

# PARTICIPATION IN PRACTICE: COMMUNITY-BASED PLANNING MANUAL



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# PARTICIPATION IN PRACTICE: COMMUNITY-BASED PLANNING MANUAL

Fostering local and national ownership for stabilization, recovery, transition, peacebuilding, disaster risk reduction, environmental management, resilience, and durable solutions interventions that address migration and displacement crises.



# ACKNOWLEDGEMENTS

This Community Based Planning (CBP) Manual intends to put communities and their leadership at the centre of recovery and development processes. Its production was a collective effort involving input from numerous colleagues from many different IOM missions, as well as contributions from outside experts who are long-standing practitioners.

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## LIST OF ACRONYMS

<b>AAP</b>	Accountability to Affected Populations (IOM framework)
<b>CAP</b>	Community Action Plan
<b>CBP</b>	Community-Based Planning
<b>CFM</b>	complaints and feedback mechanism
<b>CFT</b>	Core Facilitation Team
<b>CSO</b>	civil society organization
<b>DTM</b>	Displacement Tracking Matrix
<b>GBV</b>	gender-based violence
<b>HDPN</b>	Humanitarian–Development–Peace Network
<b>IDP</b>	internally displaced person
<b>INGO</b>	international non-governmental organization
<b>IOM</b>	International Organization for Migration
<b>M&amp;E</b>	monitoring and evaluation
<b>MCOF</b>	Migration Crisis Operational Framework
<b>MHPSS</b>	mental health and psychosocial support
<b>NGO</b>	non-governmental organization
<b>NRC</b>	Norwegian Refugee Council
<b>OECD</b>	Organisation for Economic Co-operation and Development
<b>PSEA</b>	Protection from Sexual Exploitation and Abuse
<b>RRU</b>	Relief and Rehabilitation Unit
<b>SOGIESC</b>	sexual orientation, gender identity and expression, and sex characteristics
<b>SWOT</b>	Strength, Weakness, Opportunity and Threat
<b>ToR</b>	Terms of Reference
<b>TRD</b>	Transition and Recovery Division
<b>UN</b>	United Nations



## EXECUTIVE SUMMARY

There is no better time to expand the use of participatory, inclusive, community-driven processes than now. According to the *IDMC Global Report on Internal Displacement, 2020* witnessed 55 million internal displacements as a result of armed conflict, natural disasters, and climate change.<sup>1</sup> The amount of people displaced by conflict and violence is the highest in history. In a growing number of contexts, unaccountable leadership, marginalization, and competition over resources have resulted in violence, forced displacement and outward migration. A series of protracted conflicts continue to lock thousands in displacement settings. And there are new forces at play such as climate change that will require new paradigms and solutions.

It is widely accepted that humanitarian, development, and peace actors must work together in order to address the staggering number of people displaced in today's world and the multiple forces that drive the number ever higher. But overcoming this divide has proven elusive. This led over 50 countries to demand action from the UN Secretary-General in 2019. The resulting High-Level Panel on Internal Displacement openly states that "overcoming the humanitarian–development divide is at the heart of the challenge of advancing durable solutions to internal displacement."<sup>2</sup>

Part of the problem is an inability to locate a common starting point for integrated work. This in turn leads to a lack of common tools available to humanitarian, development and peace actors to help bridge the divide. But there is now growing consensus that the answer can be found in the expanded use of participatory, inclusive, community-driven approaches.

The purpose of this Manual is to offer a common approach that can be applied across multiple disciplines to work together with affected populations to address the drivers of displacement and conflict in today's world. This document draws on the expertise of IOM in applying community-based assessment, planning and recovery processes. It is based on a thorough review of the practices of 10 different IOM missions and represents the Organization's best practices on participatory methods in transition and recovery, community stabilization, durable solutions, resilience-building, peacebuilding and disaster risk reduction.

The Community-Based Planning (CBP) Manual is broken into three components that represent the main phases of programme implementation. Component 1 involves all preparatory actions necessary to begin a truly community-driven process. Component 2 includes a series of assessments that can be completed by the community itself, offering various avenues to collect relevant information together with participants. Finally, Component 3 involves the planning, prioritization, and implementation phase of a typical CBP process.

The process codified in this universal guide is not limited to any type of programming or tied to any particular outcome. It is rather a tool that can be used by practitioners of all organizations working in a variety of contexts from humanitarian crises to development settings to countries dealing with the large-scale return of migrants or risk of outward migration.

<sup>1</sup> Internal Displacement Monitoring Centre. GRID 2021 Report. [www.internal-displacement.org/global-report/grid2021/](http://www.internal-displacement.org/global-report/grid2021/)

<sup>2</sup> United Nations Secretary General's High-Level Panel on Internal Displacement. *Shining a Light on Internal Displacement: A Vision for the Future*. September 2021. [www.internaldisplacement-panel.org](http://www.internaldisplacement-panel.org)



# INTRODUCTION

## BACKGROUND

This guide draws from global knowledge and experiences of IOM in applying community-based assessment, planning and recovery processes to its work in transition and recovery, community stabilization, durable solutions, resilience-building, peacebuilding and disaster risk reduction.

While IOM’s operational contexts are diverse, fundamental principles have emerged about how to improve the quality of programming. There is a recognized need to reposition communities and their leaders at the centre of activities. Processes that are inclusive and participatory lead to better outcomes. Such processes also offer opportunities to integrate work across the humanitarian, development and peace sectors, a goal of the United Nations’ ongoing reform process following the recommendations of the 2016 World Humanitarian Summit and in line with the 2030 Agenda.

Community-based assessment, planning and recovery processes, hereinafter referred to as “Community-Based Planning (CBP)”, are therefore at the forefront of leading global frameworks on changing the way we work. Almost every Sustainable Development Goal implies the need to put communities at the centre of the development process. The High-Level Panel on Internal Displacement is looking to CBP as part of its search for solutions to the staggering number of IDPs in today’s world.<sup>3</sup> The push towards more participatory programming also extends to IOM member states who adhere to the OECD Development Assistance Committee’s Recommendations on the Humanitarian–Development–Peace Nexus (HDPN) which require funding for integrated and localized programmes.

“IDPs and host communities must be able to exercise their right to participate in decisions that affect them... it is critical to better utilize Community-Based Planning.”  
High-Level Panel on Internal Displacement, 2021



The principles of CBP can also be found in many IOM policies and frameworks. The Migration Crisis Operational Framework (MCOF) lists participation and empowerment as key operating approaches for the Organization. The AAP Framework strongly emphasizes the inclusion of affected populations and communities in programme processes and decision-making. Finally, the IOM Reintegration Handbook includes community-based assistance as a necessary component of the overall reintegration process.

<sup>3</sup> *ibid.*, P. 22.



The relevance of CBP to global frameworks and its emphasis within guiding IOM policies compelled the development of this step-by-step manual on how to implement a participatory, inclusive, community-driven approach. The final product builds on and is aligned with many of the frameworks and guidelines referenced above, including the IOM's MCOF and IOM AAP Framework, the IOM Reintegration Handbook, UN Guidance for Community Engagement in Peacebuilding and the IASC Framework on Durable Solutions for Internally Displaced Persons.



## WHAT IS COMMUNITY-BASED PLANNING?

Societies are constantly evolving. Since the beginning of civilization, communities have attempted to address their own needs, improve their circumstances, and drive progress. When individuals identify what will benefit them and their broader communities, they are motivated to act and can be the greatest resource in the community's change.

Communities are diverse. Individual members have differentiated levels of power, decision-making and resources. Whether because of gender, ethnicity, age, religion, economic advantage or history, some individual members are empowered while others are excluded. This influences the formations of identities and groups which have different interests, needs and aspirations.

Conflict is part of every society. Resolving conflict through non-violent means is essential for the establishment of cohesive, resilient, empowered societies. When communities can manage conflict by developing relationships across socioeconomic lines, they embark on development pathways and transition away from humanitarian needs.

CBP is a people-centred methodology that works at the community level to address the social, material, and economic needs of communities impacted by humanitarian crises and displacement. It approaches communities as having capacities, agency, and motivations to drive positive change.

CBP is a process-oriented approach. The structured, inclusive, and participatory process yields dividends by improving a community's ability to resolve conflict and restore social bonds on which the broader society depends. It also restores the capacities of local leadership through promoting and restoring transparent, accountable leadership. While the process is a product, it also yields outcomes in the form of activities that are decided by the community, such as livelihood restoration, housing, or public infrastructure.

CBP is also a rights-based approach with an emphasis on inclusion, participation, and a right to make choices based on local needs and priorities. The right to inclusion and participation of communities affected by displacement, migration, civil conflict, and other external factors is key to the processes of promoting transition and recovery, stabilization, peacebuilding and disaster-resilient communities.

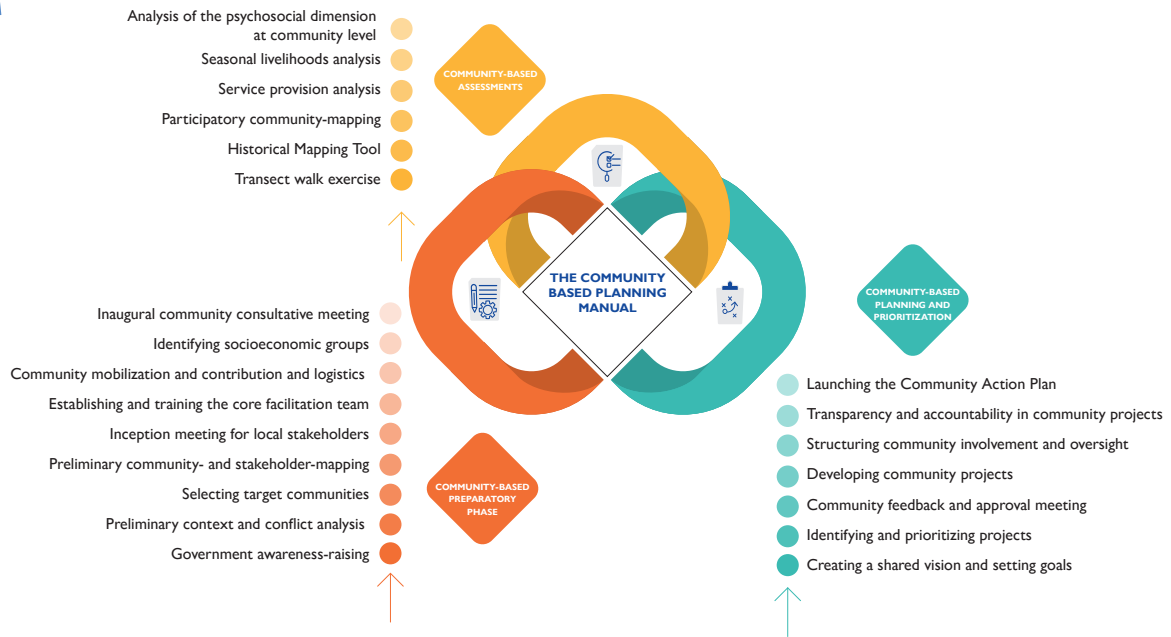


## USER GUIDE

The purpose of this document is to serve as a step-by-step manual on how to implement CBP in IOM operating environments. The manual is broken down into three components that represent the main phases of CBP. Component 1 involves the preparatory activities needed to engage stakeholders and initiate a truly inclusive process. The next component walks practitioners through innovative assessments that are uniquely tailored for a community-driven process. Finally, Component 3 is when the resources of the community are mobilized in support of a unifying CAP.



## STRUCTURE OF THE CBP MANUAL



Each component is made up of a series of steps which offer detailed information on how to implement the proposed activities. Component 1, for example, has a total of nine recommended steps that begin with Government Awareness-raising (Step 1) and end with the Inaugural Community Consultative Session (Step 9). The information in each step is then organized into a series of subsection that provide actionable information to IOM field practitioners.

Additionally, two important sections are offered at the end of every step. The documents, strategies and SOPs from IOM missions that were used to construct this manual are offered as direct links at the end of each step under the title **“Reference Documents from IOM Field Missions”**. Practitioners are highly encouraged to use these links as they represent the best practices of IOM and offer concrete examples of how counterparts have successfully implemented CBP activities.

Secondly, a series of practical, easy-to-use templates are offered at the end of each step under the title **“Templates for IOM Field Missions”**. To be an IOM practitioner is to be constantly pressed for time. These templates are meant to help the readers of this manual immediately conceptualize the activities, download a template, and run fully equipped to their next meeting or field activity.

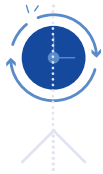


## ADAPTABILITY OF THE CBP MANUAL

It is important to note that the components and steps are modular, such that they can be used, adapted, or omitted depending on the outcomes of a project and the demands of a context.

The outcomes of IOM's projects span across the crisis, fragility and development spectrum and can include a reduction in levels of community level tensions or violence, the sustainable integration of marginal groups or a reduction in dependence on humanitarian assistance. Common to all these outcomes, through CBP, is the central focus on dialogue, inclusivity, empowerment, and accountability. The CBP process is not limited to any type of programming or tied to any particular outcome. It is rather a tool that can be used by IOM practitioners working across the humanitarian–development–peace spectrum.

The components and steps of CBP can also be adapted depending on the context in which they are implemented. The sequence of the proposed steps is proposed in a logical manner but can be rearranged based on local preferences. The steps can also be re-formulated or even omitted given the preferences of practitioners or restrictions in the operating context. The steps within each component are a set of tools offered to practitioners who must decide which one(s) is/are best to use, how and when. Remember that tools can contribute to different results and are only as good as the people who use them.



## TIMELINE FOR IMPLEMENTATION

In recognition of the projectized nature of IOM's work, the timeline for overall implementation of this manual is proposed at eight weeks. This time period can easily be considered as an inception phase for any 12-month project and allows the practitioners sufficient time to organize and implement activities. In the event of longer-term programmatic funding, this period can be expanded to allow more time for community consultations.

In line with the overall adaptability of this manual, the timeline is ultimately up to the discretion, organization, and efficiency of practitioners. A full template that includes the proposed timeline and a corresponding workplan can be found here: [Timeline and Workplan Template \(CBP\)](#).



## EXISTING RESOURCES ON PARTICIPATORY PRACTICES

While this is the first attempt to consolidate IOM's knowledge and best practices on participatory practices within the field of transition and recovery, there is a wealth of existing resources both within and outside of the Organization on participatory approaches.

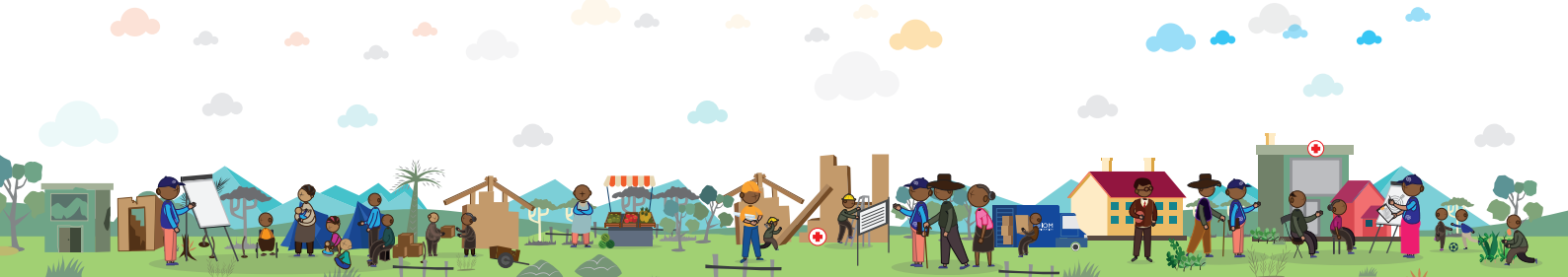
The Women's Participation Project (WPP) aims to increase the use of participatory methods within the CCCM Cluster and enhance the participation of women and girls in displacement sites. In so doing, they have developed a series of tools and practices to include and empower women and girls. Throughout this Manual, the tools of the WPP are offered as examples of how to enhance participation of socioeconomic groups participating in the CBP but face marginalization within the community. See the links below on the next page for more information about WPP and their website which hosts the tools referenced within this Manual.

The Norwegian Refugee Council (NRC) is also home to cornerstone reference material on participatory methods in humanitarian settings. The NRC Coordination Toolbox provides a repository of tools to support displaced populations in creating systems for meaningful and inclusive participation. While the Toolbox was developed for camp and out-of-camp displacement settings, its focus on equal participation of women and marginalized groups makes it an important contribution to the field of participation in all contexts. Tools from the NRC Toolbox are referenced throughout this Manual and can all be found using the links provided on the next page.

## REFERENCE DOCUMENTS FOR IOM FIELD MISSIONS

- The Women's Participation Project's website can be found here: <https://womenindisplacement.org>
- The NRC Community Coordination Toolbox can be found here: <https://cct.nrc.no/chapter/1>

**COMPONENT 1**  
**COMMUNITY-BASED PREPARATORY**  
**PHASE**



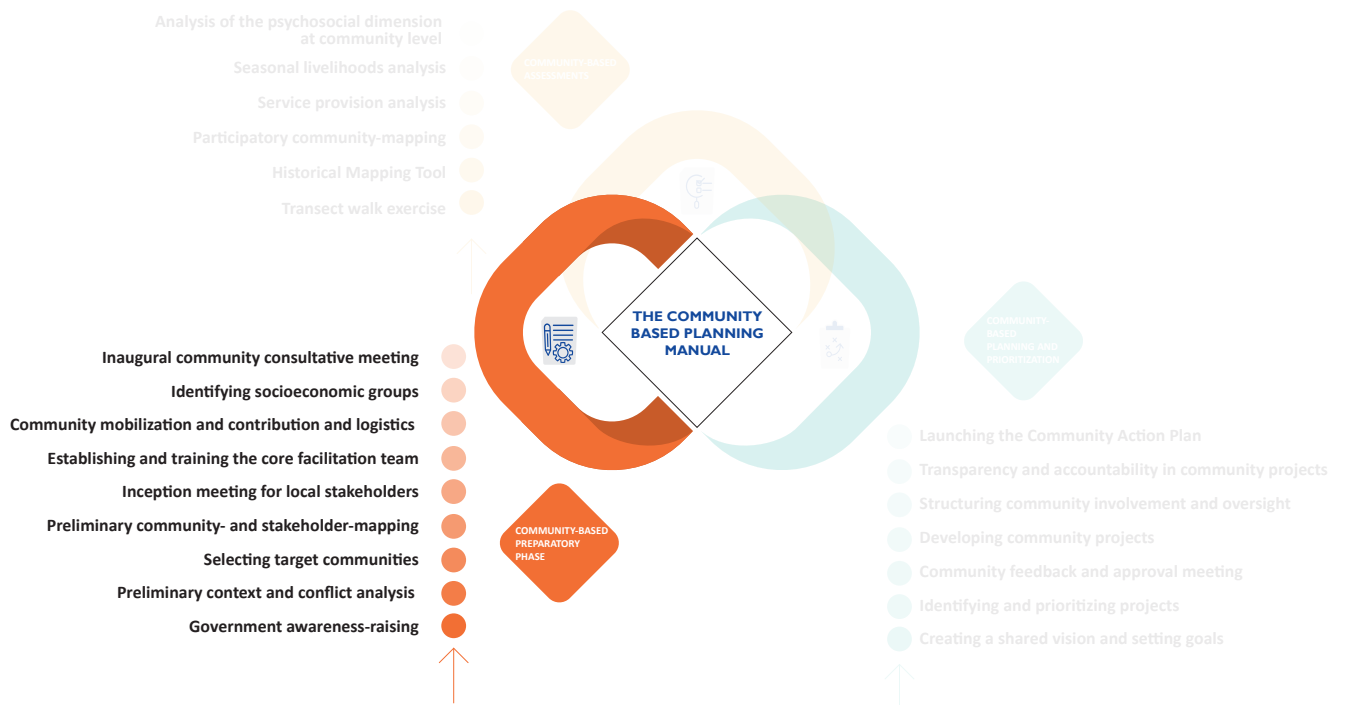
Steps within Component 1 lay the groundwork for an inclusive and participatory CBP process and take practitioners through government liaison, community definition and selection, community outreach and team creation.

This preparatory component starts with introductory awareness-raising for government officials at the local, regional, and national levels. It then goes into a series of steps that allow practitioners to better understand community dynamics. These steps contribute to the selection of specific locations for CBP programming while also leading to a nuanced understanding of the various stakeholders and socioeconomic groups within each location.

Finally, Component 1 involves setting up the systems and structures that will be used throughout the entire CBP process. This includes the initial meetings with key stakeholders and the community itself. Importantly, it also involves the establishment of a CFT which will drive the planning process moving forward.

Component 1 is made up of nine steps, as outlined in the diagram below.

### COMPONENT 1: SUMMARY OF STEPS





## STEP

# 1

## Government Awareness-raising

CBP should be discussed with government officials and relevant authorities prior to IOM staff engaging at subnational levels or directly entering communities.



### RATIONALE

- CBP should be discussed with government officials and relevant authorities prior to IOM staff engaging at subnational levels or directly entering communities. Obtaining the support of national authorities ensures government leadership of the process from the beginning, grants legitimacy to the CBP process, helps to mitigate any issues national authorities may have with the CBP intervention, and provides an opportunity to gain an understanding of the country's institutional arrangements to ensure that the CBP process consults appropriate institutions and uses correct channels.
- After awareness-raising at the national level, a diverse array of stakeholders at the subnational level can be engaged to make them aware of and bring them into the CBP process. Higher-level local leaders can also be consulted at this time to introduce the process.
- It is necessary to gain the widespread support of government and community figures and institutions who have interests or influence in the selected communities and to determine whether and what they are willing to contribute to the CBP process. This will allow the different assets of stakeholders to be leveraged to improve the CBP process and will help to balance competing stakeholder interests.



- Sustained engagement of government stakeholders through the formation of coordination platforms, steering committees or technical working groups ensures joint government and community ownership over the process and that the CBP process and projects are guided and supported by the necessary resources, knowledge, and expertise.

## PURPOSE

- To obtain high-level government support of the CBP and its objectives (national level) (noting that it is the responsibility of national authorities to support the population).
- To gain buy-in for the CBP process from key stakeholders at the subnational levels which can include state, region, zone, district, governorate, or provincial levels. Subnational administrative units describe all institutions, departments, or offices other than those at central government level.
- To determine which other government bodies should be consulted and engaged in the CBP process.
- To establish sustained mechanisms for stakeholder engagement in and contribution to the CBP process.



## OUTPUTS

- Established communication and coordination mechanisms between IOM and government focal points.
- Approval letters from relevant national ministries which can be used to initiate processes in the field.



## METHODOLOGY

1. Meet with representatives of relevant national government departments, such as those involved in community development, infrastructure, and services. See the sections below for examples of government institutions typically consulted at this step. A full agenda / checklist for the meeting can be found [here](#) and at the end of this step.
2. Using the stakeholder-mapping (see Step 4), identify stakeholders at subnational levels such as the state, region, zone, district, governorate, and or province. Also identify-local level official authorities (such as a mayor, town or village councilor or chairperson, or village chief) and high-level local community leaders with broad and cross-cutting influence. Hold consultations with these identified subnational stakeholders in a format that is similar to the one used with national counterparts.
3. *Optional:* Host a government round table. Rather than consult all the government official stakeholders in individual meetings (especially at subnational levels), it might be conducive to host a round table with government representatives to determine which officials should and are willing to be involved in CBP and how the government will play a role (see country example from IOM Iraq at the end of Step 2).
4. *Optional:* Propose the creation of a coordination framework between IOM and national government focal points that allows for regular updates and feedback. The establishment of quarterly steering committee meetings at the national level has worked well in previous programmes as it provides a regular forum for coordination that can also include national stakeholders, subnational actors, partners and involved donor representatives. Note that such coordination forums are usually reserved for coordination with official State actors and are separate from the community consultative sessions described later.

