Strengthening Drought Resilience in Ethiopia

Participatory Community Activity Planning for pastoralist lowlands of Ethiopia

Field Guide for Technical Implementation

Edition December 2020

Table of Contents

Abbreviations

BMZ	German Ministry of Economic Cooperation
BoFED	Bureau of Finance and Economic Development
BoLAND	Bureau of Livestock, Agriculture & Natural Resources Development
CVCA	Climate Vulnerability and Capacity Analysis Handbook
DA	Development Agent
DSM	Dry Stone Measures
EPLUA	Environmental Protection Land Administration and Use Authority
GIS	Geographic Information System
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
MoU	Memorandum of Understanding
NGO	Non-government Organization
PADO	Pastoralist Agricultural Development Office
PRA	Participatory Rural Appraisal
RPLRP	Regional Pastoral Livelihoods Resilience Project
SDR	Strengthening Drought Resilience
WPLUP	Woreda Participatory Land Use Planning
WSW	Water Spreading Weir

1. Introduction

The Participatory Community Activity Planning Field Guide is a pragmatic document for Development Agents (DAs) on Woreda level and practitioners, describing a step by step participatory planning approach to raise awareness, discuss urgent problems and possible solutions with communities. The process results in locally owned activities, which have great potential to improve the livelihood of whole communities.

The Field Guide is complemented with the so-called InfoTechs, which summarize technical approaches and methods, which have proven to be suitable solutions in the lowland context. The InfoTechs follow the orientation of the Ministry of Agriculture InfoTechs, which complement the "Community Based Participatory Watershed Development" Guideline.

The development of this field guide is based on the practical implementation experiences of the Strengthening Drought Resilience (SDR) Programme. The Programme introduced participatory planning approaches as part of its land rehabilitation and livelihood-oriented activities. The field guide complements the Ethiopian governmental orientations for participatory land use planning as outlined in "Woreda Participatory Land Use Planning (WPLUP) in Pastoral and Agro-Pastoral Areas Volume 1 Manual" and elaborates practical hints and formats for its application in the field context. The steps outlined here have been tested with local pastoral communities in the target areas of the Afar Soil Rehabilitation Project and improved based on joint discussion with local stakeholders. The activities discussed with local communities during the planning process are input for the annual governmental budgeting process.

The DREAM Conference held in Semera October 2019 with the theme: "Development of Resilience Empowering Measures for Ethiopian Lowlands" established a working group on participatory planning, which consists of the Ministry of Agriculture, BoLAND, EPLUA, BoFED, RPLRP, Care Ethiopia and GIZ. This working group acted as a sounding board and important input giver to the development of this practical field guide, with the objective to improve and harmonize planning procedures on the ground. The SDR programme is funded by the German Federal Ministry of Economic Cooperation and Development (BMZ) and contribute to its 2030 strategy theme One World – No Hunger. The Afar Soil Rehabilitation Project makes part to the Global Programme Soil Protection and Rehabilitation for Food Security.

1.1 How to use this Field Guide

DAs, experts from Woreda level, non-governmental organizations (NGO) and community organizations use the Participatory Community Activity Planning Field Guide to plan directly with local communities and all their social groups on sub-kebele level in the pastoral and agro-pastoral lowlands of Ethiopia. Pictures, guiding questions and forms orient DAs and other experts' step by step for the participatory community planning process. The core planning team (more information in section 3.1) uses the approach to raise awareness, define and prioritize problems and identify solutions from a community perspective. The overall process is a classical bottom-up-approach were the community is the driving force. The focus is to plan and implement activities to improve livelihoods which fit local needs and are sustainable. The process of participatory planning enables community members to identify their existing potentials, limitations, priorities, plan, implement, monitor and evaluate. Several Participatory Rural Appraisal (PRA) tools are used in the planning process like Resource Mapping, Venn Diagram, Scoring and Ranking, additional PRA tools can be used as needed (a PRA Manual is part of the material).

The field guide is connected to several government process:

1. It complements the WPLUP Manual and focuses on the lower planning level (sub-Kebele). The insights produced during the planning process are also relevant for the WPLUP p rocess especially for step 2 "Carry out a stakeholder. analysis", step 6 "Collect and analyse data" and step 7 "Problem identification and analysis".

2. Secondly the costs of planned activities should be included in the governmental budgeting process, which is implemented annually during May and June.

This field guide describes a practical implementation aid for a planning process with pastoral communities. Other planning manuals for specific sectors, e.g. Community Based Watershed Management Guideline or Guideline on Soil and Water Conservation in Ethiopia or Mapping Guidelines for Participatory Rangeland Management in Pastoral and Agro-Pastoral Areas are important reference documents. However, they put a focus on different geographical planning units or on a broader scale and can be seen complementary.

The guide includes simple illustrations to visualize the different steps of the procedure as well as necessary goals to be reached using community discussions. A folder with collected InfoTechs, according to the Ethiopian government standard, helps to understand the magnitude and objective of each activity. InfoTechs are short briefing papers on technical approaches including descriptions of purposes, implementation requirements, opportunities, constraints, etc. All included InfoTechs proved to be useful in the context of lowland development.

The whole process gets implemented in a short timeframe; a maximum of 2 months is recommended between February and April in order to inform the governmental planning cycle (see figure 1).

Especially in the first year of the implementation more time is needed to finalize the planning process. All participants still learn details of the process. Within a few years of using the field guide and the planning process the timeframe for all steps is shortened because all stakeholders are familiar with the details.

The steps in the guide are:

•   Precondition 1 Woreda suggestions for new planning locations

•   Precondition 2 Rapid field appraisal

•   Precondition 3 Exchange visit

•   Precondition 4 Agreement with the communities

- Step 1 Preparation stage
- Step 2: Awareness creation for participatory planning and selection of community planning team
- Step 3 Identification and prioritization of problems
- Step 4 Identification of solutions
- Step 5 Draft Community Activity Plan
- Step 6 Discussion and approval of Community Activity Plan

Precon 1 → Precon 2 → Precon 3 → Precon 4 → Step 1 → Step 2 → Step 3 → Step 4 → Step 5 → Step 6

February **March** **April**

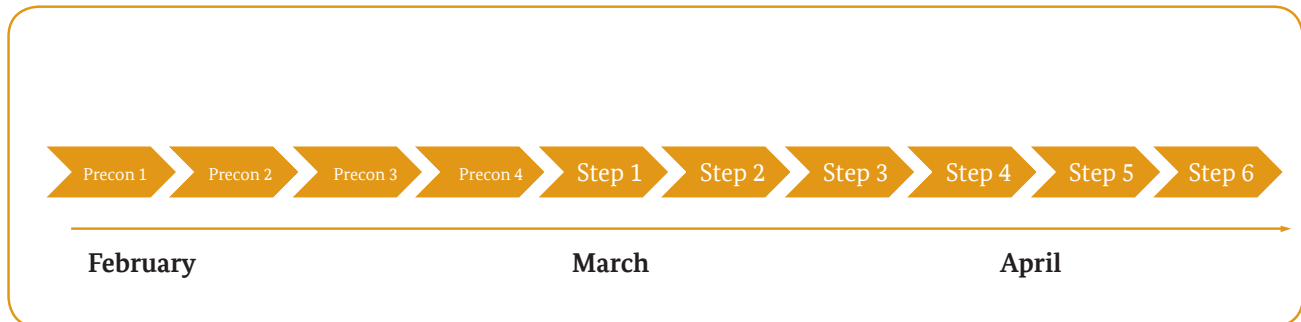*Figure 1: Timeline of Participatory Planning Process*

What is important during a meeting with the community?

Each of the planning sessions need to have:

1. welcoming section,
2. summary of the previous meeting(s)
3. objective of the discussion
4. definition of action points based on the objective
5. finally conclude the meeting by reminding the actions points, next meeting agenda, time and location.

