

Participatory  
Methodologies  
and Tools

Community  
Protocols  
Toolbox

2



## 2

# PARTICIPATORY METHODOLOGIES AND TOOLS

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Protocols  
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## Booklet 2

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# PARTICIPATORY METHODOLOGIES AND TOOLS

Engaging with communities in an appropriate manner when developing community protocols requires active enquiry and a commitment to an inclusive and culturally responsive group process. This Booklet aims to support such processes by setting forth textual, visual, verbal and dramatic “tools” that enable dialogue and documentation of community realities, complexities and aspirations.

### HOW TO USE THIS BOOKLET

Although every community will need to decide for itself how to undertake its protocol process, there are five major **elements** that will be common to most processes. These elements are discussed in detail in *Booklet 1* and are listed as follows: 1) Facilitator’s Perspective; 2) Community Background; 3) Process; 4) Outcome; and 5) Legal Landscape.

This Booklet (*Booklet 2*) follows the same order of *Booklet 1* to provide participatory methods and tools for each of the five elements listed above. Despite being organized in this manner, the tools are potentially relevant to all of the elements, and it is up to the facilitator and community to use them as they see fit. As a practical matter, information relevant to multiple elements is often elicited in a single group exercise or meeting.

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### Categories of Tools

Textual, visual, verbal and dramatic tools are included in this Booklet. The selection of tools should be based on relevant considerations such as convenience, appropriateness to the context, and also on the comfort levels of the community. Additional information is provided below on each of the different categories.



**TEXTUAL:** As their name implies, textual tools generally use written text. However, they are often structured and organized visually (graphs, tables, arrows etc.) to enable quick and easy comprehension. For external facilitators who may be used to text-based education, these tools may be the easiest

to employ. Textual tools also have the added advantage of being easily documented, as the process itself serves as documentation. However, if the facilitators are working with a community that is not comfortable with text, these tools may become exclusionary.

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**VISUAL:** Visual tools can be used as stand-alone tools, or to compliment other tools in this Booklet. Visual tools have the advantage of breaking the barrier of written text, thus making the process more inclusive. However, when using these tools, it is important to ensure that the visual language used (referring to drawing styles, materials used, medium of drawing etc.) is in line with the community's own way of visual expression. For example, in India, a community developing a protocol was unable to relate to or identify with a visual tool that involved a digitally animated camel because the community was unused to animation. However, it was able to accept a hand-painted drawing of a camel much more comfortably. In some cases, the use of visual tools may also require assistance from artists/designers.

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**VERBAL:** Verbal tools are among the simplest to use, since they simply modify already existing patterns of verbal communication between people. They can be used to ensure greater participation from different individuals within a group, and also to bring out nuances of thought and opinion that may not easily come out through a casual conversation or discussion. These tools may, however, be difficult to use if there is a language barrier between the facilitator and the community. They also require special attention to be paid to documentation through writing, audio or video to capture the ideas that they spark.

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**DRAMATIC:** Dramatic tools are the most comprehensive kind of tool since they have the capacity to bring together textual, visual and verbal tools, along with the use of other traditional forms of expression, like music and dance. Since they require extensive physical, mental and emotional engagement, they can also be the most powerful in communication between the facilitator and the community, and can bring out important nuances. Dramatic tools also have the advantage of being able to break barriers of text and language, as well as other social barriers, and build greater trust between facilitators and the

community. Dramatic tools, however, may be difficult to use for facilitators without at least an initial training in the use of theatre for facilitation, and may often require the assistance of a theatre artist in understanding how to use them for facilitation in a protocol process. They also require special attention to be paid to documentation, through writing, audio or video to capture the ideas that come out through these tools.

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The community's comfort level with text, visual art forms, language, and physical expression, can be gauged through initial meetings with the community and by exploring and understanding the community's traditional forms of creative expression and decision-making. The demographic composition of community meetings is also important. For example, it may be more appropriate to use verbal tools in a meeting with community elders than dramatic ones. The decision as to which category of tools is most useful should take these factors into account, and designing the process to use the community's own art forms (or as close as possible) can increase its effectiveness.

Each tool has further explanation to help facilitators decide on which ones will be appropriate for a given process, including guidance on the context or process for which that particular tool is most useful. The same tools can sometimes be used at different stages of a community protocol process and for different purposes. For the sake of brevity and clarity, the tools have only been mentioned once in this booklet. The tools do not stand alone, and can and should be combined with other tools and methods in the course of the protocol process.

The tools below are not a comprehensive list, and are aimed at being a reference point only. For each process, only a few of the possible tools that can be used have been listed here, based on the experience of the authors. Additionally, the steps provided serve as a general guide, but in some cases more detail will be needed to utilize a particular tool. Each tool has a "resource" section where further instructions can be found if necessary. The facilitator should use her creativity along with the guidance provided in the Booklet to engage in a meaningful process.

## Elements

### 1. FACILITATOR'S PERSPECTIVE

A key component of developing a protocol is the bringing together of multiple perspectives during the process. To do this, it is important that there is full and complete trust within the group and between the group and the facilitator. This is particularly important if an external facilitator leads the process.

#### a. Principles for Facilitators

**Creating a safe space:** It is vital to create an open and safe space for all participants. This includes:

- ensuring that meeting spaces are accessible and safe;
- ensuring mechanisms are put in place for ensuring confidentiality of sensitive information;
- building trust between participants and facilitators;
- accepting all opinions with a non-judgmental attitude.

**Community ownership:** the participants in the process and the larger community must feel ownership over the process. This includes:

- ensuring transparency and accessibility of all information;
- ensuring inclusion of marginalized groups or individuals in the process;
- respecting community opinions on process.

**Engaging with community members in an appropriate manner:**

The onus is upon the facilitator to ensure that engagement with the community is on their terms. This includes:

- engaging in a manner that is respectful of their values and customs;
- ensuring that tools and methods chosen are based on the community's comfort levels. Be creative in using the community's cultural practices. For example, use traditional drums or singing during meetings; if communities are uncomfortable with reading and writing, use dramatic tools instead.

**Documentation:** It is the facilitators' responsibility to ensure appropriate documentation of information throughout the protocol process:

- ensure active documentation of all processes, interesting points that came out during the conversation etc;
- where possible, have community members capture the information;
- ensure that the result of the documentation is accessible to all the participants.

