for planning process
- Stakeholder identification
- Stakeholder mobilisation
- Stakeholder analysis
- Definition of mechanism for stakeholder participation and process to be used to arrive at decisions and solutions
- Identification of problems, issues, and needs
- Definition of goals and objectives
- Collection of information on which to base decisions
- Analysis and sharing of results with stakeholders
- Identification and assessment of options
- Negotiation
- Formulation of decisions and agreements
- Monitoring and evaluation

### **STEP 4: Conduct a comprehensive and systematic stakeholder analysis with the participation of stakeholders.**

- Use **Activity Sheet 2: Stakeholder analysis** to conduct an analysis of interests, rights and responsibilities.

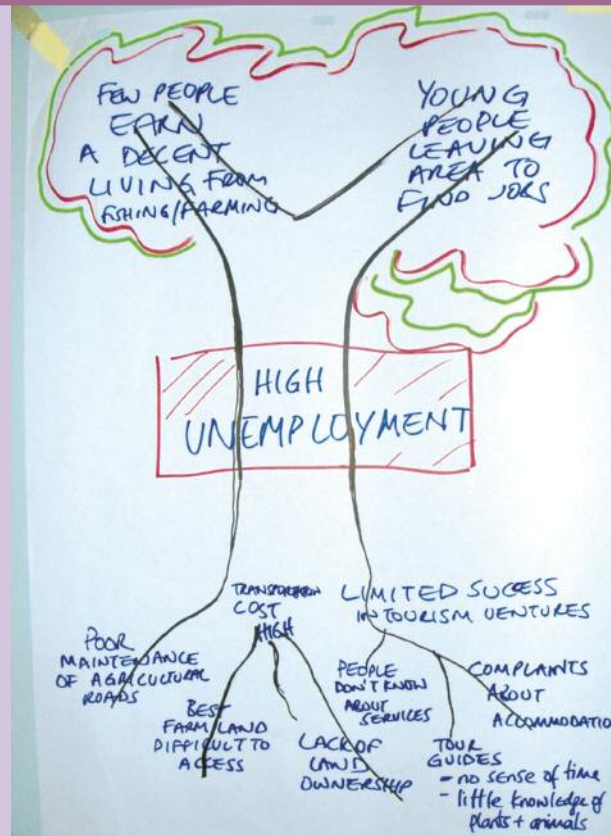
### **STEP 5: Mobilise stakeholders and create mechanisms for effective and equitable participation, particularly of marginalised groups.**

- Use **Activity Sheet 5: Stakeholder mobilisation**.

### **STEP 6: Facilitate participatory problem analysis.**

- Collect ideas from all stakeholders, who will have different perspectives, on what the problems are. This can be done via brainstorming, or having each participant draw what they think the problems are and then sharing and discussing in plenary.
- Explain that problems are not the absence of something but an existing negative state. For example, the absence of a management plan is not a problem; the problem is that management is taking place in a haphazard way without clear priorities and direction.
- Facilitate discussion on these amongst stakeholders to seek agreement that what they identified are all real problems (and not the absence of solutions).
- Facilitate group analysis to identify the causal, core and effect problems to create a 'problem tree' or web of relationships among problems:
  - Write each problem on a separate piece of paper.
  - Consider one problem at a time. Start with one problem and ask '*What problem(s) cause(s) this?*' and '*What problem(s) do(es) this cause?*' to find out how each problem relates to each other.
  - Arrange the problems to show relationships by putting problems that are causing a selected problem below it and problems that are a result above it. Show the connections with string, tape or wool.
  - Repeat this by asking the questions for each problem, to eventually get a web or tree of problems that are interconnected by string, tape or wool.
  - The problems that cause other problems will be at the bottom of your tree (i.e. the roots of the tree, which are the causal problems). Problems in the middle of the tree (i.e. the trunk of the tree, or main/core problem(s)) are the problems that will need to be focused on. Problems at the top of your tree are symptoms caused by the core problem(s) (i.e. the leaves of the tree, or effect problems). The result can be quite a complex web of inter-related problems.
  - Explain that in order to address the effect problems, core problems should be targeted in an initiative. This can be done by looking at which of the root problems can be addressed based on the capacity of the stakeholders, and which problems they may need to engage other stakeholders in addressing. In the

**Figure 5: Example of a simple problem tree drawn on flip chart paper, showing root problems, the core problem, and effect problems**



- example above, high unemployment is the core problem that will be tackled. The stakeholders can do this either through addressing the problems in the agricultural or tourism sector, based on the two sets of root problems.
- Option: After the tree is completed, ask participants to identify which are the priority problems. Do this by giving each participant the same number (e.g. 10) of sticky dots (or stickers). Tell them they need to put one sticker on each problem they think is important. Let stakeholders place the stickers and then count to see which problems received the most votes. These are the priorities. For the example above, addressing the agricultural sector problems may be a bigger priority if this is the more feasible livelihood strategy. And within this, addressing the problem of poor roads may be more important and feasible than addressing the issue of land tenure.
  - Emphasise that the participatory process and management arrangements should seek to address these problems, and particularly the core problem.

**STEP 7: Facilitate participatory visioning and goal-setting** (small group exercise).

- Explain that a vision is as ‘a positive image of a successful future’.
- Set the timeframe for the vision (e.g. in five years time).
- Have stakeholders work in small groups to draft elements of a vision for

management of the resource. Tell them they can draw pictures of their vision, dance, do a dramatic presentation, sing about it, or use simple words and phrases to capture the key ideas.

- Have each small group present their vision.
- After all groups have presented, collectively identify the common elements that each group had as part of its vision.
- Discuss areas where groups had different visions and seek to build consensus on those that should be included in the collective vision.
- Record the main agreed elements of the vision on a flip chart. You can use this later to craft a formal vision statement if needed. Crafting language that everyone agrees with can be a time consuming process and should be avoided in a workshop setting, although you should give stakeholders an opportunity to comment on and validate any statement before it is finalised.

### **STEP 8: Develop objectives to address the core problems identified.**

- For each problem identified to be a priority to address, work in plenary to turn this problem (a negative statement) into a positive statement. This is the objective, i.e. the solution to the problem. For example, if the problem is declining populations of agouti in the forest, then the management objective is to increase the size of the agouti population in the forest.
- Validate these broad objectives with stakeholders as these will be the main focus of management.

### **STEP 9: Throughout the process, ensure that stakeholders have enough information, in an accessible format, to input effectively into planning and decision-making.**

- Collect information, including traditional knowledge from stakeholders. Tools that can be used include literature reviews, interviews, and biological and socioeconomic surveys. It is important that stakeholders endorse the methods used and accept the data collected as valid and sufficient for decision-making.
- Make the information accessible and understandable (in terms of language and presentation) to stakeholders and address any capacity gaps in understanding the information so that stakeholders can effectively input into decision-making.

### **STEP 10: Negotiate to reach consensus on key elements of management.**

- Building on the management objectives identified, seek input on how these can be achieved. Work especially with stakeholders that you have identified have specific interests, rights and responsibilities in this area (for example, to address a hunting issue you will need to involve the hunters as well as those opposing hunting).
- Facilitate discussion among stakeholders to get input and develop consensus on:



- decisions on what is to be done;
  - strategies for how to go about the task;
  - agreements on the conditions and responsibilities for implementing the decisions made;
  - institutional arrangements for executing those agreements; and
  - arrangements for monitoring the process and evaluating its results.
- Systematically feed information and decisions back to stakeholders for validation, refinement and addition.

**STEP 11: Finalise results of the participatory planning process and disseminate** to stakeholders in formats and through channels that make them easy to understand by the target audience. Consider producing a ‘popular’ version of the management plan for non-technical audiences, which explicitly addresses the concerns and interests of those stakeholders.

**STEP 12: Provide mechanisms for participatory monitoring and evaluation**, including feeding the results of the monitoring and evaluation into adaptive management. If a steering committee of stakeholders was established, they can be brought together to discuss questions about how the process is going, what is being achieved, what is being learnt, and what needs to be changed in the approach as a result. Interviewing stakeholders and using participatory video are other useful techniques to involve stakeholders in monitoring and evaluation.

## Tips for the facilitator

- While the costs involved in participatory planning may be no greater than those of conventional planning processes, they do tend to differ in kind. Costs that may need to be taken into account include the following:
  - compilation of background information and dissemination to all stakeholders, in appropriate forms;
  - specialist skills, which may include community mobilisation, facilitation, communications, education and sociology depending on the context and needs;
  - costs to the lead organisation in staff time (including the sometimes lengthy time required to mobilise stakeholders and gain trust), communication, meetings, and travel;
  - reimbursement of participant costs, including travel, meals, and in some cases time lost from jobs or other income-generating activities.



### Toolkit Links:

1. **Concept sheet 3: What is participation?** and **Concept sheet 6: What is participatory planning?** provide valuable background information.
2. See also **Concept sheet 4: Identifying who is a stakeholder**
3. **Activity sheet 1: Stakeholder identification**, **Activity Sheet 2: Stakeholder analysis**, **Activity sheet 3: Institutional mapping** and **Activity sheet 5: Stakeholder mobilisation** provide guidance on how to execute these steps in participatory planning.
4. The **case study summaries in Sections 3 and 4** provide examples of participatory processes at work.
5. **Concept sheet 1: What is facilitation?** and **Activity sheet 6: Effective facilitation** provide additional guidance and tips to facilitators.

# Activity Sheet 5

## Stakeholder mobilisation

Many well-intentioned participatory processes fall down because the organisers do not pay adequate attention to how, when and where to engage stakeholders. This activity sheet provides some useful tips and identifies the key steps involved in stakeholder mobilisation.

### Objective

The objective of this activity is to provide natural resource managers and facilitators with guidance on how to mobilise stakeholders to take part in the proposed participatory activities.

### Background and rationale

Participatory planning processes can require significant investments in their early stages in the effective mobilisation of all relevant stakeholders. The purpose of such mobilisation is to assure that all potential participants in the process are informed of what is happening, are aware of the factors that prompted the process, recognise the legitimacy of the people and organisations that have taken the initiative, and are encouraged to become involved (Geoghegan et al. 2004).

The focus of this activity sheet is on how to effectively mobilise community stakeholders since that is one of the most difficult aspects of mobilisation and these stakeholders are the ones most likely to get marginalised by traditional approaches to organising meetings. However, the process of identifying what suits the stakeholders, what are the enabling factors and what may be the barriers to participation applies equally to all stakeholders. And this may mean that it is difficult to get all stakeholders to the same meeting. For example, government officials and private sector stakeholders may be reluctant to participate in weekend activities whereas this may suit community stakeholders the best.

## Resources

### Box 5: Materials and requirements needed for stakeholder mobilisation

#### Materials and Requirements

The resources will vary according to the activity for which stakeholders are being mobilised but may include:

- invitation letters;
- fliers;
- press releases and text for radio announcements;
- car with loudspeaker;
- information packages that explain the purpose of the activity;
- food and drink at the activity; and
- money for stipends or to cover transport costs.

