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

COMMUNITY-BASED APPROACH IN UNHCR OPERATIONS

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ANNEX 1: Toolkit

Participatory Methods for data collection, analysis and planning

UNHCR already has guidelines for some of these participatory methods collecting information. However, the principle behind the community-based approach is that the population itself will not only be involved in collecting data and information, it will also be involved in the analysis of the data, prioritisation of issues, and in decision making about how to resolve the issues. Therefore, this annex contains tools for both participatory data collection and participatory analysis.

The methods presented here are examples of some commonly used methods. Other methods exist and can be accessed from PLA websites. We do not suggest that staff use all these methods, but select and adapt those which seem the most appropriate for the task in hand with a given population.

As stated, there is a spectrum of participatory methods that span the different levels of participation, from consultation to empowerment:

Spectrum of participatory methods:

Consultation		*Empowerment*
Community **consulted** / observed by UNHCR & partner staff:	⟷	Community **actively participates** in data collection and analysis

Consultation

At one end of the spectrum there are methods which are useful for UNHCR and partners to **collect information from the population of concern about itself**.

Empowerment

At the other end of the spectrum, there are participatory methods where the aim is to involve the population of concern in the activities of both data collection and analysis, in order to support and encourage them in organising themselves to solve problems. These methods tend to be based on the **PRA, or PLA** (Participatory Rural Appraisal, Participatory Learning & Action) methodologies, which enable local people to conduct their own analyses and develop their own plans of action. Many of these methods are visual methods and can be used by populations with low levels of literacy.

Some tools can be used in both for information gathering by outsiders, and for participatory data collection and analysis - depending on the way the tools are used.

The list of tools below shows a rough progression from tools for outsiders to tools for insiders:

Participatory data gathering tools:

- Time lines
- Transect walks
- Observation
- Semi structured interviews
- Surveys
- Focus groups
- Mapping
- Use of diagrams – Chapatti or pie, Venn, Flow diagrams.
- Ranking methods – preference, pair-wise and matrix

Participatory Analysis tools:

- Problem tree
- Ranking methods – preference, pair-wise and matrix
- Action Planning

Community Management tools:

- Project Record Book

Using participatory tools[1]

Whichever tools are used, there are areas where the appropriate behaviour by project staff can make the exercise more successful. These are highlighted in the table below:

Approach	• Use an appropriate form of transport. It may be much better to walk or cycle in the community (an advantage of this is that you may observe more things than would be possible when travelling by car). • Do not go in large numbers. Two in a team is often best. • Be sensitive to the fact that people may be suspicious of your motives for collecting data. • Be considerate of the daily work schedule, seasonal activity, work habits, climate etc. Sometimes discussions can be successful if you can walk to the field and discussions centre around ongoing agricultural activities • Make sure that you make appointments where possible and do not expect people to drop everything if you arrive unexpectedly.
Warm Up	• Don't go directly into the subject at hand. First greet the person/ people appropriately. Always treat the people/person with respect. Do not talk to people from your vehicle if you are in one. • Tell them why you are here and why you wish to talk to them. Be honest and open. • Make sure the context you are in is conducive to an interview. • Ask permission if you want to take notes, record or take photos.
Dialogue	• Be natural and relaxed • In qualitative interviews let discussion flow and mix up your questions. Be flexible • Do not be aggressive or defensive • If the person or people you are talking to are unable to answer the question, rephrase the question rather than suggesting answers for them! • Always use plain and understandable language • Be culturally sensitive
Departure	• Do not end a discussion abruptly as this can seem rude. Thank them for the time they have given you and depart with the proper local farewell
Recording	• Always record the date, place of interview and, unless the interview is confidential, the name of those involved. • It is up to you to assess if the situation is suitable for taking notes in front of the group or individual you are interviewing. • After the interview jot down notes, if you did not take them during the interview.

[1] Adapted from Bakewell, O. (2003) *Sharpening the Development Process: A Practical Guide to Monitoring and Evaluation*. Praxis Guide No. 1. Oxford: INTRAC. Page 83.

Tool Name:	**Transect Walk**
Description:	This tool consists of walking with local people through an area, using the opportunity to observe, discuss and listen to the variety of people encountered.
When to use	The tool is useful to review the physical and social characteristics of an area from the perspective of its inhabitants. This can help to develop an understanding of the uses people make of natural resources and infrastructure within their area. This is a good tool to use in the initial stages of getting to know a community. A lot of information can be collected in a short time during a transect walk, both from observing the environment and from the discussions with community members accompanying the staff on the walk. Examples of things to observe during transect walks are: housing conditions; sanitary conditions; interactions between men and women; children and their activities; informal street commerce; types of organisations; prostitution etc. The number of transects undertaken depends upon the size and population of the settlement as well as the complexity of the terrain. The facilitator should document the findings in visual and written formats.
What You Need:	A pen and notepad for documenting findings and big piece of paper with markers to draw the transect after completing a walk. One facilitator per walking group.
Time Required:	Up to half a day depending on the size of the area
How to Use:	• Explain the purpose of the transect walk to members of the community and jointly decide on the route. Where possible a direct route should be taken cutting through the settlement to avoid bias – do not simply stick to the well trodden paths. • Ask some community members who may be able to lead the group on the walk. Try to keep the groups to a maximum of 10 persons. • Clarify what sort of things will need to be noted along the way agree on the methods for recording information. • As you proceed, stop frequently at key points to ask questions and engage community members in discussions. The objective of the transect is to uncover local explanations and analysis. • When the walk is complete, list the findings with the community members. This can be done by drawing a 'map' of the route on the ground with a stick, and noting the issues that were observed or identified.
Number of Participants:	Walking groups should not exceed 10 persons.
Resource Requirements:	An area familiar to participants and one facilitator for each transect group. In the absence of a skilled facilitator allow one days staff training in interview skills and group facilitation.
Difficulty Level:	Medium.
Notes on use	The tool is commonly used to verify the statements of key informants regarding the existence of especially marginalised groups. For example, people with disabilities may have been overlooked during discussions about food needs with community leaders. A transect walk can be used to validate the 'who' of a needs assessment. By

	asking questions such as, 'who has the grazing rights to the communal land?' the facilitator can bring out valuable information about resource access within a community.
Example:	Transect Walk in arid zone of Pakistan identifies role of religion in protecting vegetation The Arid Zone of Sindh, Pakistan includes some of the world's most densely populated deserts. Unreliable rainfall frequently reduces the millet harvest on which the villagers and their goats depend for staple food and for fodder. When Village Development Committees (VDCs) were established to address the sequel of increasingly regular drought, part of their initial training included Transect Walks. These exposed startling differences between the amount of vegetation and its health in common lands and in areas managed by the mosque. Although grazing was not subject to restrictions on the mosque lands, the lopping and cutting of trees was forbidden. Technicians were able to point out that the cover provided by trees and shrubs in the mosque lands had created micro-climates conducive to plant growth. As a result VDC members agreed to zone lands held in common and enforce similar restrictions to positive effect.