#### b. Tools to Build Cohesion and Unity within Groups

A strong group dynamic is very important to a protocol process. The tools below are designed to do the following:

- a. Build cohesion and trust within the group that is participating in the protocol process;
- b. Break down pre-existing social, political and inter-personal dynamics between individuals in the group;
- c. Help individuals in the group connect or reconnect on a personal level to ensure trust and confidence in everyone to participate in the process.

These activities, along with other games and tools referenced at the end of the section, can be used in the beginning of the protocol process to establish trust and comfort between participants, and may be used at different points during the process for the same purpose. It is often useful to use some of these tools in the beginning of community meetings.



#### 1. Semi-circle sound and movement

***Builds group cohesion***

DRAMATIC

*This is a game that creates coordination between members of the group by pushing them to listen and respond to the actions of their neighbours. It can also help the facilitator assess the group's comfort levels with each other, and with physical forms of expression.*

Resource: Adapted from notes taken by Natural Justice during Adivasi Applied Theatre – facilitation training notes (Hastings, 2015)

## PROCESS

- The group stands in a semi-circle.
- A participant from one end of the semi-circle (Participant 1) begins walking very slowly to the other end of the semi-circle. The person standing adjacent to Participant 1, designated as Participant 2, initiates a sound (for example: sound of a motor car, a bird call, laughter, a vendor yelling out wares etc.)
- Participant 1 identifies the sound, and responds with an associated action (for example: an action of driving a car, flapping hands to indicate flying etc.), while continuing to cross to the other end.
- Once Participant 1 has reached the other side, the same process is repeated with Participant 2, and so on until every participant has crossed to the other end of the semi-circle.
- Once this is completed, the participants find their way back to their original positions by repeating the process in reverse, i.e. the action is initiated first, and the participant adjacent to the action-maker identifies the action and responds to it with an appropriate sound.



## 2. Flocking

**Addresses pre-existing power dynamics**

DRAMATIC

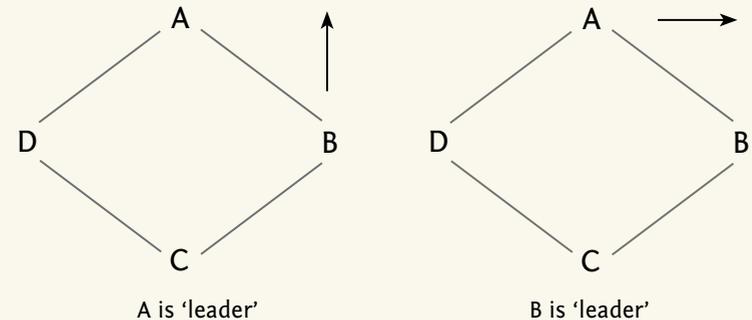
*This exercise is meant to break down hierarchies and power dynamics that may already exist among the participants by giving every person a chance to lead a smaller group in an activity. It can be used to establish a sense of equality among all the individuals in the group and the validity of all perceptions and opinions.*

Resource: Adapted from Adivasi Applied Theatre – facilitation training notes (Hastings, 2015)

## PROCESS

- The larger group is divided into smaller groups of four each.
- Each group typically stands in a diamond formation, facing one direction.
- The person in the front, when facing a particular direction (Participant A, see diagram on the following page), starts a movement that is mirrored by everyone in the group.

- After a few seconds, in the course of movement, Participant A should change the direction he or she is facing. When that happens, and everybody turns to follow Participant A, someone new will now be in the “front” of the diamond (Participant B). Leadership now shifts to Participant B and the exercise continues.
- For example, in the figure below, Participant A starts as the leader in the left diagram. When Participant A turns to his right, Participant B now becomes the leader.



## 3. Sound gates

**Establishes trust between individuals and the group**

DRAMATIC

*This exercise achieves its purpose by closing off the visual sense, and pushing participants to rely on each other to navigate a space.*

Resource: Adapted from Adivasi Applied Theatre – facilitation training notes (Hastings, 2015)

## PROCESS

- Half the group is turned to one side facing the wall (or stand with their eyes closed), the other half is paired, and the pairs are spread throughout the space.
- Each pair decides on 3 sounds: normal, welcome and danger.
- The pair now clasps their hands together to create an arch or gate.
- The other half of the group now walks through the space with their eyes closed, being guided by the sounds.
- Normal sound is made continuously by the pair.

- As a participant approaches a gate, the pair makes their welcome sound. And if the participant is about to collide into another participant, the pair makes the danger sound. Each pair is responsible for ensuring the safety of the persons near them.
- Switch the groups and repeat.

## 2. COMMUNITY BACKGROUND

The Community Background element includes the following sub-elements: a) identity of the community, b) community governance structure, c) purpose of the protocol, and d) other stakeholders.

### a. Identity of the Community

It is important for the facilitators to understand the context of the community, its territories and resources, how community members perceive themselves, and the multiplicity of dynamics playing out within the community. It is also important for the community members to understand and recognize differences among themselves, while also creating a group identity for the purpose of the protocol that individuals within the community are comfortable with.

#### i. Exploring multiplicity of identities

Different individuals within the community will have different ideas and expressions of their identities, both as individuals and of the community itself. The tools below help the community explore the multiplicity of identities that exist within the community itself.



#### 4. DJing images

DRAMATIC

**Explores multiple perceptions of issues relevant to the protocol**

*This exercise uses physical postures adopted by participants, or “body images” to understand the group’s perceptions of particular concepts. This tool is quite complex, and it may be difficult to facilitate for someone who does not have experience with it. It is strongly suggested that before using this tool, facilitators refer to the resources included, and take assistance from a theatre artist in the use of this tool, either as a co-facilitator or by undergoing initial training in its use. The description below is only meant to serve as a reference for those who have some*

*experience with the tool, and may not be useful to someone with little or no experience in use of participatory theatre for engagement.*

*Despite the difficulty of concisely describing this tool, it is included here because of its power to elicit multiple meanings, and understand the community at a very deep level. It asks individuals within the group to showcase their associations to a concept both individually and in relation to other images. By creating multiple individual images, and a simultaneous group image, it allows for a multiplicity of meanings. For example: in the context of mining, ‘water’ could mean ‘life’ but also ‘pollution’; both these ideas can be brought out through the same group image.*