## Method

### STEP 1: Recap or define key concepts.

- Review who are stakeholders, what is participation and what is participatory planning:
  - **Concept sheet 3: What is participation?**
  - **Concept Sheet 4: Identifying who is a stakeholder?**
  - **Concept sheet 6: What is participatory planning?**

### STEP 2: Understand and prepare for the target group(s) that needs to be mobilised.

The style and timing of stakeholder mobilisation will vary according to the target audience, so you need to:

- **Identify the target audience:** Review the stakeholder identification and analysis to understand the audience.
- **Choose desired mix of stakeholders for the activity and select date, time, venue.** While most private sector and government stakeholders prefer meetings

during the working week, the selection of the date and time of any community activity should be done in consultation with community members to ensure that key stakeholders can attend. Particular attention should be paid to what suits the most marginalised (as a result of gender, age, poverty etc.) and to religious commitments. This can make it difficult to find a time that suits everyone and may mean doing the activity on weekends or evenings.

- **Choose a venue** that all participants feel comfortable with. For example, a school may have negative associations for people who did not do well in school; a venue that is associated with a particular organisation, especially one run by elite factions within the community, may deter some people from attending. This means the venue chosen may be less convenient for the facilitator (e.g. no air conditioning; inability to control the amount of light or noise that comes in). Sometimes it may be impossible to find a single venue that suits everybody and you may have to engage some stakeholders where they normally congregate, e.g. fisherfolk at the fishing depot or young men at the sports ground.
- **Decide on stipend:** most people involved in community groups are volunteers. This means that if they give up a day of their time for your activity, they are probably also giving up a day's income. You need to be sensitive to this, decide whether to provide a stipend and certainly ensure that nobody is out of pocket for transportation costs, food etc.

### **STEP 3: Develop a mobilisation strategy to identify communication products and channels best suited to the specific audiences.**

- The method you choose for communicating with your invitees will also vary by audience.
- While email is becoming more acceptable for government agencies, fax or mailed invitations are still the norm. The private sector should be fine with email. For specific groups or individuals in a community, a personal invitation by phone with confirmation by email or letter is best.
- Where wider public or community participation is being solicited, effective techniques include putting up fliers in popular places; newspaper advertisements or press releases; radio announcements, particularly where there is a community radio station; the coordinator or facilitator appearing on a television or radio programme to describe the workshop; coordinating through a CBO (see the next bulleted point below); use of popular 'champions' as intermediaries (e.g. the local calypsonian or star cricket player); and announcements at places of worship.
- Consider working through a legitimate local organisation. There may be an inherent distrust of government and of outsiders among certain groups of stakeholders, and initiatives that present an image of imposing from outside are likely to have difficulty mobilising interest and involvement. Working through respected local organisations,

which know the dynamics of a community and have their own methods for mobilisation in place, is often very effective (Geoghegan et al. 2004). But you still need to be careful to ensure that you have not inadvertently chosen an organisation with particular biases or disproportionate power or influence, resulting in the exclusion of some key stakeholders.

- In developing materials for the event, provide information that is accessible to all stakeholders. Stakeholders must understand what they are being asked to get involved in. So all communications and information need to be tailored to their current level of understanding and literacy levels. This can be quite challenging where complex technical issues or changes in legislation or management regimes are under consideration but it is essential to the legitimacy and transparency of the participatory process. Consider using a communications specialist and making use of media other than print, such as radio, television and video.

#### **STEP 4: Implement the mobilisation plan, assess what works, and adapt the plan as needed.**

- Mobilise target audience(s) using the communication products and channels selected, making sure to give adequate notice to all stakeholders.
- Record responses, and if the target audience(s) is not confirming attendance as desired consider whether to use additional or different mobilisation strategies. For example, you may need to visit the community or call key government agencies to personally explain about the event.
- Send reminders a day or two beforehand through a personal call, email or text message. Having a car with a loudspeaker go through the community on the day of the event can also be an effective way to remind people.

#### **STEP 5: Evaluate the effectiveness of the mobilisation and document and communicate lessons learnt for future mobilisation activities.**

- After the event, review your mobilisation plan and assess how successful you were in reaching the target audience(s). Ask those who attended how they learned about the event, what motivated them to attend, why they think other stakeholders are not there, and what would be effective strategies to mobilise them in future. You could also call one or two of those who did not attend to find out why – often it is just a clash with an important livelihood activity or family matter.
- Document lessons learnt about how to most effectively mobilise the target audience(s) and share with the team to inform future mobilisation activities.
- Determine whether you have had sufficient and sufficiently representative input at the event or whether you need to conduct additional mobilisation efforts or one-on-one engagement with key groups or individuals.

## Tips for effective mobilisation

**Use a local caterer.** Even if you are organising a short meeting, provision of food and drink will help things to run more smoothly. Using a local caterer provides a contribution to community livelihoods and gives you another informal channel for disseminating information about the activity.

### Toolkit Links:

1. The natural resource manager and/or facilitator may find it useful to review the following before embarking on stakeholder mobilisation:

**Concept note 4: Identifying who is a stakeholder**

**Concept note 6: What is participatory planning**

**Concept note 7: Capacities needed for participation**

**Activity Sheet 1: Stakeholder identification**

**Activity Sheet 2: Stakeholder analysis**

**Activity Sheet 6: Stakeholder engagement and effective facilitation**

2. The **case study summaries in Sections 3 and 4** provide examples of participatory processes at work.



# Activity Sheet 6

## Effective facilitation

Getting stakeholders to the table (stakeholder mobilisation) is only the first step. Many participatory planning processes are spoilt by poor facilitation and failure to engage stakeholders in appropriate ways. This activity sheet provides some useful tips on facilitation and selecting a facilitator.

### Objective

The objective of this activity is to provide facilitators with guidance on how to design facilitation of a participatory process in a way that ensures that stakeholder participation is equitable and effective.

### Background and rationale

In most participatory processes, it is necessary to engage the interest of and solicit information from many different types of stakeholders. This means the facilitator needs to consider things like levels of education, literacy and experience as well as the impact of gender, race, political affiliation, and social and economic class in designing the session in order to engage everyone effectively and equitably. Information must be presented in a way that everyone understands, all stakeholders must have an opportunity to speak and be listened to respectfully by others. The facilitator must also identify processes for negotiating conflicts and building consensus on the way ahead.

As the name implies, a facilitator is not a lecturer or a presenter, but someone who facilitates the inputs from and dialogue between all stakeholders (see **Concept sheet 1: What is Facilitation?**). Facilitators must be sensitive to the differences among stakeholders and skilled in the use of a range of tools for communication and consensus-building. These tools need not be elaborate, and it is important to guard against reducing facilitation to a bag of tricks by relying too heavily on exercises and games. The real keys to good facilitation are providing conditions in which stakeholders are comfortable to state their opinions and air their concerns; listening carefully to what is being said; synthesizing the information; and communicating it back in ways that lead the group towards decisions and agreements. This activity sheet cannot substitute for a Training of Facilitators course or experience gained through practice, but it does provide useful tips for effectively engaging diverse stakeholders in a participatory process.



# Method

## STEP 1: Recap or define key concepts.

- Review what is facilitation, who are stakeholders, what is participation and what is participatory planning:
  - **Concept sheet 1: What is facilitation?**
  - **Concept sheet 3: What is participation?**
  - **Concept Sheet 4: Identifying who is a stakeholder?**
  - **Concept sheet 6: What is participatory planning?**

## STEP 2: Understand the participants and the context.

- Review the stakeholder identification and analysis to understand who will be involved, what are likely to be the power imbalances and what are the areas of conflict.
- Identify what type of participation is desired (see **Concept sheet 3: What is participation?**).
- Determine who will be the facilitator (see Tips for the Facilitator below).
- Identify a space that works for the process and the people. Select a venue that is large enough to fit everyone comfortably and with enough space (or break out rooms) to divide up for small group work. There should be plenty of wall or other space for putting up maps, group exercise work etc.

## STEP 3: Design a facilitation plan to engage the diversity of participants.

- Draft a session plan for each main activity. This should include the objectives of each session, the steps involved, the tools and methods used (e.g. slide presentation, small group work) and the materials needed.
- Design activities to engage different learning styles – visual, tactile, auditory etc.
- Design activities to address diversity and power imbalances. Examples of tools that can be used include:
  - Small group work, with the small groups made up of only men or only women or only youth.
  - Brainstorming - a technique which allows no critiquing of other people's ideas and encourages all to participate.
  - Exercises that rely strongly on creative skills and emotional intelligence, in which women often outperform men.
  - Exercises that rely on practical skills and experience rather than verbal or written skills. These can shift the balance of power away from the 'educated elites' to groups such as construction workers, farmers, fishers.

- Pair work, which is less intimidating for shy people until they have become comfortable with the wider group.
- Setting of ground rules by consensus in advance addressing things like the importance of listening, mutual respect, and equity.
- Group stakeholders with high levels of education or technical knowledge, (who may be alienated by oversimplification or insufficient information) together in a small group and give them an intellectually or technically challenging exercise and point them to additional resources for follow up.

**STEP 4: Facilitate the session, monitor, seek continuous feedback and be ready to adapt as needed.**

- Organise the space in a way that promotes equitable participation. Set up the venue from the start in a way that signals that the facilitator is not the ‘expert’ or ‘the sage on the stage’ but ‘the guide on the side’ – all seating at the same level, no head table, U-shaped or herringbone arrangement so everyone can see everyone else and the flip chart, screen etc.
- Be prepared for the ‘unexpected’ (which is often ‘not-so-unusual’), for example, participants turning up late; participants who don’t meet the established criteria (e.g., people with low literacy or insufficient information to participate effectively); inter-personal or inter-organisational conflict (which may or may not be related to the issues under discussion); power outages; late delivery of food etc. This requires the ability to rapidly reassess the situation and a willingness to switch gears and methodology as needed. It also emphasises the value of using a range of different approaches in any given workshop or meeting. If you are totally reliant on PowerPoint presentations, the whole process will be derailed if there is no electricity or people cannot read.
- During whole group processes, make sure that you:
  - recognise dissident and marginal voices;
  - manage overly dominant individuals; and
  - manage conflict.
- During small group exercises, circulate among groups to ensure that no single individual is dominating and that the group is staying on track. You can also provide additional guidance as needed but should be careful not to disrupt the group process of discussion, negotiation and building consensus.
- Watch out for weariness. There are times in most processes when participant energy will flag and you need to assess whether the particular session is not working and why or whether participants are simply tired. If it is the former, you may need to try a new approach to providing the information or securing the stakeholder input. But it may just be that participants are flagging because they got up very early to work or take care of the day’s domestic duties. In that case, it is useful to have a few ‘energisers’ up your sleeve (and you can find many of these on websites by

searching for ‘training energisers’).

### **STEP 5: Evaluate if the objectives were met and if the facilitation effectively and equitably engaged all participants. Document and communicate lessons learnt for future facilitation.**

- Debrief with participants at the end of the activity or each day if it is a longer workshop both in terms of the outcomes and stakeholder satisfaction with the process. Use oral feedback as the main method of soliciting feedback.
- Conduct a formal, written evaluation at the end (except where literacy is an issue).
- Debrief with co-facilitators and/or resource persons to jointly assess if the facilitation was effective and if the desired results were achieved.
- Document the lessons and implications for future sessions of a similar kind.

## Tips for the facilitator

### **1. Consider hiring an experienced, external, independent facilitator.**

One option that has been employed successfully in a number of case studies in Section 4 is the use of an external, independent facilitator. Even if the agency coordinating the participatory process possesses the necessary skills and experience, it is important for these organisations to recognise that they are also stakeholders and participants in the conflicts that they seek to manage, that their interests are often perceived as contrary to those of other stakeholders, and that there are moments in the process when their facilitation is not appropriate. An external facilitator brings legitimacy to the process and its outputs, and brings quality and professional expertise to the various steps and actions involved. However, facilitators need to be vigilant in terms of their own inherent biases and to avoid creating or re-creating patterns of dependency (adapted from Geoghegan et al. 2004).

