सह-भागिता

by Design
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This PLA Handbook is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of the Centre for Urban and Regional Excellence (CURE) and do not necessarily reflect the views of USAID or the United States Government.
Designing Participation: Director’s Words

Participation involves people in the planning and implementation of solutions that they consider important and prefer to address. Everyone knows what they like or do not like. All have opinions and ideas on what can change. Community participation helps gather the different views, voices and opinions of people; gets all people, especially those most vulnerable, to come together, organize and take collective action to transform their lives. Participatory processes empower communities for action.

Community engagement must be a vital part of all development projects. It delivers better outcomes for all by bringing in more perspectives and new information on the issue - including scientific or technical knowledge that help take good decisions. Community participation helps address most needs, concerns and aspirations of a community and not just of those with the loudest voice. It builds ownership, encourages community contribution and improves effectiveness and sustainability of interventions.

This handbook, an attempt towards sharing ideas and tools on engaging people, is different. It combines participatory planning with the design thinking approach of businesses. Tim Brown of IDEO, calls it a human centred approach to innovation in businesses and product designs, bringing together what is desired by people with what is technologically feasible and economically viable.

“It is an idea, a strategy, a method and a way of seeing the world”. According to him, Design Thinking allows people, who aren’t trained as designers, to use creative tools to address a vast range of challenges.

At the Centre for Urban and Regional Excellence (CURE) we decided to bring together the ideas and strategies of Design Thinking and Participatory Learning and Action (PLA). By applying Design Thinking to PLA, we extended the insights gathered at the community level, making community processes more empathetic, trusting and with mutual learning.
This handbook has been developed to share this approach with community practitioners and communities of practice and for all those who would like to understand communities better to better design solutions.

Many people have been involved in bringing the handbook together. Most of all the communities and the facilitators who have enthusiastically incorporated the design extensions to PLA tools in their workings with the communities. The Hindi translations of technical terms has been a key contribution of their work on the ground. Their names are given on page 294.

I would also like to thank: Vijay Ghai and Prabhsimran Kaur, who helped train our teams in Design Thinking. Vijay also helped us put together a first draft of the Handbook; Rahul Nainwal helped shape the content, especially the tools that are included at the end of each chapter; and Siddharth Pandey and Barsha Poricha who have steered this through the very difficult task of combining. At CURE, I am extremely grateful to; Ritu Kataria who gave it its final shape, getting it print ready; Drishti Rastogi, who has brought it to its logical end; and Pranav Singh, Anand Singh, Prakhar Nigam, Rajat Bhatia, for their valuable contributions, field views and photographs.

I hope you find this Handbook useful. We would love to hear your experiences. We believe this is work in progress and if you have innovated on what’s in the Handbook, we want to hear about it. Write to us at info@cureindia.org.

![Dr. Renu Khosla](image)

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How to Read this Handbook?

Who is this Handbook for?

If you are a...

- Community change maker
- Social Enterprise, Field Partner
- Government or city official, engineer, planner
- Student of Architecture, Engineering, Planning, etc.
- Student of Sociology, Ethnography, Anthropology, who wants to work with communities
- CSR coordinator of a Corporate Institution
- A Field Researcher

This Handbook will help you to:

- Build relationships within communities
- Understand the importance of community engagement
- Relate to real people and their real needs
- Find solutions and the way forward
- Understand why people and processes are important
- Know tools that can provide a qualitative depth to your research

AND FOR THE JUST CURIOUS!
This Handbook combines Design Thinking approaches with Participatory Planning. While Participation is about working with people, especially the poor and informal, to create desired outcomes for a community, Design Thinking helps “connect with people emotionally and empathetically, finding their strengths and looking for opportunities to design effective solutions for change” (IDEO, Human-Centred Design Toolkit). Design Thinking is a human-centered process that explores what could be. Design Thinking has mostly been applied in businesses for finding creative solutions. This Handbook has blended the Design Thinking approach with participatory processes to enhance community outcomes.

The Centre for Urban and Regional Excellence (CURE) is a development organization with a communitarian approach. It “Unthinks” and incubates innovative and localised solutions, in partnership with urban communities. The Handbook is the outcome of CURE’s engagement with people and their real needs.
Participation रह-ग्रामिता

The ECE Approach
A process of engagement, collective action and empowerment

- Participation is the active engagement of people in decision-making, especially where the consequence of the decisions will impact them directly. People own the future (outcome) when they have participated in its creation.
- Real participation empowers communities, giving them access, freedom to use and control common resources. It gives voice to the disadvantaged and the excluded. It gives people the right to engage in these processes.
- Participation is a process of collaboration that brings people together to act and achieve common goals to transform their lives.
Ladder of Community Participation
From Unsustainable to Sustainable in Eight Steps

A Ladder of Community Participation was developed by Sherry Arnstein in 1957. She arranged community participation in eight rungs (from high to low) and discussed the exercise of power when important decisions are made:

1. Rungs 1 and 2 - Manipulation and Therapy: These two rungs are mostly non-participatory. People are made to believe that they are participating but are not expected to speak, just listen.

2. Rungs 3, 4 and 5, Informing, Consultation and Placation: Again in a one-way flow, where information is collected through surveys and public meetings, or people are co-opted to agree to decisions made from the top. People do contribute to preparing a plan, but they do not have the power to take the final decisions, which is held by the program manager.

3. Rungs 6, 7 and 8, Partnership, Delegation and Citizen Control: Here people and city officials discuss, negotiate, take decisions, share responsibilities for implementation and management, and people can hold local government to account.

Sustainable development
People and officials negotiate to take decisions, share responsibilities for implementation and management, and hold officials accountable.

Questionable development
One-way flow of information; first steps to participation. People advise and contribute to a plan, but power to decide lies elsewhere.

Unsustainable development
Non-participative. People are made to believe that participation is happening, or are quietened into silence.

Community participation that stays at the bottom rungs leads to unsustainable development, where people do not take ownership of their problems and/or actively participate in bringing about change in their lives. Real community participation ensures people are empowered to take decisions and own the solutions.

Engaging for Outcomes

“All social change comes from the passion of individuals”
- Margaret Mead

Engagement only becomes meaningful with empathy. It is about relating to people at an emotional level, spending time in getting to know their needs, wants, and aspirations, putting oneself in their shoes, and working with them to design local solutions.

Empathy is extremely important when working with communities to understand how people feel about their situation and problems.

Empathize

- What would people like to change most and/or retain in their basti/settlements?
- What do people feel about the health, education and other social services in their mohalla/neighborhood?
- Do children like going to school?
- What do people feel about their work/workplace?
- What do they like/dislike about it?
- What skill sets can help them to have decent livelihoods?
- Does having patta open opportunities and access to finance?
- How does having a patta (secure land tenure) make people feel safe/unsafe, aspirational, constrained...

Ideate

- What do people feel about their home? What about their home do they like or dislike the most? And why?

Adapted from Nabeel Hamdi
Localism

Building a collective community perspective to find and implement local solutions to transform lives

Localism
स्थानीय परिभाषा

Localising Participation

Shifting from the Global and Big, to the Local and Small - as one size may not fit all

Localism is when the community comes together and decides what could be the solution for their local context and how this solution could be implemented locally. It is about creating fit-for-purpose solutions that “leave no one behind”.

Community focus is when we:
- Walkabout and understand “What is”
- Learn “Why it is so”
- Explore, engage and ask “What could be”
- Seek consensus and agreement on “What should be”
- Jointly explore “What needs to be done”

Implementing solutions is about:
- Specifying “How it will be done”, “Who will do it”, “Where and When it will be done”
- Planning for resources and regulatory support
- Just Doing It
- Reflecting “Did it deliver what it was meant to?”
- “What more” and “What next” needs to be done
“Empowerment is not the things you do to or for people; it is the impediments you take away, leaving space for folks to empower themselves.”

- Tom Pete
Participation

Real and meaningful community participation - going beyond consultation, using the wisdom and lived experiences of poor people in cities in planning for change.

What is Community Participation?

Participation is about engaging communities. It is a process in which we:

- Build relationships with people that are based on five principles: respect, accept, appreciate, promote social justice and equality and include. These principles are at the core of community participation and are non-negotiable.
- It follows a set of steps to understand, recognize, plan, implement and reflect if the action led to desirable and sustainable change.

Source: Adapted from Best practices for community engagement and building successful projects, 2018, California Climate Investments
Why Community Participation?

Community processes take time, because it takes time to understand communities, build trust and share responsibility.

Process of Community Engagement

Community, samkaran, samman karana, badlab laana

Start

Understand

Engage

Recognize

Engages communities

Builds collective relationships and partnerships by bringing together diverse groups

Facilitates co-identification of needs and analysis

Helps people get a voice in local decisions making

Engages communities, builds collective relationships and partnerships, facilitates co-identification of needs and analysis, helps people get a voice in local decisions making.

Uses Participatory Learning and Action (PLA) tools to learn about the community

Builds a nuanced understanding of people, their problems, emotions, resources, assets, and challenges

Deeply involves people in the formulation into the data collection process, generating qualitative information

Shares knowledge, and together with community wisdom, involves people in making decisions and plans to achieve community goals

Empowers groups to set goals and address issues that impact their well-being

Goes beyond just consultation to promote active participation of communities in the issues and interventions that shape their lives

Monitors and evaluates projects and programmes

Community processes take time, because it takes time to understand communities, build trust and share responsibility.
Respect | Accept | Appreciate
Include | Promote equality & justice

Remember
- We don’t know – they know
- Identify and build on community strengths – use local knowledge and capabilities
- Work with people, don’t do things to or for them
- Focus on the many not few – listen to all voices – talk to excluded groups and those who may hesitate to talk – bring in diversity of perspectives
- Go beyond what seems obvious, ask questions,
- Keep it really, really simple
- Do not lecture or argue, but dialogue
- Think creatively – think out of the box

Get to know the community – exploring the settlement

Creating settlement profile
- physical, infrastructural, human,
- economic, political, religious,
- history, needs, etc.

Rapport building, deepening understanding of community. Working towards BUILDING TRUST

Building agency; recognize / map community strengths and resources

Understanding community NEEDs for diverse groups of people

Finding community solutions, what’s needed, what’s possible, what can be done

Planning solutions addressing root cause of problems

Collecting technical data of a specific project and sharing with the community

Finding community volunteers who shall take responsibility during implementation

Working on ground
Troubleshooting – unanticipated challenges
Modifying plan in consultation with community and external stakeholders

Together with the community, assessing the impact and outcome, was the benefit delivered, is it sustainable?

Getting to know the community – exploring the settlement

Creating settlement profile (physical, infrastructural, human, economic, political, religious, history, needs, etc.)

Getting to know the community –

Planning for O&M
Benefits tracking over time
Hand-off to the community

Collecting technical data of a specific project and sharing with the community

Finding community volunteers who shall take responsibility during implementation

Together with the community, assessing the impact and outcome, was the benefit delivered, is it sustainable?

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Creating settlement profile (physical, infrastructural, human, economic, political, religious, history, needs, etc.)
The process of community engagement is a cyclic process that involves a lot of back and forth at each step. Understanding, rapport building, identifying the strength of CLrh and adding new information about CLrh is a continuous and iterative process and continues till the end of the project. The continuous learning helps in revising and reevaluating the project plan, risks and assumptions. It can also be seen to feed into all the other processes.

Work with decision-makers to open up opportunities for people to participate and engage with city officials.

Remember people own the future they helped create!
“With mobilisation, the poor are able to build new relationships with their local and national governments, demonstrating at scale an alternative set of development interventions.”

- Sheela Patel
Understanding communities is a complex and ongoing process that evolves, adapts, and must continue to grow. It helps us know a community’s needs, aspirations, resources, strengths, opportunities, relationships, tensions, fears, passions, etc. The better we know a community, the more sustainable can be the solutions.
“I see what I see very clearly, but what I am looking at?” - Nabeel Hamdi

**Observe अवलोकन**

**What information are we seeking?**

- What will you look out for?
- How will we get the answers?
- What can you observe?
- How will you validate your understanding?
- What can you infer?