2. Planning Preconditions

According to the Government of Ethiopia community planning should be done once a year to clarify which activities can be implemented throughout the year, but not all sectors are expected to be active in all locations. The local administration identifies during the planning precondition process which sectors need to be active in which locations, additionally the local administration verifies with communities their interest in a topic.

What are the levels of participation?

There are several levels of participation. The lowest form of participation is to inform the communities about actions. The highest level of participation is to empower them, they are in full control of all actions. The goal is to move into the direction of empowering the community.

1. To inform
2. To consult
3. To Involve
4. To collaborate
5. To empower

2.1 Precondition 1 Woreda suggestions for new planning locations

What to do?

What	How	Who	When
Collect basic information of area	Request data from EPLUA, check old reports and planning documentations from the past, etc.	DAs, Woreda level Experts	January
Woreda meeting to discuss planning locations for different actors	Invitation by Woreda to discuss basic information, objective, relevant locations	DAs, Woreda level Experts and external experts from different stakeholders	Beginning of February
List possible planning locations	Develop a table with locations for each sector	DAs, Woreda level Experts	Beginning of February
Clarification of next steps	Discuss the next steps of the Planning Preconditions process	DAs, Woreda level Experts and external experts from different stakeholders	Beginning of February

How to identify new planning locations?

A meeting gets organized to discuss possible new locations for planning in different sectors. The Head of the Woreda highlights first the government strategic objective. The group discusses locations for e.g. possible dry valley rehabilitation in the Woreda and creates a priority list (see annex 1 Precondition 1 Woreda suggestions for new planning locations) with high potential locations in all means (e.g. spatial conditions, biophysical situation, social structures, active communities, good experiences from the past, etc.). The participants use already available basic data (spatial and/or statistics) as well as secondary data to support the decision-making process. All available data is collected in January and gets archived for later use.

Is everybody informed about the precondition and planning process?

At the end of the meeting the overall precondition and planning process is clear with all its steps, needs, roles and responsibilities. The core planning team consisting of a team leader, a facilitator/moderator and documenter. The core planning team is responsible for facilitation and documentation. The community is responsible to identify suitable activities and basic input. Especially the next steps are documented including the foreseen timeframe for action for the rapid location assessment and the extent of an exchange visit.

What is basic data?

Basic data needs to be available for each community, rounded numbers can be used. The core planning team collects data from government institutions which includes:

- Number of inhabitants of the community (as an average during the year since some can be out of the community during the planning procedure) separated by gender for the last years
- Number of households
- Clan composition: main and sub-clans (%)
- Size of the area which gets included in the plan
- A simple map (e.g. google satellite) of the community area which can be used for participatory mapping
- Existing and active social groups within a community
- Stakeholder map: other organization or projects active in the area
- Spatial data (Infrastructure, Woreda Land Use Plan)

What is secondary data?

Additionally, other data sets from other stakeholders can be useful and depend on the individual circumstances in a community. The core planning team needs to decide on their needs. Two options are possible to obtain additional information:

- Collect existing statistical and spatial data from different sources which can be of help for the problem and solution exercises. The data sets could include information about the natural resources (e.g. soil quality, climate, weather, floods, slope, contour lines, etc.), social situation, health, education, economy, agriculture (crop types, etc.), existing infrastructure (roads, electricity, water lines, weirs, dry stone measures, etc.), etc.
- Available data from other projects might highlight success factors or hindering aspects in specific locations.

Is more data needed?

The core planning team can organize specialized data collections to obtain missing, but highly necessary information. The collection method and necessary resources depend on the needs of the individual case and need to get discussed with the Woreda, Kebele and community representatives.

2.2 Precondition 2 Rapid field appraisal

What	How	Who	When
Organize a mission to the different locations	Call communities and arrange meetings. Prepare logistics and material	DAs, Woreda level Experts	Beginning of February
Collect data for the rapid field appraisal	Fill in rapid field appraisal form (annex) for each planning location	DAs, Woreda level Experts, community leader	Mid of February
Compare the results of the different locations and develop a priority list	Collect all names and total scores in a table, sort inputs according to the highest scores	DAs, Woreda level Experts	Mid of February

Is a location suitable to plan for a specific sector?

A small team consisting of DA, Woreda level experts and possible additional stakeholders (e.g. NGOs) for each specific sector will use the priority list of the discussion of "Precondition 1" and visit different planning locations. The suitability matrix for each sector (see annex 2 Precondition 2 Suitability Matrix per Cascade for Dry Valley Rehabilitation) helps to get familiar with the location. The visiting team answers simple questions, like are stones available or is water available (see figure 2) from the suitability matrix which can be answered by observations and in a complementary interview with the kebele leader.
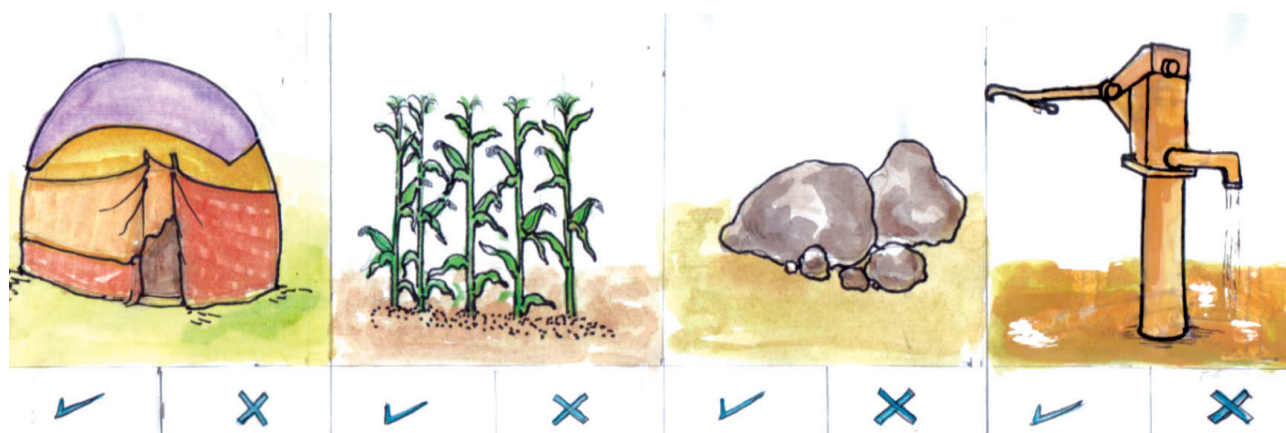
Figure 2: Different aspects have influence on selecting a new planning location

