FRAME TOOLKIT

FRamework for
Assessing,
Monitoring and
Evaluating
the environment in refugee-related operations

**Module IV
Community Environmental Action Planning**

UNHCR
United Nations High Commissioner for Refugees
Haut Commissariat des Nations Unies pour les réfugiés

care

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ACRONYMS

CEAP	Community environmental action plan
EA	Environmental assessment
EMG	Environmental Management Group
EWG	Environmental Working Group
FRAME	Framework for Assessing, Monitoring and Evaluating the Environment in Refugee-related Operations (Project)
IDPs	Internally Displaced People
IP	Implementing Partner (of UNHCR)
GIS	Global information system
GPS	Global positioning system
PRA	Participatory rural appraisal
REA	Rapid environmental assessment
UNHCR	United Nations High Commissioner for Refugees

1.   INTRODUCTION

1.1   COMMUNITY INVOLVEMENT AND RESPONSIBILITY IN ENVIRONMENTAL MANAGEMENT

It is widely recognised that the establishment of camps and settlements for refugees and internally displaced people (IDPs) can and often do have significant impacts on the environment, as well as on the social and economic structures of a given region. For example, the use of natural resources such as water and fuelwood often increases dramatically at such times. This, in turn, can lead to local shortages and contribute to processes such as soil erosion, loss of biodiversity and disrupted ecosystem services. Wastes are produced which, if not adequately managed, can cause water and air quality problems that can in turn affect the health of refugees, IDPs and members of host communities.

Environmental issues, however, are not the only concern at such times: the social and economic impacts of refugee camps and settlements can also be serious, occasionally again fuelled if there is competition for use of local natural resources between refugees and the host communities.

Preventing such incidents is therefore of the utmost importance. UNHCR has, through experience, learned to appreciate the importance of ensuring that communities – affected refugees and IDPs as well as local inhabitants and authorities – are involved to at least some degree in decisions relating to the siting, development, management and closure of camps and settlements, as well as with regards large numbers of refugees returning to their countries of origin. The more involved such people are in decisions, the better and more sustained the results – at least when this concerns the management of natural resources. This approach, however, is not always simple and may be time-consuming, but when it can be applied, the results are worthwhile. Decisions may therefore have to be taken in some situations as to the extent to which community involvement can and will be encouraged and enabled.

The purpose of this Handbook is to **provide guidance on the use of participatory approaches to enhance environmental management** in camps and settlements, in returnee operations, and for use with local, host communities.

The Handbook has been produced as part of the FRAME (Framework for Assessing, Monitoring and Evaluating the Environment in Refugee-related Operations) Project, to support the use of environmental assessments, monitoring systems and evaluations – all key tools to be used in UNHCR's management programmes for refugee, IDP and returnee operations. Like other modules of this Toolkit, this Handbook is intended primarily for use by field staff of implementing agencies and UNHCR, and by representatives of refugee and host communities.

1.2   COMMUNITY PARTICIPATION IN ENVIRONMENTAL MANAGEMENT

1.2.1   Is community participation really necessary in refugee and returnee operations?

Many organisations cling to their tradition of operating in a top-down fashion, issuing instructions to staff and setting rules and regulations for people to follow. This may still have its place, of course, but there is increasing awareness of the need to use bottom-up approaches to supplement the more traditional or institutional ways of working, that is by involving local people and communities in decision-making and management processes. In some circumstances, bottom-up approaches can even replace previous ways of operating.

The problem with top-down approaches in situations such as refugee, IDP and returnee operations is that the people who may depend on natural resources are often not involved in decisions taken about how such resources might be managed. Decisions made in that way will usually lack the insight that resource-users naturally have, which commonly creates new problems without necessarily solving the old ones. Also, people will naturally be more committed to implementing new ways of doing things if they understand why changes are needed, and have had a say in designing the new practices.

Involving people who use resources, as well as those who are affected by environmental and social impacts associated with refugee camps and settlements, thus makes for better management. Such people can provide local information and traditional knowledge and they can help design management measures that will be acceptable to the resource users and the wider community. For these reasons **local participation** is one of the four key principles underpinning UNHCR's Environmental Policy, the others being: **an integrated approach**, **prevention better than cure**, and **cost-effectiveness and net benefit maximisation** (UNHCR 1996, 2005). Depending on circumstances, local participation can mean the refugee or IDP community, the local host community, or both sets of communities working together to resolve common problems, take early preventive actions and help reduce or avoid conflict.

In addition to these clear benefits, participatory planning and management processes with regards environmental management may also produce other – perhaps less obvious – benefits for refugee communities (Box 1).

BOX 1. SOME BENEFITS FROM REFUGEE COMMUNITIES AND OPERATIONS

The refugee existence is one marked by radical disruption of social, economic and cultural life, and enormous uncertainty about the future. In the early days, refugee needs are provided for by UNHCR or its implementing partners; later, the refugees may have an opportunity to practice agriculture and become more self-sufficient. However, uncertainty still exists about how long families may stay in a particular settlement and this will inevitably affect decisions about planning for the immediate future: what to plant, how much effort to put into improving land for crops or grazing, and so forth. It will also affect attitudes to long-term management of land and other resources – if a family is likely to be moving in a couple of years, why should they worry about planting trees to offset erosion?

Overcoming short-term thinking and the other consequences of facing an uncertain future – such as requiring immediate reward or payment to be involved in any community-oriented activity – is likely to be one of the hardest tasks experienced in developing environmental management processes among refugee communities.

The development of a participatory environmental management process in a refugee settlement can, however, be seen as a strategy for helping refugee communities to cope with the problems of uncertainty. It provides one way in which they can start to develop a sense of belonging (a sense of place), and a sense of social responsibility for the area and its resources, including respect for the local population and its resource needs. The concept of 'stewardship' is a useful one to consider promoting, as it implies that current occupiers of a locality will eventually make way for someone else. Until then, however, the present stewards have a social duty to care for the resources of that area.

There are even wider benefits of community-driven environmental management, beyond the environmental aims of the process, including an array of social learning benefits: learning to work with others again to achieve common goals; learning about personal responsibility for some of the problems being addressed; learning about the ways decisions can be made in communities that respect different perspectives and values, and so forth.

1.2.2   **When are participatory approaches appropriate?**

UNHCR's Environmental Policy is based on an integrated and proactive approach, which means that environmental considerations should be incorporated into all phases of planning for refugee assistance – from the earliest occasion possible in the emergency phase, throughout care-and-maintenance, and into the durable-solutions phase. Experience again shows that the nature of environmental interventions will change through the life cycle of a particular refugee operation: one of the main reasons for initiating the FRAME Project was in fact to allow UNHCR to be able to provide planners and decision-makers with sound technical guidance on how to deal with specific environmental considerations and needs at these different times.

In the emergency phase, for example, a rapid environmental assessment (REA) might be carried out over a few days, while a more formal and detailed environmental assessment (EA) can be used when the situation stabilises and more time is available for in-depth consultation, analysis and review. (For more information on EA and REA, please refer to Modules II and III, respectively, of this Toolkit.) During the care-and-maintenance phase, proactive management is necessary which should include the development of an environmental plan. This, and subsequent phases, is a time when planning and monitoring of environmental impacts becomes all the more important.

The durable-solutions phase is less clear cut in terms of its timing, but may involve the rehabilitation of previously occupied areas, anticipating the potential effects of returning people to their home country, or of integrating them into the host country. Methods used at this stage will include forms of environmental impact assessment and environmental restoration techniques and, when stable communities have been established, ongoing environmental management, monitoring and evaluations.

So, **when should local and refugee communities be involved** in these various processes? The simple answer is: whenever **there is an opportunity to do so**. Clearly, during an emergency, time and resource constraints tend to prevent extensive community consultation and participation. Yet, the greater the involvement of local communities in site planning, the greater the chance of avoiding later conflicts over resource use and the more informed the decision-making process will be, e.g. in relation to choosing a suitable site for a camp or settlement.

Opportunities for participatory environmental management are much greater in the care-and-maintenance phase when both refugee and local communities can play an important role in planning, implementing and monitoring environmental management measures in response to existing activities in and around the camp/settlement.

The durable-solutions phase will allow for community input to environmental restoration plans, and environmental impact assessment of development projects linked to the integration of refugees into either their host country or their home country.

WHEN IS AN ISSUE 'ENVIRONMENTAL'?

In discussions about the "environment", field testing of the FRAME Toolkit found that communities typically identify a wide range of issues and concerns with this word, some of which are beyond the scope of what one could hope to achieve by using these tools. The need for larger food rations was a common 'environmental issue' by many refugee groups.

Trying to limit the range of issues is a delicate matter: on the one hand, participatory environmental management should confine itself to issues that it can address but at the same time, attempts by facilitators to interfere with the list of issues is quickly perceived as manipulation. In such a situation, it is important to not become overly concerned about this problem. Do encourage the group to discuss the criteria by which an issue might be classified as environmental, but do not put participants under pressure to remove issues that you feel are out of place. Such issues can be dealt with later in the process detailed in this Handbook.

**1.3   UNHCR AND PARTICIPATORY ENVIRONMENTAL
               MANAGEMENT**

In seeking to develop participatory approaches to environmental management, there is a danger that UNHCR or other agency staff will focus on their own information needs and mould participatory assessment, monitoring and evaluation to serve their own needs, rather than the needs of the refugee or host communities.

The approach described in this Handbook places the refugees and the local population at the heart of the process. Community representatives have the opportunity to identify their environmental needs and to work with UNHCR and other agencies to address these needs. In this manner, community environmental management provides a truly bottom-up participatory process, allowing communities to recognise environmental issues of importance or concern to them and to then be able to plan, implement and monitor appropriate activities that should help alleviate the problems perceived. Consequently, environmental planning and monitoring constitutes the main process to be developed among refugee and local communities, building often on the results of an environmental assessment as the source of baseline information.

1.3.1   Some Guiding Principles

The participatory approach to environmental management is based on a set of principles that redefine the roles of individuals and communities in local planning. It is critical for all users of participatory techniques to understand that there are two important sets of outcomes of a participatory approach. First, there are the more tangible outcomes such as maps, matrices, action plans and project work. In addition, however, there are less tangible outcomes, such as the development of community dynamics, commitment to the decisions that have been made, and the fairness of the decision-making procedures.

Some basic principles underpinning the participatory approach need to be highlighted, including the fact that:
- communities – whether refugee, IDP or local – are not passive recipients of outside information and advice: on the contrary, they are active and dynamic decision-makers who constantly experiment and modify their livelihoods to adjust to circumstances, needs and opportunities;
- communities constitute a large pool of local knowledge accumulated through daily activities. This pool of knowledge is essential for understanding the local environment and designing relevant and effective management activities. Participation, however, should not just be about extracting this local knowledge (see below also);
- communities, both refugees and local, and even those with a very high proportion of illiteracy, have the ability to articulate their needs and aspirations, and should have the opportunity to do so;
- environmental management is more effective and sustainable when the community feels ownership of the activities, i.e. when they participate actively, take responsibility and make decisions; and
- participation involves a process of learning for all those involved.

The last principle is very important as it is a reminder that facilitators involved in participatory processes also need to reflect on their own actions and the way they operate in these processes. Particular issues[1] which facilitators of participatory methods need to think about include:
- the importance of letting go of their own preconceived ideas and viewpoints;
- the importance of "handing over the stick" and creating the space for respect and participation;
- participation should not be used by facilitators as an extractive process of information gathering;
- reflecting on the achievement of results in order to effect positive and constructive change;

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[1] Adapted from Coupal, 2001

- the importance of respecting local customs, languages and experiences;
- believing in and seeking the knowledge that marginalised or illiterate people have of their environment;
- facilitating a process of learning, change and action, as against prescribing, judging or punishing;
- living with the people and integrating oneself with local customs and traditions, although this may prove difficult in the current context on account of security concerns which always need to be kept in mind;
- recognising that people will open-up if they are allowed to participate;
- emphasising listening skills and rapport-building; and
- having the flexibility to adjust approach and strategies.

2.   THIS HANDBOOK EXPLAINED

The importance of examining, analysing and registering environmental considerations during refugee and returnee operations and, especially, why participatory approaches to managing the environment in these situations are so important has already been described in Section 1 of this handbook. Background material has been provided on environmental concerns in refugee and IDP camps, while the need for improved environmental management has once again been stressed, as has the importance of participatory methods if environmental management processes are to be effective in refugee and related operations

Establishing a **Community Environmental Action Plan** (CEAP) is seen as an important contribution towards enhanced environmental management, particularly as this has proven to be an effective and appropriate level at which to address issues with displaced and local communities, as well as the fact that such people often show greater commitment to caring for the environment if they are given the opportunity to manage this for their own benefit.

This Handbook outlines a process for UNHCR and other agencies and authorities to apply to help ensure that environmental concerns and issues are addressed in a holistic manner. At the same time, applying this tool would also help ensure adequate and appropriate links with other related sectors, such as agriculture, water, sanitation and others.

Section 3 (**Participatory Environmental Management – Key Steps to Follow**) briefly outlines the main stages involved in this community-based environmental management process. The overall process is described – showing how this needs to be a rolling event, from one season or year to the next, with the information gleaned along the way being used to revise activities as appropriate – and the main stages of the process are described. As with other sections of this Handbook some suggestions are made on how each stage *might* be carried out in practice, but it is expected that these steps would be modified to suit local circumstances.

Specific participatory methods are described in Section 4 (**A Step-by-step Guide to Community Environmental Action Planning**) as well as various annexes. Section 4 also provides a step-by-step guide to community environmental action planning, guiding the user through the initial phase of conducting a baseline study, while providing useful pointers on how to get the CEAP process started, how to organise and conduct workshops and how to translate the steps outlined in Section 3 into practical actions. This Section also describes a number of helpful tools intended to assist facilitators and users to complete the CEAP process.

References and additional reading materials are included in Section 5. Practical guidance to many of the tools required is provided in **Annex I**. **Annex II** also provides useful information on how to organise a focus group discussion, one of the most important and commonly used tools of this whole process. Three final annexes provide information which might also prove useful to users in certain situations. **Annex III** provides useful guidance with regards conflict mediation, while **Annex IV** describes a process for institutionalising the CEAP. Finally, **Annex V** describes some useful pointers on incentives for participation, a commonly raised issue in exercises such as this.

There are no fixed rules to carrying out a Community Environmental Action Plan, but the following steps should help users get a quick overview of what is involved when conducting this exercise.

PREPARATION
- Assess why this activity should/might be undertaken at the specific situation/time
- Prepare for the exercise
- Identify who will facilitate the process and ensure that s/he is fully briefed and confident

STAKEHOLDER IDENTIFICATION
- Identify the potential stakeholders through initial consultation and on-site assessments.
- Assess the situation – positive points, possible risks, commitment…
- Hold additional stakeholder consultations to get to know the people and to let them get to know you and better understand what you are proposing
- Identify and train community facilitators/animators

BASELINE DATA COLLECTION
- Identify baseline environmental conditions using environmental mapping, seasonal calendar and livelihood analysis exercises
- Determine key elements of a baseline
- Record and analyse information

STAKEHOLDER PRIORITY ANALYSIS
- Share preliminary findings with stakeholders
- Facilitate focus group discussions to allow different stakeholder groups to actively and openly participate

DEVELOP THE PLAN
- Identify key environmental threats
- Identify root causes
- Establish community/stakeholder needs
- Formulate objectives
- Identify activities

IMPLEMENTATION PROCEDURES
- Discuss possible modes of management and implementation –all levels from funding to implementation and monitoring
- Identify roles and responsibilities

MONITORING
- Discuss the purpose of monitoring and evaluation
- Develop a simple yet comprehensive monitoring programme, with identified roles and responsibilities
- Identify agreed upon indicators

EVALUATION

Timing: Allow plenty of time to carry out a CEAP. Remember that this might be the first occasion that some participants, at least, have had to engage in a process like this. As a rule of thumb, 5-10 days should be set aside for engaging with participants, but this should be broken into blocks of time so that constant demands are not put on the same people all of the time.

3. PARTICIPATORY ENVIRONMENTAL MANAGEMENT – KEY STEPS TO FOLLOW

3.1 INTRODUCTION

This section describes a process that can be followed with refugee, returnee and local communities to help them plan, develop, implement and monitor their own community environmental management plans, using participatory methods. After a brief overview of the process, the various phases are described and explained in more detail, some key tools are identified, and examples given of how the specific tasks might be carried out. Detailed descriptions of each of the tools are provided in Annex I and an accompanying project output, "Participatory Approaches for Environmental Management in Displacement Settings: A Compendium of Fact Sheets", produced in December 2008.

The planning process itself is based around a number of standard steps, as outlined in Figure 1, and as described briefly below.