## KEY CONSIDERATIONS

### Agenda and Talking Points for Government Meetings

- Listen to government counterparts, and create space for them to describe existing planning processes, strategies and their vision for supporting recovery processes.
- Proactively align the proposed CBP with what (if anything) is presented by government. CBP is intended to support nationally owned and driven recovery processes. Successful CBP programmes in the past have been adopted as government programmes, supported by IOM, rather than IOM programmes in partnership with government.
- Share the purpose, objectives, and expected outcomes of the CBP.
- Describe the steps involved in /logistics of the CBP.
- Explain the sources of funding for the process and proposed projects.
- Discuss how the process should enhance disaster risk mitigation, resilience, stability, peacebuilding, social cohesion, livelihoods, and durable solutions to displacement.
- Demonstrate how the process aligns with existing government policy and development frameworks.
- Manage expectations in terms of resources available and parameters and limitations of CBP.
- Ask which government bodies at each level of administrative division should be consulted and involved in the CBP process and which official channels should be used.
- Establish how the CBP process should be communicated to other stakeholders and the public.

- **Buy-in.** National level buy-in is particularly important as it can often be a strategic entry point to secure the buy-in of other stakeholders. This can be achieved by creating space for national government counterparts to express, in their own terms, their vision for recovery and resolving displacement. Ensuring this sense of ownership first, through open questions and positioning IOM in a support role, will create space and trust to feed in core principles of CBP. Governments often apply top down or blueprint approaches – the bottom-up ethos of CBP needs to be introduced gradually!
- **Conflict Sensitivity in Government Relations.** Before consulting government actors, consider the interests and motivations of different officials and government bodies and how this might influence the CBP process. It is also important to understand the relationships between the government and the communities that may host CBP processes and use that knowledge to create the most appropriate consultative process. This helps avoid undermining trust or future relations with either the government or the communities during the CBP process. It is equally important to maintain independence and neutrality, so IOM does not become associated with any political movement or party.
- **Political Turnover.** Consider contingency-planning in the event of national government turnover or restructuring. Appealing to a wide variety of national government officials, including those that are not as susceptible to political turnover increases the chances of continued government support for CBP, even in the event of a leadership change.
- **National Development Plans and Sensitivities.** It is especially important to be knowledgeable about the national government's political situation, its overall priorities, and its development policies, plans, and projects. This will allow IOM staff to better situate the CBP process into a national context and demonstrate how CBP can support national plans and priorities, which enhances credibility and increases the likelihood of buy-in. It will also make IOM staff aware of key sensitivities that may reduce government support, such as the presence of government-opposed armed groups in possible target areas, so that these potential issues can be addressed.
- **Navigating Government Institutions.** Leverage IOM's pre-existing partnerships at the national level to determine which institution is the most relevant to the programme in which CBP is being used. Typical entry points include the Ministry of Interior, Ministry of Planning, or the ministry covering migration and displacement that IOM usually supports. Officials can help inform you of the institutional arrangements and the government bodies in charge of planning and development-related sectors at each administrative level. This awareness will better enable field missions to navigate role competition and ensure the CBP process is using the right channels and institutions.
- **Messaging and Communication.** Ensure the core principles of CBP are shared with government counterparts in order to promote a consistent understanding of CBP (see proposed agenda at the end of this step, along with the core objectives and principles of CBP). Establishing understandable language related to CBP objectives, benefits, parameters, and limitations can help to manage expectations, reduce manipulation for political gain, and bring about clarity in terms of what is being asked of the government, what will be provided to whom, and the intended impact. IOM staff should also develop defined language about potentially sensitive issues in the country. Open-ended questions (e.g. What are your priorities /challenges with a given situation?) can be used to navigate sensitive issues.
- **Incentives.** Government officials will be interested in how the process might benefit them, so tangible incentives should be identified beforehand, where possible, such as training of government staff. Consider how national government departments may be directly or indirectly involved in the process to increase their interest and commitment. However, do not promise anything that cannot be given or give false hopes.





## REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- For additional information on meeting with authorities, see: [GIST Community Based Planning for Fragile Areas \(CBP 2021\)](#), IOM Somalia (pages 14 - 18).
- For more information on how to structure subnational government meetings, see: [RRU Planning and Assessment Guidelines \(CBP 2021\)](#), IOM Iraq and [Government Planning Session Guidance \(CBP 2021\)](#), IOM Iraq.
- For a list of the core principles of CBP that can be used internally and as a handout for government meetings, see: [IOM TRD Objectives and Principles \(CBP 2021\)](#).
- To learn more about how to properly engage with local actors, reference the IOM's publication titled "[Strengthening Engagement with Local Actors, Toolkit for IOM Staff](#)".

## TEMPLATES FOR IOM FIELD MISSIONS

- Sample talking points for national government meetings, including the key core principles of CBP, can be found here: [Government Meeting Agenda \(CBP 2021\)](#).

## STEP

# 2

# Preliminary Context and Conflict Analysis

Step 2 is a rapid analysis used to select the areas of implementation and gather preliminary information for subsequent steps in CBP.



## RATIONALE

- Preliminary information gathered through Step 2 is required to be able evaluate where and whether conditions are conducive or not for CBP to occur. This information should allow for broad comparison across potential target areas to inform target selection. It should be conducted at a macro level and include the political situation, general conflict dynamics, human geography as well as opportunity (or not) to engage in CBP. For CBP to take place, contexts need to have a sufficient level of security, such that IOM staff or contracted parties can spend sustained periods of time on the ground, and where there is an opportunity to embark on recovery pathways.
- Step 2 is a rapid analysis used to select the areas of implementation and gather preliminary information for subsequent steps in CBP. Detailed (participatory) assessments of community dynamics and stakeholders take place at Step 4. Tiered analysis allows IOM staff to efficiently build information on target communities. Step 2 can also take place during the project development phase and inform project design.



## PURPOSE

- To provide preliminary information to better understand all possible target communities (creation of a “long list” of possible target communities), to prioritize communities that are most in need of and most conducive to benefiting from CBP processes.
- To identify conflict, political, social, or cultural sensitivities to consider, be aware of and responsive to during CBP.
- To locate, analyse and integrate relevant information from various sources, including internal IOM resources such as DTM.



## OUTPUTS

- Data on indicators to determine where to conduct CBP.
- Long list of potential target communities for CBP.
- Context and conflict assessments/reports/profiles on communities (1–2 pages).



## METHODOLOGY

1. Determine the criteria that should be analysed and evaluated and develop relevant indicators to inform community selection for CBP, adapted to the mission-level context. Consider both the conditions that indicate high levels of need and communities conducive to CBP. Look for certain trends related to mobility and displacement along with other key indicators and drivers of conflict. (See mission-level examples and key questions at the end of this step).
2. Review existing data and assessments (including relevant DTM products and resources, several examples of which are found at the end of this step) to collect relevant information and identify gaps.
3. Review existing strategies of the national government and international response community which define geographic and sectoral priorities.
4. Conduct assessments (ideally through a one-day field mission) and/or necessary data collection. Specific types of context assessments may include conflict, resource/physical environment, human geography, or governance. For example, the IOM Somalia Mission started their CBP process by assessing five key areas: Human Geography, Resources, Inter-Clan Conflict, Governance, and Political Settlement Analysis and Assessments can also include proxy indicators for levels of stability, such as human mobility or settlement patterns. (See country-level examples and templates at the end of this step).
5. Consolidate information into a report(s) that allows for comparison and prioritization.
6. Create a preliminary list of potential target communities (the “long list” of potential target communities).



## KEY CONSIDERATIONS

- **Define Administrative Levels at the Start.** All contexts are broken down into administrative layers such as regional, district and local levels. It is necessary to identify which administrative layer is of interest to CBP. While each IOM field mission must make this decision, it is recognized that CBP is most relevant to the most local administrative layers – that of the community. Defining the administrative layers that are of interest to CBP is an essential first step for organizing the entire CBP process to come.
- **Defining Communities.** As stated above, a country’s administrative breakdown can offer an initial perspective into how communities are defined from the State’s perspective. Following administrative layers to the smallest component is also useful since it can help to locate initial stakeholders (both official and from civil society) who are organized around administrative layers. But defining communities can still be difficult and vary significantly by context. Remember that communities, for the purpose of CBP, refer to a group of people living in a specific geographical area, or belonging to the same social, economic, and cultural institutions. (See mission-level examples at the end of this step).
- **Who, What, When, Where (4W).** Depending on the context, the field can be crowded with other local, national, INGO and/or UN actors. It is important to find out who is working in the areas of interest during this preliminary step and to reach out to relevant coordination forums to locate 4W information (Who, What, When, Where). When applicable, the UN Country Team (UNCT) can be approached to locate all relevant UN actors and programmes. As seen in the steps below, this 4W exercise should be regularly updated so field staff have a “full picture” of actors in the area. This is required for coordination with other IOM, UN, INGO, and NGO actors and identifying synergies with broader efforts, a key component of working across the **humanitarian–development–peace nexus**. Identifying all actors can also help support referral pathways for any **complaints and feedback mechanism** that is used within the programme (see Component 3, Step 6). Conversely, an absence of actors can be used as an indication of gaps and therefore opportunities for IOM programming.

- **Internal Coordination and DTM.** Always make sure to consider resources that already exist within the IOM mission. Valuable information can exist in other IOM programmes, units or departments including assessments, knowledge of local dynamics, and lists of ongoing activities/zones of implementation. This is particularly true for missions that have active DTM operations. DTM targets the smallest administrative level and is therefore an instructive tool for identifying the “unit of intervention” that is most relevant to CBP approaches. DTM’s community-level focus also makes its baseline assessments and network of Key Informants of relevance to the steps outlined in Component 1, including the community selection process. Remember that DTM’s goal is to help programmes make informed decisions. More information about DTM and how it can be used in CBP can be found in the links beginning at the bottom of this page.
- **Staff Opinions Matter.** Allowing field staff the opportunity to provide inputs and comments on the results of the preliminary assessment can be a revealing addition to the process. This can be particularly true for access requirements (Are staff comfortable being sent to certain locations for extended periods?) and highlighting historical trends related to conflict or past activities. Remember that such inputs are part of a broader process and must be weighed against other sources.
- **Context Analysis Challenges.** In some contexts, it may be challenging to do context analyses during the community-based assessments. Discussing the root causes of conflict through a participatory process may reopen old wounds and aggravate deeply entrenched grievances. Therefore, it is recommended that the preliminary context analysis is conducted by IOM, or its agents and contractors, and there may be cases where it is not appropriate to do so during the community-based assessments. CBP creates the space to discuss such issues, but issues related to conflict drivers should be introduced gradually, after trust has been built between CBP facilitators and the communities. Tools to do this sensitively are presented in Component 2.
- **Land Ownership.** Land ownership can oftentimes be overlooked during initial assessments, but it is a crucial component that informs subsequent planning and activities. To the extent possible, confirm the status of land ownership of the various groups in the community so that future projects implemented in the community benefit the intended target population, not a private entity or individual that may own the land on which IDPs are residing and from which they may be secondarily displaced.



#### REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- For an example of how the IOM Iraq Mission prioritized certain communities during the selection process and their sample indicators, see: [Community Selection Criteria 2018 – 2019 \(CBP 2021\)](#), IOM Iraq.
- The IOM Somalia Mission’s GIST offers specific research questions for five distinct types of analysis relevant to Step 2 and can be found here (see pages 11-12): [GIST Community Based Planning for Fragile Areas \(CBP 2021\)](#), IOM Somalia.

## Key Questions and Considerations

A checklist for community selection can include the following indicators:

- A cessation in violence and conflict
- Immediate humanitarian needs are being addressed
- High concentration of IDPs
- Levels of damage to infrastructure, markets, and/or housing
- The need to resolve identified localized tensions, conflicts or marginalized due to one or more factors
- In displacement affected areas, there is an opportunity for sustainable return, local integration or relocation
- A given area is sufficiently secure for staff or contractors to spend at least a week on the ground
- • •

Key questions for the initial assessments can include:

- What is the current overview of displacement/ conflict/crisis context?
- What are the current or proximate drivers of conflict/tension?
- If different, what are the historic drivers of conflict or tension?
- Which key natural resources drive conflict or tension?
- • •

## REFERENCE DOCUMENTS FROM DTM

- For more information on how DTM works and how it can be relevant to CBP activities, see: [DTM Methodological Framework \(CBP 2021\)](#).
- See the DTM Indicator Bank for other examples of indicators that can be used for community selection, including: [Peacebuilding Indicators](#) and [Durable Solutions](#).

## TEMPLATES FOR IOM FIELD MISSIONS

- The key considerations for both community selection and conflict assessments can be found here: [Preliminary Assessment Key Questions \(CBP 2021\)](#).

# Selecting Target Communities

The process of selecting communities is also an opportunity to build relations, introduce the project, and inform more detailed stakeholder-mapping of Step 4.



## RATIONALE

- Community selection should be an inclusive process. Through this step, IOM should engage with stakeholders at multiple levels with ties to the potential target areas and who can provide additional context to inform the community selection process.
- The process of selecting communities is also an opportunity to build relations, introduce the project, and inform more detailed stakeholder-mapping of Step 4.
- Engaging these government and civil society stakeholders early on helps to determine which target communities have government officials, institutions and resources that are willing and capable to support the CBP process, sustain its projects and ensure community ownership.
- Additionally, a transparent process in which an array of government figures and community stakeholders in existing decision-making structures are consulted enhances debate and accountability on community selection, reducing the potential for individuals to co-opt the process for their own interests or the communities to which they belong.
- There may be cases where government is not functioning, or their legitimacy disputed. In such cases, CSOs or traditional leadership can serve as an alternative.



## PURPOSE

- To define and select the exact communities that will host CBP activities.
- To ensure there is consensus and decisions are validated by government figures and community stakeholders at multiple levels of administrative division (e.g. regional, district, and local).



## OUTPUTS

- Table of selected areas and communities and location (map) of prioritized community within the larger region/district.
- Contact details of leadership for each area/community which can feed into subsequent stakeholder-mapping exercises.



## METHODOLOGY

1. Community selection is a crucial step as it determines where CBP will take place and where the resources of the broader programme will be invested. Initial parameters should include (a) how much funding does the programme have; and (b) at which administrative level does the mission want to work? Findings from Step 2 should then be introduced to determine the exact locations where CBP will take place.
2. Determine which administrative layers are relevant to CBP, how many CBP areas can be selected overall in terms of staff capacity, geographic coverage, and budget availability and how many CBP processes will be held in each area (1+). Make sure to consult relevant donor documents to ensure that these initial decisions comply with outcomes, outputs and activities listed in the results matrix (e.g. Did IOM commit to conduct a certain number of CBP processes or cover a certain number of communities/regions/districts in the relevant project documents and results matrix?).
3. Consult with government officials at the subnational level (e.g. regional, provincial, or district) and local-level community stakeholders who exist in decision-making structures. Local leadership varies between contexts but could include village heads, chiefs, clan leaders, religious leaders, or those with specific, traditional leadership roles. Some areas may have development committees who would be useful resources to consult. Use this opportunity to explain the purpose of the CBP and provide an overview of how the community selection process is organized, whether additional indicators should be included in the selection process, and whether there are other areas to be considered for CBP. Avoid being too prescriptive about the process and allow for stakeholders to contribute. Ask about how the process aligns with existing or traditional community engagement or planning processes. Overall, these figures are likely to add valuable insight on different communities within their considered areas to help inform community selection.
4. Using the information gathered during Step 2 and discussions with subnational government officials and local-level community stakeholders, refine the long list of communities that may host CBP activities.
5. Finalize community selection and create table of key information, including criteria and rationale for selection.



## KEY CONSIDERATIONS

- **Government Buy-in.** The receptiveness of government officials to the CBP process and its projects and the ability of the government institutions to provide the necessary support and resources (such as security, access, logistics, assistance mobilizing communities, and resources for implementation) should be considered during community selection. While this process is meant to be community-led, government buy-in can yield peace dividends and can be important where support is required for security and access-related issues.
- **Elite Capture.** Avoiding political co-option of the process can be best achieved by consulting a diverse array of government officials and local stakeholders (see Step 4 for examples of diverse local-level stakeholders). Doing so will enhance the transparency of the debate and selection process and reduce the ability of a small number of individuals to unduly influence selection (e.g. by promoting the interests of one community group over others). If this occurs, ensure that the entire process is explained so it is clear that there are multiple indicators used to select communities. Offer opportunities for such authorities to comment on indicators or certain steps in the process but make it clear that the process is what ultimately decides location selection.

The presence of IOM or third-party contracted staff is important for monitoring the risk of elite capture and promoting the “equitable ethos” of the programme.

- **Conflict Sensitivity in Community Selection.** From a conflict sensitivity perspective, it is critical to anticipate steps within the CBP process that can create animosities or exacerbate conflict. Community selection is one such step. How do practitioners handle communities which were not selected? This is particularly challenging when a neighbouring community was selected, and another was not. There are many steps that can be taken to address this. One is to ensure that expectations are managed from the very beginning and that indicators used for selection are transparent and shared with local leadership. When the selection has been made, ensure that meetings are held with consulted stakeholders in non-selected locations to clearly explain the process. Create plans to “cluster” communities together to better spread resources in areas where non-selection might be problematic. Locate partners who may have resources to cover areas too.
- **Inclusivity.** It is critical to have the leadership or representatives of displacement affected or other mobile groups fully engaged in the selection of communities and early conversations introducing the approach. This is particularly important when such groups lack defined representation or originate from geographic areas outside the administrative unit covered by local government authorities.
- **Duplication of Intervention.** Ask officials whether interventions similar to CBP have already occurred in areas under consideration, to avoid duplication of community development-planning and projects. Ensure that any pre-existing 4W information is updated so that IOM field staff have a full picture in terms of activities of other organizations. But do not be deterred by crowded fields. Having multiple actors in areas of intervention offers opportunities for synergy-building and strengthened support networks that work in HDPN. Finally, ensure that internal coordination takes place with other country-level IOM programmes, units, or departments when it comes to final community selection.
- **Geographical Mapping Exercise.** Drawing a physical map of the areas being considered for intervention and the communities within them to understand their geography and their relative location to one another can help to create a list of and define target areas and communities, particularly if multiple communities will be conducting independent CBP processes. Subnational stakeholders might be able to help with this activity. See the example given at the bottom of the page.
- **Connecting CBP Processes.** If CBP processes are to take place in more than one area, outline how the CBP processes are related. For example, will they operate autonomously, or will they collaborate or mutually reinforce each other, such as at a regional or district level. For example, CBP processes at more local levels can be consolidated to create action plans or development plans at higher administrative levels.



#### REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- For additional information on defining communities and selecting communities, see relevant sections of: [GIST Community Based Planning for Fragile Areas \(CBP 2021\)](#), IOM Somalia (starting p. 10).
- Comparison tables that show consolidated information for multiple communities leading to community selection can be found here: [Community Selection Summary Table Sample \(CBP 2021\)](#), IOM Iraq.
- An example showing the benefits of overlaying administrative layers and communities of interest on a map can be found here: [Administrative Layers Sample \(CBP 2021\)](#), IOM Iraq.





STEP

4

## Preliminary Community- and Stakeholder-mapping

The identification and analysis of community stakeholders should be an inclusive process with government officials and community leaders and influencers. This will allow you to identify the individuals, institutions, and community groups that should be engaged throughout the entire CBP process.



### RATIONALE

- Now that community selection is made and government consultations have taken place at the national and subnational levels, it is time to begin developing a more thorough understanding of the social dynamics, decision-making structures, capacity, and stakeholders within the selected communities.
- Analysis of community dynamics including social practices, decision-making structures, and cultural norms is necessary to allow IOM to gain a nuanced understanding of the selected communities at a localized level, as well as to inform the CBP process.
- The identification and analysis of community stakeholders should be an inclusive process with government officials and community leaders and influencers. This will allow you to identify the individuals, institutions, and community groups that should be engaged throughout the entire CBP process.



## PURPOSE

- To gain an in-depth understanding of selected communities and relevant stakeholders including social dynamics, decision-making structures, community groups and leaders and cultural norms. This will help inform community engagement and support a responsive and context specific CBP.
- To identify stakeholders that should be engaged and determine whether and how they are willing to contribute to the process and/or to the implementation of the projects.



## OUTPUTS

- Community profiles.
- Stakeholder map and stakeholder summary table (see the template at the end of this step).



## METHODOLOGY

1. IOM conducts further information gathering exercises during a field mission. Exercises should build on information gathered in Step 2 and focus on pre-existing community dynamics and stakeholders.
2. Community dynamics include social practices, decision-making structures, community capacity, cultural norms, and community groups (volunteer groups, youth groups, and others) within the communities. Exercises could include informal conversations with national staff or community members IOM has a relationship, with a review of existing information and/or more formal key informant interviews or focus group discussions (mission-level examples can be found at the end of this).
3. A community stakeholder-mapping exercise should also be conducted. Create a comprehensive table which includes the name of the individual, the category in which they fit, their institutional or group association, their title/role and responsibilities, their outreach/mobilization potential, and whether they have previously engaged in any consultations or if they participate in later activities with IOM. If time and resources allow, stakeholders should be invited to explain their role in the community in their own words and explain the strengths or assets that they can bring to the CBP process. This mapping exercise and resulting tables should be continually updated (mission-level examples can be found at the end of this step along with a proposed template).
4. When conducting the community stakeholder-mapping exercise, it is important to keep several key recommendations in mind. Remember to balance stakeholders with “official” responsibilities (State-level actors) with members of civil society (community leaders and community influencers). Community “leaders” should be balanced with everyday people in the community, allowing a diverse array of people to be consulted as stakeholders. And finally, it is of the utmost importance to find representatives from various socioeconomic groups in the community to ensure that all groups are consulted, especially those that are typically underrepresented in dialogue and decision-making forums.
5. Possible stakeholders to be mapped during this step include:
  - a) Subnational government officials such as local leadership offices (Mayor) and government departments at the regional, governorate, district, and local levels.
  - b) UN partners, INGOs, and NGOs active in the target area.
  - c) Community members active in the community such as doctors, nurses, engineers, daily workers, teachers, professors – everyday people who are familiar with the “inner-workings” of the community. See section two of this [helpful guide](#) from IOM Iraq on how to map out and engage members of the community.
  - d) Community leaders, including cultural or religious leaders or individuals with customary authority.
  - e) Community influencers, such as sport players, writers, performers, artists, activists, or online/social media influencers.