In many cases a transect walk (see figure 3) through the area is suitable, e.g. a walk downstream the dry river valley. All details about the transect walk can be found in the PRA Manual. Collecting all answers in the sheet will result in a priority list with a score for each location.
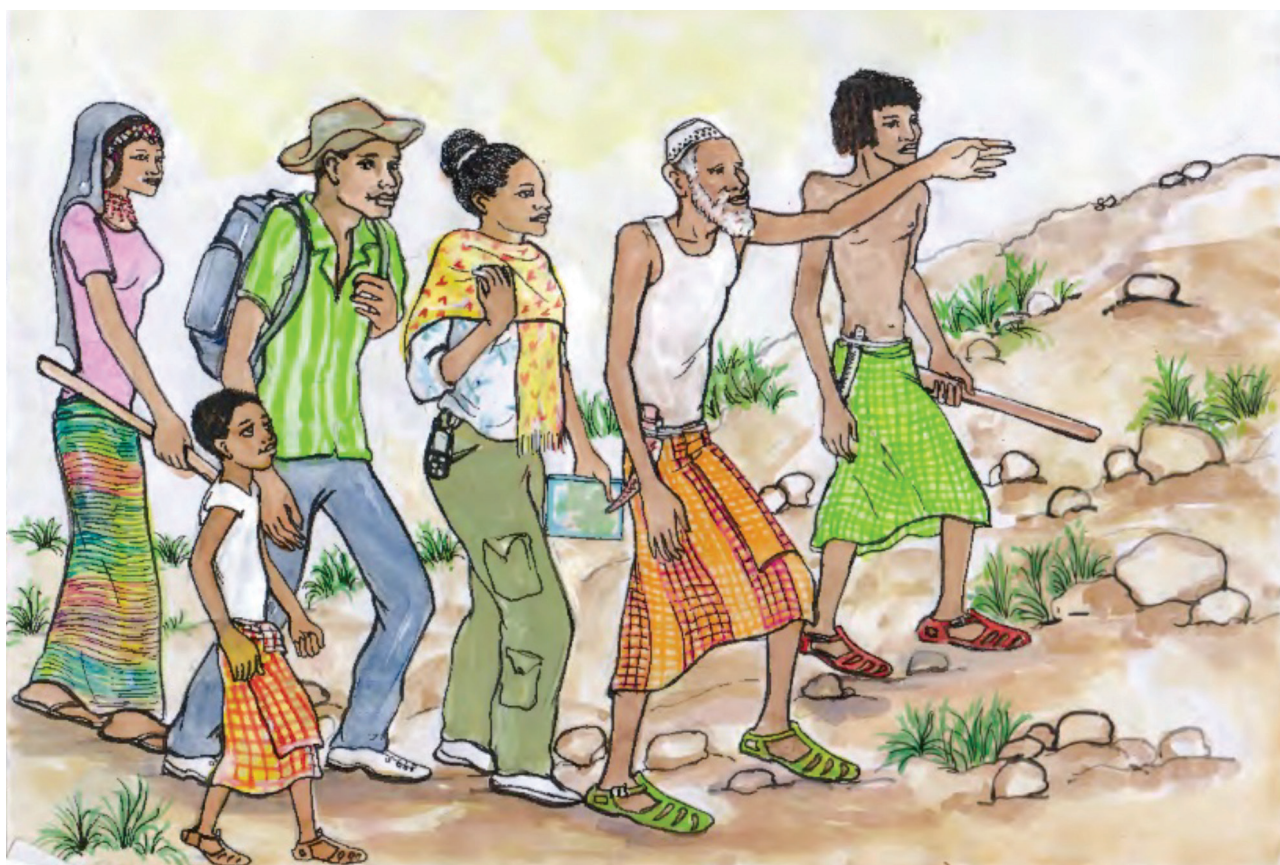
Figure 3: Transect Walk during rapid field appraisal

2.3 Precondition 3 Exchange visit

What to do?

What	How	Who	When
Check availability of communities for an exchange visit	Call communities and arrange exchange visit	DAs, Woreda level Experts, community leader	End of February
Organize the exchange visit	Prepare logistics and material	DAs, Woreda level Experts, community leader	End of February
Set clear objectives	Discuss objectives with sending and receiving communities	DAs, Woreda level Experts, community leader, community	End of February
Sending community decides who is going on the exchange visit	Election of group representing all social groups	DAs, Woreda level Experts, community leader, community	End of February
Is the community interested to continue?	Discuss with the sending community what they saw and learned during the exchange visit	DAs, Woreda level Experts, community leader, community	End of February

Why to organize an exchange visit for a community?

The purpose of an exchange visit is that the sending and receiving community can exchange on pending problems in their communities and how the receiving community overcame difficulties (see figure 4). The visiting community can see and feel directly the benefits of activities and how the community is organizing themselves. Important discussion points can change depending on the sector, see annex 3 Precondition 3 Exchange Visit provides guiding questions for the exchange visit according to the sector. Both communities will have an unfiltered information exchange and learning experience without the interference from "professionals". The size of selected members of the visiting community (how many fit in the transportation option) and the number of visiting days (one or two days) are depending on the available resources. Different social groups need to be represented during the visit, special exchange rounds focusing only on women have an added value.

Figure 4: Exchange visit of a community

How to inform the whole community?

Only selected members of a community got exposed to new ideas during the exchange visit. The whole community need to have a chance to hear from the selected group about all aspects which got shared during the exchange visit. The community clarifies internally about the future engagement in a specific sector as well as the necessary preconditions for externals. After a few days of internal exchange, the community gives a yes or no for the planning process as feedback to the core planning team.

2.4 Precondition 4 Agreement with the communities

What to do?

What	How	Who	When
Preconditions for action are discussed and agreed on	Basic details written in the local bylaw and MoU are discussed and agreed	DAs, Woreda level Experts, community leader, community	End of February
MoU is signed clarifying roles and responsibilities	Details are written down in the MoU and the document is signed by the community and the Woreda	Woreda Head, DAs, Woreda level Experts, community leader, community	Beginning of March
First version of a local bylaw is developed and signed	First details are written down in the bylaw and the document is signed by the community and the Woreda	Woreda Head, DAs, Woreda level Experts, community leader, community	Beginning of March

Is the community willing to continue?

The woreda staff gets in contact with the focal person of a community to have a first quick answer if the community is interested to follow-up on the foreseen participatory planning process. A meeting is organized if there is a basic interest consisting of community or representatives, DA, Woreda level Expert and if necessary other stakeholders. During the meeting preconditions for planning are discussed in detail resulting in the development/ update of a MoU (see annex 5 MoU) including general inputs from the community, local bylaw (see annex 4 Bylaw), as well as an external social and environmental impact assessment including save guards executed by EPLUA. The planning process can start if an agreement was found and basic agreed documents are signed (see figure 5).

Figure 5: Signing of MoU between Woreda and community

What is included in the MoU?

The MoU is meant to clarify the objective of the planning process as well as roles and responsibilities for the planning and implementation process. The objective should focus on a specific problem the community wants to overcome. The different actives groups (community, community planning team, woreda, core planning team, etc.) are defined in the document and their basic work is mentioned in general. The MoU need to get updated after the planning process is finalized with clearer details and might need to be updated after some years. An example MoU can be found in annex 5 MoU.

What is included in the bylaw?

A local bylaw states local rules and regulations which are valid for the whole community as well as visitors in the area. The rules, regulations and penalties are discussed and agreed on within the community. The bylaw needs regular updating especially when activities got implemented which needs regulations. The bylaw form has text blocks which can be used or deleted as needed for each location. An important part of the document is the penalty. It clarifies which penalties exist and how high the penalties are. The responsibility of penalty collection and the use of the penalties is described in the document.

3. Participatory Community Planning Process

The last paragraph of the field guide describes the process on how to select a new planning location for a specific sector. This next section defines in detail the steps a community takes to plan activities for the upcoming year. The planning process includes six steps which are documented through forms in the annex. A good participatory planning process follows three guidelines:

1. Involve all social groups of a community.

2. Enable locals to make their own appraisal, analysis and plans through continues questioning by the core planning team.

3. Give opportunities for communities to make informed decision on matters pertaining to their life.

3.1 Step 1 Preparation Stage

What to do?

What	How	Who	When
Identify core planning team	Woreda Head decides who is a member of the core planning team	Woreda Head, DAs, Woreda level Experts	Beginning of March
Kebele planning team is invited to give input	Meeting is organized to discuss the planning kick-off.	Woreda Head, Kebele Planning Team, Core Planning Team	Beginning of March
Harmonize knowledge about the planning process and the planning locations	Discuss the planning process and planning locations	Woreda Head, Kebele Planning Team, Core Planning Team	Beginning of March
Get approval to be active from the Woreda	Fill in preparation stage form and get a signature from the Woreda Head	Woreda Head, Kebele Planning Team, Core Planning Team	Beginning of March
Get approval to be active from the community leaders	Inform community leaders and get their approval to be active. Fill in preparation stage form	Community leader, Core Planning Team	Beginning of March

Who is part of the core planning team?

