



FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS

**TOOLKIT
FOR THE APPLICATION OF
PARTICIPATORY AND NEGOCIATED
TERRITORIAL DEVELOPMENT
IN TRANSBORDER ZONE**

Socio-Economic Development Program for the Transborder Onchocerciasis-Freed
Zone of Ghana and Burkina Faso

GCP/RAF/376/BEL

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ABBREVIATIONS AND ACRONYMS

CBRDP.	Community Based Rural Development project
CVD	Comité Villageois de Développement
CVGT	Commission villageoises de gestion des terroirs
DA	District Assembly
ECOWAS	Economic Community of West African States
LPDRD	Lettre de Politique de Développement Rural Décentralisé
OFZ	Onchocerciasis-Freed Zone
PCP	Participatory Community Planning
PFR	Participatory Community Planning
PDI/Z	Projet de développement intégré du Ganzourgou
PNGT	Programme National de Gestion des terroirs
PNTD	Participatory and Negotiated Territorial Development
PNWM	Participatory and negotiated watershed management
RAF	Réorganisation Agraire et Foncière
RED-IFO	Regionalization and Differentiation- Information, Training and Organization
SNV	Netherlands Development Organization
TOD	Textes d'Orientation sur la Décentralisation
TSTU	Trans-boundary Socio-Territorial Unit
VIP	Village Infrastructure Project

ABSTRACT

The Toolkit is related to the application of Participatory and Negotiated Territorial Development (PNTD) in the context of the Socio-Economic Development Program for the Transborder Onchocerciasis-Freed Zone of Ghana and Burkina Faso (OFZ Project - GCP/RAF/376/BEL).

*The PNTD, presented in **Part 1** is based on a systemic vision of the territory with the inbuilt territorial diagnostic being a tool to open dialogue among public and private actors. It has the objective to support a negotiation process for territorial development (towards a Social Territorial Agreement) and to guarantee the implementation and enforcement of the agreement and the possibility of its renegotiation.*

The rationale of the OFZ project is that Onchocerciasis eradication in some areas along the Burkina Faso and Ghana border has created new land-use opportunities of areas previously under-utilised due to the prevalence of the disease. The project objective is to support and strengthen the local institutional capacity and sustainability of these land-use opportunities. The project is an ECOWAS pilot project, designed to generate lessons for future project expansion. The pilot phase is to be completed in 2006. The project area has been defined as 15 communities in Ghana and 15 in Burkina Faso.

*The Tools in detail refer to the four phases of PNTD and are presented in **Part 2**.*

- **Phase 1- Views-Understanding the Actors and the Territory.** *The Multidisciplinary PNTD Team begins by identifying a significant territorial and social unit, which includes cohesive factors for the analytical, planning and implementation activities. An entry tool is proposed: Tool 1 The Socio-Territorial Unit. The other tools are related to the spatial and historical analysis of the territorial system and to the assessment of the diversity of actors, their vision, interests, relationships: Tool 2 Semi-structured interviews; Tool 3. Community social map; Tool 4 Land use and resources map; Tool 5. Conflict Timeline; Tool 6 Conflict map of Resources; Tool 7 Stakeholders analysis-4 R Matrix.*
- **Phase 2 - Horizons-Proposal building.** *The tools presented focus on the preparation of different strategies/proposals: Tool 8 Problem analysis; Tool 9 Strategy selection; Tool 10 Strengths, Weaknesses, Opportunities and Threats; Tool 11 Logical Framework Matrix (Logical Framework Approach is presented as useful for facilitating consistency among the mentioned tools and other tools to be used in other phases including Tool 12 and 20).*
- **Phase 3- Negotiation-Mediation and consensus building.** *The tools presented concern the assessing the relevance, feasibility and sustainability potential of projected options, and a variety of negotiation and consensus-building techniques. Tool*

12 Quality Frame; Tool 13 Pairwise Ranking; Tool 14 Chairs; Tool 15 Group decision making from Divergence to Convergence; Tool 16 Collaboration Matrix.

- **Phase 4 – Social Territorial Agreement.** *The tools presented concern the risks of decentralization and possible solutions, the agreements and the monitoring: Tool 17 RED-IFO Model; Tool 18 Agreements; Tool 19 Exit strategy; Tool 20 Monitoring and Evaluation: Approaches and criteria.*

*Finally, relevant case-studies concerning conflict management (based on a Ghana pilot field-tested conflict management program)¹ are presented in **Part 3**.*

The Toolkit was prepared by Massimo Rossi, consultant, with technical supervision of Pamela Pozarny (Rural Development Officer, Regional Office for Africa) and Jean Bonnal, Rural development Officer (Rural institutions and participation Service, FAO). The materials will require a further phase of adaptation to the field context in which they will be applied; as is, they are not yet in the form of being “user friendly,” but rather a consolidated resource tool as reference for field practitioners. A FAO-designed Distance Learning Course (CD Rom) is also available and serves as a key resource compilation of PNTD concepts, tools and methods.

¹ FAO, Engel A., Korf B. 2005, *Negotiation and mediation techniques for natural resources management*, Rome

PART 1: INTRODUCTORY TEXT

CHAPTER 1: PNTD PRESENTATION

Definition

The Participatory and Negotiated Territorial Development (PNTD) is a methodological approach that responds to the need to adapt methodologies, instruments and activities to the economic and social changes within countries and in the wider political context of globalization.

Classical rural development approaches have not sufficiently responded to the complexity of rural contexts. In the last 30 years, technical assistance projects were mainly based on top-down, supply-driven approaches. Interventions were defined by sectoral issues and addressed only partially the constraints and potentialities of the territories and populations concerned. . Current changes occurring in rural areas, largely due to induced processes of decentralization, pose further challenges regarding the effectiveness and capacities of these approaches to promote sustainable rural development. Consequently, there is a growing need for a holistic approach to rural development that directly involves rural populations in the design of new development perspectives that will generate sustainable outcomes. Hence, we propose an approach that supports a territorial-based negotiated development.

The PNTD methodological approach proposed offers concrete and appropriate solutions to the challenges confronted. The main focus is placed on the learning process and on re-establishing social dialogue that leads towards a territorial agreement which effectively takes into consideration and involves all actors.

The major innovation of this approach to rural development is the focus on stimulating and supporting dialogue within a territory. Social dialogue, whether in the form of a conflict resolution or an agreement on territorial development

projects, is essential to construct the social fabric of a territory, to elaborate synergies within the territorial system and to recognize all actors (in varying degrees and capacities) as promoters of territorial development, integrating the diversity of their interests and strategies.

The proposed approach to rural development is based on a systemic vision of the territory with the inbuilt territorial diagnostic being a tool to open dialogue among public and private actors. It has the objective to support a negotiation process for territorial development (towards a Social Territorial Agreement) and to promote the enforcement and monitoring of the agreement, with the possibility of its renegotiation.

Box 1 : Why PNTD?

In response to economic and social changes within countries, sub-regions and in the wider political context of globalization and joint efforts such as meeting the Millennium Development Goals, adapted methodologies, instruments and activities in rural development are essential to respond effectively to the new dynamics and requirements imposed by global changes. The importance of local stakeholders' involvement, ownership, responsibility and commitment towards building and sustaining improved livelihoods is vital and integral to promoting a renewed image of territorial issues, providing rural populations with new development perspectives and tools.

The Participatory and Negotiated Territorial Development approach offers concrete answers to the challenges of improving trust among social actors, strengthening social cohesion and promoting a systemic territorial development to induce socially-legitimized results. It supports bottom-up and participatory decision-making processes and encourages social dialogue and partnerships among a wide range of stakeholders within a territory.

The objective of this approach is to provide a flexible, context-driven roadmap to guide and support the implementation of socially-driven territorial planning process, facilitated by technical assistance. The versatility and significant added value in applying the approach is its wide adaptation to diverse contexts and conditions, including agricultural production, activities for local income generation, natural resource access and management, infrastructural development and wider framework of rural development in a multi-sectoral perspective.

Origins

The origins of PNTD are rooted in a number of approaches and related interventions of the last fifteen years

1. Participatory diagnosis

Over time the “basket” of participatory tools became more and more consolidated and organized by different approaches within the family of Participatory Learning and Action (PLA) and applied during many phases of the project cycle, in particular during the identification and formulation phases. Livelihoods assessment (community profiles and household livelihood strategies diagnosis) are the more recent organized approaches notably taking into consideration holistic dimensions that determine and effect development strategies, incorporating natural and institutional environments, household assets, the vulnerability contexts.

BOX 2: Key FAO publications on Participatory diagnosis

1990-1999

Chambers R., *Diagnostic participatif: hier, aujourd'hui et demain*, Arbres, forêts et Communautés rurales, Bulletin n° 1, FAO, Rome, 1992.

FAO-Investment Center, *Sociological analysis in agricultural investment project design*, Technical paper 9, Rome, 1992.

D'Arcy, David Case, *The community toolbox. The idea, methods and tools for participatory assessment, monitoring and evaluation in community forestry, community forestry field manual 2*, FAO, Rome, 1992.

FAO, *Participation et risques d'exclusion*, Participation populaire 9, Rome, 1995.

Hizem H. *Projet de guide méthodologique d'approche participative dans le domaine de la conservation des eaux et du sol en Tunisie*, Ministère de l'Agriculture-Direction de la C.E.S., Projet PNUD/FAO/TUN/92/001, Tunis, 1995.

Fé d'Ostiani L. - Waren P. *Steps towards a participatory and integrated watershed management* (prepared by Project GCP/INT/542/ITA), FAO, Tunis, 1996.

Bonnal J., Rossi M. (Principal Authors), *Guidelines for Participatory Constraints Analysis at Community and Farm Household Level* (SPFS/DOC/17), FAO, Rome, 1996.

Wilde V. (Principal Author), *Socio-Economic and Gender Analysis Programme (SEAGA)*, Field Level Handbook, FAO, Rome, 1998.

2000-2005

Project GCP/INT/542/ITA, *La planification participative dans le bassin versant de l'Oued Sbaïhya*, Tunisie document de terrain 9, Ministère de l'Agriculture, Tunis, 2000.

FAO-Land and Water Development Division (based on the works of. Rossi M and Natarajan M), December 2000, *Participatory Diagnosis of Constraints and Opportunities at community level related to soil and plant nutrient management*, AGL/MISC/30/2000, Rome.

FAO, *Guide technique-Gestion du cycle de projet, ASEG-Programme d'analyse socio-économique selon le genre*, Rome, 2001.

FAO (Messer N., Townsley P.) *Local institutions and livelihoods-Guidelines for analysis*, Rome, 2003.

FAO (Carloni A., Crowley E.) *Rapid Guide for Missions: Analyzing local institutions and livelihoods*, 2005.

FAO, *Adapted Conflict Management Training Program for CBRDP-Ghana (Pozarny P., Ganda B. and Weobong, C)*, Ghana, 2006

2. Decentralization

One methodology designed by FAO, Regionalization and Differentiation-Information, Training and Organization (RED-IFO), has been used to analyze the relationship between participation and decentralization processes. The methodology was initially formalized at the end of the nineties for the rural sector and applied later on for fisheries in 2005. Training Handbooks ² are available presenting RED-IFO for the rural sector and for Fisheries.

3. Participatory and negotiated watershed management (PNWM)

This approach focuses on a process including:

1. institutional constraints analysis;
2. identification of Socio-Spatial Units and Socio-Territorial Units, where in both cases the units are limited spatial dimensions meaningful to the local actors, identified through various criteria, and used for zoning, planning and managing the projects;
3. detailed phases and steps in participatory planning.

4. Conflict management

Relevant experiences of integration of conflict management into the broad framework of collaborative natural resources management were developed by FAO and collaborating partners based on a pilot field-testing capacity building and implementation process in Ghana. This initiative has been recently formalized into an FAO Guide: FAO, Engel A., Korf B. *Negotiation and mediation techniques for natural resources management*, Rome, 2005, and is being mainstreamed as a training tool/capacity building program in a number of diverse contexts and programs.

5. Socio-territorial agreements (STA).

This approach is the basis of the PNTD method. FAO has been supporting socio-territorial agreements at field level in different countries (Bolivia, Colombia, Philippines, Angola among others). In these examples, agreements represent the final step of an analysis and planning process based on a specific vision of the territory as an arena for dialogue and negotiation.

This process, presented in the FAO Guidelines, includes a systemic vision of the territory, offers an accurate perspective of its functioning (dynamics, flows, inter-territorial relations, boundaries) and enables vertical and horizontal integration between territorial scales and levels (e.g. geographic, socio-economic, administrative).³

Furthermore, working on a territorial level allows particular focus on the assets of the territory (including the policy, legal, institutional, natural resource, and social, cultural and natural heritage), its potentialities and constraints. A valorisation of territorial assets enables the development of synergies among diverse

² Bonnal J.-Rossi M. : *“Comprendre, analyser, gérer un processus de décentralisation : le modèle RED-IFO”*.

Bonnal J.-Rossi M. *Les communautés de pêche face à la décentralisation, Manuel de formation*.

³ FAO, *An approach to Rural Development-Participatory and Negotiated Territorial Development*, Rome, April 2005.

development foci within one territory, whilst taking into account and capitalizing upon linkages among territories (competition, but also complementarities); it also helps to revitalize and build linkages with formerly marginalized territories.

Principles

PNTD aims to promote consensual-based and inclusive approaches to territorial planning and rural development, reducing power asymmetries determined by unequal access to and control over resources including both natural and institutional, and socio-economic assets, such as training and capacity building opportunities. Main principles include:

- Actor based: Recognition of the heterogeneity of the actors' interests and visions of the territory.
- Territorial based: Based on the territories as spatial units of analysis, shaped by the social and historical relations between the actors and the territory.
- Systemic: Assumption of the complexity of a territorial context and the interdependencies within and between territories.
- Multi-sectoral: Integration of the environmental, social, economic, political, cultural dimensions of the actors' visions of the territory.
- Multi-level: Integration of different territorial levels and scales in the governance system.
- Participatory and negotiated: Notion of the territory as a negotiation arena to strengthen dialogue and mutual trust, and increase bargaining power.

- Modest:
 - Multidisciplinary Team (internal learning attitude- each specialist is recognized by others as having a valuable contribution to make)
 - Recognition of usefulness of different methods and tools, adapted to specific contexts, flexible, adaptive and replicable
 - Learning process, iterative, participatory and inclusive – striving to “level the playing field”
 - Prioritizing areas of intervention, identification of priority potentialities and problems, selection of priority problems and identification of possible solutions and strategies
 - Identification of the purpose (one immediate objective) for each identified project and identification of priority project elements (activities, results, indicators)

Process

The goals of PNTD process are i) to reduce power asymmetries determined by unequal access to and control over resources and information, and unequal capacities; ii) to function as a catalyst to stimulate and/ or initiate change processes and ensure inclusiveness; iii) to support socially-legitimized agreements by involving all stakeholders and fostering their commitment and ownership of the decisions and development process.

The 4 PNTD phases and their main contents are the following.

Phase 1- Views-Understanding the Actors and the Territory

- Build common understanding of the PNTD process and begin analysis of the different stakeholders' visions of the territory;
- Development of a coherent framework regarding stakeholders' positions, interests and strategies, and the potentialities and vulnerabilities of their territory;
- Historical analysis to identify the causes of existing territorial constraints, and possible trends;
- Promote dialogue among stakeholders;
- Inform and raise understanding among all stakeholders on territorial issues and their importance;
- Analyze the context-specific political, institutional and legal frameworks at regional, national and international level and their influence on local development.

1. Phase 2 - Horizons-Proposal building

- Supporting stakeholders in drawing up coherent and feasible perspectives for the future development of the territory;
- Helping stakeholders to become aware of all issues at stake within the territory;
- Supporting the formulation of possible proposals for territorial development as a common ground for negotiation;
- Setting up a negotiation platform that depends on stakeholders' room to maneuver, their willingness to negotiate, and their bargaining power or ability to access the negotiation arena.

2. Phase 3- Negotiation-Mediation and consensus building

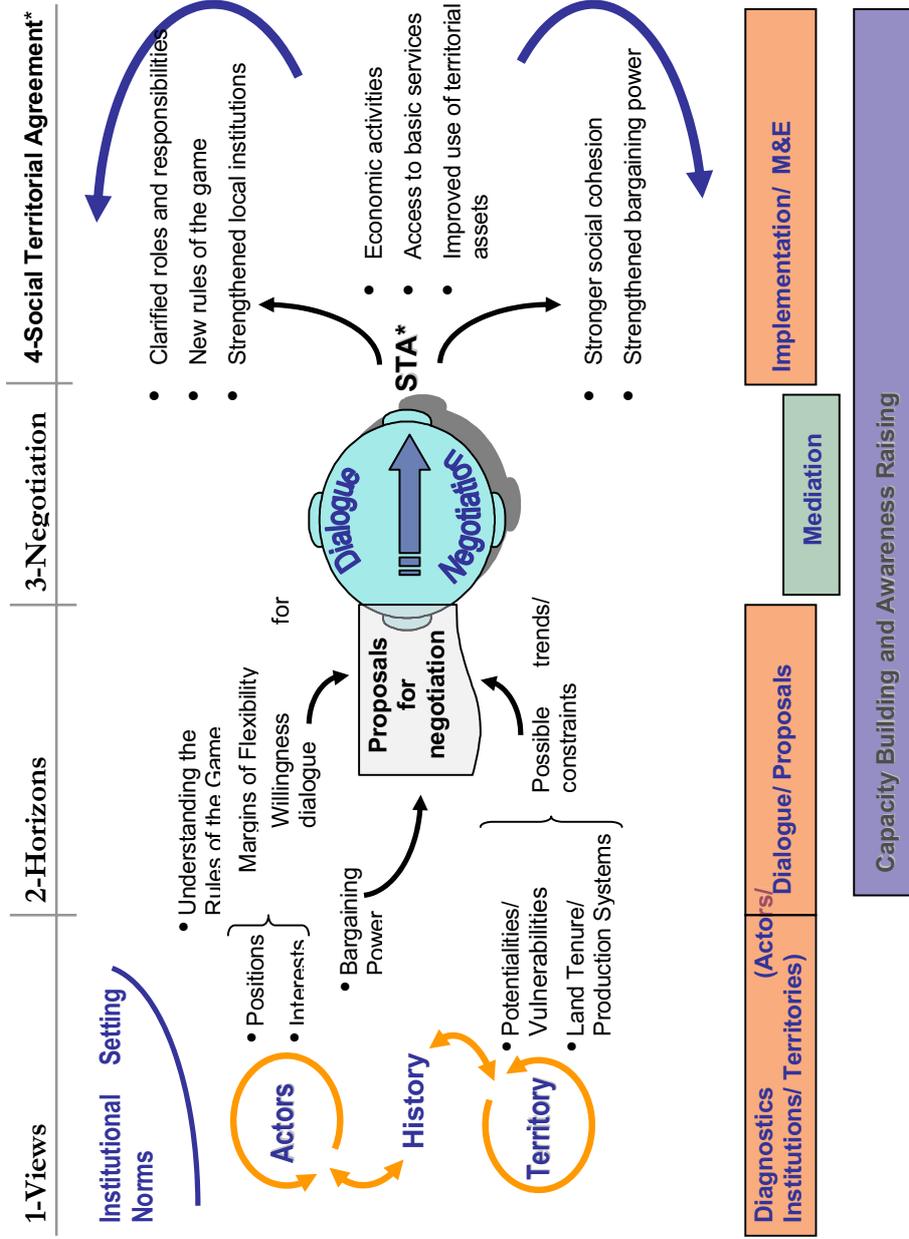
- Tool to aggregate the diversity of interests in a given territory;
- Does not only refer to conflictive situations;
- Follows procedures and "rules of the game" that the actors must agree upon in advance and that are enforced internally and also by credible and legitimized third parties.

3. Phase 4 – Social Territorial Agreement.

- This agreement includes plans of activities or initiatives for local development (in the short, medium, and long term) through a participatory process;

- Outlines the minimum required implementation capacities and external resources;
- Implies concrete commitment on activities, institutional arrangements or resource management;
- Leads to improved social cohesion and strengthened bargaining power by local stakeholders;
- Includes appropriate guidelines for enforcement procedures and sustainability of agreements, including appropriate mechanisms for monitoring progress.

Figure 1: PNTD Phases



The PNTD approach requires a multidisciplinary PNTD team and a Mediator. A multidisciplinary PNTD team is created (experts, administration staff and other key players in territorial development) to develop a comprehensive understanding of local problematic issues, research on possible solutions, study the options' technical feasibility, and finally, find ways to achieve a coordinated and effective response to local problems.

The PNTD team spearheads the process of linkage between the local community and other relevant players and institutional partners in the area supporting integrated territorial planning, thus provides valuable inputs to municipal and provincial development. The role of mediator is presented in the box below.

BOX 2: PNTD in Angola

By the end of nineties, peace became a likely hypothesis. As a consequence, several conflicts around land issues started emerging. The first signals that problems were increasing in the area were sent to Government institutions. With FAO support, the DNOR (National Territorial Planning Direction) organized a sequence of field trips and meetings in order to verify legal status of all requests (or complaints) made by different social actors. These visits also aimed at verifying the historical reasons and legitimacy of complainants and to encourage a joint effort to pursue possible solutions that could stimulate development dynamics preferably more oriented to less powerful groups.

Particularly the role of facilitator of dialogue performed by the national Director of DNOR was crucial. He had an excellent reputation in the country both for his technical capacities and for his known independent judgment position. For this reason it was possible in such hostile scenario (land issue was still a taboo subject in Angola) to find out ways to support development actions addressed to needy communities. The following observations stem from the reflections about 'key persons' in this case:

- 1. Commitment and known reputation of independence: these characteristics allowed this key person to assume and defend a "neutral" position even when dealing with extremely unbalanced power relations and strong political influences. Certainly, part of FAO's task is also to support this person and his/her team.*
- 2. In this concrete case, given the strong tradition of central administration, it was fundamental to have someone from the political stage to support the whole process, trying to respond to the lack of trust between institutions and citizens. In this context, his commitment and the political recognition was essential to enforce the agreement.*

3. *Professional capacities and availability of restricted information; his formal and informal legitimization arising from his possibility to access documents about the different actors, his deep knowledge of country legal situation and familiarity with field work and local communities.*

Finally, his good pragmatic abilities; given the strong political power of some involved actors and international community's low interest in interfering in the critical land issue in Angola, the decision taken was to proceed gradually. Firstly, it was necessary to encourage a dialogue and a change in the way important actors (government, farmers, and entrepreneurs) used to look at local communities and their rights to land. During an initial phase of the project, activities were concentrated in less conflictive parts of the territory, where the influence of external actors were not overwhelming. Thanks to the presence of this key figure and to FAO support, the reflections about the land issues in Angola, stimulated in this pilot case, were scaled up at national level

CHAPTER 2: PNTD IN THE CONTEXT OF OFZ PROJECT

OFZ Project

The underlying rationale of the Socio-Economic Development Program for the Transborder Onchocerciasis-Freed Zone of Ghana and Burkina Faso (OFZ Project -GCP/RAF/376/BEL) is that Onchocerciasis eradication in most areas along the Burkina Faso and Ghana border has created new land-use opportunities previously underutilized due to the prevalence of the disease. The project objective is to support and strengthen the sustainability of these land-use opportunities while promoting socio-economic development and improved rural livelihoods through development of cross-border economic opportunities. The trans-border perspective is based on the fact that the affected areas transverse the border but nonetheless harbor tremendous opportunity for collaborative initiatives including improved access, use and conservation of natural resources (such as through development of transhumance corridors) and cross-border trade opportunities; and furthermore, the communities utilizing these areas have strong social and cultural commonalities, despite being divided by the border.

OFZ is an ECOWAS-led project, funded by the Belgian government and executed by FAO. There are two project Coordinators, one based in Bolgatanga hosted by the Upper East Region (Ghana) and the other based in in Po, hosted by Nahouri Province (Burkina Faso), who both operate under the guidance and supervisions of a project manager from ECOWAS, based in Ouagadougou.

The current project is a “pilot” project, designed to generate lessons that can be utilized in a follow-up expansion phase, as well as in other cross-border projects within ECOWAS. The pilot phase is to be completed in 2006.

The project area has been defined as 15 selected communities in four districts in Ghana and 15 communities in three provinces in Burkina Faso.

A number of project interventions have been carried out since the start of the project. This includes notably support to the 30 pre-selected communities (15 in each country) in the preparation and implementation of participatory community action plans, on the basis of which consultants have prepared project proposals and public investment plans relating to each of the four individual Project components. All activities have been carried out with an effort to promote synergy and coordination in both countries.

Socio-Territorial Units and pilot PNTD trans-boundary sites

Based on the model diagram above in “Views” showing Social-Territorial Unit as a territory economically, socially and culturally meaningful to the local stakeholders, it was proposed in February 2006 to identify Trans-boundary Social-Territorial Units (TSTU) among OFZ areas between Burkina Faso and Ghana. to facilitate the proposed process of the PNTD approach.

A number of common aspects among communities were found through meeting and sharing information among members of communities and officials from local institutions. The following aspects were mentioned by the stakeholders in Ghana and Burkina Faso as common indigenous perceptions of shared trans-border territory; which also reflect existing evidence:

- Common vegetation
- Similar production systems
- Similar agricultural mutual aid
- Different currency (both Cedis and CFA accepted)

- Common local languages (nankana, kassena, kusaal)
- Similar kinship patterns
- Common commerce
- Common socio-cultural practices: traditions and beliefs including festivals, traditional medicines, funerals
- Common access to water sources and services such as schools, markets, health centres.

In accordance with overall project objectives, including the “pilot” nature of project interventions and on the ground existing conditions and potentialities, criteria for selection of PNTD project sites were defined and include:

- common indigenous perceptions of shared Trans-boundary Social-Territorial Unit;
- spatial proximity (between communities and to the border);
- high population pressure on natural resources;
- conflicts related to natural resource management;
- already being among the 30 beneficiaries communities.

Based on these criteria, the following TSTU were selected:

- i. The communities of Namoo/Feo (Ghana) and Narguia (Burkina Faso), where the highest population pressure on natural resources was found.

- ii. The communities of Widinaba (Ghana) and Zame (Burkina Faso), close to the transhumance corridor along the White Volta where conflicts related to pasture lands and natural resource management are increasing.