Resource: Adapted from Forum Theater for Teachers, MacDonald and Rachel, Workshop at Athens Conference 2000, available at <http://organizingforpower.org/wp-content/uploads/2009/03/games-theater-of-oppressed.pdf>. For more information, see Drama Resource, available at <http://dramaresource.com/image-theatre/>. For an example, see Teachers Act Up, Image Theatre, available at [https://www.youtube.com/watch?v=iV\\_3gVaGHRM](https://www.youtube.com/watch?v=iV_3gVaGHRM)

### PROCESS

- Participants stand in a circle.
- The facilitator selects a word that is relevant to the community she is addressing (for example, “water”) and announces the word to the circle. A participant then comes to the centre of the circle and using his or her body creates an “image” by adopting a posture that is representative of what the word means to her or what she associates it with. For example, ‘water’ may lead to a person adopting the posture of drinking.
- A second participant now enters the circle, and, adopting their own body posture, creates an image that can be related to the first image, or an entirely different image displaying what the word means to the second participant.
- Every participant similarly enters the centre of the circle, and adds to the scene that is being created in the centre. After the entire group is in the image, ask the group to hold the image for at least 5 seconds in silence. Then, you can announce the next word.
- When the group strikes an image that appears to bring out a strong issue or idea, you can add movement and sound to the image to bring out the idea more clearly, by following these steps:
  - Invite each participant to saturate their minds with the inner voice of the position they are in. For example: if the image is that of a person drinking water, this person may be enjoying

the freshness of the water, or may be finally getting a drink after a hard day's work, or she may be unhappy with how polluted the water is.

- After 5-7 seconds, the facilitator says "Go!" and asks everyone to simultaneously speak the inner monologue out loud in free form for 5-7 seconds until the facilitator says "Stop!" and everyone returns to their original image.
- Now ask everyone to take the essential bit from what they just said – a word, sound or short phrase, which represents the entirety of their thought process or is the most powerful word or phrase to communicate their thoughts.
- This time when the facilitator says "Go!" everyone says that essential bit over and over till the facilitator says "Stop!" and the original image is restored.
- Now ask participants to add a short, repetitive movement with the image to go with the essential bit. For example, in the image of a person drinking water, he may add a movement of spitting out the water.
- When the facilitator says "Go!" everyone does the sound and the movement together until the facilitator says "Stop!", and everyone returns to their original image.
- To allow for each idea to be heard and understood by the rest of the group, the facilitator taps one individual at a time. When the facilitator taps an individual, that person does their sound and movement once, and afterward returns to the still image. The rest of the group continues to hold the image.
- As the facilitator, feel free to play with different juxtapositions to bring out the nuance of the idea. For example, if someone has a strong idea, tap that person multiple times, or tap persons representing contradictory meanings one-after-another etc. This allows the group to reflect more deeply on the multiple meanings of the image.
- Debrief with the group on what meanings and associations were brought out, and reflect collectively on what it means for the community.

#### NOTE

- The kind of words and gestures used – are they words and gestures of anger, supplication, superiority, love etc.

- Differences or trends between individuals based on gender, race, class, caste etc.
- Noticing these subtle patterns allows the facilitator to understand the kind of emotional associations that are attached to particular meanings, as well as the differences of opinions within the community based on gender, race, class, caste etc. The facilitator can draw on this understanding to guide the protocol process by ensuring inclusivity of different meanings and identities, and working on issues that may come up through the exercise.



#### 5. Privilege Walk

*Explores dynamics of privilege within the community*

DRAMATIC

*This exercise is used to facilitate exploration of the idea of privilege within the community. Privilege tends to be invisible to those who are privileged. That is, when we receive privilege based on particular factors, we tend to not recognize the boosts in position that accumulate over time from those privileges. The point of this exercise is to raise awareness of how privilege based on gender, class etc. function. Whether we are highly privileged, moderately privileged or lack privilege, it is possible to behave in ways that level the playing field for everyone. In this context, it can help community members identify internal power dynamics and inequalities and create empathy among individuals and groups, particularly marginalized groups, within the community.*

Resource: Adapted from University of Michigan Privilege Walk Activity, available at <https://ginsberg.umich.edu/content/privilege-walk-activity>.

#### PROCESS

- Take note of different identities that individuals within the community carry. For example: old woman, disabled man, widow, landless person, educated man etc. Now assign each of these identities to one person within the group until all possible identities are exhausted. Try to assign roles different from the real identities of the participant.
- Have all the participants stand shoulder-to-shoulder in a line, and begin asking questions relating to the privilege enjoyed by the different individuals within the community. Questions asked will be dependent on the context of the community involved in the

protocol process. The questions should be designed as yes or no questions, such that a 'yes' represents privilege and 'no' a lack of privilege. Some examples are provided below.

- If the answer to the question is yes, the participant moves a step forward; if the answer is no, the participant moves a step backward.
- Once a series of 8-10 questions have been asked, place a waste-paper basket at the front of the room, and ask each person to throw a crushed piece of paper into it, from their position in the room. This allows the group to reflect on the consequences of privilege or lack when trying to achieve certain goals, personal, social or political.
- After the exercise, ask the community to reflect together on the idea of privilege within the community. Ask the participants how they felt about being in the shoes of a particular person.

#### Potential Questions:

- Is it easy for you to approach local authorities?
- Is your voice heard in community meetings?
- Do you have food security?
- Do you feel safe traveling alone?
- Can you find jobs without much hardship?
- Are you afraid of state-sponsored violence against you?
- Do you feel adequately represented in local or national decision-making bodies?

#### ii. Mapping and identifying territories and resources

Identification of territories and resources are an important part of establishing a sense of group identity within the community. This is particularly important where communities have lost lands and/or their sense of community is depleting due to loss of traditional practices, customs or governance structures.