6. *Optional:* Set up feedback channels to regularly update the stakeholders. Feedback channels are especially important to establish with stakeholders who do not wish to be directly involved in the CBP process but have significant authority or influence over the selected community, such as senior government officials, higher levels of administrative divisions, or community influencers. If time and resources allow, working groups can be created for such stakeholders and can exist alongside the community consultative process explained throughout this component, allowing for the injection of technical knowledge and guidance into the CBP process and its resulting projects.
7. Remember that in addition to the community profile and the stakeholder-mapping exercise, 4W mapping should be regularly updated so that field staff have an accurate list of all NGO, INGO, and UN actors active in the selected community. Do not forget that internal coordination with other IOM programmes, units and departments is just as important as mapping external actors.



## KEY CONSIDERATIONS

- **Differentiating and Identifying Stakeholders.** The administrative division and subdivision(s) at which you identify stakeholders will depend upon the country's context and decisions about which administrative layer will host CBP. It is necessary to engage stakeholders at various administrative levels. For example, the IOM Somalia Mission recommends consulting an extensive list of stakeholders, including the district-level representatives at the Ministry of the Interior, Ministry of Planning, District Commissioner's Office, Governor's Office, Mayor's Office, district-level government departments, UN partners, NGOs active in the target area and community leaders with significant and cross-cutting influence in the administrative division, such as clan elders.
- **Engaging High-Level Community Leaders.** The involvement of community leaders with broad and cross-cutting influence in the selected community is vital to ensuring recognition and endorsement of the CBP process. In many communities, these individuals may be elders. These figures should be involved throughout the CBP process, including in these stakeholder consultations.
- **Locating "Local Champions."** When engaging with stakeholders, try to identify senior government officials, influential civil society leaders or engaged members of the community who can serve as "local champions" for the CBP process. These individuals may have expressed previous interest or involvement in participatory processes and should be well spoken and passionate about CBP. These figures can serve as influential advocates for CBP and explain it in a consistent manner that can be understood by and appeals to their communities. Additionally, these "local champions" can serve as sustainable drivers of CBP, raising visibility and even potentially obtaining additional funding. This is particularly relevant if such local champions are interested in the work of the CFT outlined in Step 6.
- **Importance of "Community Influencers."** When engaging in stakeholder-mapping, be sure to closely consider influential figures in the community who are not traditional leaders, such as influential women and youth or even influential online activists. These individuals may hold significant decision-making power in informal, less visible roles and so, are more difficult to identify but are essential stakeholders. Community influencers can partake in the stakeholder-mapping and analysis as they may be able to identify individuals, groups or institutions as stakeholders that are important to them that government officials or traditional community leaders would not.
- **Inclusivity.** Inclusivity is crucial for genuine community participation and a successful CBP process and is therefore a cross-cutting principle of CBP. Field staff should map a broad range of stakeholders that are gender balanced, age sensitive and diverse. As previously mentioned, official stakeholders should be matched by members of civil society. Leaders should be balanced with ordinary members of the community. Practitioners must locate stakeholders from all socioeconomic groups, especially those that are typically underrepresented. Frequently marginalized groups can include persons with disabilities IDPs, refugees, returnees, ethnic and religious minorities, and even SOGIESC when contexts allow.



- **Sustaining Stakeholder Involvement.** Key stakeholders should be invited to the community consultative sessions (see Components 2 and 3) and included throughout the CBP process to enhance their connection to it. If key stakeholders are not directly involved in the CBP process, parallel working groups can be established to learn from their experiences and keep them involved.
- **Anticipating Stakeholder Response.** Specifically consider which stakeholders are likely to support the process and which might take issue with it, particularly if they were not to be directly consulted in the following steps. All communities have “connectors” that bring the community closer together and dividers that drive them apart.
- **Contacting Stakeholders.** Consider who should contact these stakeholders and how they should be contacted. Compile a list of contact details and assign certain staff to contact certain stakeholders. This can be particularly important for streamlined government coordination within any Mission and ensuring that hierarchies within governments are respected.
- **Stakeholder Profiles.** The stakeholder table/profiles are essential to determining how to approach stakeholders, understand what they might contribute, anticipate concerns they might have, and encourage their buy-in.



#### REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- For a general overview of how the IOM Abyei Office of South Sudan maps out communities, see their in-depth example here: [Community Consultation Kit \(CBP 2021\), Abyei, IOM South Sudan](#)
- For another example of how IOM missions have approached community-mapping, see: [GIST Community Based Planning for Fragile Areas \(CBP 2021\), IOM Somalia](#).
- For further guidance on community dynamics and stakeholders, several additional examples can be found in: [RRU Planning and Assessment Guidelines \(CBP 2021\), IOM Iraq](#).
- A specific guidance note on how to locate and engage ordinary members of the community can be found here: [Stakeholder-mapping, Community Members \(CBP 2021\), IOM Iraq](#).
- A more specific and detailed Key Informant Interview questionnaire can be found here: [Key Informant Interview 2017 \(CBP 2021\), IOM Iraq](#).



#### TEMPLATE FOR IOM FIELD MISSIONS

- A template of a Stakeholder-mapping exercise can be found here and used by any field mission engaged in this step: [Stakeholder-mapping Template \(CBP 2021\)](#).

# Inception Meeting for Local Stakeholders

The inception meeting will inform local leaders and stakeholders about CBP and its underlying principles so that they are better equipped to support the CBP process and promote its principles and so that CBP can be accurately and effectively communicated to the wider community.



## RATIONALE

- After completion of Steps 1–4, sufficient information will be gathered to hold an “inception meeting” with relevant local leaders and concerned stakeholders. This inception meeting can take a variety of forms, but the purpose is to rally support for CBP. It is important to create positive impressions about CBP with local stakeholders and foster an atmosphere of local ownership.
- Step 5 is focused on local leaders and stakeholders that are directly relevant to the implementation of the CBP at the local level, as opposed to the more government-focused awareness-raising in Step 1 or the optional working groups proposed under Step 4. Use the stakeholder-mapping exercise of Step 4 to help identify the local stakeholders that are relevant to this inception meeting.
- The leadership, support and participation of local officials and community stakeholders (community leaders and community influencers) throughout the process will enable community mobilization and rally support for CBP, legitimize the process among community members and improve communication about and understanding of CBP.
- The inception meeting will inform local leaders and stakeholders about CBP and its underlying principles so that they are better equipped to support the CBP process and promote its principles and so that CBP can be accurately and effectively communicated to the wider community.
- Consulting stakeholders allows them the opportunity to introduce important considerations that IOM had not yet taken into account, such as political situations not previously identified or current development projects in the area. Many communities recovering from crisis will have many different pre-crisis forums and development projects to draw from as well for such information.



## PURPOSE

- To ensure buy-in and sustained participation of local leaders, including local officials, traditional and community leaders, and community influencers.



## OUTPUTS

- List of refined socioeconomic groups in each community.
- Receive a list of nominations from local leaders and community stakeholders for the CFT.



## METHODOLOGY

1. Based on your community assessments and stakeholder-mapping, identify local leaders and stakeholders that are directly relevant to the implementation of the CBP. These should include local officials, traditional leaders, community leaders and community influencers.
2. Host an inception meeting for identified stakeholders during which IOM staff will introduce the processes and principles of CBP. Solicit participation and determine the role of local leaders and community stakeholders and refine the list of socioeconomic groups (see Step 8). A proposed agenda template for this inception meeting is found at the end of this step.
3. Stakeholders should confirm if they are interested in supporting projects and have time and resources to contribute. Any resources or funding offered should be factored into overall capacity for the eventual proposed projects to help guide project-planning in the final phase of the CBP. However, it should be emphasized to stakeholders that contributions will not be used as a mechanism to influence the process.
4. Members of the CFT should be nominated during this meeting (see Step 6). If deemed necessary by field staff, CFT nominations can also occur through more focused engagement with local leaders and stakeholders.
5. Local leaders and community stakeholders will report back to their communities and constituencies, relaying the main points of the debriefing and communicate about the community-wide meeting on the CBP process (see Step 7), using agreed communication methodologies.
6. *Optional:* Field missions may consider conducting a separate workshop for local leaders on CBP and its underlying principles and themes, especially community ownership and inclusivity. This could also include connecting CBP to social cohesion and peacebuilding. You might include the local leaders in a workshop for stakeholders or for the wider community.
7. *Optional:* Field missions may consider establishing working groups as previously referenced under Step 4: Stakeholder-mapping. Working groups can be made for formal local authorities and informal leaders. These groups can offer guidance on community dynamics, coordinate with IOM and the wider community, and collaborate with the coordination platforms or steering committees operating at higher levels (as referenced in Step 1).

### Key Questions and Checklist for Inception Meeting

- Explain the purpose of the CBP process, its background/ context, its objectives/ expected outcomes, and the planning process itself (refer to the Transformational Leadership Training Guide with the “Egg Diagram” metaphorical exercise for CBP);
- Explain CBP logistics (hand out CBP checklist);
- Describe the funding scheme;
- Manage expectations – explain any limitations of the project based on funding, technical capacity, or program directives; explain whether or not participants in the planning process will be compensated and explain why participation is so valuable; specifically explain the role that IOM will play and emphasize the importance of community ownership, sustainability, and inclusivity; highlight the importance and benefits of community-planning as opposed to direct implementation by IOM or IOM partners.

## KEY CONSIDERATIONS

- **Inclusivity.** The same principles of inclusivity apply to this step: always promote an atmosphere of inclusivity and check to make sure stakeholders from smaller constituencies and typically marginalized groups are involved. This includes considering gender balance, age sensitivity and diversity inclusion.
- **Decide on the Meeting Format.** While an inception meeting is proposed, it is up to field missions to decide on the best format for gathering the relevant authorities and stakeholders and introducing CBP. Less formal engagements can take place as “debriefing sessions” or “orientations,” just ensure that the purpose and outputs are attained with whatever format is decided.
- **Different Meetings, Different Purposes.** A number of meetings and engagements are proposed throughout Component 1. Make sure that the purpose of each meeting is clearly understood by relevant project staff and to any authorities that are cross-cutting. If deemed necessary by the field mission, several meetings can be condensed into one if they involve the same stakeholder. To help assist in this process, the following engagements have been listed thus far:
  - Step 1: Government Awareness-raising. Engagement with national and subnational leaders was proposed in Step 1. This is to ensure that support is garnered from the national level, and that key administrative layers and positions are familiar with the CBP process from the start. This step is about awareness and information sharing for higher-level authorities. Note that higher-level local authorities are also recommended for engagement at this step.



- Step 3: Selecting Communities. Meetings with key stakeholders at the sub-national and local levels is recommended during Step 3 to assist with the community selection process. These are likely to be with counterparts that will be frequently consulted throughout the process.
- Step 4: Stakeholder-mapping. Working groups were proposed in Step 4 for certain stakeholders who do not wish to be directly engaged in the CBP process but who can offer valuable insights. Such working groups are recommended to be informal and used to keep stakeholders engaged and to inject their knowledge into the CBP process.

#### REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- If introductory exercises are needed to introduce core concepts of the CBP and prepare the relevant local stakeholders for steps to come, see: [Icebreakers for CBP: Example \(CBP 2021\)](#).
- For additional information on meeting with authorities, see: [GIST Community Based Planning for Fragile Areas \(CBP 2021\)](#), [IOM Somalia \(pp. 14–18\)](#) and/or the section on government round-table meeting from: [RRU Planning and Assessment Guidelines \(CBP 2021\)](#), [IOM Iraq](#).

#### TEMPLATES FOR IOM FIELD MISSIONS

- For a full list of suggested agenda items, please see: [Inception Meeting Agenda \(CBP 2021\)](#).

## STEP

# 6

# Establishing and Training the Core Facilitation Team

The CBP process relies on the mobilization of two different groups in order to establish an inclusive, locally-driven participatory process. The first is the creation of a Core Facilitation Team (CFT) that is made up of local community members such as village heads and representatives of youth, women and disabled populations. They undergo extensive training on leadership and facilitation skills and are tasked with driving the overall process.



## SUMMARY

- The CFT is a group of usually four people responsible for facilitating the CBP process at the community level. Some IOM field missions undertake CBP using IOM, or third-party contracted staff. Some work through local organizations and others through local leadership, whether modern or traditional. There are pros and cons to each of the different models, including more direct oversight through using IOM staff as opposed to establishing more sustainable mechanisms for longer-term recovery and development through training and empowering local leadership.
- In line with commitments made in the **Grand Bargain** and **Humanitarian Development Peace Nexus**, the trend is towards the latter. Who is in the CFT needs to factor in local considerations, including the extent to which local leadership structures are established, functioning, and accepted by their communities.



## RATIONALE

- The members of the CFT are essential to meaningful and effective community consultation sessions and the creation of a feasible CAP that is reflective of community-wide priorities as they are responsible for helping the community express its needs, vulnerabilities, preferences, and ideas.
- Effective training of the CFT is central to ensuring the members are prepared and equipped to facilitate an inclusive and productive process reflective of the entire community, as well as resolving disputes, tensions and managing risks. Their capacities and attitudes can determine the success or failure of a CBP process.



## PURPOSE

- To establish the CFT in order to support the overall CBP process.
- To prepare CFT members to facilitate the CBP process to ensure it is community driven, owned, and managed.



## OUTPUT

- Trained and prepared facilitators, made up of around four local persons.





## METHODOLOGY

1. The stakeholders consulted in the previous step (Step 5) will nominate around four persons from the local community where the CBP process is being held. The CFT can be composed of relevant government department personnel, local government officials, or local traditional or community leaders with widespread recognition and influence. Integration of the principle of inclusivity is key at this step. Encourage gender balance, age sensitivity and diversity when creating the CFT. This will enhance transparency and inclusivity of the CBP process.
2. Think of this as a hiring process for the core group that will help drive the CBP process. The selection process begins with recommendations from identified stakeholders. Consider all the proposed members as applicants and go through a selection process if deemed necessary by the field mission, including in-person interviews or written tests. Ensure that IOM staff who are assigned to the CBP process are involved in selection as the CFT are the main community-level interlocutors.
3. Create a ToR document so that the roles and responsibilities for CFT members are clear, especially vis-à-vis the other coordination platforms of the CBP process. A signed ToR with each member of the CFT can also be used to facilitate any administrative steps that need to be taken to create and sustain a CFT during the lifespan of the project. A ToR template can be found at the end of this step.
4. Consider the resources that can be dedicated to the functioning of the CFT. While volunteers are to be sought for the CFT, stipends can be used to cover operating costs. Transportation allowance for CFT members is one such example that is typical in field environments where access is an issue. Other basic running costs include meal stipends or purchasing of basic administrative materials. If such costs are covered and local government officials are part of the CFT, ensure that the programme complies with mission-level guidance on paying government personnel.
5. When the CFT is constituted a training should be organized, to build CFT members' capacity in the skills mentioned in the ToR template found at the end of this step.
6. The training curriculum can follow any number of components related to leadership and facilitation in the context of CBP. Two examples are provided at the end of this step and include Transformational Leadership Training and Multi-stakeholder and Community Capacity Enhancement Training.
7. During the training, the facilitators should work to refine the list of socioeconomic groups identified by stakeholders and the community at large (see Step 8), which will be used to ensure all groups in the community are represented during the CBP process.



## KEY CONSIDERATIONS

- **Voluntary Nature of CFT.** The global guidance is to make the CFT as volunteer based as possible. While financial incentives are oftentimes requested by stakeholders, such incentives can distort the local ownership of the CBP process and the volunteer nature of the CFT. Be careful not to create a CFT or a CBP process that is dependent on IOM resources. **Volunteerism** is one way to avoid this trap and ensure sustainability of the CBP process.
- **Conflict Sensitivity in CFT Selection.** While adhering to the principle of volunteerism, conflict sensitivity requires practitioners to consider the range of motivations for candidates' involvement in the CFT. Consider political motivations, as well as power considerations within the community and its demographic makeup.
- **Running Costs.** One way to promote volunteerism but also acknowledge certain realities is to cover the running costs of the CFT. Running costs can include transportation assistance, meals during meetings, and basic administrative equipment for members. Always try to have cost-sharing mechanisms in place with local leaders and stakeholders, as having the running costs covered by resources in the community (as opposed to IOM costs) is ideal for local ownership and sustainability.

- **CFT Importance.** The CBP's success depends on the CFT's commitment to inclusion and participation. The character, skills, passion, commitment, and creativity of the individual members of the CFT is therefore of prime importance to the overall functioning of the CBP process. Selection and training of the CFT members is especially crucial.
- **Contingency-planning.** It is important to anticipate turnover and defections, which can negatively impact the continuity of the process. To mitigate this risk, when CFT members are appointed, IOM should also select a small group of "back-up" members. This group of individuals should be kept in the loop throughout the whole CBP process, to ensure a smooth transition if a CFT member leaves her/his functions before completing the process.
- **Neutral Arbiters.** The CFT should serve as neutral arbiters of the community consultative sessions and should not influence the process with their views. The CFT is there to facilitate the process.

#### Core Functions and Responsibilities:

1. Act as the key point of liaison with IOM staff supporting the CBP process;
2. Agree on the specific roles for each of the facilitators and determine who will document the CBP process;
3. Develop and translate the CBP programme (the schedule of community consultation sessions and activities) into the local language;
4. Organise and confirm logistics for the CBP consultations with support from IOM staff (stationery, venue and dates for the consultations, equipment to take pictures or videos throughout the process);
5. Ensure that relevant Government departments and other support organisations have been invited to attend the community consultations.

...

#### REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- For an example of training content that is relevant for the CFT, see the Stakeholder and Community Capacity Enhancement Training of Trainers facilitator's manual found here: [Facilitators' Manual Training: Training of Trainers \(CBP 2021\)](#).
- Another prime example of relevant training material can be found in the Transformational Leadership Training (a capacity-building programme for local leaders and emerging local drivers of development ): [TLT Training \(CBP 2021\)](#).

#### TEMPLATE DOCUMENTS FOR IOM FIELD MISSIONS

- A sample ToR that can be used for internal administrative purposes (paying running costs for CFT) or to make official arrangements with CFT members, refer the following: [CFT Terms of Reference \(CBP 2021\)](#).



## STEP 7

# Community mobilization and contribution and logistics

Step 7 is meant to be an entry point to explain the process to the broader community and build trust. Key exercises are included in this Step to help achieve this. This step can also be used to create positive impressions, better understand group dynamics, and bring the community together from the very start. It will help with the entire process!



### RATIONALE

- At this point in the process, the structure of the CBP process is beginning to take shape. Initial assessments and mapping exercises are complete, an inception meeting was held with relevant local stakeholders and the CFT is established. Step 7 is meant to be an entry point to explain the process to the broader community and build trust. Key exercises are included in this Step to help achieve this. This step can also be used to create positive impressions, better understand group dynamics, and bring the community together from the very start. It will help with the entire process!
- The broad community meeting brings the community directly into the CBP process by ensuring their understanding of its purpose and objectives, allowing them to select their representatives, and establishing how they can remain informed and engaged throughout the CBP process. This includes establishing communication and feedback mechanisms which are discussed in full in Component 3, Step 6.
- The meeting leads into the formation of socioeconomic groups using a recommended exercise (Glass Code Exercise) to build trust. The starting point for the meeting is to explain the process and build trust within the entire community. Large meetings can impede participation from marginalized groups and exercises like this can help the entire population be heard.



- Bringing the entire community into the CBP process enhances the likelihood that CBP is community driven and owned and that CBP projects are properly embedded in the community and sustainable.
- Creating positive impressions about the CBP process is also important. Think of creative ways to embed this meeting within larger community activities, exhibitions, or festivals.

#### PURPOSE

- To mobilize the broader community, build trust and select community representatives to participate in CBP.
- To ensure understanding of CBP at a community level and create a positive impression of the CBP process from the very beginning.
- To gather information from the community that will be helpful in setting up communication, complaints, and feedback channels.



#### OUTPUTS

- List of representatives from each community that will participate in CBP, submitted to the CFT.



#### METHODOLOGY

1. Local leaders call for a community meeting at the lowest administrative division level (such as a ward or village). Ensure that multiple channels are used to disseminate information about this meeting, including traditional platforms used by local authorities and more modern, social media-based communication forums.
2. The meeting should be chaired by local leaders, facilitated by the CFT, and attended by relevant IOM staff or third-party contractors. A draft Agenda for the Broad Community Meeting can be found [here](#) and at the end of this step.
3. Conduct a trust-building exercise during the meeting, which should break the ice and make participants more comfortable, thereby encouraging active involvement and participation of all members of the community. See the Glass Code Exercise [here](#) and at the end of this step. This exercise also conveys central themes of CBP.
4. The CFT and local leaders will present the list of socioeconomic groups to the community and allow community members the opportunity to discuss and revise the list. See Step 8 (“Identification of Socioeconomic Groups”) for more details.
5. Once the list of socioeconomic groups is agreed upon, community members will appoint representatives for each group. These representatives will be the participants in the community consultative sessions that will establish the CAP.
6. Discuss how the community typically receives information about issues of common concern. Do they rely on organized community meetings, religious gatherings, radio, signboards, printed materials, SMS messages or Internet and social media? Also discuss how the community submit feedback to various actors, both governmental and non-governmental. Are there established platforms that they use or that they are comfortable with? See Component 3, Step 6 for additional relevant questions. Such information will help the CFT and selected representatives better communicate with the community while also preparing for steps in Component 3 related to communication strategies and **complaints and feedback mechanisms (CFMs)**.
7. After the community-wide meeting, consult with local leaders (those previously debriefed) and the selected representatives (it is possible some of these figures will fall into both categories) to decide upon logistics for the sessions where these participants will engage in the planning process.

8. *Optional:* Embed the community meeting within a larger event that acts as a sort of fun, engaging spectacle for the broader community and creates a positive first impression of the CBP process. Such an event can take many forms and it is up to the field Missions to decide on the possibilities. Examples are numerous and include football matches between various stakeholders such as local leaders and civil society, police, and youth groups; sporting events such as 5-km runs or organized bike tours; film festivals; screening of major sports events; traditional cultural expressions such as music, dance, theatre, fashion shows or art exhibitions; events aligned with UN-recognized international days; and locally sourced food exhibitions.

## KEY CONSIDERATIONS



- **Decide on Structure.** As with all steps, it is up to the field mission to decide on how to best engage the community at this point in the process. If events do take place at this step (festivals, music, food, football, etc), ensure that ample time is set aside to truly introduce the community to the CBP and engage on issues related to socioeconomic groups and local representation. Multiple days can be set aside for this step where events precede the actual community meeting, or the community meeting precedes communal events. Remember that too large a group makes individual contribution and concentration ineffective.
- **Managing Large Gatherings.** Large groups may make some people abscond the sessions and the facilitation process may be made more complex. If the community meeting involves too many individuals, conduct break-away sessions, and have contributions brought back into plenary.
- **Complaints and Feedback Mechanisms.** While not discussed in detail in this Manual until Component 3 (see Component 3, Step 6), CFMs should be applied at all stages. This starts with collecting initial information on communication and feedback flows within the community, but it is never too early to set up a CFM for the programme in which CBP is being used. See the additional resources offered at the bottom of the page and consult with relevant colleagues within the mission.
- **Expenditures.** There are many opportunities within the CBP process to meet internal spending targets, and this broad community meeting is one of them. Ensure that project proposals and budgets reference community events and meetings such as this so such expenses are eligible and ensure that IOM procurement policies are adhered to when organizing. Do not be afraid to commit project funds on events like these as it is an investment and part of a larger process so long as expenditures are eligible for the donor.
- **CBP Purpose.** During the community meeting, it is essential to highlight the importance and benefits of community planning as opposed to direct implementation by IOM or IOM partners. This can be achieved by having the meeting chaired by local leaders and led by the CFT, composed of members of the community.
- **Community Input.** Local leaders should be present to advise and support this meeting, but voices of community members should be given precedence, especially when determining socioeconomic groups and representatives. Find ways to encourage broad community input during the meeting. If there is a large gathering, meetings can be broken down into smaller components with contributions brought back to plenary, for example.