Figure 1. Stages in Participatory Environmental Management
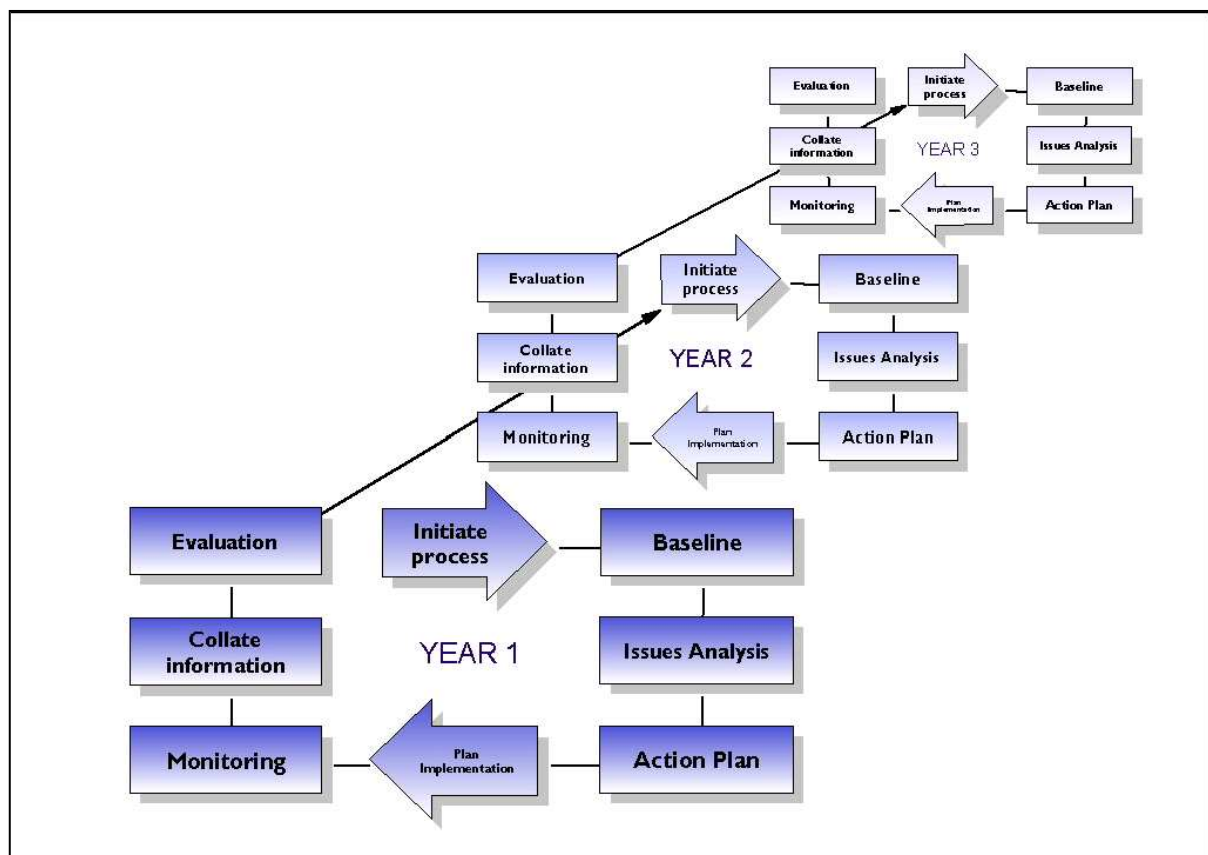
Note: "Issues analysis" in Figure I can be deduced using tools such as "**Key Issues and Stakeholder Matrix**" and "**Ranking Issues and Priorities**", both of which are described in Annex I

In Figure 1, the community environmental management process is broken into several stages which are completed within a set period, perhaps three months or a year. The process is then repeated in successive years, using the information and experiences of the previous years to help evaluate and re-direct the planning and implementation process.

3.2　　　　　　　　OVERVIEW OF THE PROCESS

Every situation is different and it is impossible to provide a single solution to the often varied circumstances and needs of different refugee, IDP or returnee operations. However, in order to enable users to gauge how to approach this process, help them identify options and monitor the implementation of their projects, and to be able to evaluate the results and use these in a meaningful manner, a simple outline is proposed in the format of developing a CEAP, the basic elements of which are described below.

Initiating the Process
Careful preparation is required at all stages of CEAP development and implementation but bit is perhaps nowhere as crucial as in the way the process is approached from both the outside and from within the community. In the best scenario, community members might approach UNHCR or one of its IPs with an express request for assistance with natural resource management. Often, however, this comes around as a result of some pre-existing environment-related project or through direct intervention by UNHCR, government authorities or IPs.

No matter who is leading the CEAP development process from the outside, s/he/they must prepare themselves fully for the work ahead. Their role should be limited to being an external facilitator and they should direct how the process and its content are developed.

Careful preparation is also required with the selected stakeholders as this is likely to be a new experience for many of them. Repeated consultations – with as many stakeholder groups as possible is advised, to build relations between the different groups and to allow everyone to begin to develop a better understanding of what a CEAP is and what it will likely involve. **People participate in the CEAP development process on their own free will**: no one should be forced to participate, nor should they be excluded.

Baseline Study I
Gathering baseline data is initially a time-consuming task but it is an essential step to conduct. In this process, information is obtained from a variety of sources to increase community understanding of the current state of the surrounding environment, the use made of the natural resources by refugee and host communities, their needs, and the social and economic status of various groups within those communities.

One important purpose of this exercise is to start to identify changes or trends in the environment over the past few months or years, to determine the reasons for these changes, and to consider the implications of such changes for the welfare of refugee and local communities. As the data gathering process evolves and additional information is gathered through monitoring activities, trends will become clearer and the environmental management process can become more focused on specific key concerns.

Issues Analysis
As indicated above, **it is necessary to focus the environmental management process on the key issues that concern the community** so that specific actions can be planned and then hopefully implemented to try and resolve these concerns. How are the refugee and local communities being affected by environmental problems? To what extent are these environmental problems being caused by the activities of the refugee and/or local communities? Once issues such as these have been identified, they need to be ranked according to the priorities of the communities or the relief operation. Information for much of this analysis can result from an REA, a relatively simple process which is described elsewhere in the FRAME Toolkit (see **Rapid Environmental Assessment** module).

Action Plan
An Action Plan (CEAP) is developed to address priority environmental issues. This needs to be realistic in terms of what can be achieved given the resources and capabilities of the community – and what might be anticipated from external assistance – so would normally focus on modifying existing resource use practices to avoid or lessen the impact of the environmental problems.

The Plan should set out *what* needs to be carried out, the *timetable* for each action, identify *who* is responsible for carrying out the action, and determine how the action is to be *monitored* to make sure the Plan is being followed. Finally, the Plan should also specify which environmental and/or social *indicators* need to be measured to *evaluate* the effectiveness of the action.

It is important that the participating stakeholder groups feel full ownership of the Action Plan. Though this might be being developed with external assistance – government, UN agencies or NGOs – ownership of the plan rests firmly with the participating community/communities.

Implementation
The actions set out in the Action Plan can only be implemented if funding is available and if a suitable institutional framework exists, the latter being a group, or groups, to oversee and co-ordinate implementation of the various actions specified in the Plan. Other roles will include communicating with community members involved in specific actions, managing the collection of monitoring information, and reporting back to the wider community after evaluating the current Plan. This all requires organisation and needs to be thought out as part of the planning process (see Annex IV for additional suggestions).

Work should begin on defining the institutional management framework as early as possible, as this will help greatly with clarifying respective roles and responsibilities. The management and implementation process must remain fair, equitable and transparent throughout the process.

Monitoring
The Action Plan will begin to help identify the monitoring requirements for the specified range of interventions. Two types of monitoring should be carried out:
- **compliance** (or performance) monitoring, to make sure the planned activities are being implemented as intended – by the appropriate people, in the correct area(s)/theme(s) and in the correct fashion; and
- **outcome** monitoring, to see if the desired changes are occurring in the environment or among the community. Monitoring needs to be carefully planned: what is to be observed and measured? How are measurements to be made? Who makes the observations or measurements, when, and how often? How is the information stored, processed, and presented to different members of the community?

Evaluation
Towards the end of the planning and management cycle (e.g. after one year), the CEAP management group would collate information from the monitoring process and use it to then review the programme of actions contained in the Plan. Questions to discuss might include: have all the actions been carried out? How successful were they? Are the desired benefits being seen yet? Were the actions socially acceptable? Were they practical? This information is then placed in front of the wider community and the lessons and achievements discussed, as the basis for starting to develop the plan for the next period. Further information on evaluation is provided in the **Evaluation** module of this Toolkit.

Baseline II
At the start of the next planning/management cycle, the understanding of the environment by the community will already have been improved by the information gathered through the preceding

period. This will help community members identify new concerns, or revise their ranking of existing concerns if necessary. This will also serve as the basis for revising the Action Plan for the next period.

Using the CEAP process in this manner, members of a community – or different communities perhaps sharing certain natural resources – work together to identify priority environmental, social and community concerns. Some concerns may be solved entirely by the community, perhaps by introducing new resource use practices, while other situations may need assistance from outside individuals or agencies to help the community overcome the identified problems. The key point, however, is that **the community works together to identify the concerns and to develop appropriate responses, and becomes responsible for seeing the required changes through**.

3.3   HOW TO PROCEED

One of the most difficult points in time in an exercise such as this is knowing how to actually get started. A number of steps can be identified that will help guide the CEAP process. Some of these lead naturally on from one another, but close scrutiny will be required when guiding the process to determine which tools might best suit a particular moment of the exercise. This is addressed in the following section.

4. A STEP-BY-STEP GUIDE TO COMMUNITY ENVIRONMENTAL ACTION PLANNING

4.1 INTRODUCTION

This section describes a number of possible steps in the CEAP process in detail – their purpose in the overall process, and the sorts of activities that need to be carried out to develop and implement the Action Plan.

In order to encourage users to think about what tools and approaches might best fit their particular situation, **suggestions are made below about how an activity might be conducted**: many of the participatory tools required are described in more detail in Annex I and in an accompanying UNHCR and CARE International compendium (2008). These, however, should only be viewed as suggestions to help users address particular issues or needs. If another method or technique seems more appropriate, then it makes sense for the user to apply this as long as s/he is comfortable with its use, and it gives the desired results.

Annex IV outlines a possible organisational structure for the CEAP process, including the

> **SOME RISKS OF THE PARTICIPATORY APPROACH**
>
> - Raising false expectations: it is essential to be clear about the resources available for supporting actions. If there will be little opportunity for external assistance, this must be known at the outset.
>
> - External contexts: actions will often fail where there is insufficient understanding of the external organisations who have an interest. It is important to communicate effectively with organisations whose support will be needed.
>
> - Assuming that plans are fixed and unchangeable: environmental action plans must be responsive to changing social and ecological circumstances.

composition and role of an Environmental Management Group (EMG), and provides some guidance on how to start the CEAP process in a camp or settlement through such a structure. This basic organisational structure is used in the following description of the stages of the CEAP process but, once again, if other forms of organisation are more appropriate for the local conditions in which the user is working, the process can be easily adapted.

4.2 PARTICIPATORY ENVIRONMENTAL PLANNING

Participatory environmental planning involves a process (see Figure 2) in which participants develop:
- common agreement about the needs of the community as a whole, and different stakeholder groups within the community (*community environmental objectives*)
- collectively evaluated and selected strategies to meet the community's priority demands for change; and
- an action plan that details the communally-agreed objectives, the selected strategies for meeting those objectives, and the roles and responsibilities to be taken on.

USEFUL HINTS FOR CONDUCTING COMMUNITY DISCUSSION SESSIONS

PRIOR TO SESSIONS

Be prepared: Make sure that you or the team of people conducting the work are familiar with the CEAP process and the tools and approaches that this involves. Check the suitability of the meeting venue. Make sure that the materials you will require are present. Also try and ensure that people who may live at some distance form the meeting venue are offered some form of transportation to allow them to participate.

DURING SESSIONS

Any tools can be used: Remember that any tools which the communities and you think are suitable for the session can be used. Use your own imagination. Discuss and agree on the tools at the beginning, so that participants become familiar with them and can add additional tools if they wish.

Be creative and have fun: Try to make the session as fun and interesting as possible for the participants and for yourself. The CEAP is <u>not</u> a mechanical list of tasks to be implemented. Rather it is a potentially innovative learning process. By creating an informal and dynamic environment with the group you are more likely to get important and honest information from the members. However don't let it go out of hand – remember it is to contribute to a better relation among both communities and yourself!

Make participants record their output/information: Identify interested persons among the participants who will record the outcome of the session for their own future reference. It can be especially useful to engage the community leaders to play a key role in this.

AFTER SESSIONS

Make your own notes after the session: For your own records, make your notes when the session has been completed. Don't do it during any session as this will interrupt it and participants may loose their concentration.

Evaluate yourself: After the session, try to critically evaluate your own performance during the session. What it participatory enough? Did people enjoy themselves? Were you able to guide them in a helpful manner? Most important: What could be better next time?

For practical reasons, participation in the planning process very rarely involves every member of the community, and is very unlikely to be based on absolute consensus. The important thing is to try and achieve the following:

- the components of the CEAP should be widely accepted by all primary stakeholder groups. There should be no component that does not have common agreement;
- the consequences of particular actions should have been evaluated from the perspective of the different primary stakeholder groups;
- the Action Plan should be perceived as a product of community-based planning: there must be a feeling of community ownership of the Plan;
- the planned activities must be realistic. Activities should either be achievable with existing resources or demands for new resources should be reasonable. In addition, the actions must be legitimate within existing institutional contexts (national and local laws; political structures; wider scale plans); and
- the Plan should be sufficiently flexible so that it can be adapted to deal with issues that arise during implementation. Planning does not end with the production of an Action Plan – those involved with specific projects will need to be able to make decisions and adjustments to the Plan on a regular basis.

Figure 2. Overview of the Environmental Action Planning Process

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│      STEP 1. BASELINE           │
│   INFORMATION COLLECTION        │
└─────────────────────────────────┘
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┌───────────────────────────────────────────────────────┐
│     ESTABLISHING SHARED OBJECTIVES AND                 │
│        AGREEING COLLECTIVE ACTIONS                     │
│                                                        │
│  ┌──────────────────────────────────────────────────┐ │
│  │   STEP 2. STAKEHOLDER PRIORITY ANALYSIS          │ │
│  │   ▪ Feedback on baseline information              │ │
│  │   ▪ Prioritisation exercises                     │ │
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│  ┌──────────────────────────────────────────────────┐ │
│  │ STEP 3. ENVIRONMENTAL ACTION PLAN WORKSHOP       │ │
│  │   ▪ Agree purpose                                │ │
│  │   ▪ Agree assessment criteria and process        │ │
│  │   ▪ Establish priority objectives                │ │
│  │   ▪ Select project activities and identify       │ │
│  │     resources needed                             │ │
│  │   ▪ Agree roles and responsibilities             │ │
│  │   ▪ Develop a monitoring scheme                  │ │
│  │   ▪ Establish evaluation principles and          │ │
│  │     timeframe                                    │ │
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│      STEP 4. ACTION PLAN            │
│ Communication and Feedback;         │
│         Implementation              │
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Intended users of this tool should appreciate that **this process requires time**: a range of community participants will need to contribute their time willingly and voluntarily, while the facilitator(s) will also need to devote much time and energy. Despite these requirements, there is a strong belief that participation is necessary in refugee/IDP situations: investment of time now will ultimately prove cost-effective in the longer term. Some of the least cost-effective actions of all are those that fail because the supposed beneficiaries are not committed to them. This occurs where the needs and priorities of primary stakeholders are poorly understood and where mistaken assumptions have been made about the desirability of environmental actions.

The challenge of developing an environmental action plan is to move from stakeholder/focus group priorities to communally-agreed objectives and strategies that would enable and facilitate active management of the environment.

4.3   **BASELINE STUDY PROCESS**

Establishing the environmental baseline is the first stage of the CEAP process. The purpose of a baseline study is to record the existing human and natural resources which the community uses and manages. The baseline would then also form an essential reference for all later monitoring and evaluation, because it provides a recorded benchmark against which changes can be measured. This enables users to monitor changes that take place as a result of the management actions implemented under the environmental Action Plan, knowing whether there has been an improvement to the situation or not.

Key objectives of this exercise are to:
- establish community rapport and promote dialogue;
- understand and identify community leadership mechanisms and leaders;
- enable refugee, IDP and host communities to determine their own needs and priorities; and
- produce and record a clear economic, social and environmental profile of the locale.

Baseline studies can be carried out at any time after the establishment of the refugee camp or settlement, but the earlier the better. The expected output from this is a detailed situation overview of primarily environmental but also social, cultural and some economic data by the community.

Key aspects to keep in mind are:
- discussions should remain focused on the environment – the opportunity may be seen by some participants to advocate for better roads or schools, more food or similar issues;
- who should be and is represented and involved in the process? It is important that the main resource users are identified and participate;
- is the objective and overall purpose of the exercise clear to all participants?
- how active/open is the participation?
- how will representatives be selected from within teach community to facilitate internal development of the CEAP; and
- are one or two people dominating the discussion?

Four stages are used to guide users through this section (Box 2), each of which is described in more detail below.

BOX 2. OVERVIEW OF BASELINE DATA COLLECTION PROCESS

PURPOSE	**IDENTIFY KEY ENVIRONMENTAL ISSUES**
STAGE I ACTIVITIES	**PREPARATION AND STAKEHOLDER SELECTION** • Identify community initiators • Ensure fair representation • Arrange meetings and logistical support • Prepare for the exercise
STAGE II ACTIVITIES	**IDENTIFY BASELINE ENVIRONMENTAL CONDITIONS** • PRA exercises (environmental mapping, well-being analysis, seasonal calendar) • Focus groups (social and environmental analyses)
STAGE III	**WHAT MIGHT BE COVERED IN AN ENVIRONMENTAL BASELINE?**
STAGE IV	**RECORDING BASELINE INFORMATION**

4.3.1   **Stage 1. Preparation and Stakeholder Selection**

This process is normally driven by one or two facilitators, some of whom might have prior experience of the actual situation, i.e. someone from an agency already engaged perhaps with environmental initiatives within the camp or local community. In any case, it is important to get to know the community – or at least some of its members – before starting to gather information. This might require a number of visits and discussions with community members – beginning perhaps with identified leaders – in the case of a new area and with an unknown community, but less time will probably be needed if direct contact already exists with the camp/village. This introduction time is also when *community initiators* (see below) would normally be identified: these individuals might then assume the leading role in discussions and debate as they would be most familiar with the situation and language. People may also feel more comfortable dealing with others who are known to them, at least at the outset.