#### 6. Sketch map

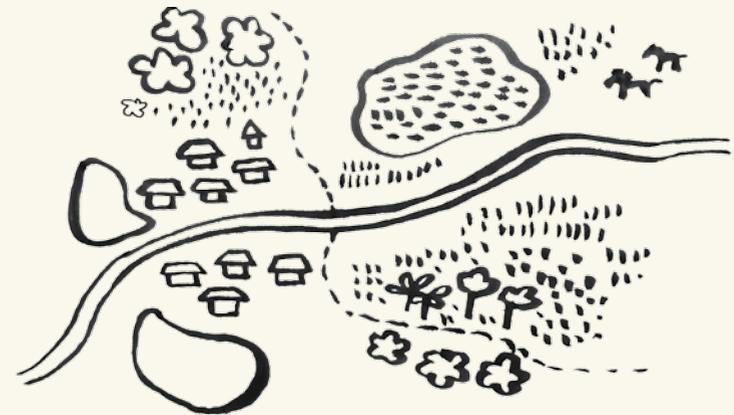
##### *Maps the community's territories*

VISUAL

*A community sketch map is used to identify locations of important resources or sites, systems of resource use, and customary or property boundaries. This tool can be adapted and used with other visual*

*tools to provide a visual overview of what comprises the community's landscape.*

Resource: Adapted from 80 Tools for Participatory Development (Inter-American Institute for Cooperation on Agriculture (IICA), 2008) and draft Strengthening Endogenous Development in Africa: A methodological guide (CIKOD et al, 2011-12). For more guidance, see also Biocultural Community Protocols: A toolkit for community facilitators, available at <http://naturaljustice.org/publication/biocultural-community-protocols/>.



*Example of a sketch map showing location of different aspects of a community's landscape*

#### PROCESS

- Facilitate a discussion about key physical features that the community would like to include, such as lakes, forests, and sacred sites.. Not every feature has to be included, especially if it will make the map too crowded or confusing to be useful.
- Consider developing a legend for different symbols or colours that may be used.
- Using large sheets of paper or a blackboard, begin by marking the location of important reference points such as houses and transportation routes.
- If available, GPS devices can also be used to develop maps. For this kind of mapping, divide the group into smaller groups of 5-6 persons, each with an appointed leader. Ensure that each group has at least one person who can use a GPS device. Each group then marks each site that they wish to put on the map.

- Depending on the dynamics within the community, separating the larger group into women, youth etc. can help increase participation.
- Hold a plenary session or broader group discussion to verify the information and gather further inputs or suggestions.
- Transcribe the final version of the map and make at least one copy for safe-keeping.



## 7. Rhythm categories

### Maps natural resources of the community

VERBAL

*This exercise can be used to identify important natural resources within the territories that are used by the community and to facilitate a discussion about the importance of biodiversity to the community.*

Resource: Adapted from Adivasi Applied Theatre, facilitation training notes (Hastings, 2015)

### PROCESS

- With the group standing in a circle, the facilitator starts a beat, and picks a topic. For example, trees in the forest
- Going around the circle, each person in the group names one item in the topic (for example, name of a tree) without missing the beat.
- Names cannot be repeated. Keep going until everyone has run out of names.
- Start the next round with a different topic.

### NOTE

- Make sure that the names are being recorded. You could facilitate a discussion on resources that are being impacted by extractive or infrastructure projects.

## b. Community Governance Structure

Assessment of the community's power dynamics, as well as formal and informal leadership structures, is a key step in the protocol process.

The following tools are meant to analyse internal governance structures and identify key players, for example, who can lead on

community protocol process, leaders whose consent may need to be sought, persons who have influence in local politics etc.



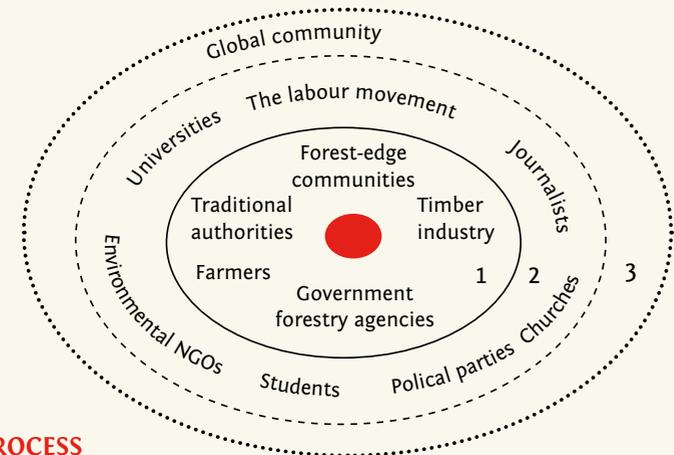
## 8. Identifying key actors

### Identifies key actors

VISUAL

*To identify actors who have influence over relevant issues, such as a particular mining project, a particular resource or the community's overall ways of life.*

Resource: Adapted from Stakeholder Power Analysis (IIED, 2005), available at [http://www.policy-powertools.org/Tools/Understanding/docs/stakeholder\\_power\\_tool\\_english.pdf](http://www.policy-powertools.org/Tools/Understanding/docs/stakeholder_power_tool_english.pdf).



### PROCESS

- Prepare a large bull's eye diagram (like the one shown above adapted from Kotey et al., 1998) with several concentric circles.
- Seek agreement about the focus of the analysis, for example, a particular mining project or a particular resource.
- Facilitate a discussion to identify key actors (companies, institutions, government ministries, groups, or individuals) that affect the mining project, the resource or area.
- Rank them according to power or degree of influence. This can be done with numbers, icons, or different sizes of paper.
- Label them on the diagram. The ring closest to the centre represents the most influence and the outermost ring represents the least influence.

*Assessment of the community's power dynamics, as well as formal and informal leadership structures, is a key step in the protocol process.*

## NOTE

- You could begin with identification of actors within the community and then move to external actors.
- Consider reflecting on the results by asking questions such as what would happen if the role or influence of one of the key actors changed drastically and how the community would cope with the change.



## 9. Stakeholder mapping

### *Analyses stakeholders within the community*

#### TEXTUAL

*Stakeholder mapping and analysis helps in understanding an issue more holistically, and provides clarity on strategies to address each stakeholder.*

Resource: See Stakeholder Power Analysis (IIED, 2005) available at [http://www.policy-powertools.org/Tools/Understanding/docs/stakeholder\\_power\\_tool\\_english.pdf](http://www.policy-powertools.org/Tools/Understanding/docs/stakeholder_power_tool_english.pdf).