### **2. Create conditions that foster equitable participation of men and women, young and old.**

Gender and inter-generational dynamics vary considerably from community to community and from activity to activity. The facilitator therefore needs to be prepared to find ways to engage people with diverse and divergent perspectives and to encourage them to listen to each other’s points of view. In the Caribbean, unlike many other areas of the world, women are often in the majority in community activities and the least represented group is often young men. Nevertheless, traditional gender roles and power dynamics can still come to the fore and need to be managed.

### **3. Be sensitive to issues relating to race, ethnicity, religion, social class and political affiliation.**

These factors determine how Caribbean societies are structured and can cause or exacerbate conflicts and manipulate popular processes. Those of the same group as the persons leading the participatory process may be perceived as having greater power in the process than others. These factors are often reinforced by economic factors, with some groups tending to have greater economic power than others. Facilitators need to be aware of these realities and of the fact that their own race, class, ethnicity, religion or politics can also have an impact on how they are perceived and thus on the process itself (adapted from Geoghegan et al. 2004).

### **4. Be sensitive to stakeholder levels of education and literacy.**

High rates of illiteracy and low levels of education persist in many Caribbean countries, particularly in rural areas and among older members of society. This does not mean that they have little to contribute; on the contrary, their experience and traditional knowledge may add greatly to the understanding of the natural resources and the root causes of the changes that have taken place over time. But planning processes that rely heavily on written documents or complex presentations for information and communication may exclude important stakeholders from participating. On the other hand, stakeholders with high levels of education or technical knowledge may be alienated by oversimplification or insufficient information, so you may need to provide or point these stakeholders to additional resources and find ways to retain their interest during the processes, for example, by grouping them together in a small group and giving them an intellectually or technically challenging exercise.

### **5. Consider the language(s) used to communicate, orally and in writing.**

Because many Caribbean societies are bi- or multi-lingual, the language used in participatory processes gives power to those most fluent in it. The tendency is for the language, accent and mode of speech of the political and economic elite to be used, further weakening the position of those who speak differently or are more comfortable speaking a local language or dialect (Geoghegan et al. 2004). Whatever language is selected for workshops, facilitators should be comfortable expressing themselves in all the languages used by stakeholders so that they can add explanations and build relationships as needed. Information may also need to be produced in more than one language. Another option is to hold separate workshops.

### **6. Don't rely solely on meetings and workshops**

While meetings among stakeholders tend to be the most common format for participatory planning processes, some stakeholders can be reached and contribute more effectively through other means, such as one-on-one or informal small group discussions, radio call in programmes or written submissions. Case study 4: A participatory approach to biodiversity conservation and protected area management

in the Montserrat Centre Hills in Section 4 provides an excellent example of the use of such techniques.

### **7. Allocate adequate time for facilitation or tailor what can be done to the time available**

Participatory processes require identification and mobilisation of stakeholders, and communication among them, and often debate and negotiation (and conflict management) before a decision can be reached by consensus. This is an iterative process and demands adequate time to facilitate stakeholder engagement and to enable adaptation to the changing situation. Limited time will correspondingly limit the effectiveness or depth of participation.

## Resources

The resources will vary according to the activity which is being facilitated but the following is useful checklist:

### Box 6: Equipment and general materials checklist

#### Materials and Requirements

- Multi-media projector, power cord and connection cord (and spare lamp if possible)
- Laser pointer (optional)
- Screen (or you can put up a sheet or project directly onto a white wall)
- Laptop
- Extension cord with at least two 3-pin sockets or extension cord, plus multi-socket strip
- Amplifier or microphone (for playing DVDs)
- Flip chart easel
- Flip chart paper
- Markers, both large and fine pointed, in at least four colours, with sufficient for the facilitator to use and for 4-5 groups to be working simultaneously
- Post-It notes
- Soft ball (for introductions/ energisers)
- Selection of letter-size paper in different colours
- Masking tape and/or blue-tack
- Writing paper and pens/pencils for participants
- Craft items such as benderoos, string, play-doh/ plasticine, fudge/ popsicle sticks, yarn, pipe cleaners, glue, stickers etc.
- Sticky dots (usually about 10-20 per participant)

## Toolkit Links:

1. The natural resource manager and/or facilitator may find it useful to review the following when designing and facilitating a participatory process:

**Concept sheet 1: What is facilitation?**

**Concept sheet 2: What are livelihoods, sustainable livelihoods and sustainable assets?**

**Concept sheet 3: What is participation?**

**Concept sheet 4: Identifying who is a stakeholder**

**Concept sheet 6: What is participatory planning?**

**Concept sheet 7: Capacities needed for participation**

**Activity sheet 1: Stakeholder identification**

**Activity sheet 2: Stakeholder analysis**

**Activity sheet 5: Stakeholder mobilisation**

2. The **case study summaries in Sections 3 and 4** provide examples of participatory processes at work particularly **Case Study 4: A participatory approach to biodiversity conservation and protected area management in the Montserrat Centre Hills.**

# Section 3: Testing the tools

Capacity building for beekeepers in Dominica

Participatory processes for a LFMC in Jamaica

Management of a bird sanctuary in Saint Lucia

Enhancing livelihoods in St. Vincent and the  
Grenadines

Capacity building in Trinidad and Tobago





# Testing the tools 1: Building the capacity of beekeepers for participatory approaches to management in Dominica

## Background

Forest managers facilitated a workshop with the Co-operative Development Division Office of the Government of Dominica, the Dominica Beekeepers Co-operative Society Ltd. (DBCS) and the Pure Blossom Co-operative Society Ltd. (PBCS) to build the capacity of beekeepers for participatory management approaches.

## Objectives

The objective of this workshop was to provide 25 beekeepers with an understanding of key concepts in participatory approaches to forest management and to encourage them to use stakeholder and livelihood analysis in management.

## Method

Forest managers performed a needs assessment to advise the selection of tools for the workshop and then approached DBCS and PBCS with a proposal to facilitate a workshop. DBCS and PBCS accepted the opportunity and identified funding for the session from the Co-operative Development Division Office of the Government of Dominica who had committed to funding a training session during the commemoration of National Co-operative Week.

DBCS and PBCS led on mobilisation for the session. Invitation letters were sent to various organisations for distribution to their representatives. Organisations included SOUL (Signs of Unlimited Love), a cooperative group of young people and members of the Carib (Kalinago) Territory.

In the initial session at the workshop, stakeholder identification was facilitated via a skit about the disappearance of Winnie the Pooh's honey and a plenary discussion. This was followed by a session on stakeholder analysis which included voting to select key stakeholders, the use of probing questions to derive roles, responsibilities and interest and an analysis of power relations using the power triangle.

Analysis of livelihoods was introduced with a PowerPoint presentation which defined key concepts and was followed by a plenary session which built on the concept of assets by drawing out examples of livelihood assets in the community from participants. Participants were then divided into small groups to list the assets for five different groups. The session ended with a plenary discussion of group presentations and discussions on whether or not the livelihoods were sustainable. The workshop culminated with an evaluation.

## Results

Results included:

- Participants exchanged information about their organisations.
- Participants identified potential partners to include in efforts to develop the beekeeping industry.
- Participants felt that they were now more aware of the rights, roles and responsibilities of key stakeholders and that this would help them to make better decisions about the design and implementation of projects to improve forest-based livelihoods.
- The evaluation session identified issues with time management for the various sessions and assessment of the capacity of participants.

## Lessons learned about facilitating participatory processes

Some of the lessons learned included:

- A needs assessment should not only identify gaps in the capacity of participants but should also include an assessment of the capacity of the workshop participants to advise the level at which material is presented.
- Community groups with well established networks are effective in mobilising.
- Introducing new concepts, using analogies or examples participants are familiar with contributes to building an understanding of the concepts.

## Recommendations

It was recommended that the needs assessment should be designed to include identification of gaps as well as to assess the capacity of workshop participants.

## Toolkit Links:

The natural resource manager and/ or facilitator may find it useful to review the following when designing and facilitating a participatory process:

- **Concept sheet 2: What are livelihoods, sustainable livelihoods and sustainable assets?**
- **Concept sheet 3: What is participation?**
- **Concept sheet 4: Identifying who is a stakeholder**
- **Concept sheet 6: What is participatory planning?**
- **Concept sheet 7: Capacities needed for participation**
  
- **Activity sheet 1: Stakeholder identification**
- **Activity sheet 2: Stakeholder analysis**
- **Activity sheet 5: Stakeholder mobilisation**

# Testing the tools 2: Application of the principles of participatory forest management to a prospective Local Forest Management Committee in the Morant River Watershed, St. Thomas, Jamaica

## Background

The Spring Dunrobin Forest Reserve in the Morant River Watershed has been encroached upon by residents of neighbouring communities, such as Hillside, Soho, Whitehall and Woodside. Unregulated practices such as logging, farming and tethering animals to graze within the reserve have resulted in an increased frequency of fires, soil erosion and siltation of the rivers in the watershed.

The Forest Conservation Fund (FCF) and the Forestry Department (FD) have initiated projects to address these deleterious effects in the watershed through the establishment of a Local Forest Management Committee (LFMC). The FCF has funded two projects that are being managed by the St. Thomas Bee Farmers Association (STBFA) and the St. Thomas Environmental Protection Agency (STEPA) for reforestation, developing various livelihood assets of residents in the area and to aid in the establishment of a LFMC. FD has been engaged in a replanting exercise with residents and has been leading on the establishment of the LFMC.

## Objectives

To use participatory management tools to establish a LFMC in the Morant River Watershed.

## Method

FD drafted the workshop invitations which STEPA and STBFA disseminated in the communities. FD, STEPA and STBFA jointly mobilised participants for the workshop. Other arrangements for food and transport were handled by STEPA and STBFA respectively.

The workshop started with an ice breaker, followed by a review of the agenda and setting of ground rules for the meeting. The first tool introduced was stakeholder identification.

Forest managers facilitated a discussion which identified resources and listed stakeholders associated with these resources.

Participants were divided into groups and given instructions to select key stakeholders. Institutional mapping was introduced using an analogy of a football game. Role playing of key stakeholders and mapping stakeholder relations using a ball of wool, assisted in depicting and understanding relationships between stakeholders.

Stakeholder analysis was also carried out in small group exercises and presented and discussed in plenary sessions. Probing questions were used to introduce the concept of livelihoods. Participants were then asked to identify forest-based livelihoods and indicate the types of livelihoods in which they were engaged. Debriefs were conducted at the end of each session and at the end of the workshop.

## Results

Results included:

- Participants were able to identify stakeholders, select five key stakeholders and analyse the relationships among the key stakeholders.
- Participants were confused about how to select the key stakeholders. Facilitators provided clarification and the task was completed.
- Participants agreed to attend regular meetings to coordinate activities and assist in projecting a clear voice to the government on how forest resources should be managed to support sustainable forest-based livelihoods.
- Evaluations highlighted that other stakeholders should have been included in the workshop as additional resource personnel and; time could have been better managed.

