

Day One

- **Registration, Introduction, and Opening**
- **Context of Capacity Building in Advocacy**
- **Review of Paradigm Shift in Development**
- **Social Structure and Balance of Power**



Session 1

Registration, Opening, and Introduction

Time: 2 hours

Overall Objective of Session

To introduce participants to the workshop programme

Specific Objectives of Session

- Registration of participants and resource persons
- Mutual introduction of all participants and resource persons
- Documenting participants' expectations
- Correlating workshop objectives with participants' expectations
- Setting norms (if required) and clarifying logistical and other matters

Activities		Time (minutes)	
Activity 1.1	Registration	10	(10) ¹
Activity 1.2	Opening ceremony/activity	10	(20) ²
Activity 1.3	Mutual introductions	30	(50)
Activity 1.4	Collection of participants' expectations	15	(65)
Activity 1.5	Sharing of training objectives, contents, matching with expectations and creation of a 'parking lot'	25	(90)
Activity 1.6	Briefing about logistical matters, setting norms, formation of committees (if required)	30	(120)

Advance Preparation

- **Setting up the training hall and testing equipment (LCD projector, overhead projector (OHP), laptop, putting white board and soft board in place, etc.). This must be completed before participants come into the training hall.**
- **Facilitators must be fully prepared for the methods used in the introductory session. For example, some icebreakers require that materials be prepared in advance. The 'balloon' method has been selected for the session given in this manual. This exercise requires some balloons, thread, and small pieces of paper. These must be prepared beforehand.**
- **Materials for display, materials for presentations, and materials for distribution (handouts) should be fully prepared and kept in the right place and in the right order.**

¹ The figure in brackets is the cumulative time for the session's activities.

² The 'opening ceremony' depends upon the place, the availability of a chief guest, and the interest of the organisers. It is possible to make it longer, but we suggest it be no longer than 30 minutes. If very important persons (VIPs) are coming for the opening, you should arrange a short break right after the opening so that they can meet and talk to participants in an informal setting.

Materials

- Writing pad, pen, paper, training bag (if required), and any other standard material to distribute to participants
- If you want to distribute a file or training bag, it should be given out at the beginning of the training session. Pens, paper, and similar can be put into this bag.
- Markers, newsprint paper, meta cards (i.e., 6 x 8 pieces of coloured card), masking tape, ruler, banner, and so on
- Prepared format or register for registration
- If you need a video screen, VCR, monitor, or other equipment, it should be set up beforehand.
- If you intend to take some video clips to show to the participants in the evening, arrange for the necessary movie camera and a responsible person to do this.
- If you want to take instant photographs and distribute them, or to make copies of documents instantly, you need to plan for the appropriate camera/photographer and photocopying equipment.

The above materials should be made available every day in the training hall. It is the responsibility of the facilitators to verify that all materials are in place. The materials listed above are needed every day so the list is not duplicated in the next sessions. There is space left for you to note down your own requirements.

Methodology to be Used in the Workshop

This manual assumes that the workshop (intended as a Training of Trainers {ToT} workshop) is being held for participants who are generally familiar with the general skills for presentation, and facilitation using different training methods. Therefore the different methodologies to be used during the workshop need not be listed or explained. However, it might be important to note that the workshop will be conducted following participatory methods. In this context, it would be helpful to present the 'cycle of adult learning principles' (using an overhead or LCD projector, or some other display system) and explain the cycle contents.

Apart from this, the facilitators can decide what needs to be shared at the beginning of the workshop. This could include such topics as the adult learning cycle, and slides about participant-centred methods and facilitator-centred methods. If you think it is necessary to present these concepts, you must prepare the necessary materials.

Suggestions for Facilitators Session 1

Activity 1.1 Registration

Time: 10 minutes

This session is not very formal. In an international group, registration can be carried out in the evening before the start of the workshop. This session is meant to record the arrival of the participants, and to give them some materials (notebook, pen, urgent logistical information such as telecommunications and travel reimbursement forms) so they will be prepared for the start of the workshop.