PNTD Plan of Action

Key aspects of the application of PNTD Plan of Action include:

- Internalization of the planning process through capacity development of the relevant local institutions: local government, NGOs, both who will eventually become the main drivers of this process;
- Strengthening cross-border cooperation on natural resource management;
- Building linkages with other projects / programmes.

To initiate the PNTD process, familiarization and capacity building of local institutions on the proposed approach is foreseen through two or more workshops. At least one of these will include joint sessions with local governments of Burkina Faso and Ghana. These sessions will be facilitated by SNV, an international NGO working in the area in collaboration with the project team. In addition, the project will facilitate awareness raising with relevant institutions, notably immigration officials from both countries, at the start of the activities to enable efficient cross-border implementation of proposed activities by all parties concerned

Capacity building will be conducted in multiple steps in a process of learning and practice, in reference to the PNTD steps. Initial training sessions will be limited to the essential elements, including notably participatory diagnosis required to start the activities in the selected areas.

After an initial training and field practice, follow-up training on negotiation and consensus building for the PNTD teams, local government and NGO staff will ensue. All training exercises are envisaged as short joint sessions introducing and explaining the approach and tools (see table below), followed by on-the-job training within the 2 pilot areas. BADDEC, a local NGO experienced in conflict resolution and negotiation and conversant with the PNTD approach and tools is proposed to conduct the major part of the training under the overall supervision of SNV. The inclusion of BADDEC at this early stage is also seen as an important step to further strengthen local capacity and sustainability of PNTD implementation and outcomes, favoring the potential for upscaling project activities in the future.

The main actors and their responsibilities for the piloting of the proposed planning and development approach are listed below and presented in Table 1 Actors and responsibilities.

The Core team comprises of SNV and the National Coordinators and is directly responsible for the planning, facilitation and implementation of activities in the project area.

The PNTD team plays a pivotal role. Its main duties are to help develop a comprehensive understanding of local issues, assist in development of proposals that are technically feasible, and develop linkages between key stakeholders. The team composition is critical. It should be cross-border and multi-disciplinary. It would consist of not more than 4-6 permanent members, with additional ad-hoc experts as required. The composition of the team depends on the pilot areas, and the local institutional situation. To propose individual members of the team would therefore be premature at this stage. The team should include, but not necessarily be limited to:

- Local government staff. Their representation is essential, considering the foreseen role of government as a driver of the process. In Ghana, the obvious candidates for these positions are the DA staff assigned to project implementation (specific individuals for each of the communities). In Burkina Faso, on the other hand, a range of technical staff from the Departments have been involved (depending on their field of expertise). Here it may be more difficult to assign one or two specific individuals to the core team.
- Project coordinators to bring in community and project-specific expertise (their role to be phased out gradually) and to reinforce the established relationships between the Project and the communities.
- Representatives of local NGOs/CBOs, and projects involved in natural resource management and rural development in the pilot areas.

Table 1 : Actors and Responsibilities

	<i>Main Actors</i>	<i>Responsibilities</i>
	Project Management (ECOWAS/ FAO)	<ul style="list-style-type: none"> ○ Formal responsibility of all activities specified under the agreement ○ Technical back stopping ○ Harmonization of PNTD with other project activities ○ Timely mobilization of necessary resources; ○ Facilitate cross border cooperation
C O R R E T E A M	SNV	<ul style="list-style-type: none"> ○ Process management: Initiating activities, providing technical advice ○ reporting/ monitoring to project management ○ Mediator in negotiating phase
	National Coordinators	<ul style="list-style-type: none"> ○ Member of PNTD teams, as such active participation in the planning process ○ Logistical support to ensure timely execution of activities
	PNTD Team(s)	<ul style="list-style-type: none"> ○ Facilitate and support the planning and development process at various levels of implementation ○ Develop horizontal and vertical linkages
	Local government (District / Department)	<ul style="list-style-type: none"> ○ Actively support the development of an enabling environment for implementation and internalizing of the PNTD process ○ Provide resource persons for capacity building processes as required
	BEWDA (Local NGO based at Bawku)	<ul style="list-style-type: none"> ○ Member of PNTD team, help facilitate processes at community level, and possibly at higher levels of planning in the future ○ May eventually take over role as mediator
	CBRDP, PNGT-2	<ul style="list-style-type: none"> ○ Actively contribute towards development of planning and proposal building procedures
	BADDEC (NGO based in Tamale)	<ul style="list-style-type: none"> ○ Conduct training of PNTD teams on territorial diagnosis, proposal development, negotiation and conflict resolution (under the overall supervision of SNV)

CHAPTER 3: PNTD METHODOLOGY

Lessons learned

The proposed PNTD Toolkit has been crafted based on a number of key lessons learned from conducting brief diagnostics in the OFZ project zone. Key lessons include:

- **Lesson learned 1.** Insufficient involvement of local officers.
- **Lesson learned 2.** Insufficient consensus building notably among women and pastoralists, and inattention to the value added of external facilitators to promote engagement and consensus building among actors.
- **Lesson learned 3.** Risks of bias in participatory planning by not collecting information in a triangular manner in order to reduce the risk of thwarted interpretations/bias. To increase the validity of the information collected would require multiple investigators within a Multi-Disciplinary Team (MDT) with different specializations, accessing multiple sources, and applying multiple tools and instruments for participatory information collection and planning use.
- **Lesson learned 4.** Insufficient consideration of categories of stakeholders within the Fulani herdsmen.

It is of note that the use of an external facilitator to play the role of arbitrator between different and conflicting interests is critical to managing the process effectively. For this role, it is proposed that SNV operate as “process manager” to facilitate the PNTD progress.

Phases and Tools

PNTD principles and processes were presented in the previous sections of this introduction above, including the four-phase outline. Each phase requires the use of selected Tools, presented in a logical and temporal sequence as follows and in the below Table 2: PNTD - OFZ Project : Phases, Expected Results and Tools.

Phase 1- Views-Understanding the Actors and the Territory

A sequence of steps is proposed, starting with the identification of a **STU (Socio-Territorial Unit)** as a preliminary territorial-oriented tool. The Multidisciplinary PNTD Team must tackle the problem of identifying a significant territorial and social unit, which includes possible cohesive factors for the analytical, planning and implementation activities. The following are relevant issues for consideration by the Multidisciplinary PNTD Team:

- analysis of the STU community space defined as *terroir (Tool 1: STU)* of the residential unit/village, which is based on a meaningful perception and actual use of the local actors' spatial dimensions.
- consideration of the close linkage between the planning/management of small-scale projects, their replicability and the positive socio-economic inter-community relations.
- the selection of a reference unit, an operational/working area for the purpose of planning and action

Other tools in this section are related to the spatial and historical analysis of the territorial system and to the assessment of the diversity of actors, their vision, interest, relationships: Tool 2. Semi-structured interviews; Tool 3. Community social map; Tool 4 Land use and resources map; Tool 5. Conflict Timeline; Tool 6 Conflict map of Resources; Tool 7 Stakeholders analysis-4 R Matrix.

Phase 2 - Horizons-Proposal building

The tools presented in this section focus on the preparation of different strategies/proposals: Tool 8 Problem analysis; Tool 9 Strategy selection; Tool 10 Strengths, Weaknesses, Opportunities and Threats; Tool 11 Logical Framework Matrix.⁴

During the process of stakeholder analysis, problem analysis and the identification of potential project objectives, views on the potential merits or difficulties associated with addressing problems in different ways should be examined and discussed. These issues and options require close consideration to help determine the likely scope of project activities before more detailed design work is undertaken.

The type of questions for in-depth consideration at this stage include:

1. Should all the identified problems and/or objectives be tackled, or a selected few?
2. What are the positive opportunities that can be capitalized (i.e from the SWOT analysis)?
3. What is the combination of interventions that are most likely to bring about the desired results and promote sustainability of benefits?
4. How can local ownership of projects be best supported, including capacity development of local institutions?

⁴ *Logical Framework Approach is useful for facilitating consistency among the mentioned tools and other tools to be used in other phases such as Tool 12: Quality Frame (phase 3) and Tool 20: Monitoring criteria (phase 4).*

5. What are the likely capitals and recurrent cost implications of different possible interventions and what can realistically be afforded?
6. What is the most cost effective option(s)?
7. Which strategy will impact most positively on addressing the needs of the poor and other identified vulnerable groups?
8. How can potential negative environmental impacts best be mitigated or avoided?

Phase 3 – Negotiation-Mediation and consensus building

The tools presented in this section concern the Quality Frame and a variety of negotiation and consensus-building techniques. Tool 12 Quality Frame; Tool 13 Pairwise Ranking; Tool 14 Chairs; Tool 15 Group decision-making from Divergence to Convergence; Tool 16 Collaboration Matrix

The Quality frame consists of three key quality attributes, namely:

- Relevance – the project meets demonstrated and high priority needs
- Feasibility – the project is well designed and will provide sustainable benefits to target groups
- Effective and well managed – the project is delivering the anticipated benefits and is being well managed, promoting sustainable outcomes

Under each of these 3 main quality attributes are a number of key criteria which indicate the key issues that need to be assessed in order to make a judgment about quality. The key factors affecting sustainability of project benefit streams are integrated within this Quality Frame, rather than being presented as a separate

attribute. The key factors affecting sustainability are: i) Ownership by beneficiaries, through full engagement in the identification and decision-making processes of activities (ii) policy support, (iii) appropriate technology, (iv) ecosystem, (v) socio-cultural issues, (vi) gender equity, (vii) institutional, organizational and management capacity for implementation, and (viii) economic and financial viability. For details on sustainability factors and their monitoring, see the Tool 20 Monitoring criteria.

Phase 4 – Social Territorial Agreement

The tools presented in this section concern the risks of decentralization and possible solutions, the agreements and the monitoring: These include: Tool 17 RED-IFO Model; Tool 18 Agreements; Tool 19 Exit strategy; Tool 20 Monitoring and Evaluation: Approaches and criteria. Finally, case-studies (for Ghana) are presented.

Because the PNTD approach is embedded in and determined by successful decentralization processes, it is suggested that Tool 17 (RED-IFO) be carefully considered. This model aims to increase the efficiency of development policies so that they reflect the needs of citizens and are formulated on the basis of local evaluation done by those who have the most relevant information. It must be recognized that policies of centralized rural development have risks; this model takes these risks into account to identify a methodology for decentralization and design a set of support policies necessary to successfully carry out the decentralization process.

Final note:

As noted, the Toolkit is structured in four parts, and each part referring to the outlined four phases of PNTD. The Toolkit takes into account some tools used in

Ghana and in Burkina Faso in the selected communities.⁵ The materials will require a further phase of “adaptation” to the field context in which they will be applied; as is, they are not yet in the form of being “user friendly,” but rather a consolidated resource tool as reference. A FAO-designed Distance Learning Course (CD Rom) also serves as a key resource compilation of PNTD concepts, tools and methods.

⁵ GCP/RAF/375/BEL, February 2004, *Participatory Community Planning Report (PCP) covering 15 communities in the Ghana Pilot Project Zone, Bolgatanga*; GCP/RAF/375/BEL, Avril 2004, *Document élaboré par les 15 villages pilotes*.

Table 2: PNNTD - OFZ Project: Phases, Expected Results and Tools

Phases	1 Views-Understanding the Actors and the Territory	2 Horizons-Proposal-Building	3 Negotiation-Mediation and Consensus Building	4 Social Territorial Agreement
Expected Results	<p>Historical trends of the territorial system analyzed</p> <p>The diversity of actors, their vision, interest and interdependencies assessed</p>	<p>Proposals for territorial development outlined</p> <p>Communication among actors improved</p>	<p>Rule of the game and negotiation platform outlined</p> <p>The consensus building process: assessing the proposals for negotiation</p>	<p>A transboundary common ground identified and institutionalized</p> <p>Requirement for the implementation of the agreement established</p> <p>Monitoring procedures outlined</p>
Tools	<p>Tool 1.Socio-territorial Unit</p> <p>Tool 2.Semi-structured interviews</p> <p>Tool 3.Community social map</p> <p>Tool 4 Land use and resources map</p> <p>Tool 5.Conflict Timeline</p> <p>Tool 6 Conflict map of Resources</p> <p>Tool 7 Stakeholders analysis-4 R Matrix</p>	<p>Tool 8 Problem analysis</p> <p>Tool 9 Strategy selection</p> <p>Tool 10 Strengths, Weaknesses, Opportunities and Threats</p> <p>Tool 11 Logical Framework Matrix</p>	<p>Tool 12 Quality Frame</p> <p>Tool 13 Pairwise Ranking</p> <p>Tool 14 Chairs</p> <p>Tool 15 Group decision making from Divergence to Convergence</p> <p>Tool 16 Collaboration Matrix</p>	<p>Tool 17 RED-IFO Model</p> <p>Tool 18 Agreements</p> <p>Tool 19 Exit strategy</p> <p>Tool 20 Monitoring and Evaluation: Approaches and criteria</p> <p>Case studies (<i>Ghana</i>)</p>

Tools: Sources

Tool 1 Socio-Territorial Units

Tool 2 Semi-structured interview

Tool 3 Community social map

Tool 4 Land use and resource map

Tool 8 Problem analysis

Source: FAO, Rossi, M., Natarajan M.(Principal Authors), 2000, Guidelines for Participatory Diagnosis of Constraints and Opportunities for Soil and Plant Nutrient Management, FAO, AGL/MISC/30/2000. Rossi, M., Natarajan M., 2002, Guide Diagnostic participatif des contraintes et des potentialités pour la gestion des sols et des éléments nutritifs des plantes, Rome.

Tool 5 Conflict Time Line

Tool 6 Conflict Map of Resources

Tool 7 Stakeholder Analysis - 4 R Matrix

Tool 18 Agreements

Tool 19 Exit strategy

Case studies (Ghana)

Source: FAO, Engel A., Korf B. 2005, Negotiation and mediation techniques for natural resources management, Rome. And FAO, Pozarny P. et al, Adapted Conflict Management training materials for CBRDP-Ghana,, 2006.

Tool 9 Strategy selection

Tool 12 Quality Frame

Source: European Commission-EuropeAid Co-operation Office, February 2004, Guidelines on Aid Delivery Methods, Volume 1: Project Cycle Management, Brussels.

Tool 10 Strengths, Weaknesses, Opportunities and Threats

Tool 13 Pairwise ranking

Tool 16 Collaboration Matrix

Tool 14 Chairs

Tool 15 Group decision making from divergence to convergence

Tool 11 Logical Framework Matrix

Source: FAO, 2006, Participatory and Negotiated Territorial Development Distance Learning Course, Rome.

Tool 17 RED-IFO Model

Source : FAO, Bonnal J.- Rossi M., Manuel de formation: comprendre, analyser, gérer un processus de décentralisation, en cours de publication.

Tool 20 Monitoring and Evaluation: Approaches and criteria

Source: European Commission/Danish Management A/S (lead), February 2001, External Monitoring System of EC Development Aid Programmes-Handbook for monitors, Brussels.

PART 2 THE TOOLS IN DETAIL

**CHAPTER 1: PHASE 1 VIEWS-UNDERSTANDING THE ACTORS
AND THE TERRITORY**

Phases	1 Views- Understanding the Actors and the Territory	2 Horizons- Proposal- Building	3 Negotiation- Mediation and Consensus Building	4 Social Territorial Agreement
Expected Results	<p>Historical trends of the territorial system analyzed</p> <p>The diversity of actors, their vision, interest and interdependencies assessed</p>	<p>Proposals for territorial development outlined</p> <p>Communication among actors improved</p>	<p>Rule of the game and negotiation platform outlined</p> <p>The consensus building process: assessing the proposals for negotiation</p>	<p>A transboundary common ground identified and institutionalized</p> <p>Requirement for the implementation of the agreement established</p> <p>Monitoring procedures outlined</p>
Tools	<p>Tool 1.Socio-territorial Unit</p> <p>Tool 2.Semi-structured interviews</p> <p>Tool 3.Community social map</p> <p>Tool 4 Land use and resources map</p> <p>Tool 5.Conflict Timeline</p> <p>Tool 6 Conflict map of Resources</p> <p>Tool 7 Stakeholders analysis-4 R Matrix</p>	<p>Tool 8 Problem analysis</p> <p>Tool 9 Strategy selection</p> <p>Tool 10 Strengths, Weaknesses, Opportunities and Threats</p> <p>Tool 11 Logical Framework Matrix</p>	<p>Tool 12 Quality Frame</p> <p>Tool 13 Pairwise Ranking</p> <p>Tool 14 Chairs</p> <p>Tool 15 Group decision making from Divergence to Convergence</p> <p>Tool 16 Collaboration Matrix</p>	<p>Tool 17 RED-IFO Model</p> <p>Tool 18 Agreements</p> <p>Tool 19 Exit strategy</p> <p>Tool 20 Monitoring and Evaluation: Approaches and criteria</p> <p>Case studies</p>

TOOL 1 SOCIO-TERRITORIAL UNITS

Purpose:

The Multidisciplinary PNTD Team begins the PNTD process by identifying a territorial and social unit, which includes possible cohesive factors for the analytical, planning and implementation activities.

Application

The following relevant steps are required for the Multidisciplinary PNTD Team to initiate PNTD:

- analysis of the community space - defined as *terroir* - of the residential unit/village
- the selection of a reference unit, by identifying a set of meaningful criteria, to determine an operational/working area for the purpose of planning and action

Analysis of space: opportunities and constraints

The following issues have to be taken into consideration in order to define operational/working area, the Entry Tool than we call Socio-Territorial Unit:]

1. the concept of village *terroir*;

“The *terroir* (native land) is a varying, usually limited, geographical space that contains the totality of the lands controlled by a given rural community: cultivated areas, fallows, silvopastoral areas, as well as the scrublands, can all be part of it. The communal area has a double reality: first of all it is a “natural space” the characteristics of which are determined by agro-ecological data. Secondly, it is a “social space”, which means that *terroir* is actually occupied by one (or more) population group(s) that has established its own rights of occupation, practices, production systems, conservation techniques of the natural resources, etc. In addition to being a natural space, the communal area is thus also a social product.”
Translated from: FAO, *L'approche gestion des terroirs*, Documents for training in agricultural planning, 32, Rome, 1993.

“The first condition for an environmental policy in the context of *terroirs* would be to gain a triple recognition of the possible context for participatory management. First of all, it is important to recognize the “social space” as a framework for possible environmental conservation activities. The “village *terroir*” would constitute this social space in the case of sedentary communities, while for extensive pastoral areas, it would be the space used by the pastoral community... The social spatial units which constitute an inheritance from a social and cultural tradition undergoing changes, often have a tendency, however, to loose their cohesiveness and thus to become less significant.... However, in so far as they exist, it

would seem necessary to utilize without restriction the cohesive factors of an area – or pastoral space. Furthermore, it would be highly desirable to rehabilitate and revive them.”
Translated from: Lazarev, G., *Vers un éco-développement participatif*, PNUD-FENU, L'Harmattan, Paris.

2. common spatial dimension relevant and meaningful to the local actors. It is important to stress the close linkage between the planning/management of small-scale projects and their replicability;
3. the positive socio-economic inter-community relations.

Inter-community relations

Positive socio-economic inter-community relations constitute cohesive factors/opportunities for the analytical and planning activities and identification of effective planning units. Some opportunities are:

- Proximity
- Uniform production system
- Mutual help in agriculture
- Belonging to the same administrative unit
- Utilization of same wealth centre
- Belonging to the same family or tribe
- Exchange of seeds

Lack of some of these factors and others can be a source of constraints.

Example:

A number of common aspects were found meeting communities and officials from local institutions. The following aspects were mentioned by the stakeholders in Ghana and Burkina Faso as common indigenous perceptions of shared trans-border territory:

- *Common vegetation*
- *Similar production systems*
- *Similar agricultural mutual aid*
- *Different currency (both Cedis and CFA accepted)*
- *Common local languages (nankana, kassena, kusaal)*
- *Similar kinship patterns*
- *Common commerce*

- *Common sociocultural practices: traditions and beliefs including festivals, traditional medicines, funerals.*
- *Common access to water sources and services such as schools, markets, health centres.*

Selection of criteria to determine STU:

Based on the local actors' perception of a common area combined with existing activities and shared resources among local actors in a shared space, the commonalities and other possible priority issues should be defined to determine a set of criteria for the STU.

Example in the Ghana-Burkina transborder oncho zone:

- *common indigenous perceptions of shared Trans-boundary Social-Territorial Unit;*
- *spatial proximity (between communities and to the border);*
- *high population pressure on natural resources;*
- *conflicts related to natural resource management;*
- *already being among the 30 beneficiaries communities*

TOOL 2 SEMI-STRUCTURED INTERVIEWS

Purpose:

Semi-structured interviews, also referred to as “semi-structured learning”, consist of guided, essentially informal interview sessions. Only some of the questions are pre-determined, and the majority of questions and discussions and the specific lines of questioning are defined during the interview session itself, using the checklists or guide of topics. The interviews are usually conducted at the farm-household’s homestead, in the farmers’ fields, or in a common area in the village.

Application

The following guidelines, though not exhaustive, may be useful in successfully conducting semi-structured interviews.

1. The interviewing team should consist of two to four members representing different disciplines that are relevant to the topic of diagnosis, and team members should take turns in leading the interview.
2. The purpose of the interview must be clarified at the start, to avoid misunderstandings as to how the household or group will benefit from the team’s visit, or unfounded expectations regarding the outcome of the study.
3. Ideally, the interview should then begin and questions should be phrased as “what?”, “when?”, “where?”, “who?”, “why?” and “how?”. The interview should be conducted informally, with remarks and discussions interspersed with questions.
4. The team members should be open-minded and patient and each of them should take chronological notes.
5. The team members should be aware of the importance of non-verbal factors. For example: they must not show disapproval of the surroundings or of refreshments offered; they must maintain an appropriate distance and not sit in places higher than the interviewees; and they must not indicate belief or disbelief by nodding or head-shaking.

6. The team should attempt to subtly prevent the interview from being dominated by certain interviewees, by providing non-verbal cues for the respondent to stop, politely intervening, and summarizing and then refocusing the discussion.
7. The team should not bring large accounting books or official-looking folders, which can be intimidating.
8. The team should adopt an approach of sophisticated naiveté, letting the interviewees know that they understand the topic being discussed but are not as familiar with the specific details as the interviewees. In other words, the interviewees should be made to understand that the team is there to learn.
9. The group interview should last about two hours, and individual farmer interviews for no longer than one hour.
10. The team should avoid using questionnaires or limit their use, with questions being spread out over the interview session or saved until the end of the session as a light series of about ten questions. The worksheet should not be brought out during the interview but filled in by team members after the interviews, based on their notes.

Interview considerations: opportunities and constraints

Categories of respondents may include:

- Key informants and resource persons (e.g., village elders, community leaders or individuals with intimate knowledge of the community, such as schoolteachers and local development officials)
- Focus groups - consisting of farmers whose interests are relevant to the diagnostic process
- Individual farmers and household members

Specific aspects of interviews with these respondents are summarized below:

1. **KEY-INFORMANT AND RESOURCE PERSON INTERVIEWS** Key informants can provide specialized information on topics that are of overall interest to the community (e.g., information on the village or area's institutions, infrastructure, and marketing systems). They can help in categorizing the community into household categories or recommendation domains, which, being distinctly different from one another, must be explored separately in diagnosing constraints and opportunities. Key informants can also provide useful suggestions on the choice of which farmers or households to interview. The key informants themselves may be chosen with the help of the village leader, development workers, or extension staff who are familiar with the area. Alternatively, during an interview with a farmer or other resource persons, the team may find that he or she has a specific role (e.g., an office bearer of a farmers' cooperative or water-users' association or the head of a women's group) and the questioning can then focus on eliciting this individual's specialized knowledge.

2. **KEY FOCUS GROUP INTERVIEWS.** Group interviews may either be casual (e.g., informal conversations with farmers met on walks in the village or fields) or prearranged with formal groups, such as community groups, focus groups of specialists or specific categories of persons (e.g., farmers growing sugarcane, tobacco, vegetables, or other cash crops or landholding size) and groups structured based on age, gender, or other criteria. The specific method of interview depends upon the purpose of the interview and the composition and nature of the interviewees. The purpose of the interview may be to analyze a specific topic, to focus on constraints common to the group and opportunities for resolving them, to evaluate contrasts among and within groups, or to discuss, develop or validate strategies for overcoming the problems identified.

3. **HOUSEHOLD INTERVIEWS.** The households interviewed may either represent a complete cross-section of the community, special categories or a specific unusual type of household (e.g., those headed by women, those with irrigation in a predominantly rain-fed cropping community, or those

producing market crops in a predominantly subsistence-farming area). A household may be chosen to represent a certain category or recommendation domain, based on criteria that the team deems appropriate in a given situation. Especially in the initial phase of diagnosis, some farmers may be interviewed because the team happens to meet them while working in the area. These interviews involve either all household members or only those with a role in the specific issue being evaluated. In conducting interviews, the team should consider the issues of equity and gender bias and consider that different groups may hold different values, interests and priorities. For example, ascertaining women's views, knowledge, and attitudes are important, in that women often play important roles in the decision-making process of a farming system, are involved in farm work, or can be affected by the innovations that emerge during the diagnostic process that are different from men. The multidisciplinary team should include female members, who can often develop a rapport with female members of the households or community. Similarly, all socio-economic and age groups of the households that are involved in any way in the farming systems should have the opportunity to contribute to the diagnostic process.

TOOL 3 COMMUNITY SOCIAL MAPS

Purpose:

Community or village social maps are tools to assist the team to learn about the social structure of a community and how differences among households are defined (e.g., local definitions of "lower", "middle" and "upper" levels of households, based on criteria such as wealth, social status, power, ethnicity, caste and religion).

Social maps can also be used to present information on the village layout, infrastructure and other similar aspects.

Because social maps illustrate all of the household types in a community and their locations, they contribute to ensuring that people from all socioeconomic groups are reached during the exercise. They are also useful for introducing discussions on inequities (e.g., in resource availability), social problems, strategies used to cope with such problems and the solutions attempted.