Tool Name:	**Observation**
Description:	As stated in the Tool for Participatory Assessments for use in Situational Analyses: Observation is an individual and team activity to look at the actual situation or behaviour of people (as opposed to what they tell us about what they do).
When to use	Observation is useful for obtaining a better picture of the protection situation, and should be used by UNHCR staff to supplement other forms of information gathering. It can be especially useful in understanding issues that people find it difficult to talk about and can help give context to other information.
What You Need:	Note pad and pencil/pen
Time Required:	One day minimum – this is a tool that can be used regularly to keep informed about changing situations
How to Use:	This list is adapted from the Tool for Participatory Assessment Guide: • Decide on what aspects of the operation or interactions to observe • Familiarize yourself with UNHCR checklists/guidelines relevant to what is being observed. It is helpful to know in advance what are some of the key issues and problems that can present themselves in different areas of activity • Pay attention to the spaces, actors, activities, objects, acts, events, times, and feelings of those being served or participating. Who is present and absent in the activities and spaces being observed? What are your observations telling you about social inclusion/exclusion, or gender differences? What are the protection implications of these? • Ask questions of partners, workers and participants in the activities, services and meetings being observed. • Take notes during or immediately after the observation.
Number of Participants:	This is an individual activity – however it can be organised for several people to undertake observation at different locations at the same time
Resource Requirements:	Trained people to do the observation – they should know what they are looking for and how to record their observations
Difficulty Level:	Easy – but the observations need to be well recorded
Notes on use	
Example:	

Tool Name:	**Surveys**
Description:	Surveys are a tool for gathering information from a selected group of people in a systematic way. They are less useful in collecting information about peoples' perceptions and concerns.
When to use	Surveys can be used to gain information from a large number of people on particular questions. Surveys differ from questionnaires in that it is the interviewer who completes the survey form. Surveys are especially useful for collecting quantitative data.
What You Need:	List of questions and agreed protocol for marking the answers. Pen.
Time Required:	Depending on the number of people to be interviewed: allow at between one and two hours per informant
How to Use:	• Determine what sort of questions you want to ask. Closed quantitative questions will be easier to collate. • Undertake a trial or pilot survey in order to test the wording and understanding of the questions • Select the people/ households to be interviewed. Whilst the objective of a small scale survey will not be to achieve statistical accuracy, it is important to ensure that sufficient representatives from different population groups are included in order to get a feel for the different situations. • Train the people who are to conduct the survey • Organise how the data is to be collated and analysed
Number of Participants:	Depends on number to be interviewed
Resource Requirements:	Time for developing and piloting the list of questions. Time for training interviewers and translators. Translators.
Difficulty Level:	Difficult to get the list of questions right, and to pilot and train interviewers in protocol
Notes on use	A survey can be a useful tool to get a community motivated about understanding their situation. It can be useful to train members of the population of concern to conduct the survey, in order to involve them in thinking about the issues that affect the wider population. However, when the purpose of conducting a survey is for community mobilisation and motivation, whilst we can try to ensure that all relevant groups of the community are represented in the sample to be surveyed, we must remember that the results of the survey will only be indicative, not truly or statistically representative.
Example:	

Tool Name:	**Semi structured interviews**
Description:	Semi-structured interviews are flexible and open-ended interviews which allow the interviewer to explore issues, as they arise, in depth. This method encourages dialogue between the interviewer and interviewee and can build rapport.
When to use	Semi structured interviews are a useful method to use at the beginning of a data collection exercise. They allow the interviewer to explore an issue and find out about the range of experiences and views. This not only leads to a greater understanding of the issues, but also can suggest further in-depth work that needs to be done.
What You Need:	A list of basic questions and guide-lines for issues to be explored. Small note-book, agreed format for recording the responses, pen
Time Required:	Depending on number of respondents: allow between one and two hours per interviewee
How to Use:	• Decide who will be interviewed. Select people to represent different points of view or different interest groups, according to the topic/s being explored. Ensure that different genders and age groups are represented as appropriate. • Decide who will be on the interview team. Think about gender and age. Are there sufficient resources to have an interviewer and a note take, or is it better to have just one person doing the interviewing. People may feel more at ease with just one person. • Decide on the key questions to be asked. These will form the structure of the interview. However, the nature of semi-structured interviewing is that it encourages people to talk more widely around an issue. The interviewer must be prepared to respond to the information being given, and to ask further probing questions as appropriate. (Useful probing questions often start with words like, 'who?', 'what?', 'where?', 'how?', 'why?'). • Provide training for interviewers so that they do not introduce their own bias into the interviewing process. • At the beginning of an interview, introduce yourself, explain clearly the purpose of the interview. Clarify who will own the information and how it will be used • Start with general questions to put people at their ease. Allow people to elaborate on their answers and be prepared to follow up on interesting points to find out more. This can help identify new areas of enquiry and new insights. • Notes need to be taken in an unobtrusive way • At the end of the interview, thank the interviewer and state again how the information will be used.
Number of Participants:	Depends on numbers to be interviewed
Resource Requirements:	Time to draw up basic questions; training of interviewers and translators; Interviewers and translators
Difficulty Level:	Difficult – need to get the questions right and train the team

Notes on use	Sometimes it is useful to start an interview with the use of another participatory tool – a drawing, a timeline etc. in order to promote discussion. Making too many notes will undermine rapport, so it is better to use a small notebook to note down things of immediate interest, and write up more detailed notes straight afterwards. Do not make the interview too long, it is better to have two short ones if you need more time. Remember that things like the way you dress, your body language and seating arrangements can affect how the interviewee feels. The purpose is to make them feel relaxed and interested in responding to your questions.
Example:	

Tool Name:	**Time Line**
Description:	An illustration of key events in the life of an individual, household, community or organisation over a specified period of time in the past.
When to use	The tool can be used to analyse, from the perspective of the poor, perceptions about a particular event, or series of events. It is a useful tool to use when starting a discussion about changes in peoples' lives, since it opens up the discussion and people easily get involved.
What You Need:	Large sheets of paper and marker pens. Alternatively use sand or earth on the ground with sticks, stones and other local materials.
Time Required:	One to two hours.
How to Use:	Get participants to identify key events in their lives, or that of their community, in which they have been vulnerable to food insecurity. Ask participants to illustrate these events - in a linear fashion - on the paper provided. During this stage encourage participants to think about the cause and effect relationship between the events described. Also encourage participants to think about the impact each event has had on their current situation. When working with groups ensure that they are in agreement about the sequence of events. Ask each group to compare and discuss their time lines in plenary. Select a representative sample of participants and divide them into groups of up to 10 people.
Number of Participants:	Up to 10 participants per group.
Resource Requirements:	A trained facilitator, or one day staff training in group facilitation skills.
Difficulty Level:	Low
Notes on use	This information can be used, for example, to plot the occurrence of natural disasters, or previous land use patterns. The tool is a useful way to analyse cause and effect relationships seen in changes in a situation over time. Time Lines may be constructed individually or in groups