Several formats can be developed to ensure smooth registration. These include the following: (a) room allocation chart, (b) attendance form, and (c) personal details form including travel details and food restrictions. For workshops in which there are only local participants, a simple format can be developed in a register or on a loose sheet of paper. If everything is prepared well, this does not need any separate time allocation. Each participant can complete his or her registration during one of the initial workshop sessions.

If daily attendance must be recorded, prepare the appropriate register. If you want to circulate participants' details (address, contact email, etc.) include space in the register. The following information can be collected during the registration process:

- Name of the participant
- Name of the organisation the participant is coming from
- Participant's position in the organisation
- Area of special interest/competence
- Postal address
- Telephone, fax
- Email address
- Travel details (departure date, time, whether tickets need to be re-confirmed)
- Special requests (e.g., food restrictions)
- Languages (this is necessary only in a multi-lingual workshop)

Activity 1.2 Opening

Time: 10 minutes

This will be a formal programme, preferably conducted in an informal setting. Depending upon their availability and interest, some senior persons from the host organisation can be invited to share a few thoughts and offer good wishes for the success of the training. To conduct this session properly, one of the facilitators or the organiser must function as host during this session. If the registration session was completed the previous evening, the workshop can be started with this session.

The host plays a vital role in this session and must be fully prepared with regard to the following:

- protocol of speakers;
- use of suitable words/phrases/titles to be used as per the protocol;

- providing information to the speakers as to the design of the opening ceremony so they know their roles;
- prior briefing to the VIP(s) with regard to the training programme, its main objectives and the participants, as well as any points that the organiser(s) wish to be included in the speech – if necessary, the organiser should be able to write a speech for the speakers; and
- tentative time allocated for each of the speakers, which should be shared before the programme begins.

Activity 1.3 Introduction

Time: 30 minutes

An introduction enhanced by an appropriate icebreaker is recommended for this session. As this is a ToT workshop, from a technical point of view the entire workshop must function as a model for the participants. There are many icebreakers that can be used for the introduction session. Facilitators can choose any one of them. However, all the processes followed in this training must be appropriate and use a ‘best practices’ approach. Content, or workshop theme-related icebreakers are the most suitable, as they help move the participants naturally into the theme of the workshop. However, the creation or identification of such a focused icebreaker is not an easy task, and many use this session purely as a ‘fun’ exercise. Even so it would be good for the organisers to keep this double agenda (‘fun’ and ‘theme-related introduction’) in mind while selecting the icebreakers.

The ‘balloon game’ icebreaker could be used for both the above-mentioned purposes, both ‘fun’ and ‘theme related’.

- Divide participants into two groups randomly as they are seated, using the one-two, one-two way of assigning numbers. This will ensure that those who naturally sat together (because they already know each other) will be forced to mix with others. In this group division, there is no need to try and make balanced groups as all the ‘ones’ come together and so do the ‘twos’.
- Distribute a small piece of paper (just enough for the participant’s name) and an empty balloon to each person.
- Ask each participant to write his or her name on the paper, and to fold it so that it can be placed inside the empty balloon. Participants are asked to blow up the balloon. Finally, they have to tie it up and put it in an assigned place. Participants can use thread to tie the balloons if necessary.

After all the participants have finished this task, each one is asked to select a balloon. While selecting a balloon from the basket, they should try not to choose their own balloon if they can recognise it. Then, coming forward one by one from each of the two groups, each participant has to break the balloon selected by putting it on a chair and sitting on it.

- Rules could be created for breaking the balloons to make it a competitive game. These could include rules like:
 - breaking the balloon in one try,
 - breaking the balloon with a sound.
- People who cannot break the balloon in one try or with a sound will lose a point for their team, while the one who succeeds will gain two points for the team.
- The facilitator will record the scores and announce the winning group at the end.