To get the baseline process started, it is necessary to find some active community members (the 'initiators') who will help organise the baseline activities. While identifying people to take part in this, it is important to ensure fair representation of community stakeholders, i.e. ensure that people of different class, gender, ethnic background, occupation and geographical area are all represented. It should be remembered that **CEAP is a process that involves both refugee/IDP and host communities:** representation must also take account of this although there may be situations when it is not possible to bring both groups together – at least at the start of the process (see below also). The facilitator(s) must also identify the most convenient times and places for baseline activities to take place.

The result of an environmental baseline study can be influenced by the tools and methods used, as well as by whose interests are articulated. The facilitator(s) therefore needs to use careful judgement, both in deciding which tools to use and in deciding whether all stakeholders' views have been fairly represented. It should be remembered that the needs articulated by leaders or by the most vocal people in a meeting may not reflect the needs of less-empowered groups. It may therefore be necessary to hold separate group discussions with less powerful groups.

The following pointers should be considered.

Identify community initiators. The facilitator(s) visits the participating communities to hold initial discussions with local leaders. These discussions should cover the nature of the CEAP process and the baseline exercises in particular, but should also enable the identification and selection of a few suitable initiators who will then need to be instructed and assisted further on the exercises and processes that will follow. Working closely with the initiators, the facilitator(s) should make a list of local people who should then be invited to participate in the first baseline activities – environmental mapping, seasonal calendar and well-being analysis. Together, they should also decide when and how the participants can be briefed on this exercise.

Deciding on who participates. When identifying participants and arranging the exercise, the facilitator(s) needs to decide whether refugee and host community representatives remain separate during these early stages of the CEAP, or whether both can be combined from the outset. Key concerns to bear in mind are security and language. If the situation requires separate work with both communities, it is important that everybody should be aware that both communities are involved in the process and that there will – ideally – be a time when all those involved in the CEAP will be present together to openly discuss findings.

Ensure fair representation. Fair representation is critical to the CEAP process. There is a risk of involving only a narrow range of people because they happen to be friends of the initiators and may

be easily persuaded to participate. Consequently, the facilitator(s) needs to make sure that the list of potential participants represents the local community in terms of social classes, age groups, gender, ethnic groups and geographical areas. While it may sometimes be difficult, others should not be excluded if they want to participate: exercises should be open for everyone and people should be encouraged to participate.

Facilitator(s) preparation. The facilitator(s) should allow some time between identifying people and conducting the actual exercises with them. This allows the participants to prepare for the exercise and the facilitator(s) and initiators to get ready with their tools and materials. Included in the latter should be arrangements for meeting spaces and other logistical arrangements, e.g. transportation, food and such like.

4.3.2   Stage 2. Identifying Baseline Environmental Conditions

Following initial meetings and preparation, the baseline process should generally involve two sets of activities:
- undertake a series of participatory rural appraisal (PRA) exercises, such as producing a community map, elaborating a seasonal calendar and conducting a livelihood analysis (Annex I); and
- periodically bring the groups together for focus group discussions on the findings from each of the above (see Annex II).

The following guidance may help users start this process.

Applying PRA to Get the Process Going. If it is practical to bring everyone together, this step could begin with an introductory meeting attended by all those participating in this exercise. Leaders should especially be invited from the communities gathered. This gives a sort of formal opening to events, allowing people to know who else is involved, but it also helps that everybody concerned has some idea of what the overall CEAP process hopes to offer, and ensures that everybody becomes aware of the tasks ahead.

When the meeting starts, there should be a brief round of introductions. This will allow the facilitator(s) to check once again that the expected representatives are present. The facilitator(s) should then explain the objective of the meeting, stressing that the exercises aim to pool individual and collective experience and develop a starting point for enhanced participatory environmental management on the basis of shared information. Agreement should be sought on the proposed agenda before proceeding. Advantage should also be taken for the facilitator(s) to clearly explain their role(s) in the whole process – predominantly as guides to the process and not people who will be making the ultimate decisions and recommendations for action.

Environmental Mapping. The practical exercises could start with an environmental mapping session with all participants (see Annex I). People from different geographic locations can draw their own part of the overall map and record the existing important resources, as they see them. Recorded features could include forests, water resources, health posts, schools, roads, rivers, and anything else the participants wish to put as their resources. Maps can be drawn on flip chart paper or can be sketched on the ground as well as on a blackboard and then transferred to paper by one of the people participating in the exercise for further development and later reference. There should follow a discussion about how these resources are managed, especially environmental ones.

Livelihood Analysis. The mapping experience could be followed by a livelihood analysis exercise (see Annex I), which begins to list all the resources which the community considers essential and identifies which of those contribute to income generation. This will help identify different groups of people from within the area and record different classes of people and the local criteria used to

distinguish them. In this exercise the facilitator(s) can use a prepared matrix to help record data. The identification of these different groups is also useful for improving representation during the rest of the CEAP process. The classes identified here should be used as a basis for ensuring proper representation for the focus groups (see below) and subsequent exercises.

Seasonal Calendar. Following the livelihood analysis, a seasonal calendar exercise should be conducted (see Annex I). The purpose of the calendar is to understand and record how different aspects of life vary in different seasons of the year. If the group thinks the need exists, then more than one exercise should be done. Distinguishing the work of men and women can also be of interest at this stage.

Focus Group Discussions. Each of the above-mentioned PRA exercises mentioned above will take several hours to complete and should generate a wealth of discussion and data. It is recommended that after each of these is concluded, each group gets to present their work and engage in open discussion. This not only helps keep participants' interested in the work and start to develop a feeling of ownership of the results, but it is also useful in helping the facilitator(s) to begin to build and appreciate the evolving picture, which can help with orientation and engaging in discussions.

A number of focus group discussions (Annex II) should then take place to ensure that the information gathered represents everyone's views. As each situation will be different, the facilitator(s) and participants will together have to decide whether sufficient time has been given and broad enough consultation undertaken to have aired and discussed all major concerns. Following the results of the livelihood analysis in particular, the facilitator(s) will probably want to revise the list of participants to ensure better representation. This will involve making sure that all classes are represented, from both refugee and host communities.

Focus group discussions should cover some of the following:
- which groups of people are more dependent on specific natural resources than others, who has and who has not legal or customary access to particular resources, who controls the resources, and so forth?
- what are the main perceptions of environmental change: what has changed since the camp/settlement was established, what are the consequences of these changes, who gains or loses as a result of these changes? In short, what are the environmental issues in this area?
- how do different groups value different environmental resources?
- what are the informal and formal leadership structures within the community and how do these currently deal with environmental management?

Ideally, some degree of agreement and consensus on some of the major environment-related concerns will emerge from these discussions, but these need not necessarily be the same for different groups, i.e. the refugee community may well identify different problems and concerns to the local village community.

4.3.3   Stage 3. Defining what might be covered in an environmental baseline

It is useful for a facilitator to have some broad idea of what might be covered during a baseline exercise. The following points can be used to stimulate thinking, but they should not be seen as a prescription or a checklist of what should be covered.
- **Location and description of existing resources:** environmental resources such as forests, grazing lands, soils and water; other resources such as health facilities, schools and other organisations and institutions. Descriptions of resources can include existing mechanisms for managing the resources.

- **Identification of environmental issues:** what are the perceived environmental trends, how are these affecting different stakeholder groups and what social processes (e.g. population growth, agricultural expansion) are linked with these trends?
- **Analysis of legal and social relations governing access to, and control over, natural resources,** such as land ownership, forest tenure and fishing/hunting practices.
- **Identification of key stakeholder groups** – those who may use and perhaps rely to a greater degree on natural resources than some others. This will be partly based on the results of the livelihood analysis.
- **Identification of environmental co-operation and conflict between stakeholder groups:** ways in which communities share resources and areas where the distribution of resources – or of pollutants, for example – is, or may become, a source of conflict.
- **Identification of existing leadership and decision-making processes**.
- **Analysis of cultural norms and values** that are relevant to the CEAP process. This will include cultural issues that influence the quality of participation, such as how appropriate it is for women to speak in public. It will also include important cultural constructions of nature, such as sacred sites or valuable species, including medicinal plants.
- **Identification of environmental skills within the communities**. It may be useful to identify individuals with particular knowledge of the environment and particular skills relevant to environmental management.
- **Identification of income-generating activities (actual or potential) based on natural resources**: e.g. fishing, hunting, bee-keeping, bread making and so forth.
- **Conflict** – have conflicts arisen over natural resource use – either within or between the different groups – and if so how have these been resolved?

4.3.4 Stage 4. Recording baseline information

Results from the baseline activities discussion should be carefully recorded by the facilitator(s) and participants. At the minimum, a record should be kept of:
- key environmental resources – based on community maps;
- key environmental issues, threats or concerns;
- main use patterns of environmental resources – based on seasonal calendars;
- the livelihood analysis; and
- perceptions of environmental trends and issues.

This exercise allows participants to become familiar with a specific situation in a short period of time. It is also an opportunity for cross-questioning and clarification and can lead to surprising results. One community might learn for example that poor environmental practices in one area, e.g. deliberately started fires to allow livestock to graze on young grass around natural springs, may have a direct and perhaps lasting impact on others, e.g. through altered seasonal water supply.

The facilitator(s) will probably want to keep copies of maps and flipchart diagrams/notes in the short-term – to ensure that they are brought along for use in subsequent CEAP activities and meetings. However, long-term record keeping is an issue for the community to decide on at a later time, as this is community information for community use.

The facilitator(s) should stress at the outset of this exercise – and again during their presentation and discussion – that any maps drawn during these exercises do not represent a legal entity. Maps can also be revised throughout the sessions, as more details might emerge. For this purpose, it is always helpful if maps, charts and other analysis can remain visible to all participants throughout the CEAP process.

4.4   **STAKEHOLDER PRIORITY ANALYSIS**

4.4.1   **Background**

The suggested procedure for developing an Action Plan involves two distinct steps. The first of these involves another round of focus group meetings to simply prioritise some of the main issues and concerns, ideally with the group members who participated in the baseline exercise. The subsequent step – developing the Action Plan proper – is explained in Section 4.5.

The aim of the stakeholder priority analysis is to:
   a) prioritise the environmental issues of concern to each group (see Issue-Stakeholder Group Matrix, Annex I). If a long list of issues has been elaborated, try and group some of these under more generic terms;
   b) identify the causes (see Root Causes Analysis – Annex I) of these priority issues;
   c) begin to identify possible solutions to some of these; and
   d) discuss procedures for developing a CEAP, and especially for communicating with others in the stakeholder group. Consideration might also start to be given to the most appropriate means of sharing the results of the CEAP with other community members. This, however, will also be revisited at the end of the action planning process.

4.4.2   **Organising the Priority Analysis Exercise**

This exercise should continue, ideally, with the participants who engaged in the earlier baseline information collection but more participants often join the proceedings at this stage. Ideally, there should be no more than 10 participants in each working group. One facilitator should be able to handle this process if the group leaders or community initiators are responsible and organise the work in a good manner: otherwise two facilitators would be required. The time and venue should be chosen primarily for the convenience of the participants. Time required for completion of the exercise will vary from one situation to another but 3-4 hours should normally be allowed for this part of the process.

The following points might help guide this exercise:
1. Introduce the session by explaining what the agenda is and allow some initial discussion of this. Be clear about what aspects of the session will be recorded and become a matter of public record (e.g. agreed priorities) and what will remain confidential (e.g. individuals' comments). Participants generally find it helpful if the exercises to be undertaken are outlined in a little detail at this stage. These should also be written down and posted quite visibly somewhere in the meeting venue as this allows people to see and follow where they are in the scheme.

2. Present the group with a summary of the information collected during the baseline survey. In particular, it is necessary to feed back information on environmental trends and environmental issues. This feedback exercise is extremely important as it:
   * keeps participants informed of the overall process;
   * assures people that their participation in the earlier stage has been recorded and is making an impact – the facilitator can bring along their maps, seasonal calendars, lists of environmental issues and so on; and
   * ensures that participants are aware that other groups have not all identified the same trends, issues and priorities – the facilitator can give a brief summary of the issues that other groups identified. In order to present this last piece of information in a simple and useful way, it might help to produce an issue-stakeholder group matrix (see Annex I).

3. Encourage the group to confirm that their own input has been correctly recorded, and discuss the reasons why other groups may have different perceptions of environmental trends and different

judgments regarding important environmental issues. Note that this process of discussing the views of other groups can lead to points of confrontation and accusations of blame and so forth. It is probably healthy to allow some airing of such views, but the facilitator(s) should also use the agenda as a tool for moving the session on to more constructive work. Importantly, the facilitator(s) should not take sides when a conflict is being discussed.

4. Ask the group to review their list of environmental issues and to add any that they think are missing. Then ask them to sort and rank this list. This will involve a two-stage process: first, ask the group to remove any issues that they do not think are linked to the environment, then ask the group to provide a rank order of priority for the remaining issues. Annex I (Ranking Issues and Priorities) describes a simple method for participatory ranking of issues which you may find useful.

5. Encourage a brief discussion of some of the causes of environmental change underpinning priority issues. The facilitator may want to suggest some possible causes for discussion. Record ideas for possible reference during the next phase of the process as **it is the cause(s) of environmental problems that the Action Plan will need to address**. Annex I (Root Cause Analysis) provides one way of exploring and recording the causes of environmental issues.

6. The final item on the agenda should be to consider the next stage(s) of the process. The facilitator(s) should describe how the decision-making workshop (see next section) might be conducted, and asks the group to decide two things:
   - how the group(s) should be represented. How many people should participate and who should they be? How will representatives communicate their role to others?
   - by what criteria and procedure should actions be prioritised? One of the key tasks of the workshop will be to decide upon a small number of issues to address in the near future. This is an opportunity to discuss why this selection process is necessary and how it should be done. Note that the advice given below assumes that one of the main criteria for selecting issues is "have all representatives identified it as an issue?", the rationale being that the CEAP will benefit enormously from engaging with issues that everybody has an interest in.

4.5   DEVELOPING THE PLAN

4.5.1   Getting Started

The main objective of the Action Plan is to help the community identify and prioritise significant environmental issues and to develop, implement and manage a strategy that addresses these priority issues through realistic projects. Action planning should begin soon after the baseline information has been collected and analysed. Once this has taken place, the CEAP process follows the steps outlined below, some of which have already been described. A useful way to proceed is to organise a semi-structured meeting or workshop during which focus group discussions (see also Annex II) can be used to discuss the following steps/activities:
Step 1. Identify **environmental threats/concerns through baseline studies** (Section 4.3).
Step 2. Identify **root causes** (see Annex I).
Step 3. Identify **needs**.
Step 4. Set clear and meaningful **objectives**.
Step5. Determine practical and appropriate **activities** to attain these objectives.
Step 6. Discuss and assign **responsibilities**.
Step 7. Identify what **resources** are needed and at what stage of the process they would be required.
Step 8. Discuss and agree on an **implementation schedule** (see Section 4.6).
Step 9. Discuss and establish an appropriate **monitoring** and **evaluation** system (see Sections 4.7 and 4.8).
Step 10. Determine **next steps** (see Section 4.9).

Steps 1 and 2 have already been described above, while Steps 3-7 follow on from discussions with participants and don't need to be elaborated further here.

Each of these stages should be carried out in separate working groups – refugee and local community. At the end of each exercise, someone from each group – ideally a different person each time – should briefly report back to the combined group on the observations and any recommendations stemming from the discussions. Each time, the facilitator(s) should note the results from the groups' work and exhibit these visibly so that all participants can see the development of the Action Plan.

Carrying out each of these steps will ultimately result in the desired Community Environmental Action Plan which will identify community environmental objectives and proposed activities to help address the objectives. This takes place during the CEAP workshop (see below).

4.5.2   Environmental Action Plan Workshop

This is the culmination of the initial planning effort. It should bring together a representative group from both the refugee and local populations to discuss and, hopefully, agree on a set of environmental objectives and potential actions to address these. Note, however, that each group might end up having a separate Action Plan although some issues are likely to be the same.

The aims of the CEAP workshop are to:
- agree on a small number of priority environmental issues or related concerns;
- identify the main needs of the stakeholders with regards natural resource use and management;
- express these issues in terms of environmental objectives;
- evaluate proposals to address these objectives;
- identify actions (activities/projects) and associated indicators of success;
- agree roles and responsibilities for taking these proposed actions forward; and
- identify what resources might be needed to implement the Plan.

A WORD ON NEEDS ANALYSIS

It is important that participants are given the opportunity to voice their opinion of their own immediate and perhaps more distant needs, but it is important once again that people try and relate these as closely as possible to natural resource management issues. To avoid ending up with a long list of needs – some of which almost certainly will be outside the scope of the Action Plan – it is suggested that the facilitator(s) guides this discussion along the basis of what has been elaborated through the Root Causes analysis, i.e. ask people to identify their needs against the primary root causes.

4.5.3   Who, When and Where?

As with much of this process, flexibility is essential, so the following advice should be adapted to suit local circumstances. Workshop attendance, for example, might include:
- representatives from the refugee community – 2-3 from each stakeholder/focus group;
- representatives from the host community – 2-3 from each stakeholder/focus group; and
- representatives from UNHCR and/or its Implementing Partners – at least 3 people.