## Lessons learned

Some of the lessons learned included:

- Ice breakers are useful in establishing the tone for the workshops and give everyone in the workshop an opportunity to be heard.
- Introducing new concepts using analogies or examples participants are familiar with, contributes to building understanding of the concepts.
- Well designed activities which use vivid, visual representation can compliment

efforts to explain intricate concepts such as mapping of relationships among institutions.

- Including resource personnel in participatory processes is a good strategy for contributing valuable information to analysis and planning.

## Recommendations

Some recommendations included:

- Design workshops which include ice breakers that contribute to the objectives of the workshop.
- Include analogies that participants are familiar with when introducing new concepts.
- Design vivid, visual activities to contribute to the understanding of complex concepts.
- Select relevant resource personnel to include in participatory processes.

## Toolkit Links:

The natural resource manager and/ or facilitator may find it useful to review the following when designing and facilitating a participatory process:

- **Concept sheet 3: What is participation?**
- **Concept sheet 4: Identifying who is a stakeholder**
- **Concept sheet 5: What is an institution?**
- **Concept sheet 6: What is participatory planning?**
- **Concept sheet 7: Capacities needed for participation**
  
- **Activity sheet 1: Stakeholder identification**
- **Activity sheet 2: Stakeholder analysis**
- **Activity sheet 3: Institutional mapping**
- **Activity sheet 5: Stakeholder mobilisation**

# Testing the tools 3: Facilitating the establishment of a management committee for the Millet Bird Sanctuary and Nature Trail, Saint Lucia

## Background

A 2005 poverty assessment of Saint Lucia<sup>10</sup> identified the Millet area as having the highest levels of poverty. In 2009, the Organisation of Eastern Caribbean States (OECS) Secretariat used funding from the United States Agency for International Development (USAID) to establish a modern interpretative centre, an inventory of biodiversity present, a characterisation of the human assets in the Millet Tete Chemin community and a management plan for the Millet Bird Sanctuary and Nature Trail. The management plan recommended the establishment of a management committee to ensure that the facility becomes a viable business enterprise with involvement of key stakeholders including the community.

## Objectives

The objective of the exercise was to facilitate the establishment of a management committee for the Millet Bird Sanctuary and Nature Trail in Saint Lucia.

## Method

Forest managers originally designed a workshop and intended to use six tools. However during the first workshop, they realised that the participants were not familiar with management issues of the sanctuary and nature trail. At this meeting, it was decided that a second meeting would be held that first provided background information and management issues on the site and then a stakeholder identification and analysis would be carried out.

Participants for the workshop were mobilised through e-mails and phone calls. The e-mail communication gave background information, including the inventory and management

<sup>10</sup> This report was prepared for the Caribbean Development Bank by Kairi Consultants and is entitled: St. Lucia Country Poverty Assessment (2005-6) Volume 1 Main Report.



plans produced from the OECS Secretariat and the USAID project.

The first consultation presented information on biodiversity, socio-economic information on the community, strategies for marketing of the site and the rationale for participatory management of the site. The second consultation comprised a field trip to the site, stakeholder identification and the identification of key stakeholders to form the management committee.

## Results

Some of the outputs, outcomes and impacts included:

- Facilitated discussions after the presentations at the first meeting revealed that participants were not clear on the goals, opportunities and challenges for co-management of the trail and requested a trip to the site.
- Representatives of key government agencies were not aware of their stake and responsibility in the project although these were mandated in national laws.
- Ten key stakeholders were identified to form the Millet Bird Sanctuary and Nature Trail management committee.
- The Forestry Department, although perceived to be the lead agency by the facilitators, was not selected as the lead agency by the workshop participants.
- The sessions provided an opportunity to discuss and analyse current issues and contributed to the creation and strengthening of networks for the management of the Millet Bird Sanctuary and Nature Trail.

## Lessons learned about facilitating participatory processes

Lessons learned included:

- Facilitators should not assume that sending invitations with background information means that workshop participants will review the materials and will therefore all be aware of the issues to be reviewed at the meeting.
- Facilitators need to be flexible and may have to adapt plans and designs for sessions, sometimes at short notice, to respond to new information/situations.
- Site visits can be used as tools to improve the understanding of key issues.
- Key stakeholders are sometimes not aware of their role and responsibilities in spite of the fact that these are mandated in national laws.

- Mobilisation of participants is a key factor in getting the right selection of individuals for a participatory process.
- The selection of individuals for a participatory process influences the result of the process.
- Facilitated participatory processes take time and require resources to be executed.

## Recommendations

Recommendations include:

- Mobilisation of participants should include a preliminary scoping exercise to assess what they know about the issue and this information should advise the design of the workshop.
- A workshop which seeks to encourage the participatory process may be assisted by having a mix of facilitation techniques including the use of facilitators from both state and civil society.

## Toolkit Links:

The natural resource manager and/ or facilitator may find it useful to review the following when designing and facilitating a participatory process:

- **Concept sheet 3: What is participation?**
- **Concept sheet 4: Identifying who is a stakeholder**
- **Concept sheet 6: What is participatory planning?**
- **Concept sheet 7: Capacities needed for participation**
  
- **Activity sheet 1: Stakeholder identification**
- **Activity sheet 2: Stakeholder analysis**
- **Activity sheet 4: Participatory planning**
- **Activity sheet 5: Stakeholder mobilisation**

# Testing the tools 4: Identifying opportunities to enhance livelihoods in the community of Orange Hill, St. Vincent and the Grenadines

## Background

The islands of St. Vincent and the Grenadines experienced wide scale flooding and land slippage after intense rains in April 2011. A local CBO, the Orange Hill Development Organisation, had been managing two small projects geared at improving livelihoods but because of the flooding challenge, funding was redirected. Forest managers facilitated sessions with members of the CBO which identified strategies for improving or maintaining their forest-based livelihoods during the period of recovery when external support was suspended.

## Objectives

The objective of the facilitated sessions was to identify strategies for improving or maintaining forest-based livelihoods during the period of recovery from the intense rains of April 2011.

## Method

An initial meeting was held with members of the organisation to discuss the possibility of working with them on this project. After their interest was confirmed, mobilisation for a second meeting with wider grouping from the organisation was done via face to face meetings by a forest manager who works closely with the community. At this second meeting the dates, time and the tools to be used at the sessions were agreed.

Four sessions were held during July 2011. The main tools used in the sessions were stakeholder identification and analysis. The sessions used ice breakers and introduced the terms 'participation' and 'stakeholder' via the use of the concept sheets from this tool kit. Additionally, facilitated discussions which included probing questions and the use of examples of initiatives or activities in the community, helped to further explain the concepts. Workshop sessions also included guidance on how members of the CBO could

perform stakeholder identification and analysis themselves and provided examples of how this tool could be used in improving livelihoods.

## Results

Some of the outputs, outcomes and impacts included:

- Orange Hill Development Organisation built their capacity in stakeholder identification and analysis.
- Orange Hill Development Organisation identified stakeholder identification and analysis as a tool to more effectively select resource personnel in the community to contribute to projects to improve forest-based livelihoods.

## Lessons learned

Lessons learned included:

- Face to face meetings are effective in mobilising small communities.
- Mobilisation efforts are heavily influenced by the trust workshop participants have for the facilitators.
- Participatory planning and design of the sessions with the community is an effective way to ensuring that sessions address the needs of the community.
- Several short, interactive sessions may be more effective in introducing new concepts to communities rather than one long session.
- Facilitated participatory processes take time and require resources to be executed.

## Recommendations

Recommendations include:

- Use facilitators who are trusted in small communities to assist with mobilisation.
- Design short, interactive sessions to introduce complex concepts which build incrementally on participants' understanding instead of using one long session with a lecture and an exercise at the end.

### Toolkit Links:

The natural resource manager and/ or facilitator may find it useful to review the following when designing and facilitating a participatory process:

- **Concept sheet 2: What are livelihoods, sustainable livelihoods and livelihoods assets?**
- **Concept sheet 3: What is participation?**
- **Concept sheet 4: Identifying who is a stakeholder**
- **Concept sheet 6: What is participatory planning?**
- **Concept sheet 7: Capacities needed for participation**
  
- **Activity sheet 1: Stakeholder identification**
- **Activity sheet 2: Stakeholder analysis**
- **Activity sheet 4: Participatory planning**
- **Activity sheet 5: Stakeholder mobilisation**

# Testing the tools 5: Building the capacity of technical staff of Forestry Division of Trinidad and the Department of Natural Resources and the Environment in Tobago in participatory forest management

## Background

In 2010, the Cabinet of the Republic of Trinidad and Tobago approved a National Forest Policy that formalised participatory forest management (PFM) as a key strategy for the sustainable management of forests. Many of the technical officers in the government departments with the authority for forest management (Forestry Division of Trinidad and the Department of Natural Resources and the Environment in Tobago) have little or no training in PFM.

## Objectives

The objective of the training was to provide Game Wardens and Forest Officers of Forestry Division of Trinidad and the Department of Natural Resources and the Environment in Tobago with the tools for engaging stakeholders in participatory forest management.

## Method

Prior to the workshop, the team of forest managers met and drafted several documents. These were: a work plan, a PowerPoint presentation introducing the project and detailed session plans. The session plans included the use of plenary discussions, drama (role play), brainstorming, small group work, individual reflection, round robin with workshop participants and group presentations. Tools selected for use were stakeholder identification and analysis and institutional mapping.

Mobilisation techniques included the drafting of a brief proposal which was submitted to the Head of the Forestry Division (the Conservator of Forests). The Conservator's support was sought for the provision of resources for the hosting of the workshop, drafting and submission of formal invitations and background information for the project to Unit Heads

and to the Head of the relevant Division in Tobago.

## Results

Some of the outputs, outcomes and impacts included:

- Department heads were convinced of relevance and committed resources to hosting workshop.
- When initially defining the term stakeholder, workshop participants were not clear on the meaning of the terms rights, roles and responsibility and the sessions were adapted to facilitate discussions to improve understanding of these terms.
- Workshop participants were able to describe the term stakeholder, identify stakeholders, and describe and analyse the relationships among stakeholders in forest management in Trinidad and Tobago.
- Workshop facilitators were able to document the roles, responsibilities and interests of stakeholders in simple tables and depict relationships among stakeholders in a simple diagram.

## Lessons learned

Lessons learned included:

- When defining the term stakeholder, workshop participants need to have a good understanding of the terms rights, roles and responsibility to inform analysis.
- Although the objective of this workshop was to build the capacity of technical officers of government departments, it would have been useful to invite other key stakeholders familiar with PFM. These stakeholders could serve as resource personnel to improving the understanding of stakeholder rights, roles and responsibilities.
- The inclusion of a variety of activities is a good technique in maintaining the interest of workshop participants.
- The use of various techniques to incrementally build on concepts is a key strategy in contributing to the understanding of new concepts.
- Role play is a useful technique for improving understanding of the various stakeholder perspectives in the management of forests.

## Recommendations

Recommendations include:

- Design workshops using a variety of techniques to maintain the interest of workshop participants.
- Select relevant resource personnel to include in participatory processes.
- Design short, interactive sessions to introduce complex concepts which build incrementally on participants' understanding instead of using one long session with a lecture and an exercise at the end.