## REFERENCE DOCUMENTS FROM FIELD MISSIONS

- For an example of how to organize a community meeting: [Town Hall Meetings 2017 \(CBP 2021\)](#), IOM Iraq.

## REFERENCE DOCUMENTS FOR FIELD MISSIONS

- The Glass Code Exercise template can be found here: [Glass Code Example \(CBP 2021\)](#).
- Additional resources for “icebreaker” activities can be found here (also referenced throughout the CBP manual): [Icebreakers for CBP: Example \(CBP 2021\)](#).
- A draft agenda for the broad community meeting can be found here: [Broad Community Meeting Agenda \(CBP 2021\)](#).
- While discussed in full in Component 3, Step 6, additional resources on CFMs and the broader framework of Accountability to Affected Populations can be found on IOM’s AAP sharepoint folder. A specific document on how to create a CFM can be found [here](#), with additional resources on communication and information sharing with communities found [here](#). See Component 3, Step 6 for more details.

## GLASS CODE TRUST BUILDING EXERCISE

The Glass Code Trust Building Exercise helps community members settle down and convey a strong message on key themes related to CBP. These themes include:

- Community profiling;
- Importance of deliberative dialogue;
- Planning and implementing projects that are relevant, owned, utilised, maintained and managed by the local community;
- Method of assistance that promote self-reliance and accountability;
- The target group for identified projects;
- Complementarity role of different actors.

### Methodology

A glass code is usually an effective tool to characterise the different stages each socio-economic group member has attained to determine whether the response to development should be to protect, prevent, promote, empower or stimulate active participation.

### Resources Required

- Five litres of water;
- 5 glasses of the same size;
- 2 mighty markers or pieces of wood;
- Cloth for wiping.

### Process

The facilitator demonstrates the code using five water glasses:

1. **Glass 1:** should be full of water such that any further pouring results in spilling of water.
2. **Glass 2:** should be half full and water is poured into the glass until it becomes full
3. **Glass 3:** should be empty but upright such that water can be poured into the glass easily.
4. **Glass 4:** should be turned upside down such that no water can be poured into the glass.
5. **Glass 5:** should be lying sideways and supported by mighty markers or supporting objects such that it is difficult to pour water in it at the same removal of objects makes the glass to roll in any direction.

The first volunteer from among the participants comes forward to follow instructions on how to pour water in each of the five glasses while the rest of the participants are just observers. The Facilitator asks participants if they have better ways of pouring water into the five glasses than the first volunteer.

### This should be followed by a discussion in plenary using the following questions:

- What did you see happening in the code?
- Does this happen in our day-to-day lives?
- What does each object, person and symbols represent?
- What is related to your own experience?

- What lessons do we draw from this code?

### **Five main categories of people are usually identified from the discussions:**

- **Glass 1:** Self-reliant: liberated and self-sustaining and have potential to go into commercial production.
- **Glass 2:** Temporarily insecure due to shock or stress.
- **Glass 3:** Recurrently vulnerable but non labour constrained.
- **Glass 4 and 5:** Recurrently vulnerable but labour constrained: depend on social transfers. They are not able to do anything even when provided with resources.

### **Key questions**

- Which group dominates in our community?
- Why are they so many or few in that group?
- What kind or type of assistance is required by each category and why?





## STEP



# Identifying of Socioeconomic Groups

A socioeconomic group is defined in the CBP process as any formal or informal associations that community members identify they have with other members of the community, whether through economic, social, cultural, gender, age, ethnic, religious, or displacement-based ties.



## RATIONALE

- A socioeconomic group is defined in the CBP process as any formal or informal associations that community members identify they have with other members of the community, whether through economic, social, cultural, gender, age, ethnic, religious, or displacement-based ties. Labels are not assigned by the CFT or IOM to socioeconomic groups. Of critical importance is that the communities themselves are supported to self-identify at various steps in the process.
- Identifying and clearly defining the main socioeconomic groups within the selected community is central to the entire CBP process, as it ensures an inclusive process in which all the main groups, including those facing marginalization or discrimination, such as IDPs, for example, are represented during planning so that the key needs, vulnerabilities, and preferences of diverse socioeconomic groups are considered and addressed.
- Transparently and inclusively forming socioeconomic groups is critical to tackling the risk of elite capture, strengthening social cohesion and in areas impacted by conflict or disaster, and laying foundations for peace.
- This step also helps to preemptively consider during the planning phase (Component 3) the challenges separate groups may face in accessing and benefiting from the interventions to ensure the interventions reach a broad range of groups.

- Identifying and defining these groups will also shed light on the assets of groups that can be leveraged throughout the CBP process and the implementation of projects.



## PURPOSE

- To ensure all the main socioeconomic groups are represented during the CBP process, including the most vulnerable and marginalized groups such as IDPs or returnees. Step 8 is a streamlined step that cuts across the entire component (Steps 4, 5, 6 and 7) and factors heavily in the upcoming process. All references to socioeconomic groups throughout Component 1 are fully summarized in this step.



## OUTPUTS

- List of socioeconomic groups and their representatives.



## METHODOLOGY

1. Step 4: Preliminary Community and Stakeholder-mapping. Prepare a preliminary list of socioeconomic groups based on community assessments and mapping exercises. Ensure that additional outside information is also consulted that is relevant to the identification of a preliminary list of socio-economic groups in selected communities. See the list of recommended outside resources in Step 4 (DTM products, internal and external assessments, government strategies, and others).
2. Step 5: Inception Meeting with Local Stakeholders. Engage local leaders during the meeting to refine and adapt the list of socioeconomic groups within their community.
3. Step 6: Establishing and Training the Core Facilitation Team. Engage the CFT to refine the list of socio-economic groups and adapt it based on CFT recommendations.
4. Step 7: Broad Community Meeting. The CFT and relevant local leaders present the list of socio-economic groups to all community members in attendance and give them the opportunity to discuss and revise the list. Such discussion can be facilitated by the exercise proposed in Step 7.

This group-based exercise is meant to stimulate discussion after which the community discusses how they see themselves, how they relate to each other and how they categorize these relationships. It is crucial that exercises elicit discussions such as this so that communities self-identify the various socioeconomic groups.

5. Once the list of socioeconomic groups has been agreed upon by the wider-community, community members will appoint representatives from each group. These representatives will be the participants in the consultative planning sessions and will be the primary communication mechanism between CBP participants and the community. Representatives will be responsible for sharing information about the process and its progress with their respective groups and for voicing the needs, preferences, and concerns of their respective groups. The CFT should receive a list of these representatives and their contact information. The method used for appointing representatives is up to the community and should be adapted based upon context.
6. The CFT should then explain to representatives after the meeting that they need to gather certain information and data on their respective socioeconomic groups, which will be used to inform the community-based assessments and project-planning that will be conducted by representatives during the community consultative sessions. This data may vary depending on context, but may include number of households, livelihoods sources, property, education access and level of food security.



## KEY CONSIDERATIONS

- **Key Questions.** When engaging local leaders and the wider community to identify the socioeconomic groups in the community, the following questions may be useful:
  - What are the different groups that you recognize in the area?
  - What kind of people make up your community/village? (Consider providing a few examples, such as unemployed youth, older women and businesspeople.)
  - Are there any groups of people that are hard to identify or are not very visible?
- **Marginalized Groups.** Be sure to probe for groups that may be less visible or marginalized. Identifying such groups is a streamlined and active process. Look for such groups during assessments, meetings with various stakeholders and discussions with government officials at various administrative levels. It is also important to be observant during community events, both formal (Step 1 and Step 6) and informal (the optional festivities of Step 7: Broad Community Meeting), and to follow up on any observations with involved community stakeholders.
- **Disaggregating Groups.** When refining and finalizing the preliminary list of socioeconomic groups in collaboration with the local leaders and the wider community, IOM and CFT members must attempt to be as precise as possible, notably by disaggregating potentially large groups into smaller common-interest groups. For example, where relevant, returnees may be further disaggregated into smaller socioeconomic groups, based on their displacement history. Remember that in areas with cycles of conflict or disaster, multiple displacement is common and can oftentimes lead to disaggregation of IDP or returnee groups.
- **Group Fluidity.** Keep in mind the fluidity of some of these groups when considering their interests. For example, youth in school may become unemployed youth within a year or two.
- **Inclusivity.** Emphasize that it is critical that the main social groups are represented because this will ensure that the priorities of all are considered and will allow the strengths and assets of diverse groups to be built upon, which is beneficial to the entire community. Inclusivity also means achieving gender balance in representation, while paying close attention to overall diversity and age sensitivity.
- **Number of Representatives.** There should be one representative for each socioeconomic group from each community. The general recommendation is to create a group of no more than 40 representatives in total. More representatives may be included in areas that have a smaller population.
- **Combining Groups.** If there is an exceptionally substantial number of socioeconomic groups, some like-minded groups may select one person to represent them, but this does not mean dissolution of the groups.
- **Consulting Represented Groups.** Representatives of the socioeconomic groups should consult with the other members of their respective groups before attending their first consultative session to inform any persons not at the community-wide meeting about the CBP process and to ask persons in their group about their priority needs and concerns.



## REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- IOM Somalia provides an excellent example of possible socioeconomic groups within communities. See: [Baidoa Community Action Plan \(CBP 2021\)](#), IOM Somalia (starting p. 5).
- For guidance on how to identify socioeconomic groups, see: [GIST Community-Based Planning for Fragile Areas \(CBP 2021\)](#), IOM Somalia (pp. 18–20).

## STEP

# 9

# Inaugural Community Consultative Meeting

This step will constitute the first community consultative session among representatives and will provide the foundation for the community-based assessments, planning and prioritization consultative sessions to come.



## RATIONALE

- This step will constitute the first community consultative session among representatives and will provide the foundation for the community-based assessments, planning and prioritization consultative sessions to come.
- Building trust among participants and establishing a clear understanding about the entire CBP process, along with its logistics and guidelines, will increase the likelihood that the rest of the CBP process runs smoothly and is collaborative and productive.



## PURPOSE

- To ensure participants' understanding of the CBP process and its purpose, manage expectations, and establish logistics for the functioning of the consultative sessions.
- To enhance trust among participants and convey themes central to CBP, such as inclusivity.



## OUTPUTS

- Optional workplan for the community consultative sessions.



## METHODOLOGY

1. Create the final list of participants. This is meant to be the first organized meeting of the group that will be involved in the coming assessment, planning and prioritization process. The “group” is composed of representatives selected by the community. The representatives come from the socioeconomic groups identified by the community at various stages of the process. The first step should therefore be to create a definitive list of participants for this inaugural consultative meeting. This list, while not fixed, can serve as a basis for the meetings to come. Think of this as the final participants list and ensure that the CFT is included.
2. Before bringing the group together in plenary, consider the following logistical considerations for this meeting and those to come:
  - A venue that is accessible to all participants.
  - Dates and timeline for the meeting.
  - Meals/refreshments.
  - Other necessary arrangements.



3. Resources that the community can contribute.
4. Any logistical challenges that may occur or could detail the planning process and how they can be addressed or mitigated.
5. Bring together the CFT, representatives and relevant IOM staff in plenary. The meeting should begin with opening remarks and a review of the meeting's Agenda, a proposed template of which can be found [here](#) and at the end of this step.
6. A key component of this meeting is the disclosure of the available resources for the coming CBP process. It is recommended to describe all available resources that IOM will be investing in the CBP process including financial, logistical, and human. Remember that this inaugural meeting is with those who will be the drivers of the CBP process. They need to have basic information related to IOM's resources in order to keep expectations in check and keep the process in line with available resources.
7. During this meeting, review the entire CBP structure, including all coming steps of Components 2 and 3. The participants must fully understand the entire process so they can properly place and conceptualize the entire process. Ensure that time is left for participants to ask questions about each proposed step. Remember that it is up to each field mission to decide on what tools are required for their CBP process. Do not be afraid to make changes or to integrate the feedback of participants about the steps in the entire process.
8. Review the logistical considerations and decide on the format, timing, and place of the meetings to come.
9. *Optional:* Create a workplan with the participants which gives the entire group an idea of how long the entire process will take, deadlines throughout, and when larger meetings will be held with the community. Remember that these are representatives responsible for continued communication with the broader community. Their understanding of the process and of key dates within will allow the broader community to follow along, too. There are a variety of additional steps that are proposed throughout the CBP process (see Components 2 and 3) but the exact timing depends on the preferences of CBP practitioners and the community itself. See the points below and consider if the time is right to introduce these concepts or address at later stages of the CBP.
10. *Optional:* In certain environments, it is helpful to establish a community mediation forum. Community mediators can offer dispute resolution services through, for example, Community Based Conflict Mediation Committees or Dispute Resolution Committees. The committees and network of committees can serve as a community-based organization in disseminating information, institutionalizing the culture of dispute resolution, promoting peace and harmony in communities, and in protecting, promoting, and uniting the rights and interests of community mediators. See the resources at the end of step for more information on how to use dispute resolution with CBP.
11. *Optional:* While it is proposed to establish CFMs and a communications strategy for CBP during the planning phase of Component 3, field missions have the option and are encouraged to establish these core steps earlier on in the process. See Step 6 of Component 3 to establish CFMs and communications strategies.



## KEY CONSIDERATIONS

- **Expectations.** When presenting the CBP process, it is important to manage expectations. CBP projects may fail to foster community ownership and accountability, should community members be disappointed by the process's outcome after setting their expectations too high. Therefore, it is necessary to inform the community about the potential challenges that may arise during the process, such as delays between the consultations and project implementation. The funding mechanism, based on community contributions, must also be clearly explained, to ensure the community members will not expect block grants to fund all the projects identified in the CAP.

## Agenda Items

- CFT should welcome participants and present the process, explaining its purpose.
- Manage expectations – explain any limitations of the project based on funding, technical capacity, or program directives; explain that participants in the planning process will not be compensated but explain why participation is still valuable; specifically explain the role that IOM will play and emphasize the importance of community ownership, sustainability, and inclusivity (see Key Considerations).
- Introductions of socioeconomic groups, by community.
- Verifications that all relevant socioeconomic groups are represented.
- Discussions of logistical arrangements for the week for each community (venue, schedule, contribution of resources, and food, among others).
- Explanation of the programme for the week.
- Verifications that the groups engaged their group members and brought relevant information required for planning.
- Appointment of note-takers. Ensure the note-takers are recording the following: list of pre-planning meetings held (between local leaders and their respective communities to discuss the CBP process) and the date, venue, number of participants, villages and names of local leaders involved for each. They should also record which socioeconomic groups are represented, with the name and sex of their representatives. . . .

- **Resource Disclosure.** Disclosing the total amount of resources available for the community activities is recommended during this Step since this is the first meeting with those responsible for the CBP process. How can the CFT and the community representatives engage in project-planning and prioritization if they do not know what resources are available? It is best to frame resources in a holistic manner. Resources can relate pertain to financial, social, physical, and human inputs. When it comes to financial resources, disclose the number of projects available per community and the average amount available per project. Allow time in plenary for the CFT and representatives to ask questions. Similar information can also be shared with government officials consulted during Step 1, along with the total amount of the entire project. Internal budget details should remain internal such as line-item amounts and salary-related information.
- **Different Meetings, Different Purposes (Part 2).** Several meetings and engagements are proposed throughout Component 1. To help keep such meetings organized within the process and in the minds of field staff and stakeholders, below is a revised list of all meetings proposed in Component 1:
  - Step 1: Government Awareness-raising. Engagement with national and subnational leaders was proposed in Step 1 to ensure that support is garnered from the national and subnational levels.
  - Step 3: Selecting Communities. Meetings with key stakeholders at the subnational and local levels to assist with the community selection process.
  - Step 4: Stakeholder-mapping. Working Groups were proposed in Step 4 for certain stakeholders who do not wish to be directly engaged in the CBP process but who can offer valuable insight
  - Step 5: Inception Meeting with Local Stakeholders. This meeting brings together key stakeholders at the local level to introduce CBP, solicit participation and determine the role of local leaders and community stakeholders (including nominations to the CFT).
  - Step 7: Broad Community Meeting. This is when the entire community is brought into the CBP process and when representatives are selected to participate in the process.

## REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- For more information on how Dispute Resolution can be incorporated into CBP, see: [Dispute Resolution \(CBP 2021\)](#), IOM Somalia.

## TEMPLATE FOR IOM FIELD MISSIONS

- The template for the inaugural community meeting can be found here: [Inaugural CBP Agenda \(CBP 2021\)](#).

# COMPONENT 2

## COMMUNITY-BASED ASSESSMENTS

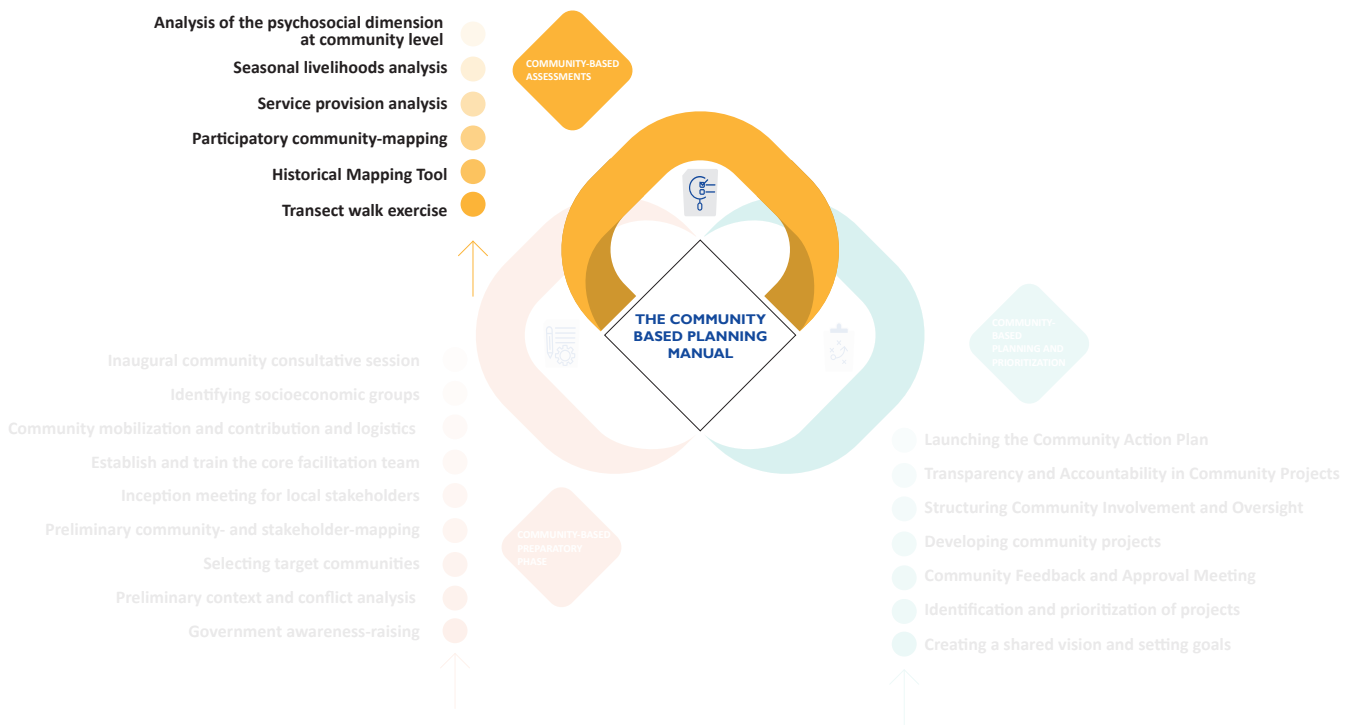


In line with the overall approach to CBP, Component 2 positions the community as the driver of assessment processes. This community-driven approach offers an alternative to key informant interviews, focus group discussions and multisectoral assessment tools which typically inform programming. Overall, this approach generates a nuanced understanding of a community, builds trust, and creates a solid foundation for the planning and implementation phase to come.

The assessment exercises offered in this component are meant to provide different options for field missions who can select the most useful and relevant to programmatic objectives, mission resources and the local context. The scale and type of programme that field missions are implementing, as well as the level of stability in each context, will inform the types of assessments used and how to best implement them.

The information obtained during the assessments should be analysed and summarized, highlighting key findings and recurring themes. A series of templates are offered at the end of each step to help with this. To the extent possible, the data should be disaggregated by gender, socioeconomic group, age, and season, as several examples. This data disaggregation will help to identify how different groups may be impacted by, or benefit from, various projects in comparison to other groups and thus will provide critical information for the planning and prioritization phase (Component 3) that leads to the development of CAPs.

## COMPONENT 2: SUMMARY OF STEPS:







## STEP

# 1

## Transect Walk Exercise

The transect walk is an interactive start to the community-based assessment process. It involves creating a series of groups with different objectives who then walk through the community.

### RATIONALE

- The transect walk is an interactive start to the community-based assessment process. It involves creating a series of groups with different objectives who then walk through the community.
- By exploring the community and its landscape, participants can analyse how different socioeconomic groups interact with infrastructure, services and the land and related infrastructure and identify challenges that might impede community development.
- Breaking away from more formal assessment processes provides an opportunity to stimulate reflection, encourage informal discussion and build trust.





## PURPOSE

- To survey the key features of the community using an icebreaker activity and to introduce questions related to conditions, access, and mobility to the assessment phase of CBP.
- To identify physical areas and features that could benefit from intervention and to identify challenges related to the physical environment or land use that may be an impediment to community projects.



## OUTPUT

- A transect walk report can be filled in by each group to summarize the exercise and take note of any issues encountered. A template can be found at the end of this step.



## METHODOLOGY

1. Split the participants into four groups and identify a leader and relevant experts within each group who are familiar with the community and key landmarks. Divide the community or programming area into four key geographical zones (such as a grid that divides the area north to south, east to west) and assign a group to each zone.
2. Each group should create a planned route for their transect walk in their designated zone. Planning in advance allows each group to know the exact path they will follow, the direction they will take, and the areas and features that will be included in their walk. If possible, a common endpoint can be established where participants can re-convene and socialize as a group such as at a local restaurant or catering to a typical community gathering point).
3. Each transect walk group should be as diverse as possible, with considerations of gender-balance, age sensitivity and diversity all considered. This is particularly important for this step since men, women and youth across all socioeconomic groups may use the land and related infrastructure differently. Accommodating different perspectives would be critical.
4. It would also be useful to ask local experts to join the transect walks. Experts can include local engineers, or IOM engineers, with the expertise relevant to the area and features being explored. Additional experts can include agriculturalists and representatives from local government departments and ministries.
5. Participants identify and discuss various aspects of their physical landscape, including various settlements, villages, land, natural resources, infrastructure, and areas of communal historical value (landmarks, social spaces, graves sites, etc).
6. Participants in each of the transect walks should also stop at homes along their way and ask community members about their relationship with key landmarks near them (land, natural resources, and infrastructure) and whether and how they use the land and its features. This will help the CFT and CBP participants to identify key issues, observe linkages and understand causes of specific problems related to land use, its physical features, and related infrastructure.
7. Use the key questions below to stimulate discussion during the transect walks. Note that the relevant questions will vary according to the category of land use and types of land features that each transect walk is exploring and analysing.