As a general rule, it is often unhelpful to invite people to the workshop if they have not been involved in the process thus far. However, if there are individuals whose support for the process is vital, and who have not so far been involved, it is worth considering inviting them to participate. This, however, should have been determined in discussions at the end of the prioritisation and next steps discussions (Section 4.4.2).

The formal workshop should take place as soon as possible after the stakeholder priority analysis sessions have been completed. This helps to ensure that the energy and enthusiasm generated is carried into this workshop and that issues are fresh in the minds of the various representatives. However, there may need to be at least a few days space between sessions to allow time for informal communication and discussion within communities and to allow the CEAP management group time to prepare.

Ideally, this workshop requires 3-4 days in order to avoid rushing the process. The management group will have to locate an appropriate meeting place and, if possible, arrange for some refreshments to be available for participants.

In addition to resuming all that has gone before in the CEAP process, several crucial elements remain to be discussed and formulated before the Action Plan is completed, namely how the proposed activities will be monitored (Section 4.7) and evaluated (Section 4.8), both of which can be addressed through further discussions on the actual implementation process (see below).

INCENTIVES

By this stage, the issue of incentives will almost certainly have arisen. People may demand to be paid for the time they spend attending meetings. It is essential to address this issue openly and honestly at the start of the discussions and again at the main CEAP workshop. People should generally be asked to volunteer their time but no one should be expected to participate against his/her will. Annex III tries to address this difficult issue but there are no easy solutions.

During field tests of the CEAP, lunch was provided as an incentive but nothing else. Participants were encouraged to continue their involvement for less immediately tangible rewards: being involved in an important process; having the chance to participate in decision-making; and the potential for future benefits. At the same time, however, the facilitator(s) did their best to ensure that participation was a good experience: praising people for their involvement; showing people respect by involving them in planning meetings and making sure that they turned up when they said they would. Showing people respect is a simple but important technique for maintaining enthusiasm. Being considerate of peoples' time and being aware of gender issues (e.g. a woman may be sacrificing more by attending a meeting than a man) are also important. Providing people with transport to and from meetings should also be ensured.

Another issue which needs to be considered by the agency organising the CEAP, as well as the facilitator(s), is the presentation of certificates to participants at the end of the process.

4.6   IMPLEMENTATION

4.6.1   Introduction

Implementation of the Action Plan is a management process: the information in the Plan is translated into the actions the community wish to see carried out, under the supervision of a person or group of individuals. For this to be effective, the Action Plan must therefore contain the necessary practical information that will guide those responsible for carrying out the planned activities, such as:
- **who** should carry out the actions;
- **what** they have to do;
- **when** they should carry out the action;
- for **how long;** and
- over **what period**.

The Plan should also identify the **resources needed** for each action and where those resources will most likely come from. Three additional issues, discussed below, that need to be decided are the following:

- who will provide oversight of the implementation of the Plan's actions?
- how is the information in the Action Plan to be made available to the people who need it?
- how are the planned actions to be supported during the year?

The starting date for actions to be implemented will be stated in the Action Plan.

4.6.2   CEAP Implementation Oversight

The implementation process should be managed first hand as a community-owned activity, so oversight should come from one or more community representative, or a community body set up for this function. Where environmental activities are already familiar to most community members, an EMG, or some such committee, might exist: this would form an ideal point of departure for carrying out this role, perhaps with support from two or three other people selected by the community.

If particular groups within the community are being targeted by the Action Plan, the oversight team should have at least one representative from each of the "target" groups. Similarly, if the Action Plan involves activities that affect the host community, or requires their co-operation, then the host community should also be represented on the oversight group. Alternatively, if the whole process is carried out as a partnership between the refugee and host communities, the oversight group will naturally have to have an equitable representation from each community.

Whatever structure and composition is selected, the management group acts as a contact between the people implementing the Plan's requirements and the rest of the community. One of the main tasks of this group is to make sure the Plan's provisions are known and understood, that difficulties arising during the implementation process are dealt with satisfactorily and within the spirit of the Plan, and that enthusiasm for, and commitment to, the Plan is maintained.

In addition to the local management group it is likely that a second level of governance be required, particularly in relation to fundraising, fund disbursement co-ordination and donor relations in general. Such a structure is likely, in the present context at least, to involve UNHCR, its partner government structure, some of its implementing agencies, relevant line ministries and possibly some donors. It is important that this structure and its role is known to the community and that community representatives are actively involved in discussions and decisions taken at this level. Finding the "right" balance within this structure is often one of the most challenging aspects of CEAP development and implementation.

4.6.3   How is the information in the Action Plan to be made available to people who need it?

If a planned action involves many members of the community, it may be appropriate to hold a general community meeting to set out the practical information, and to discuss the specific details so that everybody involved knows what is expected of them. On the other hand, if the action involves a smaller group in the community, then a meeting with just those people may be more suitable.

Although the Action Plan can be presented orally in a meeting, it will be necessary to have the essential content displayed in a number of accessible locations, perhaps as a poster which uses a mixture of text and pictures, to re-inforce the key provisions described in the meeting.

The oversight group should also conduct periodic checks in the community, perhaps monthly in the first instance, using transect walks, to make sure that people are aware of the Plan's provisions and the technical detail of the required actions.

4.6.4   How are the planned actions to be supported during the year?

Implementation of new practices may be more successful if there is continuing support for the people and groups carrying out the practices. Some people may feel uncertain about changing from old, accepted ways of doing things, and may not be confident that they are implementing new methods as they should. Also, practical problems can arise which were not anticipated during the planning stage: these may need to be addressed quickly, and experiences shared so that others can learn from the problems and everyone can adapt the new practices.

IMPLEMENTATION AND INSTITUTIONALISATION

In many locations, the process of implementation will partly be determined by existing institutional arrangements. For example, in Gambella region, Ethiopia, a two-tier system of local environmental management committees exists which could serve as the basis for institutionalising the CEAP. Here, there are Environmental Working Groups (EWGs) for each of the camp's villages. These include representatives from among the elders, the refugee council, religious leaders, women's associations, social workers, youth groups, the cultural court, extension agents and others. These EWGs then report to a camp-wide technical committee which includes representation from the EWGs plus representatives from organisations with technical responsibilities.

The working relationship between such existing groups could be modified to help with the implementation of an Action Plan. For example, proposals from the action planning workshop could be submitted to the technical working group as one of the steps towards implementation. Implementation would then become a partnership between these two linked institutions.

A support process may therefore be needed for more ambitious action plans, partly to maintain the momentum and enthusiasm of the whole process but also to help solve practical problems faced during implementation of the plan. The nature of the support required will depend in large part on the types of actions being implemented. Some actions, for example, might involve a group activity carried out over a short time period, followed by a long period of lower level maintenance activity. Establishing and managing a woodlot would fall into this category. On the other hand, an action may also require many people acting as individuals, carrying out new practices over an indefinite period. Changing the way people collect fuelwood – where, what type and how often – would fall into this category.

The type of support required for these two simple types of action will differ. In the first case, the main need will be to encourage ongoing maintenance of the woodlot and make sure the community as a whole respect it and do not abuse it. In the second, support will be required to encourage individual community members to continue collecting fuelwood under the new system. Both involve maintaining enthusiasm for and commitment to the Action Plan, while also ensuring enforcement.

Participatory methods can be used to identify the support needs and the means to be used to enforce the Action Plan in a social sense. The latter in particular may need to be raised in a community-wide forum, to provide community sanction for provisions of the Action Plan. Specific social measures might be identified in the case of major transgressions (fines or loss of certain social privileges, for example) but enforcement should by preference operate through encouragement and advice rather than penalties.

> **MONITORING**
>
> Monitoring is the systematic measurement of the changes that have come about as a result of implementing a CEAP.
>
> Monitoring is based on indicators – measurable signs of change towards the achievement of results.

One way of encouraging people to continue practising new methods is to provide regular opportunities for all those implementing an action to meet every so often to share their experiences with each other, assisted by members of the EMG, or similar. They should be encouraged to suggest improvements to the

methods being introduced, particularly in the face of recognised difficulties with the new practices. Periodic feedback from these meetings to the wider community – as information updates to keep the process in their minds – might also help maintain momentum and commitment to new activities.

4.7 MONITORING

4.7.1 Introduction

The process of participatory environmental management begins with the identification of environmental trends and issues, using information from a variety of stakeholders, but especially individual members of the community. This information will usually be a mixture of traditional knowledge of natural resources and the local environment, and observations made over recent seasons and years while individuals are engaged in day-to-day activities. It forms the basis of perceptions and interpretations of how the surrounding area is changing, all of which can be used to start the environmental management process. However, when specific questions are asked about certain resources or environmental processes, it is not unusual to find that local knowledge is patchy: for example, there may be a lot of information available on certain plants – e.g. those used for medicinal purposes – but little about others which may have no obvious use, at least at present.

One important aspect of the environmental management process is to make sure that good information is obtained about those aspects of the environment the group is trying to improve through the Plan. A **monitoring system** is used to do this, by formalising the collection, analysis and use of environmental information, all of which helps the community to:
- measure its performance in relation to planned outputs of the Action Plan;
- measure the impacts arising from these outputs; and
- refine the objectives, activities and methods included in the Action Plan.

In short, monitoring enables the community to learn about the successes and failures of its activities to date. Without this learning opportunity, there is no basis for improving environmental planning and no basis for effectively communicating achievements to the wider world.

A monitoring process should begin two or three months after the CEAP has been developed, and then repeated two or three times before a thorough evaluation (Section 4.8) is carried out. Such a process will provide the best early warning if management changes are needed. Development of the monitoring system *per se* though should take place during the CEAP development process.

> **INDICATOR**
>
> "An indicator is only meaningful if it relates directly to the information they [people] need and if they know how to interpret or 'read' its meaning."

4.7.2 Designing a Monitoring System

Designing the monitoring system ideally begins during the action planning workshop. However, some of the details will probably not be completed there and it may be necessary to meet again with specific interest groups to work out in more detail the methods, schedules and responsibilities most appropriate to their needs and the given situation.

The following are suggested steps towards designing a monitoring system.

First, **decide who will be using the information and what they want it for**. The primary user of information gathered through monitoring is the community, particularly those members/interest groupswho are, or who will be, involved in environmental management. The community will probably want clear and practical feedback on how well their Action Plan is being implemented and what impact this is having on reaching the desired outcomes.

Next, **agree on what people think needs to be measured** in order to provide the sort and quality of information needed.

Then, **establish specific indicators** which will provide that information. Indicators are extremely important tools for environmental monitoring, yet their selection is often the most difficult part of the design process.

Indicators measure various kinds of information, such as:
- the presence of something, such as a fish species, pest or weed;
- the distribution of impacts – who has gained and lost, and in what areas?;
- the level of output/impact – quantitative indicators such as the number of farmers planting green manure tree species along contour bunds, or the area of tree plantations;
- the quality of output/impact – qualitative indicators such as an evaluation of the quality of a training workshop; and
- the cost of activities.

Many types and levels of indicators can be formulated, but **the best and most appropriate provide relatively simple measures of change that are representative of a more complex reality**. For example, the objective of a project may be to reduce water pollution and improve biodiversity in the local river. To monitor this in a thorough way would require measurement of pollution outflows, chemical testing of the water, ecological surveys and so on. However, many communities in the current forced displacement context will likely neither have neither the time, expertise nor the resources to undertake such work. Instead, they will want something – an indicator –

> **DIFFERENT SORTS OF INDICATORS**
>
> It is helpful to distinguish between two types of indicators: those which are used to measure outputs (performance indicators) and those designed to measure the resulting outcomes (impact indicators). For example:
>
> *A performance indicator* might be "How many farmers have been trained in the use of crop rotation systems?"
>
> An i*mpact indicators* might be "How many hectares of land were planted under crop rotations?" – a short-term impact – or "What is the level of nitrogen in the soil as a result of crop rotation?", a longer term impact.

which can be easily measured and which will provide them with the information they need. For example, it might be that a particular species of fish is known to only breed in relatively clean water. This then becomes an "indicator species": its presence indicates that the water is relatively clean and also that other species requiring clean water should also be present. Another more visible indicator of declining water quality might be an accumulation of algae or weeds.

In identifying indicators at the community level, it is especially important to choose indicators that are:
- locally meaningful;
- measurable with existing resources, or with realistic expectations of new resources; and
- closely related to the objectives.

In selecting indicators, it might be helpful to follow these steps for each project/activity being undertaken:
- clarify what is the objective?
- determine what are the direct outputs of the project/activity?
- agree upon the desired impacts expected from these outputs? and
- decide what indicators could be used to measure progress in relation to outputs and impacts?

Two additional tools might be useful:
- the project impact flow diagram technique (Annex I) can help identify the range of possible impacts of a project/activity. Having done this, participants can then decide which of these impacts they want to monitor and start to think of measurable indicators to use.
- a companion volume in this Toolkit, **A Monitoring System for Environment-Related Activities in Refugee Operations** (Module V), which provides a framework method for using indicators as well as details of a wide range of indicators – arranged by sector – which can be used as they are, or adapted to local needs and circumstances.

While many **institutions desire to see common indicators used in project or programme management, this is not really practical or appropriate when dealing with diverse communities, many of whom will have different needs and aspirations, and divergent situations**. What is important, however, is that all those with a vested interest (donor agency, implementing partner, UNHCR, community…) have a means of obtaining the information that they need, when they need it and in a fashion which is relevant to their particular concerns. An example of how different layers of information can help a community or agency serve as an indicator is shown in Box 3.

MEASURING AN INDICATOR

Indicator: Vegetation cover on grazing lands.

Possible Methods:
- Photographic records (before and after).
- Visual estimate of percentage cover.
- Sample plots – working out the percentage cover in marked out areas.
- Description of walked transect.
- Average distance between vegetation patches.

BOX 3. POSSIBLE INDICATOR LAYERS

In many instances, one of the most pressing environmental concerns from the start of an operation to camp closure and rehabilitation is the level of vegetation cover. Baseline data – historical or actual – is essential before any monitoring can be conducted. Aerial photographs, satellite images or local maps are useful records for such information: anecdotal information should be treated more carefully.

Possible indicators of relevance to monitoring vegetation cover could be:
- *Number of trees surviving each year after planting* – an indicator with relevance to all those engaged and responsible for tree planting to ensure adequate follow up in maintenance;
- *Level of fruit/forage production from planted trees* – appropriate for households and communities engaged in planting desired species of trees for their fruit or for livestock feed, for example;
- *Increased refugee involvement in planning/managing forest resources and tree nurseries* – useful perhaps for an Implementing Partner to monitor its own intervention;
- *Vegetation cover on land set aside for natural regeneration* – helpful for local authorities and community leaders;
- *Overall change of vegetation cover* – important statistical information for UNHCR and donors.

These examples, or variations of these, should help users of this Handbook envisage how similar indicators could be used in their own particular situations.

4.7.3   Implementing the monitoring system

Once the indicators have been chosen, there are a number of practical issues to consider, such as:
- Who will collect data on the indicators?
- What is an appropriate frequency of collection and over what spatial area (the area for example should be defined using a GPS if possible to facilitate future comparisons)? (Refer to Module VI of this Toolkit for more information on GPS and geographical information system (GIS) technology.)

- Who will collate and analyse the data?
- How will the data be stored and managed in order to monitor trends – can this for example feed into a GIS database?
- How will the analysed data be used?
- Who should receive the monitoring information?
- What will happen to this information, i.e. how will it be used?

BOX 4. A PRACTICAL EXAMPLE OF A COMMUNITY-BASED MONITORING SYSTEM

Problem Identification: Declining Soil Fertility

Project Suggested: Introduction of organic fertilizers

Project Description: This project will help improve soil fertility using composting techniques and manure, which is readily available. The project is intended to increase the agricultural yield and, by doing so, will reduce the communities' dependence on forest resources.

Expected Outputs:
1. Effective use of organic fertilizer attained.
2. Community Environmental Committee trained.
3. Local community members trained.
4. Increased agricultural yield.

Indicators (3 villages):
1. 3 Environmental Trainers (from the Environmental Committee) per village trained within the first month (9 trainees).
2. 60 per cent of community trained by peer trainers within the first three months.
3. 50 per cent of those trained using organic fertilizers on the land.
4. Production per hectare raised by 10 per cent in the first cropping season.
5. Agricultural income increased by 5 per cent.

Monitoring System:
1. Local Environmental Management Committee will collect data on indicators to realise trend.
2. Data will be collected at a minimum of four times a year based on the seasonal calendar and harvesting and planting seasons.
3. External experts (Implementing Partners) will work with local Environmental Committee members to collate and analyse data.
4. Environmental Committee will report progress to communities and to Implementing Partners on a quarterly basis.
5. Data will be stored at the community level and also with the Implementing Partner, and be available to all stakeholders.
6. Analysed data will be fed back to local communities, Implementing Partners and other stakeholders. Analysed results will be revised during the next planning process.

Monitoring Methods:
1. Community self-monitoring: daily record keeping; use of community structures (e.g. community environmental committees) at the local level.
2. Implementing Partners: short reports every two weeks from project beneficiaries, with more detailed monthly report; spot visits on-site.
3. Donor: monthly meetings with Implementing Partners; reports from Implementing Partners; quarterly formal site visit.

Means of measurement: Record books, reports, questionnaires, interviews, observations and meetings.