Identify the core planning team consisting of a leader, a facilitator/moderator (capable to talk the local language) and a documenter. The team is formed by a DA, a Woreda level expert and a documenter during a discussion with the Woreda and Kebele Administration (see figure 6). The selected members should fit the focus subject in the planning location. An additional extended planning can be established if needed which could include further experts, e.g. soil conservation, water resources, flood-based agriculture, livestock/rangeland, land-use, food security.

Figure 6: Woreda Head and Core Planning Team discuss community planning

What is the role of the leader of the core planning team?
- Organizes of logistics and administration matters
- Introduction of the team in events
- Welcoming at events
- Co-ordinates the community events
- Communication with officials
- Facilitates the documentation of the process

What is the role of the facilitator/moderator of the core planning team?
- Introduction of process steps and tools
- Encourages participants and discussions
- Includes all participants
- Reformulates the discussion points
- Time management during events
- Double checks documentation

What is the role of the documenter of the core planning team?
- Preparation of checklists for the event including material and discussion points
- Makes sure all material is available for each event
- Takes notes from the events and discussions in the background
- Observes behaviors during the events
- Supports facilitator
- Is preparing the documentation of tools, discussions, etc.

Who is part of the Kebele level planning team?

The kebele level planning team is a coordinating body which makes sure that all necessary stakeholders are informed about the planning process and its output. They are also coordinating between neighboring activity plans as well as insuring quality standards of activity plans. The group consist of community representatives, Kebele manager, Kebele chairperson, female representatives, clan leaders, religious leaders, youth representatives and a DA.

What are the results of the discussion?

- The stakeholders have a common understanding on the planning process
- The core planning team and if needed the extended planning team is defined including the roles of individuals
- Planning locations are collected
- Data on the different planning location is complemented (see also precondition 1)
- A timeline for the planning process is developed
- Needed material for the different steps is clarified
- All is documented in the form of annex 6 Preparation Stage – Approval from Woreda

What do community leaders think about the foreseen process?

A first short visit to the community from the core planning team or phone call is needed to get the approval from community representatives as well as from the Kebele leader (documentation through annex 7 Preparation Stage – Approval from Community representatives). The core planning team introduces and explains community activity planning principles to the Kebele leaders and representatives. The team explains the intervention logic and provides some concrete examples of typical interactions, e.g. flood control, gully control, fodder production and others. Let the community representatives reach some of these conclusions based on their own experience in the locality. Use visual references to discuss the following points:

1. Benefits of a participatory community planning process.
2. Cooperation needs for activities between neighboring communities.
3. Discuss planning steps and needs of an active community and their social groups.
4. Discuss and prepare a supervision plan to assist DAs during planning work.
5. Clarify standards of community contribution

3.2 Step 2 Awareness creation for participatory planning and selection of community planning team

What to do?

What	How	Who	When
Organize an event with a maximum number of community members	Ask focal persons and the community leader to inform the maximum number of community members	Core planning team, community leader, community	Mid of March
Community gets familiar with the planning process	Explain the basics of the participatory planning process	Core planning team, community leader, community	Mid of March
Community elects the community planning team	Core planning team facilitates the election	Core planning team, community leader, community	Mid of March
Agree on next steps and timeline	Discuss the necessary next steps and agree when to implement	Core planning team, community leader, community planning team, community	Mid of March

Who needs to be included in the awareness creation for participatory planning?

The core planning team arranges a meeting including the whole community with support of the community leader and focal persons. The community decides on a date and time which suits the also migrating community members. During the "general assembly" the community leader and the core planning team provide an introduction of the relevance of participatory planning and management to the whole community. All different social group participate especially marginalized groups, e.g. women, youth, seniors, etc. The discussion clarifies which other groups in the area/region need to be considered during the planning process, e.g. communities upstream or downstream, other clans with (secondary/tertiary) user rights in the area. A result of the discussion is the importance of active participation of the community planning team as well as the community itself.

How to elect a community planning team?

The community elects a gender balanced community planning team as a link between the community and the core planning team (see figure 7). All main social groups are represented in the group consisting of:

- Community leader(s), e.g. power holders like clan leaders, religious leaders, Rangeland councils, social audit committees (also representing the community at kebele level)
- Male-headed households representing different social groups (including vulnerable)
- Female-headed households representing different social groups (including vulnerable)
- Youth representative
- Religious representative
- Others as required by the community (e.g. respected people, women's group, and others).

The core planning team supports the elections process, many options are available on how such a process is organized. The lowlands of Ethiopia have a long history with strong traditions which can be relevant and used for the election process. The core planning team can suggest different methods for the election if needed. The member names are documented including their positions and the phone numbers at the end of the election process.

Figure 7: Electing the community planning team

What are the next steps?

Agree on an estimated timeline (timeline will be dependent upon the issue under discussion) for the different steps taking the pastoralist lifestyle, the climate conditions and need to finalize the process in a short timeframe before the government budgeting process into account. The community needs to approve the developed activity plan before end of May. The whole event is documented in annex 8 Awareness creation and selection of community planning team.

What does community participation mean?

- Decisions need to be taken by the community; it is a bottom-up approach which will increase the ownership of implemented activities.
- The task of the core planning team is to guide the community in the discussions, keeping the discussions in line with the different goals of each session and at the same time to document the sessions. The core planning team is invited to ask follow-up questions to specify statements and value comments.
- Everybody in the community has the right to comment and discuss.
- All comments and statements must be formulated in a constructive and respectful manner.
- The community is a source of valid information.

How to understand the situation of a community?

The core planning team learns to understand the situation of the community with their existing resources and potentials. The community activity plan will be developed based on existing capabilities.

PRA tools are used to further understand the situation at the location (compare with PRA Manual). During this step two PRA tools are recommended:

1. Stakeholder analysis (see figure 8) will help understand who is active in the community and their relations
2. Seasonal calendar (see figure 9) will help to plan activities according to the needs and the availability of community members.
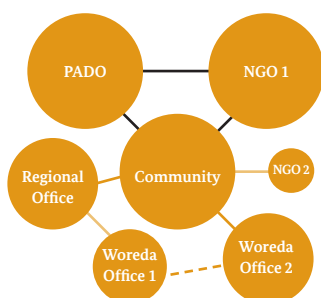

Figure 8: Stakeholder Analysis

	Animal Products	Water Supply	Draught	Migration
Kerma	+++	+++	–	–
Gilal	++	+++	+	+
Sugum	–	+	++	++
Hagay	–	–	+++	+++

Figure 9: Seasonal Calendar

The core planning team members gain useful information during the discussions which are helpful for the further process. During these sessions the core planning team is there to guide through the tool and not to influence the community. The discussions and development of the tools are documented in detail by the documenter of the core planning team. Other PRA tools can be used for further analysis as needed.

3.3 Step 3 Identification and prioritization of problems

The purpose of this step is to identify priority problems of communities and their causes. The problem identification is conducted using problem and opportunity analysis which is a systematic approach that addresses priority problems and make use of opportunities. The community ranks the identified problems using other PRA tool. Then cause-effect relationships will be established for the ranked problems. The underlying assumption here is that the community activity plan will solve problems by taking advantage of opportunities.

What to do?

What	How	Who	When
Organize an event to discuss pending problems	Invite the core planning team as well as interested community members and prepare material for the problem discussion	Core planning team, community leader, community planning team, interested community members	Mid of March
A participatory community map is developed	The community develops a map of the area with support of the core planning team	Core planning team, community leader, community planning team, interested community members	Mid of March
Identify problems using the problem tree analysis	The community develops a problem tree with support of the core planning team	Core planning team, community leader, community planning team, interested community members	Mid of March
Order the problems by using the scoring and ranking tool	The community ranks problems with support of the core planning team	Core planning team, community leader, community planning team, interested community members	Mid of March

What is participatory mapping?