Social mapping for PNTD could also include other forms of mapping, notably institutional mapping, including tools such as community profiling the Venn diagram, and conflict mapping, which is of particular value as a mapping tool in PNTD - to comprehend relationships, power differences and linkages among actors and institutions.⁶

Application

One of the first steps in creating a social map should be that of organizing a group of those community members most likely to know all of the households in the community. This group should consist of both men and women; however, if for some reason men and women cannot participate together, then separate groups may be organized.

Some important factors in creating social maps include the meeting place, the medium and materials used for drawing the map, the roles and expected behaviour of the multidisciplinary team during mapping, and the team's efforts towards

⁶ See FAO (2005) *Carlomi A. Rapid Guide for Missions*.

understanding and recording the output. Guidelines on these factors are practically identical to those for land-use and resource maps (see Tool 4).

Considerations: opportunities and constraints

It is important to agree upon the criteria for defining wealth and social status, and discussions to this regard should be conducted. These criteria may include the type of house, family size, size of landholdings and their level of productivity, availability of irrigation water, number of livestock, ownership of farm machinery, off-farm cash remittance, food sufficiency, and children's access to formal education.

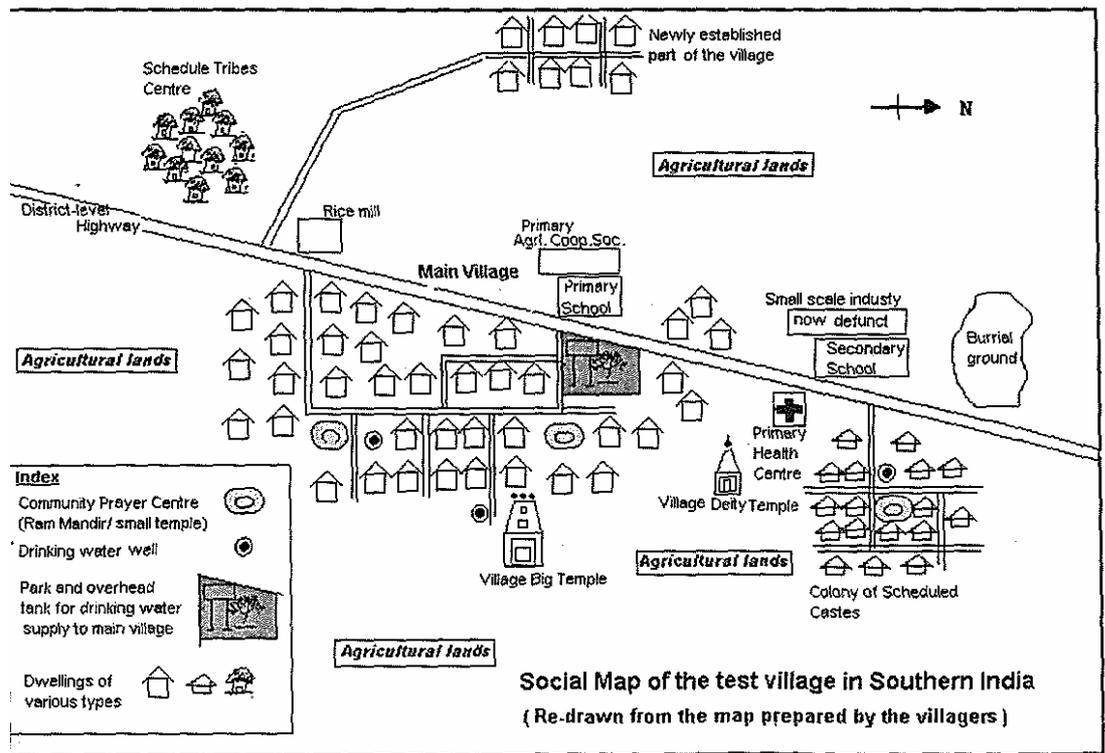
If the team members are not already familiar with the social structure of the community, they should review secondary sources of information before beginning this exercise. Additional information can be obtained from discussions with key informants (e.g., village chiefs and extension agents).

The final map should indicate orientation (i.e., North, South, East, West), and village boundaries (e.g., with other villages, roads, and rivers), and main landmarks (such as a village hall, dispensary, place of worship, etc.).

Examples

A social map produced by a village community in southern India is shown in the Figure. The map shows the overall make-up of the village, including the areas of habitation of the principal social groups, new extensions to the village, the common amenities for the village community, and places of social interaction.

Social map of the test village in southern India

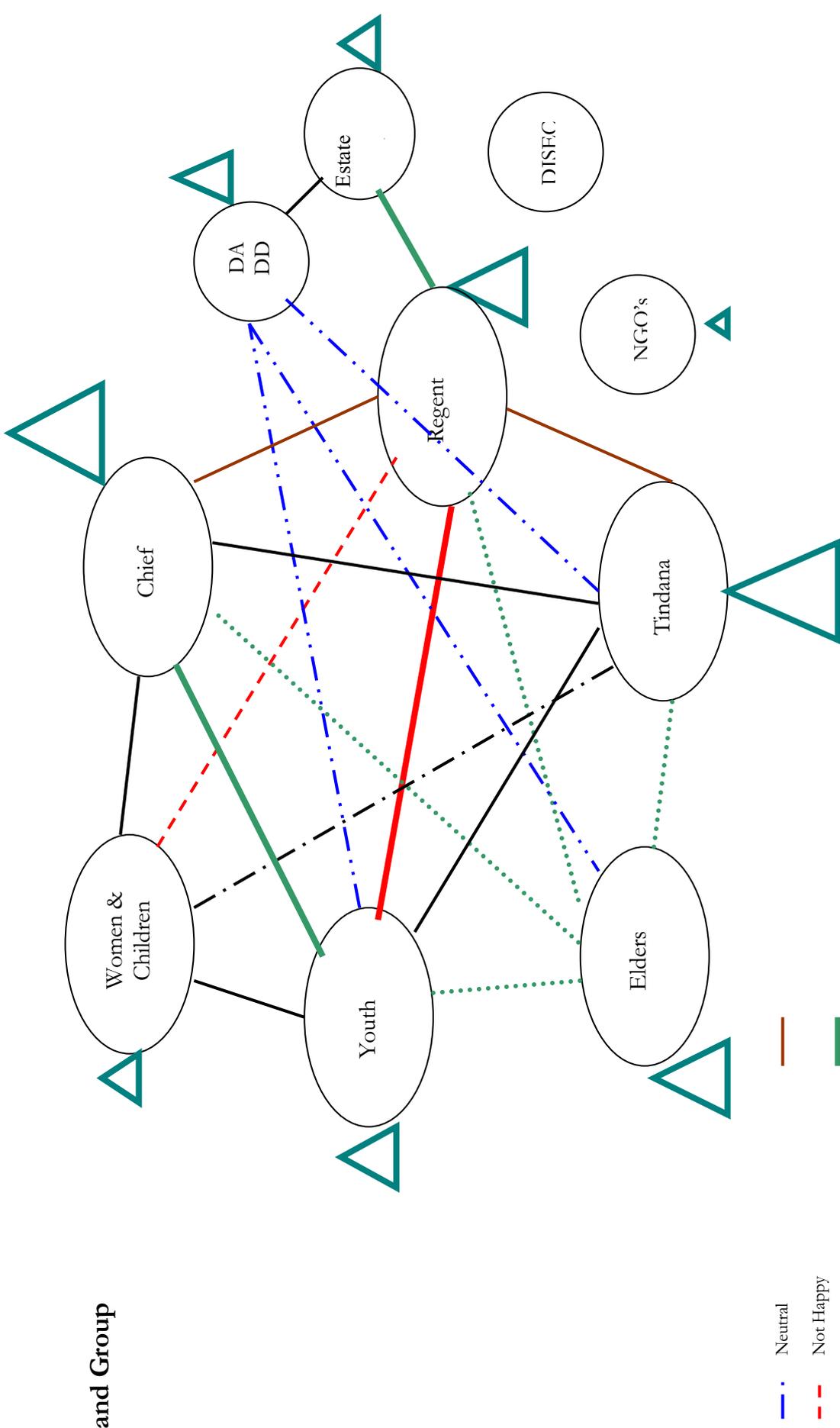


Example of Conflict Mapping of Actors:

Below is an example of one type of actor-based conflict map concerning a land-based conflict case study in Ghana and designed during the pilot conflict management programme. The diagram is based on a 3 Rs analysis (see Tool 7) and is another form of “mapping” to compliment those presented below, in Tool 6 and 7. It shows a group’s representation of the actors involved, relationships and diverse power influences between stakeholder groups.⁷

⁷ FAO (2003) Conflict Management over Natural Resources: Training One Report. Guy Wright with technical collaboration of Pamela Pozarny.

Land Group



TOOL 4 LAND USE AND RESOURCE MAP

Purpose:

This tool is useful in obtaining local perceptions of the location and use of land and other resources and for exploring changes in the use of these resources. These maps should be drawn in the field with farmer groups, households or individuals and should be bold and simple in design. Team members may also sketch their own maps to facilitate their understanding of the area. During the diagnostic process, several maps may be drawn, during meetings and discussions with households and focus groups, however, these maps must eventually be combined into a single map. Land-use and resource maps are useful in planning other activities in the diagnosis, such as transect walks, topical appraisals and case studies, and may contribute ideas to be explored in semi-structured interviews.

Application

Land-use and resource maps may include all of the resources owned by the community or a single watershed or farm. In any case, the specific purpose of mapping should be made clear to the participants before the exercise begins.

Choosing the venue for carrying out mapping and the specific materials for drawing the maps must be based on the background and nature of participants and on the availability of materials. Participants should feel comfortable with the material, the medium and the venue. Examples of materials and medium include sticks, stones and coloured powders (for use on the ground), chalk (for use on hard floors), and various coloured pens (for use on paper).

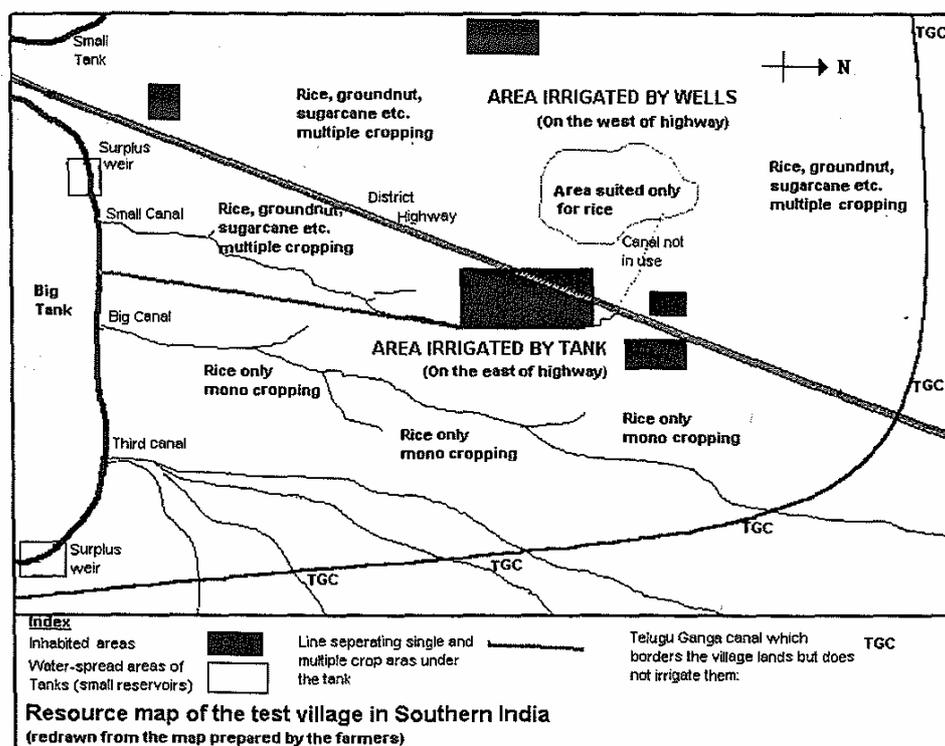
Notes on implementation: opportunities and constraints

The team should help participants to begin the process and then leave them on their own without further interference. Team members may intervene only when their assistance is sought or when the team feels that it is absolutely necessary. The team may observe progress, yet without rushing it, or they may leave the place for a while or concentrate on some other work.

When the map is completed, the PNTD team members, acting as facilitators, should validate the map by asking its creators to describe it; they should discuss with them the features represented and solicit consensus. When the group is predominantly illiterate, the team members may find the maps to be unintelligible and should thus learn to read the maps as “thought” by the participants, with their help. Specifically, the team should attempt to understand the symbols used and complete the map with a detailed legend. The map should be recorded on paper and kept by the team, irrespective of the medium on which it was drawn originally. The names of those who prepared the map may also be recorded so as to give them credit.

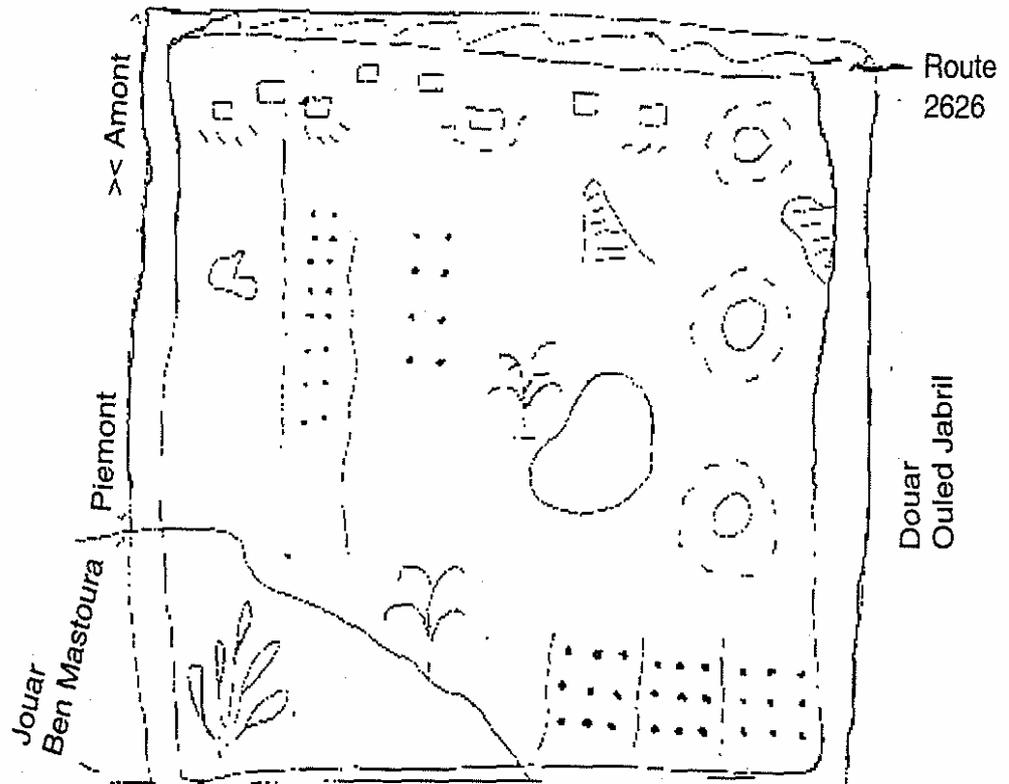
Examples

Two examples are provided from India and Tunisia. The first Figure is a land-use and resource map reconstructed from original maps drawn by farmers from a village in southern India. The second Figure one is a land-use and resource map reconstructed from original maps drawn by farmers from a village in north Tunisia.



Self-managed land-use map

Project FAO/GCP/INT/543/ITA-Tunisia. Community: Douar Ouled Lacheb, Oued Sbaihya watershed



LEGEND

-  external community (douar) border
-  house
-  cactus field
-  big difference in altitude
-  olive tree field
-  depression
-  pasture
-  threshing area
-  house received by heritage
-  cactus
-  carubier tree
-  fig tree

STEPS IN LAND USE MAP PRODUCTION

- *Step 1:* A group of three illiterate farmers produced a self-managed map in one hour (paper size: 50x80 cm). After drafting, they explained the map meaning to the Project Team
- *Step 2:* The Project Team reduced the map size and produced the legend

TOOL 5 CONFLICT TIME LINE

Purpose

To assist stakeholders in examining the history of a conflict and to improve their understanding of the sequence of events that led to the conflict.

Application

The conflict time line is a useful tool for clarifying the dynamics of conflict in a given *terroir* and for spelling out its key issues. In particular, it may be useful as a warming up exercise to open space and involve stakeholders in the process of identifying and expressing interests and priorities, leading to dialogue and negotiation. Based on the conflict time line, it may then be possible to proceed to root cause analysis and stakeholder analysis.

The conflict time line helps to structure the narratives of the conflict when stakeholders tell their stories of the conflict and enumerate what each party has done, when and how. The conflict time line is particularly helpful when applied with the conflict stakeholders, during shuttle consultation and/or stakeholder engagement. It shows that mediators take the stories of the stakeholder groups seriously, and helps structure the discussion and complex information flows. The steps are the following:

1. The conflict time line can be utilized without much prior explanation. When a stakeholder group narrates its story, it may be useful to structure the flow of information. The mediator can suggest writing down the sequence of events on a flip chart so that the stakeholders can verify whether the mediators have correctly understood their stories.
2. On a flip chart, write the name of the conflict. Under the conflict heading, create columns for dates and events. Ask the participants to think of the specific events that led to this conflict, and when those events occurred. Explain that at this stage they should not worry if the dates are wrong, as these will be checked later.

3. Ask one participant to name one of the events – preferably one of the earlier events or actions in the history of the conflict. Record the date and event on the flip chart. If some of the participants are illiterate, use symbols on the flip chart. However, precise points still need to be documented in writing.
4. Ask the participants for another event and record it. Continue to do so, explaining that they do not have to name the events in sequence. Check whether the participants can think of something that happened before the first events listed. The events will be recorded in the appropriate chronological order based on date. Allow each participant to contribute his/her ideas without being questioned.
5. Review and reach agreement on the events, checking the order and dates. When there is disagreement about the facts (either the date or the event), assess whether this is significant to the analysis. If the participants feel that they need to confirm the information, note this on a separate sheet as an “information need”.
6. When participants appear to be satisfied with the time line record, ask them to take a moment and reflect on the history of the conflict. Start a discussion with the following questions:
 - What have you learned about the conflict from the time line?
 - What have been the most significant events in escalating or broadening the conflict? Why?
 - How have the events affected relationships among the parties?
 - Why do you think the parties acted in the way they did? What were the underlying interests, fears or needs of the parties in these events?

Note on opportunities and constraints

Flip chart, Coloured pens are required. Provide a copy of sample conflict time line (example) per person as a stimulus for the process. The time line helps conflict stakeholders to reflect on the different events that triggered the conflict. It helps

mediators to clarify the chain of events. It will assist actors who are engaged in the PNTD process to recognize and consider areas and issues of potential or existing conflict within the socio-territorial unit, so that realistic PNTD proposals are eventually attained.

Example

Date and Events ⁸

1975

- * Head of the Malawa informed that U'afu villagers are cutting trees claimed by the Malawa for canoes (land adjacent to the Ngala River).
- * Malawa head and spokesperson go to U'afu, who explains that the cutting was within U'afu boundaries.
- * Malawa head disagrees and asks that cutting stop.

1976

- * U'afu cut two more trees.
- * Malawa villagers seize three completed canoes as compensation for U'afu stealing of trees.
- * U'afu burn garden huts of three Malawa women.
- * Malawa youths steal two U'afu pigs.

1981

- * Forest officers meet with U'afu to discuss timber concession on the eastern boundary of Ngala River and the overlap of Malawa land. U'afu do not tell forest agency about Malawa land claim.

1982

- * U'afu support timber company request for concession.
- * Malawa object to concession at timber rights meeting.
- * Malawa seek legal advice to stop concession.

1985

- * Timber Company withdraws. U'afu blames Malawa.
- * U'afu cut five more trees on disputed land.

1993

- * Conservation NGO working with Malawa discusses proposed watershed catchments management area on Ngala River. Malawa do not inform the NGO of U'afu's interests.
- * Malawa receive funds and assistance to set up ecotourism lodge from NGO Water Catchments Protection Project.

1994

- * Malawa representative put on Ngala River Management Committee Board.
- * U'afu cut three trees on disputed land.

1995

- * NGO meets with U'afu villagers on Ngala River project.
- * U'afu man burns NGO vehicle. Man arrested and jailed.
- * U'afu threatens further damage if their rights to the land are not recognized.

1997

- * Forest department and NGO draft Ngala River Catchment Protection legislation.
- * U'afu boycott public meeting to discuss legislation.

1998

⁸ *The names of the clans and locations are fabricated in order to respect the privacy of the people and groups involved. Malawa people prepared this time line, with the assistance of a conservation NGO, in order to understand rivalries with another clan (the U'afu).*

- * U'afu agrees to allow use of Baenia River by Senta village people for oilpalm.
- * Ngala River Catchment Protection legislation blocked by Senta parliament member.

TOOL 6 CONFLICT MAP OF RESOURCES

Purpose

To show geographically where land or resource use conflicts exist or may exist in the future and to determine the primary issues of conflict.

Application

Mapping is always useful for an understanding of the spatial dimension and geographic boundaries of resource conflicts. It is helpful to involve stakeholder groups. In the process, structuring discussion about conflict issues and giving stakeholders a more active role in the process of analysis. The conflict map is most usefully applied with the stakeholders during stakeholder engagement. Mediators should let the stakeholder group members draw the map themselves and should stimulate the process with questions.

Mapping can be carried out with one stakeholder group alone or, later in the conflict management process, with all primary stakeholders. In the latter case, drawing a conflict map may help to clarify the spatial boundaries of conflict among different stakeholders as a preparation for assessing options. The steps are the following:

1. Explain the purpose of the activity to the participants, emphasizing that mapping is a useful tool for exploring the resource uses and values of different stakeholders, and for identifying existing or latent conflicts.
2. Ask the participants to begin by preparing a basic sketch map of the area on which the conflict is centred. This map should show the major landscape features and relevant boundaries of tenure.
3. Next, ask them to mark out areas of existing or proposed resource uses for different stakeholders. Resource uses may include food or material collection, protected area boundaries, commercial timber harvest, religious or sacred cultural sites, nesting sites for endangered species and use boundary changes.

4. When participants are satisfied that all the relevant information has been marked on the map, ask them to identify areas where land or resource uses are in conflict. These may include conflicts among existing uses, between existing and proposed uses or among proposed uses. Record the specific areas of conflict, either by highlighting them on the map or by making a list of specific points of dispute.
5. Review each of the areas of conflict. Initiate a discussion with the following questions:
 - What are the primary sites of conflict?
 - Which sites are of secondary importance?
 - What would the consequences or impacts be to the different stakeholder groups if their existing or proposed uses are stopped or changed?
 - What alternatives or possible solutions in land or resource use are suggested from the information on the map?

Notes on opportunities and constraints

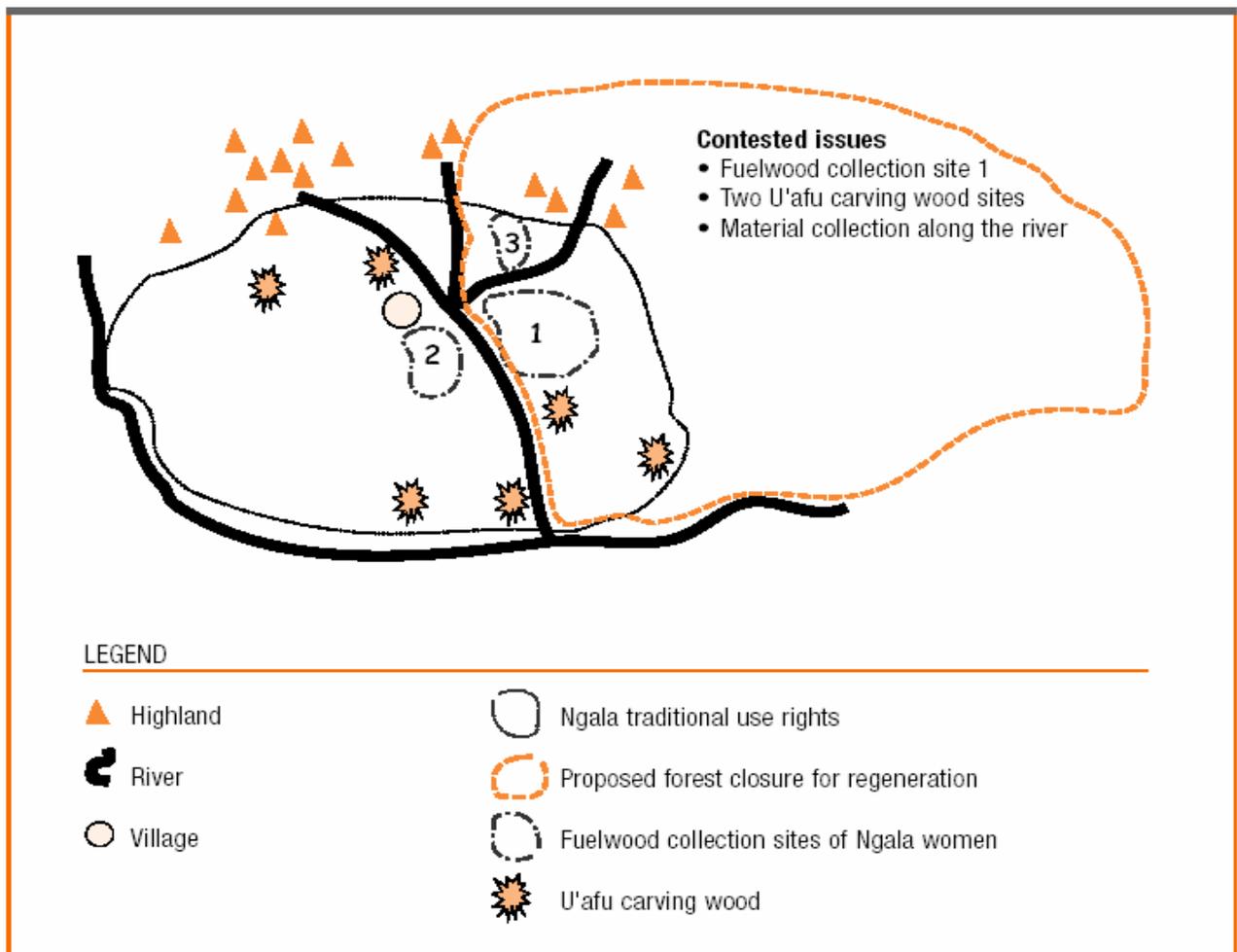
Flip chart, Coloured pens, Maps which can be drawn on the ground so that they are easier to correct and change. The final map should then be documented on paper.