Example:	Participatory appraisal in Central Asia conducted by INTRAC and Institute for Development Studies. Creation of a time line for the village of Nooket, kyzyl-Sai 1930 Formation of collective farm "Kyzyl-Sai" (tobacco and wheat crop) 1965 School building 1967 Renaming of collective farm after Frunze 1970 Building of kindergarten 1984 Giving land for new types of houses 1984 Rejecting of the idea because of wet land (ground water) 1990 Beginning of potato growing 1991 Collapse of the USSR and rejection of tobacco sowing 1992 Closure of the kindergarten 1994 Building the mosque 1994 Division of the collective farm land to families 1994 Renaming the collective farm to "Kyzyl-Sai" 1996 Renewing tobacco sowing with consequences for women and children.

Tool Name:	**Focus groups**
Description:	A focus group is an organised discussion with a selected group of individuals to gain information about their views and experiences of a topic.
When to use	Focus groups are a good way to get information and a range of perspectives from people with similar backgrounds or experiences. They can be used at any stage of the information gathering process when it is important to understand the range of views within a particular group. They can also be used at the beginning of a planning process, in order to involve a particular group. And they can be used as part of a participatory monitoring and evaluation process.
What You Need:	Space for a group to meet – a room or quiet area away from noise or intrusion. Places for people to sit, refreshments if appropriate. List of questions to guide discussion, paper, pen
Time Required:	1.5 – 2 hours for the actual focus group discussion
How to Use:	• Although focus groups sound easy to organise, they require a great deal of preparation and skilled facilitation. (See also the detailed instructions in the Tools for Participatory Analysis Guide for the Situational Analysis). • The discussion topic needs to be well defined, and a 5-6 key questions prepared. Open questions are better, to encourage discussion. • Decide which groups of the population need to be involved. This will depend on which groups' perspectives you need to understand more fully. Or which group you hope to involve more fully in some aspect of community activities. For instance, you may be particularly interested in single mothers, or elderly women. • Select people from a group whose views you wish to explore in more depth. It is sometimes better to select people who do not know each other in order to get a good discussion. However, some people may only feel comfortable in a group where they do know some other participants. • Choose the place for the meeting with care – will people be comfortable? Is the place private? • Choose how to record the session. Sometimes it is possible to use a tape recorder. If not, you need to have some one whose job it is to take notes. The facilitator will not be able to take notes as well as facilitate. • At the beginning of the meeting, introduce the facilitator, note taker etc. Explain why the meeting has been called and how the information will be used. • Get every one to introduce themselves and agree on the time available. • Then the discussion can begin. The facilitator can ask the first question, which should be a general question. State that you are interested in knowing the different opinions in the room, and you hope people will express their own opinions even when they do not agree with others. Tell people that this is not intended to be an exercise where people are persuading others to agree with them and that we do not expect people to reach agreement. • You can either take it in turns to allow every one to respond to the question, or you can ask for people to volunteer their opinions. The

	advantage of the former is to allow every one to talk. The advantage of the latter is that it is more likely to lead to a general discussion around the topic. As the discussion proceeds, ensure every one feels at ease. Encourage the contributions from less confident participants. • Allow the discussion to proceed for as long as it is useful – keep it focussed on the question and keep the momentum going. • Introduce the next questions as appropriate, remembering the time. • Use probing questions, (what, why, where, who, how, when),to deepen the discussion • Towards end of the focus group discussion, make a summary of the main points raised, to see whether all agree. • At the end, thank the participants for their time
Number of Participants:	Between 6 to 12 people – it is difficult to facilitate a good discussion with a group that is large than this.
Resource Requirements:	Facilitator and note taker as a minimum, plus translators where necessary
Difficulty Level:	Difficult
Notes on use	• Good planning is essential. If the topic is difficult or controversial, start with questions that are the least controversial. Sometimes it is useful to allow people to meet informally at the beginning of a session – for instance by inviting them to have some refreshments together at the start. Sometimes it can be useful to start the session with a participatory tool, such as a time-line or a diagram. • The facilitator is there to facilitate rather than control. Facilitators should not give their own personal views. Facilitators need to create an open, tolerant and non- judgemental atmosphere so that people are comfortable expressing their ideas. They should allow divergent opinions to emerge and encourage the group's acceptance of divergent opinions. Focus groups can be empowering for the participants who may value the fact that people want to listen to their points of view. • This is an effective way for an outsider to gather information quickly from a particular group, and can provide in depth information as the discussion proceeds. For the group itself, this method can create a feeling of rapport and lead to effective ways of working together. It can provide an opportunity for participants to actively take part in gathering information, planning, reviewing situations. • You need to beware of people who want to use the group discussion for own ends or who dominate the discussion too much.
Example:	

Tool Name:	**Mapping**
Description:	This tool focuses on drawing a map of the community
When to use	This is a useful tool to use at the beginning of a participatory workshop. It is a method that many people can participate in, so it gets more people involved at the start. It generates a lot of information which can be used in planning the rest of the workshop. Maps can focus on one specific type of information or they can be used to gather many different types of information at once e.g. • An informal census of how many people/ households there are in the community • Provide a list of households to sample for in-depth interviews • Identify specific characteristics of community members – eg the number of children in each household; the location of traditional birth attendants; skills of community members; people with disability; single mother households; elderly households etc. • Learn about community problems • Identify the presence and location of community resources • Identify which resources are important to different groups within the community • Establish dialogue between different community groups • Can be used for planning purposes – where to locate the market or a water point • Can be used for monitoring purposes – eg number of households with access to safe sanitation facilities. Encourage the community to use and update their maps in monitoring progress
What You Need:	Large sheets of paper and marker pens. Alternatively use sand or earth on the ground with sticks, stones and other local materials.
Time Required:	Half a day at least
How to Use:	• Maps can be drawn on the ground with a stick, and using other objects (stones etc) to represent different facilities. Or maps can be drawn on flip chart paper. It is often a good idea to start out by using the ground, since this fosters participation and enthusiasm. • Start by indicating with a stone, or a leaf, on the ground, where the meeting is taking place. Then add other features which are nearby – a tree, a water point..... • Discuss how each household will be represented on the map. If using the ground, you can use seeds, sticks, stones. Discuss how to represent households with particular characteristics – eg single mother households • Hand over the stick to community members, asking them to represent each household and their relevant characteristics. Let them get on with drawing the map – their discussion about the different households and the relevant characteristics will be useful and informative. • Take notes as the discussion progresses. • Encourage less confident community members to get involved in the development of the map by indicating where they live themselves. • Ask questions as the map develops – but do not ask the community