#### PROCESS

- Stakeholder mapping and analysis can be done on a chart. First, set out a list of primary (directly affected) and secondary (indirectly affected) stakeholders.
- Consider whether any stakeholders are missing. For example, direct and indirect stakeholders may have representatives who were not initially included. For example, a company may outsource management of labourers to a different company or contractor. Mind mapping (refer to Mind Mapping tool) will help with this section of the exercise to make sure all possibilities are covered.
- After this, the stakeholders that have been identified can be analysed using questions. For example: how are they affected? What influence do they have? If the group is large, this exercise can be carried out in smaller groups using charts.
- The second part of this exercise involves listing the stakeholders' interests, value and objectives, needs, influences and power sources, resources, relationships and networks – these can be done in the form of lists on a chart or diagrammatically to show the level of influence, for example, using a bull's eye diagram (see figure on previous page).

- Divide the larger group into smaller groups of 5-6, and discuss within the smaller groups how the analysis can be a step towards a solution to the issue. Listing these and then sharing in the larger group will help obtain a range of ideas.

### c. Purpose of the Protocol:

A protocol process can have different purposes, and the physical form of a protocol can be targeted toward different audiences. It is important for the community to decide at the outset what the purpose of the protocol is. This will help to define the protocol's scope and focus, which in turn will provide some guidance for how the process should be undertaken in the initial stages. However, community needs and priorities change over time, and the protocol process should remain flexible in order to take such potential changes into account. It is not uncommon for the purpose of the protocol to change over time depending on the communities' needs.



#### 10. Mind map

TEXTUAL

*Elicits ideas from a group of people and finds links between them*

*This tool can be used to encourage a wide range of ideas from a group of people. It is often used to elicit a number of responses without judgment or analysis in order to encourage creativity within the group.*

Resources: Adapted from European Commission, Online Foresight Guide available at [http://forlearn.jrc.ec.europa.eu/guide/4\\_methodology/meth\\_crea\\_brainstorming.htm](http://forlearn.jrc.ec.europa.eu/guide/4_methodology/meth_crea_brainstorming.htm).

#### PROCESS

- Divide the larger group into smaller groups.
- On a large piece of paper, write down broad questions that you want to ask the group. Make sure that the questions are open-ended. Some examples are provided below.
- As answers come up, write down key-words or themes, and ask follow-up questions on them. Simple questions like why, how etc. can lead the group into interesting discussions.
- Link the keywords together to indicate the flow of thought.

#### Questions

- What is your traditional relationship with natural resources?
- What are the changes you have noticed within your community in the last 20 years?
- What is the role of extractives and infrastructure projects in your life?
- How can the relationship with natural resources and other traditions be sustained?
- What issues, needs, interests or desires does the community want to communicate to external stakeholders?



#### 11. Forum Theatre

*Stimulates creativity and thinking, trust and local identity*

DRAMATIC

*This tool can be adapted and used to explore inter-personal dynamics and people's ideas about how to improve the outcomes of a problematic scenario. It encourages dialogue and constructive action between people with different opinions or approaches to the same issue. The group can use this tool to think about the purpose of the protocol and the potential consequences of certain actions within the protocol process.*

*This tool is a very powerful way of bringing out multiple meanings, issues and solutions but as with the **Djing Images** (Tool No. 4), it may be difficult to facilitate a forum theatre exercise without prior training. It is suggested that facilitators take assistance from a theatre artist in the use of this tool, either as a co-facilitator or by undergoing initial training in the use of the tool.*

Resource: For more information, see Earth Rights International, Forum Theatre: Strengthening Community Understanding of Free, Prior and Informed Consent, available at [https://www.youtube.com/watch?v=0o15\\_F\\_mt98](https://www.youtube.com/watch?v=0o15_F_mt98). Also see Re-Create the ARTitude through Forum Theatre (a.r.t Fusion) and Forum Theater for Teachers, MacDonald and Rachel, Workshop at Athens Conference 2000, available at <http://organizingforpower.org/wp-content/uploads/2009/03/games-theater-of-oppressed.pdf>. For an example of Forum Theatre see TEDx-ColumbiaSC, Forum Theatre Performance – Shannon Ivey and STATE of Reality available at <https://www.youtube.com/watch?v=vcLcXeXJVDU>

#### PROCESS

- Work with a small group of about 3-5 people in the community to prepare a short scenario about a particular problem or conflict

that is relevant to the community.

- Arrange for the actors perform the scenario in front of an audience from start to finish.
- Once the first performance has finished, have the actors act out the performance a second time. This time, allow the participants to stop the performance at key moments where a change in the actors' behaviour or actions would affect the way the story unfolds.
- Encourage audience members to step into the scene, replacing one of the actors temporarily, and attempt to change the outcome in a positive manner. The actors should stick to their roles within reason but improvise in response. Each key moment could be revised more than once to explore different approaches and perspectives.
- Afterwards, facilitate a discussion amongst the audience members and actors about the different responses and outcomes and how this could be applied to a similar real life situation.

Other relevant tools: World Café (available at <http://www.theworldcafe.com/>); Visioning (Exploring Sustainable Communities, How to Conduct a "Visioning" Exercise available at <http://www.gdrc.org/ngo/vision-dev.html>). For more information see Framework Methodology, Annex III, pp. 71-73.

#### d. Other Stakeholders

The community needs to consider the impact of the protocol on external stakeholders, as well as the influence that external stakeholders may have on the process of the protocol or on the progress of the extractive industry or infrastructure project. Some of the tools from *Section 2. B. Community Governance Structures* above may also be used for this analysis. This section is focused on external actors and is meant to take stock of the external influences and pressures that play on the community, and the power dynamics that govern these.



#### 12. Columbian Hypnosis

*Explores power dynamics*

DRAMATIC

*This tool is adapted from one of the games designed by Augusto Boal in the Theatre of the Oppressed, and can be used to assess and discuss hierarchies and other power dynamics within the community, or of outsiders with relations to the community.*

Resource: Adapted from Forum Theater for Teachers, MacDonald and Rachel,

Workshop at Athens Conference 2000, available at <http://organizingforpower.org/wp-content/uploads/2009/03/games-theater-of-oppressed.pdf>. For an example of Columbian Hypnosis, see Katherine Burke, Columbian Hypnosis, available at [https://www.youtube.com/watch?v=\\_AaVRreMCPY](https://www.youtube.com/watch?v=_AaVRreMCPY).