Drawing maps with stakeholders can be essential in stimulating discussion and triggering new ideas about how best to solve the conflict. Maps can help clarify the conflict issues. However, mapping can also lead to tension when disagreement occurs, particularly when maps are drawn in the presence of all the stakeholders.⁹

⁹ *There are several possible approaches to preparing the map. It can be drawn directly on to flip chart paper with coloured markers. Alternatively, in some rural areas it is more effective to ask the participants to construct the map first on an area of bare ground, possibly in a village centre, using rocks, leaves, seeds, twigs, etc. as symbols for natural and human features. When the map has been completed, a few participants transfer it on to flip chart paper. The advantage of this approach is that it allows many more people to be involved in creating the map and discussing the conflict.*

Examples

The map below depicts conflicts in forest use. It identifies three areas of conflict between a forest regeneration area proposed by a watershed management committee and an area of traditional forest used by one local village community. Discussions among the local villagers identified their primary concerns as being lack of access to an important fuel wood collection site (site 1), the presence of two principal sites of carving wood within the proposed regeneration area, and the collection of housing material at an area upstream of the village along the riverbank. During preparation of the map, villagers decided that one of the fuel wood collection areas (site 3) was not crucial, and would not be disputed. In later meetings, the villagers agreed on regeneration of the upstream riverbank material site, as they came to understand that this could improve water quality at the village.



TOOL 7 STAKEHOLDER RIGHTS, RESPONSIBILITIES, RETURNS AND RELATIONSHIPS

Purpose

This tool is useful to examine the rights, responsibilities and benefits of different stakeholders in relation to the resource, as part of improving the understanding of a conflict and to examine the relationships among (or within) different stakeholder groups.

Application

Knowing the differences in stakeholders' rights, responsibilities and benefits related to a resource is often critical to understanding a conflict. Inequities among stakeholders related to these four variables often underline power imbalances and shape the relationships among groups. The 4Rs analysis is a very sensitive tool and needs careful application. It is only to be applied as:

- an internal mental model for the mediator;
- an aid for a particular stakeholder (group) preparing for negotiations, and a way of leveling the playing field among different stakeholders.

The fourth R (relationships) is often omitted in this exercise, however it is useful for a number of reasons, including:

- recognizing existing stakeholder networks that have an impact on the conflict;
- identifying potential new alliances;
- helping to identify and evaluate potential intermediaries;
- improving knowledge about the power base of stakeholders.

For preparation: Flip chart, Coloured pens, Copy Sample conflict background sheet (Attachment 4a), Prepared flip charts from Sample 4/3Rs matrix and Sample stakeholder relationships map.

When applied in rural communities, this tool may need careful explanation and guidance from the mediator, because it requires a sound understanding of specific conceptual categories. People may not always find such categorization easy.¹⁰

Steps are the following

1. Explain the purpose of the activity and the meaning of the 4Rs: rights, responsibilities, returns and relationships. Rights, responsibilities and returns are relationships that stakeholders have to the resource base include:
 - Rights - access and control over resources, as legally or informally defined.
 - Responsibilities - roles and power in relation to the management of resources.
 - Returns - the benefits and costs that a stakeholder derives from a resource, based on rights and responsibilities.
 - In addition, stakeholders have relationships among each other that are independent of the resource.
2. Ask the participants to list all the stakeholders identified in the stakeholder analysis. Then, prepare a table with three additional columns for rights, responsibilities and returns. Invite the participants to fill in the table for each conflict stakeholder. If they are reluctant to do so, or do not understand the concept, use a simple example to illustrate what each R means in practical terms.
3. The participants then construct their own matrices:

¹⁰ *The relationship diagram (the fourth R) and stakeholder identification are partially overlapping in terms of what they analyze.*

- They should first review the terms “rights”, “responsibilities” and “returns”, defining and clarifying what they themselves mean by each term, and how the terms are used in relation to the stakeholders and the forest resource. Important points of definition should be written down. Point out that it can be helpful to think of returns as being both the benefits gained and the cost or impact of a changed situation.
 - Encourage the participants to go through and describe current and actual rights, responsibilities and returns for each stakeholder group. They are to score each on a scale of 0 to 5 (with 0 meaning none, and 5 meaning high/maximum). Mention that with responsibilities there may be a difference between what the stakeholders are legally responsible for and the responsibility that they actually display. In such cases, the descriptions should reflect the policy/legal requirement, and the score for that column should reflect the reality.
 - Emphasize that the participants should complete all the columns for each stakeholder before going on to the next stakeholder.
4. Initiate a discussion around the following questions:
- What did you learn about the conflict from completing the 3Rs matrix?
 - How different are the stakeholders in relation to their rights to, responsibilities for and returns from the resource? How do differences in these factors affect the stakeholders’ levels of power or influence in the conflict?
 - How should these different factors be changed in order to reduce the conflict?
5. At the end of the discussion, introduce the second stage of the analysis, which focuses on analyzing the relationships among stakeholders:
- On a flip chart or on the ground, the participants should draw circles to depict the key stakeholder groups listed in the 3Rs matrix. (Building on previous stakeholder identification activities, participants can use different-

sized circles to depict the different degrees of stakeholder interest or influence, if they wish.)

- The participants may build on the stakeholder analysis (Core tool 3) for this exercise.
- Encourage them to discuss each of the relationships among the stakeholder groups. For example, are relationships positive and cooperative or negative and conflicting? Are relationships among groups only occasional and intermittent?
- Each stakeholder group should then be connected to the others by the appropriate line that indicates this relationship. Good relations are indicated by a straight solid green line (the thicker the line, the stronger the relationship). Where good relations are very strong, and an alliance can be formed to address the conflict, the green line is made bolder. Negative relationships are depicted with a wavy line (the more jagged the line, the greater the conflict between the two groups). After they have had a chance to do this, use the following points to initiate a discussion among the participants:
 - a. What does this activity show about stakeholder relationships in the conflict? How do the 3Rs affect the relationships?
 - b. If not mentioned, point out that interactions among stakeholders are much more complex than they may initially appear. Discuss the role of shared histories and how they affect relationships within the conflict. Also, remind the participants that relationships among stakeholders are dynamic, and change during the course of a conflict. This tool can be used to examine such change (as part of monitoring an existing conflict, or when looking back and evaluating the impacts of a conflict).
- Encourage the participants to identify potential alliances that strengthen their own positions.

- Does the analysis indicate who may be able to play the role of a trusted party to help support a conflict management process?

Examples

Sample conflict background sheet

In this example, an overseas logging company approached the national forest agency for a seven year timber concession to harvest 50 000 ha of forest that had traditionally been occupied and used by local indigenous communities. This proposal resulted in a conflict among the local communities, the government and commercial interests.

Under the country's existing legislation, all forested land belongs to the State, and the national forest agency is legally responsible for its administration and management. Prior to colonization, however, most forest areas within the country were held in some form of customary tenure by indigenous tribes. This customary tenure has never been recognized formally by the State, either during or after independence. Forest use rights and management authority have been, and continue to be, a contentious issue.

The proposed concession area lies in a remote region of the country that is poorly serviced and lacks infrastructure. The government does not have adequate funds or staff to manage the forest in this area, which has been used increasingly by migrants – refugees who have illegally crossed the border from a neighbouring country. In order to improve its control of forest use, the government has initiated a collaborative forest management programme that engages the assistance of local communities. The indigenous people have strong cultural ties to the forest and are dependent on forest products for their livelihoods. They are concerned about the migrants' burning and clearing of the forest, and have offered to work as forest guards in order to prevent the forest from degrading into open access. They have also helped a national research institute and an overseas conservation NGO to conduct an inventory of forest plants and animals and to implement special measures to protect endangered species.

The government is interested in increasing its revenue through logging royalties, and the logging company has agreed to construct a major road through the area. The road would increase access for future development and assist in patrolling the country's border and controlling the influx of refugees. The logging company has insisted that, for safety purposes, its lease should prevent local people from using the forest area. The company is also concerned about community opposition to the logging activity. The government has assured the company that, in the past, the existing collaborative

management programme has been useful in gaining the communities' assistance. It does not give local residents legal authority in making forest land use decisions, or provide them with greater access to forest areas.

Two of the three village communities (villages A and B) have opposed the logging, claiming that it would limit access to needed forest materials, food and medicines. Village A is additionally concerned that its river, and only source of drinking-water, would become polluted from the upstream logging activities.

These villages have been supported by a development NGO working on health issues in the area. This NGO is also active nationally in advocating greater recognition of forest rights for indigenous people. Members of a third village (village C) are more supportive of the logging operation. Unlike the other two villages, the sale of market produce is a key source of village C's income. It feels that the influx of loggers would reduce the need to travel to distant market areas. The increased sales and reduced costs are perceived as a boost to the local village economy.

Over a six-month period, the conflict has continued to escalate. Increasingly, members of villages A and C have been involved in heated arguments, and there has been threatened violence against forest agency staff. A national training institution with experience in the management of forest conflict has been asked to intervene and assist in mediation. In preparation for meetings among the groups, the mediator has worked with each group to develop a matrix showing stakeholders' forest rights and management responsibilities. The mediator has also recorded the perceived returns of each group from the proposed logging operation. As several of the groups felt that they would be adversely affected, they chose to record returns both as positive (gains) and negative (costs). This was followed by an analysis of the relationships among stakeholders.

Stakeholder	Rights	Rank	Responsibilities	Rank	Returns	Rank
National forest agency	Supervision Management	4	Administer timber concession Ensure annual national cut is achieved Implement biodiversity strategy to meet international commitments ¹	3	+ Royalties and logging income + New road into area - Weakened biodiversity protection in forest site	4
National department of international affairs ²	None exclusive to forest area (but powerful government office)	1	National security Immigration control	3	+ Improved access to the border	4
Logging company	7-year exclusive lease on 50 000 ha of forest	5	Road construction ³	3	+ Expected timber sales and profit	5
Village A	Unrecognized customary forest use rights	1	Continued role in day-to-day management (fire management, controlling forest entry by migrants) ⁴	5	- No further access to needed forest products	1

Stakeholder	Rights	Rank	Responsibilities	Rank	Returns	Rank
Village B	Unrecognized customary forest use rights	1	Continued role in day-to-day management (fire management, controlling forest entry by migrants)	5	- No further access to needed forest products	1
Village C	Unrecognized customary forest use rights	1	None	0	+ Increased revenue from sale of produce	3
Migrants	None	0	None	0	- No further access to needed forest products	1
National research institute ⁵	Research permit	3	Inform government of biodiversity inventory Assist forest agency with biodiversity management	3	- Inventory stopped, leaving gaps in national forest database - Weakened biodiversity protection	0
Conservation NGOs ⁵	Research permit	3	Inform government of biodiversity inventory Assist forest agency with biodiversity management	3	- Inventory stopped, leaving gaps in national forest database - Weakened biodiversity protection	0
Development	None exclusive	3	Improvement of local	4	- Increased	1

ANALYSIS OF RELATIONSHIPS FROM THE MAP

Issue: Logging company to harvest a forest area that is primary use area of Village A and B.

VILLAGE A:

Alliances with research institute, conservation NGO and village B.
Major conflict with logging company's interest to harvest forest area.
Minor conflict with village C about supporting company's proposal.
Past relationships with forest agency have been good.

VILLAGE B:

Alliances with research institute, conservation NGO and village A.
Strong kinship ties with village C.
Very little interaction with forest agency or logging company.

VILLAGE C:

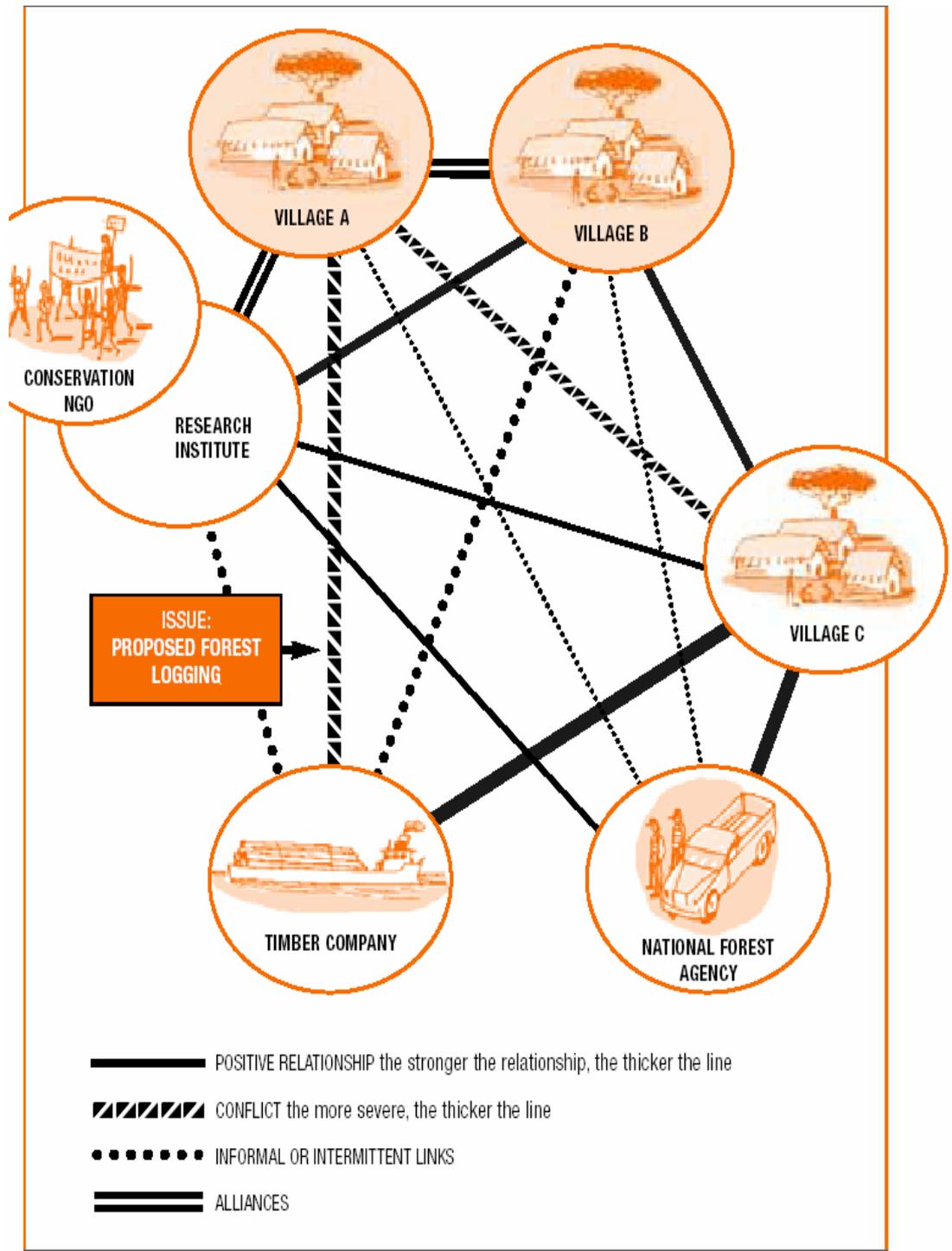
Company says it will purchase produce from village C in exchange for support of logging proposal.

RESEARCH INSTITUTE/CONSERVATION NGO:

Good relationship with forest agency through shared work on forest biodiversity strategy.
Partners with all villages in undertaking forest inventory work.
Some contact with logging company, but interaction so far has been poor.

POSSIBLE ACTIONS (to strengthen influence of villages A and B)

Use the alliance to lobby the forest agency and external stakeholders.
Village B acts as intermediary between villages A and C to renew and strengthen ties.
Research institute to present concerns of villages A and B to forest agency.
Research institute to explain concerns about logging impacts to village C.



CHAPTER 2: PHASE 2 HORIZONS-PROPOSAL-BUILDING

PNTD - OFZ Project: Phases, Expected Results and Tools

Phases	1 Views- Understanding the Actors and the Territory	2 Horizons- Proposal- Building	3 Negotiation- Mediation and Consensus Building	4 Social Territorial Agreement
Expected Results	<p>Historical trends of the territorial system analyzed</p> <p>The diversity of actors, their vision, interest and interdependencies assessed</p>	<p>Proposals for territorial development outlined</p> <p>Communication among actors improved</p>	<p>Rule of the game and negotiation platform outlined</p> <p>The consensus building process: assessing the proposals for negotiation</p>	<p>A transboundary common ground identified and institutionalized</p> <p>Requirement for the implementation of the agreement established</p> <p>Monitoring procedures outlined</p>
Tools	<p>Tool 1.Socio-territorial Unit</p> <p>Tool 2.Semi-structured interviews</p> <p>Tool 3.Community social map</p> <p>Tool 4 Land use and resources map</p> <p>Tool 5.Conflict Timeline</p> <p>Tool 6 Conflict map of Resources</p> <p>Tool 7 Stakeholders analysis-4 R Matrix</p>	<p>Tool 8 Problem analysis</p> <p>Tool 9 Strategy selection</p> <p>Tool 10 Strengths, Weaknesses, Opportunities and Threats</p> <p>Tool 11 Logical Framework Matrix</p>	<p>Tool 12 Quality Frame</p> <p>Tool 13 Pair wise Ranking</p> <p>Tool 14 Chairs</p> <p>Tool 15 Group decision making from Divergence to Convergence</p> <p>Tool 16 Collaboration Matrix</p>	<p>Tool 17 RED-IFO Model</p> <p>Tool 18 Agreements</p> <p>Tool 19 Exit strategy</p> <p>Tool 20 Monitoring and Evaluation: Approaches and criteria</p> <p>Case studies</p> <p><i>(Ghana)</i></p>

TOOL 8 PROBLEM ANALYSES

Purpose

Once the constraints of different household categories are identified, they need to be analyzed. To this end, two methods can be used, namely problem-tree analyses or root cause analysis, and problem-analysis charts.

1. Problem-tree analyses are used to systematically trace the relations of each constraint or problem to other problems in a hierarchy of cause-effect relationships, which can provide the basis for preliminary strategies and solutions.
2. Problem-analysis charts are used to present to the community all of the constraints and opportunities identified by the team and to prioritize and validate them. The team also uses this method to explore similarities and differences in priorities and interests among the community's categories and groups. This method is later used in developing potential strategies with the community. A detailed description of these methods is provided below.

Application

PROBLEM—TREE ANALYSES

This method uses available information to analyze the major problems contributing to individual constraints (in other words, the existing situation). The main causal relationships among the problems are then visualized in a problem tree, which is a hierarchical diagram of cause-effect relationships, placing causes at lower levels of the diagram and effects at upper levels. Organizing problems into a logical sequence is expected to lead to logical conclusions and eventually to the identification of effective solutions.

Constructing a problem tree should begin with the identification of major, or focal, problems, based on brainstorming and available information. To this end, “mobile cards” are used, with each participant writing down what he/she perceives as the focal problem. The term “focal problem” refers to an existing negative condition that can potentially be resolved and not to a condition with no solution (e.g., soil sodicity is a focal problem, as opposed to the non-availability of gypsum). The group

should discuss the various focal problems proposed and attempt to agree upon a single focal problem. If a consensus is not reached, then the proposed problems are arranged in a problem tree. Based on this illustration of the causal relationships among problems, the group should once again attempt to identify the true focal problem.

The next step is to identify the direct and substantive causes of the focal problem, diagramming these causes underneath the focal problem. Similarly, the direct and substantive effects of the focal problem are identified and placed above it. Additional causes and effects are then identified and diagrammed, thus creating the various levels that make up the problem tree. This process continues until participants are convinced that all of the information necessary for explaining the main cause-effect relationships has been included and that the underlying causes, or roots of the problem, have been clearly identified. The location of the problem in a problem tree does not necessarily indicate its level of importance but simply its position in a logical sequence of cause-effect relationships. Since the positions of the elements in the tree are likely to change frequently during the exercise, it is recommended that participants use pin boards or magnetic boards, or the floor, with problem boxes represented on small pieces of paper or cardboard (mobile cards).

Once the problem tree is constructed, its accuracy and completeness must be validated. At this stage, starting at the bottom of the diagram, all of the elements of the tree are reformulated into positive desirable conditions. Each problem is examined systematically to determine whether or not it can be solved through interventions by the household or the community, leading to the formulation of strategies and solutions. Problem-tree analyses may be conducted by the team members themselves or, preferably, together with the community's land users.

PROBLEM-ANALYSIS CHARTS

Problem-analysis charts depict the priority problems or constraints, their causes, the community's previous attempts to overcome them, and potential future strategies. This method uses all of the information collected and consolidated in the worksheets and that obtained through problem- tree analyses, with the stakeholders being actively involved in the entire process.

As the first step, a meeting should be held with the entire community: all household categories should be represented and the meeting should be held at a time when both men and women and various socioeconomic groups can participate. Outside experts from governmental or non governmental agencies and organizations should also be invited (e.g., extension officers, researchers, and development workers), in that although local people may have clear ideas with regard to their needs, they may lack information on the various options available. At this stage, it is extremely important that the local people be provided with appropriate information for making informed decisions about future developments and for choosing from among the options offered by outside experts. The meeting should be planned well in advance so as to ensure the participation of outside experts.

The meeting should begin with a presentation of what the team has learned and validated with the community, followed by the presentation and validation of the worksheets on constraints and solutions prepared by the various household categories. In this way, an overview of the exercise is presented to all community members, many of whom would not have participated in the initial activities, which mainly involved, households and specific focus groups. Presenting the information from the worksheets also provides an opportunity for the outside experts to learn about the local situation.

The presentation should be done with maps, diagrams and charts produced by the participants themselves and by the team. The problem-analysis chart is organized as follows. In the first column on the left, each household category's priority problems are listed. To make this list as brief as possible, the following recommendations can be followed:

- list only once those problems identified by more than one group;
- list as a single problem those that are very closely related (e.g., problems with common causes, effects and potential solutions); and
- eliminate from the list problems that cannot be solved by the community or the household. The second column lists the problems' causes, identified during the earlier steps and through problem-tree analyses; community

members and outside experts should be encouraged to provide suggestions which are incorporated. The group is then asked to explain the current strategies used to cope with the problems; these are listed in the third column. The effectiveness and the advantages and disadvantages of these strategies and reasons for developing improved strategies are then addressed, followed by a discussion of ideas for new strategies, which are listed in the fourth column as opportunities for action.

Opportunities and constraints

The materials for creating problem-analysis charts consist of the outputs produced by all previous tools, flip-chart paper, easels or other means of hanging maps and charts, markers and an outline of a problem-analysis chart.

QUESTIONS TO BE CONSIDERED IN PREPARING PROBLEM-ANALYSIS CHARTS

- Which of the priority problems are shared by different groups?
- Which of the priority problems are related?
- Has the community reached a consensus with regard to the most important problems?
- Have the outside experts identified additional causes of the problems?
- What are they?
- What are the current strategies for coping with the problems?
- What are the gender implications of these strategies?
- What are the opportunities for solving the problems?
- What opportunities were suggested by the community members and by the technical experts?
- Which of them can be implemented locally?

- Which of them require outside assistance?

Examples

A problem-analysis chart and a problem tree based on information from a production system in the Eritrean Highlands, are illustrated in Table below:

Problem	Causes	Coping Strategy	Opportunities for Action
Low proportion of leguminous crops in the cropping system, to partially cover its nitrogen nutrition requirements	Landholding too small, so that it cannot be allocated to legumes at the cost of food crops.	None available at present.	Solution beyond the scope of the community and only possible through policy changes at the national level
	The range of grain legumes is too small, and the varieties of legumes presently grown have low yield potential.	Introduction of seed from service neighbouring areas either by the farmers themselves or by extension Limited success because of lack of adaptability	Opportunities are available to enhance the productivity of legumes already grown and for the introduction of non-traditional legumes. However, the national research system should procure the material from appropriate sources and establish their suitability though applied and adaptive research. Extension service to provide technical backup and seed to farmers
	Technology options for introducing grain and other legumes into the cropping	Farmers have been innovating but their efforts are limited by the lack of awareness	Solutions based largely on intercropping are available to introduce legume

	systems, without upsetting farmers' production goals, are not available.	of the technical possibilities.	components into the traditional cropping systems. Technology developed elsewhere for similar situations may be used with little, if any, research.
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TOOL 9 STRATEGY SELECTION

Purpose

This tool is used to facilitate determining the likely scope of a project before more detailed design work is undertaken. During the process of stakeholder analysis, problem analysis and the identification of potential project objectives, this tool promotes consideration of views on the potential merits or difficulties associated with addressing problems in different ways. These issues and options then need to be more fully scrutinized to help final decision-making.

Application

The type of questions that need to be considered at this stage might include:

1. Should all the identified problems and/or objectives be tackled, or a selected few?
2. What are the positive opportunities that can be built on (i.e. from the SWOT analysis)?
3. What is the combination of interventions that are most likely to bring about the desired results and promote sustainability of benefits?
4. How local ownership of the project is best supported, including development of the capacity of local institutions?
5. What are the likely capital and recurrent costs implications of different possible interventions and what can realistically be afforded?
6. What is the most cost effective option(s)?
7. Which strategy will impact most positively on addressing the needs of the poor and other identified vulnerable groups?
8. How can potential negative environmental impacts best be mitigated or avoided?

This analytical stage is in some respects the most difficult and challenging, as it involves synthesizing a significant amount of information then making a complex judgment about the best implementation strategy (or strategies) to pursue. In practice a number of compromises often have to be made to balance different stakeholder interests, political demands and practical constraints such as the likely resource availability.