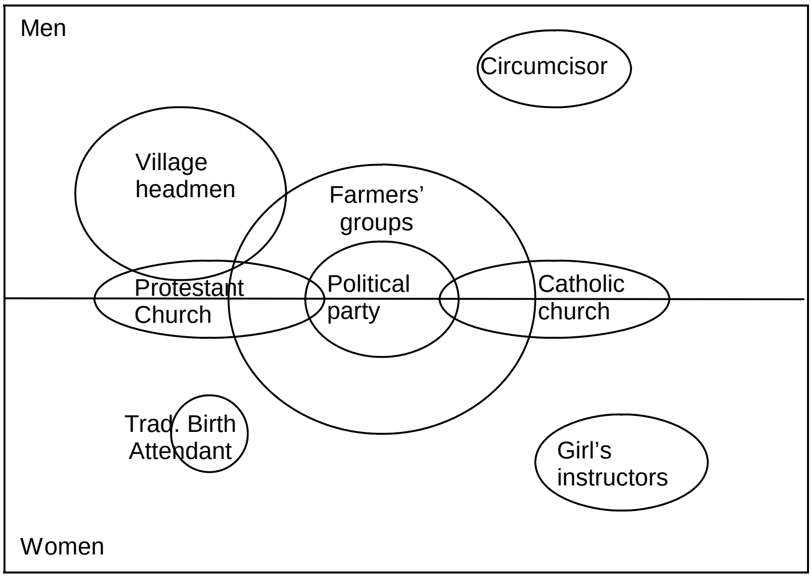
	members directly – address the questions to the map that is being drawn • Make copies of the map/s on paper for future use. Make sure the community has a copy of the map for their own use. • If the community is large, get several groups to make their own maps of smaller areas • It can be useful to get different groups to draw maps from their own perspective – e.g. a map drawn by men may highlight different issues from one drawn by women • Ensure you make copies of the maps at the end of the day, especially if they have been drawn on the ground. One copy for the community, one for UNHCR.
Number of Participants:	About 6 people can draw a map together. With larger numbers, you can divide the people into groups of around 6, and each group can either do the same task, or focus on different aspects of their community
Resource Requirements:	One facilitator per group, note takers/recorders
Difficulty Level:	Medium
Notes on use	• Mapping may be difficult to do with very large groups, so after the initial explanation and illustration, it may be better to get smaller groups to map their areas. • It is important to label things clearly on the paper copy, since drawings may be difficult to interpret later.
Example:	

Tool Name:	**Social network mapping**
Description:	A simple map to show the pattern of social and economic linkages, either between communities or within a community, such as those which result from the exchange of materials or services, cultural ties or protection.
When to use	This tools helps to build an understanding of these relationships and the needs of a community. The information concerns the communities' perceptions of these relationships and how different social groups make use of these linkages. It can be useful for understanding how individual households support themselves and how members of the community support each other. Maps may include: the main locations of households and the pattern of resource exchanges, such as labour (people going to work), produce (seeds going to market), credit or information.
What You Need:	A large sheet of paper, coloured marker pens. Alternatively use chalkboard and coloured chalk or sticks and the ground.
Time Required:	One to two hours.
How to Use:	• The facilitator needs to bring together a representative group of participants. • Agree with the group on a definition of the household/family within the local context and on a list of the most important resources exchanged between households (or common protection issues faced). • Each group or representative can then draw a map or place objects on the paper/floor that illustrate their view on the resource exchanges. • To simplify the drawing, a limited number of households selected by the groups will be represented (max.8). It is easier to place the houses in circle rather than at their precise location. • Different colours or types of lines should be used to represent different types of relations/exchanges (or protection support). Draw arrows at both ends or one end of lines to show reciprocity or one-way exchange. • Once the map is completed, facilitators should ask participants to describe it and discuss the features presented. • The method can be repeated with different groups and the maps drawn should be compared to promote discussion. This can reveal different perceptions of the nature and use of the resources exchanged (or protection offered within the community).
Number of Participants:	Up to 10 people per group.
Resource Requirements:	A trained facilitator or one day staff training.
Difficulty Level:	Medium
Notes on use	• At the early stages of working with a community, social network mapping can be useful to spot potential weaknesses in the community support system and highlight issues which need addressing. • If used at two different times during project implementation, mapping can provide a good indicator of both the level of achievement of the initial

	objectives and also of the degree of satisfaction of the community or of certain groups within the community.
Example:	Based on the statement that communication and exchange are typical signs of good relations in the villages of Southern Mali, maps were drawn to show the patterns of interdependence among the different families living in a village so as to look at possible way of improving the organisational capacity of this village. Maps were drawn separately by men and women and both revealed a divided village: it turned out that the isolated group comprised two families were both from different ethnic groups and although they had settled in the village over one hundred years ago, were still perceived as foreigners. On top of this, both these outsider families were rich and, undoubtedly jealousy explained part of the village division. Eventually, both groups accepted to discuss their differences in a meeting facilitated by the staff of the project which aimed to promote of local initiatives. After two years of project intervention, training the community in communication, organisation and management, all households worked together and the separation of the neighbourhoods no longer existed. Example adapted from "Power, Process and Participation, Tools for Change, edited by R.Slocum, L.Wichhart, D.Rocheleau and B. Thomas-Slayter, Intermediate Technology Publications, 1995".

Tool Name:	**Chapatti diagrams or pie charts:**
Description:	This is a tool that can be used to illustrate proportions. They consist of a circle that is divided into different size slices depending on the importance of the element being discussed.
When to use	These are short exercises which are easy to do and which produce information which can generate more in-depth discussions. They are best used to explore issues which the group has identified, for instance to examine a community's demographics (ethnic or religious composition), main health problems, occupations of community members, types of family planning methods used in the community, distribution of household expenses etc.
What You Need:	Large sheets of paper and marker pens. Alternatively use sand or earth on the ground with sticks, stones and other local materials.
Time Required:	One to two hours
How to Use:	• The diagram can either be drawn on the ground or on flip chart paper. • Draw a circle to represent the topic you are talking about, and discuss with participants what are the subdivisions within this topic. • Get the participants to discuss the proportions of the different component parts, and illustrate these proportions by drawing segments of the appropriate size within the circle. • The advantage of drawing the circle in the ground is that it is easier to make changes to the sizes of the segments as the discussion proceeds. • The diagram is finished when every one agrees on the final components and proportions
Number of Participants:	6 - 10
Resource Requirements:	Facilitator, not taker,
Difficulty Level:	Easy
Notes on use	
Example:	