**Ask Before You Start: What Are We Trying To Do?**

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<td>• What can you infer?</td>
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**What Information is to be Observed?**

- Physical
- Social, Cultural and Human
- Strengths, Opportunities and Aspirations
- History

- Economy
- Ecology
- Stakeholders
- Institutions

- Do you need to review what you saw, heard, recorded?
- How will we share what we learn?
- When will you review your record?
Observe: Physical

As we enter the community, observe its physical and spatial aspects:

• Where is it located, what is its topography – flat, sloping, uneven; what are the entry points to the community?
• What is its size and spread, how many people live here - is it very dense?
• Where is the hospital, dispensary, metro station, bus stops, ration shop, school, police station, municipal offices, post office, bank; how accessible are these, is going to these places stressful?
• Are there any places of worship or historical monuments, parks where children can play safely in the settlement or nearby?
• Which are the main streets in the settlement, how many small streets are there, which ones are very busy and have shops, is there street lighting? What is the street used for – businesses, playing, working, meetings, cooking; are there any plants in the street?
• What shops and services are there in the community – tailoring, bike repair, electrician, plumber, carpenter, mason, mobile repair, chemists, grocery stores, milk dairies? Where does the weekly market come up?
• What kind of housing do people live in? Are the houses owner or renter, etc. Do these houses have taps and toilets. Does that make them happy, how do these improve their lives?
• Where are the community toilets, common water taps, pumps and storage tanks? Is there sewerage in the area? Where is the garbage dump and where else is waste dumped? Which parts of the community smell and are dirty full of flies and mosquitoes (कररालां पर उग्रे) that can cause diseases? What are the major illnesses in the settlement?

Mark this information on the community map and highlight the places the community thinks are important such as a temple, park, etc., or which cause stress such as the dark street, open areas where men play cards or drink alcohol.
Observe: Social, Cultural and Human Aspects

Observe the community’s socio-political and cultural affiliations, and sensitivities around these.

• What type of communities and groups live in the settlement? What is the dominant religion? Is the community clustered by religion, caste, state, trade, etc.? What language do people speak? What do they eat? What festivals do they celebrate? What are their social habits? What music and other arts do they practice?

• Is the community mostly made up of young people or does it have lots of elderly people? Are there more male migrant workers or married people with families? Do women go out and work? What is the level of education among men, women and youth? Are there many people with disabilities and special needs?

• Is there a strong political affiliation, do people seemingly have biases? Are there any prominent community leaders – elected or informal, or influencers such as respected elders, local medical practitioner, temple priest or mosque head? Are they self-appointed, elected, or selected by the community? Are they powerful, respected and feared?

Observe: Strengths, Opportunities & Threats

Communities have strengths. They also have resources that are useful. When we find out about the needs of people, we should also discuss the opportunities and possible threats.

• What physical resources are there in the community? Water bodies, markets, raw material, monuments, transport, artisan groups, strong internet, IT capabilities;

• What are the community’s strengths? Cohesive groups, strong leaders, willingness to collaborate, strong linkages with elected representatives;

• Are there any opportunities in the community for work, businesses, are they close to industrial areas or wholesale markets, are they close to sewer networks or trunk water pipeline or mains?

• Are there any threats to the community? Relocation, court cases for eviction, powerful factions, is the community vulnerable to powerful influences; lack of safety, presence of criminals, drug peddlers in the community, flooding issues?
Understand the hopes and aspiration of the community.

Find out what most people of the community want and how our work links to their aspirations. One can ask questions like: what I like in the community? What I wish for in the community? Different people generally have different aspirations. Different demographics like women, young people, and old because these groups tend to have different aspirations.

It is useful to know the history of the settlement. Talk to people to find out the history. Remember different people will have different versions of the community history, so talk to as many groups as possible – the elderly, women, young people, children, caste and religious groups, etc.

- How old is the settlement? How did it start and grow? When did it get its current name? Was the name ever changed, if yes, what was it called earlier and why was the name changed?
- Who were the original settlers, how has the culture of the community changed as new people have come to live here, do they celebrate more festivals, what do they do together, are there any conflicts?
- Are people happy or unhappy with the way their community has grown? What upsets them and what fills them with pride? What are their fears and hopes? What will make them happy in the future?
Find out what work people do in the community, is this formal or informal, do people have skills; what work do women do; are children working as well; do women and children work in family occupations, do people work in home-based work or go out to work; how many members in a family work usually?

- What are their incomes? Are all families earning about the same or some earn much more and others very little?
- Do the better off live in different parts of the settlement; are earnings mostly regular or people work on daily wage or piece rate?
- What basic services would help people do their work better, would having a toilet or water tap at home make a difference to how much they will earn, would it make them healthier and more productive?
- Are people happy with what they earn, if not, why are they unhappy with their earnings? How much more income will make them happy? What support would people need to help them earn more?
- Do people have a bank account, do women have bank accounts? From whom can they borrow money when they need, how much interest do they pay, how quickly can they get this money; what are their difficulties in banking or borrowing from the bank; how do they save up for upgrading their machines or equipment?
- Who takes all decisions about spending in the family, especially about building a house or buying assets, spending on marriages? If men or the elders take all decisions, does that make the others happy or unhappy?
Observe: Ecological Aspects

To understand the ecology of the area, prepare a map of the various ecological features:

Are there any natural water bodies, storm water drains in the settlement; is the settlement along dangerous hilly slopes or inside flood plains; does it have enough groundwater or has the groundwater table dropped, does it get enough rain, is its soil clayey or can it absorb water quickly?

How do such natural features affect their lives, what happens when the streets flood, or the water body dries up, or the stormwater drain gets choked; how do people respond, how do people go to work or children to school when such events happen, how do people cope?

Insights & Learnings

Water storage occupies a significant amount of space in the household

Sacred and religious expressions define and shape views while offering clarity regarding life and the role of the family in relation to the divinity

Garbage in open areas around a settlement – is it on account of lack of infrastructure or ownership on part of the community?

Construction and design were carried out by the family
Stakeholders are people, places or things that may get impacted by a problem or its solution or may contribute to a problem or its solution.

People influencers are members of the community or related to the community such as a councillor or doctor or anganwadi worker etc., who may or may not support the plan of a development sector organisation.

Places are physical structures, say a railway line, tree, well, road, house, etc., in the community that can assist or obstruct the implementation of a project.

Things are the tools or objects or equipment in the community, such as motor pump, an old pipe or animals, that may contribute to or prevent the implementation.

Find out the institutions, organizations, groups and important individuals in the community and how important they are according to the residents.

Finding out who and what are the stakeholders help to identify what can impact the outcome, and if this influence would be positive and helpful or negative and unhelpful.

Decide on how the organization can work with the stakeholders and/or manage the influence of things and places.
Getting to know the connection of the community with the city and other service providers is very important.

- Which offices do people normally deal with? Are these related to water, municipality, slum, ration, health etc? Do people know where the main city offices are and how to reach "them", whom to talk to for registering complaints, the complaint procedures; do women know where these offices are, how comfortable are they in going to meet the officials?
- Do people have information about various schemes of different departments and how these can be accessed, how many people in the settlement know about these schemes, how many have got the benefits?
- Who are the important/influential people in the community - Local Councilor, MLA or the MP, the doctor, representative of women or children's commissions; how helpful are they when there is a problem?
- Are there any other NGOs working in the community, what services do they provide, have they formed any groups in the settlement, how strong are these groups, what have been their efforts towards improving their communities, meeting officials, etc., what was their experience?
- Is there a Resident Welfare Association, who is the President and who are the other members of the RWA, what does the RWA do, has it managed to improve the conditions of the settlement?
Observing Communities and People

In the photo the mother is getting her daughter ready for school.

Now observe:

What is the mother doing?
She is combing the girl’s hair in front of her house. There are several utensils lying on the floor which means that she washes them outside the house. Her neighbor is washing clothes. Both houses have a ladder, which is probably a way to access the roof, which means there is a room or space on the first floor that the family uses.

What does the mother’s expressions say?
She is intently combing her daughter’s hair without any hurry and doing it outside. This possibly means that it is dark inside the house or someone is sleeping. The daughter is also relaxed. Her school uniform is clean. Maybe she studies in a private school. Both mother and daughter seem to be fine.

What is the overall impression?
Both mother and daughter seem to think going to school and learning is important.

How will we get the answers?
Not everything is expressed in words during conversations. Not everyone is able to talk or has the confidence to share their feelings. To understand communities better, we must observe, look for non-verbal expressions, body language, the environment and physical space they live in, etc.
We Can Identify Problems and Opportunities As We:

Walk-through, walk-about
- Alone/ with a colleague
- With/ without somebody from the community

Sense and observe
- Make direct observations
- Feelings and emotions

Experience first-hand
- By being there! Doing that!
- Becoming a part of the activities — taking the plunge

Record what you observe
- In the head first
- Make notes after you get back
- Take photos
- Capture video clips that you can go back and see
- Make audio recordings (voice memos) so you can recall once you are back in office
Listening and Learning with Empathy

When trying to understand a community, it is important to look beyond what can be observed. There is a need to go into the depth. This can only happen by listening and observing with empathy, understanding people's feelings, putting ourselves in their place to see how we would behave in those situations.

Active Listening: Empathetic Conversation

Active listening is about paying attention to what the other person is saying, and responding to show that they have been heard.

What does it achieve?
- It opens people up rather than shutting them down
- It encourages people to
  - Start talking
  - Keep talking
  - Fully express their ideas and concerns
- It enables one to interpret as accurately as possible the meaning that another person is trying to convey
- It conveys the listener's understanding and acknowledgment to the speaker
Receive: what the person says, does and communicates non-verbally; be sensitive to body language, pauses and signs of discomfort. Pay attention to the other senses – what can be seen, heard (from others and the sounds around), smelled, felt and sensed?

Appreciate: or recognize people for what they have managed to do in these difficult conditions, survive in these small spaces, manage to send their children to school etc. and genuinely try to understand their point of view; don’t jump to conclusions, judgments, interpretations or solutions. Find the good in what you see and hear, appreciate and complement.

Summarise: what the person is communicating; let them know you’ve got the message, validate and verify your understanding by repeating what was heard, seen and sensed.

Ask: open-ended questions to encourage the person to talk more freely, openly and widely. Ask for more details, show genuine interest, be patient. Carry on the conversation in an explorative manner. Validate information to reaffirm your interpretation. Reaffirm by re-assembling and getting consensus/agreement on issues.
### Listen: Empathetic Listening

**Listen, don’t talk**
- All experiences are individual; and this is NOT about you

**Don’t finish the other person’s sentences...**
- Never interrupt
- Do not refocus discussion to what you know but hear what is important to the community

**Your body language says a lot**
- Look the other person in the eye but don’t stare
- Nod if you understand and/or agree

**Notice the little things**
- Listen for details; these form the basis of extending the conversation
- Listen and observe using all five senses. People may have needs that they don’t want to talk about openly and in front of others. Look for signs and talk to them separately
- Try and understand people’s motivations

**Moods can vary**
- People feel happy or sad about their lives and the way they live – this mood can change at different times of the day
- Resist giving advice unless the other person explicitly asks for it
- Ask, ‘what happened next’, ‘tell me more’, ‘what happened’... to keep the conversation flowing. Do not introduce biases such as ‘they are a dirty people, or eat meat etc.’

**Be a friend, not a judge**
- An Empathy Map is a useful tool to capture people’s feelings, fills gaps in understanding of the community, and sometimes, brings out deeper issues that may not be open about. It helps us to know the community better.

The Empathy Map is like a grid, with six boxes: **Say, Think, Do, Feel, Pain and Gain**. Different boxes help to understand different emotions of people. For example:

- **The Say Box** is about observing whether people like the idea and what do they like or dislike about the idea.
- **The Think Box**, helps understand what people really think about the idea — do they think it is doable, important for them, how would they find the money to contribute towards it, how complicated would it be to implement.
- **The Do Box** helps us know what actions the community is prepared to take to implement the idea.
- **The Feel Box** helps to know what people feel about what is happening, what troubles do they expect on the way, what worries them, what about the idea they find exciting.
- **The Pain Box** is about the obstacles people imagine are likely or their fears.
- **The Gains Box** is about what the community wants and hopes to benefit from the intervention.
Don't ignore the marginalized and the little voices.

Do not lecture or talk down to people, remember they know a lot, they are WISE.
Reflect

Make notes of people’s experiences, feelings, emotions, ideas, needs…

Reflect on the information and record observations, feelings, thoughts, ideas, experiences…

Take photographs, make short videos, record conversations on phone but make sure to take permission before you do so…

Prepare a Community Profile and share it with the people, see if they agree or disagree with your observations, ideas, thoughts…
There are various tools that can be used to observe, listen, deepen the understanding of a settlement by reflecting and recording the observations.