Implementation: opportunities and constraints

Nevertheless, the task is made easier if there is an agreed set of criteria against which to assess the merits of different intervention options. These criteria should represent key priorities/values among stakeholders. Key criteria for strategy selection could include:

- Expected contribution to key policy objectives, such as poverty reduction or economic
- integration
- Benefits to target groups – including women, young, disabled, etc
- Complimentarily with other ongoing or planned programmes or projects
- Capital and operating cost implications, and local ability to meet recurrent costs
- Financial and economic cost-benefit
- Contribution to institutional capacity building
- Technical feasibility
- Environmental impact
- Contribution to sustainable economic growth and development in the zone

Using these criteria will help to determine what should/can be included within the scope of the project, and what should/cannot be included.

Example

Sample decision grid

Criterion/option	Option 1	Option 2	Option 3
General achievability			
Cost and inputs			
Advantages (pros)			
Disadvantages (cons)			
Opportunities			
Risks			

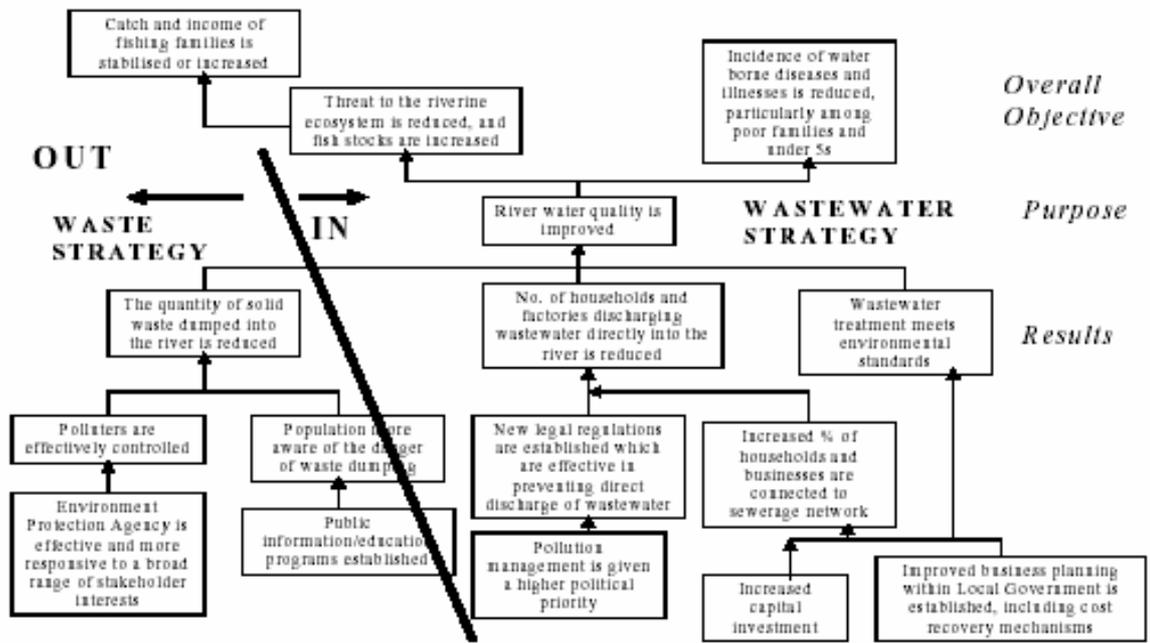
Example

The selected strategy can be used to help formulate the first column of the Logical Framework, particularly in helping to identify the project Overall Objective, Purpose and potential results.

In this example, a choice has been made to focus the project primarily on a wastewater strategy, due to:

- i. another planned project ,
- ii. the positive cost-benefit analysis of improving waste-water treatment plants and implementing cost recovery mechanisms for extending the sewerage network,
- iii. the enthusiasm of Local Government to improve its ability to plan and manage waste-water disposal systems; and
- iv. indicative budget ceilings which require a choice to be made regarding priorities for external.

Strategy selection



TOOL 10 STRENGTHS, WEAKNESSES, OPPORTUNITIES AND THREATS (SWOT)

Purpose

This tool is used to evaluate and develop strategies that can be used to plan concrete objectives and activities.

Application

Steps are the following:

1. Set the objective. What does the group want to do?
2. Ask the group members to list the strengths of the group. Strengths are internal characteristics that contribute significantly to achieving the group's objective. They may include group savings, different skills of individual members, knowledge, social networks, maturity of the group, past experiences, etc.
3. List the group's weaknesses. These are points that can make the group less effective or prevent opportunities from being taken up. They can include low levels of literacy, lack of a strong reason to work together, immaturity, tensions and conflicts, etc.
4. List opportunities in the area. An opportunity is something external that, if taken advantage of, can help achieve the group's objective. Examples are market opportunities such as tourists, new businesses, working mothers - or services/goods wanted or needed by the village.
5. List the threats. A threat can be something external to the group that has or can have a negative impact on the group. These can include existing businesses which would be competitors, changes in the number of members due to illness or death, other organizations providing similar services, changes in members' needs or market trends, etc.
6. For each opportunity and each threat, come up with a suggestion that would take advantage of the opportunity or reduce the threat.

7. Select the 4 or 5 best options as agreed by all the members.
8. For each of the options, discuss which strengths could be used and which weaknesses need to be reduced to realize this option.
9. Select 2 or 3 options which have the most strength and relatively few weaknesses.

Implementation: opportunities and constraints

Often, the simple realization of one's own strengths and shortcomings is enough to get development moving again without creating dependence on external assistance. Analyzing a group's internal Strengths and Weaknesses and the Opportunities and Threats, which may come from outside, can help in deciding what needs to be done. Strengths and weaknesses include for example what the group or individuals are good at (strengths), or not good at (weaknesses), or existing capitals/assets. They are the things that are within the control of the individual or group. Opportunities and threats are those issues which are largely but not always outside the control of the group or individual but will still have an effect either positively or negatively. For example, a new road being built may give better market access (an opportunity) or new laws may make it more difficult to start a business (a threat). In some cases a change may be both a threat for some reasons and an opportunity for other reasons.

TOOL 11 LOGICAL FRAMEWORK MATRIX

Purpose

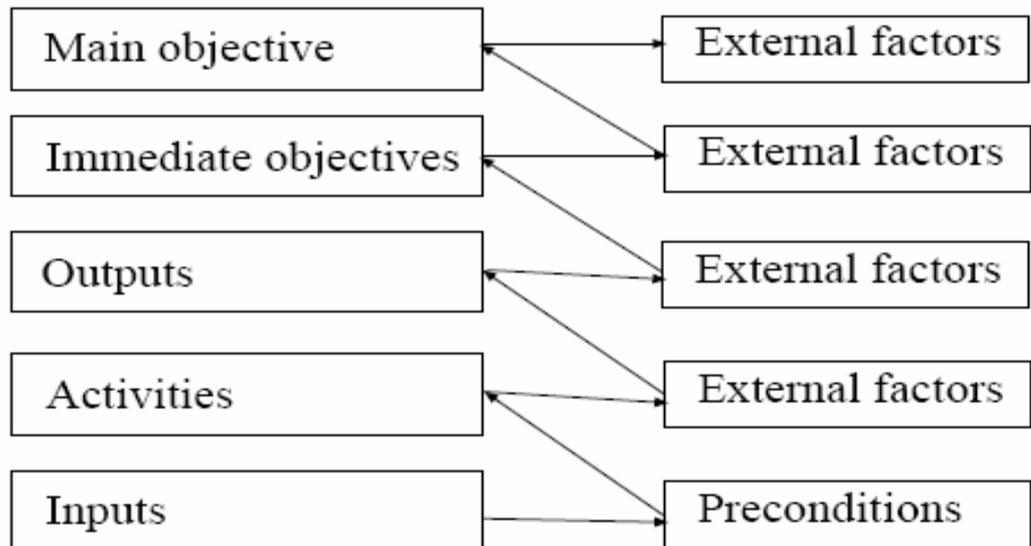
The Logical Framework guides the project preparation, and it is also used as a basis for project monitoring and evaluation.

Application

The Log-Frame approach helps to see development as a cause and effect sequence of events. These are described at the five levels depicted below:

- Main objective (or Goal, or Development Objective),
- immediate objective (or Purpose),
- inputs,
- activities, and
- outputs (or results).

Since at the stage of planning it is not clear whether any of these steps will ever happen, it can also be seen as the formulation of a hierarchy of hypotheses which will then be analyzed. Such an approach helps review the root causes of strategic problems. In summary, the log-frame approach helps build up a logical sequence of events, in such a way that: if inputs are available, then the activities will take place; if the activities take place, the outputs will be produced; if the outputs are produced, the immediate objectives will be achieved; and in the long run this will contribute to fulfillment of the main objective.



The Log frame also has the advantage of facilitating analysis of external factors and ways in which they can influence the achievement of objectives and targets; finally, it assists setting up a procedure to monitor progress, developments and assess whether revisions might be required during implementation.

Implementation: opportunities and constraints

The Log-frame approach is useful in a group whenever there is a need for fundamental change of direction in development from an original idea to a cooperative approach, or for a major re-direction of activities, including the amalgamation of ideas or even more radical changes such as questioning the appropriateness of structures and perhaps leading to its dissolution. A Log-Frame analysis includes a number of stages:

- Analysis of stakeholders, problems, overall and intermediate objectives and alternatives tree (see Tools 7, 8, 10),
- Design of activities (including inputs and outputs),
- Identification of relevant external factors,
- Setting of indicators for monitoring progress and results.

The objectives can be taken from the objectives tree. Once the objectives have been defined you can start planning a strategy to reach them. Start at the top of the matrix and work downwards, deciding on the main objective and one immediate objective at a time. If necessary reword the objectives to make them more accurate.

<p>1. DEVELOPMENT OBJECTIVE</p> <p>The higher-objective towards which the project is expected to</p> <p>(Mention target groups)</p>	<p>1. INDICATORS</p> <p>Measures (direct or indirect) to verify to what extent the development is fulfilled</p> <p>(Means of verification should be specified)</p>	<p>1. EXTERNAL FACTORS</p> <p>Important events, conditions or decisions necessary for sustaining objectives in the long run</p>
<p>2. IMMEDIATE OBJECTIVE</p> <p>The effect which is expected to be achieved as the result of the project</p> <p>(Mention target groups)</p>	<p>2. INDICATORS</p> <p>Measures (direct or indirect) to verify to what extent the immediate objective is fulfilled</p> <p>(Means of verification should be specified)</p>	<p>2. EXTERNAL FACTORS</p> <p>Important events, conditions or decisions outside the control of the project which must prevail for the development to be attained</p>
<p>3. OUTPUTS</p> <p>The results that the project should be able to guarantee</p> <p>(Mention target groups)</p>	<p>3. INDICATORS</p> <p>Measures (direct or indirect) which verify to what extent the outputs are produced</p> <p>(Means of verification should be specified)</p>	<p>3. EXTERNAL FACTORS</p> <p>Important events, conditions or decisions outside the control of the project management, necessary for achievement of immediate objective</p>
<p>4. ACTIVITIES</p> <p>The activities that have to be undertaken by the project in order to produce the outputs</p>	<p>5. INPUTS</p> <p>Goods and services necessary to undertake the activities</p>	<p>4. EXTERNAL FACTORS</p> <p>Important events, conditions or decisions outside the control of the project management, necessary for production of the outputs</p>

Express **outputs (or results)** as targets which the responsible actors should aim for. Their cumulative effect should be sufficient to achieve the immediate objective.

Activities are expressed as processes. Avoid detailing activities at this point; indicate basic structure and strategy and leave the rest to the identified responsible

actors. All outputs and each activity should be numbered such as to show how they relate to each other. Main inputs are expressed in terms of resources required: funds, personnel, time, and goods and any other pertinent “investments” required.

External factors or assumptions are conditions, outside the project control, which must exist if the programme or activity is to succeed. For all activities, the question needs to be asked whether the activity is completely under the control of the implementing actors or if there are outside factors outside the control which can prevent it being achieved. For all planned activities, make sure that external factors are described in enough detail so that they can be monitored. Examples of such external factors could be:

- that local institutions will collaborate in planning activities
- that changes in world prices can be accommodated within a given budget.

The significance of external factors should be assessed in order to indicate the chances of success. Go through the list of external factors and check their importance and likelihood of being true. External factors which are either not very important, or practically certain, should be eliminated. If the participants determine that an external factor is both very important for the outcome, but not likely to occur, then it is a killing factor. If killing factors are found, the programme or activity proposal must either be revised to avoid losses or must be abandoned.

Indicators are specified in the second column in the logframe. They determine progress, how we can measure how far the objectives have been achieved at different times. Indicators should draw upon data that is readily available, or that can be collected with reasonable extra effort as part of the administration of the project. The measure provided by indicators should be accurate enough to make the indicator objectively verifiable. An indicator is “objectively verifiable” when different persons using the same measuring process independently of one another obtain the same measurement. In the early planning stages, indicators are just guiding values. These guiding values must be reviewed again when the programme becomes operational, and, where necessary, should be replaced by indicators specific to the programme or activity

The next step is to check and specify the **means of verification**, i.e., make sure that when indicators are formulated the sources of information necessary to use them are specified (what information is to be made available, in what form and who should provide the information?). In many cases it can be useful to add a column for “means of verification” to the Logframe. Information on indicators must be accessible, reliable, simple, affordable and relevant, for the indicator to be meaningful. . It is important to note that it is advised that indicators are both quantitative and also qualitative, collected through a triangulation of tools and methods (see Tool 20 for further discussion). Wide participation in the identification of indicators and in the data collection process where appropriate is also advised to increase indicator relevance, reliability, and also engagement and ownership of the process among stakeholders.

Example

Example of a Logframe is presented below.

Logical Framework for Establishing IGAs for Women

Project Structure	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
Goal Quality of life in fishing village improved	By 2005: <ul style="list-style-type: none"> ✦ 70% houses brick built ✦ 40% houses with iron sheet roofs ✦ 90% decrease in incidence of common illnesses among fishing community ✦ 90% population able to pay local taxes 	Community records	
Purpose Income generating activities for women established	Proportion of household income generated by tailoring activities: <ul style="list-style-type: none"> ✦ 5% in Year 1 ✦ 15% in Year 2 ✦ 30% in Year 3 ✦ at least 30% in Year 4 and beyond 	Community records	<ul style="list-style-type: none"> ✦ women have control over their earnings ✦ sanitation and hygiene practices improved ✦ fishing practices improved ✦ fish catch sustainable ✦ fishermen cease migrating to other islands
Outputs 1. Tailoring group operational 2. Sewing machines owned by group	1. Group trading commercially within two years 2. Loan for machines fully repaid after 18 months	Records of tailoring group Financial records	<ul style="list-style-type: none"> ✦ trained women remain on island ✦ group works well together ✦ good quality garments produced ✦ school uniform contract renewed ✦ import duty on clothes continued
Activities 1.1 form tailoring marketing group 1.2 train women in tailoring skills 2.1 train group members in loan repayment 2.2 purchase sewing machines	1. Tailoring group: <ul style="list-style-type: none"> ✦ formed within 2 months ✦ office holders appointed within 4 months ✦ 35 women from fishing families attain proficiency in tailoring ✦ meet 3 times a week for 12 weeks 2.1 All group members attend 10 sessions (over a period of 3 weeks) 2.2 A total of 12 machines purchased within 3 months	Records of tailoring group Training records Training records Financial records	<ul style="list-style-type: none"> ✦ women attend training regularly ✦ family members supportive ✦ machines remain operational ✦ school uniform contract secured ✦ materials for sewing available ✦ payments made to group on time

**CHAPTER 3: PHASE 3 NEGOTIATION-MEDIATION AND
CONSENSUS BUILDING**

Phases	1 Views- Understanding the Actors and the Territory	2 Horizons- Proposal-Building	3 Negotiation- Mediation and Consensus Building	4 Social Territorial Agreement
Expected Results	<p>Historical trends of the territorial system analyzed</p> <p>The diversity of actors, their vision, interest and interdependencies assessed</p>	<p>Proposals for territorial development outlined</p> <p>Communication among actors improved</p>	<p>Rule of the game and negotiation platform outlined</p> <p>The consensus building process: assessing the proposals for negotiation</p>	<p>A transboundary common ground identified and institutionalized</p> <p>Requirement for the implementation of the agreement established</p> <p>Monitoring procedures outlined</p>
Tools	<p>Tool 1.Socio-territorial Unit</p> <p>Tool 2.Semi-structured interviews</p> <p>Tool 3.Community social map</p> <p>Tool 4 Land use and resources map</p> <p>Tool 5.Conflict Timeline</p> <p>Tool 6 Conflict map of Resources</p> <p>Tool 7 Stakeholders analysis-4 R Matrix</p>	<p>Tool 8 Problem analysis</p> <p>Tool 9 Strategy selection</p> <p>Tool 10 Strengths, Weaknesses, Opportunities and Threats</p> <p>Tool 11 Logical Framework Matrix</p>	<p>Tool 12 Quality Frame</p> <p>Tool 13 Pairwise Ranking</p> <p>Tool 14 Chairs</p> <p>Tool 15 Group decision making from Divergence to Convergence</p> <p>Tool 16 Collaboration Matrix</p>	<p>Tool 17 RED-IFO Model</p> <p>Tool 18 Agreements</p> <p>Tool 19 Exit strategy</p> <p>Tool 20 Monitoring and Evaluation: Approaches and criteria</p> <p>Case studies</p>

TOOL 12 QUALITY FRAME

Purpose

The Quality Frame (see the Quality Frame Table below) is a tool to assist the PNTD team and local actors in verifying potential project interventions along three key quality attributes, namely:

- Relevance – the project meets demonstrated and high priority needs;
- Feasibility – the project is well designed and will provide sustainable benefits to target groups;
- Effectiveness and management – the project is delivering the anticipated benefits and is being well managed in a timely manner.

One additional key attribute worth considering: as a separate attribute:

- Sustainability – the potential for overall long-term project outcomes and impact, which might include dimensions of institutional/management arrangements, wide eco-system and conservation considerations, favorable social and economic development matters (see below).

Application

Under each of these 3 main quality attributes are a number of key criteria (total of 16 suggested criteria presented in Table below), which indicate key issues that can be assessed in order to make judgments about the “quality” of proposed interventions.

Key factors affecting sustainability are: i) ownership by beneficiaries, (ii) policy and legal support, (iii) appropriate technology, (iv) ecosystem factors, (v) socio-cultural issues, (vi) gender equity, (vii) institutional and management capacity, and (viii) economic and financial viability.

Example

As example, a European Commission (EC) Quality frame is presented below.

- *For details on criterion 3, see the Tool 1; , Tool 2; Tool 3; Tool 4; Tool 5. and 6.*
- *For details on criterion 4; Tool 7; and Tool 8 .*
- *For details on criteria 6, 7 and 10, see Tool 9; Tool 10; Tool 11.*
- *The key factors affecting sustainability of project benefit streams in this example are integrated within this Quality Frame (criteria 11 and 15), rather than being presented as a separate column. It is advisable however to also consider sustainability as a separate attribute when appropriate. For details on sustainability factors and their monitoring, see the Tool 20.*

Quality Frame

A	<u>Relevant</u> <i>The project meets demonstrated and high priority needs</i>	B	<u>Feasible</u> <i>The project is well designed and will deliver sustainable benefits to target groups</i>	C	<u>Effective & well managed</u> <i>The project is delivering the anticipated benefits and is being well managed</i>
1	Consistent with, and supportive of, EC development and cooperation policies	6	The objectives (Overall objective, purpose and results) and the work programme (activities) are clear and logical, and address clearly identified needs	12	The project remains relevant and feasible
2	Consistent with, and supportive of, Partner Government policies and relevant sector programmes ¹⁷	7	The resource and cost implications are clear, the project is financially viable and has a positive economic return	13	Project objectives are being achieved
3	Key stakeholders and target groups are clearly identified, equity and institutional capacity issues analysed, and local ownership demonstrated	8	Coordination, management and financing arrangements are clear and support institutional strengthening and local ownership	14	The project is being well managed by those directly responsible for implementation
4	Problems have been appropriately analysed	9	The monitoring and evaluation (M&E) system and audit arrangements are clear and practical	15	Sustainability issues are being effectively addressed
5	Lessons learned from experience and linkages with other ongoing/planned projects/programmes have been assessed and incorporated into strategy selection	10	Assumptions/Risks are identified and appropriate risk management arrangements are in place	16	Good practice principles of project management are applied by EC Task Managers
		11	The project is environmentally, technically and socially sound and sustainable		

TOOL 13 PAIRWISE RANKING-

Purpose

This tool is useful to determine the main preferences, priorities, needs, constraints or problems of a person or a group on a certain subject; to compare the priorities of different groups; to enable members of a village/ community to discuss, analyze and prioritize their problems, needs and possible solutions; and to determine find out about criteria for decision-making.

A pair wise ranking (preference ranking) is done with the help of a matrix, which has two identical lists of items, one across the top and the other down the left side. Each item is compared directly against the others until they are ranked from highest to lowest. Each open box or cell in the matrix represents a paired comparison of two items or alternatives.

Application

1. Draw a matrix. Indicate the list of items you want to compare across the top (or bottom) by using symbols and the same list within the same sequence down the left side.
2. Cross out those cells which are not needed.
3. Start asking people. "What do you prefer, A or B?" and note down the answer in the respective cell.
4. Once you have received an answer, ask for the preference criteria: "Why do you prefer this one? Why is it better than the other one?" and make sure that the note-taker writes down all answers carefully.

5. Then continue with the other combinations. A against C, A against D, B against C and so on.
6. When all combinations have been asked (and all cells are filled in), count the votes each item has received in the rank column.
7. Write a list, ranking the items according to the number of preferences they have achieved.
8. Discuss within the group whether the result of the pair wise ranking reflects the opinion of the group well.

Implementation considerations: opportunities and constraints

- Which item (e.g. a problem or a project idea) out of several ones is looked upon as most important, favourable, necessary or pressing by a certain group within a village/ community?
- Which are the criteria for preferring one item to another?
- How different are the preferences between different groups within the village/ community?

Pair wise ranking is a very useful tool, criteria should be discussed and noted down. The tool can be used in groups as well as in interviews with individuals. The number of items to be ranked should not exceed 5-6. Otherwise the procedure becomes too lengthy and the concentration of the group will decrease. Pair wise ranking does not give all information which might be *needed (e.g. different importance of criteria)*.

Example:

	Irrigation system	Small dam project	Water conservation technologies	Total score	Rank
Irrigation system	X	Irrig	WCT	1	2
Small dam project	Irrig	X	WCT	0	3
Water conservation technologies (WCT)	WCT	WCT	X	2	1

TOOL 14 CHAIRS

Purpose

Conflicts during the PNTD process, including implementation, can be managed by turning them into co-operation. This tool is useful to show that there are cultural differences in handling conflict. Moreover, it may raise questions of dealing with conflicting goals and rules (imposed or self-imposed).

Application

Copies of three different instructions are prepared. You need a room without tables, but with a chair for each participant.

Explain to the participants the relevance of this exercise by referring to its objectives. Then give each participant one set of instructions (either A, B, or C), distributing equal numbers of the three different instructions. Tell them not to show their slip of paper to other participants, as this will defeat the purpose of the exercise.

- A. Put all the chairs in a circle. You have 15 minutes to do this.
- B. Put all the chairs near the door. You have 15 minutes to do this.
- C. Put all the chairs near the window. You have 15 minutes to do this.

The trainer tells everyone to start the exercise following the instructions they were given. The sub-groups cannot carry out their instructions unless they co-operate. Several 'solutions' are possible:

- Consecutively putting all chairs in a circle, then near the door, then near the window.
- Renaming the situation, by hanging two sheets in the middle of the room, on one of which is written “Window”, and on the other “Door”.
- Putting all the chairs in a circle between the door and window.
- Disobeying part of the instructions by putting one third of the chairs in a circle, one third near the door, one third near the window.
- Disobeying the instructions entirely.

This exercise has great scope for creative conflict resolution. Groups often burst into frantic action, use force and sometimes carry chairs with others desperately sitting on them to their corner. When some participants are trying to find a cooperative solution, others can be seen continuing to collect and defend their chairs. This, in its turn, frustrates the co-operators, who forget their positive intentions and join the argument.

Opportunities and constraints

Relevant questions for the follow up analysis and discussions include:

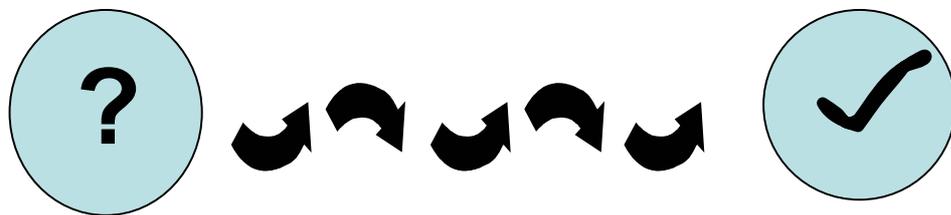
- What did you experience when playing this game?
- Did you feel that the chair you were sitting on was yours, to do with as you pleased?
- How did you relate to people who wanted something else? Did you cooperate, persuade, argue, fight or give in?

- Did you follow instructions? Why did you interpret them as you did? Did you see them as an instruction to be carried out whatever the cost and to the exclusion of others? Why?
- In what way are your feelings about instructions influenced by your cultural background?
- Has culture influenced the way you behaved in this situation?
- How would you handle this assignment if you did it a second time?
- Can you relate what happened to real situations in cooperative processes?

TOOL 15 GROUP DECISION MAKING FROM DIVERGENCE TO CONVERGENCE

Purpose

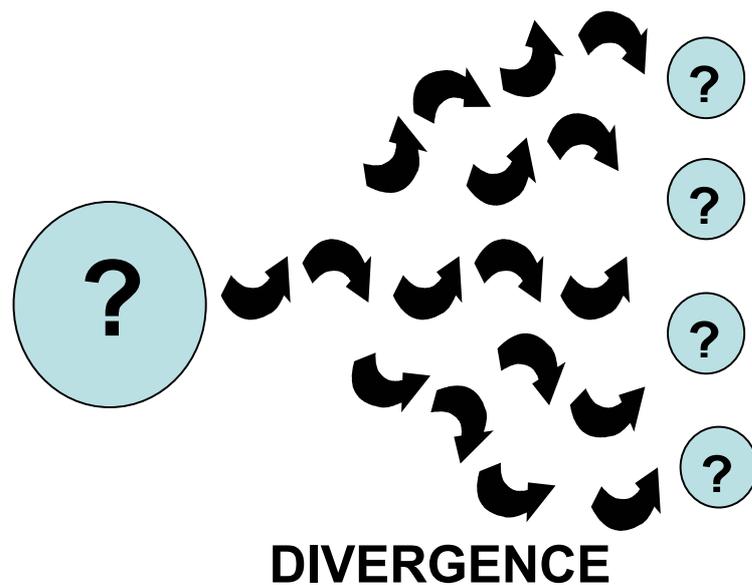
This tool is useful to PNTD facilitators for review and discussion toward improving the PNTD processes of mediation, negotiation and building convergence in perspectives among local actors. A key problem in decision-making meetings is often that everyone concerned is impatient to tackle the issue at hand and reach a resolution as quickly as possible. The quickest way to make progress from the issue at hand to the resolution seems to be to discuss the matter and decide which solution seems acceptable to all parties. As the discussions begin, it seems that people agree and the image most of us have of a discussion looks something like this.