- Since the game is being played on a competitive basis between two groups, the group members can coach, lobby, or do anything to help their own team to win. It may be noted how many use ‘ethical’ and how many use ‘unethical’ means to gain their ends. This can be used later in a discussion on means and ends in advocacy.
- When the balloon is broken, the person must look for the piece of paper inside and keep it.
- After this balloon bursting activity, the facilitator asks all participants to find the person whose name is written on the paper from the balloon, and spend five minutes learning their name, address, position, and area of special interest.
- After giving a few minutes for these individual conversations, the participants once again sit in a circle (in plenary), and start introducing one another. One by one participants stand up and call out the name of their newly discovered friend, and introduce that friend to the other participants. The one who is introduced then introduces whoever’s name they picked. Thus it goes on in a chain. If the chain is broken, any new person can start another chain.
- The session can be wrapped up by pointing out the following elements that could come up in advocacy work:
 - a) the need to ‘win’ in order to keep enthusiasm going;
 - b) the importance of means and ends in one’s advocacy work if one is not to lose one’s integrity;
 - c) the fact that people often choose the easiest way to win: for example, as far as possible, people do not choose a balloon smaller than the others as it is harder to burst;
 - d) the idea that the physical symbolism of blowing up the balloon can be used to express how advocacy helps to bring the sufferings of the small and the marginalised to the notice of the general public and decision makers by ‘blowing it up’ so that it becomes an issue.
- These are only some examples of what could be discussed to connect the opening icebreaker to the workshop theme. In each particular workshop the facilitator will have to be creative enough to make these connections and to choose an icebreaker that lends itself to such connections.
- It is not necessary that the facilitator of the session should be the one to bring up all the above points in this discussion. Rather, facilitators should be able to encourage participants to express such connections. However, as this is the starting session of the workshop, it is natural that many participants will not speak out.

Activity 1.4 Participants’ Expectations

Time: 15 minutes

Before starting this part of the session, meta cards (i.e., 6 x 8 pieces of coloured card) and enough markers have to be made available on a central table. The facilitator then asks everyone to write out their priority expectation from the workshop. All cards should be displayed in some easily seen place (a pin board, on the walls) and participants are requested to go around to read each one. If necessary, the facilitator can ask some of the participants to come over to the board and group the cards according to theme.

Another way of displaying cards would be to display all the cards on the ground. Participants are requested to come around and jointly divide them into thematic clusters. For this kind of display, there must be enough space in the training hall.

Activity 1.5 Objective, Contents, and ‘Parking Lot’

Time: 25 minutes

Immediately following the ‘display’ of expectations, the planned objectives of the training should be presented to the participants. This could be done through a transparency (overhead) or a PowerPoint presentation.

What is crucially important, however, is that the facilitator makes the effort to match the expectations of the participants with the workshop objectives and to show the similarities.

If some of the expectations do not match with objectives, the facilitator can create a ‘parking lot’ where these expectations are ‘parked’. The facilitator can then see if these parked expectations can be covered in appropriate sessions. In addition, many innovative ideas may come up during the workshop that are not directly related to the training contents. These ideas can also be parked and some time can be made available towards the end of the workshop to discuss them. If a parking lot is created, the facilitator must give a short briefing about its use to the workshop participants.

Briefing on training programme and contents

- The facilitator should distribute the timetable of the training workshop and explain all the main topics briefly. As far as possible, the facilitator must relate the contents to the objectives and expectations of the participants.
- In some groups, participants raise issues already in the training contents, resulting in unnecessary debate. In such situations, the facilitator of this session should tell them politely that the contents are tentative and broad, and that special concerns can be dealt with during the discussions.

Activity 1.6 Logistics and Norms

Time: 30 minutes

- This will be the last activity of the session. During this session, the facilitator needs to ‘negotiate’ with the participants on matters such as the duration of the sessions, the time to start and end each day, meal times, etc. for the entire workshop. If certain elements are non-negotiable, the facilitator must indicate this very frankly. If there is room for negotiation in any area, it should be done in this session.
- Sometimes special norms need to be set in particular workshops. If such norms are necessary, one of the facilitators should initiate the discussion and the necessary norms can be established.
- Another way of doing this could be to have a set of norms already prepared (on paper or through a presentation), so the facilitator can guide the participants through them, discussing the rationale behind each one and negotiating its acceptance or modification.
- In some workshops it has been useful to set up committees. The number of committees to be formed depends upon the jobs that the organisers may wish participants to take during the workshop. The possible jobs could include: managing each day’s review managing resource materials, dealing with logistics, or organising recreational or cultural activities in the evening.
- If necessary, the facilitator may need to explain once again to the group the implications of the ‘participant-centred method’ and the ‘trainer-centred method’ of training, and the amount of responsibility the former places on the participants themselves.