We recommend using the following tools to understand and record the observations:

1. Transect Walk: Go, See
2. Documenting the Site
   - Part Plans and Photo Documentation
   - Sewer Map
3. Journey Maps
4. Still Photo Survey
5. Mapping the Community
   - Maps You Can Make and Insights from Maps
   - Mapping Emotions
   - Transferring Map on Paper
     - Hand drawn
     - Digitized
     - Key Map
     - Types of Maps
   - Mapping the Ecosystem
   - Mapping the Context
6. Story Mapping
7. 24 Seed/ Day Routine
8. 12 Seeds/ Seasonality
9. 10 Seeds/ Percentage
Transect Walk: Go, See

- Walk into the village by yourself or with local people. Stroll through all the streets. Explore the area, observe, listen, smell and get a feel of the place. Ask questions. Make a mental note of all the information.
- Prepare a map of the village based on what you saw. You can also draw a transect line and make notes. Share the Transect Map/Line with the people. See if they agree with your observations. If not, add the information they give to your map.
- Observe places where people seem to be happy such as locations where children may be playing, women may be chatting, a park, etc. as well as places that are dirty and which annoy people living there.
- You may not be able to get all the information in one trip. Keep adding to the map. Remember this is a good way to get to know people.
Documenting the Site: Part Plans and Photo Documentation

1. Part plans of the settlement can be made to focus on a particular issue.
2. Photo documentation helps in a before-after study as well.

Illustration: urban gardening in Agra over two years
Documenting the Site:
Sewer Map

Drains Mapping - Improving Access to Taps and Toilets
JJ Colony, Sector-8, Noida

[Diagram showing drainage mapping with before and after images]
Journey Maps

- A journey map is a very simple diagram that shows the steps users go through doing something in their day to day life in the community. For instance, fetching water, using the community toilet, sending children to school going to work to name a few. Journey maps help us understand the lives of the users. When we make them we learn what interactions bring delight and disappointment in the lives of the community members in the community.

- Go the community, try and make multiple journey maps with different groups of people for instance, home makers, office goers, small business owners, young people, children and parents. Ask community members why they are undertaking this journey. The responses would vary from they can get to work quickly or make sure that the children are neat and clean when they reach school. When making the map the focus should be on what the community members are doing, thinking and feeling during the journey.

- You can either make journey maps based on your observations and interviews with the user, or it could be something that you ask the user to draw out and explain.

- Journey maps help identify opportunities to work in the community. Every journey map should answer why are we drafting this journey map, who is going to use it and how will it help in our work.

- The journey map of getting water for home can be drafted in this manner

  Step 1: Take a bucket and go to community tap with neighbor. Feeling happy as we are chatting
  Step 2: Queue up at the water tap. Feeling happy as we are chatting with other friends
  Step 3: Fill bucket and walk back home. Feeling sad as it is a long way and we get tired since it takes a long time
Still Photo Survey

Present the photos as an exhibition to start a conversation

- Still photo surveys are useful to understand the life and behavior of people within the community. They can give us ideas about people’s perceptions about a particular product, place or activity in the community.
- Take photos of people doing their daily work, cleaning, going to school, office, selling things in the market. You also take pictures of objects such as water taps, dustbins etc.
- Plan the timing of the photos as certain activities happen at certain times within the community. You may want to go at different times to document different things. For instance morning, daytime or evening.
- Remember to take permission while clicking photos and tell people whose picture you are taking and explain how these will be used. While documenting, don’t forget to explain what is happening in the picture so that it is useful for team members.
Mapping the Community

समुदाय का मानवित्रण

- Maps will help us to understand the community layout, clustering, the location and availability of resources.
- Prepare a map of the area with the help of people on the ground so that many of them can be involved. Mark all the streets, resources, natural features, water points, toilets, places which people consider important or unsafe or dirty or pleasing.
- Use locally sourced material to prepare the map – leaves, pebbles, seeds, cups, glasses etc., whatever the community may like to add. This makes the process visual, interesting and engaging.
- Ask questions to build the map. Add as much detail as you can such as how is the community clustered, how people use open spaces inside the settlement, do all of them have access to these spaces, who does not, how can these places be improved, etc.
- Listen to everyone as they point out various places – children, boys, girls, women, elderly, people with disabilities, from different religions, caste or occupations. Encourage the quiet ones to talk by asking direct questions. This can bring in diverse perspectives.
- Try and get people who may be living far away to join in. If not, take the map to them after it has been copied on paper for their additions.
- It can also help us find out how people connect to each other, have previously collaborated to address some problem or organize events.
- It is possible to map the history of the settlement through community mapping by building up the map from what was and what exists now.
- Maps must be understood and owned by the community. They can share these with local government functionaries to identify areas that have no services and/or have some problems. When communities have this information, they are able to negotiate better with local officials.
Mapping the Community: 
Maps You Can Make and Insights from Maps

Mapping the community – layering social, cultural, emotional profile of community over physical and services layouts.

Identify problems, their location and extent, surrounding constraints and barriers, enablers and facilities, people and resources distribution, to help effectively work towards finding solutions.

All these maps are made to identify the correct location of a problem as well as to effectively work towards removing it.

- PLA activities were used to identify the first priority issue for the community. This need was again mapped and shared with the community.
- These maps are used for needs assessment and consensus building (explained in the Recognize and Plan chapter).
- The same map can become a tool of negotiation with the government to put in the required infrastructure.
Mapping the Community:  
Mapping Emotions 

Women from Kali Bari in Delhi map their emotions on their settlement map after four years of working for the development of the settlement. "Char saalo main ye basti Open Defecation Free ho gayi;" "Jo areas OD spots the ab wahan bachhe khelte hain." "Emotion badal gaya us jagah ka." These were the some positives that they voiced.
The community or you can transfer the map on paper. Leave it with the community, so they can use it while talking to officials.

Maps can also be digitized for easy reproduction and documentation.
Zoom in to see the local landmarks beforehand. These can also be conversation starters during the transect walk.

**Mapping the Community:**

**Key Map**

Sanjay Colony, Delhi

From 500 ft

From 150 ft
Mapping the Community:
Mapping the Ecosystem

05 H

Mapping the Community:
Mapping the Context
Benefits: Open defecation hotspots and garbage hotspots, which lie along the drains were identified.
To find out what tasks people undertake at different times of the day.

- 24 seeds can be done either in a group or individually.
- Through 24 seeds we can get to know members of the community better.
- To know the problems faced by the members of the community.
- Find solutions to these problems.
- Resolve problems of the member of the community and to create action plans for the same.
- To understand the idiosyncrasies of different members of the community.
- Understand the daily routines of the people and how they feel about those activities.
- Smile chart can be done with a group as well as with an individual.
- Smile chart can be used to find out what issues are bothering members of the community the most as well as what makes the people happy.
12 Seeds/ Seasonality

The tool can be used to understand problems based on the seasons that cause them and how long they last (how many months):

- 12 big and visible seeds (12 seeds per problem being discussed), a chart paper, marker/ sketch pen etc.
- The 12 seeds represent the 12 months of the year.
- Divide the chart paper into as many parts as the seasons being considered, e.g. 3 for the 3 seasons – summer, winter and monsoon (or whatever is appropriate).
- List the problems one below the other and use the seeds to indicate when during the year and for how long these are experienced.
- Seeds get clustered to visually focus attention to where effort is needed to reduce the duration for which a problem is experienced.
• Ask community members to get local materials to represent the main issues/problems that were identified in earlier meetings.
• Each item represents one problem/issue.
• These items can be placed in a hierarchical order according to priority.
• Each seed represents 10 percent. The 10 seeds are distributed on all the issues depending on how much it impacts the people in the community.
• Group discusses the issues and decides collectively how much it affects them.
“Residents are agents of urbanization, not simply consumers of spaces developed and regulated by others.”
- Teresa PR Caldeira
The previous chapter elaborated upon why it was essential to understand communities and the ways by which it can be done. It provided an understanding about how the community helps to build empathy with the people and know their challenges and aspirations.

This chapter will further enable an understanding of how one should engage with the community and various stakeholders, share information and build relationships. It will look at the process of community engagement and tools that can help to do that.
Any process aimed at transforming lives of people requires TRUST and the need to learn from each other.

Engaging with the Community

Building Trust

- Any process aimed at transforming lives of people requires TRUST. This will ensure that the interventions are sustainable.
- Creating trusting relationships starts with listening – doing it with intent and trying to understand people's lived experiences.
- Honesty is a key component of building trusting relationships.
- Overpromising or miscommunicating can quickly erode trust. Honesty in conversations can even mean admitting that there are no answers to some difficult questions. People work together more effectively to implement shared goals when there is trust.

Mutual Learning

- Community engagement requires the need to learn from each other, understanding the barriers and limitations that others may face, recognizing and respecting that different people may think differently.
- There is a need to rely on each other’s expertise – technical and social, to develop solutions that produce equality.
- Transforming lives is a collective effort that involves government, community mobilizers and interested community members. This partnership can ensure change is sustainable and just.

Five steps

1. Dressing the part so that one looks as if s/he is a part of the community rather than an outsider.
2. Introducing oneself in a manner that inspires trust.
3. Establishing enduring relationships.
4. Building trust by making promises that can be fulfilled.
5. Learning about the problems and intricacies of the lives of people from the community itself.

Adapted from Best practices for community engagement and building successful projects, 2018, California Climate Investments.
Why dress the part?

The community must feel that you are like them and they can talk to you freely, share their feelings and desires. Dressing very differently creates social distance.

Be a fellow human being – do not represent your organization

Simply put, introduce yourself. Do not hide behind the name of an organization. Just by giving a name the ice will be broken and it will make the others feel comfortable. It is enough to do that. This may start a relationship where people may begin to talk.
Organizing events

- The purpose of the event is to introduce yourself to the community, so plan the event accordingly.
- Make the events fun, participative, inclusive, contributory and open to all.

Having street meetings

- Street meetings can be casual yet serious, and short.
- Tell people you may need a little time from them. Start and finish as announced.
- Such meetings can help to understand which problems are most urgent; make people angry, unhappy, sad, etc., and what makes people happy, comfortable or safe.

Meeting influencers

- Meet the community influencers such as leaders, active people, especially women, youth; community groups etc.
- Recognize the nature of their influence – positive or negative, strong or weak.
- Be open to meeting people who may have been missed. It is important to go back and meet them.
- Look out for non-leaders who may be interested to work together for the transformation of the community.

Recognizing strengths

- Find out what are the community’s strengths, so these can be leveraged/built on. This was also discussed in the chapter on Understanding.

While planning activities, events, campaigns and celebrations, the following points should be kept in mind:

- Theme
- Location
- Participation
Building Trust: Celebrations

Building Trust: Fun Activities with Women
Using art and creativity to generate ideas about the community and understanding their interests. Creativity camps are useful to involve the people of the community in expressing their views and generating ideas in a participative approach.

A variety of activities can be used. For instance:

- **Photography:**
  Disposable cameras can be given to people of all ages to capture their likes and dislikes in an area. The results can be exhibited to generate further discussion.

- **Mobile interviews:**
  Short interviews with people in different locations and at different times can be discussed during meetings and workshops.

- **Songs, poems, drawings:**
  Invite people to submit a song, poem or an art piece for a prize, which describes their area and the changes they would like to see in their community.
Building Trust: Street Plays

Building Trust: Bi-Scopes Viewing
Are we transparent, open and accountable?

- Honesty pays
- Make sure that everything is done in an open and visible manner
- Address all questions by the community
- Be consistent

Are we inclusive?

- Do not leave anyone out
- Ensure the marginalised and missed groups are included
- Hear all voices

Are we empathetic?

- Listen actively, show your concern towards their problems, let people know that you are there to support them

Building Trust: Ask Why Should the Community Trust Us?

Check

- Are we trusted?
  Yes/ No, maybe!
- Why/ Why not?
  Soul-search
- Do we trust them?
- Why/ why not?

Remember trust is a two-way street
Mutual learning is when both sides learn from each other, respect each other’s knowledge and collaborate in designing the solutions. For that it is essential to be:

**Transparent**
- **Share** all information, including thoughts, feelings and ideas with people

**Compassionate**
- **Compassion helps** to understand the pain that people go through. If you connect and respond to their pain, people open up and share their experiences

**Curious**
- **Ask questions** to which you don’t have answers
- **Do not assume** you know everything. Sometimes we believe we understand the community and have the right ideas to solve their problems, but that may not be the case
- **People may disagree** – they don’t see what you see or you don’t know what they know
- **Do not feel threatened** by new information or ideas. Sometimes we stop questioning because of our strong beliefs. Engage with people and allow them to question your ideas

**Flexible**
- **Listen** to people’s ideas and thoughts and be ready to change plans accordingly
- **Maximize people’s abilities** to contribute to the discussion and taking informed decisions. If people have different ideas and opinions, effort would have to be made to come to an agreement on the final solution
- **If choices have to be made** the reasoning has to be clear, mutually agreed and clear after discussion
- **Do not simply tell others** what was said, what was done, or what was decided. Explain why the decision was taken. Helping others understand the logic will ensure people will not misunderstand the intent

Small solutions make for quick wins and build a community’s trust. This can include sharing information, helping people access social services, spot fixing, settlement cleaning drives, etc.