Background discussion and application: opportunities and constraints

Each person raises a point and pursues a parallel direction of thought, adding his or her contribution to a common line of thinking. This ideal model of discussion suggests that at the end, once everyone's view has been taken into account, the decision can be taken. In this model of decision making in a meeting, we *assume* that all parties are thinking along the same line of thought.

Of course, we all know that in real life discussions do not often work this way. More often, as each person contributes, the focus becomes less and less clear. Different people seem to pursue different lines of thought, and these lines of thought even seem to get further and further away from each other.

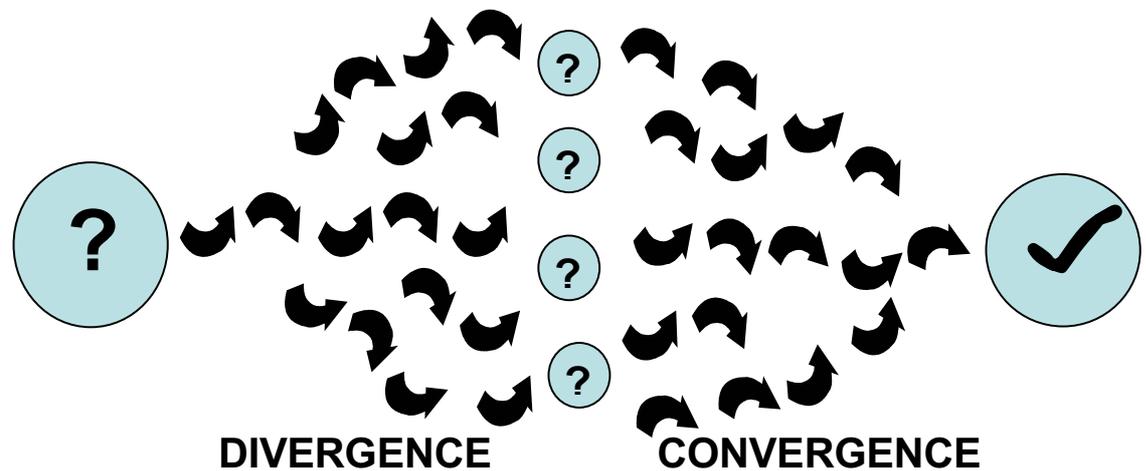


In the end it sometimes seems that the different parties are miles away from each other. A common resolution to the issue under discussion does not seem easy to reach. It might seem that this effect is an indicator of poor meeting chairmanship. And that the meeting was poorly led, allowing for the different parties to get further away from each other than they were at the beginning of the meeting. But this is usually an inaccurate description of what is going on. When there is an observed fact that people follow their own thought track and do not agree, what is happening is that as each person contributes an idea, they expose the fact that they actually disagree about many things. This process of divergence is a natural effect of sharing different ideas about a situation.

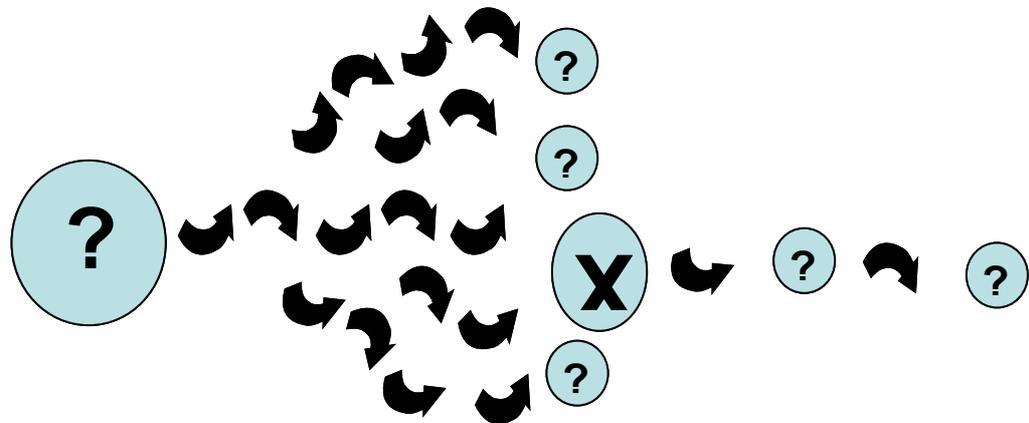
In most situations people do not initially agree on many issues. Any successful meeting allows participants in the room to air these disagreements. A successful chairperson ensures that these differences are not hidden under the carpet or swept from the table, but confronted in an appropriate way during the discussion. Meetings which enable the group to confront their differences and still come to common resolutions and produce solutions have greater potential to bear lasting outcomes. Meetings which allow differences to be hidden build up potential points of confusion and conflict for the future. This explains why a meeting may sometimes “seem” to go well, and people seem to agree, but in the end nothing actually changes and the actions discussed do not take place.

A robust and workable solution to meetings therefore must take account of this natural tendency of people to have different perspectives, interests and concerns. A model of group decision-making that takes account of what happens in real life is recommended.

To host a successful meeting therefore, it is advised to allow for a period of *divergence* in which the different ideas, perspectives and underlying concerns of the different participants are brought to the surface and explored. It is also useful to envisage a phase of *convergence* in which different contributions come together, some ideas are explored and set aside, some decisions are delayed for future consideration, others points are considered and after discussion seem to share similarities or even the same standpoint expressed in different words. Still others become part of a subtle negotiation between different parties leading to agreement (or agreement to differ). In the end, if the meeting is successful, there will be a commonly accepted resolution, based on the real and legitimate differences between the participants in the meeting.

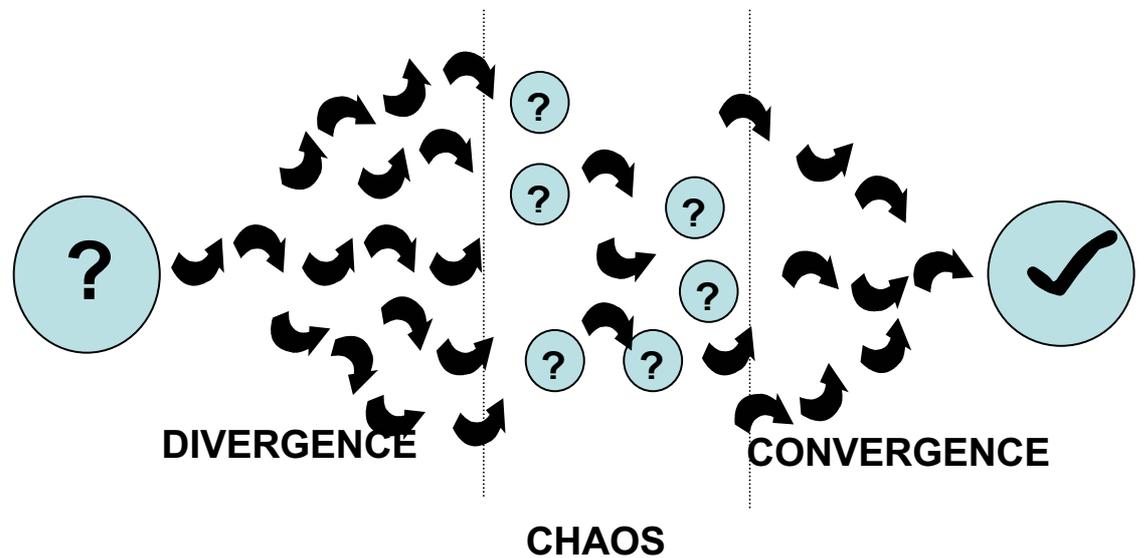


Of course, our experience of the real world shows us that many discussions do not have this simple form of divergence followed by convergence. Discussions are often long and drawn out, difficult to follow, painful to participate in. Since it is not easy to understand other people’s perspectives and points of view and due to impatience, we all expect answers to come quickly. In fact, often people express problems in terms of the absence of a solution, or that the answer is obvious and simple, and that it is ridiculous that it takes so much time and effort to reach this obvious resolution to the issue we face. The topic of discussion is familiar and we quickly check that we all (still) think along the same lines and quickly come to the conclusion. Sometimes this is true and an accurate model of the decision process looks like the figure below, with rapid convergence towards an obvious solution.



PREMATURE CLOSURE

However, caution is advised, as groups meet to discuss issues exactly because the solution is not so obvious and the situation not so familiar. In these settings, the solution will not come quickly, and a further period of exploration is needed. This almost always leads to more divergence, before convergence can take place. The impatience which leads us to seek a quick resolution and cut off the discussion is natural but dangerous. A strong chairperson may try to force the decision, taking one person's solution or imposing his/her own, which may be detrimental to seeking a lasting compromise.. This almost never is effective, leading to dissatisfaction among the participants and resolutions which do not sustain. Instead we need to embrace the confusion and struggle with the chaos and confusion. Dealing with this period of chaos is perhaps one of the most difficult aspects of group decision making, yet a most critical aspect to the success and sustainability of the PNTD process.



An effective model of group decision making therefore takes account of the natural need of individuals to share their differences and have their standpoints respected. The skills needed to deal with this period of chaos include listening and summarizing techniques, the ability to structure the discussion and ask questions which enable people to clarify their points in their own minds, the ability to mirror the ideas of one participant so that everyone understands them, and the empathy to grasp what other people mean, even if they do not say it.

Other key points of consideration for mediating toward convergence/consensus:

- *Setting the stage: confirm and refine the agenda, clarify roles, develop trust and define ground rules*
- *Providing the space for stakeholders to state their cases and talk about their interests, “framing of the issues” and “putting themselves in others’ shoes”*
- *Reframing and repeating back for clarity : to help the stakeholders to shift their assumptions and priorities, looking for mutual advantage to build collaboration*
- *Expanding options that might provide mutual gain through brainstorming, vision building*
- *Assessing options and reaching agreement on acceptable options*

NB The process and substance of negotiations must meet the needs and particular circumstances of the specific situation. It is important to remain sensitive to the dynamics of group interactions, specific circumstances and issues of equality in participation. Great care is needed, especially for external mediators who are unaware of much local history, cultural reference points, proverbs, etc.

Adapted from FAO Engel A. and Korf B. (2005) by Pożamy P. et al, (2006) Conflict Management training tools for the CBRDP in Ghana

TOOL 16 COLLABORATION MATRIX

Purpose

This tool aims to facilitate the exchange of information among interest groups, to gain mutual understanding of the strengths, interests, mandates and goals of each and the nodes of cooperation.

Application

1. Steps to design a Collaboration Matrix
2. Define the components to assess, e.g.:
 - General factors
 - Joint services to target group
 - Joint services to each other
 - Exchange of information. Joint policy influencing
3. Describe the binding and unbinding factors
4. Establish the impact of the (un)binding factors
5. Assess collaboration opportunities
6. Assess collaboration threats

The tool can be applied in multiple ways: a wide participatory approach where as many relevant actors and partners engage in the exercise jointly, or through a sectoral approach, where actors only of a similar category/type conduct the exercise.

Example

NGOs involved in Seed potato promotion and CIPA

Type of collaboration	Binding Factor	Assessment		Unbinding Factor
		+	-	
Co-ordination of information	Common objective	<===	===>	Competition in commercial activities
	Need for commercial information	<===	==>	Differences in approaches
Development of credit services	Common objective	<===	==>	Limited experience
	Strong need for credit services	<===	=>	Differences in approaches

CHAPTER 4: PHASE 4 SOCIAL TERRITORIAL AGREEMENT

Phases	1 Views- Understanding the Actors and the Territory	2 Horizons- Proposal-Building	3 Negotiation- Mediation and Consensus Building	4 Social Territorial Agreement
Expected Results	<p>Historical trends of the territorial system analyzed</p> <p>The diversity of actors, their vision, interest and interdependencies assessed</p>	<p>Proposals for territorial development outlined</p> <p>Communication among actors improved</p>	<p>Rule of the game and negotiation platform outlined</p> <p>The consensus building process: assessing the proposals for negotiation</p>	<p>A transboundary common ground identified and institutionalized</p> <p>Requirement for the implementation of the agreement established</p> <p>Monitoring procedures outlined</p>
Tools	<p>Tool 1.Socio-territorial Unit</p> <p>Tool 2.Semi-structured interviews</p> <p>Tool 3.Community social map</p> <p>Tool 4 Land use and resources map</p> <p>Tool 5.Conflict Timeline</p> <p>Tool 6 Conflict map of Resources</p> <p>Tool 7 Stakeholders analysis-4 R Matrix</p>	<p>Tool 8 Problem analysis</p> <p>Tool 9 Strategy selection</p> <p>Tool 10 Strengths, Weaknesses, Opportunities and Threats</p> <p>Tool 11 Logical Framework Matrix</p>	<p>Tool 12 Quality Frame</p> <p>Tool 13 Pairwise Ranking</p> <p>Tool 14 Chairs</p> <p>Tool 15 Group decision making from Divergence to Convergence</p> <p>Tool 16 Collaboration Matrix</p>	<p>Tool 17 RED-IFO Model</p> <p>Tool 18 Agreements</p> <p>Tool 19 Exit strategy</p> <p>Tool 20 Monitoring and Evaluation: Approaches and criteria</p> <p>Case studies</p>

TOOL 17 RED-IFO

Purpose

PNTD is a field-tested approach which operationalizes the processes of decentralization in local contexts. Decentralization is the key foundation in promoting the enabling environment in which PNTD can be successfully implemented. Decentralization policies have gained great momentum throughout Africa, creating opportunities for a plethora of actors in rural development. These developments should increase the efficiency of development policies by making them reflect the needs of citizens. Policies should be formulated on the basis of local evaluation done by those who have the most relevant information. It must be recognized that policies of centralized rural development have many risks. Taking these risks into account helps to identify a methodology for decentralization and to design a set of support policies necessary to successfully carry out the decentralization process. The Regionalization and Differentiation Methodology (RED) Information, Training and Organization (IFO) model on decentralization identifies, on the one hand, the risks associated with decentralization and on the other, methodology and support policies for managing the risks and making decentralization a tool for rural development. The model helps in the design of a more adequate decentralization policy and in the evaluation of on-going processes.

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Application

The RED-IFO model consists of regionalization with a view to meeting the needs of rural populations and ensuring policy differentiation (RED) (Risk 1); then three support policies dealing with information (I) (Risk 2); training/formation (F) (Risk 3); organization (O) (Risk 4); and finally full consultations on the modalities of the most appropriate schedule for the implementation of decentralization (Risk 5).

Regionalization and Differentiation Methodology (RED)

To overcome the first problem of decentralization (Risk 1), decentralization policy makers must create a forum for interaction between the people in development who have an overall view and policy responsibility and actors who have knowledge of local circumstances and specific project or program support proposals. This forum is the place for the formulation of a strategy for decentralized rural development promoting local actor cooperation through building on strengths of all actors; transparency; and appropriate outcomes. So that the proposed policy is not too general, it must allow for differentiation where the special problems of each region, product and type of producers can be taken in to account and the most appropriate support can be provided to local development actors. At the same time, to avoid the request by locals being too narrow, to ensure interventions are cohesive, the preferences of rural populations have to be regionalized to broaden their scope and give them an appropriate level of coordination and coherence. The combination of regionalization and differentiation facilitates the transition from centralized policies, to policies more reflective of local reality, thus maintaining sufficient coordination and coherence for development. This enables the State to direct its action through suitable policies and programs in the agricultural and rural sector, creating employment and diversification and targeting the poorest segments of the population.

Support Policies: Information, Training and Organization (IFO)

According to the RED-IFO model, for the expected impacts of decentralization to materialize, three support policies for regionalization and differentiation are necessary to facilitate access to information, training and organizational support.

The Role of Access to Information

To mitigate risks of asymmetry and promote a “leveling playing field” among actors in policy decision-making, access to information is vital. Policy measures are required to ensure access to information, including the production of relevant information necessary for the formulation of a rural development strategy, and the flow of information (of similar quantity and quality) to all actors . Access to information is critical for dialogue between the state and other actors , without which there cannot be a participatory and decentralized development strategy.

Training to avoid Institutional Voids

The technical capacity of all actors must be strengthened so that decentralization does not give rise to diminishing support services. The necessity for training is due to a shift in approach where decentralization is driven by demands of local populations, rather than the center. Without a significant training policy, decentralization might risk favoring the richest and best organized local governments and organizations, to the detriment of those that have the most need for support but do not have the capacity to formulate their demands in terms of development projects and programs. To avoid common risks of elite capture or inequities, training should be directed to municipal/district levels of government and civil society organizations based/working in rural areas

Support to the Organization and Structures of Mediation

Although the availability of information and training can mitigate risks, this may not be sufficient if there is no strong organizational base to give actors in development the possibility to participate in the design, implementation and monitoring of policies. The third support policy recommended by the RED-IFO model is support for civil society organizations, recognizing them as full interlocutors with the state.

Organizations can guarantee wide participation of rural populations in the formulation of the modalities for decentralization, ensuring that they are not formulated solely by the central government. The objectives, modalities and pace of decentralization can thus be discussed with local actors. Organizations facilitate institutional innovations that allow actors in development to actively participate in policy differentiation and in the regionalization of demands for support. It is through organizations that different social groups can become actors in their own development because they reinforce their ability to reclaim functions previously centralized. Finally, organizations function as local structures of mediation and consultation, which transform social pressure into development projects and programs. With decentralization, dialogue, mediation mechanisms, and social pressure are vehicles for constructively structuring demands and synthesizing them into a rural development strategy.

Opportunities and constraints

Decentralization requires variation of the pace of decentralization, taking into account the specific capacity of each region, each town or municipality, and each social group, to take on and develop the functions assigned to them. Overall, the RED-IFO model proposes decentralization as a gradual process of the transfer of functions, resources and decision-making powers at the rate suggested by

institutional capacity. New institutions must not be seen as instruments bringing information, training and organization to rural populations, but rather the creation of rural populations themselves, who would thus be providing the means to engage in dialogue with all their partners including the state. That is why the strategic direction of the RED-IFO model is the creation, reorganization and building of institutions. Decentralization centered on institution building would strengthen the state, improving its alignment to local realities without losing the national perspective in rural development actions. The cornerstone is the creation of institutional conditions conducive to the participation of citizens in the choice and implementation of actions affecting their future.

The model implicitly recognizes that the prospects of decentralization can only be realized if it is closely tied in with the building of democracy. The transition from supply-driven intervention to demand-driven intervention can be made through: a) ensuring the impetus of local actors in development, b) ensuring decentralization does not produce power vacuums and c) formulating a coherent, participatory. The model proposes the creation of a new alliance and development approach to sustainable and participatory rural development. PNTD is a valuable mechanism for facilitating this process.

Example

This example below shows strengths and stumbling blocks that can hinder the process of decentralization and effect the implementation of PNTD.

a) The regionalization of local demands

In Senegal, the new legislation (legal framework on regionalization, law 96-06 etc.) means that the Region (that is the new Decentralized Local Community) is in charge of development planning. In this perspective, it takes in to account the

concerns of the rural populations when drawing up Integrated Regional Development Plans.

The collective regional entity is a diligent framework for decentralized rural development policy in particular and local development in general. To reiterate the objective of grassroots democracy, the transfer of decision-making power creates administrative autonomy of local affairs, and financial autonomy introduces transparent management of local funds by elected members with the implication of civil society actors.

In this context of regionalization of local demands, the Producers Organizations (POs) (CRCOP) Regional Consultation Frameworks foreseen by the PSAOP, were constituted for coordination and harmonization of actions and perspectives of the OP with regard to development projects and training. The PO (CRCOP) Regional Consultation Framework at Regional Level was to be made up of representatives from all the POs (CLCOP) local consultation frameworks. The regional level thus represents and defends the interests of local levels. This methodology must necessarily be accompanied by the identification processes of local specificities by grassroots entities fed into global demand.

b) The differentiation of local policies

Since, all decentralization models must adopt the attitude that the satisfaction of daily needs of the population is the affair of grassroots communities (in this case the Rural Communities) when the latter are in charge of the 9 areas of competence transferred to existing communities. The objective of the CLCOP reflects the “proximity justifies relevance” logic, aiming to ensure that POs participate in local level consultation mechanisms with all actors in rural development. A wise balance between the regionalization of needs and the specification strategy is needed in order to have both a coordination unit for the

satisfaction of needs and a consideration of the different types of needs. To resolve the globalization-differentiation issue, a three pronged measure concentrating on information, training and organization is necessary to support the decentralization process in rural development.

c) Information and its circulation

A Communication plan formed an important part of the decentralization action plan produced by the Minister of the Interior in September 1998. This communication plan has the following main objectives:

- Facilitate understanding of the content of the texts on decentralization;
- Reach common ownership of the final project; and
- Develop a communication system appropriate for a rural environment.

The POs are considered as both actors and the target group in this plan and must therefore play an effective role in the diffusion of information flows be they general, economic or technical. Communication plans were designed and implemented by the POs that were made understandable with the help of pedagogical aids (slides, videos, illustrations). These facilitated understanding at the grass roots. A good information system was crafted based on good training, including on different intervention modalities by local actors.

d) Training

The National Rural Infrastructure program (PNIR), financed by UNDP/UNEP worked on strengthening the capacities of organizations and training which allowing for the emergence of autonomous rural communities able to manage local development. The training targeted the CLCOPs and the CRCOPs for the

modules addressed to POs, and in the consultation frameworks, local communities and representatives of all categories of the population. The modules of these workshops enabled actors to familiarize themselves with the practical content of their responsibility. These include special workshops of reflection, and strategic training of local actors in different negotiation and fund raising techniques for global rural decentralized development projects. The training themes provided to OPs of relevance included:

- functional literacy both for the elected local members and OP leaders ;
- production improvement techniques (i.e. maximize harvests, minimize losses etc.) ;
- group communication exercises
- management of the productive structure (technique and style)

e) Actor organization

With the installation of structures to facilitate the decentralization process, the local communities (in this case the Region and the Local Community) are in charge of managing economic development activities and must work in close partnership with the organizations of rural producers (cooperatives, GPFs, GIEs, etc.). The Local Communities involved in rural development have the responsibility over their own competencies defined in the local communities code,).on the other hand, rural producers organizations are structured vertically, from local to national level in each of the following sectors: animal rearing, agriculture artisan fishing, forestry, rural women's organizations. At federal level of POs, commercial activities are related to supply management, to production valorization to financial organization and training. At national level, the CNCR

works on the exchange of ideas on rural development in the interests of the defense of the rural world in governmental programs and finally, on the synergizing of the potential of the different actors in rural development.

With decentralization, adjustments of function of these organizations is needed in order to guarantee their dynamic and efficient intervention. For this reason, the rural councils need strategic planning strategies for their activities, an operational budget management system and mechanisms to control the execution of their tasks. Despite that, the organizations of rural producers have the advantage of being able to adapt to the demands of development the more they intervene in proximity to target populations, they suffer from a lack of professionalism, means and concerted measures to facilitate the capacity building of vulnerable groups (women, youths).

In sum, the RED-IFO's filter on the decentralization process can teach us the following:

- the decentralization policy, in place since 1990, suffers from information gaps and insufficient training of rural development actors;
- the competencies transferred do not cover all key sectors of the rural world and may require adjustments in organizational objectives and targets.

TOOL 18 AGREEMENTS

Purpose

This tool examines how to assist stakeholders in drafting the final agreement.

Application

As a mediator, it is important to be prepared with the necessary knowledge and skills to assist the negotiating parties. The voluntary participation of all key stakeholders is fundamental to a collaborative approach to managing differences of views. One group's decision to negotiate is only effective if the other parties also feel that it is in their best interest to do so. There can be many reasons why people are reluctant to negotiate, even when they are generally willing to find a joint solution. Examples include outstanding fears, major difficulties in communication, and fixed perceptions about opposing parties.

PNTD mediators need to be aware that pursuing negotiations does not necessarily imply that a party sincerely wants to reach negotiated solutions. Parties often engage in superficial negotiations for their own hidden purposes, such as leading other parties to believe that something is happening, when actually it is not, or holding out for time.

The agreement usually consists of four parts:

1. an introduction and background that introduces the stakeholder groups and the central issues that have been negotiated;
2. an outline of the resolutions that the groups created for each of the issue;
3. project proposals,
4. an implementation, monitoring and assessment plan.

The agreement should be checked for honesty, acceptability and workability according to the following guidelines.

Characteristics of a good agreement

Is it honest?

- based on best available and jointly developed information?
- built on realistic considerations of capacity and costs?
- having the assurance of all stakeholders that they will implement their parts?
- developed with the full involvement of all key stakeholders and developed through consensus?

Is it acceptable?

- Responding to felt needs and priorities and resolving any grievances that might give rise to disputes?
- acknowledging past problems, failed attempts, and addressing them?
- meeting the underlying interests and needs of the primary stakeholders?
- arrived at by a process that was perceived as fair by and to all?

Is it workable?

- providing benefits (incentives) for all implementing parties?

- not disadvantaging an excluded party?
- recognizing possible problems or changes in the future, and including mechanisms to deal with these, or acknowledging the need for renegotiation?
- building working relationships among parties through its implementation?

Strong versus weak agreements

Of course, the strength of an agreement will be shown when it is put into practice, and not in terms of how it appears on paper. For example, a partial agreement that is met in practice may be stronger than a complete settlement that is never implemented.