- In a sensitive area, some briefings may be needed about local culture, the security situation, customs of dress, food and drink, and which costs incurred during training are official and which are personal (for example, telephone calls).

Please insert here notes on the specific cultural norms of the country you are organising the training in.



Resource person in advocacy ToT from Coady International Institute, Canada

Resource Materials for Session 1

RM 1.1 Information

During the introductory icebreaker session, participants have to be clearly informed that they must gather the following information to introduce the participant they selected by the balloon method. This can be done by displaying the following either on a white board or on some newsprint paper:

- full name
- organisation and address
- position in organisation
- previous experiences in this field (briefly)
- special contribution during the workshop, e.g., ability to dance, sing, crack jokes etc.

RM 1.2 Overall Objectives of the Workshop

Goal

This ToT workshop aims to provide trainers with the means to train their own participants in advocacy strategies, tools, and techniques to enable them ultimately to undertake lawful advocacy initiatives.

Objectives

In particular, the objectives of the Training of Trainers (TOT) workshop are to

- a) establish a common understanding on the conceptual framework of advocacy and its strategising processes;
- b) share contextual experiences in advocacy strategies and initiatives from different parts of the Hindu Kush-Himalayas;
- c) analyse different tools and techniques used by various organisations for advocating on behalf of the marginalised to claim their basic human rights;
- d) contribute to establishing a common pool of resources through networking and alliance building to undertake advocacy initiatives for contextual issues; and
- e) develop future strategies to implement capacity building programmes in advocacy concepts and tools for community-based organisations in the region.

In other workshops/training programmes, a different set of goal and objectives may have to be set. This manual models how to articulate such a goal and objectives but facilitators should be clear that the goal and objectives written here may not be appropriate for all workshops/training programmes. Preparing a goal and objectives is essential for the smooth running of any workshop, as it brings clarity to the planning and conduct of the sessions. In this workshop more time is spent on creating understanding than on skill building.

RM 1.3 Training of Trainers Workshop in Advocacy (Timetable)

Day 1		
Time	Contents	Person Responsible
08:30-10:30	1. Registration, Opening, and Introduction	
10:30-10:45	Tea Break	
10:45-12:45	2. Context of Training	
12:45-13:45	Lunch Break	
13:45-15:15	3. The Paradigm Shift in Development	
15:15-15:30	Tea Break	
15:30-17:00	4. Social Structure and Balance of Power	
Day 2		
08:30-10:30	Day Review 5. Advocacy – Meaning and Purpose	
10:30-10:45	Tea Break	
10:45-12:45	6. Relationship between Advocacy and Good Governance	
12:45-13:45	Lunch Break	
13:45-15:15	7. Steps in Advocacy – Identification and Analysis of Issues	
15:15-16:00	Tea Break	
16:00-17:00	8. Open Session	
Day 3		
08:30-10:30	Day Review 9. Selection of Policy Issue, Vision, and Goal	
10:30-10:45	Tea Break	
10:45-12:15	10. Selection of Target Audiences, Allies, and Opponents	
12:15-13:15	Lunch Break	
13:15-14:45	11. Alliance Building and Networking	
14:45-15:00	Tea Break	
15:00-16:00	12. Media Advocacy	
Day 4		
08:30-10:00	Day Review 13. Finalising Advocacy Strategies	
10:00-10:15	Tea Break	
10:15-11:45	14. Activities, Timeframe, and Budget	
11:45-12:45	Lunch Break	
12:45-14:15	15. Monitoring and Evaluation	
14:15-14:30	Tea Break	
14:30-16:00	16. Negotiation Strategies	
Day 5		
08:30-10:30	Day Review 17. Contemporary Tools for Advocacy Initiatives	
10:30-10:45	Tea Break	
10:45-12:15	18. Some Techniques for Advocacy Initiatives	
12:15-13:15	Lunch Break	
13:15-16:15	19. Back Home Plan – Action Plan	
16:15-16:30	Tea Break	
16:30 +	20. Evaluation and Closing	

Note:

This is a tentative time-table for a five-day TOT. The time required for a session depends upon the number of participants and the methods that facilitators use for different sessions. Therefore, it is recommended that in each training course a separate timetable should be prepared based on this example.