Activities like spot cleaning and drain cleaning take less time, while the visual and health impact is higher.
We recommend using the following tools to for dialogue, voice and expression, voting:

1. Focus Group Discussions – Street Corner Meetings
2. Exhibitions
3. Story Telling
4. Dekhen aur Samjhen
5. Community Map as Tool for Negotiation
Focus Group Discussions - Street Corner Meetings

- Focus group discussions or Street Corner Meetings can help get deeper insights into a problem.
- Gather small groups of people for a discussion on the prioritized problems. Ask their views on each problem — how are they affected, what causes the problem, what are their feelings, what — from their perspective — is a good solution, do they think solutions suggested by others will work in their area, how can they contribute in implementing the solution, etc.
- Focus groups can be spontaneous and do not need a lot of planning. Use the six whys to get to the root of the problem.
- Small groups living in the same area can be gathered. One can also talk only to women, elderly, people with disabilities, poorest or excluded groups, or those who may not have time to join the larger group meetings, or those who are shy or hesitate to talk in front of others, etc. to get different perspectives.
- Organize many such focus groups in the community to ensure most people get a chance to participate.
- Make a note of the suggestions from each group. These issues should be shared in the community meeting when final decisions are being taken.

Things to remember

Focus group discussions
- Require focus! Just one topic, please!
- The right (interested) people
- The right mood
- Right time, adequate time
- Everybody must get equal opportunity – “pass the ball”

Street meetings
- Expect stragglers and the curious, the casual and the trouble-makers
- Expect unexpected questions; deflect but do not ignore
- Take note of objections
- Identify the supporters and the nay-sayers
• Exhibitions or display booths are great to build rapport with the community. Exhibitions can be planned around local issues, needs, community data or solutions and options. These being open and informal, people can walk in anytime, stopping by on their way to work or home. Exhibitions bring together people of different ages and backgrounds to see and comment.
• Find an open space where people usually gather such as a park, open plot, temple area, community toilet or hall, school, anganwadi, health clinic etc. Streets can also be used as exhibition spaces.
• Prepare posters, models, wall paintings, etc. and display these so people can stop by, see and comment. Use lots of pictures in the display. Write as little as possible since people may not have the time to stand and read. People usually find pictures of their community or people they know very interesting.
• Involve people in planning and putting up the display. Encourage people to provide chairs, tables, cots, mats etc. for the exhibition.
• Invite people to the exhibition or booth. Let people in different parts of the community know about the exhibition. Be around to answer their questions. Observe and note what they say. Note people’s emotions – are they happy or look upset because their issues are not displayed. Keep small pieces of paper and marker pens handy in case people want to write something. Pin up their chits on a chart and leave these up for others to see. Keep smiley stickers that people can pin on to what they like.
• You can move the display or the booth to other parts of the community or to other similar communities, so more people can see them and give their suggestions.
Every गांव has several stories to tell - about itself and its people. These might be about the night of the storm, the day they got a rainwater harvesting tank, the construction of the new playground in the neighbourhood, the experience of managing the community kitchen during the pandemic, etc. Talk to people and listen to their stories with interest. Ask questions about the story to display your interest. Listening to people’s stories builds rapport — गांवों की गिनती।

Stories give us an insight into the lives of the people who reside in the गांव — who are they, where have they come from, what brought them to the city, how has life been different here as compared to home, are they happy here, what are their hopes, how do they socialize with others in the community, what festivals do they celebrate together, who are the powerful people in the basti, who are the poorest, etc.

Stories make us more sensitive to the lives of people and appreciate their history and struggles. It also helps us to know what can bring the community together or what will be the challenges in working here.

Storytelling can help create a sense of community and purpose. Inspirational stories of leaders and successful people can encourage others to work together for transformation. These stories, when shared with other communities, can inspire similar action.

Communities can be helped to write their stories. These should include how people felt during any particular event.

**Story Telling**
This is a visual tool that is used to generate ideas from the community members on ways to improve their community. This visual tool is useful to get suggestions from a wide range of people. Ideas and ways in which the community sees their own neighbourhood improve over a period of time. The tool allows anonymity and participants of all ages and abilities can contribute to the process.

Construct a model or large map of the community which is put on display at a public location. Ask community members to write their ideas, needs, suggestions on cards and place them on appropriate places on the model/map. Once the feedback/ideas are received, the cards are counted, transcribed and shared back with the community.

Wherever possible, the model/map should be made by local people to build a sense of ownership and to ensure engagement from the outset. It is important to promote this in the community. Staff members from the organisation should be available to answer any queries that the community might have.

This activity is best done at the start of the planning process when you want to get ideas and also build a sense of ownership among the community.
PLA activities were used to identify the first priority issue for the community. This need was again mapped and shared with the community.

These maps are used for needs assessment and consensus building (explained in the Recognize and Plan chapter).

The same map became a tool of negotiation with the government to put in the required infrastructure.
“When community networks own and manage local funds, they develop the financial capability to take on projects, obtain bank loans and leverage subsidies.”

- Sheela Patel
Recognizing the needs, key issues, strengths, weaknesses, opportunities and threats in the community is the next important step in community engagement. It is also important to recognize the key influencers – people – in the community and their impact on implementation, and the vulnerable and marginal groups who are often missed while planning.
• Thinking and feeling cannot be separated
• People have problems. The reasons for any problems are often beyond what is seen or visible. Without empathy, the way the community is affected by the issue cannot be appreciated. When looking at problems from the perspective of the community and appreciating how this affects their lives, it is possible to understand the problem better and connect with the people.
• By focusing on the people in the community, we learn more about their lives and find ways to help them solve it
• Be curious about challenges people face, listen carefully and be optimistic of finding a solution together
• Remember, perceptions and perspectives can differ
• Identify problems within the community. Find the one that bothers most people a lot. Find out how they are affected by it – do they get upset, angry, irritable or accept it?

• Initially start with problems prioritized by the community to ensure greater engagement and ownership. Friendly Chart, Urgent Importance Matrix, Friendly Chart, Urgent Importance Matrix, are tools to help people prioritize the issues.

• Get to the root causes of the problem – the कारण, Deeper understanding of the problem helps find the best possible solution. Root Cause Analysis and Problem Tree are some useful tools.

• Talking to diverse groups in the community helps build a wider perspective on the issue.

• Identify and appreciate community strengths such as skills, influencers, networks, resources – land, finance, space, ecological features, etc.; interests, hopes and desires. Do not focus only on problems and deficiencies.

• Organized communities, who have worked together, are an important strength. Identify what people have done by themselves, how they have done it, what they have learned in the process, who were involved in doing it, what resources in the community and outside were available/used; what were people’s feelings and emotions after the task was completed.

• Appreciating a community’s strengths and not looking for weaknesses requires a need to set aside our biases, be open and change the way we think.
Recognize: Recognizing Influences

- People, places and things influence problems and impact choices. Influences must be identified early, so that solutions chosen are appropriate. These influences can be negative or positive – both must be identified.
- Influencers are prominent people in the community and outsiders connected with the community. They are trusted by the community. People value their opinions. They can bring people together and bring about consensus when people do not agree with each other. They can mobilize people to take action.
- Positive influencers recognize the need for change in a community. They create willingness and motivation for change by building the required understanding, acceptance and commitment to change.
- There can be many influencers in a community such as shopkeepers, priests, barbers, NGO workers, the rich, political workers, etc. These people often know more about what’s happening in a community than anyone else. Others such as healthcare workers, doctors, teachers, local officials, come into the community to work. They too are likely to have influence among people. People also get influenced by those they work with, like their office colleagues.
- Negative influencers can de-motivate people and interfere in the project. They may also have personal interests or look for special benefits for themselves.
- It is important to involve the influencers from the very start. However, it is also important to ensure that the negative influencers are managed.

Recognize: Recognizing the Vulnerable Groups and People

- The needs and interests of the vulnerable groups would be different from those of the privileged ones in the community. These may vary by where they live, what is their capability, what is their access to resources, benefits, information, etc. Since the change to be brought about must impact all positively, it is important to include all or as many as possible in the discussions.
- Some people in the community might be vulnerable as they are unable to read or write very well. They can be involved by using models, representation objects such as seeds, water, glass etc. Often women hesitate to speak in front of men, or young people in front of elders. Have separate focus group discussions with such people.
- Vulnerability can be mapped, as discussed in the Understand chapter.
Seeing the complete picture - TOGETHER

When we bring all stakeholders together and engage with diverse and vulnerable groups in the community – understand their needs, problems, feelings, thoughts, motivations, strengths and influences, we see the the COMPLETE PICTURE – COLLECTIVELY.
We recommend using the following tools to diagnose the problem:

1. Problem Counting
2. Simple Matrix to Understand the Problem
3. Matrix to Understand Relationships
4. Problem Tree or Causal Diagrams
5. Five Why or Fish Bone Tool
6. Wealth Ranking
**Problem Counting**

- Friendly Charts help to understand problems and the people who are most affected by these.
- Organize a large community meeting. Make sure women, men, young people, the elderly, people from different religious and caste groups join.
- Ask people to list their problems. Use objects to represent these issues on the ground or draw on a chart paper pinned on a wall. Discuss who are the most affected by each problem within the community. Use questions to help people think such as “who is responsible for storing water in the house and so who is most affected? Or which people do not go out to work and are therefore affected by overflowing drains? Let people vote on who is most affected by each issue using a tally system or sticking dots. At the end, count the number of tallies in each row to know which group is most impacted. Use emojis to indicate the intensity of how much people are bothered by a problem – very angry, mildly irritated, etc.
- Sometimes people also suggest solutions to these problems, make a note of these for future planning discussions. Friendly charts can also be used for measuring project impacts.

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<th>Men</th>
<th>Women</th>
<th>Total</th>
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<td>09</td>
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<td>9</td>
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</tbody>
</table>
• Prepare a matrix on the ground. In the what column represent the problem with an object such as a glass of water if we are discussing water issues.
• Ask people where is the problem, who is responsible, when did it start, how is it currently being managed, etc. This will help get more information about the problem and come up with appropriate solutions.
• Dig deeper – ask what else, what else, what else…

<table>
<thead>
<tr>
<th>What</th>
<th>Where</th>
<th>Who is responsible</th>
<th>When did it happen</th>
<th>Why</th>
<th>How</th>
<th>What else</th>
</tr>
</thead>
</table>

Simple Matrix to Understand the Problem

What?
What will happen if this problem is not solved?
What are the symptoms?
What are the impacts? Etc.

Where?
Where does this problem occur? Where does this problem have an impact? Etc.

Who?
Who is causing the problem?
Who says this is a problem?
Who are impacted by this problem? Etc.

When?
When does this problem occur? When did this problem first start occurring? Etc.

Why?
Why does it happen this way?
Why does it happen only here?
Why is this here? Etc.

How?
How should the process or system work? How are people currently handling the problem? Etc.
Matrix helps to analyze and understand the relationship between two factors such as availability of resources and needs or choices of people.

Draw a matrix on the ground as shown.

For example, if you are preparing a health matrix, in the vertical column list the health care facilities available in and around the settlement. These can be represented through various objects. On the top row, list the health conditions for which the listed health services are accessed. In each of the boxes, put a stone or object to indicate which service is available or preferred. Smiley and sad faces can be used to represent services that people like or dislike.

Matrixes can also help rank the preferences of people for certain services such as community toilets or open defecation.
• A Problem Tree, like a regular tree, has three parts: a trunk, roots and branches. The trunk represents the main problem, the roots its causes and the branches, its effects. A Problem Tree can help to provide a visual analysis of any issue. It is also known as Causal Analysis.

• Building a Problem Tree helps get a deeper understanding of an issue. At the same time, it increases a community's awareness of the causes and effects of the problem on their lives such as waste dumped inside drains creates unsanitary conditions that impact health and cause illness. When people understand the impact, they are more willing to participate in solving the problem.