#### PROCESS

- The group forms a circle. One person (Participant 1) comes into the centre of the circle and stretches out both her arms sideways, with palms perpendicular to the ground. Two more people then enter the circle, and put their faces in front of the palms of Participant 1 (see Columbian Hypnosis video above for an example).
- These two people then similarly stretch out their arms, and add more people.
- Everyone in the structure tries to keep their face aligned to the palm "controlling" them, as Participant 1 moves through the space.
- Facilitate a discussion within the group about the power dynamics within the hypnosis and how it relates to their real life.

#### Potential Questions

- Who is the person in the middle?
- What does this structure look like to you/What does this structure remind you of?
- How does the person in the middle feel? How do people on the extreme ends feel?

### 3. PROCESS

The Process element includes the following sub-elements: a) **participants**, b) **meetings and documentation**, c) **timing**, d) **resources**

#### a. Participants

An inclusive process is integral to developing a community protocol, and care must be taken to ensure adequate participation from all groups within the community, especially those that are marginalized. The tools in this section are focused on ensuring greater participation of individuals within a group, and ensuring that different persons and groups from the community are included in the protocol process.



### 13. Semi-structured interview

*Includes marginalized groups in the protocol process*

VERBAL

*This tool can be used to obtain specific or general information by talking to people, families or focus groups. The objective is to ascertain the views of particular groups within the community, and facilitate the discussion of these views in wider community discussions.*

Resource: Adapted from 80 Tools for Participatory Development (Inter-American Institute for Cooperation on Agriculture (IICA), 2008), available at <http://repiica.iica.int/docs/B10131/B10131.pdf>.

#### PROCESS

- Identify groups that may not otherwise have a voice in general community gatherings.
- Determine a general interview guide, based on the nature of the group or person.
- When selecting members of the community with which to engage in the dialogue, choose people with a wide variety of experiences. For example, when formulating a women's group, include women farmers, women who may run a small business, women who have domestic duties and are primary caregivers to children, women who are active in the community etc.

#### Potential Questions

- How long have you and your family been living within the community?
- How have you or your family been affected by this project?
- What has been the biggest hardship that you have experienced as a result of the project?
- Do others in your community experience similar issues?
- How has your life changed since the project began?
- Has the project affected your wellbeing or that of your family? How?
- How are your children affected by the project (positives/negatives)?

Other relevant tools: Evan Hastings, a shadow-theatre artist, has developed several dramatic tools to encourage inclusivity. These can be used to encourage inclusivity of all community members, especially if there are marginalized groups that exist. For more information see <http://evanhastings.blogspot.com>.

## b. Meetings and Documentation

Different issues, needs and interests of the community will need to be assessed and prioritized for inclusion within the community protocol. The tools below are designed to enable the community to analyze different issues and prioritize among them.



### 14. Tool: Speed Dating

*Helps discuss issues that individuals might not be comfortable raising*

VERBAL

*Sometimes, individuals may be uncomfortable sharing issues in a group. This tool can be used to allow individuals within the group to talk to each other one-on-one and bring out personal stories. This tool also ensures that all voices, especially of those that are marginalized, are heard and included in the process.*

Resource: Adapted from draft of report on BLINC – Community Rights Workshop (Natural Justice, 2015)

#### PROCESS

- Participants sit in two rows facing each other. The facilitator will keep time and tell the participants when to start. The facilitator also decides which side should start.
- The facilitator should also provide the participants with some topics to discuss. In this case, since the aim of the tool is to bring out details on issues, the topic of discussion could be a particular issue that was brought out earlier, for example, a particular mining project or water pollution; or it could be more general, for example, relation of the person to their forests.. Specific questions about these topics are provided below.
- Once the facilitator says “Go,” each person begins talking to the person opposite them.
- When the count stops (in 1-3 minutes), every person moves one place to their right, and starts a conversation with a new partner.
- This process is repeated until every person has had the chance to talk to everyone else in the group.
- Afterward, the facilitator can lead a discussion on any common ideas or issues that came out through the conversation, or to talk about any personal story that resonated strongly with the par-

ticipants, while ensuring anonymity of the individual. The larger discussion can help the community understand the issues, and can also lead into a discussion on prioritization of issues.

### Potential Questions:

- Why is this issue or opportunity important to you?
- What do you feel will be the impact on you personally?
- Are there particular persons or groups responsible?
- Do you feel like this is an issue that can be resolved? Do you think this is an opportunity that can be utilized?



## 15. Assessing Key Opportunities and Threats

*Identifies opportunities and threats*

TEXTUAL

*This tool can be adapted and used to determine how the community would like to respond to certain opportunities and threats around an extractive industries or infrastructure project. If a large number of opportunities and threats have been identified, the tool can also help prioritise which ones to act upon.*

Resource: Adapted from Toolbox for Jirani Na Mazingira and Community Conservancy Local Level Planning in Laikipia Ecosystem (Zeitiz Foundation, 2010)

### PROCESS

- Facilitate a brainstorming session around the opportunities and threats with respect to the extractive industry or infrastructure project.
- Work with a small group to identify criteria for assessing the opportunities and threats. Such criteria should help the community to prioritise and decide on addressing the threat or opportunity.
- Create an organised table with the opportunities and threats listed in separate columns across the top and criteria listed in separate rows on the left-hand side.
- Encourage the small group to consider each opportunity or threat in turn and assess it according to the criteria.
- Facilitate a process of prioritization, based on magnitude of impact or ease of addressing it.
- Once key opportunities and threats are prioritised, you could facilitate a process of visioning and planning to address them.



VISUAL

## 16. Mapping project impacts

*Identifies issues specific to infrastructure and extractives projects*

To identify important natural features in a community's landscape, and identify the location of a project, or its impacts (such as pollution or acquisition over traditional territories and natural resources) over time.

### PROCESS:

- Facilitate the development of a community sketch map. Refer to the Sketch Map Tool in Section 2.A.
- Facilitate a discussion about the impacts of extractive industries or infrastructure projects.
- Pinpoint key areas on the map that have been impacted upon by projects, such as roads, housing, school, natural resources such as water sources, forests, land for grazing etc.
- Distinguish between direct and indirect impacts of the project such as dust, noise, and odour.
- Work to attempt to gauge when the impacts are at their worst (that is, when the wind blows in a particular direction, at different times of day, or different seasons).
- Facilitate reflection on these impacts and rank them according to how badly they affect the community.
- Consider developing a legend for different symbols or colours that may be used.
- Hold a plenary session or broader group discussion to verify the information and gather further inputs or suggestions.
- Transcribe the final version of the map and make at least one copy for safe-keeping.