Confirming the agreement/s with a larger constituency: When an agreement has been drafted, the negotiation parties may want to reconfirm its acceptability with their broader constituencies. This is an important step in reaching broad support and acceptance. Before final agreement, the full support and commitment of all stakeholders must be confirmed. If subgroups that remain apart from the main group have emerged, the document needs to clarify who is, and who is not, party to the agreement.

Strong agreements are:	Weak agreements are:
<i>Substantive:</i> They define specific exchanges that everyone can touch or see (money, services, labour, etc.) as resulting from negotiations.	<i>Procedural:</i> They define the way or process by which a decision is to be made.
<i>Comprehensive:</i> They include the resolution of all the issues including dispute.	<i>Partial:</i> They do not include the resolution of all the issues.

<i>Balanced: permanent yet iterative.</i> They resolve the priority needs and issues at hand including dispute, with recognition that PNTD is a process.	<i>Provisional.</i> They may involve temporary or trial decisions that are subject to change in future.
<i>Final.</i> They include all the details in their final form. <i>In principle:</i> They include general agreements, but the details remain to be worked out.	<i>In principle.</i> They include general agreements, but the details remain to be worked out.
<i>Non-conditional:</i> There are no conditions or requirements for future performance.	<i>Contingent.</i> They state that the conclusion of the agreement depends on additional information or the future performance of one or more parties
<i>Binding.</i> They are “formalized” contracts that fix parties to certain actions (people often stick to the terms of a settlement if they understand consequences)	<i>Non-binding.</i> They make recommendations or requests only; the parties are not bound to comply.

Making the agreement public: a final point of discussion in negotiations is the extent in which the stakeholders want to make their agreement public. Depending on its nature, the final agreement may be enacted through a formal signing in front of witnesses or may require government approval. Alternatively, if the agreement affects many people, they may consider holding a more public forum. Some groups enter their agreements into the legal system in order to bind their decisions formally. Others choose to announce their agreements to the public at local council meetings or through the media.

Implementation : opportunities and constraints

Negotiations of any form are not a mechanical process. Nor are they necessarily easy. Tension, frustration and emotion will probably arise, no matter how carefully or early mediators prepare. People may enter the process slowly and fearfully. There may be uncertainty, distrust or anger towards other parties, and this may only become clear when groups meet face to face. One of the mediator's major tasks is to help build *trust* among the parties and to promote mutual learning that helps overcome strong emotions.

Those who are politically marginalized and highly dependent on the resource base may feel exposed and that they are taking a great risk. The negotiations may show both their hopes and their fears in protecting their families, friends, livelihoods and culture. While some people may be genuinely willing and committed, others may be putting on an act, deceiving or testing relationships.

Members of a group may start to feel suspicious of their representative in the negotiation process, and fear that he/she will end up taking "the other side" while their own interests suffer. This may change the whole process, causing some people to reconsider their commitment or react negatively. The outcomes for some groups are often significant, with high risks and potential benefits from the process. Understanding these realities is essential. Mediators supporting the process must understand how sensitive and serious these negotiations are for the groups involved.

Mediators must also remember that the people participating in negotiations are usually not the only ones involved in making the final decision. Parties usually represent and are responsible to wider groups of people (family, social group, community), which are their constituencies.

These constituencies must have sufficient opportunity to contribute to negotiations, and need to be kept informed about the changes or options developed during negotiations. They must also be informed about the possible solutions or agreements that come up in the negotiation process. The final proposed agreement that reaches them should not be a surprise to them.

TOOL 19 EXIT STRATEGY

Purpose

After an agreement has been signed, there may be drawbacks when parties do not comply with the agreement, elements are not clear, or relations are not well enough for people to collaborate. In non-direct dealing cultures, detailed negotiations may continue for long periods of time.

While mediators cannot solve all the problems in a community at once, he/she should ensure that the different stakeholders are at least willing to comply with the agreement and collaborate with each other, and that progress in some form made. This is the minimum requirement before a mediator can slowly withdraw from the scene. Mediators must always ultimately hand over control and ownership to the community, and should know when it is time to leave.

Application

Mediators need to develop ways of handing over the responsibility for monitoring the agreement to the stakeholders or a trusted local monitor. Mediators should also explore strategies for building communities' capacities in continuing PNTD to solve future priorities, which is an important complementary element in broader collaborative territorial development natural resource management.. How mediators withdraw from the scene depends very much on the earlier PNTD process. The following are options for exit:

1. Option 1: If the negotiation parties are very confident that they can implement and monitor the agreement by themselves, the role and function of the mediators may end when the agreement is signed. If this is so, it must be clearly communicated to all stakeholders.

2. Option 2: The conflict stakeholders may want the mediators to monitor the agreement until they themselves are confident about sustaining collaborative relationships without outside support.
3. Option 3: The conflict management process may have encouraged stakeholders to work collaboratively towards development. Mediators may help stakeholders to link up with organizations that provide assistance in these fields.

In any of the three options, the mediators need to develop a strategy, both among themselves and with the stakeholders, about possible ways forward. They should consider:

- building the stakeholders' capacity to manage smaller priorities, including resolving differences and conflicts themselves, and strengthening local capacities for monitoring, mediation, etc.;
- helping collaboration to become part of the normal way of doing things, e.g. by discussing and assessing the capacity building requirements for local development ;
- assisting stakeholders who want to start collaborative projects for development by facilitating communication and links with appropriate organizations that may assist in the collaborative planning and implementation of projects and natural resource management;
- defining ways of recognizing (benchmarks) the mediators' exit point – internally (if mediated in a team) and with the stakeholders – and the outcomes that should be achieved before the mediators leave. These benchmarks should be simple and realistic so that exit is a likely option.

Otherwise, mediators bind themselves to the community and may create dependency.

Opportunities and constraints

At this point, the mediators' commitment to and involvement in the process is over. If they have struck a lasting agreement that helps the parties to move forward and build dialogue, effective relations and provides them with a collaborative vision for the future, the mediators have been remarkably successful.

As the agreement reaches conclusion, participants may experience a range of feelings – satisfaction with the work that they have accomplished, or exhaustion, frustration, uncertainty and anger from the original dispute. Mediators need to be realistic. Although their aim is to improve relations among stakeholders and ensure commitment to collaborative agreements, negotiations can leave behind a range of uncomfortable feelings. A number of actions may be needed to mend relationships.

This process is a shared learning process. When negotiations have been effective, stakeholders may show appreciation for the agreement process. Many groups or individuals will be satisfied with the management of differences that have been disrupting their lives and achievement of goals. They may have gained new insights on their means of influencing decisions, learned new ways of managing differences and developed a better understanding and greater respect for each other's interests in the future.

TOOL 20 MONITORING AND EVALUATION: APPROACHES AND CRITERIA

Purpose

The Tools presented below consist of a proposed approaches and a set of monitoring criteria and related questions for consideration in designing a M+E system for PNTD. These criteria were used by the External Monitoring System of the European Commission during the period January 2000-December 2004, and have been slightly adapted below for PNTD purposes. This is not an exhaustive list and should be used as a “stimuli” for broader thinking on the development of mechanisms to monitor the “enforcement” of PNTD agreements.

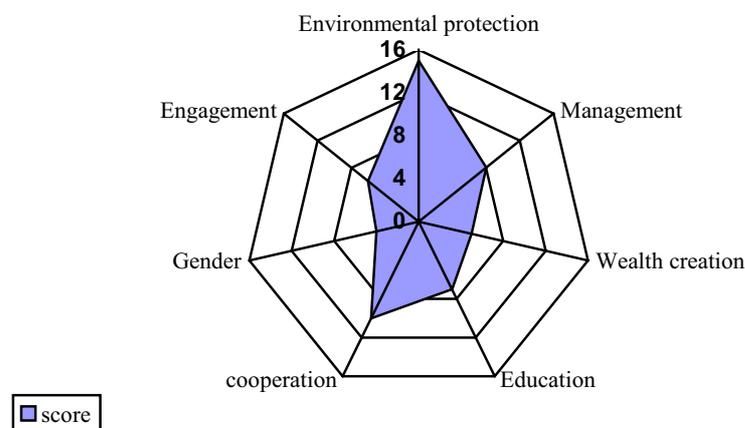
A key purpose for monitoring agreements is to track progress through a transparent and collaborative effort among stakeholders. In following the principles of PNTD and strengthening platforms of dialogue, the M+E should be participatory and foster engagement and ownership of the process by local actors.

Application

Monitoring processes of agreements should be participatory and flexible. It is useful to employ a “triangulated” approach of methods and tools in conducting M+E, including use of both quantitative and qualitative data. With the application over time of different tools such as the “spider web” self assessment tool (example below), ranking, exercises formal and informal interviews, site observations, etc., an accurate depiction of the status of the enforcement of

agreements and other pertinent variables, as well as the progress and potential for sustainable outcomes should be attainable.

Sample "spider web" self-evaluation of progress through participatory criteria selection (example from producer groups in Kompienga, Burkina Faso)



RELEVANCE AND QUALITY OF DESIGN.

Definition of relevance: "The appropriateness of project Objectives to the problems that it was supposed to address, and to the physical and policy environment within which it operated"

Prime issues

1.1. Was the original agreement design well conceived?

- Were the needs, Purpose and Overall Objectives properly defined?
- Were the planned Inputs and Activities adequate to achieve the Results, Purpose and Objectives?

- Were the Risks and Assumptions correctly defined?

1.2. How well has the project adapted during implementation?

- To different or changing needs?
- To other external changes (Risk and Assumptions either foreseen or not)?
- To correct any internal design problems?
- Were conditionalities appropriate?
- Were conditionalities respected?

1.3. How adequate (relevant) now are the following as presently defined:

- Inputs/Activities?
- Results?
- Project Purpose and Overall Objectives?
- Assumptions?

2. EFFICIENCY OF IMPLEMENTATION TO DATE.

Definition of efficiency: "The cost, speed and management efficiency with which Inputs and Activities were converted into Results, and the Quality of the Results achieved."

Prime issues

2.1. Are project Inputs:

- On time?
- At planned cost?

- Well managed on a day-to-day basis?

2.2. Are project Activities:

- On time?
- At planned cost?
- Well managed on a day-to-day basis?

2.3. Are the Results being achieved as planned?

- Have the planned Results (quantity of) to date been delivered?
- Have the OVI's (according to the FA/logframe) been achieved?
- What is the quality of Results so far?

2.4. How flexible has the project been to changing needs?

- If the Assumptions did not hold true how well has the project adapted?
- How well has the project adapted to other external factors?

For record and comment only

- Is there an implementation and disbursement schedule for the full project?
- Is there a workplan, if so how useful is it?
- Is there a system of internal monitoring already in place?

3. EFFECTIVENESS TO DATE.

Definition of Effectiveness: "An assessment of the contribution made by Results to achievement of the Project Purpose, and how Assumptions have affected project achievements."

Prime issues

3.1. Are the benefits being received by the planned stakeholders?

- Have all planned stakeholders gained access to project results/services as projected?
- Are all planned stakeholders using (benefiting from) the results/services
- How do they perceive the benefits?
- To what extent are OVI's of Project Purpose being realised?
- How good is the communication with planned stakeholders?

3.2. Are other uses or secondary effects (planned or not) of the Results consistent with the Project Purpose and Overall Objectives?

3.3. To what extent has the project adapted to external factors?

- If the Assumptions (at Results level in Logframe) have held good, how well is the project adapting to ensure the benefits to all?
- If other, unexpected factors have happened, how well is the project adapting to ensure benefits reach target populations?

4. IMPACT TO DATE.

Definition of impact: "The effect of the project on its wider environment, and its contribution to the wider Objectives summarized in the project's Overall Objectives."

Prime issues

4.1. Are the wider planned effects being or likely to be achieved?

- How far are the OVI's at the level of Overall Objectives being reached?
- How well is the project contributing to the Overall Objectives?

4.2. If there are other wider unplanned effects, are they (a) very positive, (b) positive, (c) negative or (d) very negative?

- In relation to the Overall Objectives?
- More generally?

4.3. Adaptation to external factors?

- If Assumptions at the level of Project Purpose are incorrect, how well has the project been able to adapt?
- How well is the project adapting to any other external factors?
- How well is the project coordinated with other relevant projects and donors?

5. POTENTIAL SUSTAINABILITY.

Definition of sustainability: "The likelihood of a continuation in the stream of benefits produced by the agreement/project..." Sustainability begins with project design and continues throughout project implementation. It is not an issue to be considered only near project completion.

Prime issues

5.1. What is the level of policy/legal support provided and the responsibility assumed by the recipients?

- what support has been provided from the relevant national, sectoral and budgetary policies?
- do changes in policies and priorities affect the project and how well is it adapting?
- how much support ,(political, public and private sector) is there for the project?

- do conditionalities address long term needs for support?

5.2. How well is the project contributing to institutional and capacity building?

- how far is the project embedded (owned) in local institutional structures?
- Are counterparts being properly trained for continuation of PNTD and projects (technically, financially and managerially) ?
- Are there good relations with new or existing institutions and are they capable of continuing the project flow of benefits

5.3. How well is the project addressing socio-cultural issues and taking into account gender issues?

- Does the project correctly correspond to the local perception of needs?
- What was the level of participation of the beneficiaries in design and ongoing in implementation?
- Does the project acknowledge and accept gender roles and gender related needs?
- Does it respect local customs and if changes have been made have they been accepted?
- How good are the relationships between mediators, key and secondary stakeholders and others representatives?

5.4. How well is the technology (human and technical) responding to and built on existing culture and knowledge?

- How understandable and flexible is it?
- Does it improve the living conditions of the beneficiaries?
- How well does it encourage the development of local knowledge and capacity?
- How well does it maximize the use of local resources?

5.5. Are environmental issues taken into account?

- Is the project respecting environmental needs?
- Is the project managing its environmental responsibilities?
- Are stakeholders aware of the project's environmental responsibilities?
- Has environmental damage been done or likely to be done by the agreement projects?
- How well does the project respect traditional, successful environmental practices?

5.6. Financial/economic soundness?

- Are the services (Results) affordable for the beneficiaries at project completion?
- If the Results have to be supported institutionally are funds likely to be made available?
- Are the responsible persons/institutions aware of their responsibilities?

PART 3 CASE STUDIES OF CONFLICT MANAGEMENT

The two cases studies below were developed through a field-tested pilot activity in Ghana within the framework of the Conflict Management over Natural Resources sub-programme of the FAO Livelihood Support Program (LSP). As real-life challenges confronted in the field, they provide useful and relevant examples applicable to PNTD of viable strategies and options for addressing and solving divergent views and options through processes of negotiation and mediation processes and consensus building.

Chapter 1: MANAGEMENT OF
BAWUMPILA COMMUNITY
FOREST (Ghana)

Background

Guiding questions for case study one

- Does this case study describe one conflict or several conflicts?
- Was the conflict over livelihoods, conservation or political power? How does the framing of a conflict affect the way in which it is dealt?
- How did the different stakeholders frame the conflict?
- Why do you think that earlier efforts to resolve the conflict were unsuccessful?
- Why is the way in which the mediators enter the conflict so important?
- What skills did the mediators use in organizing the conflict management process?
- What skills did the mediators use in facilitating the meetings?
- Why did some stakeholders reframe the conflict, while others did not?
- How would you have facilitated this process?
- What other conflict management approaches could have been used to deal with this conflict? Do you think that they would have produced similar outcomes? How would their costs differ?

- Do you consider this a successful case study? Why or why not?

Role playing for case study one

Select one of the facilitated meetings, choose appropriate roles (mediator, community elders, volunteers, royal family members and other observers) and conduct your own meeting. Having selected the appropriate roles, conduct a detailed conflict analysis using root cause analysis, analysis of relationships, stakeholder analysis, analysis of relationships using the 4Rs, and analysis of power, positions and interests.

Key issues

This case study focuses on a conflict over user rights to forestry resources in Kumasi region, Ghana. It illustrates how multiple claims to resources, and broader struggles over legitimacy and identity are often intertwined. In this case, the conflict over resource use coincides with a chieftaincy dispute, and solving one may also help settle the other. Because of the chieftaincy dispute, there is already latent tension in the community, which makes resource use conflicts escalate more easily. The case also illustrates how legal pluralism – customary and modern systems of land rights existing side-by-side – and competing competencies for issuing rights sometimes create or foster conditions that are conducive to conflict.

Basically, the conflict centres on the use of forestry resources. One prominent, royal family has established farms in the community forest, which is supposed to be common property for the extraction of non-timber forest products (NTFPs). The community is against the royal family's establishment of farms within the forest, because it reduces the availability of NTFPs. The key issues illustrated by this conflict include the following:

- Competition over access to resources can escalate into conflict.
- There is a lack of leadership and enforcement resulting from the failure to appoint a new chief.
- Conflict makes development agencies reluctant to involve themselves in projects based on forestry resource use.
- Collaborative, community-based forestry management requires the resolution of individual rights claims.
- Facilitation requires careful planning, command over a range of conflict management skills and tools, and considerable patience.
- It can be difficult to achieve final resolution of all issues, as some stakeholders find it difficult to shift their frames from positional to interest bargaining.

At first sight, this conflict seems to represent a win–lose case. The community wants to force the royal family to vacate the land, whereas the royal family wants to protect its source of livelihood and income, which is the farmland in the forests.

Context

About 16 percent of Ghana’s land area is managed as either forest or wildlife reserves. The remaining land is owned and managed by communities, individuals and public agencies. National policy of 1994 promotes the “conservation and sustainable development of the nation’s forest and wildlife resources for maintenance of environmental quality and perpetual flow of benefits to all segments of society”. The policy applies to both permanent forest estates and the

lands outside reserves; prior to its enactment, government officials had made no serious effort to manage forests outside the reserved lands. Indigenous owners owned the lands, but felling rights were granted by the Lands Commission, which lacked capacity for regulating forests. In 1996, the then Forestry Department assumed responsibility for regulating forest resources outside reserves. The Forestry Commission (FC) established a Collaborative Forest Management Unit (CFMU) to explore the potential of involving communities in forest management under its own supervision. Pilot programmes were initiated to find out whether communities had the necessary interest and capability to prepare management plans for their forests.

Three communities in the Assin Tosa District were supported to prepare management plans for their own forests: Bawumpila and Balumpan community forests. These were the first community managed forests in the country, and were named dedicated forests. The Ministry of Lands and Forestry (MLF) and the FC attached great importance to these pilot sites. The chiefs and elders of Assin Opropong hold the Bawumpila Community Forest Reserve in trust for the benefit of the community. It is a stool land that has not been allocated to anyone for farming and has not been alienated in any way.

The 1995 management plan contains the following statement on user rights: “As stipulated in our statutory laws, all trees and timber in Ghana are ultimately owned by the appropriate landowning stool, but they are vested in the President so that the government can manage them on behalf of the appropriate stool or landowner. Thus the naturally occurring trees in the forest are vested in the President in trust for the people of Assin Opropong. If the forest one day gains Dedicated Forest status we would like the Forestry Department to regard the regenerated trees as either planted, and therefore wholly owned by the community (who would then have the sole right to fell and sell), or to regard the

community as a type of Timber Utilization Contract holder, i.e. on payment of royalty the sole right to fell and sell the trees would be with the community” (Management Plan, 1995).

All naturally occurring NTFPs are wholly owned by the people of Assin Opropong, and are not vested in any way. The community plants additional trees to increase the production of NTFPs. According to customary law, NTFPs belong to whoever invested their labour in planting them, so these planted NTFPs belong to the community. The chief and elders can grant permits for commercial harvesting of NTFPs in return for payment.

Conflict history

In 1992, some community members asked the Forestry District Manager to help them manage their forest. Field visits were made to the community, and initial contacts and reviews were made. A small forest, which had been protected as an ancestral settlement by taboos and traditional sanctions, was being destroyed. Some youths and elders wanted to protect it, and sanctions were instituted, including a fine of one sheep for anyone who encroached. However, over time these measures were ignored, and clearing increased.

The town had been without a chief for a long time, and disagreement over which of two candidates to appoint had led to its division into two main factions. The people who first sought forest protection came from one faction of the chieftaincy dispute, so members of the other faction therefore opposed protection. At the initial meeting with the CFMU, each faction opposed strongly what the other said, no matter how useful it was. The CFMU noted that the conflict could affect the progress of its work, and therefore decided to stay away until it had been resolved. After the unit withdrew, the head of the royal family

organized a community meeting, where everyone agreed to help protect the forest as their ancestral property.

The community informed the District Manager, and a pilot programme was initiated with technical and financial support from the United Kingdom's Overseas Development Agency (now the Department for International Development [DFID]). A number of forest protection options were discussed, and finally the community agreed to prepare a management plan that was similar to the FC's management plans for forest reserves.

A volunteer team was formed. Volunteers from the community and surrounding areas were trained to carry out village surveys of trees, NTFPs and animals, and also in mapping. With support from the FC they collected data on their forests' tree, NTFP and animal stocks. The views, interests and fears of all stakeholders were also documented. This formed part one of the management plan. In part two, the information gathered was used to help design programmes for forest management. As part of the improvement programme, the community agreed that all people with food crop farms within the forest areas should leave those farms after the next harvest. Those with cocoa farms could maintain their farms for longer, during which time the volunteer team would plant trees within the farms. Eventually, all the forest cultivators had left with the exception of the Alhassa family, who are part of Opropong royalty. This family claimed that their uncle, the last chief, had given the land to them. They ignored numerous invitations to discussions about this issue.

The conflict was manifested when:

- forest cultivators uprooted planted timber trees;
- cocoa farms were extended;

- the project coordinator was taken to the police station for harassing forest cultivators;
- forest cultivators threatened to shoot any volunteer who came on to their farms;
- food crops planted by forest cultivators were being harvested by volunteers who work in the forest.

The conflict escalated. Forest cultivators uprooted the trees that the volunteers had planted. The volunteers then cut down the cocoa farms in retaliation. They also reminded the Alhassa family that there were other royal families in Opropong, and that everyone had agreed to protect the area.

The Alhassa family insisted that they had the right to farm there, and that in pursuing the forest protection issue the community was seeking to isolate them. They pointed out that all the other royal families have plots of land in Opropong, and claimed that other people had taken over their mother's lands because they were not residents of the town. Land is crucial to the Alhassa family, because farms are their source of livelihood.

After preparing the management plan, it was proposed that the area be given dedicated status so that the community could exercise managerial authority. This move has not yet received official approval, but community members are promoting its acceptance at the ministerial and parliamentary levels. Until the legal status of the forest has been clarified, all trees (whether planted or naturally regenerated within the forest) can be utilized by the community with technical advice and consultation from the FC. Once the management plan had been prepared, community elders advised the remaining forest cultivators to leave their farms. When the Alhassa family continued to claim the land as the legacy of the

prior chief, the elders alleged that the late chief did not have the right to give the land away because it was a sacred area for the entire community. The forestry volunteer team became very angry about the elders' lack of action. They decided to stop working in the forest until the elders had sacked the Alhassa family and taken over their farms.

Conflict management and resolution process

Previous attempts to resolve the conflict: Although the FC has only an advisory capacity for areas outside the reserves, it encouraged the factions to meet and resolve this issue. After the elders' efforts had failed, the CFMU tried to resolve the conflict by inviting all the stakeholders to meet with the District Forest Manager and a representative of the Regional Forest Manager. The Alhassa family walked out of this meeting because they felt that the entire community was against them. The District Chief Executive (DCE) also tried to resolve the issue. He invited all the stakeholders to discussions, but after a number of meetings the case was abandoned because the elders felt that the DCE was supporting the Alhassa family.

Later, the Lands Commission was approached to handle the issue. It started to hold meetings with the factions, and it was agreed that no further forest clearing would occur until the issue had been resolved. However, halfway through the process, the Land Commission had to abandon the case because it had no funds to visit the sites for verification. Some members of the Alhassa family unilaterally secured the services of surveyors and prepared plans of their farms. They claimed that the Lands Commission had requested this, and that therefore any resolution of the issue should be based on the boundaries that they themselves had determined (unilaterally) in 2000.

Alternative conflict management

This was the situation when the ACM process began. The mediation team first became involved in the case when a staff member of the CFMU took part in a training course on natural resource conflict management. Two other trainees joined her, and the newly formed team started to prepare for involvement in the conflict management process. The team conducted three internal meetings at which its members shared all the information that they had on the background to the conflict. They prepared an action plan (timing, objectives) for approaching the conflict and entering the community. They selected and asked the community coordinator of the volunteer team (a teacher) to make all the necessary arrangements, and sent a message informing the community about what they, as a mediation team, could do to help solve the conflict. Unfortunately, however, misunderstandings arose when the community coordinator incorrectly stated that the team was a ministry delegation. This made entry to the Alhassa family difficult, as the team was not perceived as impartial.

First round of meetings

When the team arrived, it met first with the elders of the community and then with the Alhassa family. It then informed the district forestry office about the process. During the meeting with community elders, the team members introduced themselves and explained why they had become involved and were offering their services as mediators. The elders appeared open to the team's ideas, especially because many earlier attempts at conflict management had failed. However, the head of the Alhassa family, a key figure, did not attend the meeting. The mediators explained to the elders that they would meet the other conflict stakeholders thereafter. The mediators next met the Alhassa family. Again, they explained their interest in facilitating negotiation. The family were sceptical about the success of the process, and explained their case against the community. The mediators emphasized that they were involved in training with an international

NGO, which would ensure a fair process and their own neutrality. The Alhassa family accepted this latter argument. Internal meeting: After these meetings, the team met internally to conduct a preliminary conflict analysis and assess the situation. It identified the major stakeholders and their positions.

Second round of meetings

The mediators first met the community elders and volunteers and repeated the objectives of their mission – to help resolve the conflict in a collaborative manner. They also underlined the advantages of reaching a negotiated settlement to the conflict. The mediation team used “why” and “why not” questions to examine what the elders and volunteers believed about the other party. They also used such questions to determine the elders’ and volunteers’ feelings about preferred options for resolving the conflict. One elder who was also a volunteer outlined the volunteers’ view of the conflict. When asked how the conflict could be solved, most of the people present were eager to emphasize that the forest cultivators should move out, because the land belonged to the community. Despite the mediation team’s effort to find a range of possible options, the elders considered only one: expulsion of the Alhassa family from their forest farm. When the mediators met the Alhassa family, the latter were eager to defend their position. They thought that preparation of a land registration and possession of legal documents could resolve the problem. The mediators tried to understand why the land was so important for the family and what the family’s needs were. This probing revealed that the land conflict was linked to an underlying chieftaincy dispute.