• In a small group meeting, start discussing a key problem. Represent the problem on the tree's trunk – in the middle of the chart paper. Discuss its causes – drawing roots below the trunk. Identify the effects, drawing branches from the top of the trunk. For example, stagnating of water in drains is the trunk, its roots are blocked drains, no outfalls, dumping waste into the drain etc. Its branches or effects are mosquitoes, illness, loss of school or work days and loss of income. Use Five Whys to prepare the problem tree or causal diagram.

• Ask people to add their feelings and emotions on the roots and the branches.

• Prepare Problem Trees or Causal Diagrams with different groups of people to understand how different people experience the issue. Bring together these various discussions into a single analysis, share with the community in a large group meeting before finalizing the solutions.
Root Cause Analysis can help to get to the root of a problem by asking “Why?” at least five times. It can help understand why people behave in the way they do.

In a small group meeting, start discussion on any urgent issue for example open defecation and/or dirty drains etc. Ask everyone, why in their opinion people still defecate in the open or dump waste in the drains. Each response should be followed up by another why. And then another why. For example, when people say they defecate in the open despite availability of a community toilet because it is dirty, ask why is it not clean. If people say it is because people do not flush after toilet use, ask why not. If the response is because there is no water inside the toilet, ask why not. If this is due to the fact that there are no water pipes or because the sanitation workers do not turn on the water pump because there is no power supply… and so on.

Remember, five is just a number. Ask as many questions, till you have got to the root of the problem. Stop asking “why” when it produces no useful responses.
Wealth Ranking

- Wealth Ranking can help to identify the most vulnerable people in the settlement so that investments can be targeted towards those who really need these most.
- Wealth Ranking starts with the community creating a list of indicators of wealth such as small-sized households, people with regular jobs, households with more than one earning member, households with private toilets, etc. Ask the community to also prepare a list of markers of poor households such as women-headed households, renter families, families with a disabled member, or alcoholism, etc.
- Based on the list, communities can identify households that are most vulnerable. They can mark these families on the community map.
- Analyze the community map or wealth analysis and look for trends – are more children out of school, is there domestic violence that makes women vulnerable. Understanding vulnerability in detail can help us prepare plans that reach the poorest, for example families that may not have money to pay for building a toilet can be allowed to pay in small sums.
“It is when they (upgrading initiatives) become an integral part of local governments’ ongoing investment programmes, with strong partnerships with the inhabitants of the settlements being upgraded, that they are most large-scale and effective.”

- David Satterthwaite
Planning with the community and not for the community.

Plan योजना

Goal Setting लक्ष्य समाधान बनाना
Finding Solutions समाधान बनाना
Planning योजना बनाना
Detailing परियोजना
A community goal or outcome is what a community wishes to achieve. This is based on identification of the key problem and possible solutions.

A plan is typically a list of steps or intended actions with details of who will do what, when and how, and what resources are needed to achieve the goal.

A plan shows the interlinkages and inter-dependence of various actions and resources. For example, building something in the community is dependent on having a design, permission to build, a cost estimate and a contractor to do the job.

A community will have more than one need. Plans need to be made for all. They can be prioritized by the community preparing a Community Action Plan.

Goal Setting

Community Goal or Outcome is based on identification of the key problem and possible solutions.
The community must agree on a common goal or goals that it wishes to achieve. These should be written clearly and discussed. Why the goal or goals are important, who will benefit, who will be missed, how will we know if the goal is achieved, by when do we hope to achieve our goal.

For instance, for the overall goal to improve access to water supply, various solutions are possible depending on the technical feasibility like laying of pipeline, increase in the number of tankers, increase in standposts etc. Only those whose homes fall on the main street from where the pipeline passes will benefit. It may be technically unfeasible to connect the smaller lanes to the main supply line. It would be known if the proposed solution has been a success if it reduces the time needed to collect water, requirement of water storage space goes down, the cost of buying water is reduced, etc.

Goals and indicators of achievement should be clearly written for reflection as the project is implemented.
Finding Solutions

Community must identify solutions to their problems. They must be helped to find solutions which will benefit the most, for the longest period. The best solution is based on analyzing the root causes and influences as discussed in the Recognize chapter.

Technical Feasibility

- Technical information can be provided, the options and difficulties clearly explained so people can take an informed decision.
- Solutions must also be discussed from a technical point – are there any constraints of space, money, people’s contribution and time for implementation? For example, the lack of trunk infrastructure nearby means simplified sewer network may not be the solution in a settlement, or may need to connect to a shared septic tank.
- For complex designs, it is good to involve experts at this stage, to help understand feasibility and localization of solutions; and refer to government policies, norms and regulations.

Points to remember:
- Take informed decisions together
- Use icons and pictures to seek support and preference of community
Using graphics and images can help communities understand the look and feel of the ideas.

• Prepare a Stakeholder influence Map. Identify all the people, places and things that may get impacted by a problem or its solution or contribute to a problem or its solution. Some people, places and things may be greatly affected by the problem, whereas others may not be as impacted. For example, if a new community toilet is to be built, those living close by and those farther away will experience different levels of the impact. It may be positive or negative. Those living close by may be bothered by the smell, noise and crowds; while those far away may have to walk longer to use the toilet. Similarly, a temple may not prefer the toilet close to it or the de-sludging tanker may not be able to access the septic tank if it is in a crowded area.

• The Stakeholder Influencer Map will help us know which people will support the project and who will oppose the solution. The negative and positive influences can be counted to see if there is more or less support for the solution. It will also help identify the risks and potential points of failure, which can then be addressed proactively as part of the implementation plan thus improving the chances of success.
• **Sometimes people may disagree over the solutions.** It is important to understand their feelings and find out the cause – how unhappy will they be if the decision is not as per their choice.

• **Use the Six-Hat Thinking Process** to help people understand each other’s feelings and come to an agreement.

• **The Six-Hat tool helps break down the problem by thinking about it from six different perspectives** – data, management, risks, emotions, possibilities and benefits. Each colored hat represents a different aspect of the solution. Everyone must wear the imaginary hat and imagine the solution from that aspect. All hats must be discussed in detail.
Six Thinking Hats was originally published in 1985 and was written by Dr. Edward de Bono.

What are the six thinking hats?
The six thinking hats is a tool to boost the productivity of creative thinking by dividing up the different styles of thinking into six “hats”.

**FOCUS**

**WHITE HAT**
Information and data
- Neutral and objective
- Checked and believed facts
- Missing information
- Where to source it

**RED HAT**
Feelings and intuitions
- Emotions or hunches
- “at this point”
- No reasons or justification

**GREEN HAT**
Creative thinking
- Possibilities
- Alternatives
- New ideas
- New concepts
- Overcome Black Hat problems and reinforce Yellow Hat values

**YELLOW HAT**
Why it ‘may’ work
- Values and benefits (both known and potential)
- The good in it
- Logical reasons must be given

**BLUE HAT**
Managing the thinking
- Setting the focus
- Making summaries
- Overviews
- Conclusions
- Action plans

**BLACK HAT**
Why it ‘may not’ work
- Caution
- Danger
- Problems
- Faults
- Logical reasons must be given

**BLUE HAT**
Managing the thinking
- Setting the focus
- Making summaries
- Overviews
- Conclusions
- Action plans

**RED HAT**
Feelings and intuitions
- Emotions or hunches
- “at this point”
- No reasons or justification
- Keep it short
• A Community Action Plan lists all the goals, agreed solutions and tasks required to achieve the goals.
• The Community Action Plan must be broken down into micro plans for specific interventions with tasks and responsibilities assigned to people of the community, resources that may be needed/are available, contribution that people will make such as time, labor, oversight, skilled workers and money.
• When people contribute time, effort and money into improving their own habitats, they take ownership, use and maintain the services and achieve the project outcome.
The detailing must have:

- A Technical Plan with deliverables, engineering drawings and financial estimates.
- A Management Plan with tasks, activities, responsibilities, assumptions and an operations and maintenance (O&M) plan.
- Risk assessment including ecological assessment that checks for possible environmental damage, and risk management plan.
- Community contribution with a collection and spending plan.

Each solution should have a detailed परियोजना, prepared together with the community.
• Prepare technical drawings with the help of experts where solutions require physical construction such as architects, urban planners, electrical and civil engineers.
• Technical drawings may require taking site measurements, site topographic and water or soil tests, data on users, discharge estimates, etc.
• Prepare cost estimates. Local expertise of plumbers, electricians, masons, etc., from the community can be used for making the estimates. They can also help identify problems and possible risks.
• Share and explain technical plans developed by experts with people to get their feedback.
• List resources needed such as people, material, money, tools, appliances, vehicles, etc., for implementation.
• All technical drawings, meetings and agreements should be documented for record.

Points to remember:
Map the plan on the street such as the water or sewer line so that the community can understand it better, identify problems on the ground and anticipated risks.
• List deliverables and outputs of the plan (परियोजना)
• For each deliverable, list tasks to be undertaken, time that would be taken for the task, resources needed and who will be responsible for implementation (परियोजना).
• Identify tasks that are dependent on completion of other tasks so that a realistic timeline can be prepared. Put a tentative date by which each deliverable is to be achieved.
• Share the deliverables with the community through meetings, speak outs, exhibitions, etc. Set expectations of the community for smooth implementation. Take feedback from community at regular intervals.
• Apply for permissions and approvals in advance.

Points to remember:
• Involve community in the planning process to get insights into what will work and what will not, how long it will take, and the best person for the task.
• Discuss financial estimates, community contribution and finance management.
• Community must lead in taking permission. They can be supported in drafting the letters, follow up meetings and progress reporting to the concerned authorities.

• Communities must build healthy relationships with political and government functionaries.

This is a Chappati Diagram for decision making. The problems are listed on the left. Short term/medium term goals are followed by activities, timelines, resources and contributions.
Projects, tasks and activities are based on some assumptions (of their being successful), or risks (of failure). For example, the project could be stalled due to elections or monsoons, or unforeseen events such as pandemics or riots. It is important to examine these and plan ahead to address them.

**Assumptions**
- What we did not know but need to know since our success depends on this
- Validate these assumptions if they are true or false, by when, who and how.
- What if assumptions turn out wrong?

**Risks**
- Where we may fail
- Where we simply have to succeed for the project to work
- How will we mitigate the risks, who will do it, by when?
Building Community Capacity for O&M

- Communities need appropriate technical support and knowhow to plan for O&M. Community capacity must be created to operate and maintain the new infrastructure.
- There is often existing local capacity within the community for maintenance such as plumbers, electricians, masons, etc. O&M plans may be developed with their help. Where needed, experts may be involved.
- The plans must have proper details and costs.
- There must be clear allocation of responsibility for the management of the system.
- Where possible, community should engage with local governments for O&M.

Operations & Maintenance (O&M)

Infrastructure projects need a good O&M plan to ensure long-term sustainability. O&M needs shall vary depending on the system or type of infrastructure. Some infrastructure types are more operations intensive, while others need more maintenance.

O&M requirements are typically needed when the initial technology options are evaluated and solution designs finalised. It’s a good idea to start planning for O&M at that stage itself so that the financial and ownership implications do not catch the community by surprise when they take over the projects.

Operations
- Operations is about the daily expenses of running a system such as rent, staff salaries, cleaning material or equipment, fuel or electricity costs for pumps, water treatment chemicals, etc. These require money that may have to be collected as user fees or through creating a funding mechanism.

Maintenance
- Maintenance deals with activities necessary to keep the system or infrastructure in optimum working condition by undertaking preventive or routine maintenance, periodic maintenance carried out at regular intervals or emergency maintenance from unexpected breakdowns or disasters.
Ideal O&M Scenario

O&M can be funded by the community, the city or grants. Local governments could share costs by allocating funds or providing human resources as needed. You should set up O&M funds prior to construction completion, based on anticipated requirements and how much community members can afford. O&M expenses for small infrastructure should be covered through community contribution. This ensures a continuing ownership of the infrastructure. Where communities finance O&M expenses, the amount to be contributed and collection system must be planned in advance — will users pay fees based on affordability or individual use or a monthly charge based on number of family members — to ensure contribution is fair for all.

O&M collections can be through:

- **User fees**: Community members pay for using the service such as payment for use of computer at the Resource Centre or use of toilet. The costs fixed should be affordable and decided in advance.

- **Regular collection**: A fixed amount of money may be collected regularly in a collection box or a community fund with a bank. Those who find it difficult to pay in lump sums can pay smaller instalments according to their convenience. For example, Cluster Septic Tank Committee collects a monthly charge of Rs 50 from connected households.

- **Spontaneous**: Sometimes a community may need to contribute additional funds, if the collections are inadequate to meet the maintenance costs. For example, to unblock the sewer line or repair the water pump.