If you are organising a training of less than five days, you need to prepare the timetable accordingly. The selection of topics and the time allocated depend upon your needs.



Participants in the Training of Trainers in Advocacy organised at Abbottabad, Pakistan

Session 2

Context of Training

Time: 2 hours

Overall Objective of Session

To become familiar with the context of this workshop

Specific Objectives of Session

- Explain the context of capacity building in advocacy
- Explain the goal, objectives, and implementation modality of the {Workshop Context} activity
- The need for such training of trainers (ToT) workshops in the HKH area
- {Workshop Context's} expectations from this training
- Analyse the participants' working contexts

Activities		Time (minutes)	
Activity 2.1	Presentation of the training context	15	(15)
Activity 2.2	Explain goal, objectives, and modality	20	(35)
Activity 2.3	Discussion the need for capacity building in advocacy	15	(50)
Activity 2.4	Inform participants about and discussion of {Workshop Context's} expectations	10	(60)
Activity 2.5	Context analysis	60	(120)

Advance Preparation

- Participants must know the context in which the training is being organised. The contexts of the different users of this manual may not all be the same. Therefore, a full briefing on the context of the particular workshop being conducted is necessary.
- As a facilitator you should put aside a few minutes in the break following the previous session to look at the participants' expectations. In this session it is the organisers' turn to share their expectations. Ideally, the expectations of all parties should match as this will foster a productive training environment. The case facilitator must be able to make connections between the previous session and the next one.
- Generally, the main organiser of the training workshop should take the responsibility for leading this session. If you are facilitating on behalf of the organising group, be clear about their expectations.

Every workshop is the outcome of a history that explains why the workshop was organised in the first place. It is good to use this session to brief the participants about this history as it will help them situate themselves within an ongoing effort.

The quality of the training depends upon preparation. Everything must be prepared in a systematic way before the session. Preparation includes slides on LCD; checking the colour and font size of slides and clarity of slide contents; use of pictures, graphics, and other symbols; and so on. Facilitators should prepare at least one back-up method of getting the message across as well as supporting materials. For example, if your LCD does not work and you do not have another back-up prepared, you will have a problem. There is no use in blaming the machine. This will be your inefficiency. If you are planning to present most of the contents on LCD, you also need to prepare the same things on OHP slides or newsprint paper. A back-up prepared on a flip chart is always safe and workable in all situations.



Suggestions for Facilitators Session 2

Activity 2.1 Presentation of the Context

Time: 15 minutes

Start the session by helping the participants see the importance of ‘knowing the context’. This can be done using a riddle (see first example below), or a poem (see second example below), a simple drawing on the board (see the third example below), or in other ways that must be chosen depending on their being understood by the workshop participants.

- **Example 1:** Ask participants whether ten minutes is a lot of time. It is, if you come ten minutes late to catch a train/plane. Then ask whether one second is a lot of time. It is, for someone running the 100 metres race in the Olympics. In both these examples, the context makes the difference.
- **Example 2:** Alternatively use the famous English poem stating, “for the sake of a nail, the kingdom was lost”. Without knowing the context it is inconceivable that a kingdom could be lost for one nail.
- **Example 3:** Draw a star on the whiteboard. What is it? Just a star. Now draw a crescent moon just below it, and then put both in a rectangle. Now the star, when seen in the context of the two new items you have drawn, is more than a star, it represents the nation of Pakistan as that country’s flag. Thus the importance of context.

Next, start the presentation of the context of this particular workshop. As an example the context for the regional, national, or local training organised by ICIMOD is shown in the box below.

This workshop is being organised based on the vision conceived by the Action Initiative (AI) formulated by ICIMOD. The name of the project is ‘Capacity Building of Community-based Organisations in Advocacy Strategies in the Hindu Kush-Himalayas’. Presentation (2.1, i.e., Resource Materials 2.1) can be shared using any means of presentation (i.e., transparency or PowerPoint).