Tool Name:	**Venn diagrams**
Description:	Venn diagrams are a series of circles of different sizes which represent different organisations and institutions that affect peoples' lives. Through discussion, the group can decide what should be included in the diagram (what needs to be represented by a circle), where the circles should be placed on a wider diagram, whether there is any overlapping of circles etc.
When to use	This tool can help people identify the main groups, organisations and institutions which affect their lives and how these organisations interact. It can be used to represent the sources of services and advice open to a community, which can then lead on to discussions about co-ordination and planning. It can also be used to identify different groups within the community itself, and can help identify issues such as distribution of power, and influence within the community; it can thus help in identifying and discussing conflict within the community in a non-threatening way.
What You Need:	Large sheets of paper and marker pens. Alternatively use sand or earth on the ground with sticks, stones and other local materials.
Time Required:	One to two hours
How to Use:	• Explain how the diagram works: the group has to identify circles which will represent a social institution or influential group or individual. The size of the circle will represent the perceived importance of this institution or group/individual. Circles are then placed or draw onto a larger area. The distance between each of the circles can represent the degree of cooperation or lack of it between the organisation, institution, group etc. Circles can overlap to show closer co-operation. • Ask the participants to list the organisations or groups etc. that affect their lives. • Draw the first circle could which represents the community itself. Other circles will represent each of the organisations/ groups/ individual identified. These other circles can be drawn inside the community, outside or overlapping. • Once the facilitator has introduced the method, s/he should allow the participants to develop the diagram themselves. Encourage debate and analysis. • Arrange to have diagram copied and leave one copy with the community
Number of Participants:	6 - 10
Resource Requirements:	Facilitator, note taker, translator
Difficulty Level:	Medium
Notes on use	This tool can be difficult to facilitate. It is necessary to explain the method very clearly at the beginning. Drawing on the ground will allow for changes. Otherwise, the group can cut circles out of paper and move them around. Let the participants do the exercise themselves, since they will discuss a lot and learn a lot. Let them take their time in the discussion.

Example:	Within a community of self-settled refugees and their hosts in Zambia, a group of men and a group of women were each asked: • What are the most significant groups or individuals within the community? • How far does their membership overlap? The results are represented in the diagram below. Men and women highlighted different village institutions. This showed there was a central core of activists involved in more than one group, while the majority of people did not participate in formal associations. This was consistent with the findings from other observations which suggested that the people were very reluctant to work together, largely due to very low levels of trust within the community. Village individuals and groups 

Tool Name:	**Flow diagrams**
Description:	A flow diagram provides a simple way of visually analysing the causes and effects of a particular event or activity.
When to use	Flow diagrams can help analyse the chronological sequence of past events, or planning and sequencing actions and their likely effects. They can thus be used both for analysing past events (evaluations), and in planning - analysing the likely consequences of future actions or choices. They allow participants to identify and discuss inter- connected factors that relate to a particular event or situation.
What You Need:	Flip chart paper, pens
Time Required:	One to two hours
How to Use:	• Explain to the participants how to do the flow chart (see below) and let them do it themselves. • Select the event or topic to analyse – they should depict this event by drawing a box or circle • Ask participants to identify the key influencing factors in order of importance depict these factors by boxes or circles and place on the drawing • Use arrows to draw the direction of the effect • Show the difference between a good effect and a bad effect, by signs (-, or +) or by use of colour. • The facilitator can ask probing questions to encourage further analysis • Once the diagram has been completed, summarise what has been learned.
Number of Participants:	6 – 10 people
Resource Requirements:	Facilitator, note taker, translator
Difficulty Level:	Easy
Notes on use	Most events are very complex with many causes and effects. Allow enough time to explore these. Use of the ground will enable corrections as the analysis develops. Use of symbols, rather than words, often encourages participation – let the participants choose the symbols themselves, but do check to ensure that every one understands what they mean.
Example:	

Tool Name:	**Problem Trees**
Description:	A problem tree illustrates a problem or issue in terms of a tree, with the effects of the problem as the branches and leaves and the causes of the problem as the roots. This is a tool to help analyse the root causes rather than symptoms of problems.
When to use	The process of drawing a problem tree helps focus attention on root causes, which can then help identify future longer term solutions rather than short term solutions. Group analysis using a problem tree fosters logical reasoning and encourages questioning about how problems arise. It can help a community understand the complexity of a problem and help outsiders understand community perceptions about issues. A problem tree can be reversed to produce an objective tree, as a first step in drawing up a project plan.
What You Need:	Flip chart paper, pens
Time Required:	2 – 3 hours
How to Use:	• Explain the purpose of the exercise and why the image of a tree with its roots is appropriate. • Either identify a particular problem and then ask what are the causes and effects of that problem, and present in the form of a tree • Or, it can be more useful to approach the general problem more broadly. This is because it is often difficult to select, at the outset, what the real core problem is. In this case: • Brainstorm what problems exist around a particular issue, and put each problem of issue on a card • Identify which of these is really the core problem, and then divide the other cards into either effects of the core problem, or the causes of it. • Write a precise definition of the core problem on to a card, and place this on the wall to represent the trunk of the tree. • Ask how this core problem came about. Some of the other cards will show some of the causes, which can be placed as roots of the tree. Try to place the causes in layers – first layer causes – and then further causes related to these will be the second layer – deeper- causes. • By continuing to ask why for each of the causes, we can dig deeper to the root causes of problems. • The effects of the core problem represent the branches and leaves of the tree. • Try to find all the causes and effects and move the cards accordingly. There can be several causes for one effect, or several effects arising from one casue. • Review the result at the end of the exercise. Checkt he logic and revise if necessary • Draw vertical links to show the cause-effect relationships, and horizontal links to show joint causes and combined effects. • Make a copy, both for leaving with the community and another for taking

	to UNHCR office
Number of Participants:	6 - 10
Resource Requirements:	Facilitator, note taker, translator
Difficulty Level:	Difficult
Notes on use	Try to focus problems on real experiences rather than abstract problems, the latter will be more difficult to analyse. Cross check the flow of causes and effects at intervals during the session. Ensure that the group doing the exercise is representative of the different interests and groups. Very large problem trees can make analysis difficult and finding solutions may be difficult, so it is better to focus on smaller and more manageable problems.
Example:	

Tool Name:	**Preference ranking**
Description:	Preference ranking is a quick method for a group to prioritise between different problems, opportunities or options. It allows each member of the group to 'vote' for her/his highest priority and for the results to be aggregated for the whole group.
When to use	This tool can be used with different groups to help highlight the different perceptions or priorities that different groups have. It can also be used as a quick way to build consensus within the group or community by establishing a collective position on given options.
What You Need:	Use sand or earth on the ground with sticks, stones and other local materials. Or you can use flip chart paper and pens
Time Required:	Up to one hour
How to Use:	• Explain the purpose of the exercise to the participants, i.e. to help the group prioritise between different problems which face them, or different opportunities they have for future activities. • Ask participants to list the problems, options or alternatives that they want to discuss. • Represent each option on the ground with a symbol, and arrange them in a line. • Each person now has to vote for each of the options in order of priority for them. (E.g. the most serious problem, followed by the next most serious problem etc. Or the most important activity they would like to get started, followed by the next most important activity, etc.) Provide each participant with the same number of markers (seeds, stones) to vote against each of the symbols. Each participant then has to distribute their markers according to their own preference, giving the most markers to the most important problem or activity. • Once every one has voted, the total votes for each option can be counted and the final preference ranking for this group identified. • The facilitator can then guide discussion, probing the reasons for the preferences, and the implications for the community. • Where different groups have worked separately, the different results cans be compared. • On completion, it is good practice to draw the diagram on a piece of paper for their use and for further reference.
Number of Participants:	Up to 20 people
Resource Requirements:	Facilitator, note taker
Difficulty Level:	
Notes on use	
Example:	