These are really issues to be decided locally and through community consultation. It is obviously desirable that refugee and host communities become involved in the data collection and, if possible, with some aspects of data analysis. It is, however, vital that the information is fed back into the planning and decision making process in a timely and useful fashion. In this way, monitoring becomes an integral part of a continuous cycle of improving environmental management. An example of how this might work is shown in Box 4, which records the results from a field test of part of a CEAP established for Kyangwali refugee camp, western Uganda.

4.8   EVALUATION

4.8.1   Introduction

The purpose of an evaluation is to review progress on activities being implemented to improve and strengthen, in this instance, environment management, to have an open dialogue and allow reflection on activities which have been ongoing for a certain time period, to allow adjustments to be made to the Action Plan for the coming period, to provide feedback for the intervention strategies, and to introduce new interventions if needed, appropriate and possible. The Action Plan will specify when an evaluation should take place and more detailed guidance is given elsewhere (Module VII) in this Toolkit on how to perform an evaluation. What is important at this stage of the CEAP process, however, is for those leading it to have knowledge of what is involved in an evaluation so that they can guide the discussions, ensure that the necessary considerations are taken into account in the Action Plan (including the fact that people are aware that an evaluation will take place), and that the right people are again involved in this process.

When preparing for an evaluation, the EMG or similar, should organise a system for data collection and analysis. Issues arising from this will generally fall into two categories: **performance issues** and **substantive achievements or outcomes**. Performance issues tell the community how well their Plan is being implemented and provides valuable lessons when formulating the Plan for the next management period. The substantive outcomes are the desired changes in environmental and social/cultural conditions that the CEAP was intended to bring about. These issues are discussed below as awareness of what will be involved should prove beneficial to all stakeholders engaged in the CEAP.

4.8.1.1   Performance issues
When preparing for an evaluation, the EMG or other selected community members should meet (perhaps with external assistance from a facilitator) to consider performance questions such as:
- have the planned actions been implemented as intended?
- were there any problems that affected the practical implementation of the actions? For example, were there resource constraints, lack of community understanding of the actions, or lack of social acceptance of the measures?
- were all planned activities maintained through the period or did some people return to their previous ways of doing things?
- were there any major transgressions or abuses linked to the planned actions?

Having thought about performance issues, those responsible for the evaluation should then try and establish some key lessons for the community to consider for the next version of the Plan, for example:
- what have we learned this year?
- was our baseline information sufficient? Did we miss any important factors?
- was our understanding of the causes of the environmental concerns good enough? Could we improve our understanding by seeking help from other people?
- was our planning good enough? Did we choose the correct issues to focus on in the Action Plan?

- did we prescribe actions appropriate to the issues we wanted to tackle? Did we provide sufficient information for the people carrying out the actions? Did we have the resources available to support the planned activities?
- had we really got community-wide support for the Plan and the various actions in it? Were there any social problems with the Plan or its implementation during the year?
- was our monitoring appropriate for measuring implementation as well as outcomes?

From these sorts of questions, and following group or community-wide discussions (see **Social Evaluation** below), suggestions can be made for improving the process for the next management period.

4.8.1.2   Substantive Outcomes

In terms of substantive outcomes, the indicators monitored during the past 6-12 months will provide the basis for judging whether the environmental problems tackled by the CEAP have been addressed, in part or in whole. For example, if the problem was the quality of drinking water and the Plan called for livestock to be prevented from accessing a water course upstream from an intake for human use, then monitoring will be able to show if water quality has improved as a result of the action taken. If the improvement is less than expected, the performance evaluation may suggest reasons: perhaps some people did not manage their livestock according to the new rules, or maybe the physical barriers used to prevent livestock from erring were not as effective as they needed to be.

If the new measures were implemented effectively but the desired changes are not seen, then it may be that something else has an influence on the problem. In the water quality example mentioned above, the problem might be related in part to the disposal of human waste and not simply the fact that livestock share the same water. It this was the case, it would require that the problem is re-examined as part of the issues analysis for the next management period.

Evaluating outcomes requires those people working through the monitoring information to determine what, if any change, has been observed. Individuals involved in collecting the monitoring information should also be involved in this process, especially if the information is qualitative in nature.

A useful method to initiate the process is to draw up a table for all the indicators used to monitor the Action Plan, and to rate the change of each indicator over the period of the Plan according to a simple three step scale as shown below:

-1: a deterioration in the state of the indicator – this could be a fall or rise in a measured value, but the change would signify a worsening situation, not an improvement. These cells in the table can be coloured or shaded to signify an undesirable outcome, instead of, or in addition to, using the –1 symbol.

0: no real change observed. Cells can also be left unshaded or uncoloured.

+1: an observable improvement in the state of the indicator – this could be a fall or rise in a measured value, but the change would signify an improving situation, not one that is worsening. Such cells can be coloured or shaded to signify a beneficial outcome.

This method can be used for both quantitative and qualitative indicators, although the latter may need some discussion by stakeholders to agree an acceptable interpretation. Such a table would provide a graphic summary of the extent to which key indicators were responding to the actions taken during the year and, when presented in large format – perhaps as a poster – would serve to focus discussion at group and/or community meetings.

4.8.2 Social Evaluation

The picture provided by collating and analysing the monitoring information to evaluate performance and substantive outcomes represents the technical side of the evaluation, essentially getting a set of conclusions that people can focus their discussions on. The other important part is the social evaluation.

Social evaluation allows groups within the community to provide their perspective on the way the CEAP has been implemented, and to raise concerns or to suggest modifications and improvements for the next phase. One important purpose of this process is to identify social objections that might otherwise lay dormant until they surface at a critical stage later on when they may disrupt the environmental management process. People can always agree to a course of action to tackle problems but realise later that the cure may be worse than the original problem. There must therefore be an opportunity for community members to raise such issues. Overall, however, the social evaluation process is intended to help the community recognise the range of views within the community and to adapt the Action Plan to respect those views, to achieve a better outcome in both the technical and social senses.

> **BREAKOUT GROUPS**
>
> Breakout groups are small groups of people comprising representatives of the various stakeholders from within a larger meeting.
>
> Several groups can be set up, each perhaps tackling a specific topic and bringing conclusions and recommendations back to the larger meeting. In this way, large meetings can work through a list of topics more effectively, as long as detailed discussions are not repeated in the larger meeting.

Discussion should take place once the performance and outcome evaluations have been carried out and findings have been made available to the community. A meeting to present the summary – in oral, graphic and text forms as appropriate – should be held and perhaps followed up by small group discussions to help community groups and individuals understand the performance and outcome information, if necessary. The social evaluation can then take place, community members having in the meantime had the time to think about the information and discuss the issues among their own groups.

Social evaluation can be conducted either through small group discussions or through a community-wide meeting, depending on circumstances. Group sessions would better suit situations where there are clearly vulnerable or marginalised groups whose voice would probably not be heard in a larger meeting.

It is useful to engage a facilitator to help run the discussion sessions, using questions such as:
- how has the Plan affected individuals and/or groups within the community in practical terms?
- did the Plan cause any problems or difficulties that had not been anticipated?
- in particular, did the Plan impose costs on individuals and/or groups (time, loss of income or productivity, etc) that were not matched by any perceived gains?
- have any benefits been shared equally across the community?
- has support for the Plan within the community been strengthened or weakened over the year?
- what aspects of the Plan should be retained, what aspects should be modified, or even discarded?

Based on these discussions, those responsible for the CEAP would seek to provide answers to the following key questions as a way of drawing broad conclusions from the evaluation:
- what have we achieved this year through the Action Plan? Has it achieved what was intended, more than intended, or less? Has the Plan fallen short in any particular areas?
- what key practical and resource lessons have we learnt from implementing the Plan this year?

- have the benefits from the Plan been shared equitably in the community? Has anyone been adversely affected by the Plan?
- how can we use this information to improve our next Plan?

Breakout groups, each ideally containing representatives of all groups within the community, can each address one of these questions following the main discussion, their conclusions to be presented to the wider meeting for discussion, modification, and community acceptance. These then feed into the next management cycle, informing the development of a revised Action Plan for the next period.

4.9   NEXT STEPS

The different phases, steps and instructions presented above are intended to help interested users complete a range of activities intended to contribute to developing an agreed plan of action for managing natural resources in a more environmentally and socially appropriate manner.

The process described, however, is not a rigid one and users are encouraged to vary this as best suits their needs and the actual situation. What is important, however, is to ensure that whatever the outcome of the discussions and exercises that there is common consensus over the findings and recommendations. This then forms the basis of determining "what next".

Before the initial collective energy and enthusiasm for the CEAP begins to diminish – as it invariably will as people leave the workshop and start to return to their routine – it is essential that individuals, groups and agencies are identified to undertake particular tasks identified and agreed during the CEAP workshop. A corresponding **timetable of action** should have been established which, together with the indicators selected, will allow the overall management body responsible for implementation of the CEAP to monitor and, in turn, evaluate the process in the coming months and years.

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ANNEX I   SELECTED PARTICIPATORY METHODS

The tools and approaches described in this part of the Handbook are listed below.
- Community/Environmental mapping
- Transect walks
- Livelihood analysis
- Seasonal calendar
- Key issues and stakeholder matrix
- Ranking issues and priorities
- Root cause analysis
- Clarifying community and institutional relationships
- Project impact flow diagram

ANNEX II   FOCUS GROUP DISCUSSION

ANNEX III   CONFLICT MEDIATION
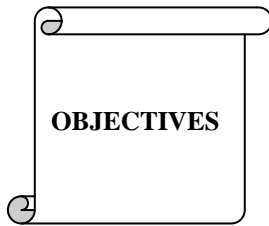
ANNEX IV   INSTITUTIONALISING THE COMMUNITY ENVIRONMENTAL ACTION PLAN PROCESS

ANNEX V   INCENTIVES FOR PARTICIPATION

ANNEX I   SELECTED PARTICIPATORY METHODS

COMMUNITY/ENVIRONMENTAL MAPPING

OBJECTIVES

To learn about a landscape and what different parts of this mean to different people.
To monitor changes in land use.
To assist insiders with planning and management.
To evaluate changes in land use through comparison.

OVERVIEW

This tool is to allow communities to be able to identify those local resources (natural, physical, environmental) which have a relevance to their lives. Participants/villagers/communities get an opportunity to think about their own resources as they draw the map(s). It also gives a clear picture of a particular place/area for outsiders.

PROCESS

Clearly explain the objectives of the session and encourage participants to ask questions to ensure a common understanding before the session begins. One way to approach this might be to ask people which resources are present (or were formerly present) and important to them.

Agree with the participants which area of the community should be mapped, which might be the entire camp/settlement/village, or perhaps just part of one or each of these. Try to concentrate on the physical resources and other places of interest to participants.

Example of a village community map drawn under the CEAP process
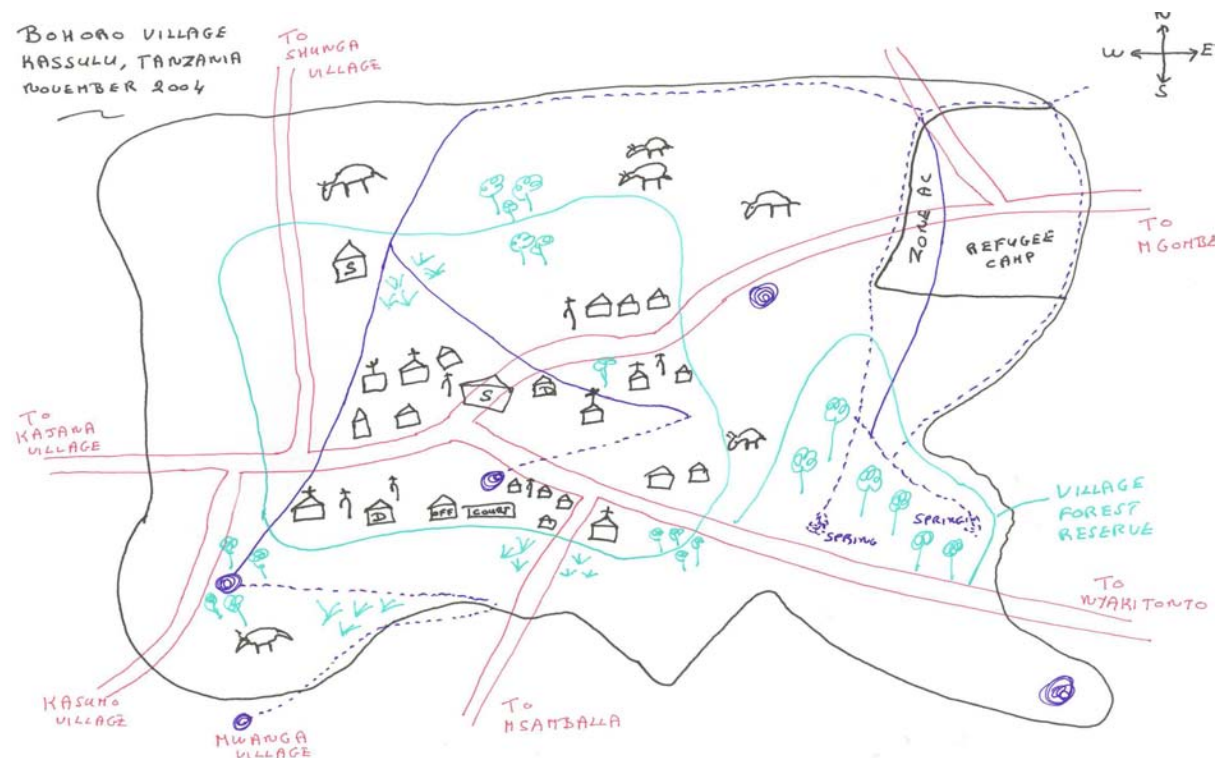
Make sure that participants represent all classes or groups, and different parts of the area; especially ensure that the poorest/less powerful members of the community are represented.

Try to make a friendly and happy environment before the main exercise.

Explain the idea behind the map and ask participants to draw the agreed part of the area/village on the ground or on paper; help them to start if necessary (see suggested questions below).

Ask the participants to draw the main resources, for example school, health centre, main roads, market, trees, forests, water points, springs, houses and so forth.

If the map is for a large area, small groups can be formed to record different parts. Make sure people are recording their own areas and it is acceptable to all. If a refugee camp and village are the subjects, try and have the location (but not the internal detail) of each represented on the other map as this will help discussions of shared resources.

Ask some of the participants to copy the map onto a large piece of paper and add the area name, date and the names of those who drew up the map. Provide a venue to allow people to discuss and present their own maps and ask questions of those of other participants.

MATERIALS

For drawing: hard sticks to use on the ground or sand; pebbles or similar markers from the surroundings; blackboard and chalk; and any other tools which may be helpful.

For recording: drawing paper, markers, sketch pens in different colours, hardboard, plastic bag to protect against wear and tear, tape.

SOME EXAMPLE QUESTIONS YOU CAN ASK

If you do not know how to get started with the map you may want to ask the participants some simple questions about how to make a map (see below). This will help focus their attention and it will help you to know what they think about the exercise in advance. It is up to you to cover all the topics needed for the session. Often, new additional important questions will come up during the sessions, depending on the situation, which you must also take into consideration.

Simple questions to get started…
- What is a map? Have you ever seen a map before and what type of map was that?
- If we want to draw a map ourselves, what do we need for this?
- What are the things that could be interesting to put on the map to help us get more information relevant to agriculture and general resources?
- If you would have to prepare a map for a stranger, what would be the most important things to put on the map?

See also **Key Issues and Stakeholder Matrix** for an extension of this approach.

OBJECTIVES
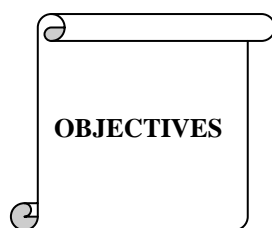
To learn about a landscape by carrying out a participatory transect.
To use a transect as a basis for identifying problems and opportunities.
To use a transect as a means for monitoring change.

OVERVIEW

A transect is a systematic walk, drive or donkey ride through a specific area, gathering data that would supplement that already recorded through sketch maps prepared by the community. Like maps, transects allow for monitoring information that has a geographical distribution. Instead of looking at the scene from an aerial perspective, however, a transect is based on a structured movement through the area being monitored to observe – often to observe and record progress against the indicators which have been selected for use. Transacts are also a useful way of meeting people and engaging in dialogue, allowing others to query your intents as well as providing a way to get more specific information on the project with which they might be engaged.

PROCESS

A transect can cover any area – whether just a few households or the entire camp/settlement. Its boundary and path followed therefore need to be carefully decided and described. A transect thus consists of two elements – the walk itself and a diagram recording the walk and what was observed along the way. It may take any amount of time to complete, from a few hours to a full day.

Begin by looking in detail at the sketch maps drawn by representatives of the community and decide upon the most appropriate or revealing route for the groups to follow, paying particular attention to areas of especial concern to people, e.g. seasonal wells or agricultural plots. Ensure that each group is accompanied by someone with knowledge from that area and decide ahead of time whether to just walk through the area or to stop for formal or informal interviews.

Begin from a logical starting point, e.g. village leader's hut or a vantage high point such as where water tanks might be located. Assign specific responsibilities to all members of the group: some might be required to point out houses, others natural resources, another to do the drawing itself and so on. In a refugee setting the group may need to be especially disciplined as it is bound to attract a lot of attention, often from young children. The leader should take enough time to explain the purpose of the exercise but not let the presence of large numbers of people hamper the exercise. If the latter proves difficult, it is best to try another route or alter the time of day for that specific route.