### c. Timing

The protocol process has to balance the timeframe that the community is comfortable with, with the speed and progress of the extractive industry or infrastructure project that the protocol may be trying to address. The tool below is designed to understand the community's timeline and design the protocol process accordingly.



## 17. Decision-making calendar

VISUAL

### *Understands community timeframes*

*This tool can be adapted and used to provide clarity about the decision-making processes that occur throughout a community-defined seasonal cycle. It can be used to raise awareness within the community about when important decisions are made and to promote transparency and participation.*

Resource: Adapted from 80 Tools for Participatory Development (Inter-American Institute for Cooperation on Agriculture (IICA), 2008), available at <http://repiica.iica.int/docs/B10131/B10131.pdf>.

### PROCESS

- Identify what the community perceives as a full cycle of seasons (for example, cultivation, migration cycles or seasonal weather patterns).
- Seek agreement on an appropriate way to depict that cycle such as in a linear graph, sketch map, or otherwise.
- Facilitate a discussion about key decisions made within each season, for example decisions about the timing, location, and methods of livelihood activities, festivals, meetings etc. Record the information on the cycle.
- If available, include details such as who is involved in the decision-making process, when meetings are held, how others can provide input, and so on.
- Facilitate a discussion about the extent to which the broader community is aware of this information.

Other relevant tools: Historical Timeline (see *Assessing Resilience in Social-Ecological Systems*, available at <http://www.redagres.org/Assessing%20Resilience%20in%20Social-Ecological%20Systems.pdf>, *Assessing Community Capacities* (see page 41 of *Biocultural Community Protocols: A toolkit for community facilitators*, available at <http://naturaljustice.org/publication/biocultural-community-protocols/>).

## 4. OUTCOME

The outcome of the process includes more than just physical form of the protocol itself. Facilitators should also consider the results of engaging in the process, as well as how to ensure that there is follow up. The Outcome element includes the following sub-elements:

a) **form of outcome**, b) **uses of the protocol**; c) **potential consequences**, d) **monitoring**.

### a. Form of Outcome:

Discussion with the community is essential to brainstorming and deciding upon what form the protocol will eventually take. Depending on the context, it may be useful to initiate this in the beginning of the process, as well as revisit it continuously as the process moves forward.



## 18. Brainstorming

VERBAL

### *Encourage multiple ideas*

*This tool can be used to encourage a wide range of ideas from a group of people. It is often used to elicit a number of responses without judgment or analysis in order to encourage creativity within the group. Brainstorming is a feature of many different elements and tools in the development of a community protocol.*

Resource: Adapted from European Commission, *Online Foresight Guide* available at [http://forlearn.jrc.ec.europa.eu/guide/4\\_methodology/meth\\_crea\\_brainstorming.htm](http://forlearn.jrc.ec.europa.eu/guide/4_methodology/meth_crea_brainstorming.htm).

### PROCESS

- Encourage community members from different sections of the community to join the brainstorming session.
- Divide larger groups into smaller groups to ensure diverse participation from community members.
- The facilitator introduces the topic and the purpose of this session. The topic could be specifically on the form that the protocol would take, or it could be on broader issues that might be relevant to that decision. He begins the discussion by asking specific open-ended questions. The answers, reactions, comments,

contributions should be collated and written down without any comments or further analysis in order to encourage participants to speak their minds. Demands for clarification are allowed and ideas may be spun off from earlier ideas. The first phase ends after a set time, when a sufficient number of ideas has been generated, or when the group feels comfortable that there are no more ideas to add.

- After this phase has ended, ideas collected previously are revisited, clustered, prioritised, etc. Participants are encouraged to ask clarification or more information on what was meant by each item. The material is then taken as the basis for more analytic discussion.

## b. Uses of the Protocol

A community protocol is not mere documentation, and is rather a process geared towards creating community-led change. This change can be primarily within the community and/or it can take place in relation to external stakeholders. One major step in the process, however, is the development of a physical form of the protocol that can be shared with external parties. At each stage of the process, the community can ask itself how it wants to “use” any accomplishments to that point for further advocacy.



### 19. Action planning

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*Plans action based on community vision*

TEXTUAL

*The purpose of this tool is to build on the community's initial vision and the resources that they have at their disposal in order to determine the community's plans and priorities for development. This is based on recognized pre-existing strengths of the community.*

Resource: Adapted from draft Strengthening Endogenous Development in Africa: A methodological guide (CIKOD et al, 2011-12) (available at <http://www.groundswellinternational.org/wp-content/uploads/Strengthening-Endogenous-Development-in-Africa-1-July-2010.pdf>).

#### PROCESS

- Use this as a follow-up to community visioning, or other processes of community reflection, by encouraging participants to engage in decision-making based on the vision.

- Review the responses provided and ask for further thoughts. Identify potential clusters or themes.
- Discuss how the topics could be represented in a collective community action plan. Are there clear targets, goals and activities? What format would be most appropriate and meaningful?
- Once the action plan has been finalised and agreed upon, record it and make at least one copy for safe-keeping.

#### Potential Questions

- How will you use your protocol to make the community's goals and visions a reality?
- What are the targets and activities that will need to occur to use the protocol the way the community wants to?
- Who will be involved in carrying out specific activities, if any, called for in the protocol? Do they have the skills and capacity? What further resources do you need?
- When will these activities be implemented?
- How will an impending project affect the community's protocol?

## c. Potential Consequences

The consequences of the protocol process within and without the community may be numerous. The facilitator should consider proactively identifying and planning for dealing with these consequences before the use of the protocol.



### 20. Focus Group Discussion

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*Encourages deeper reflection*

VERBAL

*This tool can be used to allow participants to freely express ideas in a small and safe group. It can also be useful to brainstorm on specific questions, and can bring out detailed responses and deep insights.*

Resource: For more information, see Guidelines for Conducting a Focus Group available at [https://assessment.trinity.duke.edu/documents/How\\_to\\_Conduct\\_a\\_Focus\\_Group.pdf](https://assessment.trinity.duke.edu/documents/How_to_Conduct_a_Focus_Group.pdf).