Tool Name:	**Pair wise ranking**
Description:	This method of preference ranking allows for more detailed consideration between alternative problems, situations or options. At any one time, participants are choosing between just two options
When to use	This method of preference ranking helps participants discuss the merits of a particular option, and carefully consider the advantages and disadvantages of each option. It is useful to help highlight the reasons for and against option and is useful in facilitating difficult choices; e.g. for use in considering project alternatives. People feel able to share their point of view without feeling threatened.
What You Need:	Use sand or earth on the ground with sticks, stones and other local materials. Or you can use flip chart paper and pens
Time Required:	Up to one hour
How to Use:	• Explain the purpose of the exercise and the expected outcome • Ask participants to list what choices need to be made - the issues to be discussed or the alternative activities to be selected. For instance, the group may want to discuss alternative ways of food distribution or alternative project possibilities. Limit the choice to 6 or 7 options. • Present these alternatives, using a card with an appropriate picture for each alternative • Select one pair at random – using the relevant two cards • Ask the group to discuss their preferred choice between two options. Record the choice on the matrix. • Continue until each option has been compared with each other option, two at a time • The preferred option is the one which has been chosen most frequently
Number of Participants:	10 – 15
Resource Requirements:	Facilitator
Difficulty Level:	Low
Notes on use	This method enables groups to discuss their preferred option, yet simplifies the process by only considering two options at a time. It is necessary to enable all groups affected by the choice to participate – including groups of women, youth, young people, the elderly, the disabled etc as appropriate. Allow enough time for proper discussion and do not impose your own views. This method is difficult to use if more than five or six items or options are to be compared.
Example:	Anticipated problems in repatriation - This exercise was to find out what self-settled refugees felt were the priority areas where they would need external assistance on return to Angola. Two meetings, one for women, one for men, were held in three villages with self-settled refugees considering return to Angola. During these meetings, people were asked: • What problems do you anticipate in going to Angola? • Which particular problems do you think will require external assistance?

As expected this initially resulted in a long list of requirements. Some were then excluded by the group as they did not require outside assistance – for example, there was great concern about increased witchcraft in Angola and jealously from current residents, but the people felt this was something they would have to deal with for themselves.

It was then explained that any assistance was bound to be limited and therefore they should establish which issues were the most important to them. This was done by pair-wise ranking. For each pair of issues, if they could only have assistance with one, they had to reach consensus on which would they choose.

Through this process people's concerns about shelter were soon relegated towards the bottom as they can build their own houses. The top priority in all but one list was assistance in clearing landmines, which they could not do themselves. The table below shows a list of the issues raised in the meetings and the sum of the scores the received from the different villages. It is interesting to note the different priorities of women and men.

It showed that people were not just interested in aid distributions to households but were also keen to see the infrastructure re-established. In particular, assistance with clinics, schools and transport came well above any distribution of non-food items. Even food did not come at the top of the list as people reckoned that they could more easily find their own food, by drawing on their fields and trading links, rather than provide their own health care. The concern about transport seemed to be particularly with a view to how they can re-establish their livelihoods by getting goods to market.

	Women's scores	Men's scores	**Overall scores**
Landmines	25	32	**57**
Clinics	27	28	**55**
Food	24	24	**48**
Transport	18	23	**41**
Schools	26	14	**40**
Grinding mills	11	9	**20**
Kitchen utensils	10	9	**19**
Churches	5	10	**15**
Clothes	6	9	**15**
Agricultural inputs	0	16	**16**
Security	4	8	**12**
Tools	7	4	**11**
Water	2	5	**7**
Market	6	0	**6**
Govt buildings	0	4	**4**
Shelter	3	0	**3**

Tool Name:	**Matrix ranking**
Description:	This method of preference ranking allows choices between options to be made according to identified criteria. The matrix (a large square divided into rows and columns) is a useful way of presenting choices ranked according to identified criteria
When to use	This more detailed way of selecting preferences or prioritising between problems/options is useful to help participants look more critically at the various options they may be facing. Identifying the criteria against which choices are to be made helps the understanding of the complexities of local situations. This tool, which is visually very attractive, has the power to draw many people into the process of analysis and decision making. By making the reasons for particular choices evident, a matrix ranking exercise can help build consensus around a particular option.
What You Need:	
Time Required:	2 – 3 hours
How to Use:	• Explain the purpose and use of exercise • Ask the participants to select the alternative options or problems which they want to consider. Allow enough time for discussion about the options, and encourage all groups to contribute ideas. • Draw a matrix, on the ground or on a large chart. Each problem or option is allocated a column in the matrix. Use an appropriate symbol to represent the option. • Then guide the participants to identify the various criteria that will be used in comparing the options which will help them in choosing between them. It is useful to ask them the advantages and disadvantages of each option – this will help identify the criteria. • Make sure that all the criteria are either all positive, or all negative. Mixing positive and negative criteria will lead to confusion. • Each of the criteria is then allocated a row. • Now complete the table by asking questions: which option scores highest according to each criterion. Take one row (criterion) at a time, and rank the options according to which option scores highest, and next highest etc. • At the end of the exercise, you will have each option ranked according to the various criteria. This can lead to further discussion and analysis. • It is useful to ask probing questions, for example by asking which of the criteria are the most important to the group, or to different sub groups. • Then ask what conclusions can be drawn from the exercise. Does it help us make choices? Are other possibilities emerging? Are action points being identified? • Draw the matrix onto paper for future use. Leave one copy for the community group itself, and make another copy if UNHCR staff wants their own copy.
Number of Participants:	Around 10
Resource	Facilitator, note taker, translator

Requirements:	
Difficulty Level:	Difficult
Notes on use	Facilitators can suggest important criteria if they think that some have been missed. Do not be tempted to add up scores at end of the exercise since this will assume that all criteria are equally important, which will rarely be true. Allow for a lot of discussion around each score. This method can also be used to explore the level of knowledge within a community – for instance, which diseases can kill. Also can be used to elicit from the group which criteria they use in choosing one option over another – you can ask people to rank things first, and then ask what criteria they used in developing this ranking.
Example:	