## KEY CONSIDERATIONS

- **Facilitating Interaction.** This exercise is most effective when it fosters interaction between different groups within the CBP process and the CBP participants and the community. Having a diversity of community representatives in the same group can encourage exchange across different socioeconomic lines and allow participants to see the community through the eyes of others. Keep this in mind when organizing the exercise and the groups. At the same time, it is important to encourage interaction between the CBP participants and members of the community. Ask CBP participants to speak with members of the community during the walk and ask about their relationship with key landmarks near them.

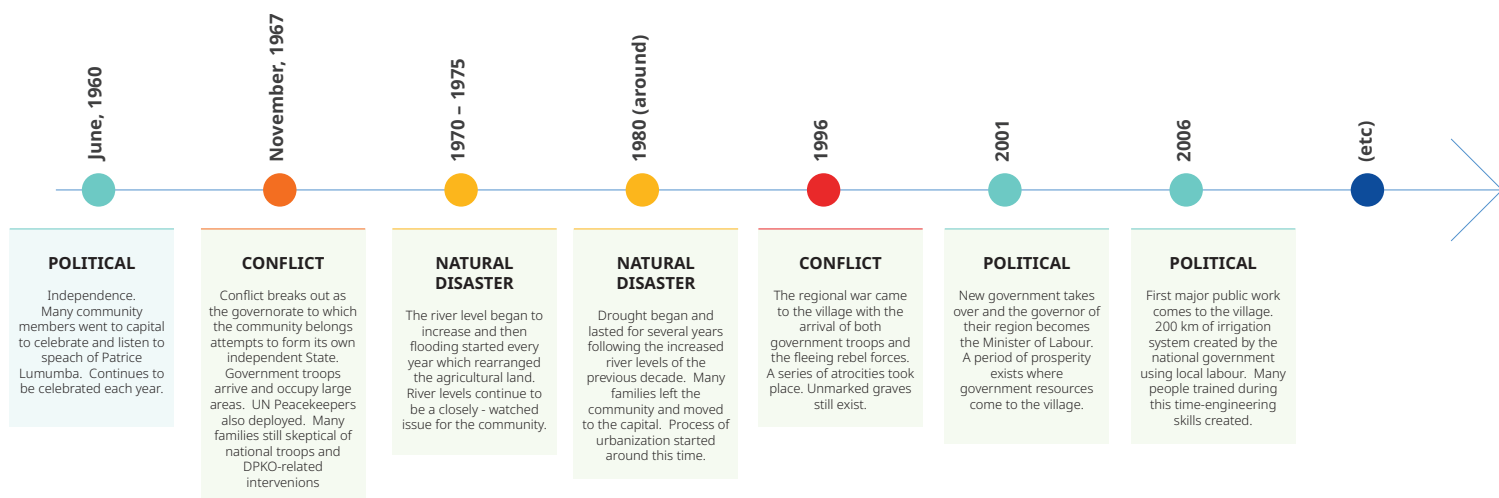


- **Security.** In conflict-affected areas it is important to incorporate security considerations for this icebreaker exercise. Ensure that relevant local authorities are aware of the activity and that members of the community participating in the CBP are comfortable with the exercise and the zones they are asked to walk through. If IOM staff are involved, it is important to comply with standards set by the United Nations Department of Staff Security.
- **Conflict Sensitivity.** This assessment may be particularly sensitive if land in the community is a significant source of tension or conflict. IOM should thus consider beforehand, based on preliminary assessments that have been conducted, whether this exercise can be appropriately conducted in a conflict-sensitive manner that is not harmful to participants or to the CBP process. If not, other icebreaker activities are proposed in Component 1 (found [here](#)) and IOM can assess the land for potential programming purposes independent of CBP participants.
- **Land Ownership and Access.** IOM should maintain a keen awareness of land ownership while participating in the transect walk. It should be noted which portions of land and land features the community is entitled to and which land is not authorized to be used by the community or is so contested that it may be unwise to try and use it. For government-controlled lands, it is important to understand which tier and body of government controls those lands to determine which government entity would need to be consulted about the legality and possibility of land use for community projects.
- **Insecure Spaces.** When the various steps and components of the entire CBP process are pieced together, a holistic understanding of the community and its drivers of conflict can emerge. Conflict analysis within participatory, community-based assessments is approached from this perspective and it is important to incorporate this streamlined, passive approach into the steps of Component 2. While preparing for and implementing the transect walk exercise, take note of any “insecure spaces” that exist in the community. Insecure spaces may be areas that house militant groups, spaces where civilians may be subject to harm by armed groups, contested land, or border areas (even if active conflict is not currently occurring on that land and in those border areas).



#### TEMPLATES FOR IOM FIELD MISSIONS

- A template that can be used to summarize the transect walk of each group, can be found here: [Transect Walk Exercise Template \(CBP 2021\)](#).



## STEP 2

# Historical Mapping Tool

This tool serves as a useful entry point for the more formalized community-based assessments as it encourages participants to look at their community and its history holistically and to consider how this history has influenced and informed the present.



### RATIONALE

This tool serves as a useful entry point for the more formalized community-based assessments as it encourages participants to look at their community and its history holistically and to consider how this history has influenced and informed the present.

- Understanding how the past plays a role in the present will help the community identify the root causes of current issues during subsequent assessments and therefore will also help them to identify projects that will address root causes during the planning phase.
- This tool can also enhance solidarity amongst community members by reinforcing pride among participants about their community and their shared history.



### PURPOSE

- To act as an “opener tool” for the formal community-based assessments process.
- To understand past events in the community and how they have impacted different socioeconomic groups and created or sustained social dynamics, power structures, livelihoods, and the environment.



## OUTPUT

- A historical timeline with events and/or an events table, with the name and date of events and their effect. A template can be found at the end of this step.



## METHODOLOGY

1. A facilitator explains the historical mapping activity and its purpose.
2. Break up the participants into the identified socioeconomic groups. Facilitators identify the eldest figures among the participants who have lived in the community the longest and ensure that there is at least one of these members in each group. They ask each group to draw their own timelines including major events or notable periods for as far back in their communities as they can remember. These events may include conflicts or other security incidents, natural disasters or other climactic events, disease epidemics, significant changes in political or other power structures, periods of economic growth or decline, times of community celebration or healing, and episodes of notable social change.
3. Facilitators ask each group to discuss and report on key questions (see the link on the next page).
4. Re-convene all groups and have each group report their findings. Create a master timeline and/or events table. All groups should discuss the events and come to agreement. These should include the event/period of significance, the estimated date and duration, and the general impact.

## KEY CONSIDERATIONS

- **Opening the Process.** Following the transect walk, the Historical Mapping Tool is presented as an “opener” to the community-based assessment process since it is non-controversial, shows a general openness to understanding the community and immediately positions the community as the driver of the assessment process.
- **Approaching Conflict in Historical Mapping Tool.** Drivers of conflict will surface during the different steps and components and must be incorporated into the design of the CBP and the resulting projects in Component 3. It is likely that sources of conflict and community tension will emerge during this step. Keep a conflict sensitive approach by allowing participants to determine the direction of the conversation so long as a respectful, informed, and conscientious discussion takes place on past conflicts and disasters. If the situation allows during this step, several sample questions can be found [here](#).
- **Creating the Timeline.** Consider using cards to place events on the timeline so that events can be adjusted/corrected, as well as new events added to the timeline.

## REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- For additional information on how this step is presented in the IOM South Sudan Abyei Office, see: [Community Consultation Toolkit \(CBP 2021\)](#), Abyei, IOM South Sudan (p. 4).

## TEMPLATES FOR IOM FIELD MISSIONS

- A template that can be used to complete this historical mapping process can be found here: [Historical Mapping Tool Template \(CBP 2021\)](#).
- If applicable and if the context allows, integrate sample questions on conflict and community tension. Sample questions can be found here: [Conflict and Tension Key Questions](#).

### Possible Questions, Conflict and Tension

- What are the ongoing conflicts within your community or that affect your community?
- What are the insecure spaces in your community?
- Who are the stakeholders or parties involved in these conflicts or insecurity?
- What are the surface level or proximate causes of the conflict or insecurity?
- What are the root causes of the conflict or insecurity?
- Who is directly impacted by the conflict or insecurity? Who is indirectly impacted by the conflict or insecurity?
- What is the impact on the community, different socioeconomic groups and individuals?
- How has the conflict or insecurity affected livelihoods, the environment, governance, access to basic services, food security, social activities, communal relationships, and others? . . .



STEP

3

## Participatory Community-mapping

Step 3 is a participatory, hands-on exercise in which the key details and dynamics of the community are represented as spatial inputs on a map.



### RATIONALE

- Step 3 is a participatory, hands-on exercise in which the key details and dynamics of the community are represented as spatial inputs on a map.
- The creation of these maps allows the community-driven assessment process to spatially represent key issues such as household profiles, conditions of existing social and economic infrastructure, land and natural resources, and patterns of access and mobility for different groups.
- Overall, this step will help communities understand the issues that create vulnerability among different groups and what factors may allow for improvement, thus setting the stage for community projects in Component 3.



## PURPOSE

- To better understand the condition of households, infrastructure, and land in the community, understand management and maintenance issues, and to visualize how conditions might be improved.
- To identify vulnerabilities and/or disparities within the community related to access and mobility and address the cause of the identified vulnerabilities and disparities.
- To describe and propose actions and priorities for improving conditions in the community that can be integrated into future CAPs.



## OUTPUTS

- Map of the community that shows households, economic and social infrastructure, land, and key natural resources. See an example from the IOM South Sudan Abyei Office [here](#) or an example from IOM Somalia [here](#).
- Tables that summarize whether the conditions of the households, infrastructure and land referenced in the map are improving, declining, or remaining the same. A template is found at the end of this step.
- Tables that summarize access and mobility issues. A template is found at the end of this step.



## METHODOLOGY

### Plenary Map-making

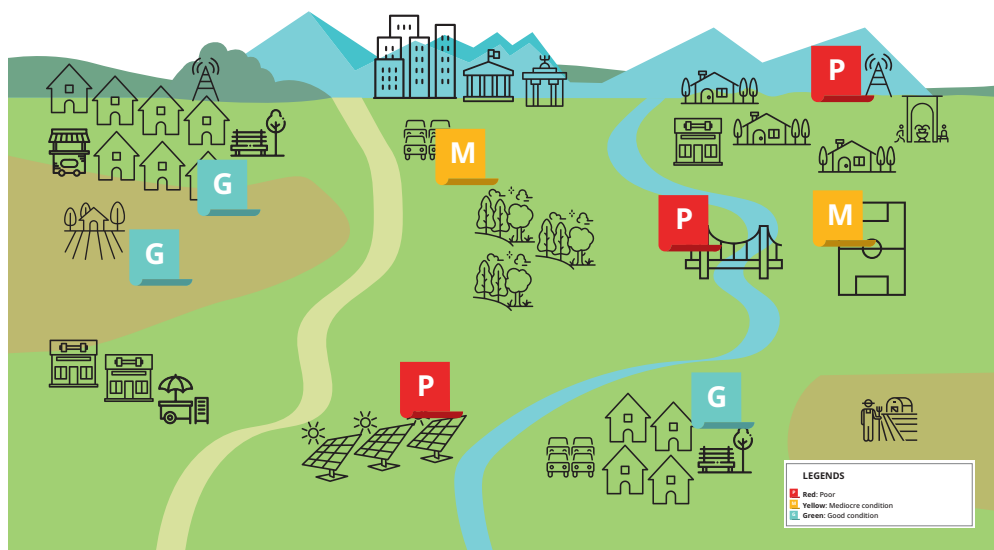
1. A member of the CFT will explain the purpose of the mapping exercise to the entire group in plenary session. Volunteers are selected to help with the tasks required to create the maps and include the various features indicated by the other participants.
2. Begin with a large universal map that shows community boundaries and has sufficient space to cover the details and dynamics of this step. Such maps can be created on the ground, on large sheets of paper or online depending on the preference and resources of the local context.
3. Identify the different villages, clusters of households, and/or neighbourhoods within the community. Be sure to identify where different groups of people may be concentrated, including IDPs, rural–urban migrants or returnees if relevant.
4. Indicate on the map the locations of all social and economic infrastructure, such as markets, roads, schools, clinics, hospitals, mosques, churches, bridges, police stations, government buildings, and community centres. Either use the ground and available materials to symbolize the features on the map or draw the referenced infrastructure with different-coloured markers on the large piece of paper.
5. Participants then identify various aspects of their physical landscape, including land, natural resources, and infrastructure that directly uses natural resources, such as irrigation systems, agricultural land, grazing areas, water sources and sources of energy are examples.



## Plenary Card Exercise

1. Next, participants identify the status of the households, infrastructure, and land by using coloured cards (red, yellow, and green). Information collected through this exercise can be recorded on the map itself or in an annexed table that the entire group can see and review. Red cards represent those deteriorating or becoming worse off; yellow cards, stable or remaining the same; and green cards, improving.
2. Participants will determine which household clusters/neighbourhoods will be assigned which cards and volunteers will place the cards on the map or in a separate table next to the map where the various household clusters are represented.
3. Participants assign a card to each social or economic infrastructure based on whether they believe the infrastructure is degrading, improving, or stable. Information can be recorded directly on the map or in an annexed table. The exercise can again be repeated for land and natural resources if relevant to the context (e.g. agricultural land that is improving, remaining the same or degrading), with conditions either recorded directly on the map or referenced in an annexed table.
4. A final map or table with the coloured cards and arrows indicating the status of households, infrastructure and land is created and agreed upon by the community. The final version should be documented by the CFT via photo or final submission to IOM. To help facilitate discussions during this step, see these [key questions](#).

## Sub-Group Activities







1. Break participants into small groups, dividing, for example, between men, women and youth or clusters of the socioeconomic groups represented. The idea is to use the map made in plenary to discuss issues related to access and mobility in smaller groups.
2. The subgroups should first focus on **access** and understanding how different groups in the community interact with infrastructure, land, and natural resources. This is meant to highlight which groups do and do not have access to and benefit from certain resources, which groups rely on which resources, barriers accessing resources, and how resources may serve as a source of conflict. Use the key questions found [here](#) to help guide the group discussion on access.
3. Next, turn the conversation to **mobility**. This exercise will reveal the key resources and services which different groups must travel to access, where they travel and the factors that inhibit their ability to access them, including long-distance and security threats. This will identify vulnerabilities related to mobility, issues that impede safe travel to access necessary resources, services, and solutions to enhance freedom of movement. Using a copy of the map made in plenary, have them show with arrows (sticks can be used for a ground map) where they go to access services and resources to map out mobility. Each group should also discuss the key questions on mobility, found [here](#).
4. During the subgroup discussions, ensure that all information is recorded by a dedicated notetaker. Information can be organized in a table that highlights issues related to access and mobility. A template is found at the end of this step.
5. Allow each group adequate time to present their discussions, or the map they have produced, with the larger group. Ensure the note-taker is taking detailed notes during the presentations to be used during the planning phase in Component 4.

#### KEY CONSIDERATIONS



- **Documenting the Map.** If participants conduct the exercise using a ground map, be sure to either take a clear photo of the map at the end of the exercise or to copy the map onto a large sheet of paper. If small groups create their own ground maps, a master map can be drawn on paper in the plenary, combining the different reports, as the groups explain and agree on their assessments.
- **Ensuring Diverse Perspectives of Participants.** When conducting the plenary discussion in this activity, it is essential that facilitators ensure that all socioeconomic groups are enabled to provide input during the mapping session because certain groups may know certain areas of the community better than others and thus know of essential additions other groups may not. Additionally, breaking participants up into small groups that are based on socioeconomic group identity when participants are determining which status to allocate to the households, infrastructure and land will allow different groups to assert their perspective on the matter without fear of judgment by others (particularly when labeling the conditions of households of different socioeconomic groups).
- **Potential Conflicts.** Be mindful that topics covered in this exercise, specifically differentiated access to resources, can be a driver of conflict and tension in a community. The facilitator needs to emphasize that this is a mapping exercise and the importance of listening to everyone's opinions even when people disagree. At the same time, ensure that the streamlined nature of conflict analysis in community-based assessments is considered and that such information is integrated into Component 3.
- **Sensitive Information during Assessments.** It is possible that sensitive information may emerge during the assessment phase. It is recommended to consult with GBV actors or with designated focal points for GBV or PSEA within the IOM Office. Locate material on how to handle unsolicited reports of GBV (including sexual exploitation and abuse) so that facilitators are aware of what to do if such information is reported by community members.



#### Key Questions: Household and Infrastructure-mapping

- Which households have improved or declined over the years and why?
- How would you describe these households?
- How could these households be improved?  
...

#### Key Questions: Access and Mobility

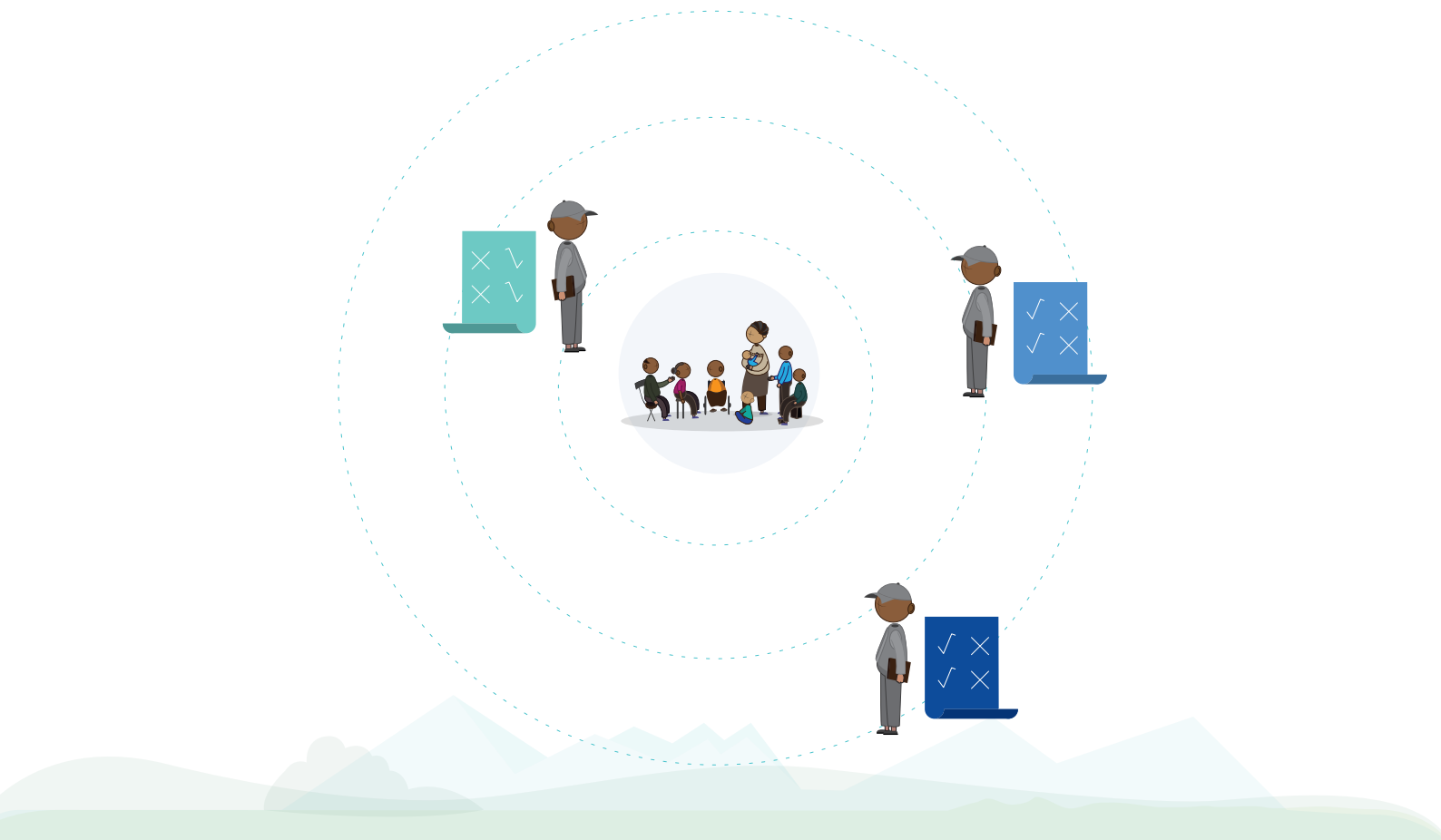
- Where are the resources identified in the plenary located in your community? (Map them)
- Which other resources are not in the area and are not listed, yet affect communal relationships? (such as nearby resources that are imported)
- Identify the challenges you have encountered as a community in sharing the resources mapped. What are root causes of these challenges?  
...

### REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- See examples of community-mapping exercises in: [Community Consultation Toolkit \(CBP 2021\)](#), Abyei, IOM South Sudan (p. 5).
- Sample community maps from IOM field office can be found here: [Community Map Example IOM South Sudan](#).

### TEMPLATES FOR IOM FIELD MISSIONS

- For a template for tables that can be used to record information on conditions, mobility, and access, see: [Community Mapping Exercise Template \(CBP 2021\)](#).
- For key questions on the plenary card exercise, see: [Household and Infrastructure Mapping Key Questions](#).
- To help assist in conversations in the proposed subgroups, see: [Access and Mobility Key Questions](#).



## STEP 4

# Service provision analysis

The identification and analysis of community stakeholders should be an inclusive process with government officials and community leaders and influencers. This will allow you to identify the individuals, institutions, and community groups that should be engaged throughout the entire CBP process.



### RATIONALE

- This step complements the participatory mapping exercise and is intended to help participants understand the relationship between the community and service delivery organizations, the relative importance and accessibility of services, and how the delivery and quality of these services can be improved.
- This analysis will highlight organizations and existing basic service delivery systems that can be used to support community development projects, as well as gaps and weaknesses in basic service delivery that community projects could address. This information should help improve the standards, delivery, and quality of services to the community.
- Additionally, this exercise will highlight the services that the community perceives as most important, which can inform the priority ranking of community projects during the planning phase in Component 4.



## PURPOSE

- To identify the different service providers in the community and define their role within and relationship to the community.
- To discuss how services can be improved.



## OUTPUT

- Table with list of service providers that includes the importance, accessibility, effectiveness, and closeness of service providers to the community, locations covered, strengths and limitations, preferred method of delivery, and actions to improve services and service providers. A template for such a table can be found at the end of this step.