Community Managed O&M Models

<table>
<thead>
<tr>
<th>Infrastructure Type</th>
<th>CST in Savda Ghevra - Delhi</th>
<th>Community-based Rainwater Harvesting - Agra</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>O&amp;M</strong></td>
<td>Desludging of CST to be carried out once every month.</td>
<td>Tank cleaning and roof cleaning (catchment area)</td>
</tr>
<tr>
<td><strong>Community Group</strong></td>
<td>10-member group formed with a President, Secretary and Treasurer. Regular fee of Rs 50 is collected from each household connected to the system. The money is deposited in a separate bank account. All three signatories must sign to withdraw money. At least three-fourth members are required to take decisions. The group decides on the connection charge.</td>
<td>8-10 members form the group from the neighborhood. Community makes spontaneous collections as per requirement such as cleaning the tank before the monsoon rains.</td>
</tr>
<tr>
<td><strong>Roles and Responsibilities</strong></td>
<td>No salary is charged by the nominated members in the group for management. Any problem by a household is reported to the leader in their respective lane. The leader represents all such issues at the main block meeting.</td>
<td>No bank account has been opened. Responsibility for cleaning is divided amongst the members. Monthly meetings are organized to discuss maintenance and water distribution management.</td>
</tr>
</tbody>
</table>

Adapted. Source: Operations and Maintenance of Rural Infrastructure in Community-Driven Development and Community-Based Projects, World Bank Group
We recommend using the following tools:

1. Chapati Diagram
2. Chapati Diagram for Mapping Influencers and Institutions
3. Priority Matrix
4. Paired Matrix for Planning
5. Voting
   - Voting: Using buttons
   - Voting: Using photographs and seeds
   - Dot/Bindi voting to identify priorities
   - Thumbprint voting to identify priorities
   - Voting by show of hands
The Chapati Diagram is a useful tool for prioritizing community issues. Pick the one that is most critical that the community wishes to address immediately.

Cut round circles from a chart paper in three different sizes. Each circle represents a chapati. The size of the chapati shall indicate the size and urgency of the problem.

In a small group meeting let people prepare a list of problems in the community. The problems may be represented with objects or drawings on the chapatis or circles. Avoid writing as many people may not be able to read and hence participate in the discussion.

Next, people must discuss and prioritize these problems – place the big problems on the big circles, the less urgent problems in the next smaller circle and the least important problem in the smallest circle. Everyone must agree on the order of priority. At the end, the community would have agreed on the most important issue and be ready to discuss possible solutions.
Chapati Diagram for Mapping Influencers and Institutions

- Chapatis can also be used for mapping institutions and influencers in the community. As in the case of problem prioritization, the community is asked to prepare a list of influential people or institutions that they are in touch with and whose help is important in implementing solutions. The names of people or institutions are then placed on large, medium and small-sized chapatis relative to their importance.
- Ask people to determine if these influential people or institutions will have a negative or positive impact on the plan. Use emojis or arrows to indicate if people find the influence positive or negative.
- Arrows and lines can also be drawn between different circles to show how these institutions or how people are connected with it. This will help find a pathway for action such as who should be approached first, who can influence whom, who should be avoided etc.
- Women, men, different marginal groups or religious communities etc. may have different perspectives depending on their experiences with these people or agencies. Consider these carefully and do not dismiss these. Chapati diagrams can be prepared by different groups such as women, elderly, youth, religious communities, and information from different diagrams can then be combined to build a better understanding.
Prioritizing actions

Priority Matrix

- Once community problems are identified, these need to be prioritized – very urgent and not so urgent.
- A simple 2X2 grid can be used to prioritize the problems – from high priority and high urgency to low priority and low urgency. Issues can be written or pinned in the boxes: High Priority and High Urgency in Box 1, High Priority but Low Urgency in Box 2, Low Priority but High Urgency in Box 3 and Low Priority and Low Urgency in Box 4. Urgent and important is something that is very bothersome and must be dealt with immediately. Important and not urgent issues are those that can be postponed. Urgent and not-important issues are those that must be dealt with immediately.
- People must discuss, with each other, to agree on the prioritization and urgency. The dots in each box can also be pinned higher or lower – representing the relative position of the issue.
- In another 2x2 grid, people can also list Urgent and Important actions and Less Urgent and Less Important actions.
- During the discussion, if people discuss solutions and options that shift the priority or urgency, make a note of these for future.
The Planning Matrix is a useful tool to help prepare a more detailed implementation plan. Prepare a matrix on the ground or on a chart paper. In the first vertical column write the solution – what, where, when, who, why and how.

- On the top horizontal column present the problem in the present (is), past (did), possibility in the future (can), could be successful (would), will succeed and may be tried (might).
- Discuss the solution in detail with people. For example, if the plan is to build a water pipeline start with the horizontal column – what is the problem now, what were the past challenges, what can be done in the future, can it be spread in the entire settlement or are there places that cannot be reached because the lanes are narrow or there is an upward slope and so on.
- In the vertical boxes, write where and when will it be built, who will build the pipeline, how will this be built, who will contribute and how much, who will find the plumber, who will follow up on permissions etc.
- The more boxes you fill the more detailed your plan will be.
In large communities or when people find it hard to agree on a particular issue, voting can help make choices or come to an agreement on problems, priorities, solutions, influences, institutions and actions. People can also vote to start, stop or continue with some intervention.

There are a number of ways by which people can vote. Each can place a bean or a seed or a coin on the issue they consider as top priority, or stick bindis (dots) on the chart paper. These can be counted in the end to calculate which issue or influencer was voted the most important and which was the least.

**Only ONE rule to follow**

Everybody gets the same number of votes – one each for each issue. In case, there several issues, we need to pick just 3 or 5 or 7, then each gets that many votes (seeds etc.). How they choose to distribute their votes is up to them. In the end the option with the most ‘votes’ is selected.
“Empowerment is not the things you do to or for people; it is the impediments you take away, leaving space for folks to empower themselves.”
- Tom Pete

“The right to participation maintains that citadins (urban dwellers) should play a central role in any decision that contributes to the production of urban space.”
- Marc Purcell
Implementation is about:

- Putting into action what was planned, to achieve the goal
- Administering and monitoring the project, providing progress reports, finding resources, procuring services, accounting, and supervising works
- Completing the tasks as per time frame, within available resources, and quality standards
• Community-led Implementation is when people are in charge of the range of activities that are to be done on the ground such as, engaging everyone in the process, coordinating with officials, contractors and other stakeholders, undertaking construction works, supervising and managing the finances.

• Community led-Implementation takes time, usually more than what we imagine at the start. However, it leads to ownership and sustainability. Sometimes this can throw up unexpected situations as with an unpredicted response or reluctance or personal interests. Despite that it is important to engage, discuss, address concerns, empathize with the community and win them over.

Implementing the परियोजना

Community in the centre

Work on ground, trouble shooting – unanticipated challenges, plan modification in consultation with community and external stakeholders.

Adapted from
Source: The Role of Project Implementation Units, SST: REG 2005-02, Asian Development Bank
Prototyping of a low cost urinal to understand its functionality, usage in the community and cost.

**Piloting the Intervention**

- Piloting is a way to test your solution to see if it works in the real world before fully implementing it on the ground.
- You can test both a design solution and an idea. Find out whether the community members will use your service or pay for it. Or check if the solution is accessible to both men and women.
- The pilot can be a small scale model of the intervention or implement a part of the solution such as one household rainwater harvesting system or one urinal. This helps test the functionality, durability and acceptance by the community. Obtain feedback from the users about what works and what does not can help modify the intervention.
People must take responsibility for implementing projects in their community. They may choose:

- Community volunteers for various tasks as per ability and time
- Prepare an O&M plan and take responsibility for the management of the system
- Have mechanisms and methods in place for timely reporting of break downs, hold-ups, delays, mistakes, community troubles, etc.

Community rainwater harvesting system in Agra
- Technical plan drawn and discussed with all stakeholders
- Implemented in collaboration with the local community
- System operated and managed by the community
Implementation Strategy: Beyond “Just Do It”

1. **Design**
   - Is the solution delivering the benefit, solving the problem most efficiently and reliably?

2. **Technical Assessment**
   - Is solution feasible within the known physical, financial and resource constraints?

3. **Costing**
   - Are all costs factored in direct and indirect, fixed and variable cost?
   - Has contingency funding been provided?

4. **Markings on the Ground**
   - Is the plan tangible and visually clear to all; marking on the ground or drawings on the wall give the best idea of scale and complexity?
   - Has more appeal and durability, and is very effective in communicating and reminding people?

5. **Pilot**
   - Show a physical scale model to communicate more effectively. It is better than paper plans, sketches, etc.?

6. **Permissions**
   - Are permissions required, what is the procedure, authority to be contacted, time required, and who will enable permissions?

7. **Preparing for Change**
   - New interventions may require people to change their current habits and practises. A Behaviour Change Communication Plan should be prepared and implemented before, during and after the project

8. **Group Formation**
   - Involve every available person from the community who can help in whatever form, to build ownership and acceptance in the community. They may be people with knowledge and skill, talent, motivation, integrity and commitment. It will also ease your burden

9. **Contribution**
   - All contributions from people must be accounted for independently

10. **Storage**
    - Is there a secure space for materials and tools, records and other physical resources in the community, is it located convenient to the site of work?

11. **O&M**
    - Plan in advance. The best time to plan for O&M is at the start of design and implementation, so people know what is being built and how they must care for it, how much money and effort it would need and who can do this work

12. **Resource Management**
    - Ensure efficient and effective use of all resources such as building material, skills of people, time and effort of people. Minimise waste

13. **Contribution**
    - All contributions from people must be accounted for independently

14. **Oversight**
    - Communities must oversee the implementation to ensure work is being delivered as per agreed contract and that resources are not being misused

15. **Manage Safety**
    - Ensure children, adults and workers are safe during implementation, avoid injury or accident at all cost
Making the Plan Tangible
Physically marking out the boundaries of a future structure makes it more visually clear to people. They are also able to provide feedback, give suggestions, identify potential difficulties such as obstructing entrances or reducing path widths.

Changing Behaviour Practices
In order to change practice or user behaviour, there is need to create awareness. IEC material, such as posters and wall art, can be used to communicate good practices. These material should be refreshed or new ones prepared depending on the requirement.
Community Owns the Project
Superstitions and religious beliefs must be respected and incorporated in the implementation plan — such as auspicious start dates, construction milestones like laying the roof — to ensure ownership.

Women Take the Lead
Women are most affected by bad water, sanitation and housing conditions. They must be encouraged to take the lead in mobilizing community effort, planning and overseeing implementation of works.
Community Participation in Construction
Successful projects depend on community contribution and ownership so that benefits continue to be realized long after you have disengaged from the community. Apart from seeking contribution to create ownership, seeking contribution of time and expertise in the form of labour are equally effective. Very often tradespersons from within the community can be used to get a job done. Actively seeking out such talent and skill from within the community greatly reduces the resources needed for the project.

Community Oversees Construction
Implementation of civil works requires supervision and oversight to prevent theft and ensure quality of construction.

Implementation Strategy: Examples
Sometimes circumstances change. Plans must change too.

- Have a basic plan on how to deal with things when project scope, community requirements, environment, etc., unexpectedly change during implementation. For example, the settlement receives an eviction notice, or there is a fire, or animals destroy what is planted.
- Make sure that the project team and the community has a good understanding of what to do when the unexpected happens.

Two aspects of change must always be considered:
1. Troubleshooting
2. Feedback
Trouble Shooting: Making Changes to Plans

Even after careful assessment of project feasibility, stakeholder consultations, risk assessment and community engagement, things might not go as planned. Make changes as per context. It is important to keep track of what goes wrong and discuss the way forward with the stakeholders and community groups. Documentation of the changes is important for learning and avoiding repetition.

Feedback from and to the Community

Keep the community informed at every stage of the project – its progress and change in decisions when plans have to be altered. If they understand why a certain decision was taken they will support it.

Above all, do not hide bad news.

Sometimes changes have to be made because of resource constraints like funds or material running short. At such times compromises and improvisations are required. This may be seen as a deviation from promises made to the community. It is important to share this development with them and help
7 Tips for Successful Community-led Implementation

**Engage everybody**
The opinion leaders, the influencers, the marginalised and especially those who will be affected most and who do not normally find a voice.

**Keep all teams connected to the plan**
Follow the plan. Take decisions in relation to the plan so that dependencies and interconnections can be managed. Discuss the implications and consequences of change in plans.