#### PROCESS

- The group sits in a circle, and decides on what they want to achieve at the end of the discussion. The facilitator asks open

ended questions or can choose any views or observations from activities like mind mapping, DJ-ing images etc. which may have been used in the protocol process.

- She then reiterates the views expressed to the questions so the group gets a chance to reflect and modify or add to it.
- The facilitator must be alert to notice if views are shot down by the group, in which case she can express them again and make sure that everyone's views are included. The facilitator must also make sure that the discussion does not digress too much, and achieves the stated purpose.

#### d. Monitoring

A community's protocol will evolve as time passes and circumstances change. The community should revisit its protocol periodically to determine whether it still reflects their visions, dreams and plans. It is also important for the community to monitor the changes in its landscape. The tools below are designed to help assess changes within the community and their landscape after the protocol has been developed and used for a certain period of time.



#### 21. Community Health Impact Assessment Worksheet

*Assesses impacts of an extractives or infrastructure project*

TEXTUAL

*This tool can be adapted and used to assess the likely impacts (positive and negative) of a particular extractives or infrastructure project on community-defined aspects of wellbeing. The activity under assessment may emerge from within the community or from an external proponent.*

Resource: Adapted from material provided by the Centre for Indigenous Knowledge and Organizational Development (CIKOD). For full version see p. 43 of *Biocultural Community Protocols: A toolkit for community facilitators*, available at <http://naturaljustice.org/publication/biocultural-community-protocols/>.

#### PROCESS

- Collate as much information as possible about the proposed extractive industry or infrastructure project.
- Reflect on existing impacts, if any, of the project.
- Facilitate a broad community discussion to identify key aspects of material, social, cultural, and spiritual wellbeing. For example:

food, health, shelter, education, tenure security, equity, and freedom to practice traditions etc.

- Create an organized table of the different aspects of wellbeing arranged under their respective headings.
- The table should include columns with space to indicate whether the proposed activity is likely to have a positive, negative, or neutral or no impact.
- Going through each row in the table, assess the likely impact of the proposed activity on the different aspects of wellbeing. The score could be a simple 'yes' or checkmark. It could also be more descriptive or provide a relative value on a defined scale.
- After the assessment worksheet is complete, facilitate a community discussion about the results. Overall, is the proposed activity likely to have a positive or negative impact on community wellbeing? Where is more information needed?
- Consider creating an action plan.

Other relevant tools: Human Rights and Environmental Monitoring (see Guide to Human Rights Monitoring, Documentation and Advocacy, available [http://www.theadvocatesforhumanrights.org/a\\_practitioner\\_s\\_guide\\_to\\_human\\_rights\\_monitoring\\_documentation\\_and\\_advocacy](http://www.theadvocatesforhumanrights.org/a_practitioner_s_guide_to_human_rights_monitoring_documentation_and_advocacy)).

## 5. LEGAL LANDSCAPE

This element encompasses the customary laws that govern the development of the protocol, as well as the concept of legal empowerment, which is based on the principles that law should not remain a monopoly of trained professionals and that alternative forms of dispute resolution (such as dialogues) are often more attuned to local realities than formal legal processes.

### a. Customary Law

The tool below is aimed at helping bring out the community's customary laws and governance structures. Encouraging dialogue and reflection on customary laws should be an ongoing process throughout the protocol process.



## 22. Mapping of Laws

### Identifies customary laws

VISUAL

To identify and record the different traditional rules and norms that are in practice within the community, and to locate them within the territories and landscape of the community. This tool can provide a visual overview of the community's traditional norms.

Resource: Adapted from 80 Tools for Participatory Development (Inter-American Institute for Cooperation on Agriculture (IICA), 2008), available at <http://repiica.iica.int/docs/B10131/B10131.pdf>.

### PROCESS

- Facilitate the creation of a community sketch map (Refer to the *Sketch Map, Tool No. 6*).
- Facilitate a discussion about the traditional rules, norms, customs or practices that affect the resources on the map.
- Split the larger group into smaller groups of 5-6, and continue working with the small group to add norms to the relevant locations on the map. This could be done by labelling or using a different colour or pattern to shade in the relevant area.
- Hold a plenary session or broader group discussion to verify the information and gather further inputs or suggestions.
- Facilitate a discussion about what the map shows, and a reflection on the different rules and norms.
- Transcribe the final version of the map and make at least one copy for safe-keeping.

## b. Other Legal Frameworks

A key aim of the protocol process is to provide indigenous peoples and local communities with opportunities to influence policy planning and implementation by making the law more accessible. Providing meaningful information to communities about relevant sub-national, national, regional and international frameworks can be a challenge for a variety of reasons including language barriers, terminology, complexity and technicality of the law. The tool below attempts to address those challenges to present the law in a way that communities can relate to.



## 23. Three-headed dragon

### Critically analyses laws

VERBAL

This tool can be used to both understand the details of a particular law or judgment, and also to critically analyse the advantages and disadvantages of the law. It allows for multiple persons to participate in the debate, thereby creating a collective understanding of the law within the group.

Resource: Adapted from draft of report on BLINC – Community Rights Workshop (Natural Justice, 2015)

### PROCESS

- Participants stand in a circle. Three volunteers from the group come to the centre of the circle, and act as three heads of the same body.
- One head/person represents the 'Good'; the other represents the 'Bad'. The head/person in the centre is neutral. The 'Good' head represents the positive aspects of a particular legislation, policy or case law, while the 'Bad' head represents the negative aspects of the same law.
- Both heads talk simultaneously to the one in the middle, trying to convince him/her of their point of view.
- The centre head can pause and play the different heads as per his or her wish. The centre can also ask for opinions from the rest of the group on which of the heads to listen to.
- The process can be repeated with a different group of three. Set a timeframe – 3-5 minutes for each small group.
- Facilitate a discussion with the larger group on their thoughts about the law. Depending on the knowledge of the community, the facilitator may want to consider bringing in outsiders for some parts of this exercise.

GINO COCCHIARO



## BOOKLET 2

This Booklet contains practical tools for addressing all of the elements of community protocols discussed in *Booklet 1*. Several kinds of tools are provided in order to address the wide variety of contexts that facilitators will face in the protocol process.

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