Participatory mapping can be implemented according to available inputs. The simple option is a map drawn on the ground by the community members using local available items like sticks, stones, leaves, etc. (see figure 10). The community marks available resources, e.g. grazing areas, community protected areas (Biodiversity hotspot areas), agricultural areas, housing areas, water points, health posts, schools, etc. Afterwards problems are marked on the map, e.g. gullies, degraded grazing areas, broken water pumps, etc. The method is described in detail in the PRA Manual.

The community can also mark with pens resources and problems on a printed map (satellite images, orthophotos) if such material is available. EPLUA can support creating such material.

The final product is saved as a digital picture or scan. The information can get digitized in a geographic information system (GIS).

Figure 10: Community develops a map

How to identify problems with the community?

A crucial step within the planning process is the identification of problems, it needs a careful handling. It is important to get a wide range of opinions from the community with all social groups. The collected problems get grouped, e.g. physical (gully, etc.), environmental (drought, flood, etc.), economic (lack of credit, low income, etc.), infrastructure-related (access to roads, access to basic services, etc.), etc. The core planning team facilitates the process and focuses on:

- Distinguishing problems from causes and solutions
- Distinguishing between symptoms and problems
- Interactions between problems
- Severity and frequency of occurrence and its impact (long/medium or short term)
- Check if problems are real in comparison to the issues in the region and re-discuss if necessary

The problem tree analysis tool will help you during the discussion with the community (see PRA Manual). The tool separates in the discussion the root causes from the core problem with the effects. The root causes are especially interesting, you can find out about it by repeatedly asking the question "why do we have this problem?" The final output of problem analysis is a clear understanding of the problems and underlying causes of the problems to be addressed.

How to prioritize/rank problems in a participatory manner?

There are many different types of ranking and scoring (see figure 11). Please be aware of the following points while undertaking any ranking/scoring exercise:

- let people do it their own way
- use people's own unit of measurement
- use local names and materials
- be patient, probing and eager to learn

Figure 11: Pending problems with prioritization

The core planning team can introduce the ranking and scoring tool from the PRA Manual as an alternative if the community do not have their own method (see figure 12). All social groups need to participate in the process to reflect all opinions in the community. The core planning team facilitates the process and is not getting involved in the details. Their main task again is to ask questions to get precise information. The core planning team documents the discussion and results. Sometimes priorities shift according to special initiatives or funding, the core planning team highlights such special situations to take advantage of additional budgets for the communities.

PROBLEM	Drought	Pests	Weeds	Cost of Fertilizer	No land	No Irrigation	Soil erosion
Drought		Drought	Drought	Cost of Fertilizer	Drought	Drought	Drought
Pests			Pests	Cost of Fertilizer	No land	No Irrigation	Pests
weeds				Cost of Fertilizer	No land	No Irrigation	Weeds
Cost of Fertilizer					Cost of Fertilizer	Cost of Fertilizer	Cost of Fertilizer
No land						No land	No land
No Irrigation							No Irrigation
Soil erosion							

PROBLEM	FREQUENCY	RAND
DROUGHT	5	2
PESTS	2	5
WEEDS	1	6
COST OF FERTILIZER	6	1
NO LAND	4	3
NO IRRIGATION	3	4
SOIL EROSION	3	4

Figure 12: Example Preference Ranking

The results of the scoring and ranking is documented in the form of the annex 9 Identification and prioritization of problems. Especially if changes are made after the scoring and ranking tool was used because of shifts in the opinion of the community because of special budgets, etc.

3.4 Step 4 Identification of solutions

The step focuses on collecting all possible solutions for the identified and prioritized problems. Afterwards the solutions get analyzed to identify feasible options and rank them.

What to do?

What	How	Who	When
Organize an event to discuss activities	Arrange meeting with community and stakeholders	Core planning team, community leader, community planning team, interested community members, other stakeholders	End of March
Collect ideas for activities including basic information	Discussion to identify the best fitting acuities which are in favor by the communities	Core planning team, community leader, community planning team, interested community members, other stakeholders	End of March

How to collect solutions fitting the prioritized problems?

The core planning team recaptures the last session to the community, presenting again the developed map and the priority list from the problem discussion. Additional experts can get invited according to the identified problems to add expert knowledge to the discussion. The community first proposes solutions from their experience and information level, facilitated by the core planning teams. The core planning team repeatedly asks the question "how", to get details for each proposed solution. Part of the solution discussion are timeframes, inputs, responsibilities, benefit sharing, etc. Several solutions can be proposed to tackle a single problem, the focus is on the best fitting solutions. All solution ideas get documented in the form of the annex 10 Identification of solutions – Solution Options and Discussion and double checked to their feasibility.

Can the expert group also propose solutions?

Only as a second step, the core planning team and available additional experts add to the ideas presented by the community. The solution folder with a collection of solutions in the form of InfoTechs and illustrations offer material to present additional ideas to a community (see figure 13). The solutions are presented with pictures highlighting potentials, benefits, inputs, implementation period, requirements, limitations and risks. An optimum situation is created when several solutions are available for the same problem. The community decides which options fit best their situation.
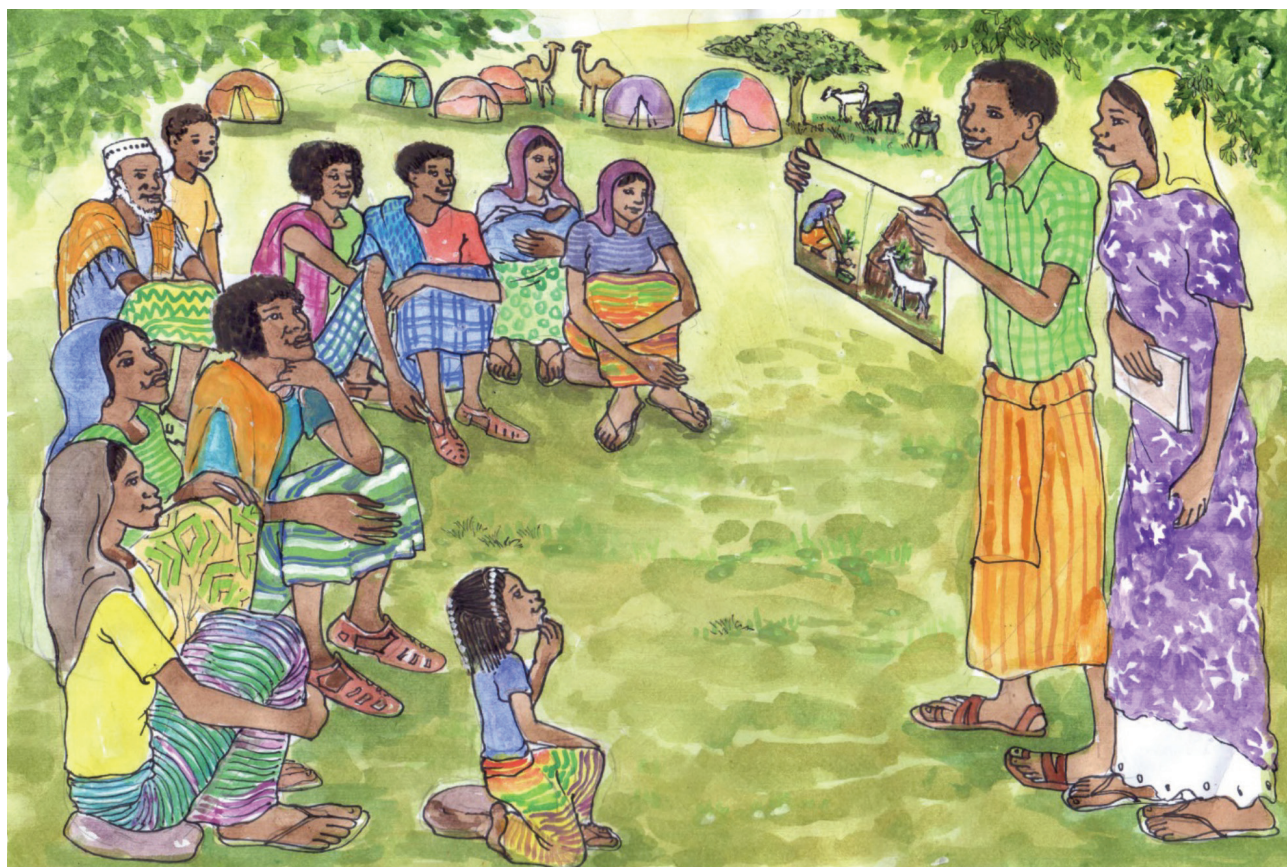
Figure 13: Visual solution discussion

What are main factors to be considered for a solution?