Tool Name:	**Action Planning**
Description:	Action planning is a process which develops a table listing tasks or projects identified, resources required, people responsible for initiating and implementation and dates by which activities will be started/completed.
When to use	This tool is for use with a Community Planning Committee, or groups who have undertaken to implement a particular project. This tool should be used after the community group has prioritized those issues which are most important for them. Action plans can then be drawn up for the priority projects or tasks.
What You Need:	Prepared chart for the Action Plan, cards, pens
Time Required:	Half a day minimum
How to Use:	• Identify projects, or tasks within a larger project. This will need detailed discussion about the necessary tasks and the chronology of these tasks. Using a flow chart can be useful here. • Identify what resources will be needed for the task, and where these resources are going to come from. People may need to negotiate with other organisations, (NGOs, other agencies, local government etc) in order to get resources, and this needs to be taken into account in the planning. • Identify who will be responsible for each task and when it needs to be done
Number of Participants:	Group or Committee members responsible for implementing a project/ series of projects
Resource Requirements:	Facilitator, note-taker
Difficulty Level:	Medium
Notes on use	

Example:

PROBLEM – insufficient school places for school age children					
Planned action	**Resources needed**	**Who will provide resources**	**Who will be accountable for action**	**Start date**	**Other comments**
Lobby host government education authority to provide more teachers or train community members as teachers	Transport to visit ministry Preparation of case – assess existing number of places and number of children by age/sex	UNHCR? Community and UNHCR/ IPs	Community services/ education officer Parent teacher associations		Case based on rights of children to education Need to be aware of gender of teachers
Build new classrooms	Materials Labour	UNHCR/ IPs Community	Education officer Community		Only proceed if teachers will be available Must ensure there is safe environment
Stretch existing resources – Introduce less skilled class room assistants	Payment for assistants Training for assistants	UNHCR PTA contributions Existing teacher			Ensure new staff reflect gender, age and diversity
Introduce split shift schooling	Negotiation with parents Possible overtime payments for teachers	Head teachers/ PTA UNHCR/IPs			Essential to ensure girls and boys have equal access

Tool Name:	**Project Record Book**
Description:	The project record book is a tool which enables Community Groups to keep a record of the progress of a project, both for their own information and to ensure accountability to the community.
When to use	The use of a Project Book can assist communities in tracking the progress of a project and ensuring clarity of responsibility for different elements as well as a clear understanding of the objectives and activities. It can also be used as an audit tool.
What You Need:	A Project Record Book (an exercise book will do)
Time Required:	Time for training committee members in the use of the book – half a day

How to Use:	• A project book is provided to a community committee
	• The committee should be trained in the use and management of the book by a skilled trainer.
	• The committee will keep all descriptions of the project, details of income and expenditure
	• A project record book can include:
	  • Names of committee members responsible for the project
	  • Roles and responsibilities
	  • Minutes of meetings
	  • Project Design
	  • Detailed cost estimates for the project
	  • Income and expenditure details
	  • Work done on the project
	  • Reviews of the project
	  • Progress reports
	  • Completion reports.

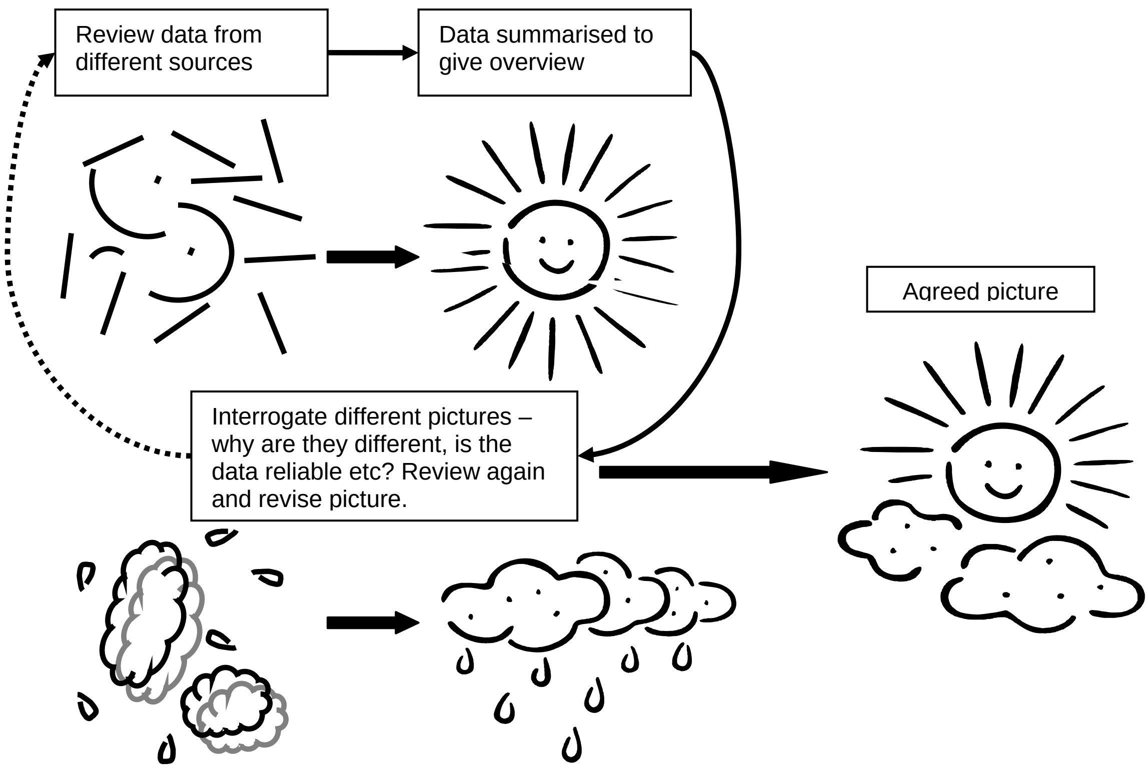
Number of Participants:	Committee members to be trained
Resource Requirements:	Trainer to train committee in use of the book
Difficulty Level:	Medium
Notes on use	
Example:	

Steps in data analysis[2]

The process of data analysis includes a number of steps.

- **Review** – the whole range of data from different participatory methods should be brought together and organised to show the range of information available on community priorities, capacities and activities. The review should consider the reliability of each piece of evidence and resolve contradictions where possible. This may reveal gaps in the data which need to be filled before proceeding further.
- **Summarise** – using the results of this review the most reliable and important points of evidence should be summarised to give an overview of the community's situation and their priorities for action.
- **Interrogate** – various questions should now be asked and answers put forward. For example:
  Is the picture given in the summary a realistic one?
  Do different people agree about the picture presented – is there consensus or conflict?
  Are there other external factors which should be taken into account?
  Have appropriate methods for collecting data been used?
- **Learn** – the summary of data and answers to questions should highlight what the major priorities of the community are, how they are addressing them and how they need external support.
- **Action** – the analysis should conclude with actions which are to be taken as a result of the lessons learnt.