## METHODOLOGY

1. The facilitator explains the purpose of the service provision analysis and the exercise (note that there are two different suggested exercises to choose from).
2. In a plenary session, the group produces a list of the different service delivery organizations/service providers in the community. These organizations could be local, national, or international NGOs, UN agencies, private companies, and local, regional and/or national government departments. Services can include water, electricity, Internet, food, agricultural inputs, livelihoods (jobs), finance, protection, and others. Be sure that all socioeconomic groups give input on the services and service providers they use.
3. Next, participants are asked to rank the closeness, importance and effectiveness of the services and service providers through one of two proposed exercises:
  - a) In option 1, all participants in a plenary session receive three different coloured cards to rank the closeness of the community's relationship to the provider, the importance, and the accessibility/effectiveness of the services. The coloured cards follow the examples given in the mapping exercise (green cards represent "very close, very important, and very accessible/effective services"; yellow cards are "moderately close, moderately important, and moderately accessible/effective services"; and red cards are not close, not important, and not effective services. For each organization listed, participants will raise either their green, yellow, or red cards for each category and facilitators will count the results of each and tally them on a paper next to each service provider.
  - b) In option 2, participants are broken into groups. Each group will draw a big circle in the soil to represent the community. The facilitator will go through the list of organizations and participants will illustrate the closeness, importance, and accessibility/effectiveness of each as per the examples below (closeness to the community, importance, and accessibility and effectiveness).
4. **Closeness of the Relationship to the Community.** Participants will draw a small circle in the soil to represent each organization. The closer they draw the small circle to the centre of the large circle (the community), the closer the organization's relationship is to the community. The circle should be located at the centre of the large circle (3 points), inside the large circle but not at the centre (2 points), or outside of the circle (1 point).
5. **Importance.** Within each small circle representing an organization, the participants will allocate one, two, or three stones inside the circle. The more stones allocated, the greater the importance of the service provider or the service it provides. Facilitators can suggest that these stones represent an essential (important) good in the community, such as a staple food.
6. **Accessibility and Effectiveness.** Within each small circle representing an organization, the participants will allocate one, two or three sticks/twigs inside the circle. The more sticks allocated, the greater the accessibility or effectiveness of the service provider or the service it provides. Facilitators can suggest that the twigs represent the service provided.

#### Key Questions, Services

- Where does this service provider deliver services?
- To whom does it deliver these services/who uses these services?
- What are the positive aspects or strengths of these services, delivery systems, or providers?
- What are the negative aspects, limitations, or weakness of these services, delivery systems, or providers?
- How can the services or service organizations be improved? What actions should be taken to improve the quality of the services, accessibility, and effectiveness of the organization? How would the services be best delivered?
- How can the organization's relationship with the community be improved?
- Are there any types of essential services or types of providers that are missing in the community?
- • •

7. Bring the group back together in plenary to discuss the results of the exercises above. Key questions can be found [here](#) to help facilitate discussion. Be sure that participants specify whether they are talking about the service itself or the service delivery organization. For example, if the participants are discussing a need for improvement, make sure they explain whether it is the quality of the service that needs to improve or the service delivery organization that needs to improve.
8. The exercise and information gathered should result in a table that summarizes the points above. A template for such a table can be found [here](#) (also referenced at the end of this step). Information should include the name of the service provider and its service; rating of each organization's importance, accessibility, and closeness to the community; locations covered and people using the service; strengths; limitations; actions for strengthening quality of service, delivery, or the organization; and note any services or service organizations that are missing entirely from the community.

#### KEY CONSIDERATIONS

- **Differentiating among Socioeconomic Groups.** When producing the list of service providers, it is essential that all socioeconomic groups give input, as the services and services providers used and the perceptions of them may differ between socioeconomic groups. As always, be sure to take note of the services and service providers that are most accessed by, or especially important to, women and minority groups.
- **Identifying Services and Service Providers.** As another method to identify services and service providers and to ensure that no essential services or services providers are left out, you may also consider asking participants about the daily activities that they are engaged in and then encourage them to identify services that might be accessed during those activities and who provides them.
- **4W and Stakeholder-mapping Exercises.** Make sure that outputs of Component 1 are updated based on the results of this exercise. Of relevance is the 4W exercise completed during initial assessments and the stakeholder-mapping table. Having an up-to-date list of actors and service providers in the community will help create synergies and de-conflict during the planning phase of Component 3.
- **Services, Community Tension and Conflict.** Viewing service provision from the perspective of community tension and conflict is a useful perspective in many different contexts. In post-conflict or post-disaster settings, for example, the pace of recovery for different communities or different segments within a community can influence tensions and drive future conflict. Look at how closeness, importance, and accessibility of services for different socioeconomic groups might influence tensions and be drivers of conflict, or conversely how improving services might contribute to stabilization and social cohesion goals.

#### REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- See: [Community Consultation Toolkit \(CBP 2021\)](#), Abyei, IOM South Sudan (p. 9) for an example of how to approach service provision analysis (Asida Tool).

#### TEMPLATES FOR IOM FIELD MISSIONS

- A template for summarizing the information captured in this step can be found here: [Stakeholder Provision Analysis Template \(CBP 2021\)](#).
- For key questions on the post-exercise discussion on services within the community, see: [Service Provision Analysis Key Questions](#).

# STEP 5

## Seasonal livelihoods analysis

Step 5 is focused on local leaders and stakeholders that are directly relevant to the implementation of the CBP at the local level,



### RATIONALE

- Seasonal livelihoods analysis helps to understand when and why certain events happen across an annual cycle of people's livelihoods to ensure interventions are effectively targeted at critical times of the year and to avoid imposing unsustainable investments.
- This analysis will highlight periods during which communities are the most vulnerable or experience challenges, as well as periods that may give rise to opportunities for livelihood improvement. Doing so will inform the type and timing of interventions that will be developed during the planning and prioritization phase in Component 3.



### PURPOSE

- To understand the livelihoods of different households in the community and how those livelihoods change and are affected by the seasons of year.
- To identify opportunities for livelihood improvement and challenges faced during phases of the year.



### OUTPUTS

- Seasonal livelihoods calendar showing periods of distress and challenges faced and opportunities to create productive assets.
- Table that quantifies livelihoods strategies in relation to the seasons.



### METHODOLOGY

1. Introduce the session by explaining what is meant by seasonal livelihoods analysis and the factors and issues that might surround people's livelihoods. This should include explaining the differences between primary and secondary sources of livelihoods, how major sources of livelihoods, such as agriculture, may vary throughout the year, how climate may play a role in changes in livelihoods, and how commerce is related to livelihoods, as well as related population mobility (e.g. through seasonal rural–urban migration, migration to plantations during harvesting periods or nomadic pastoralism).
2. In a plenary session, discuss with participants:
  - a) The wealth and other assets of the community, including natural assets, physical assets, monetary resources, human assets, and social support systems.
  - b) The sources of livelihoods in the community, including both individual production/self-sufficiency and other sources of income such as cash for work, food for work, and remittances.



- c) The meaning of coping strategies and examples of them (which can include both positive coping strategies (livelihood diversification, safe migration) and negative (asset depletion, criminality, irregular migration etc).
  - d) The meaning of opportunities for wealth or asset creation.
  - e) The meaning of vulnerabilities, shocks, and stresses.
3. Break the participants into the identified socioeconomic groups, with men, women, and youth in their own groups. To help facilitate discussion, see key questions [here](#).
  4. Bring the group back together to allow each group to present the outcomes of their discussion. These responses should be used to collectively develop a list of livelihood sources and coping strategies and to produce a seasonal calendar which captures periods of distress, reasons for hardship, and periods of and reasons for relative productivity or increased income generation for different socioeconomic groups. It may also include commercial trends, crop production, livestock-related production, market prices of essential foods or items, expenditures, levels of trade, or labour. The group should also integrate gender dynamics by identifying certain sectors or sources of livelihoods that are gender specific.
  5. Use this information to trigger discussion on the reasons for major challenges and on opportunities to improve livelihoods. Ensure the notetaker records this feedback.

### Optional Exercise: SWOT Analysis

1. The assessment exercises offered in Component 2 have surveyed the land, examined historical events, mapped community resources, analysed service provision and considered sources of livelihoods. To help the community consolidate this information, it may be useful to conduct a SWOT analysis in a plenary session.
2. The SWOT analysis enables participants to utilize all the information conducted during the community-based assessments to summarize the key strengths and weaknesses of their community, opportunities for the improvement of their communities, and threats that may inhibit community improvement. This exercise helps to condense extensive information about the community in a way that can stimulate thinking about goals and strategies.
3. An example of a SWOT analysis can be found [here](#).





#### Key Questions: Seasonal Livelihoods Analysis

- What are the ongoing conflicts within your community or that affect your community?
- What are the insecure spaces in your community?
- What are your different sources of livelihoods and income generation?
- How do these sources vary depending on the time of year?
- What are your coping strategies (good and bad) when your main sources of livelihoods are not available?
- What hardships, shocks, or stresses do you face during the year that negatively affect your livelihoods? When?
- What are the reasons for these hardships, shocks or stresses? How are certain factors related to your livelihood influenced by the season (e.g. access to water for income generation activities, access to livestock, fodder production, disease and outbreak)?
- What types of commerce do you engage in and when? What are the most important goods that you obtain through purchase or trade? How does your ability to obtain these goods vary depending on the time of year or yearly events, such as religious holidays?

## KEY CONSIDERATIONS

- **Rural versus Urban.** A seasonal livelihoods analysis, particularly one which focuses heavily on agriculture and climactic events, may be more relevant to rural communities than it is to urban communities but not always. Thus, this activity may need to be adapted depending on whether the context you are working in is more urban or rural. An urban seasonal livelihoods analysis may focus more on commercial activities (next bullet item).
- **Commercial Calendar.** It may be beneficial to integrate a commercial calendar into your seasonal livelihoods analysis. Trends surrounding trade may be central to many community members' livelihoods. It may be useful to consider religious calendars when analysing commercial trends, as religious events often correspond to changes in livelihoods/commerce.  
  
For example, during a religious holiday, there may be a drop in the consumption and profits on certain food items that are sold by certain groups and increases in the consumption of others. Analysing a commercial calendar will be especially useful in urban or peri-urban environments.
- **Differentiating Socioeconomic Groups.** It is essential that the seasonal livelihoods analysis capture how livelihoods sources, trends throughout the year, challenges, and opportunities pertain uniquely to different socio-economic groups. This will ensure that future livelihoods interventions are tailored to the right people.
- **Disaggregating Gender and Age.** The data accumulated, both as it is represented on the calendar and in the table, should be disaggregated by gender and age to the greatest extent possible.
- **Conflict and Seasonal Livelihoods Analysis.** This activity can also be used to identify periods of the year in which there are typically increases in conflict (e.g. cattle raids in South Sudan may be more likely to occur at certain times of the year due to climate patterns) and thus may also highlight potential root causes of conflict.
- **Considering Migration Patterns.** During the discussions, participants should be encouraged to consider how migration patterns are related to sources of income or livelihoods strategies throughout the year. Certain people in the community may even migrate between urban and rural areas depending on how the time of year impacts their livelihood strategy.

### REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- A sample SWOT analysis can be found here: [SWOT Analysis Example \(CBP 2021\)](#).

### TEMPLATES FOR IOM FIELD MISSIONS

- Key questions to help guide through this step can be found here: [Seasonal Livelihoods Key Questions \(CBP 2021\)](#).



# Analysis of the psychosocial dimension at the community level

CBP must also consider the importance of social support systems in determining the psychosocial well-being of individuals and groups and decide how to appropriately strengthen those systems.



## RATIONALE

- Forced displacement and conflict can disrupt the life and psychosocial well-being of individuals, families and communities. This can be due to the cumulative exposure to direct stressors, like violence, loss of significant others, properties, systems of meaning and values. Normal psychological consequences at the individual and community levels include fear, confusion, grief, loss, isolation, anger, mistrust, lack of community cohesion, antisocial behaviors and lack of trust in institutions. These consequences need to be accounted for and responded to in community-level assessments and programming.
- CBP must also consider the importance of social support systems in determining the psychosocial well-being of individuals and groups and decide how to appropriately strengthen those systems. If done in an inclusive, context-sensitive way, CBP can lead to positive outcomes with regard to social cohesion and psychosocial well-being at community level.
- Culture and its elements might offer protective, restorative and transformative support after disruptions, promoting participation, a sense of continuity, acceptance, resilience and a venue for positive social interactions. Inherently to MHPSS programmes that aim at reestablishing identity, culture is substantiated in the below mentioned programme activities.
- Individual, collective and historical traumatic memories can be revitalized through CBP processes and be accompanied by strong emotions. Basic trainings can be used for CBP staff (and specifically the CFT) to account for this while also strengthening staff's ability to respond to disagreements and tensions throughout the process.



## PURPOSE

- To incorporate psychosocial considerations into the community-based assessment process that are likely to arise in communities that are recovering from conflict, disaster, or migration crisis;
- To understand and leverage social support systems in CBP so that families, groups and communities can support and care for others in ways that encourage long-term recovery and resilience;
- To prepare staff and practitioners for individual and community-level reactions that are normal after a crisis and give them resources required to respond and/or refer issues as they arise during the CBP process.



## OUTPUTS

- Key CFT members are trained and enabled to provide psychological first aid in form of basic emotional and practical support
- A referral pathway is established for persons with psychosocial needs who have been identified during the CBP process



## METHODOLOGY

1. Reach out to internal IOM departments and, if required, external partners to conduct a training on psychological first aid covering basic emotional and practical support. This can typically be completed by MHPSS staff trained on psychological first aid and can be administered to CBP practitioners, including CFT members.
2. Use the guiding questions found [here](#) (and at the end of this step) as a reflection tool for CBP practitioners and the CFT. Use the guiding questions to observe and discuss community dynamics and assess risk factors in the community. If possible, have this discussion supervised by a professional experienced in assessing and responding to MHPSS needs.
3. In the event that an individual referral to MHPSS services is required (e.g. a person is at risk of harming himself or others) activate the support system and organize a referral.
4. If no referral partner is available and/or the continuous need for support arises during the CBP, consider setting up a MHPSS support structure at the community level in the long run, which provides community members with a safe space to express and process their thoughts and feelings. If capacities and resources are limited, this could be done at small scale level, by establishing, for example, peer support structures. However, these should still be supervised by MHPSS staff.



## POSSIBLE STEPS FOR DEVELOPING A MHPSS PROGRAMME

1. Conduct a psychosocial needs assessment which is context and conflict sensitive (see IOM Psychosocial Needs Assessment tool and IOM MHPSS Manual, p. 23).
2. Raise awareness of psychosocial needs among relevant stakeholders, community, religious leaders, and others.
3. Build capacities of and supervise community members to provide focused (e.g. counselling, peer support groups among others, as per Chapters 5 and 13 of the IOM's MHPSS Manual) and community and family supports such as:
  - a) Rituals, liturgies, commemorations and celebrations (see Chapter 7 of IOM MHPSS Manual);
  - b) Spiritual and healing practices and explanatory models of diseases and conflict;
  - c) Legends and myths, novels and poems, proverbs and jokes;
  - d) Memories and oral histories;
  - e) Visual and plastic arts, songs and dances, theatre, drama, storytelling and performance (Chapter 6 of the IOM MHPSS Manual);
  - f) Handcrafts, dressing and ornaments, cooking and hospitality;
  - g) Sport and play; (see Chapter 8, IOM MHPSS Manual);
  - h) Learning (see Chapter 9, IOM MHPSS Manual).
4. Disseminate information about existing MHPSS services (e.g. practitioners, hospitals and NGOs);
5. Integrate MHPSS programmes with other relevant support systems (e.g. livelihood, shelter, health and health) and coordinate with specialized MHPSS services.



## KEY CONSIDERATIONS

- Assess risk and protective factors. When analysing psychosocial well-being at the individual and community levels one tends to focus on aspects of vulnerability. To identify entry points for positive change and get a full picture of support structures and resources, it is likewise relevant to look at protective factors that are enhancing the resilience of individuals and communities when facing adversity.
- Cultural sensitivity. Individual psychological distress and the rupture of community ties as a response to adversity are expressed across many cultures. However, communities and cultures differ in the way how these are expressed. Community attitudes towards the expression of uneasiness and stigmatization may additionally make these signs of distress less visible.
- Intergenerational transmission of trauma (narratives). In communities that have been exposed to cycles of violence and displacement, familial and historical narratives and related emotions can be transferred from one generation to another. This is particular relevant in contexts where groups and communities express being victimized without having received any redress. These phenomena are not always apparent at the beginning of the community consultation but may become relevant throughout the process and should be considered in the analysis.
- Create a safe space. Grief and loss are expressed not only in a culturally relevant way but also according to an individual's needs of processing past experiences. In practice, this means that no one should be forced to express him or herself if they are not ready to do so. If the CBP process encounters these phenomena and “triggers” painful memories, safe spaces should be identified that ensure confidentiality and provide the relevant support needed.
- “Do no harm” approach. A CBP process is likely to stimulate strong emotions given the nature of some assessments and the limited resources when it comes to project prioritization (Component 3). While looking at the process from a bird's eye view can be sufficient most of the time – as communities tend regulating themselves without intervention from outside – in rare cases facilitators should intervene to not reproduce previous power dynamics.
- Be inclusive and allow multiple narratives in parallel. While covered through thorough stakeholder-mapping and socioeconomic group formation, ensure at all times that a participatory, gender and age appropriate approach is used to avoid biases and blind spots.
- Support existing self-help/collective approaches. Any intervention coming from outside the community has an effect on its dynamics and should not overlook existing internal strategies to deal with individual and community suffering. Wherever possible try to develop collective forms of “healing” which are more sustainable and reduce the dependency from external actors without diminishing individual needs for support.

### REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- Guidance on how to establish a referral mechanism can be found here: [Reintegration Handbook - Practical guidance on the design, implementation and monitoring of reintegration assistance](#).
- The IOM Manual on Community-Based MHPSS (2021) can be found here: [Manual on Community-Based Mental Health and Psychosocial Support in Emergencies and Displacement \(second edition\)](#).
- The IOM Manual on Psychosocial Needs Assessment can be found here: [Psychosocial Needs Assessment in Emergency, Displacement, Early Recovery and Return](#).

### Reflection Guide Questions, Psychosocial Aspects at the Community Level

- What are the psychosocial topics arising from the CBP process?
- How do individuals generally express psychological distress in that community? Is there a common understanding of mental health and psychosocial well-being within the community? How are people with psychosocial issues perceived by other community members – are they stigmatized, or is the topic a taboo?
- What is the dominating narrative around the history of conflict, grievances and victimhood in the community?
- Are there specifically vulnerable groups? Does the CBP process provide enough protection for vulnerable individuals and gives a voice to marginalized groups?
- How does the community address psychosocial problems internally? What represents coping strategies for distressed community members and families?
- What connects people across conflict or community lines and how do they cooperate? What are indicators for collective healing? Who are the key actors promoting psychosocial well-being in the community?

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### TEMPLATES FOR IOM FIELD MISSIONS

- Key questions to help address the MHPSS component at the community level can be found here: [MHPSS Key Questions \(CBP 2021\)](#).

# COMPONENT 3

## COMMUNITY-BASED PLANNING AND PRIORITIZATION



In this Component, participants will come up with specific projects for their communities based on a common community vision. They will utilize the information they have gathered during the community assessment phase to inform project design and link the technical requirements for project implementation with existing community resources. This phase will result in the creation of a detailed CAP which should be celebrated at a launch event.

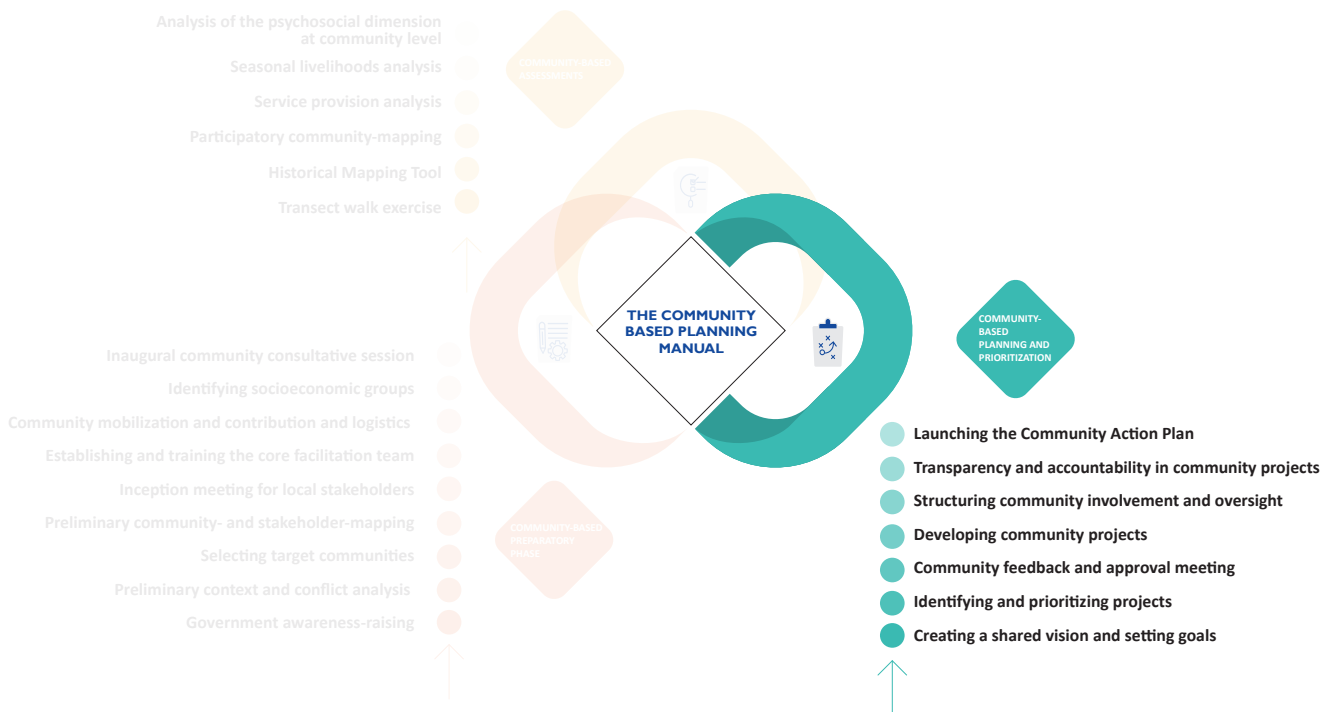
It is essential that the information collected during the community-based assessments in Component 2 is easily accessible to participants during Component 3 so that planning and projects are directly informed by the assessments. Facilitators should do a major recap of this information by summarizing the findings and highlighting the outcomes of the assessments.

Communicating with the wider community and establishing robust feedback mechanisms are key parts of Component 3. Transparency and accountability help ensure that the outcomes of the planning and prioritization process are truly representative of the wider community. This will also enhance community awareness and engagement, increasing the likelihood of contribution from the community and promoting ownership and sustainable projects.

Throughout Component 3, ensure that all voices are equally heard across the defined socioeconomic groups, and be sure to actively solicit the thoughts and opinions of marginalized groups. This is particularly important because different groups may have different priorities and preferences for community projects and because the strengths of all groups can be leveraged to contribute to the projects.

Finally, it is useful to have technical experts involved throughout Component 3. While the planning process is beneficiary led, experts can introduce practical considerations and help manage expectations regarding the realities of the time and resources required for implementation of various projects.

### COMPONENT 3: SUMMARY OF STEPS:



## STEP

# 1

# Creating a shared vision and setting goals

CBP should be discussed with government officials and relevant authorities prior to IOM staff engaging at subnational levels or directly entering communities.



## RATIONALE

- Starting with an icebreaker exercise (River Code Exercise) helps ignite discussion on common visions and goals and continue the trend of building trust between various groups in the community throughout the CBP process.
- Developing a shared vision statement to ensure that the diverse socioeconomic groups in the community agree on a common understanding of what they would like to achieve and how they would like to transform their community. This overarching vision helps to guide and shape the different development priorities and initiatives during this planning process.
- Identifying goals and strategies that relate to the overall vision statement further unites the diverse community over specific, shared objectives and will directly lead to the development of projects that will contribute to these goals.