- How much will the activity initially cost?
- How much will the activity cost to run and maintain?
- How difficult is it to implement and manage an activity?
- Will an activity solve the problem(s)?
- Who will benefit from an activity?
- How to share benefits?
- What is the role of the community in solving the problem(s)?
- What is the community contribution in solving the problem(s)?

The results of the solution identifications are documented in annex 10 Identification of solutions – Solution Options and Discussion.

Activities in one year

Activity 1   **Activity 2**   **Activity 3**
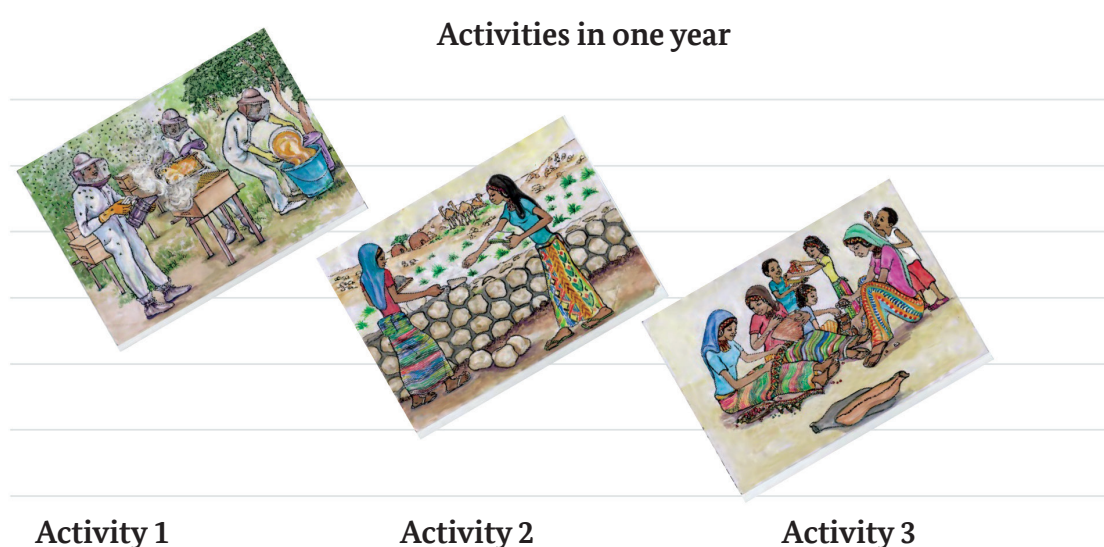
Figure 14: Timeline with different activities for one year

3.5 Step 5 Draft Community Activity Plan

The action plan consists of sustainable activities, timeline (see figure 14), roles, responsibilities and needed support with a monitoring schedule. EPLUA approves the social and environmental risk assessment done for all proposed activities.

What to do?

What	How	Who	When
Draft activity plan is available	The core planning team drafts the activity plan for a community according to the solution discussion	Core Planning Team	Beginning of April
Neighboring activity plans of two communities are compared to create synergies	Identify similar activities in neighboring communities which can get combined	Core Planning Team	Beginning of April

How to draft a community activity plan?

The core planning team sorts and groups all collected information of all previous steps according to their priorities. Afterwards the team drafts a table which lists all foreseen activities for the upcoming year highlighting the content of activities, timeframes, inputs from different stakeholders, responsibilities in the communities and support resources, according to the provided form (see annex 11 Community Activity Plan). The table contains activities in a logical order and takes seasons into consideration.

What is standard activity in community activity plan?

Every activity plan includes monitoring and evaluation as a regular activity (once a month) with split responsibility in the community and the core planning team. Monitoring is a core activity which ensures timely implementation of activities as well as modifications of activities if necessary. The community and the core planning team exchange on the situation in the community during these regular monitoring meetings.

How to coordinate between neighboring communities?

The core planning teams coordinates activities in neighboring or shared areas with responsible people of neighboring communities and their planning teams. The draft activity plans get compared by the core planning team. Synergies and dependencies can exist and are used to increase success during and after implementation, e.g. joint implementation or maintenance (see figure 15).

Figure 15: Two communities sharing one water point

3.6 Step 6 Discussion and approval of Community Activity Plan

What to do?

What	How	Who	When
Organize an event to discuss the draft activity plan	Arrange meeting with community	Core Planning Team, community leader, community planning team	Mid of April
Get approval of the community for the drafted activity plan	Explain the details of the activity plan and integrate comments and changes from the communities	Core Planning Team, community leader, community planning team, interested community members	Mid of April

How to present the draft activity plan?

The core planning team meets with the community to recapture the last five steps of the participatory community activity planning. First the overall objective of the plan is formulated in a simplified manner. The team presents the draft activity plan using visual tools including especially a timeline for action. The developed map from step 2 can highlight activity locations and illustrations from the InfoTechs help to highlight the objectives of foreseen activities. The activity plan is a guideline through the year and can be changed if necessary.

How to come to an agreement?

All participants of the session have the opportunity to comment on the draft plan with the focus on a general endorsement of the plan at the end of the discussion. Let the community double check if the activities fit their needs. The facilitator asks the community, if all details about inputs, timeframes and responsibilities are fitting their expectations. Enough time should be given for detailed discussion and support the community to reach an agreement. All feedback needs to be documented in all details. The core planning team changes the draft activity plan according to the new input and request a final endorsement of the community activity plan.

What is necessary to finalize the community activity plan?

The standardized MoU and the local bylaw from precondition step 4 are updated to formalize the cooperation between the community, the kebele and if necessary other stakeholders (donors, neighboring communities, etc.) as main partners for the implementation of the foreseen activities. The core planning team includes the purpose, scope, roles and responsibilities of the partners described in detail in the document. The new version of the community activity plan gets developed in an electronic format (see annex 11 Community Activity Plan) and is used as an annex of the MoU as well as the participatory maps from step 4. All stakeholders get the opportunity to comment on the document before the document gets signed by the head of the community, the PADO and main stakeholders. Copies of the document are handed over to all stakeholders.

4. Follow up on the Activity Plan

4.1 Participatory Monitoring

How does monitoring works?

Monitoring is a process to regularly assess the ongoing implementation of agreed activities throughout the year(s). The responsible person for monitoring in the community, the DA and maybe external stakeholders are meeting on a regular basis (flexible) at the location of the community to check what happened since the last monitoring meeting and what should happen until the next monitoring meeting. The group collects success stories and challenges from the past. The DA documents the monitoring session with the annex 12 monitoring. Additionally, the DA updates the community activity plan, part of the update is the status of activities, remarks as well as activities which need to be deleted or added to the list.

All collected details are used to improve the cooperation and implementation over time, additionally all stakeholders get feedback on their activities.