The first three steps may be repeated until an agreed picture emerges from the data (see below)



[2] Adapted from Bakewell, O. (2003) *Sharpening the Development Process: A Practical Guide to Monitoring and Evaluation*. Praxis Guide No. 1. Oxford: INTRAC. Pages 93-94

Annex 2: Reference material sources

Institute of Development Studies www.ids.ac.uk/pra/sources.html

Eldis Gateway to Development Information http://www.eldis.org/participation/index.htm and http://www.eldis.org/manuals/toolspart.htm

Participatory Learning and Action (International Institute for Environment and Development) http://www.iied.org/NR/agbioliv/pla_notes/index.html

Participatory Development Forum http://www.pdforum.org/en/vrc/.

Integrated Approaches to Participatory Development http://www.iapad.org/links_participation.htm.

Toolkit Citizen Participation (in English, Spanish and French with examples and case studies from around the world) http://www.toolkitparticipation.com/.

Neighbourhood Corners, Austcare: www.austcare.org.au

Save the Children: www.**save**the**children**.org

Participatory Methods Toolkit: A practitioner's manual: www.viwta.be/files/30890_ToolkitENGdef.pdf

ANNEX 3: TERMS OF REFERENCE FOR COMMUNITY SERVICES OFFICERS

Major Duties and Responsibilities

1. Provide information and social analysis of the cultural, political and economic context of population of persons of concern and their host communities as well as the community dynamics. Analyse resources and capacities of persons of concern and their host communities including state departments and structures.

2. Facilitate the setting up of multifunctional teams to undertake regular dialogue, stimulating reflection and analysis among persons of concern, partners, host government and host communities. Elicit from people of concern their capacities, skills and resources which can be mobilized to address the protection risks and assistance needs they have identified and prioritized.

3. Develop mechanisms to mobilize and support meaningful participation of women, girls, boys and men of diverse ages and backgrounds in the assessment, planning, implementation and management of all protection, social and educational services/activities. Establish participatory evaluation processes with multifunctional teams and partners to follow up on projects and service delivery. Devise strategies to increase community participation and strengthen representative community groups.

4. Monitor registration processes to ensure that persons with specific protection needs are identified, particularly those at heightened risk. Map out individuals and groups with specific needs, in particular the older persons, persons with disabilities, unaccompanied and separated children, single headed households, survivors of abuse and torture etc. in order to jointly with persons of concern, design appropriate response and solution.

5. Establish individual case management committees in coordination with protection and partners to provide regular monitoring, follow up and solutions to all persons at heightened risk and/or with specific urgent needs.

6. Mobilize communities to identify unaccompanied and separated children and establish protection systems for caring of children and Best Interest Determination procedures.

7. In coordination with protection, mobilize communities and partners for the establishment of standard operating procedures to address sexual and gender-based violence and community support for survivors.

8. Map the resources and capacities of all stakeholders, jointly identify areas of complementarity, overlap and gaps in meeting the protection and assistance needs of persons of concern and advise on rights and community-based strategies for judicious use of resources to ensure equal and adequate access.

9. Monitor and co-ordinates projects implemented by agencies responsible for legal, social, psycho-social, cultural and educational services. Mentor and train on community development principles and participatory methods that should be increasingly used by all staff and partners. Sample guidelines for a first interaction with a community

Sample guidelines for a first interaction with a community

The multifunctional team – perhaps two women and two men, including the UNHCR community services officer and partners – can make a preliminary visit to the area where people have settled. They call on the traditional leaders as a delegation – ideally having made an appointment a few days before, if not they first ask if this is a good time to talk.

1 Introductions

- Names of individuals and their organisations with brief introduction.
- Purpose of visit – possible agenda:
  - To introduce work of UNHCR and its partners
  - To start meeting the community and begin to understand people's situation and concerns
  - To learn about the leaders and their work in the community
  - To learn best ways of working together with the people to improve their situation

2 To introduce the work of UNHCR and its partners

- UNHCR mandate
- Nature of UNHCR operation in situation
  Partners
  Details of current activities
- Principles of UNHCR work
  Priority on human rights and all work must be consistent with them
  Working together with all sections of the community, so they are able to take decisions about things that affect them.
- Limitations of aid operation
  Limited resources – both finance and people
  Operate within UNHCR global strategic objectives and boundaries agreed with national government
- Invite people to ask any questions.

3 Start meeting the community and focus on listening and understanding people's situation and concerns

- Where have people come from - country/ district, rural/urban areas?
- When did people come – all together, over long period, different cohorts?
- What different national/ethnic/religious/social groups are in the community?
- What was/is the main livelihood of population?
- What community structures have been established – schools, religious organisations, community groups?
- If we want to understand the community better, who else should we be talking to?

4 To learn about the leaders and their work in the community

As newcomers to the community here, we do not understand much about how things work. Please forgive these questions if they are not appropriate, but we would appreciate you helping us to understand these things better.

- Please can you explain your role in the community?
- How often do you meet with the people?
- How often do you meet together as a group of leaders?

- Do you have contact with other similar groups of leaders?

5 To learn best ways of working together with the people to improve their situation

- Are there any other bodies you have contact with – NGOs, government departments, etc.? How have you worked with them?
- Who was responsible for different aspects of public life before you settled here – e.g. health, education, water supply, policing/protection, system of taxation?
- What areas are the community used to dealing with for themselves?
- What is continuing now?

6 Conclusion

- UNHCR and is partners will be consulting with as wide a part of the community as possible to understand the best way to work together. It is important that we have open access to visit anybody in the community. We would like you co-operation in this in a number of ways:
- Please explain as far as possible what we have told you today and encourage people to talk openly with us.
- We know you are busy and have many other things to do, but we would like to talk to you again and also involve you in various exercises as we try to understand the people. This may involve workshops, interviews and various other things.
- We are open to answer any questions and also to hear any comments you have on this discussion.
- Offer thanks for peoples' time, assistance and hospitality before leaving.

Some practical observations

You may already know some of this information, but don't assume you know it all – you may gain new information in addition to what you already have.

Concentrate on positive aspects of people's capacities – don't ask what problems people are facing at this stage as you are likely simply to end up with a long list of problems to which people expect you to respond.

Remember, the way people respond as well as what they say will help you understand the way things work. For example, if the leaders answer that you only need to speak to them and are reluctant to suggest any other groups for you to meet, this might suggest they are trying to keep a very close control on things.

You may also find responses are very guarded if the situation is insecure or people do not trust each other – don't push for responses if people are nervous but make a note of it as this will affect how your future interactions.

Some questions may be inappropriate for a first meeting in insecure settings – for example, people may be very reluctant to talk about other contacts that they have.

Remember that these first visits are the start of a process. You cannot expect to find out everything at once nor understand everything you are told. Do not try to pack too much into one meeting.