## PURPOSE

- To make communities participate in deliberative dialogue and create a sense of ownership over the process of identifying goals and priorities.
- To develop a vision statement that captures what community members would like their community to become.
- To identify and rank goals for the community and develop strategies for each of the goals.



## OUTPUTS

- Vision statement.
- Table of ranked goals and strategies in line with the vision statement.



## METHODOLOGY

1. Start with a major recap of the information and data from the community-based assessments by summarizing the main highlights and findings. Emphasize the key thematic issues that came out of the assessments which may be relevant to a community's shared vision and goals, such as food insecurity, hazard risk, environmental degradation, or physical insecurity. This will help connect the community-based assessments to the planning and prioritization phase and ensure that the information and data that came out of the assessments directly informs planning and prioritization.



2. Introduce the purpose of this step – to develop a vision statement and identify and rank community goals – and explain the River Code Exercise.
3. Conduct the [River Code Exercise](#), a tool to assist the communities in defining their vision collectively. This is a key step not to overlook as it breaks the ice and continues the trend of building trust across community groups, a goal that is streamlined throughout the entire CBP process. The River Code Exercise also offers valuable key questions to help guide this entire step.
4. After the River Code Exercise, break the participants into small groups to discuss their vision for the community and their goals. It may be helpful to break participants up by socioeconomic group, as different socioeconomic groups may have different visions and goals. This will ensure that all socioeconomic groups are able to collectively identify and then express their unique preferences and that the preferences of marginalized groups are not overridden by others.
5. Bring the participants back together in plenary to present the group findings. Conduct a group discussion to find consensus on one vision and around three to six goals. Participants should then prioritize the selected goals, discussing their rationale for their chosen ranking. Facilitators will harmonize the rankings suggested by participants to create one list of ranked goals that participants agree upon. There are many ways to conduct prioritization exercises in plenary sessions. Examples of the three options listed below can be found here and at the end of this step.
  - a) Option 1, criteria-based ranking: Participants will together come up with a list of criteria on which they agree the rankings of goals should be based. For example, criteria can include number of beneficiaries, geographic coverage, decrease in conflict or benefit to marginalized groups (IDPs, returnees, women, unemployed youth, etc). Assign an easy range of scores for each criterion of 1-5. The participants will then assign a score for each criterion for each goal. The ranking will then be based on the sum for each goal.
  - b) Option 2, pairwise ranking model: Once a long list of goals is established, create a table that has all the goals listed in a matrix. The purpose of a pairwise ranking model is to allow the participants to compare each goal with another and decide which of the two is more important. This is repeated for all goals listed in the matrix. After participants compare all goals, the number of times a goal appears in the matrix is represented as a score which can then be used to rank all goals.
  - c) Option 3, consensus building through clustering: As participants present, cluster together similar goals and identify the themes that encompass or link them. Then the participants, guided by the facilitator, can work to phrase goals that represent each of the clusters, drawing on each of the goals in that cluster and the theme that connects them. Once goals are identified through consensus, it should be easier to also rank them through consensus by having participants explain their rationale for prioritization and negotiate based on this rationale until an agreement is reached. Then work together to develop a vision based on the identified goals. The goals should directly contribute to the vision.
6. Break participants up into the same groups and have them produce strategies for each goal (for example, for the goal of “food security,” a strategy might be “irrigation”).
7. Bring the participants back together in a plenary to present their strategies. Facilitators will harmonize the strategies and include them in a table next to each of the goals. An example of a summary table that includes goals, strategies and project ideas can be found here and a template can be found at the end of this section.





## KEY CONSIDERATIONS

- **Explaining the Purpose of the Visioning Process.** The visioning process is intended to help participants representing diverse socioeconomic groups look into the future and articulate what they would like to achieve and how they wish to transform their community. The statement should reflect the guiding values and overarching desire of the community. It will inform the individual goals that will be subsequently identified and prioritized and the specific projects that will be developed throughout Component 3. Creating a vision statement and identifying specific goals will unify the community over a desire to achieve their mutual goals and the values that underpin them and encourage them to support each other throughout the process. The vision may range anywhere from 5 to 50 years.
- **Determining your approach for vision selection and prioritization.** The method used for identifying and ranking goals, either criteria-based ranking or consensus-building through clustering, should be based upon the context of the culture and the participants. Clustering may serve as a less competitive approach and as a means for building common ground. This may be more appropriate in contexts where tensions among socioeconomic groups are high, or competition may not be well-suited to the general culture of the community. However, criteria-based ranking may serve as a more transparent and straightforward approach where the ranking is more clearly justified based upon specific, agreed upon criteria and mathematical evaluation of those criteria and goals.
- **Managing Power Dynamics.** It is especially important to be aware of power dynamics in this step, as authorities may try to influence the vision, goals, and priorities based on existing government development goals, policies, or priorities. To manage this potential issue, it may help to clearly and consistently emphasize to government officials that donors are only willing to fund projects that are developed and owned by the community and so, to obtain funding, it is essential that communities produce the vision and goals from which the projects will be born.
- **Technical Experts and Engineers.** It may be helpful to bring in general technical experts and engineers in this step, even though projects have not yet been identified. It will be helpful if these experts are aware of community goals and preferences from the beginning so that they are better able to help the community come up with and design effective and feasible projects in later steps.
- **Timeline of Goals.** The goals identified in this stage should be mid-to long-term goals and broad enough so that multiple strategies and projects can contribute to them. While certain, specific projects may be short-term, goals should be something that communities can continually build towards. This will help ensure the CBP process produces long-term, sustainable benefits instead of short-term solutions.



## REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- The River Code simulation can be found here: [River Code Simulation Example \(CBP 2021\)](#).
- Additional icebreaker and trust-building activities can be found here: [Icebreakers for CBP \(CBP 2021\)](#).
- An example of how visions, goals, strategies, and projects can be represented in a summary table can be found here: [Project Summary Table \(CBP 2021\)](#), IOM TRD.



### TEMPLATES FOR IOM FIELD MISSIONS

- For a template matrix table that can be used during the ranking of community goals via the pairwise model, see: [Prioritization Models \(CBP 2021\)](#).
- For a template that can be used to summarize the vision and goals of a community, see the following template from Step 2, Component 3: [Project Summary Table template \(CBP 2021\)](#).

## STEP

# 2

# Identifying and prioritizing projects

Step 2 is a rapid analysis used to select the areas of implementation and gather preliminary information for subsequent steps in CBP.



## RATIONALE

- Allowing participants to come up with their own community projects autonomously, creatively, and collaboratively promotes community ownership over the projects from the beginning, ensures that the community's priority needs and the best way to address those needs are determined by the community, and enhances community pride about and solidarity around their project ideas and ambitions.



## PURPOSE

- Identify, prioritize, and sequence potential community projects for each of the goals identified.
- Provide clear rationale for the prioritization and sequence of the projects, reaching consensus among participants and outlining additional details surrounding the projects.



## OUTPUTS

- Table with list of projects and associated information such as priority, cost, duration, sequence, and target beneficiaries.



## METHODOLOGY

1. A facilitator conducts a summary of the findings of Step 1 and explains that the group will now work to come up with community projects that contribute to the identified goals and strategies. Ensure that the findings of the community-based assessments of Component 2 (maps, tables, and others) are easily accessible for participants so that the assessment component continues to link with planning.
2. Divide participants into groups. Ask the participants to come up with multiple projects that align with the overall vision statement, contribute to identified goals and use the identified strategies. These projects can span across all sectors and may contribute to food or income security, livelihoods diversification, disaster risk management, provision of basic services, and improvement of social cohesion. Ask the participants these key questions (found [here](#) and at the end of this step) to help facilitate ideas. Additionally, it may help to split participants into clusters of socioeconomic groups and assign different thematic issues that came up during the community-based assessments.

This will allow them to come up with solutions that can be translated into projects that will directly address the issues that most impact them. Engineers and other technical experts should be present and walk amongst the groups to assist.

3. Bring the participants back into plenary and have each group report back on the projects they identified. Agree upon a final long list of projects. The next step is to prioritize the projects that were selected by participants. Prioritization can take place through multiple exercises as listed in Step 1, such as criteria-based, pairwise ranking, or clustering (see [this template](#) for more information on each). If criteria-based ranking is used, participants can identify and agree upon a set of criteria that will be used to prioritize the projects included in the long list. A numerical range is assigned to the criteria (1–5 for example) and then a number is assigned to each criterion and totaled for each project. Use these criteria to rank projects against each other and come up with a prioritized ordering. This may be done by agreeing on various categories of priority (1, 2 and 3) and then totaling the points to give each project a final score and allow for a final ranking based on the totals. Such criteria could include:
  - a) Needs-based criteria: Prioritize projects which benefit the most vulnerable.
  - b) Inclusivity criteria: Prioritize projects which benefit the highest number of socio-economic groups.
  - c) Viability-based criteria: Prioritize projects which are the most feasible and sustainable in the long term.
  - d) Catalytic criteria: Prioritize projects with the highest likelihood of upscaling and replication.
  - e) Thematic-based criteria: Prioritize projects expected to positively impact a pre-defined intervention area such as reintegration, livelihoods, or security.
4. Following the prioritization exercise, consider the potential sequencing of projects. This can be done by asking participants (assisted by any experts in attendance) to estimate the feasibility and duration of each project and then distinguish between short-term and longer-term project ideas. This distinction sets realistic expectations about what can be achieved based on technical realities and allows participants to re-evaluate project priorities when considering those realities. Not all projects that are prioritized can be selected and not all projects that are selected can be implemented right away. It is important to identify some quick wins within the longer-term goals.
5. Finally, discuss with the full group some of the basic information about each project, including the expected duration, cost, and beneficiary numbers. This information should then be included in a final project summary table (template found [here](#)) which includes the list of prioritized projects, associated goals and strategies, duration, cost, beneficiaries, and project rationale (based on the key thematic issues the project is intended to address and the SWOT analysis if one has been conducted).



#### KEY CONSIDERATIONS

- **Internal Resources.** It should be clear how much funding is available for community projects within the overall programme and what this means for allocations per community. Decisions can be taken at the country level regarding the average total amount per project and therefore the number of projects available to each community involved in CBP, but this information must make its way to field staff and the CFT to help organize the process and keep expectations in-check.
- **External Resources, Partner Coordination, and the CAP.** As discussed throughout this Manual, regular efforts should be undertaken to map actors via the regular updating of 4W mapping exercises. This information can be used to find other actors to finance projects identified through the CBP process. Such efforts at coordination and streamlined programming are essential parts of the HDPN, can help communities achieve a greater number of common priorities, and can also often be looked upon favourably by donors.

- **Confidentiality.** Local relations of power, authority and gender may negatively impact discussions and decisions on project priorities. To address this, there are several ways to allow for confidential inputs on project ideas or priorities. Participants may write their project ideas on cards and then mix them up. The cards can be presented by the CFT or by random participants. Alternatively, to avoid excluding participants who cannot write, one CFT member can act as a neutral surveyor and gather individual feedback from the participants. The input will then be anonymized and presented by the CFT. When it comes to prioritizing, indicators can be agreed upon as a group, but voting can be done anonymously. Since it would be inefficient to use these methods in all the CBP sessions, it is recommended to only use them when discussing sensitive topics or deciding on the final project prioritization.
- **Linking Assessments to Planning.** Throughout the planning and prioritization component, facilitators, IOM staff, and technical experts should regularly remind participants of the key issues and ideas that came out of the community-based assessments and help integrate this information into planning and prioritization. They should identify and explain information from the assessments as it is relevant to the discussions. This can include assisting groups during small group discussion by providing input from the community-based assessments. The results of the assessments can be shown in the plenary room, such as the final maps or tables. Groups can also be organized around issues identified in the assessment phase and asked to come up with projects that specifically address those issues.
- **Expertise.** Technical expertise is essential in helping guide participants through this step. Ensure that IOM engineers or trusted experts in the community are involved from the initial inception of projects so they can help shape them to meet community goals while ensuring the project design remains feasible and effective.
- **Multiple Village Projects.** Including multiple villages in the community-based projects should incentivize more members from the larger community to contribute resources to the projects, thereby expanding the project's impact. So long as this fits within the administrative level defined and involved in the CBP process, it is encouraged to locate projects that benefit numerous villages.
- **Do no harm.** Ensure the “Do no harm” principle is applied. Projects should be as conflict sensitive as possible and seek to mitigate negative externalities. In practice, this means projects should be evaluated based on their potential to negatively impact relations between community groups, for example, through preferential benefit to one group over another, whether through the benefit it brings of the location of the project.



#### REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- For an example of how IOM Somalia organized a list of prioritized projects, see the following document: [Baidoa Community CAP \(CBP 2021\)](#), IOM Somalia (p. 14).

#### TEMPLATES FOR IOM FIELD MISSIONS

- For a template that can be easily filled in by field Missions to summarize all project details gathered by this step, see: [Project Summary Table template \(CBP 2021\)](#).
- For the list Key questions that can be used to help generate discussion under this Step, see: [Project ID Key Questions \(CBP 2021\)](#).

## STEP

# 3

# Community feedback and approval meeting

The process of selecting communities is also an opportunity to build relations, introduce the project, and inform more detailed stakeholder-mapping of Step 4.



## RATIONALE

- It is imperative that the wider community be brought into the planning and prioritization process and that their approval is sought so that they feel a sense of ownership of the proposed projects. This will enhance solidarity with the wider community. In practice, it is inconceivable that the whole community will attend. For example, in a settlement of 10,000 individuals, this would be impractical, but typically events in the past have seen 100–200 people.
- This step is also important because it allows the community to give feedback so that they can convey their preferences, contest, or vocalize support for the proposed projects and their prioritization, and introduce considerations that participants in the working group may not have considered.
- Making the community aware of the outcomes of the CBP process early on also better prepares them to engage in implementation since they will already have some knowledge of the interventions.



## PURPOSE

- To allow local representatives who have participated in the community consultative sessions to present their proposed projects to their wider community.
- To allow the wider community to give feedback on the proposed projects so that the projects can be modified if necessary.
- To gather community approval of the projects and their prioritization.



## OUTPUTS

- Specific notes on community feedback to be integrated into the next planning steps.
- Finalized list of projects in priority order that has been officially approved by the community.

## METHODOLOGY

1. Representatives from the community that are involved in the consultative sessions welcome the broader community and present the outcomes of the planning and prioritization sessions. Key items to be presented can be found [here](#). Emphasis should be placed on the link between the assessment phase and the planning phase and how challenges and opportunities identified in assessments were translated into projects that reflect common vision and goals. This presentation should be prepared in advance in the local language.



2. Open the meeting for feedback from the wider community on the proposed projects and their prioritization. All feedback should be written in detail by the note-taker, and community members should be assured that all feedback will be taken into consideration and integrated to the extent possible. This can also be used as a forum to answer any questions about the broader CBP process and its next steps.
3. Once feedback is gathered and acknowledged, solicit official approval from the community members in attendance. This can be done simply by the raising of hands or by utilizing local customs and practices for reaching consensus.
4. Consult community members who are not participants in the consultative sessions about community resources, communication channels, and feedback mechanisms that can be used once implementation of projects begins. This will be used to create communication strategies, feedback mechanisms and M&E frameworks in coming steps.
5. Close the meeting with thanks and inform attendees that the representatives involved in the consultative sessions will continue to keep them updated about the final phases of the CBP process and will share the CAP with them when it is finished. Also give attendees the date and location of the official CAP launch event to which the whole community should be invited.



### KEY CONSIDERATIONS

- **Ensuring Marginalized Voices are Heard.** It will be especially important in this step to ensure that marginalized voices, such as women, youth, and minority ethnic or religious groups are heard. If the number of persons in attendance is especially large, it may be useful to divide the attendees into small groups to provide feedback and ask questions. You may even consider creating some groups that consist of only women or only members of that marginalized group so that they are not influenced or intimidated by more powerful members in the community. A local leader or representative can facilitate each group. If a group is only comprised of certain marginalized members of the community, that group should be facilitated by someone from their own socioeconomic group.
- **Stakeholder Feedback.** At various points in the CBP process (see Steps 1 and 4 of Component 1), optional working groups were proposed for influential stakeholders or authorities. If considered helpful by CBP practitioners, the feedback of such working groups or of influential stakeholders can be gathered at this point in the process. They can be invited to the larger community meeting, consulted in a separate group setting, or approached on a bilateral basis. This can be helpful in cross-checking priorities and projects with influential stakeholders and garnering support for the vision, goals and projects identified by the community. Influential stakeholders can also offer advice on resources that can help with project-planning and implementation.
- **Partner Coordination.** Ensure that there is no effort duplication. For instance, there could be scenarios where the proposed activities are being implemented by other organizations or government. Use pre-existing 4W information to cross-check ongoing activities of other partners with the list of proposed projects. Do not forget to look internally within IOM to make sure there is no duplication with other IOM programmes. Consultations can also take place with authorities to make sure projects do not overlap with any ongoing government plans. In general, it is useful to have key stakeholders, such as CSOs, NGOs or others participate in the planning process so that such duplications are avoided.
- **Linking Assessments to Planning.** This community meeting can be used as an opportunity to show the broader community the origins of certain projects and prioritization ideas. If helpful, provide summaries of the assessment phase and show how certain projects were created to address certain issues that were identified during assessments. Showing such links can be crucial in creating community ownership over the projects.

- **Two-Way Communication.** From the earliest stages of project development, facilitators and participants should regularly consider when and how the activities and outcomes of the planning process can be communicated to the community so that there is transparency and accountability throughout the process. Communication with communities should be fluid and continuous, with participants in the process regularly updating the groups they represent and explaining the rationale behind defined visions, goals, and projects. Communication with communities should not be limited to this step alone. Ensure that representatives involved in the consultative sessions continue to be a source of communication and feedback throughout the CBP process.



#### TEMPLATES FOR IOM FIELD MISSIONS

- For a checklist or potential agenda items for the community feedback and approval meeting, see: [Community Feedback Meeting Agenda \(CBP 2021\)](#).



# Developing community projects

The identification and analysis of community stakeholders should be an inclusive process with government officials and community leaders and influencers. This will allow you to identify the individuals, institutions, and community groups that should be engaged throughout the entire CBP process.



## RATIONALE

- Develop specific contingency plans for each project to mitigate negative impact of environmental hazards or disruptive events. This is also known as “disaster-proofing” the projects.
- Identify the resources that exist in the community that can be used for implementation, including local partners and technical support.
- Consider how the project will be maintained in the long term after the phase-out of IOM resources.



## PURPOSE

- To use past events and their impacts to predict potential hazards and carry out contingency-planning to create mitigation measures and “disaster-proof” projects.
- To identify the potential local resources and partners that can provide technical support for project implementation.
- To create long-term maintenance or sustainability plan that is community owned.



## OUTPUTS

- Contingency-planning table.
- List of contributions from the community or from local partners for each project.
- Phase-out/sustainability plan.



## METHODOLOGY

1. **Plenary session with community representatives.** Present the final list of projects in the form of a table that has all project-related information (see the template offered in Step 2, found [here](#)). Explain to the participants that the purpose of this step is to finalize the details of each selected project in view of implementation and long-term sustainability.
2. **Disaster-proofing.** Based upon the historical trends analysis of Step 2 of Component 2, the full group of participants should create a list of events, challenges, and hazards that may impact each project. For each of these hazards, participants should rank the identified incidents by their likelihood of an occurrence and their potential level of impact. This can easily be done on a scale of one to three, for example. Participants should also explain how it may affect the projects, mitigation measures that can be taken for negative events or measures that can be taken to capitalize on positive events, and the technical support that would be required to assist with those measures.

This information should be included in a table and will serve as the contingency plan for the CBP projects. To help gather this information, consider these key questions found here.

- 3. Local Resources and Implementation.** Participants will then be asked to consider what will be required to implement the projects, such as materials, labour, machinery, government approvals, and others. Ensure that technical experts, such as engineers and agriculturalists, are there to help outline the various technical requirements needed for implementation. Next, the participants are asked to brainstorm about how to link the technical requirements with existing community resources. Participants will possess a deeper and more nuanced knowledge of what resources the community has available (such as locally available building materials or specialized labour) and can provide insight about community perceptions of suggested partners and their relationship with those partners. This activity will give participants a clearer understanding of how they fit into the implementation process and how they can collaborate with various partners to make projects a reality. The key questions found [here](#) can be used to guide the discussion.
- 4. Long term Care and Maintenance, Sustainability and “Phase-out.”** The facilitators should next turn the discussion to the long-term care and maintenance of each project. This is oftentimes referred to as a “phase-out plan” in which the long-term care and maintenance of a project is covered by community resources. First ask participants to identify what is required to maintain the results or functioning of the project after it is completed. If an irrigation canal is created, for example, what is required to ensure that it continues to function in the long term? If rainwater harvesting systems are installed in households, who is responsible for maintaining them? Then ask the group to identify existing resources in the community that can be used to provide for the long-term care and maintenance of the project. This can include requesting a government department to agree to provide resources for care and maintenance or locating volunteer groups who are willing to provide for the long-term sustainability of a project. Such responsibilities can easily overlap with the creation of Community Action Groups listed in the next step.
5. Based on the steps above, it is recommended to update the project summary table to include the information on mitigation measures, community resources and the “phase-out” plan. A template can be found [here](#) and at the end of this step that includes sections on disaster-proofing, community contributions, and an expanded project summary table.

#### KEY CONSIDERATIONS



- **Implementation Modalities for CBP.** How projects are implemented is a crucial question and must be decided by each IOM mission based on internal resources, the nature of the projects, and the preferences of the community. Will bills of quantity be developed and tendered by IOM procurement to find local contractors, or will intensive community labour be used that relies on a cash-for-work activity? There are many viable options, but it is recommended to align the implementation modality with the CBP process and offer many opportunities for the community to be placed in a driving position. This means prioritizing direct implementation modalities by the community over contractor-driven models (think of cash activities, vouchers, or the use of local implementing partners). Implementation modalities that align with CBP must be discussed this well in advance with management, including the Resource Management Officer and the procurement and logistics department so that implementation complies with IOM rules and regulations.
- **Disaster-proofing.** Important past and potential future events to consider are climatic events/shocks/disasters, security events, elections, new economic development opportunities, disease epidemics, logistical challenges or attempted elite capture of project benefits. Considering the range of risks to the project and developing mitigation plans helps create more sustainable outcomes.