4.2 Integration of Community Activity Plan (mainstreaming)

The results of the community activity plans need to be forwarded in the government system to interlink it with the budgeting process. It also needs to be shared with the responsible body of the Woreda Participatory Land Use Planning (WPLUP) in Pastoral and Agro-Pastoral Areas procedure for full integration of the interventions on a higher level. The regional government takes over the lead for the proper use and integration of the participatory guide by all development actors working with the community and starts a reviewing procedure if the field guide needs an update.

5. Further Readings

- Participatory Rural Appraisal (PRA) Manual (part of the material)

- Climate Vulnerability and Capacity Analysis Handbook (CVCA) from CARE 2019 available on the website careclimatechange.org

- Woreda Participatory Land Use Planning (WPLUP) in Pastoral and Agro-Pastoral Areas available on the website cgspace.cgiar.org

- Community Based Participatory Watershed Development Guideline

Annex Forms

The precondition Forms are for Dry Valley Rehabilitation.

Annex 1: Precondition 1 Woreda suggestions for new planning locations

Date		Woreda		Region	
Kebele		**Village**			

Participants	Name		Position	

Approval was given to start the community activity planning process	YES ☐	NO ☐

New Planning Locations		
Priority	Name	Remarks
1		
2		
3		
4		
5		
6		
7		
Next Steps		

_____
Date

_____
Signature

Annex 2: Precondition 2 Suitability Matrix per Cascade for Dry Valley Rehabilitation

Date		Region	
Woreda		Kebele	
Name, organisation and position of participating evaluators			
1.			
2.			
3.			
4.			

Summary table

	Total scores	Average scores	Weight	Weighted score
Physical aspects		(= total/5)	0.3	(=average score*weight)
Biological aspects		(= total/6)	0.3	(=average score*weight)
Social aspects		(= total/5)	0.4	(=average score*weight)
Total score of cascade: (=sum of weighted scores)				

Physical aspects (5 questions)

Distance		<1 Km radius	1 – 5 Km radius	> 5 Km radius	Score:
Sufficient stones available for construction		3	2	1	
Sufficient sand available for construction		3	2	1	
Closest permanent water point		3	2	1	
Road access (all weather road for motorized vehicles/trucks)		3	2	1	
Height of floods (m)Physical observation (trees, debris)	No floods	0.5 – 1 m	1 – 1.5 m	1.5 – 3 m	Score:
Points	0	3	2	1	
			Total score physical aspects: (copy to summary table)		

Biological aspects (6 questions)

Predominant soil type	Points	
Clay or loam	3	Score
Sand	2	
Rocky soil	1	
Signs of cultivation (e.g. maize, sorghum, grasses)	Points	
Yes	1	Score:
No	2	
Presence of invasive species		
Prosopis	Points	Score:
Light	3	
Moderate	2	
Heavy	1	
Parthenium	Points	Score:

Light	3	
Moderate	2	
Heavy	1	
Calotropis	Points	Score:
Light	3	
Moderate	2	
Heavy	1	
Goronto (Acacia Nubia)	Points	Score:
Light	3	
Moderate	2	
Heavy	1	
	Total score biological aspects: (copy to summary table)	

Social aspects (5 questions)

Proximity of marketplace	<10 Km radius	10 – 20 Km radius	> 20 Km radius	Score:
Points	3	2	1	

Presence and maintenance of enclosures		Points	Score:
	Yes, present and maintained	3	
	Yes, present but NOT maintained	2	
	Not present	1	

The following questions are to be asked during the key informant interview

Proximity of the next (semi-) permanent hamlet/village	<1 Km radius	1 – 5 Km radius	> 5 Km radius	Score:
Points	3	2	1	

Number of hamlets/villages in this area (meaning in the area predefined via drone pictures)		Points	Score:
	0	0	
	1 - 2	3	
	3 - 4	2	
	> 5	1	

Average number of households per hamlet/village		Points	Score:
	<10	3	
	10 - 20	2	
	>20	1	
		Total score social aspects: (copy to summary table)	

_____
Date

_____
Signature

Annex 3: Precondition 3 Exchange Visit

Guiding questions for exchange visit between communities:

- How does the planning process work?
- How is participation from all social groups organized?
- What are pending problems in the community?
- Did the problems change over time?
- What activities got implemented to overcome problems?
- What input was needed to realize activities?
- How is maintenance organized for constructions?
- What are the benefits of activities?
- How are benefits shared within the community?
- What details are included in the local Memorandum of Understanding (MoU)?
- What rules are included in the local bylaw?
- How high are penalties if the local bylaw is not respected?
- What is going well in the overall process?
- Which challenges exist during the overall process?

Annex 4: Precondition 4 Bylaw

Local Bylaw *COMMUNITY NAME*

Introduction

The document is developed through the participatory processes giving regulatory power to the local community of ***COMMUNITY NAME*** within the framework of the Ethiopian government. Local rules and regulations are defined in the document for all community members as well as visitors, increasing the accountability of the responsible bodies and individuals. The document can be updated according to the needs and discussions in the community.

Objective

The bylaw is the basis for sustainable use of local infrastructure and resources with clear rules and regulations

Stakeholder

The bylaw is applicable to residents of ***COMMUNITY NAME*** as well as groups/communities who are in the ***COMMUNITY NAME*** area. The regular elected members of the management committee consisting of the chairman, the vice chairman, a secretary and a cashier are from the community and represent the interest of the overall community which includes all social groups.

Position	Name	Phone Number
Chairman		
Vice Chairman		
Secretary		
Cashier		

Beneficiaries of the bylaw are the residents of *COMMUNITY NAME* as well as groups/communities who are in the ***COMMUNITY NAME*** area.

Topics (text blocks can be completed or deleted as needed)

Water Spreading Weir

NAME OF PERSON of the maintenance committee is responsible for the topic Water Spreading Weir. As community contribution the community will support the construction with one free labour day per week. ***NAME OF PERSON*** checks regularly the constructed WSW for damages, at least once a month and after heavy floods. Existing small damages get fixed by the community directly, big damages get repaired with the support of the woreda. Additional biological measurements, like planting of sansevieria, grasses, or trees along WSW or DSM get implemented to further protect the physical constructions. The responsible person is the focal person for the communication with the community leader and the woreda for repairs.

Dry Stone Measures

NAME OF PERSON of the maintenance committee is responsible for the topic Dry Stone Measures. As community contribution the community will support the construction with one free labour day per week. ***NAME OF PERSON***checks regularly the constructed DSM for damages, at least once a month and after heavy floods or rains. Existing small damages get fixed by the community directly, big damages get repaired with the support of the woreda. The responsible person is the focal person for the communication with the community leader and the woreda for repairs. Additional biological measurements, like planting of sansevieria, grasses, or trees along WSW or DSM get implemented to further protect the physical constructions. The responsible person organizes the proper protection and upkeeping for the biological measures.

Tree Protection Area

NAME OF PERSON of the maintenance committee is responsible for the topic Tree Protection Area. The community agrees to protect all healthy and planted trees in their area (see map in annex). Especially newly planted trees are specifically protected against animals. The responsible person will organize the community to implement the protected areas according to the agreement and the map.

Fenced Area

NAME OF PERSON of the maintenance committee is responsible for the topic Fenced Area. The reasons for a fenced area can be e.g. agricultural areas, tree protection, vegetation protection, etc. Different types of fences are available and can be combined with mental fencing to further strengthen the protection. The fencing is against wild and domestic animals. The responsible person will organize the community to implement the protection of the fenced areas.