## Toolkit Links:

The natural resource manager and/ or facilitator may find it useful to review the following when designing and facilitating a participatory process:

- **Concept sheet 3: What is participation?**
- **Concept sheet 4: Identifying who is a stakeholder**
- **Concept sheet 7: Capacities needed for participation**
  
- **Activity sheet 1: Stakeholder identification**
- **Activity sheet 2: Stakeholder analysis**
- **Activity sheet 4: Participatory planning**





# Section 4: Case studies

Participatory video: An advocacy tool to help the Blanchisseuse fishing community to communicate their challenges and develop partnerships to solve them, Trinidad and Tobago

Facilitating participatory protected area planning for the Aripo Savannas, Trinidad and Tobago

Participatory policy development in Trinidad and Tobago

A participatory approach to biodiversity conservation and protected area management in the Montserrat Centre Hills

# Case study 1: Participatory video: An advocacy tool to help the Blanchisseuse fishing community to communicate their challenges and develop partnerships to solve them, Trinidad and Tobago

Participatory video was used as an advocacy tool to help fishers in Blanchisseuse communicate challenges faced to partners who can assist in addressing problems.

## Introduction

The participatory video (PV) project took place over three days in November 2011 in Blanchisseuse, Trinidad and Tobago. Blanchisseuse is a small, rural, fishing community located on the northern coast of Trinidad. This was a pilot of the use of participatory video as a facilitation tool, specifically focusing on advocacy, in Trinidad and Tobago. It was a timely project as the newly-formed Blanchisseuse Fisherfolk and Marine Life Association just started to discuss ways to address the challenges in the Blanchisseuse fishing industry.

The project was led by the Caribbean Natural Resources Institute (CANARI) in partnership with the University of the West Indies (UWI) mFisheries Team. The project was conceptualised by the UWI mFisheries team to pilot the use of the video feature on the smartphones. The mFisheries team provided the technical support for the project and edited the video. Raynaldo Phillips of the Forestry Division, a videographer who is also an experienced facilitator, provided technical advice. CANARI led and facilitated the project.

The project was funded by the International Development Research Centre (IDRC). The Motorola Defy smartphones used by the participants were provided courtesy British Gas Trinidad and Tobago (BGTT) as part of the mFisheries project.

Eleven persons from Blanchisseuse participated in the project. Only three participants were not members of the newly formed Blanchisseuse Fisherfolk and Marine Life Association. Many of the fishers were also participating in the mFisheries project that uses fisheries to demonstrate innovative capacity in pro-poor, mobile application needs assessment, design, development, deployment and evaluation that can be applied to any sector. They were specifically targeted for the workshop as the project was conceived by the UWI mFisheries Team as a way to test use of mobile phones to capture video for advocacy.

## Objectives

The objectives were to:

- identify challenges in the fishing industry in Blanchisseuse;
- identify potential solutions to the challenges identified;
- document the challenges and solutions using video captured on the smartphones;
- create a video telling the story;
- discuss ways to use the video for advocacy with partners to address the challenges identified; and
- form partnerships with various organisations to address the challenges in the Blanchisseuse fishing industry.

PV was used as a tool to give voice to the Blanchisseuse fishers and empower them to conduct advocacy and build partnerships.

## Description of the participatory process

The process was very interactive and involved stakeholders at each stage of the process. The first three steps described below took place at a video production workshop with a team of eleven participants from Blanchisseuse over November 7 – 8, 2011. Following this, a meeting with partners was held on November 30, 2011.

**Problem identification and analysis:** The participants were divided into groups to draw the challenges facing fishing in Blanchisseuse on flipchart sheets that were presented in plenary. The participants discussed the challenges identified and analysed these to create a problem tree of root problems, core problems and effect problems. They then were given a set of sticky dots each to place on the problems that they thought were most important. These votes were tallied to determine the challenges that the participants wanted to present in the video.



**Storyboarding:** The participants identified the target audience for the video as partners who could assist the fishers to solve the problems identified. The participants discussed

**Figure 7: Participants voting for the challenges they wanted portrayed and drawing scenes for the storyboard**



and listed the scenes that they wanted portrayed in the video. Each was given a scene to draw out. They then established the order of the scenes and divided into teams to capture the video.

**Capturing and editing the videos:** The UWI mFisheries team gave an overview of how to capture video on the smartphones and upload the videos to a computer. The participants practiced capturing videos by doing mini video interviews with each other. These were viewed in plenary and Raynaldo Phillips of the Forestry Division offered advice on framing, composing and shooting the videos. Participants then went off in teams to capture videos on the afternoon of the first day and the morning of the second day of the workshop. Scenes were captured again throughout the second day based on needs identified during the editing process.

**Figure 8: A participant capturing video in the field**



All video clips shot by the participants were viewed by the team, and checked against the scenes in the storyboard. When gaps were identified, small teams of participants went out to capture the additional shots while editing progressed.

The participants directed a technical expert from the UWI mFisheries team to edit the videos using the Adobe Premiere Pro software. They selected the music to use as background for the video. After the workshop, credits were submitted and the UWI mFisheries Team continued to edit the video to finalise the product. The video was called 'Fish for Gas: The Challenge of Fishing in Blanchisseuse'.

**Meeting with partners:** On November 30, 2011 five representatives of the Blanchisseuse Fisherfolk and Marine Life Association met with partners from Fisheries Division, Seafood Industry Development Company Limited (SIDC), the National Petroleum Marketing Company Limited (NP), Caribbean Network of Fisherfolk Organisations (CNFO) and CANARI. The fishers used the video as a tool to present the problems and to discuss ways to address the challenges (both short and long-term solutions). Potential solutions and next steps were identified and partners committed to work with the Blanchisseuse Fisherfolk and Marine Life Association moving forward. The fishers planned to follow-up with each partner to implement solutions.

## Results

The outputs of the project were:

- Video: *Fish for Gas: The Challenge of Fishing in Blanchisseuse* that can be viewed on CANARI's YouTube channel (search for 2011CANARI) at <http://www.youtube.com/watch?v=8SFnazhiu9Y>
- Report on the workshop held on November 7-8, 2011
- Report on the meeting held with partners on November 30, 2011

There were several outcomes of the project:

- Both the participants and facilitators built their capacity to use video to document issues for advocacy.
- The process built the participants' capacity to analyse complex problems.
- The video produced by the Blanchisseuse community empowered them by enhancing their voice to better communicate their problems and seek support from key partners to address them. Participants felt that the video enabled many members of the community to articulate their challenges and proposed solutions. Many community members are intimidated when directly addressing decision-makers but they are more comfortable expressing their opinions to their peers who are interviewing them.
- The video also empowered the community because the participants were the authors, directors, producers, videographers and editors of the video. They were able to tell their own story and participants said that they felt very proud of their work.
- The participants learned to use video to communicate the problems in the fishing community and to conduct advocacy to engage partners to address their problems.
- The Blanchisseuse fisherfolk were able to form partnerships with organisations that can help develop their fishing industry.

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- Partners were able to better understand the complex problems faced by Blanchisseuse fishers and discuss how they could assist with and advise on specific solutions to address these.
- The YouTube video attracted offers of assistance from an individual in the United States.
- There was ownership of both the process and video product as members of the community were the videographers, producers and editors of the video.
- The process attracted attention from other facilitators in Trinidad and Tobago who expressed interest in being trained to use the facilitation tool.

## Lessons learned

Useful lessons included:

- Implementation of PV requires both facilitation and technical video expertise. Persons skilled at editing videos are needed for the process to be successful.
- The problem analysis, video capture and editing process took two days but it is recommended that facilitators allocate more time (one or two additional days) for the video capture and editing processes. This allows the participants to be more involved in editing and gain experience to duplicate the process.
- Having prior experience working with the community was extremely useful as there was already built trust and understanding of issues facing the community.

## Conclusions

Participatory video is a versatile facilitation tool that empowers stakeholders. The process is very rigorous but proved to be both interesting and fun. The small project was executed with very little funds over three days however a lot of time was needed to mobilise the partners. The process builds ownership in the product and messages among the stakeholders. The video simplified complex issues and brought the community and its challenges to the partners without the partners having to visit the remote community in person.



## Toolkit Links:

The natural resource manager and/ or facilitator may find it useful to review the following when designing and facilitating a participatory process:

- **Concept sheet 3: What is participation?**
- **Concept sheet 4: Identifying who is a stakeholder**
- **Concept sheet 6: What is participatory planning?**
- **Concept sheet 7: Capacities needed for participation**
- **Concept sheet 8: What is participatory video?**
  
- **Activity sheet 1: Stakeholder identification**
- **Activity sheet 2: Stakeholder analysis**
- **Activity sheet 4: Participatory planning**



## Case study 2: Facilitating participatory protected area planning for the Aripo Savannas, Trinidad and Tobago<sup>11</sup>

For a unique ecosystem about to be declared as protected, the managing institutions decided on a participatory planning process to update and expand the management plans as they sought to learn how to execute participatory natural resource management planning and avoid errors of the past.

### Introduction

To the south of the foothills of the Northern Range in Trinidad between the towns of Arima and Sangre Grande lie the Aripo Savannas, the last remaining major natural savannas in Trinidad. The Aripo Savannas are classified ecologically as ‘edaphic marsh’ meaning that the features of the soil determine the biodiversity that survives and thrives. The soils are sandy on top with an impervious clay hardpan layer below, making it waterlogged in the wet season and very dry in the dry season. The depth at which the hardpan exists on the site has resulted in three different vegetation types:

- Marsh forest: this is the most significant vegetation type, occurring where the pan is deep enough to allow trees to grow.
- Open savanna: there are ten in total which form a patchwork within the marsh forest. The hardpan in the open savanna exists close to the surface, restricting the vegetation to be low growing and herbaceous.
- Palm marsh: this either fringes the savannas or occurs as isolated palm islands within. These occur in areas where the hardpan is not as close to the surface allowing palms, but not forest species, to grow (CANARI, 2007).

The Aripo Savannas have long been identified as unique for its biodiversity. Thirty nine of the plant species known to exist in Trinidad can only be found in the Savannas, including two known endemics, *Rhynchospora aripoensis* and *Xyris grisebachii*, and one suspected endemic, the Trinidad podocarp (*Podocarpus trinitensis*). In the open savannas, unique terrestrial orchids such as *Pogonia rosea* and *Cryptopodium parviflorum* can be found. The Savannas are globally important as they contain the most outstanding stands of moriche

<sup>11</sup> This case was prepared from documents produced out of the participatory management planning process, specifically the popular version of the overall management plan (EMA 2008) and the case study prepared for the EMA (EMA 2009).

palms, (*Mauritia setigera*) in the country and these represent the edge of the range for this South American species. This has significant conservation implications for the species especially given changing global climate (CANARI 2007).

However, it is the distinctiveness and usefulness of the Savannas' resources that has encouraged their exploitation over the years, with significant impacts to the ecology.

- A United States air force base was established there for six years during World War II and ten years after. Several significant changes were made: a portion was subsumed into the network of aircraft landing strips; a bunker system was established, the course of the Aripo River was diverted; and roads, drainage channels, culverts and buildings were built.
- Harvesting of valuable timber species, managed by the Forestry Division, occurred for several decades before the air force base was established as well as after it was closed. It is believed that the over-harvesting of the once dominant galba (*Calophyllum lucidum*) has irrevocably altered the species composition in the Savannas.
- Legal quarrying for sands, gravels and clays for 35 years, ending in 1996, caused irreparable damage to a small portion of the Savannas (CANARI 2007). Illegal quarrying near the Aripo River continued and can permanently damage vegetation and habitats in that area (EMA 2008).
- Slash and burn agriculture and unplanned human settlements have resulted in changes in plant life and the landscape that are irreversible.
- Illegal removal of plants and animals threatens the survival of the entire Aripo Savannas as the populations are already so small and very vulnerable.