By continuing along a predetermined path, the broad features of the landscape and the community itself will become apparent. Informal interviews along the way can help enrich the process. At the end of the walk, all members of the group should sit together in a quiet area and compare notes, adding and correcting information on the consolidated map as necessary. It is important that scale and orientation feature on the final map(s). The map(s) should be made available for all those participating in the CEAP to consult.

Some important points to reflect upon might be:
- Was anything new learned about the locality?
- Were any new practices or traditional methods encountered with regards natural resource use and management?
- Were any additional environmental concerns raised by those people met?

- What points, if any, stand out as needing to be addressed by the community through the CEAP?

In addition to adding to local people's perceptions about their situation, as well as information gathered through sketch maps, the transect walk is a useful tool to help orientate the facilitator of the CEAP process in a relatively short timeframe. If necessary, more than one transect walk can be organised during the CEAP process if this is thought to be useful.

LIVELIHOOD ANALYSIS
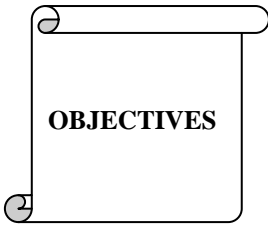
| **OBJECTIVES** | To identify resources important to people's well-being and livelihoods.
To rank resources that affect people's livelihoods.
To help understand the social and, to some extent, economic situation. |

OVERVIEW

This tool is meant to help rank the economic activities or resources that affect the livelihoods of a specific household or community. In this process, participants identify those resources most useful and important to their own well-being, thereby effectively placing themselves into different categories. Any aspect that influences, either directly or indirectly, the socio-economic status of the family, is also carefully considered. By following this approach, vulnerable families can also be identified, while it also reveals to families, or whole communities, periods when they might be at risk to certain shortages.

PROCESS

The purpose of this exercise needs to be carefully explained, this being to list all the resources which the community considers essential and identifying which of those contribute to income generation. Every time a resource is mentioned, the participant should be asked whether this can be regarded as a basic household need or whether it is a resource used primarily for income generation. Some community members might depend on catching and selling freshwater fish as their sole source of income, while others might purchase small amounts of fish just one or twice a month for their own consumption. This may reflect on the person's own situation in terms of wealth, or their preferences for certain items over others. The various resources are then ranked according to their relative importance and the level of income generated. Trees, for example, might also be important but people will depend on these for different purposes: some will gather firewood for their own use, while others may cut trees for timber or charcoal making as an income generating activity.

The example below shows how different people might attach different values to natural and other resources (each * represents the opinion of one person)

Resource	**Household Need**	**Used mainly for Income Generation**
Cow	***	***** *****
Goat	***** ***** ***	*****
Maize	***** ***** ***** ***	**
Freshwater fish	**	****
Forest fruits	***** ***** ***	***
Etc		

To begin the ranking process, it is helpful to first list (in the left hand column of a simple table, as shown above) all those resources which people think of as being important on a large sheet of paper or blackboard. Two additional columns should then be drawn – one representing the overall rank or importance associated with this resource as a household need, and another denoting its relevance (if any) in terms of income generation. Ask for a volunteer to record the information.

The importance of various resources can be identified through a process known as "proportional piling", which involves giving participants an equal number of pebbles, beans, seeds or similar

objects and asking them to indicate the importance of a specific resource to themselves or their families by adding the objects they have been given to the category which they think is the most important. For this purpose, it is best to either lay the paper on the ground, or to represent the information as a pie chart drawn in the sand or earth, and ask people to place their objects against the resources which they see as being the most important. In this way, the larger the pile, the more important the resource will be – to that particular segment of the community at least.

The same approach can be used to gauge wealth, although this is often a difficult subject to penetrate and should only be done if the facilitator is confident that it will not disrupt the energy of the meeting or the good nature of the participants. It can, however, be used to determine what makes one family more affluent than another. For this, the exercise simply starts off by comparing two households (located on a map) – having first agreed on what is meant by a "household", whether the head of household, family, extended family, etc. – simply on the basis of which is better off than the other. If they have different levels of well-being they would each receive a different symbol or colour code on the map. Then, one by one, other households are compared with these two, adding the information gradually to the same map. A simple criterion which could help distinguish "wealth" in this instance could be whether a rich family's house is perhaps made with bricks, whereas a poor house is made from sticks and mud and has a straw roof. Continuing in this was, each household is thus ranked within a level of well-being.

Following the progression of this situation over time and seeing how households benefit (or don't) from interventions through the CEAP can provide much useful information in terms of monitoring and evaluation to help improve the overall situation.

The facilitator might wish to ask the group if there has been any change in this distribution of wealth or well-being during the last five years. If this has been the case, the facilitator can then explore the reasons for any changes, the causes, and so forth.

MATERIALS

Drawing paper, markers in different colours, pebbles or similar objects.

OBJECTIVES
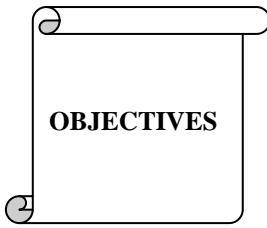
To understand what resources are important at different times of the year.
To identify times of labour competition and resource scarcity.
To identify differences in the way men and women might use natural resources.

OVERVIEW

The seasonal calendar is a tool to document variability in the life of community members throughout the year. It allows one to understand how a community's food supply, workload, and many other important aspects, change or vary from one season to another. It will also help a community to understand a period of food or water shortage, if these occur. Events such as food shortage usually occur when food stocks are low and while new crops are not yet ready for harvesting.

PROCESS

Prepare a blank calendar beforehand. Next, with the group, list some of the main activities and factors that influence quality of life in the left hand column, as shown below.

FACTORS	j	f	m	a	m	j	j	a	s	o	n	d
Clearing field of weeds												
Livestock moved to new grazing area												
Water shortages												
Etc												

Whenever possible use symbols instead of words in the first column so that people can better visualise the calendar.

It is often useful to start by discussing something which is likely to be relevant to most people, e.g. the rainy season. For example, you might draw dark clouds between March and July. Some communities might wish to begin representing their year by the harvest months, so would then begin their calendar in the appropriate months, e.g. April instead of January, as shown above.

Once you have completed all the horizontal factors and placed them in time, then ask the group to do a vertical analysis, to show how the different factors coincide during certain times of the year. For example, food stocks might be lowest when the labour demand for the fields is the highest.

Now the facilitator passes the marker to the participants and asks them to indicate where changes, if any, have occurred in recent years. Discussion during this exercise will also reveal activities undertaken separately by men and women – some specific activities may relate to one group in

particular. These should also be recorded as they may have implications for future management of natural resources.

Remember, **it is the discussion and dialogue, not the look of the calendar itself that is most important**.

MATERIALS

Blackboard and chalk, or flip chart, paper and markers.

KEY ISSUES AND STAKEHOLDER MATRIX

To determine which environmental issues are important to which communities.
To encourage communication and thinking among participants.
To begin to arrive at a ranking process for key environmental problems and
     issues of concern to community members.

OVERVIEW

This exercise can help people who have been discussing a wide range of issues and concerns to now focus on these and begin to think about which are the most important and which affect them the most.

PROCESS

In this exercise, participants are asked to mention what are the main environmental issues and concerns which affect them. The facilitator should spend a few minutes once again reflecting with the group what it is they mean when discussing the word "environment", as this should help narrow the focus of discussion somewhat.

Prepare a blank matrix similar to that shown below (without images) with space allocated for the different groups who will be participating in the exercise. Large sheets of paper are best used for this exercise.

Issue	Refugee Focus Groups		Host Community Focus Groups	
	Group 1	Group 2	Group 3	Group 4
	✓	✓		✓
	●	✓	●	
			✓	✓
	✓	✓	✓	✓
	✓	✓	✓	
Etc				

In practice there are likely to be more groups and more issues than in this example, so the matrix will have to be larger.

Symbols are used to represent environmental trends and issues (e.g. a fire to represent firewood shortage, a fish to represent declining fish catches). These examples use computer clip art. In practice, symbols are more likely to be hand drawn and far more simple, but relevant and easily understood.

Symbols will probably be selected for their cultural relevance (i.e. will they be understood?) and the ease of drawing them. Some groups, however, may prefer to use words. Words will be easier.

Begin the exercise by recalling what information might already exist as baseline, e.g. from an environmental assessment or rapid environmental assessment. This is the opportunity for community members to revisit this discussion and reflect on what information might have been considered then. Additions and modifications should be allowed – this can either be done as a single group or as separate working groups, depending on the number of participants and composition of the group.

The exercise is relatively simple, but people should be allowed enough time to deliberate on the questions. It is likely that many non-directly environmental issues will also be raised: these should be noted and referred to later on.

In the matrix shown above, a solid circle is used to denote when an undesirable environmental trend was identified by the group, instead of using an "X" which can have different meanings in some communities. It is possible to experiment with different methods of summarizing a group's discussion. For example, a second tick (✓✓) could indicate that the group also identified this as a very important issue.

It is important to allocate sufficient time for participants at this stage to have an opportunity to express their views and possible concerns. In summarising the information, the facilitator should refer to the matrix and try and sum up the information which has been recorded. Grouping certain issues together can help reduce the number of issues being considered but any change of wording to allow this to happen should first have the approval of those people who mentioned them in the first instance. Before finally selecting the top three or five issues (see Ranking Issues and Priorities), the facilitator should again ensure that all participants are in agreement with this analysis and summation.

An extension of this tool is to combine it with an environmental map to examine priority change. In this, each participant is given three sticky notes on which to write or draw the changes the changes they would like to see to their local environment and to begin to prioritise (High, Medium or Low) these by placing them on the map. When everyone has put their three numbered changes make sure all of the stickies are attached firmly to the map, by using glue or cellotape. Ask someone to count and note what information is given on the stickies in a table (see below) noting how many times the same change was suggested. This is an especially useful technique if it is clear that not all members of the group are allowed to participate openly as it gives each person a separate vote.

Example of different priorities by men and women groups

Priority	Men's Changes	Women's changes
1	Agriculture x 8	Agriculture x 3
	Water x 4	Water x 7
	Agriculture x 2	Water x 4
2	Bush fire x 2	Education x 2
	Animal health x 2	Human health x 5
		Agriculture x 3
3	Animal health x 5	Education x 5
	Overgrazing x 2	

RANKING ISSUES AND PRIORITIES

OBJECTIVES
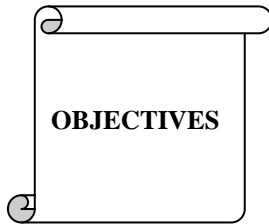
To encourage, generate and facilitate structure group discussion on environment-related issues.
To identify a group's perception of the most, and least, important environmental issues.
To provide a record against which to monitor changing priorities.

OVERVIEW

This is an exercise in prioritisation – how does one determine, through a structure group discussion, which problems or objectives should be dealt with first. It may well be that top priorities change as the community responds to certain issues and as circumstances change, but this is an issue which those responsible for managing the CEAP will have to bear in mind.

There are a number of ways that the groups could be asked to think about this, for example, through questions such as:
- What is the most important issue or concern for you as an individual?
- What is most important for group X?
- What is most important for the community as a whole?

You might experiment with this but be sure to be consistent when it comes to recording results for comparative purposes.

RESOURCES REQUIRED

Pieces of card and marker pens.
100 pebbles (or other small items that can serve as counters).

PROCESS

Ask for a volunteer from the group to list or to help draw symbols to represent the group's environmental issues. For each environmental issue that the groups have previously listed, ask them to draw a symbol on a piece of card (if the group is fully literate, they can just write it).
For example:
- a fire to represent fuelwood shortage;
- an axe/machete to represent deforestation;
- an animal to represent hunting;
- some soil to represent erosion (i.e. literally be some soil, rather than a drawing of it); or
- a plant to represent invasive weeds

Allocate the group 100 counters (pebbles, beans, etc.) and ask them to distribute them according to the importance of the issue to the people who they are representing. There are different ways in which the counters can be allocated. Firstly, you could ask the group as a whole to agree the allocation, that is, go through a consensus building discussion.

Alternatively, you could allocate an equal number of counters to each participant and allow individual allocations. Both have advantages: the former stimulates more discussion, while the latter is quicker and ensures that all individuals get to express their opinion.

Ask then for a volunteer from the group to count the number of counters allocated to each issue. Then record the results in a table such as that shown below.

Example of a list of prioritised issues following group discussions

Environmental Issue	Score	Ranking
Deforestation	30	1
Decline of fishery due to overfishing	5	5
Agricultural yields declining due to lack of irrigation	24	2
Soil erosion	0	n.a.
Population increase	17	4
Human excrement leading to health hazard	24	2
Total	100	

In this example, where two quite different issues have been given a similar weighting (agricultural yields and a health hazard) the group might wish to discuss which of these is of greater concern or they may just choose to treat both equally seriously.
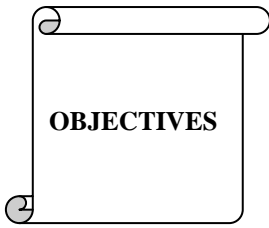
OBJECTIVES

To provide a schematic and participatory means of exploring immediate and indirect causes of environmental issues.
To help people to get to the 'root causes' of problems rather than just addressing the most obvious causes.
To explore the consequences of an environmental issue.

OVERVIEW

Given the complex links which exist within and between natural ecosystems it is easy to arrive at false assumptions by merely not looking at all of the pieces of the puzzle together. Soil erosion has often been attributed to the presence of refugees in certain areas, yet it may not have been the presence of refugees per se that caused soil erosion but the impact of increased livestock pressure by local and nomadic people who came to the area hosting refugees in order to access water, veterinary facilities and other services. In order to be able to address the "real" problems, the true nature or cause of such problems must first of all be well understood.

Determining the root causes to these problems is an important step and should again be determined by individual groups once the basic elements of the exercise have been explained. This exercise is best carried out by means of a tree analysis, which should be conducted for each of the priority problems.

Root cause analysis is a process designed to help identify not only what and how an event occurred, but also why it happened in the first instance, and to determine what can be done to prevent it happening again. Only when investigators are able to determine why an event occurred in the first instance will they be able to design corrective measures that should prevent similar future events from occurring.

This process involves four basic steps and can be elaborated as shown in the figure below:
- data collection, to understand the event which has been or is taking place;
- cause charting, which describes the events leading up to the event;
- root cause identification, which identifies the underlying reason for each causal factor; and
- recommendation generation, during which appropriate and achievable recommendations are formulated, based on the knowledge gained above.

RESOURCES REQUIRED

Paper and pens or blackboard and coloured chalk.

PROCESS

If discussion has not already clarified and ranked/prioritised the main environmental issues and concerns then this should be undertaken now as a first step of the root cause analysis exercise. Once this has been completed, in the centre of a large piece of paper or blackboard draw a symbol to represent **one** of the priority environmental issues which has been identified. Now ask the group to identify immediate causes of this issue. Initially, to get the process moving, you may need to suggest some, but ensure that the group agrees them.

Next, ask why each of these causes occur – in a sense, what are the causes of the causes? You can repeat this step for each of the consequences if you think it would be useful. For example, following

the example shown below, free range grazing is one identified cause of soil erosion. This, in turn, can be traced back to poor land use management and further to poor enforcement of bye laws. The bye laws therefore become one of the root causes of soil erosion, not free range grazing. By addressing this, and other perhaps related root causes, the problem of soil erosion should be addressed. This method can equally employ symbols instead of words.