**Prepare the community for the resulting change**
Change takes time. Sometimes even positive change requires people to modify their habits and practises. Preparing the community in advance for such impact helps reduce resistance to the new intervention. This is an ongoing effort.

**Discuss your strategy honestly**
Honesty builds Trust. If the reason behind every decision is shared openly and transparently, it will be accepted and supported. Hidden agendas and political motivations must be avoided at all costs. The effort should be seen as neutral.

**Prioritise attention, resources and action**
Not everything will go as per plan. Not all resources will be available when we want them, nor in the quality and quantity or place that are needed. At such times, the overall project goal determines which activities shall come first or should be prioritized over the others.

**Plans are dynamic, keep them alive**
Plans may need to and must change when circumstances change or assumptions are proven incorrect. As more facts emerge and progress is made, new assumptions will be needed, new risks and conditions will have to be managed. Share the changes in the plan with everybody to avoid misunderstandings.

**Document everything**
In long-term interventions, people who are responsible for implementation can change or move. An up-to-date documentation is therefore critical to inform the new persons taking over to understand decisions taken, changes made, people who supported or opposed the activity, challenges etc.
“Empowerment is not the things you do to or for people; it is the impediments you take away, leaving space for folks to empower themselves.”

- Tom Pete

“Participation is considered an input to the building of accountability and an output in the sense of empowerment.”

- Soumyadip Chattopadhyay
Reflect

Together with the community, assess the impact and outcome. Was the benefit delivered, is it sustainable?

Planning for O&M, benefits tracking over time, hand it to the community
Reflection is an opportunity for us to think about what went well and what could be improved. The process of reflection is the foundation of evolution, progress, learning, improvement and refinement.

**Why Reflect?**

- To reassess and critically think about the planning and implementation process post implementation of the project.
- To check for sustainability and assess if the project is replicable.
- To feed into the cycle of planning and reduce the learning circle for other communities willing to adopt the intervention.

**How to Reflect?**

Reflection should be done at three levels:

- Individual or self reflection
- With the community, to discuss the assumptions and risks envisaged during the planning stage and if these were managed effectively.
- With other stakeholders, NGOs, government officials etc. to get a wider perspective on the success or failure of any project.

**What to Reflect on?**

- Did the intervention respond to the local needs?
- Will it sustain after the completion of the work?
- Did it achieve the desired results?
- Did it change people’s life significantly?
Bring members of the community who took active part in the planning and implementation for the reflection; aim for diversity.

Use a set of guiding questions to generate information and different perspectives on what changes have happened since the implementation.

Get feedback on what could have been done better and how.

Discuss now what?
Ask what should change to improve the outcomes

ALL VOICES MATTER
During evaluation, interact with as wide a cross-section of stakeholders as feasible, to get a balanced perspective.

Reflect on the intervention with officials and other NGOs, discuss options and potential to replicate or adapt in other situations.
Reflection on Outcomes

Has the behaviour changed along desirable lines? Will it be sustainable? Have attitudes changed?

Often the observed benefits of a programme are different from, or in addition to, what was originally planned.

For example, building a toilet in the house may reduce the risk of open defecation and harassment, but it also reduces opportunity for socialization and exchange of gossip, a key ingredient of community building.

Participatory Reflection: Share Stories

• Stories help us build empathy and provide insights that are normally missed in surveys that try and measure change.
• People may share stories of how the project intervention has changed their lives, their work and the settlement. They can share the before and after stories. For example, before the water taps were installed, people paid Rs. 1,000 every month to buy water. With improved access, people save this money and use the savings for children’s education or for upgrading their homes.
• Ask for diverse stories, even where things did not improve as planned.
• Document the stories for recording and sharing with other communities.
Real Stories

Outcomes of the intervention are also measured by peoples' experiences and how they narrate their story...

Qualitative assessments rely on recording and analysis of actual words spoken and used by the people. The use of people's own words in reflection shows that they were heard and that their feedback was taken seriously.
Photo exhibitions can initiate/encourage conversations to evaluate a project together. Such communication is useful in strengthening the perceived benefits of engaging with the organisation.

Photo exhibition in the community demonstrating the progress of work in the settlement since CURE's entry.
What can a water harvesting project bring about?

- Total water harvested – 1 million litre/year
- City saved Rs. 35 cr (in line with $6m) annually in pumping, treating, tanker supplies, boring, O&M
- City leveraged programme resources to scale up RWH after ground demonstration with $12m
- Number of days a school of 300 children had water in the tank annually – 250
- Improved school enrolment and attendance with fewer sick children, girls staying home to fill water
- Households saved Rs. 700 per month ($10) on water purchase and cooking fuel as food was cooked faster
- Also led to social empowerment as poor communities created a permanent water source not available in other areas during summer.

Impact can also be assessed and quantified at a city-level.

The community can measure the impact of the project by how much resources were saved by the city authority after the project implementation. And what ripple effects it might have on the lifestyle and living conditions of the beneficiaries.
We recommend using the following tools:

1. Start, Stop, Continue
2. Lining-up
3. Kya se Kahan Tak
Start, Stop, Continue

- This is an easy way to understand how people feel about the project intervention. This activity gets everyone involved in the process. People categorise things about the project into three — what we should start, what we should stop and what we should continue doing.
Line-ups are a very physical way of reflecting on community experiences along a continuum. These can also help to count the happy and unhappy experiences in a more subtle manner.

Ask the people what they felt about a particular activity or solution. Draw a straight line on the ground or place a long rope. Pick one, who thought it worked very well to stand at one end of the line/rope. Pick another, who thought it was not good at all. Let her stand at the other end of the line. Others may stand in between the two ends depending on how happy or unhappy they are about the issue. For example, if people are to express their level of happiness about the cleanliness of the community toilets, they can choose to stand close to happy or unhappy or in the middle.

Use this after the project has been implemented and operational for a while and the community has had the opportunity to experience things first-hand. Because it is visual, people can also see each other's response and can generate discussion on what can be improved.
• Showing the transformation after implementation of a project
• Photographs or drawings can be used to show the journey or experiences. An exhibition (discussed in Chapter 2 on “Understanding”) can be a conversation starter for this activity.
• Other tools like story, transects, still photo survey from the understanding section can be used to create a before and after situation analysis. This will make the transformation and impact of the implemented project evident and available for everyone to reflect upon and discuss.
Implementing Community Led Projects

“Never doubt that a small group of thoughtful, committed citizens can change the world. Indeed, it is the only thing that ever has.”
- Margaret Mead

Annexure 1
A successful project is one that achieves its goal. It must also be sustainable. Communities have to feel they are part of the change, own it and continue to improve on it even after you have left. If this does not happen then the effort of engaging with the community will be wasted. A good project plan and design can help ensure this.

Project management is broadly defined as activities needed to:

- lead and coordinate a project,
- implementation, including administration,
- monitoring and reporting on project progress,
- financing and accounting,
- procurement tasks, and
- supervision of consultants and construction contractors.
Many terms are used in Project Planning, Monitoring, Managing, Reporting

Goal
What are we trying to do and why

Work breakdown
What needs to be done to achieve the goal

Dependency
What the above work-steps will depend on; inter-dependencies, etc.

Milestones
Key stages in the project where go/ no-go decisions need to be taken

Critical success factors
Areas where things simply must go right (CSFs)

Actions or activities
Specific steps in the process to achieve each milestone

Resources
People, material, space, information, money, machines, places, etc., needed for the project

Assumptions
What we do not know for sure but need to know to move ahead

Risks
Where things may go wrong, known impediment to success

Constraints
Limitations, boundaries, rules and regulations, policies, guidelines

Responsibilities
Making sure everybody knows what they have to do, how and when

Monitoring and reporting
Keeping things on track to completion, goal achievement

Implementation

Implementation is:

- About working on ground, putting into action all that was planned in order to achieve the goal
- Project management and technical tasks such as detailed design of works or training of staff or project beneficiaries
- About being efficient, completing all project tasks in accordance with time limits, available resources, and quality standards. Efficiency helps to transform inputs into good outputs
- Frequent sit downs to discuss unanticipated challenges, trouble shooting and changing plans
- Monitoring and planning modification in consultation with the community
Preparing an Implementation Action Plan: The Success Mantra

A successful project plan has a three-point success mantra — Goal-Plan-Action.
- First, we must define the project goals and outcomes.
- The plan must have a list of activities to be organized — with the timings of each activity — content and costs.
- There should also be a plan to reflect and review the project regularly.

The success of a project is determined when the project goal, plan and actions align with each other.

Preparing the Plan

The Action Plan should:
- Have a plan for resources that would be required to implement the activities — people, material, money, infrastructure, etc.
- Resource planning should also include tasks that the community shall be responsible for.
- Have a list of motivators that will nudge people to participate, or challenges that can derail the project and affect the projected outcome.
- Have a ‘Plan-B’ in case anything goes wrong, and sometimes even a ‘Plan-C’.
Planning for Assumptions, Knowing Risks

- A plan directs action
- Actions taken according to the Plan, when aligned, help in achieving the goal
- Actions are identified and planned according to what is known at the time. This knowledge is called assumptions
- Assumptions are validated during the course of implementation
- Assumptions proven wrong are the risks of the plan
- Thus, tracking actions on a plan help to keep the plan 'alive' and always aligned to the goal

Whenever a goal is converted into a plan, and plan into actions, and the actions tracked to ensure the goal is achieved, we make assumptions and uncover risks
- Some risks are known upfront while some show up as we make progress
- Risks have to be mitigated by either modifying our actions or by new preventive action
- A successful plan must, therefore, list out all assumptions and risks, and how they will be validated, by when and by whom
- A plan without assumptions and risks is incomplete and likely to throw up surprises, delays and possible failure
- Actions planned to prevent risks get added to the plan as we make progress
- Risks and assumptions have to be assessed and identified continuously

What is a Project Management Plan

Project management plan consists of:

**Project Rationale**
Write the logic behind why the project is important, specify project location, the problems to be addressed, the project’s uniqueness and quantify benefits.

**User Profile**
Provide a snapshot of the beneficiaries, their geographical spread and diversity, insights on beneficiary behaviour based on your understanding of the community issues. Make an analysis of community demand to

**Technical Review**
Outline the physical site condition on the basis of a detailed engineering design – where construction is intended. Note the boundary conditions, design specifications and available infrastructure

**Proposed Technical Design**
Prepare a detailed technical design of the component units to be engineered or rehabilitated. List your assumptions about the functionality of the structural design and system. Prepare detailed engineering designs (plans, elevations, sections as applicable) and detailed cost estimates that are detailed

**Plan design requirements.**
**Support.**

**Enough to use in the tender documents.**
**Planning and Construction Norms and Designs**
List the norms that must be followed. These must be clearly stated to ensure that all design aspects (units and construction limitations) are clearly understood. Some projects may require scheme specific rather than universal standards.

**Capex & Omex**
Study the guidelines provided by donor agencies for civil works. These should be used while preparing cost estimates for

**Detailed Project Report of Individual Project Site**
Prepare project packages if required for each project site.
Project Management Plan

Adaptive Planning: Choosing a Doable Solution

1

The first step in preparing a Project Management Plan is to build a realistic plan.

- We have discussed earlier how solutions to community problems are determined. These are selected based on people's priorities, seriousness of the issue, understanding of the root cause of the problem, and whether the solutions benefit majority of people and for the longest time, especially the poorest and the marginalized.

- The final solution is selected after a discussion with experts, who can assess the feasibility of the solution, within the known constraints of the area or resources. These experts can be found within the community itself, such as local plumbers, masons, the elderly, craftsmen, etc. However, for more technical inputs, the experts can also be from outside the community.

- The technical expert helps to localize and adapt the chosen solutions to the context of the community. This is called adaptive planning and helps to manage projects within known resource constraints, foresee where things could go wrong.
The second step is to prepare a Solid Action Plan (SAP). SAP is a detailed plan with goals, milestones, confidence of achieving success and accountability.

- Start with writing the goal such as "Building a simplified sewer line"
- List all what will help the goal to be achieved — critical success factors; permission from the city, contribution by the community, willingness of households to build toilets at home, etc.
- For each of these factors, list what it depends on, to go right; e.g., ownership of the house, money, etc.
- Define actions to address each of the factors. Break down the actions into tasks; e.g., write and submit letter for permission, meet bank manager to set up account.
- Assign responsibilities for each action / task using the RASCI framework
- Use the colors red, yellow, green to track the status of these activities. Colours will help see the status at a glance

* Responsible, Accountable, Supporting, Consulted, Informed
Prepare a Community Level Action Plan

Once the technical drawings are prepared, it is important to prepare a Community Level Action Plan.