- **Local Resources versus IOM Resources.** How do CBP practitioners best use IOM resources without distorting the community's ownership over the process and the projects? When working in the field or with facilitators, conceptualize this problem by asking, "How do we implement this project using local resources only?" Remove IOM from the equation and see what comes up. This can help position the community's resources as the driving force for change with IOM's resources as a "match" or as a "gap-filler." In order to incentivize the inclusion of community resources, some IOM missions have also offered to "match" whatever the community is able to contribute. Local resources can include specialized labour, subject-matter experts, land, pre-existing infrastructural assets, and materials. If a match programme is used, rely on internal IOM experts to quantify the value of local contributions.
- **Sustainability and "Phase-out Plans."** Local resources must also be there to help ensure that the project will be maintained in the long term. Think of any infrastructure-related project (e.g. irrigation system, school rehabilitation, borehole-drilling, water network repair, electrical transformers and community hall construction) and ask who will be responsible for maintaining that project five years from completion. For many examples, local government departments will have primary responsibility for care and maintenance issues. Contacting these departments and creating agreements is one way to address the issue of long-term care and maintenance. But leveraging resources within the community can also be the answer. Volunteer groups can be empowered to provide care and maintenance, or local groups can be formed for the specific reason of maintaining a project after completion. Trainings can be organized for such groups that helps them in this regard. A full guide on phase-out plans within CBP can be found [here](#) (also referenced at the end of this step).
- **Expertise.** It is essential that experts are directly involved in this phase of the project to assist participants to identify what types of technical work will be needed for implementation, as participants may not have the technical knowledge to identify all these factors on their own. Remember that much still depends on the implementation modality that will be used for each project.



#### REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- As with previous steps and Components, the GIST Programme document of IOM Somalia offers a helpful guide. For summaries of how to approach contingency planning/"disaster-proofing" projects : [GIST Community-Based Planning for Fragile Areas \(CBP 2021\)](#), IOM Somalia (p. 26).
- A sample of how a programme from 2017 IOM Iraq approached project summary tables in CBP, see: [Project Summary Table 2017 \(CBP 2021\)](#) IOM Iraq.
- For additional information on how to approach sustainability within community development projects (specifically the phase-out component), see: [Phase Out Activities \(CBP 2021\)](#), IOM Iraq.



#### TEMPLATES FOR IOM FIELD MISSIONS

- A general template is proposed that covers Disaster Proofing, Community Contributions, and a revised Project Summary Table which includes these aspects of project development. A sample bill of quantity is also included to see how a typical engineer identifies various project components. All tabs can be found here: [Project Summary Table \(Expanded\)\(CBP 2021\)](#).
- Key questions for the discussions referenced in this step can be found here: [Developing Projects Key Questions \(CBP 2021\)](#).

## STEP

# 5

# Structuring community involvement and oversight

Community groups are an excellent way to transition away from the assessment and planning process and into implementation together with the community.



## RATIONALE

- Formal groups are proposed to help structure the community's involvement and ownership. Community Action Groups and a Community M&E Committee can ensure that implementation of the CAP is community managed and that a two-way communication channel is always open between implementors and the wider community.
- Community Action Groups will play a crucial role in mobilizing resources for implementation and long-term care and maintenance issues. Creation of these groups should also promote broader community participation, as other community members are likely to feel a stronger connection to project implementation when it is being led by members of their own community.
- The Community M&E Committee will engage in regular review of the CAP's implementation to monitor progress, ensuring projects stay on track, and evaluate implementation activities, ensuring that objectives are met. This committee is essential because the sustainability of these projects is dependent upon the community's ability to continuously monitor, evaluation, learn from, and adapt development projects.



## PURPOSE

- To establish a Community Action Group to help lead and coordinate implementation efforts and address any longer-term sustainability issues related to the project.
- To establish Community M&E Committee to engage in project oversight and ensure implementation remains on track.



## OUTPUT

- Community Action Group(s) and Community M&E Committee instated with established roles and responsibilities.



## METHODOLOGY

1. In a plenary session with the community, review the final table of projects and the itemized list of steps and resources required to complete each (see Step 4 template found [here](#)). Agree on the establishment of one or more Community Action Groups per project and assign specific components to each. It may be the case that there is a single Community Action Group for each project and a single M&E Committee for all projects in a community.



2. In the plenary session, review the ToR for both the Community Action Groups and the Community M&E Committee so the community is familiar with the designed roles and responsibilities of each group.
3. The community should come together to elect members for the Community Action Groups and the Community M&E Committee. Before election, it is important to establish with community members how membership should be distributed equally amongst socioeconomic groups and particularly to ensure women and youth are equally represented. If there are multiple villages or other subdivisions of the community that make up the larger community participating in CBP, there should also be equal representation of these smaller communities.
4. Technical experts should then be identified to be a part of each of these community-based entities. For the Action Groups, the technical experts selected will depend on the project or project components assigned to the Action Group.
5. Each Community Action Group and the Community M&E Committee should formally establish in writing their working modalities and review the ToR. Working modalities can relate to the frequency of meetings and field visits to project sites, while roles and responsibilities should be specifically tied to the goals, projects, priorities, and activities developed in the planning sessions.
6. The Community Action Groups should begin meeting as soon as possible, prior to implementation, to prepare implementation activities. The Community M&E Committee should begin meeting as soon as implementation begins so that they can begin monitoring from the very first phase of implementation. These entities should be provided with the results of the community-based and IOM conducted assessments to inform their work. These entities should continue to operate throughout the entirety of the implementation process and, if agreed upon by the Community Action Groups, continue afterwards to ensure care and maintenance.

#### KEY CONSIDERATIONS



- **When to Establish the Groups.** The timing of this step is flexible and can be conducted as early as step 3 during the community feedback meeting. It may be helpful to establish these bodies early on, especially the Community Action Groups, so they can begin laying the foundations for implementation from the beginning. However, it is also important not to appoint members to these bodies until specific projects have been decided upon, as the type of project may influence which individuals are seen as best suited to the community action group for that project based upon their past experiences or expertise.
- **Community Identification of Suitable Group/Committee Members.** It is recommended to have the entire community present to elect both groups. The community will be able to identify individuals who may be particularly well-suited based on their expertise or experience. For example, if there is a community member that already does water work on a volunteer basis, the community may wish to elect them to an action group working on implementation of a water-related project. Members of these entities should be re-elected every one to two years to ensure continued accountability.
- **Members of Group(s) and Committee.** While still allowing the community to elect the members, it may be effective to keep many of the same members from the CFT or previous working groups from the planning process (if these were established) to serve on the Community Action Groups or M&E Committee, as these individuals are likely to have extensive knowledge of the CAP and its projects. It also offers an opportunity for dedicated volunteers or participants to evolve as the CBP process transitions from the planning phase to implementation.
- **Volunteerism.** The activities of both groups may involve some basic expenses which can be covered by IOM resources but ensure that IOM resources are not the reason for participation in these groups. These are volunteer-based positions that come with responsibilities to the entire community.

- **Inclusivity in Group(s) and Committee.** The Community M&E Committee should be inclusive of representatives from all the main socioeconomic groups. The Community Action Groups should be inclusive of all the socioeconomic groups who are the target beneficiaries of the relevant project. There should be a specific focus on gender equality in these representative bodies and on the equal representation of traditionally marginalized groups. This is essential so that each group can mobilize their respective communities for implementation and so that they can channel feedback from their communities about how implementation is uniquely impacting them.
- **Community Action Groups and Committees in Cultural Context.** The establishment of Community Action Groups and Committees may only be appropriate in some cultural contexts, while in others these bodies may typically be seen as an expression of politics or specific affiliations. In contexts where committees are not viewed as representative of the community or recognized as legitimate and unbiased entities, it may be better to use other representative structures to establish community leadership and ownership over project implementation.
- **Utilizing Community-based and IOM Assessments.** All Community Action Groups and the M&E Committee should be provided with the results of the community-based assessments and IOM's preliminary or subsequent assessments after they have been subject to validation by the community and relevant experts. These assessments will help the action groups guide implementation and will provide a baseline against which the M&E Committee can monitor and evaluate progress of the implemented projects. Ideally, the results of these assessments should be broken down and summarized in a manner that is easily accessible to the community members referencing them. Doing so will help build the capacity of these bodies where the necessary knowledge and expertise to drive implementation and M&E may have been previously lacking.



#### TEMPLATES FOR IOM FIELD MISSIONS

- A ToR template that can be used for this step can be found here: [Community Group ToR Template \(CBP 2021\)](#).

## STEP

# 6

# Transparency and accountability in community projects

Step 6 is where participatory practices overlap with IOM's AAP Framework, which is required reading. Overall, following the AAP Framework will enhance transparency and accountability, build trust in local authorities, and greatly improve participation during implementation.



## RATIONALE

- When developing the projects, it is essential to establish clear two-way communication channels with the community through a communication strategy and a **Complaints and Feedback Mechanism (CFM)**.
- Sharing relevant information about projects with the community and establishing and promoting diverse and appropriate CFMs complements a community-based approach within any programme.
- CFMs help create quality and responsive programming and help build trust and stronger partnerships with communities. As per IOM's **AAP Framework**, safe and accessible CFMs create channels for communities to willingly report issues that require the Organization to inquire, investigate and/or follow up.
- Enhancing transparency and accountability will increase trust in government and local authorities responsible for implementation and will encourage community support of and participation in implementation.
- Communicating the positive impact of community-based recovery interventions can amplify their impact by promoting a unified vision for a prosperous future.



## PURPOSE

- To multiply the positive impact of the entire CBP process by increasing accountability of all actors involved in project implementation and increasing awareness of the projects, their impact, and the common vision and goals that they are contributing to.



## OUTPUT

- Communication strategy.
- CFM structure and implementation.



## METHODOLOGY

1. Facilitator explains the necessity of establishing communication strategies and a CFM and explains the details of each (see resources at the end of this step for more information on CFMs and measures to ensure accountability to affected populations as per the AAP Framework).
2. Break participants up into groups, separating between men, women, and youth (as these groups are likely to receive information and communicate through different means and thus will have different ideas and preference for communication strategies and mechanisms).



3. Ask the groups to discuss the key questions found [here](#) to better understand how members typically receive information and how they would like to receive information about the community-based projects. This is relevant to both the communication strategy and the CFM.
4. Groups will report back in plenary and a facilitator should make a list of the strategies and mechanisms for communication that participants have identified, as well as a list of avenues for engagement identified by participants. The facilitator should be sure to note which individuals or groups have suggested which communication mechanisms.
5. Based on information received from participants, IOM should collaborate with government stakeholders and local leaders involved in implementation to lay out specific plans for communication and project awareness-raising. The communications strategy should establish how (in what form, who is responsible, and what are the necessary steps to carry it out), where (specific location and which socioeconomic groups are being targeted), and when (timeline, including how often) the awareness-raising activities will take place. They should also put into place any communication mechanism that needs to be created in advance, such as setting up a hotline or texting channels.
6. Next, turn conversation to the CFM within the community. Start a discussion on whether any existing CFMs exist within the community that operate effectively. Are there feedback channels for government services, or NGOs or INGOs operating in the area? Understand what may or may not work in these examples and what may or may not work for the community-based projects. Use the AAP Framework resources listed at the end of this step to help build the CFM.
7. Decide on what is the best form of feedback for the projects. CFMs should be continuous throughout all phases of the CBP cycle. These mechanisms should provide a space for community members to share their opinions, complaints, and suggestions. These mechanisms may include open forums, hotlines, house visits, surveys, group meetings with community members, and texting channels (such as within WhatsApp). Participants and IOM should consider innovative technologies to utilize to established feedback mechanisms. Additional information can be found at the end of this step.

### KEY CONSIDERATIONS



- **Accountability to Affected Populations (AAP).** Establishing a robust feedback mechanism is part of a global effort to increase accountability in all contexts. IOM adheres to the IASC understanding of AAP, which defines it as “an active commitment by humanitarian actors to use power responsibly by taking account of, giving account to and being held to account by the people they seek to assist.” While AAP is naturally streamlined in CBP processes, CBP practitioners must continually adhere to AAP’s core principles of do-no-harm, non-discrimination, zero tolerance for sexual abuse and exploitation, principled action, protection, and data protection. IOM offers additional resources on the AAP Framework found [here](#).
- **Forms of CFMs.** There are many examples of different mechanisms to illicit the feedback of the community. A series of proactive examples include exit interviews, follow-up interviews, perception surveys, organized focus group discussions or surveys on social media or via SMS. Other options include suggestion/complaints box, hotlines, help desks or social media platforms. The mechanism itself must consider how complaints and feedback will be processed by IOM and responded to (“closing the feedback loop”). Other issues that must be incorporated in a robust CFM include confidentiality and how to handle sensitive information. For additional information, see: [IOM AAP Toolkit: Complaints and Feedback Mechanism](#).
- **PSEA and GBV.** Since CFMs may lead to the disclosure of sensitive information, PSEA policies and GBV considerations must be streamlined. Approach any PSEA and GBV focal point within IOM or within the UN community to make sure the CFM is aligned with existing guidelines and that staff are trained on how to properly report such sensitive information.

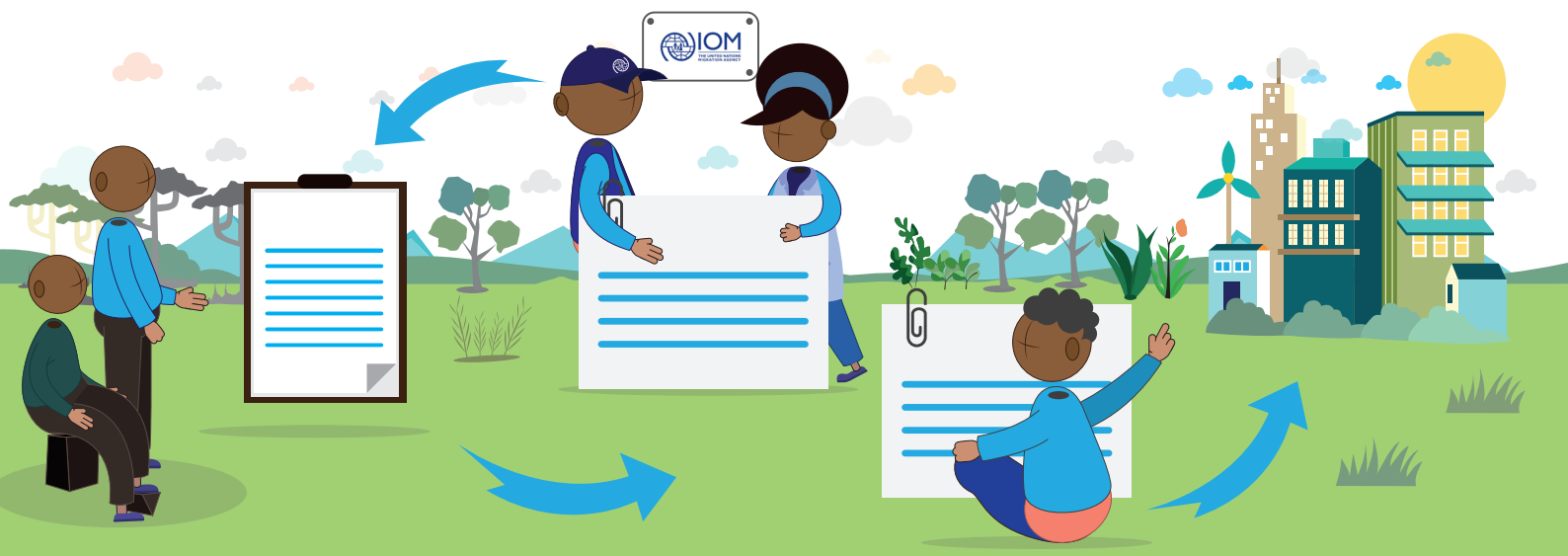


- **Information Sharing and Communication.** Facilitators may use photographs, banners, public service announcements on loudspeakers, and radio advertisements to disseminate information on the projects and on the progress of, and activities related to, their implementation. Discussions must be held with the community to understand which channels work best. For additional information, see: [IOM AAP Toolkit: Information Sharing and Transparency](#).
- **Building on Existing Communication Structures.** Ensure that outreach modalities and channels take into consideration and build on existing communication structures in the community. Determine how groups typically seek out or receive information and use this knowledge to adapt different communication strategies.
- **Utilizing Key Influential Figures.** Work with both men and women who have influence and expansive networks in their communities at the grassroots level who have ideally been engaged as a stakeholder at some point in the CBP process (women’s rights groups, youth groups, religious groups, or other local organizations). Work with these figures to pass on information, as people are more likely to follow the example of leaders and trusted groups embedded in their community.
- **Diversifying Communication Channels.** Preferences for channels and trusted sources will vary between individuals and groups, as will levels of access to mobile phones, smartphones, and the Internet. For example, some socioeconomic groups may not have access to Internet on a regular basis. Consider such factors as age, literacy, and barriers to using channels among specific groups within the community (e.g. persons in minority SOGIESC).
- **Adapting Messaging.** Different socioeconomic groups and individuals may understand information differently, as they will understand information in relation to themselves, so it is important to design, tailor, and disseminate messages accordingly. It is not only the form of communication that should be closely considered depending on the group, but also how to express the content that is being communicated.



#### TEMPLATES FOR IOM FIELD MISSIONS

- For additional information on IOM and AAP, see: [IOM AAP Framework \(CBP 2021\)](#). The Framework has three associated toolkits:
  - [AAP Toolkit: Information Sharing and Transparency](#)
  - [AAP Toolkit: Complaints and Feedback Mechanism](#)
  - [AAP Toolkit: Participation](#)
- Key questions about communication patterns and modalities within the community that can be used during this step can be found here: [Transparency and Accountability Key Questions \(CBP 2021\)](#).



## STEP 7

# Launching the Community Action Plan

The Community Action Plan (CAP) pulls together all the information generated during the CBP process (including in the pre-planning, community-based assessment, and planning and prioritization phase) to fully inform implementation of the community-based projects and to transparently show how and why the project implementation plans came to be.



### RATIONALE

- CAP pulls together all the information generated during the CBP process (including in the pre-planning, community-based assessment, and planning and prioritization phase) to fully inform implementation of the community-based projects and to transparently show how and why the project implementation plans came to be.
- The CAP should be endorsed at various levels and used as a reference for all stakeholders, including government officials, local leaders, service providers, partners, and the wider community. It sets forth the community's vision and goals and articulates how they will be realized so that those undertaking these projects are held accountable to the CAP. Further, it serves as a blueprint for implementation plans so that the entire network involved in CBP is aware of the interventions and how and when they will be carried out.
- The CAP should be a source of empowerment to the community, capturing their hard work, ideas, and aspirations. Presentation of the CAP should be a cause for social cohesion and celebration.



## PURPOSE

- To ensure proper and comprehensive documentation of the CBP process and to lay the foundation for implementation of projects in a technically sound, presentable, and accessible manner.
- To encourage buy-in from stakeholders and ensure that the community's voice is represented in higher forums via consultations and endorsement of the CAP.
- To officially inaugurate the CAP and its projects through a community event that also celebrates the common vision and goals of the community.



## OUTPUT

- Community Action Plan (CAP).



## METHODOLOGY

1. Establish a team responsible for drafting the CAP. This team should include IOM, the CFT, and local leaders that have been integral to the CBP process. The CAP should condense all the information collected throughout the CBP and display it in a digestible way. Information in the CAP should include the community vision statement, prioritized projects, project details, list of technical needs, role of partners, communication mechanisms and strategies, and composition and responsibilities of community action and oversight groups. A series of samples and templates are provided at the end of this step.
2. After completing the CAP, the drafting team should create a list of all the stakeholders and government entities that should be consulted and can potentially endorse the CAP. The consultation and endorsement process should closely consider prior government awareness-raising activities, stakeholder analysis, and subsequent involvement of other partners and stakeholders during assessments and planning processes. Outreach should cover government officials, ministries, and departments at multiple tiers of administrative division, formal and informal local leaders, and core partners.
3. Representatives from the CBP process should approach these stakeholders and authorities and present the CAP in its totality, allowing for a full understanding of the CBP process and its results. Such consultations can also solidify the resources and assets that were mobilized at the local level for project implementation. Inform the audience of the best way to provide their feedback on the CAP, and agree on an ideal timeline for review, feedback, and endorsement. The presentation should culminate in a request for endorsement from the stakeholder or authority.
4. Once feedback and endorsements have been obtained, the CAP should be finalized and should include the names of all endorsers. The drafting team and other participants of the CBP process may need to adapt components of the CAP based on feedback from endorsers, particularly when endorsement is contingent upon modifications of the plan.
5. Once the CAP is finalized and the process of consultation and endorsement is complete, a community-wide event should be planned to present and celebrate the CAP. Community leaders spread the word about the event to community members, ensuring all socioeconomic groups are aware of and included in the event. This provides an opportunity for the whole community to both be made aware of the contents of the CAP and to celebrate the creation of the CAP by the community and its intended impact. This event should also serve to unify the community over a common vision and goals, enhance enthusiasm for the community development projects, and encourage engagement and participation in implementation.



6. Host a celebratory event, during which time the CAP should be formally presented. Most of the event should consist of time for community members to socialize, play games, and engage in festivities that are grounded in the local culture and customs. This can be similar to Step 7 of Component 1 which recommended to embed initial community meetings within a larger event (football matches between various stakeholders; sporting events such as a 5km run or organized bike tours; film festivals; screening of major sports events; traditional cultural expressions such as music, dance, theatre, fashion shows or art exhibitions; events aligned with UN-recognized international days; and locally sourced food exhibitions).

## KEY CONSIDERATIONS



- **Know Your Audience (Hint: It is the community).** The CAP has a dual purpose. On the one hand, it is a product that is submitted to stakeholders and authorities for endorsement. In this sense, it should be tailored for higher-level stakeholders and authorities. But on the other hand (and more importantly), the CAP is the culmination of hard work of volunteers and the community at large and needs to be accessible and celebratory. It is critically important to avoid creating a document that looks like it was produced outside the area of intervention. The most effective CAPs present the information compiled through the various phases of CBP, retaining local government visibility and avoiding the high-quality “glossy” finish like those often produced by external actors. Whenever possible, include pictures and visual demonstrations in the CAP. Garner support from local artists. Find ways to translate elements of the CAP into appealing, interactive representations which can contribute to the local appeal of the end-result of the planning component of the CBP process.
- **CAP Endorsement Process.** Information from the preliminary and community-based assessments may help the drafting team to foresee and circumvent any issues that stakeholders needed for endorsement may have with the CAP. If the consultation and endorsement process become prolonged, the community should still be kept informed and engaged. This period can be used to conduct awareness-raising and establish feedback mechanisms, establish the Action Groups, and oversight committee, and lay the foundations for general implementation.
- **Event Festivities and Activities.** When planning for the celebration, be sure to consider how local customs and methods of celebration can be integrated into the festivities. This will help emphasize the CAP’s embeddedness in the community.
- **Presentation of CAP.** Local leaders that have been integral to the creation of the CAP and are widely respected in the community should formally present the CAP during the festivities, briefly explaining how it was created, the vision, goals, and projects.



## REFERENCE DOCUMENTS FROM IOM FIELD MISSIONS

- A sample CAP template (Excel format) can be found here from the IOM Iraq Mission’s programme from 2019: [Community Plan Template \(CBP 2021\)](#), IOM Iraq.
- Another example of how to organize a word-based CAP can be found here: [CAP Report 2017 \(CBP 2021\)](#), IOM Iraq.
- For a more thorough example of a CAP report, see the frequently referenced [Baidoa CAP \(CBP 2021\)](#), IOM Somalia.



## TEMPLATES FOR IOM FIELD MISSIONS

- While it is highly encouraged for each programme to create their own CAP and to have the CAP reflect the community's hard work, a template is offered here to help summarize all information contained in the CBP process: [CAP template \(CBP 2021\)](#).
- A separate CAP template is offered by the IOM Somalia Mission in Word format: [CAP Template \(CBP 2021\), IOM Somalia](#). Adaptations can be made to this document to fit local purposes.

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