Root causes of soil erosion as identified by community representatives – An example from a CEAP conducted at Bohoro Village, Tanzania

```
                                    ┌──────────────┐
                                    │   Lack of    │
                                    │  Extension   │
                                    │   Services   │
                                    └──────────────┘

┌──────────────┐                      ┌──────────────┐
│     Low      │                      │ Lack of Skills & │
│ Enforcement of│                     │   Knowledge   │
│  By-laws by  │                      └──────────────┘
│  Land-use    │
│  Planning    │      ┌──────────────┐  ┌──────────┐  ┌──────────────┐
└──────────────┘      │   Lack of    │  │ Low Soil │  │   Loss of    │
                      │  Improved    │  │ Fertility│  │  Vegetation  │
┌──────────────┐      │ Agricultural │  └──────────┘  │    Cover     │
│ Poor Land-use│      │  Practices   │                └──────────────┘
│ Management   │      └──────────────┘
└──────────────┘
                      ┌──────────────┐                ┌──────────────┐
┌──────────────┐      │   Shifting   │                │  Bare Land   │
│  Free-range  │      │  Cultivation │                └──────────────┘
│   Grazing    │      └──────────────┘
└──────────────┘

                      ┌──────────────┐
                      │     SOIL     │
                      │   EROSION    │
                      └──────────────┘
```
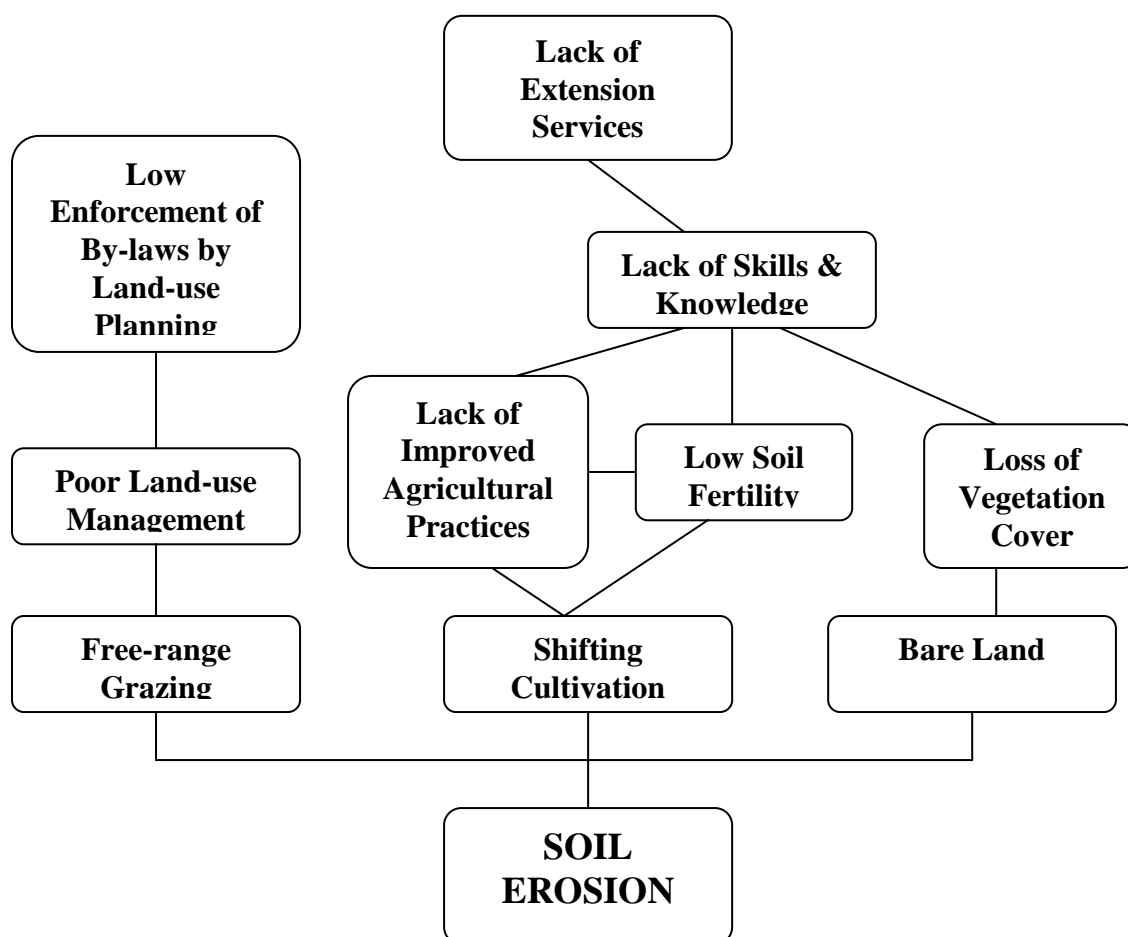
As with other tools in the CEAP, the facilitator(s) must be careful to guide and not lead discussions. Establishing the root causes of priority environment-related problems is usually a slow process, which is another reason for agreeing on only a small number of priorities rather than conducting such an exercise for every issue identified by the community.

At this stage of the process, it is already useful to begin to formulate some recommendations on how to address the root causes for those priority problems, as indicated below.

Problem	Causal Factor(s)	Recommendations
1. Low enforcement of bye laws	• Weak local authorities • Lack of resources to act Lack of funds	Strengthen local systems and practices for traditional land use planning and management
2. Lack of extension services	• Lack of funds • No local expertise	Skilled extension agents provided to train and support local expertise in required disciplines for period xx-yy
Etc		

CLARIFYING COMMUNITY AND INSTITUTIONAL RELATIONSHIPS

OBJECTIVES

To provide a schematic and participatory means of exploring immediate and indirect causes of environmental issues.
To help people to get to the "root causes" of problems rather than just addressing the most obvious causes.
To explore the consequences of an environmental issue.

OVERVIEW

Use of this tool will help identify the organisations and institutions that may play a part in the success of the proposed project or programme. Such initiatives often fail because they do not have the support of external organisations, for a number of reasons, but often because they were not identified and consulted at the outset of a process such as a CEAP. The ultimate purpose of this exercise is to therefore try to establish such support where and when it is needed.

RESOURCES REQUIRED

Paper, scissors and pens.

PROCESS

This process involves drawing what is known as a "Venn Diagram" which is essentially a map of institutional relationships that uses symbols or circles of varying sizes to represent individuals or organisations and their perceived importance to a community, project or programme. In this case, the size of the symbols or circles indicates their importance while their positioning – overlapping, touching or completely separate – represents their degree of contact. The final diagram can thus illustrate the relationships between many different institutions showing where relationships are close as well as those which might need some improvement.

To begin this exercise, divide the participants into manageable groups, maintaining a good cross reference of experience in each group. Ask each group to list all of the organisations that might have an interest in the proposed project or programme. Include formal and informal groups as well as local and external groups. For example, if the project involves planting trees, the list might include some of the following:
- women's groups, who may have an interest in the type of trees planted;
- Forest Department, whose permission may be necessary and whose support could be helpful;
- village elders who can sanction resources such as land allocation;
- youth groups who may become involved in seed collection, or caring for seedlings at a nursery;
- local council; and
- the water/irrigation board.

Two possible choices exist for continuing: the first involves asking each group to choose an object or symbol which represents each of the listed institutions. Then simply draw a circle and ask the group to position the institutions either inside, on or outside the circle, the distance from the centre of the circle representing the closeness (desired or actual) of that institution with the project or programme. Thus, a symbol or cluster of symbols at the centre of the circle shows those organisations closely involved, whereas those outside would have less contact or provide less support/interaction than some others.

In this example, scales of importance can also be added either by using different sized circles or the degree of overlap – no overlap, for example, would mean no contact whereas a large degree of overlap could be taken as substantial degree of co-operation.

An alternative method would be to ask each group to cut out sets of paper circles of different sizes and lay them out on a table or clearly pin them to a board. Ask each group to place the largest circles next to the most important organisations, the middle-sized circles next to the less important organisations, and the smallest circles next to the least important organisations. Write the name of the organisation in each circle. Observers should record the group's reasoning as to why organisations are categorised as more or less important.

In the centre of the paper, draw a symbol that represents the project. Next, have the group place the organisation-labelled circles in or around the square at the centre. The closer they are to the project symbol, the more accessible the particular organisation is to the community. Let the group discuss among themselves and facilitate as necessary and record the resulting diagram and reasoning behind the group's discussion on each organisation.

By considering the similarities and differences of each group, some interesting observations are bound to emerge about certain organisations. Draw the group's attention to any groups or organisations that are: a) considered important to the project; and b) inaccessible. If any gaps or difficulties emerge, this may seriously threaten the success of the project and a way of dealing with this must be considered.

PROJECT IMPACT FLOW DIAGRAM
(after Gujit, 1998)

OBJECTIVES
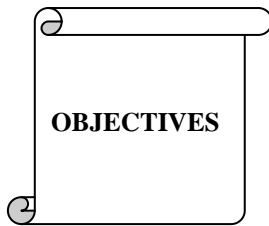
To provide a better understanding of the links between people's livelihoods and how they might use, manage and appreciate natural resources.
To identify the likely impacts of a proposed project.

OVERVIEW

This tool can help users identify the likely impacts of a proposed project or programme. It is easy to use and can help identify both negative and positive impacts, direct and indirect impacts and short- and long-term impacts. The use of visual symbols makes it a very accessible tool.

RESOURCES REQUIRED

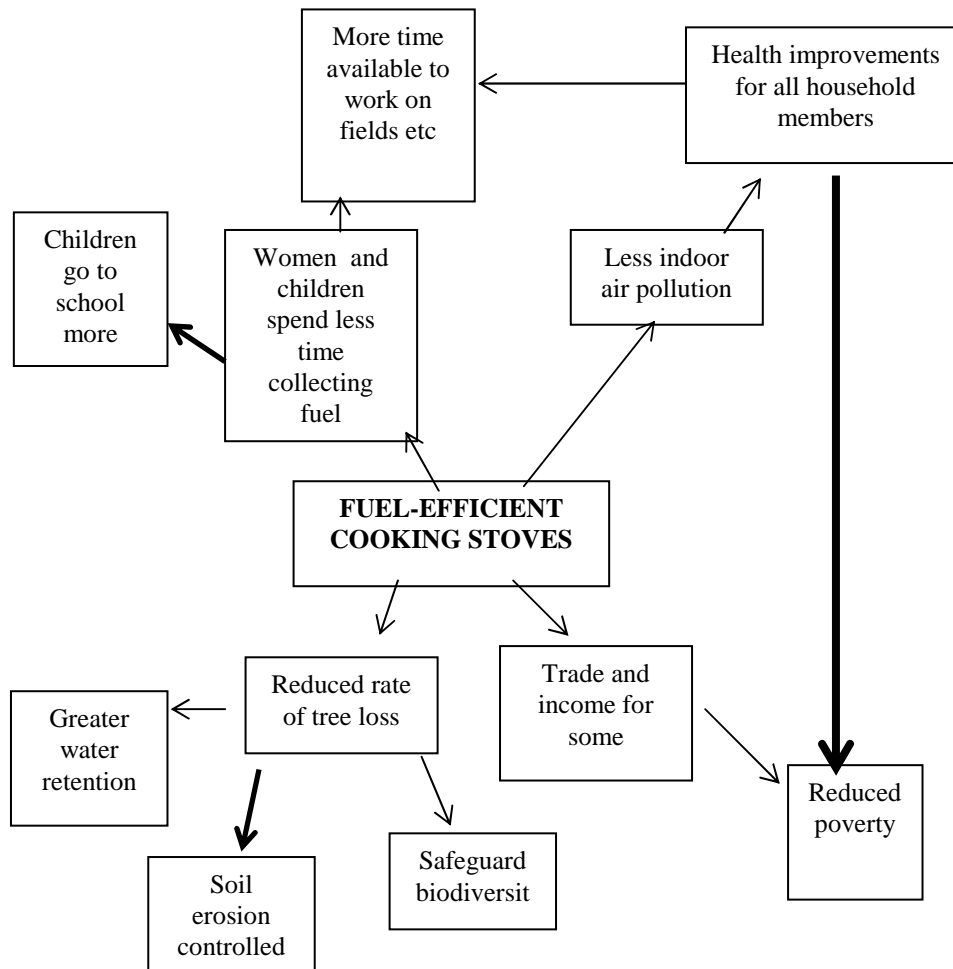Large sheets of paper and pens.

PROCESS

Begin the exercise by trying to find a way to symbolise the proposed project or programme. Asking one of the participants to draw symbols is a good way of encouraging involvement at this stage. If necessary, however, the facilitator should suggest a way of symbolising the initiative. For example, if the proposal is that fuel-efficient stoves will be constructed and distributed in order to help achieve the objective of reducing deforestation, draw the symbol for a stove in the centre of a large piece of paper. Then ask the group what impact the use of these stoves will have.

Encourage the group to think of physical environmental impacts – more trees surviving, for example – as well as possible social and economic impacts such as less smoke in the home, or less time spent collecting fuelwood (see diagram below).

Having identified the most direct impacts, go through these and ask about any potential knock-on or indirect impacts, for example, more trees surviving which could help prevent soil erosion, or less time spent collecting wood which might lead to more time being available for weeding fields.

If this method is causing confusion to the group, it is possible to simplify the process. Here, the facilitator will simply encourage a discussion of the potential impacts of the project. Those identified can be recorded either as a list or as a flow diagram.

```
                    More time                   Health improvements
                    available to                  for all household
                    work on          ◄──────         members
                    fields etc
   Children          Women and         Less indoor
   go to             children          air pollution
   school more       spend less
                     time
                     collecting
                     fuel
                        FUEL-EFFICIENT
                        COOKING STOVES
   Greater      Reduced rate    Trade and                Reduced
   water        of tree loss    income for               poverty
   retention                    some
        Soil              Safeguard
        erosion           biodiversit
        controlled
```

Notes about this example

Both direct and indirect impacts are considered in this situation.

Only positive impacts are recorded. If there are some potential negative impacts, e.g. fuel-efficient stoves are no good for sitting around, they could be identified by a negative symbol.

Arrows are optional and can be used to show connections between potential impacts.

The diagram can be used as a prompt to discuss: a) how negative impacts can be prevented or reduced; and b) how the project design could maximise the most desirable of the positive impacts.

The facilitator should make participants aware that it is not the number of potential positive impacts that is important. Instead, it is the quality of these impacts and the likelihood that they will result – in a sense it is the strength of the link which is important. To bring this point out more strongly, it might be worth experimenting with different thickness arrows to indicate such differences, as suggested in the diagram above.

It is possible for this PRA exercise to exaggerate the likely impacts of a project. For example, it is quite common to claim that one of the impacts of planting trees will be an increase in rainfall. In the example given above, a quite plausible connection is made between cooking stoves and children attending school, but the links may not be that strong and it is important to keep a sense of perspective.

ANNEX II   FOCUS GROUP DISCUSSION

1.   OBJECTIVE

Focus groups are group discussions in which 8-10 people gather to discuss a topic of mutual interest. The discussion is guided by a facilitator/moderator who asks questions and tries to help the group members have a natural and free conversation with each other. Focus groups are aimed at encouraging participants to talk with each other, rather than answer questions directly to the moderator.

Focus group discussion (FGD) is a key tool in the CEAP. As there are likely to be a number of large group discussions where some of the tools described in this volume are used, FGDs will focus on in-depth discussion, giving a better opportunity to hear the voice of different groups/stakeholders and get their views on certain aspects.

2.   PROCESS

Mental preparation is very important for conducting FGDs. As it is an activity that requires intense concentration for several hours at a time, it is important that the facilitator is mentally alert and free from anxieties.

The facilitator should prepare a checklist to go through before s/he leaves for the field for every focus group. This checklist should cover both equipment, for example tape recorders (if used) and an outline of the topics that are expected to be discussed – topics you would like to be the subject of the discussions, at least initially – and the tools that might be used.

The main factor influencing the success of the focus group is the facilitator's ability to conduct a smooth and natural conversation: the facilitator may therefore need to memorise the topics/questions that s/he wants to ask. A hard copy of the questions should be retained but constant referral to this or, in particular, reading questions word-for-word can lead to a poor group discussion.

It is always better to have more then one person to work together as a team while conducting FGDs – one person could work as the note taker and the other as the facilitator, for example. It is important that only one team member talks at any one time.

Some people may try to dominate the conversation, even within a focus group, so the facilitator has to be careful about the domination factor.

3.   IDENTIFYING AND SETTING CLEAR OBJECTIVES

Start with a round of introductions as not all participants will have met each other.

The facilitator should then introduce the purpose of the event and go through the proposed agenda. This introduction should stress the general decision-making process whereby projects will be included within the Action Plan and taken forward for implementation. Some time should be allowed for ensuring that this is understood and for clarifying discussion.

At each meeting, the facilitator(s) should provide a review from the individual group meetings and exercises, so that participants understand where they are in the process and what the emerging picture looks like. Having given a brief summary of the various lists of issues which have been brought to the fore through previous discussions and exercises (and which will also be on display), the facilitator(s) then introduces the next task of the workshop. This is quite a slow and demanding process but it is necessary – there may be many important environmental issues that need addressing and it is

important not to be too ambitious, especially at the outset. If participants try to deal with everything all at once, they will probably get nowhere. The best start to CEAP will be gained by focusing efforts on a few issues. Ask, for example, the group to identify any key issues that appear on all of the groups' lists. Discuss the benefits of selecting issues that all groups have identified as being important.

A field test of a CEAP in Bonga camp, Ethiopia, for example generated six issues: low productivity of agricultural land, deforestation, fire hazard, conflict of resource use, shortage of drinking water, and shortage of firewood. Make it clear that issues that don't appear on a list of 'common issues' are still important. They can be kept on a separate list for future consideration, or they might be followed up under separate processes if they fall outside the CEAP area. It is important to stress that issues are not being ignored or downplayed, otherwise people start to become demotivated as they see their own priority issues put aside.

Following discussion about the relative importance of remaining issues, it will probably be necessary to hold a vote. In a perfect process, discussion would lead to consensus and there would be no need to vote. If this happens, fine. If not, allow each participant two votes (perhaps give them two pebbles each). Then select the two issues with the most votes.

Having selected a couple of the most promising project proposals, consider them in more detail using project impact flow diagrams (see Annex I). The group can discuss the potential impacts of a particular project; the facilitator (or a volunteer from the group) can record the key points from this discussion as a flow diagram. This diagram will be used for future presentation. Other tools presented in Annex I should be introduced, as appropriate, by the facilitator(s).

4.   WHOLE GROUP MEETING

Each group reports on its work, describing issues such as:
- the proposed project(s);
- the flow chart(s) of expected impacts;
- the key inputs (collective labour); and
- any requirements for external assistance and co-operation.

After each group has completed its work, there should be a brief discussion about the proposal. The facilitator(s) should ensure that the discussion ends with a clear agreement to take the project forward for more detailed planning.

End the meeting with a clear summary of agreements that have been made and a clear outline of how the process will continue from here.

Following the meeting, the Environmental Management Group (or whatever body is responsible for the CEAP process) will need to make a written record of these agreements and find a suitable means of storing all evaluation materials. Consideration should also be given to communication to the wider community.

5.   SOME TIPS FOR FACILITATORS

5.1   Before Sessions

Your self-preparation: Before conducting any CEAP session, ask yourself if you have remembered everything about the process, steps taken, information generated thus far and any other relevant issues. Try to conduct a dummy session in your own head for mental preparation. You should ask yourself a few questions before you conduct a session with a community – Who are the people I am

going to meet? Is the topic clear to me? Can I easily explain it to the community? Is the meeting place comfortable and accessible for everyone? What are the tools I can use, including live ones? … and so forth.