- A Community Action Plan breaks down the solution into a series of smaller tasks. From this, those tasks that can be managed by the community are identified, for which the community takes responsibility. This is the only sure way to build ownership for the project and its outcome.

- The Community Level Action Plan must also indicate the requirement of resources for each small activity, and ways to source them. Sources for funds and material may include government departments, development funds and material already allocated for the community welfare funding and provisioning under special schemes, resources of other NGOs, etc.

Community Level Action Plan Format

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Write the Assumptions

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Write Expected Risks

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Prioritize and Rank Risks

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<th>Risk</th>
<th>(A) Likely to occur (1-10)</th>
<th>(B) Likely impact (1-10)</th>
<th>(C) (A X B) Risk Rank</th>
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Risks can be rated on two dimensions:
- How likely they are to occur; and
- Their likely impact, should they occur

Give a weight to each, from 1-10 with 10 being the highest possible.

Multiplying the two ratings will give the overall risk rank on a scale of 1 to 100.

This allows us to rank the risks from the most serious (highest score) to the lowest, thus helping prioritize our focus.

Monitor Risks

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<th>Critical risks (what may go wrong)</th>
<th>Early warning signs we should look out for</th>
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Mapping and Tracking Risks

Risks can also be plotted on the grid shown on the grid based on the two dimensions.

Their relative position on the grid gives a visual guidance on the attention the risk must get by dividing them into three zones:

- High Risk
- Medium Risk
- Low Risk

As we learn more about the risks their position on this grid can change during the course of the project.

Monitor Risks

You can map risks and track how these change.

Risks plotted in the grid shown on the left change their position during the course of the project.

E.g. the arrows show the direction in which certain risks seem to be moving.

Arrows to the right or upwards mean the risks are becoming more serious, while arrows showing movement downwards or to the left show a healthy movement.

Risks managed well, move down and/or to the left.
## Mitigating Risks

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## A Graphical Project Plan

[Project Gantt chart with labels: Project Summary Task: Special task identifying entire project, Summary Task: Any with lower-level subtasks, Recurring Task: Task or event that recurs with regular timing (e.g., status meetings), Split Task: Task with planned pause for specific period of time, Milestone Task: Event occurrence at a specific point in time]
Preparing a Plan with Timeline (Gantt Chart)

A monitoring plan usually focuses on the processes occurring during the implementation of a program. Key questions to consider for making a monitoring strategy are:

- What indicators can give us an idea of how well and efficiently the project is being implemented?
- Plan a well defined data collection and analysis process. Collect information on:
  - How often certain activities occurred
  - Number of people reached through a program's activities
  - Number of products delivered (or number of hours of a service)
  - Costs of program implementation, etc.
- Based on the data acquired, make changes to the project.
Reflecting (Vicharna)

Reflecting is part of monitoring. This is the final stage that opens the door for the next engagement or exit from the current site.

- Reflection is about reassessing and critically thinking about the project — planning and implementation process. This reflection needs to feed into the cycle of planning.

- The process should happen at three levels:
  - Individual
  - With community
  - With the larger group of stakeholders

- Reflection can help decide if the project can be replicated, what elements of the project are replicable – the physical, social, technical or the social.

- Reflection helps us understand what capability and commitment in the community are we leaving behind:
  - Commitment – of communities to change, sustain, be resilient
  - Capabilities – to sustain the project
  - Viability – of the individual and community as active citizens, to the government and the politicians.

The Six Wise Men

The six wise men can help us reflect about our goals and achievements.
7.1 Formative Evaluation

Even before we plan the project, we can do a formative evaluation. This helps to examine both the feasibility of the project and determine its relevance.

- Formative evaluation can also be undertaken during program implementation, especially if there is a need to modify the program, at which point the formative evaluation can be used to assess feasibility of the new design.
- Formative evaluation improves a program’s probability of success because it confirms the viability of the project, and detect potential problem areas at the outset, while also promoting accountability during implementation.

7.2 Preparing the Baseline

At the outset of a program, it is important to acquire baseline data, which will be used to compare progress at every evaluation interval and at the end of the program period.

When thinking about how to measure for outcomes or changes that will occur at the end of the project, consider the following key elements:

- Reflect on how your inputs, outputs, activities, etc., will generate change
- Design the evaluation plan before starting the project or intervention so that appropriate elements of data can be identified, collected and tracked
- Use outcomes that are relevant for your beneficiaries, not only those important to your purpose or your sponsors
- Collect data that is trustworthy — simplification helps
7.3 Process Evaluation
A process evaluation is carried out during the implementation phase. It focuses on the processes being carried out — inputs, activities, outputs, etc. It identifies any issues that are impacting the efficiency of implementation so that changes and improvements may be made now and for the future — for example, it can establish whether targets were not met because of lack of human resources (skills and knowledge) or appropriate tools, or unforeseen contextual obstacles (e.g. beneficiaries lacked time to engage with program) which ultimately affected program outcomes.

Process evaluation can help identify issues with the change model itself, encouraging a rethink of how to affect change for the target group. It allows re-designing the execution to increase reach, re-allocate resources, etc.

7.4 Outcome Evaluation
An outcome evaluation determines whether the overall program objectives have been met. It helps identify whether there was a change in the lives of beneficiaries and what might have nudged or slowed down the changes. It also helps identify unexpected changes that have impacted outcomes. It can also pinpoint which areas of a program were more or less effective than others.

An outcome evaluation generally looks at a program’s results over a longer period of time — although this also depends on how quickly or slowly the change is expected to occur. For this reason, it can be important to use qualitative measures and participatory methods to extract from beneficiaries their perception of any observed changes.

7.5 Impact Evaluation
An impact evaluation gets to the heart of a program’s true effectiveness by determining attribution, or to what extent the changes observed (outcomes) can be causally connected to the activities carried out during the program period.

Timing is an important element of any impact evaluation. Conducted too early, the intervention may not have had time to create observable change. Conducted too late, it could reduce the usefulness of insights for informing decision-making.

Ultimately, an impact evaluation helps to not only understand how impacts were generated by activities but also (based on the insights) understand what tweaks could be made to maximize effectiveness of an intervention in generating the desired outcomes.

Creating a Visual Project Scorecard — (subjective)

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## Creating a Visual Project Scorecard – (subjective)

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Creating a Visual Project Scorecard – (subjective)

7.6 Causal Analysis of Goal-Achievement Gaps

At the end of the project, an invaluable exercise is to analyse why some things worked as planned (practises to carry forward) and why some things did not succeed in delivering outcomes (practises to review and improve for the future).

- This needs to be undertaken before the team moves away and memory fades.
- A structured review with carefully documented discussion is necessary in every step of the process, right from the first transect walk till the closure of the project. This is important since each step and decision determines the success or failure of the steps that follow. This means, if something did not work, its cause or causes of failure lie upstream: something that happened before did not go right. Therefore causal analysis focus on the sequence of activities, circumstances, and decisions and how they impacted something that followed later.
- You can use the two paired questions for the discussion: what went right, and why, and what did not go right, and why?
- Tools that may be used are: the problem tree, the root cause or fishbone analysis, 5 Whys, and the six thinking hats.
Planning for Operations & Maintenance (O&M)

O&M planning is about ensuring that whatever infrastructure has been created in the community is sustained and maintained. O&M needs vary depending on the system or type of infrastructure created. Some infrastructure types are more operations intensive, while others are more concentrated on maintenance.

Operations

Operations deal with the actual daily running of a system or service and includes the work and the operating costs (for example, rents, staffing, required materials or inputs, utilities, and others).
- In the case of water supply or sewerage projects, this could include fees for technical service or for collecting user fees, fuel or electricity, costs for pump repairs, treatment chemicals, etc.
- Infrastructure investments such as Community Resource Centres or toilets generally have significantly higher operating costs due to specialized staff (engineers), supplies (computers), and other usual costs (electricity, water, etc).
- However, these costs require specific commitments from the responsible government agency or community as a precondition of financing.

Maintenance

Maintenance deals with the activities necessary to keep the system or infrastructure in optimum working condition and to prevent delays, repairs, and/or downtime. There are three types of maintenance:
- Preventive or routine maintenance: is usually required on a regular basis, one or more times annually, to maintain and keep the infrastructure in good working condition. If performed correctly and regularly, routine maintenance can reduce the need for periodic maintenance and rehabilitation, and sustain the life of the infrastructure.
- Periodic maintenance covers more significant activities that are carried out once every few years to ensure the smooth operation of the infrastructure, although the timing intervals can vary depending on the type of infrastructure. Periodic maintenance is generally more complex technically, can require specialized equipment and skills, is more costly, and communities generally need support from private contractors, the local government unit, or relevant government agency.
- Emergency maintenance involves urgently-needed and generally significant repairs in response to disastrous events such as floods, earthquakes, typhoons, or conflict. This type of maintenance is generally not planned for unless it is foreseeable.

Source: Operations and Maintenance of Rural Infrastructure in Community-Driven Development and Community-Based Projects, World Bank Group

Planning for O&M

Community managed O&M

- How can communities be provided with appropriate technical support for O&M?
- Are O&M plans technically adequate, itemized, and costed out? Do they include costs for routine maintenance and wear and tear, as well as periodic maintenance and capital repair?
- Are O&M plans reviewed and approved by technically competent experts?
- Do local governments and line ministries have adequate technical capacity to support communities?

Institutional arrangements

- What are the institutional arrangements for ensuring the sustainability and effectiveness of O&M (for example, maintenance plans, resource allocation, clearly defined roles and responsibilities assigned across communities and different levels of administration, governance structures, and so forth)?
- Are ownership and management responsibilities (which can be assigned to different entities) clear?
- Can communities legally own assets? If so, what is the process and procedure and can the community manage on its own? Do they need legal assistance?
- If not, will local government or relevant line ministry formally include the built infrastructure in their own register of assets?
Financing

• How will O&M be financed after project completion—will it be financed by communities or will there be cost sharing or resource allocation from local authorities or agencies?

• Do local governments and line ministries have the resources to support O&M? If so, do they have multi-year budgeting, or do they have annual budgeting?

• If communities finance O&M expenses, how will fees be charged and collected? Will users pay fees based on usage, or based on norms (for example, household size), or some other criteria that will ensure fair contribution to O&M requirements?

• Are O&M funds set up prior to construction completion, and are they based on anticipated mid-term O&M outlays, or on how much community members can afford?

Community capacity and capability needs to be built for O&M. We need to understand:

• What degree of local capacity is available at the community-level for planning, design, procurement, contract management, and supervision of small-scale infrastructure projects?

• How can this capacity be supported or enhanced?

• Are there trained technicians, vocation-specialists and tradespeople or engineers in the community who can lead or represent communities on technical matters including O&M?

• How will capacity be mobilized to manage O&M responsibilities?

• Who will take ownership? Who will be accountable?

• Are there competent local contractors or private firms who can be hired for O&M?
Funding for O&M: Community Contribution

- O&M expenses should ideally be covered by financial contribution from the community. O&M should be administered by the community itself. This ensures a continuing stake in the outcome, and can take one or more of the following three forms:
  - User fees: Community members pay for a service (such as the provision of electricity or water or usage of a toilet facility).
  - Regular collection: Community members contribute money regularly which is banked and used for routine or periodic maintenance (or in the event of an unforeseen breakdown).
  - Spontaneous: Community members contribute additional funds when a project breaks down or loses functionality.

- O&M requirements are typically known when the initial technology options are evaluated and solution designs finalised. It is a good idea to start planning for O&M at that stage itself so that the financial and ownership implications do not catch the community by surprise when they take over the projects.

Working for Change

- Organizations that hope to make a social impact can’t do it alone. They need to work with other organizations to scale their efforts if they hope to make progress on social issues. The simple truth of this principle hides great complexity.

- Groups of organizations can work together in a variety of ways. The choices that they make about how to organize influence the capacity of the coalition, the type of change that it will make, and whether communities that are the most affected will have any say in its decisions.

- Knowing each other’s focus areas, strengths and track-record can enable synergistic solutions to be offered to a community will have far deeper and wider impact than a single program. Donor restrictions aside, this opportunity must not be ignored. At the end it’s the impact on the community which matters more than the success or failure of a single program.
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   Sewer Map
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   Mapping Emotions
   Transferring Map on Paper
   - Hand drawn
   - Digitized
   - Key Map
   - Types of Maps
   Mapping the Ecosystem
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7. 24 Seed/ Day Routine - 93
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2. Exhibitions - 125
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Annexure 2

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Our Team

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