In addition, fires<sup>12</sup> in the past three decades, significantly affect the area's microclimate and its ability to recover. Given the changes that are also occurring beyond its boundaries, the Savannas are fast becoming an island of vegetation in a sea of development. Neighbouring towns are expanding, and an industrial estate is being developed next door. Ecological corridors to other forested areas are becoming lost, the result being ecological isolation (EMA 2008).

As scientific thinking evolved and understanding of the Savannas' importance coalesced, there was a desire to formally designate it as a scientific reserve in the early 1980s. This was the result of an extensive national study of protected areas and the subsequent development of related management plans. Eventually in 1987, the site was converted from a Forest Reserve to a Prohibited Area. Protection however, remained under resourced and management was not formalised (CANARI 2007).

<sup>12</sup> Fires could originate either within the Savannas or in nearby areas and spread onto the site. Within the savannas, fire is used to flush out game by hunters. In nearby areas, open fires are used to clear agricultural land or as a waste disposal tool. Roadside fires also spread into the Savannas.

# Purpose

With the passage of strengthened environmental legislation in 2000, the Environmental Management Authority (EMA)<sup>13</sup> began the process of designating the Aripo Savannas as an Environmentally Sensitive Area (ESA) in 2002. In 2006, while the designation process was in train, the EMA issued terms of reference for a participatory management planning exercise.

# Rationale for the use of participatory processes

The rationale behind the selection of a participatory process was to:

1. **establish continuity and build on work done by other stakeholders over the years:** the initial 1980 management and development plan, while never effectively implemented, was an important resource. In addition, the end product of a public consultation in 2002 was the establishment of a working group to manage the site. It was later subsumed into the stakeholder management committee established by the EMA;
2. **embrace a wider ecosystem approach to the planning process:** the Authority recognised that the park boundary is not a physical barrier separating it from surrounding influences;
3. **avoid the mistakes of the past:** Forestry Division's first attempt at management in the 1980s was criticised for not considering wider stakeholder views and for a lack of depth in the planning process; and
4. **learn how to execute this type of planning:** it was to serve as a pilot allowing the EMA to build its capacity to execute participatory natural resource planning.

After a competitive bidding process, CANARI was selected to guide the creation of management plans using participatory planning methods. The project was expected to be completed in one year.

# Description of the participatory process

CANARI and the EMA agreed to adopt the approach of interactive participation to maximise opportunities for active, informed and equitable participation of all interested stakeholders. The process encouraged diverse views, allowing inequities among stakeholder to be

identified and accommodated. The planning process used a wide range of activities to encourage participation and consultation; and to build the capacity of stakeholders with the intention that they continue to be involved in the management of the Aripo Savannas ESA.

The execution of the project occurred in six phases. The project initiation phase lasted two months and involved stakeholder identification and analyses, establishment of the stakeholder management committee and the validation of the committee's work plan. The second phase involved stakeholder consultation (including a strategic visioning workshop and community meetings) and completion of a literature review.

In phase 3, CANARI built the capacity of stakeholders<sup>14</sup> to participate in the planning process and hosted strategic planning workshops. With the support of the working groups of the stakeholder management committee<sup>15</sup>, CANARI conducted field trips, workshops, focus groups and interviews to develop the recreation, resource management and interpretative plans. This phase lasted four months. In the fourth phase, draft management plans were developed by CANARI, reviewed and validated by expert groups of stakeholders over two months.

In the fifth phase, CANARI produced the final drafts of all management plans for wider stakeholder review and public consultation. This process lasted eight months. In phase 6, plans were finalised for publication. During this time, a case study on the process and a manual on participatory protected areas planning were developed. The entire process lasted a little over two years. During the course of the project, the legal designation of the Aripo Savannas as an ESA occurred.

## Results

The outputs included:

- five management plans: an overall management plan for the protected area, a resource management plan, a recreation management plan, an interpretive and public awareness plan and an implementation plan that was the equivalent of a 10-year work programme
- a popular version management plan

<sup>14</sup> Informal capacity building occurred though out the phases of the project, it ranged from theoretical and scientific considerations to skills in consensus building, goal development and visioning, networking as well as in articulating priorities and concerns. Formal training in the use of geographic information systems (GIS) and related data collection were provided to select stakeholders with additional funding support by the Commonwealth Foundation.

<sup>15</sup> Four working groups were established with a focus on key management issues of the Aripo Savannas ESA: resource management; education; recreation and tourism and land use.

- two manuals: a training manual on facilitating participatory protected area planning and a manual on participatory geographic information systems (GIS) mapping
- a case study of the processes employed and their evaluation
- a stakeholder database
- a literature review

The major outcomes included:

1. **Increased stakeholder buy-in and support:** there was increased understanding about, support for and interest in participation in management of the ESA by many stakeholders.
2. **A shared management vision was developed:** the vision for the management of the ESA has been well articulated.
3. **Stakeholders bought in to the participatory process:** stakeholders not only appreciate the participatory planning process but are now advocates of the robustness and strengths of participatory approaches.
4. **Capacity building occurred:** the capacity of civil society stakeholders was strengthened and opportunities for further strengthening identified; the capacity of the management committee has also increased meaning that they can play an even more meaningful role.
5. **Good neighbour practices have emerged:** from their engagement in consultations and enhanced understanding of the management issues stakeholders that are neighbours to the site have actively sought to act in the best interest of the ESA:
  - a. The designers of the industrial estate were keen to ensure that their buffer zone with the park was adequate and sought to design green spaces that could link with the Savannas. They also sought to collaborate on educational activities.
  - b. Some of the lands south of the Aripo Savannas are forested with non-native pine, meant to support local timber needs. There was a willingness expressed by the Forestry Division (the land manager) to gradually convert the site to a native species plantation that would provide a greater ecological benefit to the Savannas.
  - c. After awareness was built, the surrounding communities have embraced the role of 'policing the buffer' to prevent illegal squatting, hunting and other unauthorised uses and have communicated infractions to relevant authorities.
6. **Unanticipated opportunities arose for collaborations to support biodiversity conservation in the Savannas:** opportunities arose out of networking at the stakeholder consultations that occurred during the six phases of the project. Most notably, two interested parties teamed up to propagate and boost the populations of the naturally occurring terrestrial orchids in the Savannas.

7. **Lessons were learned and fed into other conservation actions:** issues and ideas raised were fed into drafting of the new national protected area policy also being facilitated by CANARI.

## Lessons learned

Several useful lessons emerged from the process and included:

1. **Strong leadership is critical:** support was provided by the EMA, the Forestry Division and the stakeholder management committee for coordination of activities, mobilisation of stakeholders and most importantly technical and other advice.
2. **An experienced, neutral facilitator can ensure that the conflicts are identified and negotiated:** conflicts between different interest groups (e.g. hunters/ conservationists, squatters/ government agencies) were mediated so that all stakeholders understood different perspectives and needs so that a consensus decision could be negotiated.
3. **For a complex project with past failures, develop a literature review:** when developed at the start of the process and made available to stakeholders, this is a valuable tool that assists in identifying gaps and inaccuracies and allowed past work to be built upon rather than reinventing the wheel.
4. **Identify key stakeholders early and draw from their expertise:** technical working groups were established and allowed for the dissemination of important information. These stakeholders had on-the-ground and insider knowledge that proved critical in keeping the process current and responsive. Working groups had experts in natural resource management, conservation biology, biodiversity research, protected area management, participatory Geographic Information Systems (GIS) mapping, land use planning, interpretation and education specialists, recreation and tourism, monitoring and evaluation, facilitation of participatory processes, community development and communication.
5. **Keep the participatory process responsive:** from the strategic visioning workshop, an additional working group focusing on land use was established. This group was not initially considered and proved to be critical in understanding wider issues in the areas surrounding site, which was fed into the ecosystem approach adopted. Additional meetings were also held with squatters and the government agency responsible was brought in to discuss plans for relocation from within the protected area to a neighbourhood in the adjacent town.
6. **Effective information sharing with stakeholders can build consensus and lead to supportive action that does not require legislation:** stakeholders accepted the recommendation to create and maintain a buffer zone around the environmentally sensitive area to mitigate any negative impacts of development and engaged in

discussions to identify mitigation measures. It is important to note that this is not a legislative requirement but a voluntary effort emerging out of understanding of the importance of the Aripo Savannas.

7. **Use as many opportunities within the design of the process to build capacity:** capacity building can be just as effective informally. It should not be limited to formal training opportunities.

## Conclusions

The conservation and protection of a highly significant and threatened natural area can benefit greatly from the adoption of participatory planning processes. This is essential when using the ecosystem approach that takes the needs of people into consideration and encourages complementary land use by adjacent land owners so as to reduce instances of ecological isolation. Effective communication among stakeholders and lead agencies during the execution of such processes remains one of the most important success factors.

The outputs developed and outcomes achieved from the planning process are the foundation for actual implementation. Unfortunately, in this case the management plans were developed but have not been published and disseminated, and are not available on the EMA's website. Recommendations outlined in the very specific and time sensitive implementation plan, have not been executed. The case study has not been published and it is unknown if the training manual on participatory planning is being used internally by the EMA; it too has not been published for use by other stakeholders. Adoption and adaptation of the participatory planning processes for other ESAs has not started. Some stakeholders have expressed their uncertainty and frustration and the momentum generated during the process has diminished. New leadership in the EMA and the Forestry Division, including the Aripo Savannas coordinator hired by the EMA, were not involved in the process and effort needs to be made to build their understanding of what occurred and to encourage their buy-in of the results to strengthen the foundation for management.

## Toolkit Links:

The natural resource manager and/ or facilitator may find it useful to review the following when designing and facilitating a participatory process:

- **Concept sheet 3: What is participation?**
- **Concept sheet 4: Identifying who is a stakeholder**
- **Concept sheet 6: What is participatory planning?**
  
- **Activity sheet 1: Stakeholder identification**
- **Activity sheet 2: Stakeholder analysis**
- **Activity sheet 4: Participatory planning**



## Case study 3: Participatory development of the Trinidad and Tobago forest and protected areas policies

The Government of Trinidad and Tobago implemented a three-year process to engage a wide diversity of stakeholders in the development of a new National Forest Policy and the first National Protected Areas Policy

### Introduction

The Government of the Republic of Trinidad and Tobago through its then Ministry of Public Utilities and the Environment (MPUE) coordinated the participatory development of a National Forest Policy and also a Protected Areas Policy from 2007 to 2010.

Although previous forest policies had been developed (1942, 1979 and 1998) and various plans regarding protected areas, this process aimed to give stakeholders a greater voice in policy development, to develop consensus and buy-in, and to build ownership for future involvement of stakeholders in implementation in a multi-sectoral collaborative approach.

This participatory approach built on previous initiatives in participatory forest management initiatives and was championed by the Minister of Environment and the head of the Environmental Unit in the Ministry. CANARI, on the recommendation of the United Nations Food and Agriculture Organisation (FAO), was contracted as an independent facilitator to facilitate the participatory process based on their over 20 years of experience in participatory natural resource management in the Caribbean islands.

### Objective

The stated objective for the policy process was to develop a consensus on the vision, objectives, principles, strategies and institutional arrangements that should guide the use, management and conservation of forests in Trinidad and Tobago.