Arrange proper seating for participants: Make sure to select a comfortable meeting place, e.g. in the shade, for the session. When you are seating people, it is absolutely essential that everybody is comfortably seated and that they can all see what is going on. Otherwise, people may start leaving in the middle of the session. It is also important that you sit with the people, not on a chair or somewhere higher where they may feel that you are some superior and not an equal.

Have materials ready: Always ensure that materials are ready to use for the session, including recordings from previous sessions, as these may be important for the session you are about to conduct.

5.2   During Sessions

Encourage everybody to participate: Remember that this is a participatory exercise/technique and you would like every one to participate actively. If only a few people or just the leaders are participating actively, try to ask questions of other participants to involve them in the session. To increase the possibility that key community representatives, such as community leaders and the environmental management group members, will be able to conduct their own FGD sessions in future, it is important that you allow them to test their own facilitation skills during the session, and continue to encourage them.

Don't bore participants: With some topics there may be a temptation to use the sessions to gather detailed information, such as how many people are cutting down trees or grazing livestock in different areas. Participants will quickly find this very tiring and boring and it is in most cases unnecessary. It is better just to get a quick overview and keep the session alive. Remember the CEAP is not about getting numbers and percentages right; rather it is about helping the community to explore new ideas and share their knowledge.

Encourage lively discussion/debate: Create opportunities for participants to exchange experiences by asking additional questions that may expand the debate. Whenever discussions occur among the participants, **listen carefully to learn from it**. What is important to the community should also be important to you so that you can serve them better, based on the needs they have identified for themselves. If the discussions continue for a long time try to help the participants conclude their debate in order to move on to other equally important topics.

ANNEX III   CONFLICT MEDIATION[2]

Many conflicts of interest will find their own community-generated solutions. Sometimes, however environmental conflicts do require skilled mediation.

If you are looking to this page for advice, you may already have encountered some of the symptoms of issues that require conflict resolution techniques such as:
- a history of conflict between the parties involved;
- refusal of at least one party to take part in discussions;
- a failure to identify any mutually beneficial solutions; and/or
- discussions which tend towards personal issues.

There are no easy solutions but there are some principles that may help to convene a consensus building meeting:

Don't...
*...**trade concessions.*** This method of negotiation leads to a lengthy process, failure to imagine better solutions and entrenched ill will. Agreements are often poor compromises that leave the underlying causes of friction unresolved. It is now thought that the basis for successful negotiation is to avoid bargaining.

Do...
*...**discuss and address interests***. Why is each side taking a particular position on the issue?

*...**understand that emotions play a part.*** Facilitators need to recognise that participants will have emotional responses to the issue. While not ignoring such responses, it is important to try to steer discussion towards the technical side of the issues.

*...**generate several alternative responses.*** Evaluating several options tends to lead to less entrenched positions, rather than evaluating two options.

*...**try to agree a set of criteria by which options will be evaluated.*** This is a really important step towards a solution because criteria reflect the interests which people hold on the issue. Agreeing upon a way of evaluating is often a successful option that provides the basis for a decision which all parties will consider legitimate.

If all fails...
If agreement cannot be reached, don't consider this as failure. It is quite expected that some issues cannot be resolved overnight. If communities can come together to work on less controversial issues, they may eventually develop the social capital (the trust and experience of successfully working together) necessary to tackle some of the more difficult issues. Remember, this is just the beginning of the process.

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[2] after www.resolv.org

ANNEX IV INSTITUTIONALISING THE COMMUNITY ENVIRONEMNTAL ACTION PLAN PROCESS

This Annex draws attention to some of the key organisational issues that need to be addressed if the CEAP process is to be an effective and cost-efficient component of camp and settlement management. Various models are possible of how the institutional structure might be constructed, but as a rule of thumb it is always beneficial to allow as much responsibility as possible to rest with the communities involved (see figure).

A key group in the CEAP organisational structure could be the Environmental Management Group (EMG) which, from its location on the ground with the refugee and local communities, might manage the CEAP process and activities within and around a camp or settlement. This would involve *inter alia*, helping get the physical activities up and running, liaising with local stakeholders and partner agencies, participating with UNHCR in negotiations and discussions with local authorities, and as a monitoring body.

In such a scenario, the EMG might comprise a facilitator from the lead implementing partner, key representatives from among the refugee and local communities, and representatives from local authorities and UNHCR. Its role would be to manage the CEAP process, but specific activities – such as collecting information for monitoring and developing plans – would be carried out through groups largely made up of local people and refugees, under the guidance of the EMG.

If there are several camps in a particular area it might make sense to establish an area or regional committee to swap information and experiences and to co-ordinate activities across the camps. Such groups, however, should only be introduced if they have clear benefits.

Key roles of the EMG could be to serve as:
- **a resource pool** – to promote and enable more sustainable environmental management practices on a day-to-day basis;
- **a channel of communication –** to disseminate information in appropriate ways of CEAP activities and outputs; and
- **a logistics support unit** – to identify problems and initiate solutions in the management of local groups.

Above all else though, within each camp or settlement, the EMG would be responsible for seeing the CEAP translated into practical action. By initiating, managing and providing momentum to the process, rather than undertaking the activities themselves, the EMG should organise the setting up of "CEAP activity groups" – *ad hoc* groups made up mainly of camp residents (perhaps sometimes with local community members) which carry out specific tasks within the CEAP process. For example, a monitoring group would be set up to organise and carry out periodic measurement of selected environmental indicators. Information would then be passed back to the EMG which would then organise the next stage of the process.

At the district level – the EMG (or groups of EMGs if such structures exist in more than one camp/settlement – in turn, would be monitored and assisted by a combination of technical and logistics support from combination of local authorities, implementing partners and UNHCR, as appropriate. This, in turn would report back to a higher level – but still, ideally, informal – Environmental Working group (EWG) which would need to be involved in the more detailed discussions of planning, budgeting, monitoring and reporting in particular.

POSSIBLE ORGANISATIONAL CONTEXT FOR CEAP MANAGEMENT INVOLVING AN ENVIRONMENTAL WORKING GROUP AND ENVIRONMENTAL MANAGEMENT GROUP (Note especially the importance of two-way informaation flows)
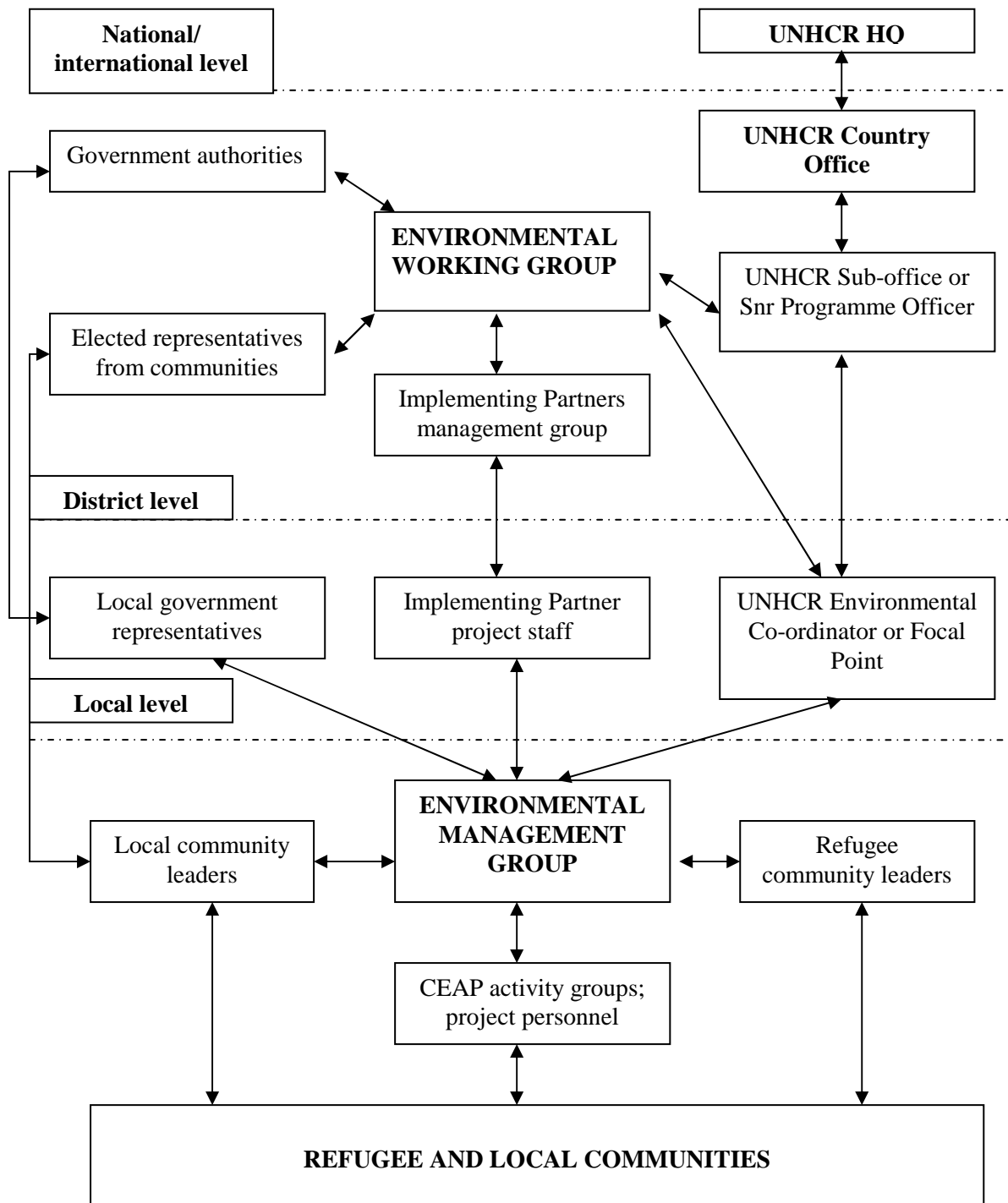
Establishing an EMG requires preparatory work, including a stakeholder analysis (see Annex I) of the local camp and its environment. The facilitator would need to work with a small group, perhaps no more than three or four people drawn from the camp/settlement or community and identified as being particularly supportive of the notion of improving social and environmental well-being in the local area. This group would then plan the establishment of the EMG, in co-ordination with UNCHR and the agency responsible for camp management. A series of public meetings might be held to explain the proposed process and invite questions and comments.   As soon as practical, a stakeholder analysis should be completed, so that discussion can then be conducted with each of those groups. Representatives of each stakeholder group would be invited to sit on the EMG.

Once this first stage has been completed, the first full meeting of the EMG would be held, at which a chairperson, secretary and other officers considered appropriate are chosen. It is likely that the facilitator, assisted by the establishing team and the UNHCR Environmental Co-ordinator, would then need to explain the CEAP process in some detail. This may take the form of a series of short training sessions, with practical exercises to simulate the activities the EMG will eventually be managing.

As the EMG begins to carry out the CEAP activities, the facilitator will play an important role of supporting, assisting and encouraging the EMG members and the wider community, as then undertake the various tasks. This role should shrink after a period of time, as the EMG develops more confidence through experience.

ANNEX V   INCENTIVES FOR PARTICIPATION

Participation should not be taken for granted. Projects – even workshops – that simply assume that people will want to get involved, and will have time available to be involved, without seriously considering the incentives that will motivate them to do so, run a high risk of failure.

So what are the incentives for refugee/returnee and host communities to participate in the CEAP process? People will expect to see changes as a result of a CEAP – expectations will have been raised. They will also expect to get something out of their involvement. Some of the benefits of participation are less tangible, and people may not be convinced that they are an adequate incentive, or compensation, for their involvement.

PERSONAL DEVELOPMENT INCENTIVES

Three issues should be highlighted:
- **Social Learning**. Refugees can benefit from participatory processes by practising and developing some of the social skills that are important in all communities. This might involve building upon local practices of collective decision making and collective action, and learning how to focus these abilities in new ways.

- **Learning new skills**. Environmental management will at some point involve the use of technologies and skills which need to be learnt. These might include new agricultural practices, new construction methods or ways of monitoring environmental change. As with social learning, these skills will be transferable: they may even become more useful during and after rehabilitation.

- **Empowerment**. Refugees are forced into positions of dependency in which they become reliant on others for resources and decision-making. Such disempowerment is hard to come to terms with. Participation in environmental management can provide an opportunity to regain some control. This will be a relatively small development in the context of an overall position of dependency, but it may be significant.

There is a danger of placing too much emphasis on these personal development incentives. Such incentives are often important to people working in the development business: people tend to like the idea of others learning the skills necessary to help themselves, learning to mobilise collective action and becoming empowered to take control of personal destinies. But will these less tangible things really motivate refugees to become active environmental managers? For instance, will they motivate people to attend lengthy planning meetings when they could be using the time to do something else?

The answer to such questions will differ from person to person, place to place and from situation to situation. As a general rule, personal development incentives should be seen to be important but they are not sufficient. Many people will only become enthusiastic about the CEAP process if they are confident that it will result in tangible improvements to their own lives. This means that there must be economic incentives.

ECONOMIC INCENTIVES

It is easy to raise expectations of economic benefits but much harder to sustain confidence in them. Consider two categories of economic benefits in the context of a refugee situation.

- **Long-term economic incentives**: One of the most common incentives for participating in environmental management is to secure the long-term economic basis of an area. Looking after local environmental resources such as forests, soils and water is an investment in the future. Such an investment should be particularly relevant to people whose livelihoods are directly linked to those resources. But this incentive may be a weak one in the refugee situation. Whilst local communities will have a long-term stake in local environmental resources, refugees do not. Their aspirations may well be to return home, not to secure a long-term future where they are.

- **Short- to medium-term economic incentives**: Examples include increases in agricultural yields, improved supplies of firewood and clean water, and/or improvements in infrastructure and opportunities for income generating activities. If the communities involved are confident about these types of benefits, they are more likely to be willing to volunteer their time and energy.

SOME SUGGESTIONS FOR RAISING CONFIDENCE IN ECONOMIC BENEFITS

Learning through direct observation: First hand experience of successful case studies can be a great motivator. Communities that are largely rural and agricultural often learn about what works and what doesn't work through direct observation and through personal communication of results. If at all possible, it is a good idea to take representative groups to observe the achievements made elsewhere in the region. If they are thinking about adopting a new agricultural

> **A NOTE ON LOCAL COMMUNITIES**
>
> Most of the points in this annex refer to refugees rather than host communities. The incentives for host communities will be broadly similar, the main difference being a greater commitment to the future of the local environment. But even with such a powerful long-term incentive, it is still necessary to think carefully about shorter-term economic benefits: it is hard to maintain enthusiasm through reference to "the future".

practice, arrange for them to visit farmers who have already adopted such techniques. Likewise for soil protection works, new forms of animal husbandry, afforestation, irrigations, fuel-efficient stoves and a host of other common environment-related initiatives.

Learning through an experienced practitioner: Where observation visits are not practical, the next best thing will be to bring people to the camp (such as professional extension workers or refugees from other camps) who themselves have direct experience of the proposed activities.

Providing a budget for materials and training: This can be very helpful, although it will not always be possible. Having access to a budget is a good incentive because it can make it so much easier to achieve concrete results. For example, suppose that a working group decides that it wants to plant field boundaries with leguminous tree/shrub species that also generate good quality green manure. This may be achievable with virtually no financial outlay – some species for example can be propagated by simply sticking a branch in the ground. But it becomes much harder to achieve results if there is a need to establish a nursery to propagate seedlings. In this situation, a small financial input could make the difference between getting the project established or not. More generally, the ability of implementing agencies to provide money for materials or training is a good incentive for the intended beneficiaries to provide the management and the labour. Once the CEAP process is established, it may also be possible to devolve such a budget, giving increasing levels of responsibility and ownership to participants.

Working without a budget: If there is no budget for site visits, skills training, expert advice and materials, the range and scale of possible environmental projects is going to be somewhat restricted. It is important to be clear about such restrictions at the outset so as not to raise false expectations. While projects involving construction materials will probably be impossible, there may still be the opportunity for maintenance and management-oriented projects, e.g. initiatives to better manage the use of existing irrigation channels or grazing lands.

THE IMPORTANCE OF RESPECT

During field testing of the CEAP, the issue of paying incentives arose frequently. Some groups threatened to pull out of the process if they were not paid: one group actually got up and left. The response was to politely refuse to give payments and to explain why payments are inappropriate for a community-based initiative. This is a particularly hard case to make in refugee camps because there may be a history of paying for any time-consuming involvement – attending workshops, for planting trees and so on.

When dealing with the difficult decision of refusing to provide payment in the example cited above, the facilitators realised that this decision made it important to show great respect for participants. If participants are not being paid to attend, they are doing it out of good will and public duty and they deserve to be treated accordingly. Showing respect includes thanking people for their involvement, making them know that their input is valued, giving them ample notice of meetings, consulting them over where and when meetings should take place and, importantly, *turning up on time!* This last point can actually be very difficult: there are always issues with transport and other logistic difficulties, but it is important and one needs to remember to respect those with whom you are working.

FRAME Toolkit

This toolkit comprises the following modules:

1. **Introduction to the FRAME Toolkit**

2. **Environmental Assessment**

3. **Rapid Environmental Assessment**

4. **Community Environmental Action Planning**

5. **Environmental Indicator Framework**

6. **Geographical Information System**

7. **Evaluation**

For more information on this Toolkit, please contact:
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or

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