The discussion suggested the following interpretation to the mediation team:

Position of Alhassa family: We have a rightful claim to the land.

- Interest: Safeguarding the investments made in the land, and securing farmland for our children to ensure flows of revenue.
- Needs: Feeling isolated in the community; although the family have lost the throne, they at least want to secure this land.

Internal meeting:

The mediators needed to clarify the following questions:

- Who appears to hold the most extreme positions within the stakeholder groups? Who appears to be the most cooperative?
- What strategies should be employed for each of these two groups?
- What are the power relations and social networks?

Third round of meetings

The mediators tried to broaden stakeholder engagement, and contacted other individuals, e.g. witnesses in the land case, the district chief executive and other cultivators of forest land. They then met the community elders and volunteers again. The volunteers were afraid that the elders would be too accommodating because of their kinship ties to the Alhassa family. The team also met the Alhassa family again, who showed them the homes of witnesses to testify how and when the former chief had bestowed the land on the family. The mediators decided that the testimony of such witnesses would not help to move the conflict management process forward.

Fourth round of meetings

Separate meetings were conducted with each of the different stakeholder groups:

- the Alhassa family;
- women of the community;
- volunteers;
- community elders;
- some of the encroachers who had already left the land, most of whom were migrants with only weak social ties in the community.

At these stakeholder meetings, all the groups came up with a number of options for resolving the issue. The involvement of women helped to broaden the process. For example, the Queen Mother made a proposal that became the basis for a preliminary agreement later on. In addition, the separate stakeholder meetings allowed a deeper understanding of the conflict's causes and stakeholder relations.

The Bawumpila community forest is an important area for both the owners and the entire country because of its contributions to conserving biodiversity, creating jobs and preserving culture. The conflict has therefore affected a variety of stakeholders from all sides. During the conflict analysis, the different stakeholders were identified:

- Primary stakeholders: Assin Opropong community elders, the volunteer team and the Alhassa family;
- Secondary stakeholders: the Forestry Commission, District Assembly, Lands Commission and surrounding communities.

Stakeholder Description

- Assin Opropong community elders, and volunteer team Landowning community Subinso 1 and 2, Brofoyedur, Ajalo, Nsutam, Fawoman, Dawomanso, Bakaapa
- Villages that depend on the forest
- The Alhassa family Members of the royal family who have encroached
- into the forest. They are well educated and fairly rich
- The Forestry Commission Provides support to the community
- Uses issues arising from the management of this area to advise policy-makers
- District Assembly Local government authority
- Lands Commission Official body for managing all lands

Options identified

These options were analyzed with the different stakeholder groups, using the following three criteria, which were developed with the two parties separately (Good relations must be maintained, the forest must be managed sustainably. and some benefits will be provided to the Alhassa family).

- Forest farms can continue to exist within the boundaries mapped in 2000, with no further extensions.
- Share cropping (Abusa): The community (volunteer team) provides the labour, takes one-third of the harvest, and maintain the forest farm.

- The community provides new land for the Alhassa family. Mediators seek donor assistance to establish a new replacement farm for the family. In the interim, the family will harvest from their existing forest farm.
- Destroy forest farms and provides compensation to farmers.
- Destroy forest farms without providing compensation
- Forest farms can continue to exist for a set period, after which they will be destroyed to give way for the forest.
- The Alhassa family provides land and the community helps to re-establish farms. In the interim, the family harvest from its forest farms.

Fifth round of meetings

The mediators conducted two further meetings, one with the community elders and one with the Alhassa family, at which to discuss the seven options. The mediators presented the options and allowed the stakeholders to develop criteria for evaluating them. The stakeholders were encouraged to identify their “no-go” options and best alternative to a negotiated agreement (BATNA), and to rank the options on the basis of the criteria. This strategy for ranking was difficult, because the stakeholders insisted on keeping several options in mind at the same time.

The mediators then invited the community to select representatives for negotiations. Each stakeholder group was to have one representative with an extremist perspective on how to resolve the conflict. Different members of the Alhassa family were willing to accept different compromising options. This showed that the family was not a monolithic block, but a group of individuals with differing interests and needs.

Negotiation meeting

The first negotiation meeting was held outside the community, at the district office of the forestry services division. It was felt that this was a neutral location. The mediators organized transport from the community to the location. The community first met internally to plan strategy, but the Alhassa family did not. The negotiation meeting was scheduled to take three hours. It included an opening prayer, a welcome address from the district forestry manager and a self-introduction from each of the meeting participants. After setting the ground rules and explaining the objectives of the meeting, the mediators had planned to invite the different parties to state their cases. However, owing to the tense mood, they decided that it would be better for a member of their own team to present each case as it was understood by the mediators. The parties would then be able to comment on these interpretations.

The mediators presented a summary of the options, and asked the parties to add any others that had not yet been mentioned. This strategy appeared necessary in keeping tempers down.

The parties then started to negotiate over the preferred options. In the end, they agreed to take the situation in the year 2000 as a baseline – all farms started after this date would have to be removed.

This was essentially the proposal that the Queen Mother had made earlier.

After this initial agreement, there was a refreshment break, which the parties used to plan the conditions they wanted in exchange for accepting the option. After the break, the two sides started to negotiate the conditions for bringing about the agreed option. The community insisted that all cocoa trees established after 2000 were to be felled. The Alhassa family were reluctant to accept this, and asked to be allowed to maintain the food crop farms established after this date, because

they needed these for their subsistence. The community representatives were not prepared to negotiate this point further, and insisted that the fields be demarcated so that the extent of encroachment could be seen before a final settlement was reached. This demarcation was to be done multilaterally.

Demarcation exercise

During the demarcation exercise, a surveyor and representatives of the community elders and volunteers joined the mediators and members of the Alhassa family. This meant that the two sides were able to settle minor boundary disputes directly on the spot in a pragmatic manner. However, only two farms could be demarcated, because some members of the Alhassa family refused to participate in the exercise. The mediators assumed that these family members had made large investments since 2000, and were now afraid to lose these. This indicated, once again, that the Alhassa family is not a monolithic interest group, but a group of people with fragmented and partly contradictory interests. Most of the family members who attended the negotiation meeting did not fear losing much in demarcation.

Summary of achievements

- The community (both elders and volunteers) has agreed to allow farms within the forest.
- Two farms have been demarcated and surveyed.
- Broken relationships between some members of the Alhassa family and the community appear to have been restored. (The mediators were very pleased to hear a member of the family chatting to some of the elders, catching up on recent developments in the community – this had not happened for more than five years.)

What remains to be done?

At time of writing, the conflict management process is still ongoing. The challenge is how to broaden the solution to include those Alhassa family members who refused to take part in the demarcation exercise. The mediators believe that resolving this conflict should be combined with efforts to reintegrate the family into the social networks of the community, because the disputes over resource use are coupled with unresolved chieftaincy issues and fears about marginalization and social exclusion. Ideally, the process for final resolution of the conflict would be as follows:

- survey and demarcation of remaining farms;
- finalization of negotiations;
- drafting of agreement;
- seeking consensus on the agreement;
- signing the agreement;
- celebrating the agreement;
- implementing and monitoring the agreement.

Lessons learned

The case study on Bawumpila community forest reveals a number of important lessons in conflict management:

- The conflict shows how competing claims for resource use may be intertwined with wider social or political issues, such as the chieftaincy conflict and identity fears.

- When several attempts to settle the conflict have been unsuccessful, stakeholders may be suspicious or sceptical of any new intervention, and may be reluctant to commit to the conflict management process.
- The neutrality of mediators is essential. However, this can be difficult if a mediation team member has been associated with the conflict earlier, as in this case with the staff member of the FC.
- The contact person who establishes the first entry to the community needs to be carefully selected. If this person is perceived as biased, or if he/she is not competent in carrying out the task, it may be difficult to gain the stakeholders' trust.
- It is difficult to check the information about conflict causes advanced by one party with the other party, because anger can be triggered and tempers raised.
- Conflict analysis tools may be useful as mental models for the mediators when they are consulting stakeholders and probing into different issues. However, applying them in public with the conflict stakeholders can be challenging.
- Dealing with individuals holding extremist positions is challenging. When they are included, they may spoil the negotiation process. When they are left out, they may spoil the process later on when agreements are to be implemented.
- It is often difficult to keep stakeholders on track. Extremists within different stakeholder groups tend to go back to earlier struggles and continue to insist on their positions.

- It is difficult to involve stakeholders who reside outside the community.
- Creating space for restoring social or personal relationships may help to bring the process forward. For example, creating opportunities for informal conversation by placing breaks in meetings at important points allows stakeholders to plan strategy or make informal inquiries.
- It can be difficult to achieve final resolution of a conflict, as some stakeholders may refuse to shift from negotiating on the basis of position to that of interest

CHAPTER 2: MANAGEMENT CONFLICT ON THE DIVERSION OF BOSOKO RIVER IN THE AMANSURI WETLAND (GHANA)

Background

Guiding questions for case study two

- How has the introduction of the Amansuri Conservation Integrated Development Project affected the handling of the conflict? How do you think the conflict would have been handled without the project?
- How did the different stakeholders frame the conflict?
- Was this a conflict over livelihoods, communities' rights to manage their environments, or conservation? How does the framing of a conflict affect the way in which it is dealt?
- Why were the people of Gyamozo so resistant to efforts to resolve the conflict?
- Why is the way in which the mediators enter the conflict so important?
- What skills did the mediators use in organizing the conflict management process?
- What skills did the mediators use in facilitating the meetings?
- Why did it take stakeholders in Gyamozo so long to reframe their project?

- Do you agree with the way in which the “troublemaking” secondary stakeholders were handled?
- How else could their actions have been dealt with?
- How would you have facilitated this process? Do you think it was a good idea to meet initially with only one side in the conflict (including carrying out conflict analysis)?
- Do you think that the mediators were correct regarding the issue of obtaining external support for the fulfillment of the agreement? How would you have handled the situation differently?
- Do you consider this a successful case study? Why or why not?

Role playing for case study two

Select one of the facilitated meetings, choose appropriate roles (mediator, Tufuhene [traditional authority], community members from Gyamozo [one with and one without relatives in the other communities], community members from Old and New Nzulezo [one with and one without relatives in the other communities], a stakeholder from Nzulezo who has doubts about any agreement that would allow the people of Gyamozo to escape without retribution, a project administrator [separate from the mediator], and an assembly person).

Conduct a negotiation, assuming that all the parties have come to the negotiations – willingly or unwillingly. Try to reach an agreement.

As part of the conflict management process, you may want to engage in conflict analysis using root cause analysis, analysis of relationships, stakeholder analysis,

analysis of relationships using the 4Rs, and analysis of power, positions and interests.

Key issues

This wetland case shows how diverse and complex resource conflicts can be. It also demonstrates that many different benefit streams from wetland resources can be affected by conflict. The case study illustrates that even when tension is high, facilitating a process of restoring communication among the conflict parties can help to settle a conflict. It reveals the positive roles that respected traditional clan leaders or family heads can play in gaining parties' sincere commitment to finding an acceptable solution and in initiating a process whereby traditional relations can be restored constructively. It also illustrates that conflict management based on coercion and force is unlikely to be successful. Because of a difficult and troublesome history prior to the mediators' involvement, it was a long time before all the parties concerned were willing to join the negotiation table.

More specifically, the case underlines:

- how resource conflicts can negatively affect development projects;
- how difficult it may be to understand the multiple effects of resource management measures;
- how essential it is to restore communication links for finding solutions that will benefit all parties;
- how complex resource issues are, and how they involve identity issues as well as the history of social relations,

As in case study one, this case seems to illustrate a win–lose case. One village diverts a river to improve its own access. This affects communities downstream, who lose substantial livelihood resources. At first, the former party is not willing to compromise, and the latter wants the former to be punished for its illegal action.

Context

The Amansuri wetland lies on the western coastline of Ghana and is within the Eastern and Western Nzema Traditional Areas, and the East Nzema and Jomoro Districts of Western Region of Ghana. The area is about 360 km west of Accra, and its closest large urban centres are Axim and Half-Assini. Its climate is classified as equatorial monsoon, and the area lies within the wet evergreen forest zone of Ghana. The wetland and its catchments exceed 1 000 km², and consist of ten subcatchments ranging from 18 to more than 140 km². The region forms the watershed for Amansuri Lake and includes the drainage areas for several rivers, as well as the coastal floodplain north of Beyin. The wetland itself is more than 100 km²; including small areas of open water (Amansuri Lake). The region's coastal lagoon is of international importance for waders. The Amansuri wetland ecosystem features several wetland categories, and contains highly diverse species of wetland plants and animals. It is the only known swamp peat forest in Ghana, and the nation's best example of freshwater swamp forest characterized by black humic waters. The wetland has been selected as an important bird area of global significance, and preparations are under way to designate the Amansuri wetland as a Ramsar site (Wetland of International Importance).

The indigenous people in the conflict area are the Nzemas, but Fantes and Ewes fishers have settled in some of the coastal communities. The wetland falls within the Western Nzema Traditional Area, whose capital is Beyin. The landowners in the traditional area are family heads, but the paramount chief has final authority

on land issues. Land is held under a number of different systems. Family members have user rights to their own holdings. People may lease land to settlers and non-family members under a share cropping system called “abunu” or “abusa”.

There are about 19 communities around the Amansuri wetland and five within it. The main means of transport within the wetland is by boat. All the communities within the wetland depend heavily on its resources for their livelihoods. N E 211

The main occupations of these communities are fishing and fish processing, palm wine tapping, local gin (Akpateshie) distilling, farming and agroprocessing, and general trading.

The Ghana Wildlife Society (GWS), an NGO, in partnership with the Western Nzema Traditional Council is implementing the Amansuri Conservation Integrated Development (ACID) Project in the Western Nzema Traditional Area’s portion of the Amansuri wetland. The ultimate situation envisaged by the project is a conserved wetland system where ecological functions and scenery are maintained alongside low-impact resource use, based on the principles of sustainable management.

Conflict history

Two major and three minor rivers drain into Amansuri Lake. The Bosoke is the largest of these and serves as the shortest access route from Old Nzulezo to communities such as Gyamozo and New Nzulezo within the wetland. The people of Old Nzulezo also use the river as a route to their farms and palm wine tapping and alcohol distilling areas. The Bosoke river is the main access route to the Half-Assini-Sameneye main road from Gyamozo to New and Old Nzulezo. It is about 2 km from Gyamozo to the banks of the Bosoke, and the people of

Gyamozo normally wade through the swamps for that distance before boarding their boats. During the rainy season, it becomes virtually impossible to walk through the swamps, owing to flooding.

Between late 2001 and early 2002, the people of Gyamozo diverted part of the Bosoke river through a natural channel. This enabled them to avoid having to wade through the swamps, but drastically reduced the volume of water flowing into Amansuri Lake. The Bosoke has been the only major river flowing into the lake since the people of Sameneye diverted the other major river, the Ajevula, some 25 years ago.

In March 2002, the people of Nzulezo who were affected most by the diversion informed the people of Gyamozo of its effects, and asked them to restore the river to its original course. However, nothing was done. The elders of Nzulezo then reported the case to the ACID Project Management Committee (PMC), as the diverted area fell within the community nature reserve that had been established by the project. In May 2002, the PMC asked three of its members (the chief of Old and New Nzulezo, the assembly person of Beyin electoral area and the ACID project manager) to resolve the conflict by visiting the diversion site and Gyamozo. The site was visited, but the people of Gyamozo refused to meet the three PMC members on two occasions. When the people of Nzulezo realized that the PMC's intervention was not addressing their interest; they issued threats and ultimatums to the people of Gyamozo, insisting that they redirect the Bosoke.

In August 2002, the PMC reported the case to the Jomoro District Assembly (JDS), under whose administration the conflict area falls. Existing assembly by-laws prevent the diversion of natural watercourses without authorization. However, even after several attempts, JDS could not resolve the issue. Two

police officers accompanied JDS staff to Gyamozo, but the villagers had left in advance in order to avoid confrontation with the police. When the assembly sent police officers on a second occasion, there were quarrels in New Nzulezo between relatives of the people from Gyamozo and the police. In January 2003, renewed tensions were reported when an Old Nzulezo resident almost shot dead a Gyamozo resident because the latter did not allow the former to tap palm wine in the traditional area. The person from Old Nzulezo argued that palm tapping had been banned in the areas traditionally used by people from Old Nzulezo in retaliation for the river diversion. Quarrels and violence between people from the two villages seemed to be breaking out over the most minor issues. Some people from Old Nzulezo said that “if the assembly cannot solve the problem, we will solve it in our own way” (meaning by force).

Conflict management and resolution process

It was in these highly charged conditions that an ACID staff member suggested using a collaborative approach to resolve the conflict.

Preliminary conflict and stakeholder analysis

First, ACID staff members who had assumed the role of mediators conducted an internal meeting to assess the current situation in the area. They determined who the stakeholders were and planned a strategy for entering the conflict setting, including whom to contact first. This newly formed mediation team planned to meet the Tufuhene, the second in command in the chief system, who lives in New Nzulezo. The team recognized that, as staff members of ACID, they were secondary stakeholders because the conflict was having a negative effect on the work of the project.

Stakeholder consultation

During the first field visit, the mediators met the Tufuhene to obtain permission to mediate a settlement to the conflict. The Tufuhene agreed to this, but expressed his doubts that the people of Gyamozo would do the same. He fixed a date for a community meeting. The mediators then planned to meet people in Gyamozo, and contacted an elder in New Nzualzu, who sent a message to Gyamozo. However, the people in Gyamozo were not willing to accept the mediators and did not attend the meeting. The mediators presumed that some people in Gyamozo perceived them as biased because of their earlier involvement in the conflict as ACID staff members. After this failure, the mediators invited people to conduct a root cause analysis in Old Nzualzu.

Primary Secondary Interested Parties

- * Old Nzulezo
- * New Nzulezo
- * Gyamozo
- * Beyin
- * Ghana Wildlife Society
- * Jomoro District Assembly
- * Miegynla
- * Ngelekazo
- * Ekebaku
- * Ebonloa

Two opinions emerged as potential reasons for people in Gyamozo to divert the river: 1) to secure access in times of flooding; and 2) to destroy the palm wine, which some people from Old Nzulezo obtained from nearby forests. By diverting the river, these palm wine resources would virtually dry up, and reduced competition in palm wine production would enhance the value of products from Gyamozo.

The mediators then conducted an effect analysis of the river diversion, and identified more stakeholders, such as farmers whose fields became inundated, and fishers from neighbouring Beyin who could no longer fish in the dried out wetlands. The mediators realized that families from Old Nzulezo, New Nzulezo and Gyamozo had kinship relations. Many people in New Nzulezo, although affected by the river diversion, continued to have close relations with their relatives in Gyamozo. The mediators then divided the stakeholders into two groups depending on how they were affected by the river diversion. One group was comprised of farmers, fishers and traders, and the other of tappers and distillers. When the mediation team returned to New Nzulezo it met separately with farmers, palm wine tappers and alcohol distillers. This allowed the mediators to improve their understanding of the different ways in which these stakeholders were affected.

Stakeholder engagement

The mediators presented their preliminary findings at a public meeting in Old Nzulezo. The initial response from villagers was that Gyamozo should redirect the river and should be punished for having diverted it in the first place. After the analysis, they realized that sticking to this position would not help them. At the end of the meeting, the people of Nzulezo softened their position and suggested that the only way to bring the people of Gyamozo to negotiate and resolve the conflict was to ask the elders of New Nzulezo (who had good relations with Gyamozo) to convince them to attend a negotiation meeting. In the meantime, Old Nzulezo villagers were the ones to suffer most from the river diversion. They were ready to meet the other party and negotiate a settlement of the issue.

The mediators then explained that they would meet with the people in Gyamozo to increase their readiness to negotiate with Old Nzulezo. Three moderate elders from Old Nzulezo then accompanied the mediators to meet with elders from

New Nzulezo. The New Nzulezo elders readily agreed to ask the people of Gyamozo to come to their community for a meeting.

However, the people of Gyamozo had already refused several times to become involved with the mediators. The family head of New Nzulezo sent a linguist to the community to invite its members to meet on common ground. Such an invitation has very strong traditional implications. Subsequently, three men from Gyamozo attended this meeting. They were all palm wine tappers, although the mediators had asked that a range of different stakeholders came from Gyamozo. The representatives from Gyamozo explained that they wanted access to the road. Overall, they presented their case in a moderate way, arguing that access to their village would be extremely difficult during the rainy season. They stated that they did not aim to destroy the livelihoods of their brothers, but they urgently needed road access.

The mediators asked them whether they were aware of the effects that the river diversion had had on the other communities, and showed them the effect analysis. The people from Gyamozo responded that they had not been aware of the severity of these effects. At this stage, the family head of New Nzulezo confronted them with the difficult situation in Old Nzulezo and explained that its people now suffered from access problems, in addition to the destruction of their livelihoods. At the end of the meeting, the mediators asked the participants whether they would be prepared to negotiate if nobody from the police or assembly was present, and suggested New Nzulezo as neutral ground.

After this meeting, the mediators analysed the situation. They realized that people would recognize ACID staff members who had been involved in the conflict earlier, and would perceive them as biased. So, the mediators invited a third

person to join as the lead mediator. This person had not been involved in the conflict before.

Negotiation meeting

During the meeting, the mediators allowed each party to make its statement. Although the mediators had asked the two parties to send ten representatives only, a huge crowd was gathered in the surrounding area. Ground rules were very effective, partly because the Futuhene and family head were present, as well as a representative of the assembly. The representatives from Old Nzulezo made their case first. They came up with their position and took a hard line (“redivert the river and face punishment”). The family head cooled tempers by pointing out that the two parties had met to negotiate, not fight. The representatives from Gyamozo stated that they were happy with what they had done. They then brought up an old story in which the incumbent chief had not enforced action against individuals who had broken resource use rules, which had been to the cost of people in Gyamozo. This, they claimed, gave them legitimacy to break the rules as well. At this stage, the family head brought the situation under control again. The mediation team presented the results of the effect analysis, as well as a relationship diagram emphasizing the kinship relations across the village divides. They invited the two parties to consider a solution that was acceptable to both.

Various people started to make suggestions. People from New Nzulezo argued that the river should be rediverted. They discarded the arguments about the old case, and insisted that the issue should be resolved. When the mediator asked “who owns the place?”, all the stakeholder representatives fell quiet and looked down, it had really hit them. The family head replied that nobody owns it, but everybody has access to use its resources. The site is for all three communities. One person from Gyamozo said: “We have done more harm than good. We did not understand the seriousness of the effects. So, we should redivert the water. If

there is a funeral in Old Nzulezo, we cannot go because of this issue”. This was a turning point in the negotiation process, and other people from Gyamozo agreed with this statement. Once general agreement had been reached that a redirection was essential, the family head suggested that the three communities should work together to restore their relationships. One person from Old Nzulezo raised the issue that the access problem to Gyamozo still needed to be solved. The meeting agreed that a footbridge should be constructed. The mediators asked both parties to select representatives to finalize the detailed agreement.

Troubles

After this meeting, some palm wine tappers, mainly young men, from Old Nzulezo started to talk badly about people from New Nzulezo. The mediators returned to Old Nzulezo to clarify the issues. Some people complained that they were contributing to the river redirection and building of the footbridge, even though the problem was Gyamozo’s. The proposed solution had created resentment. The mediator realized that there had been a miscommunication about the negotiation meeting’s process and outcomes, and clarified these issues. As a result, some young men went on to develop additional ideas for joint work with the other communities to restore relations. When some people realized that there had been miscommunication, a dispute arose in Old Nzulezo. The mediators then learned that a powerful stakeholder from outside the village had influenced some people to pass on misinformation about the negotiation meeting and its outcome. They decided to resolve the issue at a community meeting with representatives from New Nzulezo and Gyamozo. At this meeting, those who brought the misleading message were confronted. The family head warned them against fuelling conflict, and new community representatives were selected.

Draft agreement

At a subsequent meeting in New Nzulezo, the parties agreed on the procedure to follow – first construct the footbridge and then redivert the water. They acknowledged that the agreement involved costs for materials, a chainsaw operator, fuel and labour, and asked the district assembly and the ACID project to provide funds for the bridge construction. The agreement is now being drafted. However, no development funds have yet been raised, and so the parties are unable to implement it. In the meantime, the negative effects continue.

Lessons learned

In particular, this wetland case study shows the following:

- Trying to resolve conflicts can be difficult when there is a history of coercion, violence and distrust.
- Mediators need to be careful about how they enter a conflict, and aware of how their initial entry may influence stakeholders' views of them. In some situations, mediators' involvement as stakeholders in the situation may influence how they are regarded, especially in terms of being biased or unbiased. It is possible for mediators to undermine their own credibility, even when they have very good intentions.
- Traditional leaders can be important in helping mediators to develop local trust and in establishing a positive atmosphere for negotiations.
- A resource conflict can affect various stakeholders in very different ways. Stakeholders from outside the immediate conflict location may also be affected.

- When working to restore relations among conflict parties, building on existing kinship links can be a helpful way of increasing conflicting parties' willingness to consider each others' situations. This also makes it easier to find common ground in negotiations.
- When one of the primary stakeholders is unwilling to negotiate, it may still be possible to carry out worthwhile conflict management processes with the other primary and secondary stakeholders. Strategies and tools such as participatory conflict analysis may give the parties important insights, which help them to consider ways of reframing the conflict. Such processes may also give the mediators significant information about the conflict. However, when not all the stakeholders are involved, mediators must always bear in mind that they are obtaining only a selected framing of the conflict. They must always obtain information about the missing stakeholders' framing of the conflict.
- Some stakeholders, including secondary ones, may perceive their interests as threatened by a conflict management process, and may act deliberately to undermine it.
- Agreements that depend on external funding or resources for their resolution require special care. It should not be assumed that such support will be easily or automatically forthcoming after agreement has been reached, unless firm commitments have been obtained beforehand. If this is not the case, the agreement is highly vulnerable to collapse (indeed, it may have been obtained under false premises if disputants were given the impression that resources were available when they were not).