The primary focus of the process was to revise, summarise and harmonise existing policy objectives and instruments and to identify possible policy gaps or conflicts.

The two policies were seen as integrally linked, as protected area concepts would need to be embedded within the management principles and strategies of the National Forest Policy and as many of the protected areas were in forests, good forest management principles needed to be considered in the National Protected Areas Policy.

## Description of the participatory process

The participatory process included several elements in an iterative approach, with some occurring concurrently. These elements were:

1. Contracting an independent facilitator
2. Establishment of and facilitated sessions with a Technical Advisory Committee (TAC) to guide the process and content of the policies
3. Stakeholder identification and analysis to define who should be involved and to what extent
4. Drafting outline policy documents to define the scope and focus
5. Sectoral consultations with key stakeholders to discuss vision and broad objectives
6. Final national consultations to negotiate key issues
7. Development of the final draft policies for submission to Cabinet

Work started on the development of the National Forest Policy, which fed into later work on the National Protected Area Policy. Final national consultations were held simultaneously for the two policies.

### 1. **Contracting of an independent facilitator**

The initial steps in the process involved meeting with the FAO and CANARI to conceptualise the approach, and then contracting CANARI as an independent facilitator.

### 2. **Establishment of and facilitated sessions with the Technical Advisory Committee (TAC)**

At the start of the process, a multi-stakeholder Technical Advisory Committee (TAC) was appointed by Cabinet. The TAC comprised individuals representing key government agencies with legal mandates and authority for the management of forests and related resources and sectors, as well as representatives of different forest users and civil society. These included representatives from:

- the MPUE;
- the Forestry Division;
- the Environmental Management Authority, the government agency with legal responsibility for coordination of environmental management activities in Trinidad and Tobago;

- the Water and Sewerage Authority of Trinidad and Tobago (WASA);
- the University of the West Indies;
- the local government entity for Tobago, the Tobago House of Assembly;
- the South-East Hunters Association;
- Environment TOBAGO, a leading civil society organisation in Tobago;
- Asa Wright Nature Center (AWNC);
- Professor John Spence, an individual expert on agricultural issues;
- the Caribbean Network for Integrated Rural Development (CNIRD).

The TAC played an integral role in guiding the process and content of the policies. Over the period, CANARI facilitated four sessions for the TAC to input into and validate drafts, negotiate conflicts and reach consensus on various issues. In addition, a fifth special session was held to develop the section on administrative arrangements which included a presentation by the head of the newly formed executive agency of the Jamaican Forestry Department. Additional meetings of a TAC sub-group were held in the final stages of writing the documents. Several TAC members were present at the different consultations and were able to assist with explaining issues and facilitating discussion.

### 3. Stakeholder identification and analysis

One of the initial tasks performed was a stakeholder identification and analysis to guide who should be involved in development of the two policies and to what extent. Stakeholders with rights, responsibilities and interests were identified by CANARI, based on a literature review of key forestry documents and knowledge of the sector, and expanded and validated by the TAC. Four categories of stakeholders were identified:

- Resource Managers
- Extractive Resource Users
- Non-extractive Resource Users and Interest Groups
- Development – Impacts on Natural Resources

Stakeholders were then grouped under the following headings as relevant for each category:

- Government
- State owned enterprises
- State Appointed Committees, Persons and Statutory Bodies
- NGOs, CBOs Communities, and Associations

- Other civil society
- Private sector
- Academic institutions

The analysis of stakeholders looked at the value they placed on forests, their views on forest management, and their existing capacity and capacity needs to participate in forest management.

#### 4. **Drafting outline policy documents**

The other initial task that CANARI performed was drafting an outline policy statement, which was reviewed by the TAC. This was based on a desk review of existing formal and informal policies and by consultations with key stakeholders as identified in the stakeholder analysis and was a useful framework to define the scope and focus of the policies.

#### 5. **Sectoral consultations with key stakeholders**

Four separate sectoral consultations were held with:

- civil society and private sector stakeholders (in Trinidad)
- government stakeholders (in Trinidad)
- civil society, private sector and government stakeholders in Tobago
- staff of the Forestry Division (in Trinidad)

These consultations focused on presenting the outline policies and facilitating input into the vision, broad objectives and key issues. The draft policies were revised after each consultation, so that stakeholders could review and build on each others' input. After the consultations, revised draft policies were produced, which were also reviewed by the TAC.

#### 6. **Final national consultations to negotiate key issues**

The revised policies coming out of the sectoral consultations went through several rounds of detailed revisions in the TAC. When it was agreed that the draft policies were ready to go to final consultation, four regional consultations were held (in north-west, south-west and central-east Trinidad and one in Tobago), with a cross-section of government, civil society and private sector stakeholders participating.

The draft policies were substantial documents and executive summaries were prepared to assist stakeholders. In order to facilitate in depth discussion on the key issues in the policies, it was decided that the consultations would focus on facilitated discussion on the six most controversial and key issues in the two policies, in addition to having open discussion to allow for additional input.

Two to three page issue papers with key probing questions for discussion were prepared

by CANARI on controversial issues (institutional arrangements for improved management, harmonisation of the policy and legislative frameworks, strategies for sustainable financing, management structures, classification system for protected areas, and monitoring and evaluation). These summaries were presented and used to guide discussion in small group facilitated sessions on various perspectives and to build consensus. CANARI and members of the TAC provided expert guidance and facilitation for each of the small groups.

Invitations for the general public to attend the national consultations were issued via national newspapers by the MPUE. They also sent invitations directly to key ministries, government departments and organisations. The Forestry Department directed its technical staff to attend the national consultations in their respective regions. Staff freely participated in discussions and greatly contributed to building improved understanding of forest management issues among participants in the consultation and building consensus on controversial issues.

In addition to the facilitated consultations, the MPUE sent the executive summary and issue papers to key stakeholders and invited written comment. They were also hosted on a project page on the Ministry's website and made available at regional offices of the Forestry Division and at the Department of Natural Resources and the Environment in Tobago.

### **7. Development of the final draft policies for submission to Cabinet**

Finally, the TAC reviewed and considered the various comments and a small sub-group of the MPUE and the Forestry Division did the final revision to the draft policies to integrate the comments received and addressed outstanding concerns by the Forestry Division in separate meetings. The final draft policies were submitted to the Cabinet for approval in 2010, accompanied by a compilation of public comments and actions taken to address each comment prepared by the MPUE.

## Results

The primary outputs of the project are a revised National Forest Policy and a National Protected Areas Policy. Other outputs include a collection of background documents concerning the development of the policy, several draft policy documents, consultation reports, executive summaries, issue papers, and web pages.

The outcomes of the process include:

- negotiated agreements on key issues for forest and protected areas management;
- a greater awareness of forest and protected areas policy issues and objectives among key stakeholders across different sectors of society;
- improved communication and collaboration among forest stakeholders and other

key stakeholders;

- enhanced interest and commitment of stakeholders to participate in implementation of the policies; and
- recommendations on institutional arrangements for management of forests and protected areas.

Perhaps the most surprising outcome was the development of a policy document which was not perceived as a document biased to the administration in power but rather as a comprehensive strategy for the participatory management of forest that is owned by all stakeholders. The policy statement was drafted under one administration and was approved and is being implemented under another administration, which is fairly unusual in the Caribbean islands political context.

## Lessons learned

Lessons learned included:

- Focusing the consultation on the key and controversial issues is instrumental in building consensus as it provides a controlled forum to discuss perspectives in depth and facilitate negotiation to build consensus.
- Involving stakeholders in policy development builds stakeholder support, capacity, and interest in management.
- Broad stakeholder engagement in policy development limits perceptions that the policy is a document biased to the administration in power.
- An independent facilitator with skills in facilitation and technical expertise contributes to building trust among stakeholders in the participatory development process.
- A steering committee of technical experts with different areas of expertise provides strong technical direction and validation of the policy document.
- Stakeholder identification and analysis provides an important foundation to identify who should be involved in the policy development process and to what degree.
- Champions of the participatory process should exist at a high level in the current administration to drive formal approval and implementation of the policy statement.
- Having government officers from key agencies attending and openly participating in the sectoral and national consultations (rather than inputting in separate exercises for their agencies) is a key strategy in building consensus on controversial issues.

## Conclusion

Participatory policy development can result in an improved policy that is able to address key and controversial issues. The participatory process can also build stakeholder buy-in, ownership, capacity and commitment to participate in policy implementation.

### Toolkit Links:

The natural resource manager and/ or facilitator may find it useful to review the following when designing and facilitating a participatory process:

- **Concept sheet 3: What is participation?**
- **Concept sheet 4: Identifying who is a stakeholder**
- **Concept sheet 6: What is participatory planning?**
  
- **Activity sheet 1: Stakeholder identification**
- **Activity sheet 2: Stakeholder analysis**
- **Activity sheet 4: Participatory planning**

## Case study 4: A participatory approach to biodiversity conservation and protected area management in the Montserrat Centre Hills

This case study reviews the participatory approaches used in projects implemented between 2005 and 2008 that were designed to improve the management of the Centre Hills in Montserrat.<sup>16</sup>

### Introduction

The Centre Hills lie in the central part of Montserrat and became the largest remaining forest in the island and are an important refuge for biodiversity following the volcanic eruptions of 1996-97 that destroyed most of the biodiversity in the south. The Centre Hills are also extremely significant for the ecosystem services that they provide to the people of Montserrat in terms of production of water and stabilisation of soils on the extremely steep terrain. The mid-to-upper elevations of the forest in the Centre Hills have received statutory protection since 2000 under the Protected Forests Order and Forest Reserve Order of the Forestry, National Parks and Protected Areas Act. The Centre Hills cover an area of 11.3 km<sup>2</sup> with about 65 percent of the land in private ownership and the remainder owned by the Crown<sup>17</sup>.

It was critical to develop agreement among stakeholders for management of the Centre Hills to conserve biodiversity and protect ecosystem services, while respecting private property rights and livelihood uses. Several projects were developed to facilitate a participatory approach to conservation and management of this protected area. This case study focuses mainly on the core project ‘Enabling the people of Montserrat to conserve the Centre Hills’ but generally just referred as the ‘Centre Hills Project’ (CHP), while noting that it catalysed several others that produced complementary outputs and outcomes. The CHP was implemented by the Royal Society for the Protection of Birds (RSPB), in partnership with a number of partners from government, civil society and the private sector in Montserrat, the Caribbean, and the United Kingdom (UK). The project funding of GBP 160,900 (approximately USD 280,000 at 2005 rates) was from the Darwin Initiative of the UK Department for Environment, Food and Rural Affairs (see <http://darwin.defra.gov.uk/project/14027/>).

<sup>16</sup> This draws on a more extensive CANARI case study: McIntosh, S. 2011. Participatory Approaches to Biodiversity Conservation: a Case Study of the Montserrat Centre Hills Project. CANARI Technical Report No. 400, Laventille, Trinidad.

<sup>17</sup> Crown here refers to the Government of the United Kingdom.



### Purpose

The purpose of the CHP was “to strengthen the capacity of the people of Montserrat so that they are better able to take targeted action to conserve the Centre Hills”. The project also built on earlier research and capacity building initiatives in the Centre Hills undertaken by RSPB and project partners. During the project, additional needs were identified and additional funding of GBP 153,100 (approximately USD 266,000 at 2005 rates) was secured from the UK Overseas Territories Environment Programme. This facilitated a legislative review; economic valuation of the goods and services provided by the Centre Hills; capacity building for species action plans; and the development of environmental regulations. It also stimulated the Department of the Environment (DoE) to contract CANARI to facilitate the development of a Participation Strategy and Research Protocol.