Penalty

The community ***COMMUNITY NAME*** agreed in the previous chapter of the local bylaw to several local regulations which need to be followed by the community members as well as visitors to the area. In case the local regulations are not followed, the community agrees that a penalty is necessary. The community decides to collect a penalty in case a person is not following the agreed regulations. Higher penalties are necessary if rules and regulations are not followed regularly. Possible actions that lead to penalties are:

Actions	First Time	Second Time	Third Time	Guests
No regular monitoring of existing WSW				
No repair of damaged WSW is implemented in time				
No regular monitoring of existing DSM				
No repair of damaged DSM in time				
Healthy trees are cut down				
Animals are within a fenced area				
Animals are eating seedlings				
Destroying a fence				

The penalties are reviewed regularly by the management committee and are changed according to experiences. Persons not following regulations have the option to explain themselves in front of the committee. Internal conflicts are solved on a local level whenever possible taking all stakeholders into consideration. At the end the management committee decides if local penalty need to be paid. The woreda administration will be involved if a conflict cannot get solved locally.

Collected penalty

The cashier from the management committee is responsible to collect penalties. All collected sanctions can only be used to reduce the effects of the broken regulation or for the overall benefit of the community. The planning committee discusses with the community the use of the penalties and identifies best possibility of spending the collected penalties.

Other local bylaws created by organized groups in ***COMMUNITY NAME***, like CBOs or collectives are harmonized, which will be reviewed on a yearly basis.

Annex of Bylaw

Overview map of the primary land of *COMMUNITY NAME* including all important resources of the community

Signed by: _____ (for community)   Signed by: _____ (for PADO)

Signature: _____   Signature: _____

Position: _____   Position: _____

Mobile Number: _____   Mobile Number: _____

Stamp

Annex 5: Precondition 4 MoU

Memorandum of Understanding for
Participatory Community Activity Planning
in *COMMUNITY NAME*
with support of
Pastoral-Agricultural Development Office (PADO), *WOREDA NAME*

The following document is supporting the development and implementation of participatory community activity plans for *COMMUNITY NAME*. The document can be updated according to the needs and discussions in the community as well as when policy is changed.

Objective

This Memorandum of Understanding (MoU) sets the terms and understanding between the community of *COMMUNITY NAME* and the Pastoral Agricultural Development Office (PADO) in *WOREDA NAME* for the continuous development and implementation of participatory community activity plans for the timeframe of the MoU.

The MoU will:

1. Outline commitments and responsibilities regarding planned activities
2. Define roles between PADO and the community of *COMMUNITY NAME*
3. Set the frame for cooperation between PADO of *WOREDA NAME* and *COMMUNITY NAME*community including any unforeseen challenges and difficulties during planning and/ or implementation of the agreed-on activities.

Scope

The developed participatory community activity plan will be the basis for implementation of activities at community level, facilitated through the combined efforts from the *COMMUNITY NAME* community and PADO.

Objective is to

1. sensitize communities during problem, potential and solution discussions
2. create transparency on activities and priorities them according to community preferences
3. create an enabling environment for the sustainable continuation of activities
4. provide a platform for inclusive discussion, the participatory activity plan uses local knowledge and resources.

The Roles and Responsibilities of Parties

PADO:

- Is steering the activity planning process, by facilitating community discussion
- Assigns one DA, one Woreda Expert and one documenter as the core planning team for the planning and monitoring process. These will:
    - guide the community through the planning process
    - facilitate group formation as needed
    - ensure that bylaws formulated with the community are in line with governmental land use and access rights
    - regularly monitor and technically backstop the implementation of activities with extensive exchange between the different sectors
    - ensure that activity plans are incorporated into the Woreda development planning and facilitate the implementation of activities

The community agrees to:

- Establish a community planning team which supports the overall planning process with all its steps and ensures equal representation of all social groups in the community
- assign responsible focal persons for each agreed on activity with active participation from the community during the detailed planning and implementation of each activity, see annexed detailed community activity plan. The responsible person for an activity will
    - organize community input according to the community activity plan or ongoing discussions which supports the implementation of foreseen activities. The input from the community varies depending on the activity, in many activities free daily labour is most important. The details are listed in the annex;
    - facilitate the development of community-based bylaws, including enforcement mechanisms and ensure compliance;
    - mobilize user groups as required to clarify the beneficiaries of a specific activity as well as who has access to specific common areas in the community;
- Proactive communication with constructive feedback during the implementation and the further development of the community activity plan;
- Take over the finalized constructions as well as equipment and will maintain the input;

Implementation Agreement

The annexed community activity plan of *YEAR* is an example for community-based activities for the following years. Updates of the activity plan are necessary on an annual basis. Adaptions and changes are possible and need to be agreed on;

Exchange of Information

- The appointed community planning team and the core planning team will communicate important information during the monthly monitoring meetings as well as other discussions;
- Community and PADO thrive for a harmonious piloting of activities towards the expressed objectives. However, should any different views arise; all parties agree to address issues swiftly, striving to find a solution that respects the reflections of all parties involved.

Duration

The MoU will automatically get extended until one of the stakeholders actively cancels the MoU in written form.

Other Provisions

Adjustment of Agreement

In the case that provisions of this Agreement do not lead to an efficient achievement of the set target, a stakeholder may adjust or amend these provisions by mutual consent at any stage during the implementation of the activity plan. Any amendments shall be made in writing.

Written form

Amendments and additions to this Agreement, and any other important declarations and communications of significance to the execution of this Agreement, shall be made in writing. The Agreement will be in Afar and English language.

Entry into force

This Agreement shall enter into force on the date it is signed by all parties hereto. It shall be drawn up in two originals.

Signed by: _____ (for community)   Signed by: _____ (for PADO)

Signature: _____   Signature: _____

Position: _____   Position: _____

Mobile Number: _____   Mobile Number: _____

Stamp

Annex 6: Step 1 Preparation stage – Approval from Woreda

Date		Woreda		Region	
Kebele		**Village**			

	Name	Position
Participants		

Approval was given to start the community activity planning process	YES	☐	NO	☐

Members of the Core Planning Team		
	Name	Phone Number
DA		
NRM Expert		
Documenter		
Comments		
Next Steps		

_____   _____
Date   Signature

Annex 7: Step 1 Getting started - Approval from Community Representatives

Date		Woreda		Rigion	
Kebele		Village			

	Name	Position
Participants		

Approval was given to start the community activity planning process	YES ☐	NO ☐
Comments		
Next Steps		

_____   _____
Date   Signature

Annex 8: Step 2 Awareness creation and selection of community planning team

Date		Woreda		Region	
Kebele		**Village**			
Total number of participants					
Number of male participants		Number of female participants			

Approval was given to start the community activity planning process	YES	☐	NO	☐

Members of the Community Planning Team	
Name	Phone Number

Comments	
Next Steps	

_____

Date

_____

Signature (facilitator)

Annex 9: Step 3 Identification and prioritization of problems

Date		Woreda		Region	
Kebele		**Village**			
Total number of participants		Number of male participants		Number of female participants	
Problem				Priority before discussion	Priority after discussion
Next Steps					

_____

Date

_____

Signature (facilitator)

Annex 10: Step 4 Identification of solutions - Solution Options and Discussion

Date		Woreda		Region	
Kebele		**Village**			
Total number of participants		Number of male participants		Number of female participants	

Solution suggestion	Feasibility

Next Steps	

_____
Date

_____
Signature (facilitator)

Annex 11: Steps 5 and 6 Community Activity Plan

Date		Woreda		Region	
Kebele		Village			
Total number of participants		Number of male participants		Number of female participants	

No	Activity	Q1	Q2	Q3	Q4	Q1	Input Community	External Input	Responsibility Community	Support	Remarks
1											
2											
3											
4											
5											
6											
7											
8											
9											
10											

Annex 12: Monitoring

Date		Woreda		Region	
Kebele		**Village**			

Participants	PADO	
	Community	

Discussed points	
Recommendations	
Next Steps	

_____

Date

_____

Signature (facilitator)