### Rationale for the use of participatory processes

The CHP relied heavily on participatory processes throughout but the rationale for this is not stated explicitly in the grant application or final report. However, it can be inferred from other project documents to include the expectations that:

- it would increase awareness of the value of the Centre Hills, which in turn would lead to a greater sense of ownership;
- input from stakeholders would provide valuable information for the management plan and ensure that it addressed the needs and concerns of the wider Montserratian community;
- it would address some of the identified barriers to effective management, such as:
  - conflicts that arose among the private landowners over the Centre Hills Forest Boundary;
  - people not being aware of their rights and responsibilities;
  - poor communication among stakeholders involved in management of the Centre Hills.

Montserrat had a history of participatory environmental management so there was a clear expectation from government and other stakeholders that planning and management of the Centre Hills would continue this culture and practice.

The Participation Strategy for the project (CANARI 2006) states the following explicit objectives:

- to elicit equitable and effective stakeholder participation into the vision, objectives, principles, strategies and institutional arrangements to guide the management and

conservation of biodiversity resources in Montserrat;

- to elicit equitable and effective stakeholder participation into the drafting of natural resource management legislation for Montserrat; and
- to build the capacity of the CHP staff to facilitate participatory processes.

The Participation Strategy for the DoE (CANARI 2006), developed shortly after the CHP was completed, also sought to reflect the intentions of and effective practices used in the earlier Centre Hills projects, as captured in its vision and goal:

<b>Vision</b>	Local, regional and international stakeholders are effectively engaged in decision-making about environmental management and sustainable development in Montserrat as appropriate to their interests, rights and responsibilities so that they can contribute to conservation and wise use of Montserrat's natural resources, sound environmental management and the achievement of sustainable livelihoods, economic equity, social justice and enhanced capacity.
<b>Goal</b>	In order to achieve this vision, the Department of Environment will effectively and equitably engage stakeholders (from the public, private and civil society sectors both in Montserrat and overseas) in its work by facilitating effective two-way communication, developing partnerships, ensuring coordination, and promoting collaboration.

## Description of the participatory process

The Participation Strategy for the project was designed by CANARI with input from stakeholders and implemented by the project management team, in consultation with the multi-stakeholder Centre Hills Management Committee (CHMC) which was established as one of the early actions under the Strategy. This established the principles outlined in Box 7.

An outreach and facilitation sub-committee comprising volunteers was also established and trained to carry out certain aspects of the Participation Strategy. The Strategy was comprehensive and encompassed establishment of a multi-stakeholder management committee, public meetings, sectoral meetings, one-on-one meetings with resource users and other key stakeholders, circulation of meeting notes to those unable to attend and media coverage of key meetings and issues.

McIntosh (2011) concluded that the participatory process was one of facilitated **interactive participation** moving gradually towards **self mobilisation** (see Table 1 from Bass et al. 1995). Some project participants also indicated that, while widespread stakeholder participation had been the intention from the outset, there was a distinct shift in process from the pre- and early project meetings, coordinated and to some extent dominated by UK scientific partners, to the creation of mechanisms and an atmosphere in which a much wider range of stakeholders felt empowered to make contributions and have them valued by others.

### Box 7: Centre Hills Participation Strategy Principles

- Equity in decision-making.
- Respect among all stakeholders for rights, responsibilities and interests of all stakeholders – this will include respect for differences of interests and willingness to negotiate to achieve consensus.
- Trust among all stakeholders – this is important to facilitate the free and open exchange of information and ideas.
- Local ownership of the process – Montserratians must drive the process for planning and management of their resources, while recognising the interests of overseas stakeholders.
- Building capacity of stakeholders – a commitment to building the capacity of all stakeholders to participate in the planning process is essential – this may mean special attention to building the capacity for the participation of disadvantaged or marginalised groups.
- Sustainability of impact – sustainability will be achieved only through building stakeholder capacities and facilitating stakeholder ownership.

## Results

The main tangible outputs of the participatory processes, many of which themselves contain a continuing commitment to stakeholder participation, were:

- the stakeholder identification and analysis;
- the Participation Strategy for the project;
- establishment of a multi-stakeholder management committee (the CHMC);
- the 2008-2010 management plan for the Centre Hills, which includes estimates of the funding needed to implement it and a detailed workplan;
- the draft Montserrat Conservation and Environmental Management Bill (Toppin-Allahar 2008);
- the baseline assessment of knowledge, attitudes, perceptions, and behaviours of Montserrat residents in relation to the natural environment and the Centre Hills, also referred to as the socio-economic assessment (McCauley 2008); and
- the baseline biodiversity assessment of the Centre Hills (Young ed. 2008).

The project also generated or catalysed a number of other outputs, including from the follow-up OTEP project and the DoE's initiative that involved contributions from local

stakeholders:

- a teacher's resource pack on the Centre Hills;
- a database of biodiversity data;
- a land ownership map;
- a map of the boundaries and trails;
- establishment of a repository of botanical samples;
- establishment of a small herbarium at the Montserrat Botanic Garden;
- development of five species action plans;
- the Guide to the Centre Hills, published by the Montserrat Tourism Board with contributions from many of the project partners;
- DoE's Participation Strategy and Research Protocol;
- the economic valuation of the Centre Hills under the OTEP project (van Beukering et al. 2008);
- a communication strategy to facilitate the integration of the findings of the economic valuation study into policy processes under the OTEP project.

The main outcomes to which the Centre Hills participatory processes contributed were:

- enhanced capacity of the CHP staff and other partners to facilitate participatory processes;
- enhanced understanding of and capacity to facilitate participatory processes by partner organisations;
- increased awareness of by policy makers and the wider public of the economic and socio-cultural value of the Centre Hills and the rationale for legislation to turn it into a national park;
- increased stakeholder capacity for and involvement in decision making about the Centre Hills and biodiversity conservation;
- increased stakeholder capacity to participate in decision making about the Centre Hills;
- public empowered and actively taking advantage of opportunities to advocate and input on wider environmental (and other issues), notably through radio call-in programmes;
- increased technical capacity of local partners, for example, to collect biological data;
- consensus built on the vision and key objectives for management of the Centre Hills;
- conflicts were identified and trade-offs negotiated, to the extent that the private landowners, who were originally skeptical or apprehensive about the idea of a change in management regime, have now become partners with the government in

ensuring that no illegal activity takes place;

- partnerships consolidated and new partnerships developed – internationally, regionally and locally;
- institutional arrangements for management of the Centre Hills and Montserrat’s biodiversity conservation strategies developed and piloted, with the CHMC destined to become a permanent advisory body, the National Environment and Conservation Council, under the new legislation;
- enhanced appreciation, by UK partners especially, of the value of participatory approaches to biodiversity planning and management, as evidenced by specific inclusion of this in the follow-up OTEP economic valuation project;
- commitment to formalise and institutionalise participatory approaches to biodiversity planning and management, as evidenced by the development of a Participation Strategy by the DoE to guide its work.

## Lessons learned

The main lessons emerging from this case study are:

- Effective implementation of participatory processes takes time, resources and commitment but results in more sustained stakeholder engagement, as evidenced, for example, by the number of people now calling into radio programmes about environmental issues and the landowners reporting illegal activity within the Centre Hills.
- Establishing mutual trust and respect between stakeholders is essential and was facilitated in this instance by the fact that many of the partner agencies had worked in Montserrat before.
- Developing a written participation strategy, including jointly negotiated values and objectives, can contribute both to the process of establishing trust and transparency and to building the capacity of the team charged with implementing it.
- A participatory economic valuation exercise, combined with a communication strategy targeting policy makers, is an effective tool for raising stakeholder awareness and securing political buy-in.
- An experienced, neutral facilitator can ensure that the conflicts are identified and negotiated, which is an essential part of any participatory planning process, without being perceived to benefit from the outcomes. A skilled facilitator can also help to build the capacity of the project team and project partners, as was the case with the Centre Hills projects.
- Effective inter-departmental collaboration and the backing of the political directorate contribute to the effectiveness and visibility of the participatory process and to its

lasting legacy. While it is rare in the Caribbean to find such an enabling environment as that in Montserrat, the strategy of identifying a powerful champion and departments that have a history of working closely together could be applied more widely.

- Establishing implementing partnerships and networking can contribute to securing both additional funding and a broader range of technical expertise.
- Formally clarifying key partners' roles and responsibilities in a memorandum of collaboration, as was done under the CHP, can also prevent misunderstandings and avoid unnecessary conflict.
- Participatory biological surveys facilitate the integration of traditional and scientific knowledge.
- The media can play a vital role in implementing a participation strategy. For the CHP, a total of 28 articles appeared in the press, and Centre Hills was featured in 34 radio programmes (Sanders 2008). Radio, in particular, can foster wider and more equitable participation, with people feeling more at ease making their points on radio rather than at public meetings even though the population in Montserrat is so small that you can usually identify the caller (Gray pers. comm. 2011).
- There is a fine line between effective and excessive consultation. In the case of the CHP, the consultations on the detail of the legislation not only started to turn people off the process but risked breaking down mutual trust and respect because the meetings were interpreted as government avoiding its decision-making responsibilities.
- Planning for the transfer of skills from external to national stakeholders, which was a core element of the CHP, is a critical element of ensuring the sustainability of the outcomes.

## Conclusion

The CHP case study validates the contention that the promotion of equitable participation and effective collaboration in managing the natural resources critical to development remains highly relevant to the sustainable development of the Caribbean and demonstrates the necessity and value of adequate and appropriate support from external agencies, including donors, over a long period in achieving this. It also demonstrates that a project designed primarily by the international and local technical partners can evolve through participatory processes into one that is driven by needs and priorities on the ground, notably those related to livelihoods.

The CHP also highlights the value of effective partnerships and networking in achieving collective goals. It also provides an excellent example of funding agencies and other external partners making strategic investments aimed at building local institutions at community

and national level. However, the longer term goals of the Centre Hills Management Plan and the enactment of the legislation remain constrained, some three years after the end of the project, by limited on-island technical expertise and the fact that many aspects of the management plan are being funded solely under annual departmental budgets.

The case study also highlights many practical tools and models that could be adapted to similar processes in other islands, such as the partner memorandum of collaboration; the clear terms of reference for the management committee; the participation strategies (both for the project and the DoE); the participatory development of new legislation; the participatory economic valuation and the communication strategy highlighting key policy messages.

### Toolkit Links:

The natural resource manager and/ or facilitator may find it useful to review the following when designing and facilitating a participatory process:

- **Concept sheet 3: What is participation?**
- **Concept sheet 4: Identifying who is a stakeholder**
- **Concept sheet 6: What is participatory planning?**
  
- **Activity sheet 1: Stakeholder identification**
- **Activity sheet 2: Stakeholder analysis**
- **Activity sheet 4: Participatory planning**



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## Caribbean Natural Resources Institute

The Caribbean Natural Resources Institute (CANARI) is a regional technical non-profit organisation which has been working in the islands of the Caribbean for over 25 years. Our mission is to promote and facilitate equitable participation and effective collaboration in the management of natural resources critical to development in the Caribbean islands, so that people will have a better quality of life and natural resources will be conserved, through action learning and research, capacity building and fostering partnerships.

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