REPLACE THIS WITH TEXT APPROPRIATE FOR THE TRAINING ORGANISATION

After completing this initial presentation, spend some time asking the participants if they have any questions for clarification. Handle the questions quickly without getting into a lengthy discussion/argument, and promise to take up later any questions left at the end of the session.

Activity 2.2 Clarification of Workshop Context

Time: 20 minutes

This activity presents the goals and objectives of the relevant project in your particular context. While a PowerPoint presentation, an OHP, or a flip chart can be used, remember that merely ‘reading out’ what is written on these visual aids will not be very helpful from

a training point of view, since the learning material tends to remain at the ‘head’ level and will not be really grasped or internalised by the participants. Therefore, the facilitator must always make sure to intersperse any reading with comments, discussion points, anecdotes, etc. to make it come alive. However, make sure that this presentation is made continuously and finished expeditiously in order to fit within the time allocated.

If there is no time pressure, time can be given to raising questions for clarification. However, there is no real reason to get into a debate.

Activity 2.3 Need for Capacity Building in Advocacy

Time: 15 minutes

- This part of the session could start with questions like,
“Is capacity building in advocacy really needed in the present context of what is happening to marginalised people in the mountain areas?”

“Are the contexts identified by ICIMOD valid in the real-life situations of the mountain people with whom they work?”

Relate all discussions to the previous presentations. Some participants may suggest that advocacy is not a priority need of the people in mountain areas. Explore the reasoning behind such views rather than trying to be defensive. The discussion will inevitably lead to the question, ‘What is advocacy, after all?’ This should be the focal point of your discussion, as it will prepare the ground for the future session on clarifying the concepts of advocacy. You have to remember that the main intention of this session is to heighten the participants’ curiosity about advocacy. You can conclude this part by indicating that more clarity will be offered in subsequent sessions.

You could of course end this part of the discussion by leading the participants to realise that community needs are connected with policy issues, and to ask themselves whether any sustainable social transformation is possible if development interventions do not touch the policy issues.

Activity 2.4 Workshop Context Expectations

Time: 10 minutes

You can start this part of the session with a PowerPoint presentation as mentioned in RM 2.2 in the case of this training. For other training in different contexts, see the suggestion given in the box below.

- After the presentation of listed expectations, you can generate discussion by asking, for example, “Are these expectations realistic or not? What do you think?”

The expectations of your organisation from this training may be different. You can adapt some tips from this manual but you have to prepare your own list of expectations to present in this session.

- Some of the participants may make various remarks. You should not answer any remarks made in this session. Just listen carefully and appreciate them all. If someone wants your views, ask them to listen to their friend first. Let the discussion continue to the time limit.

- Conclude this part of the session by showing that the expectations of the organiser, the expectations of participants, and the objectives of the training programme correlate. You can give some examples from past presentations. Invite the participants to see how these expectations match in the coming sessions.

Additional Suggestion

In all training sessions, participants become excited at the beginning and ask different questions. They like to relate everything to their own context. This is quite natural. However, it is the facilitators' role to guide participants onto the right track as visualised in the training package. You may have some difficult participants in each group. Such people often think that their opinions are absolutely right. These are challenging situations for facilitators. Be prepared and equipped with the necessary tools to deal with these situations. There are different ideas about how to deal with difficult participants. You will find tips in literature on training. This is important not only for advocacy training but also for all training sessions and workshops. It is recommended that such advice be discovered and that trainers become familiar with how to use such tips in the appropriate situations.

Activity 2.5 Context Analysis

Time: 1 hour

Indicate that the above activities have set the overall context of the training. Now the working contexts of the participants need to be reviewed. This can be done in country- or region-specific groups, as shown below.

- Divide participants into several small groups of 5/6 persons. This group division should be made based on the country/state or geographical locations from where the participants have come.
- Ask them to identify the inputs that have been provided for social transformation so far. It is not necessary to review the inputs of only their own organisation. They can take a broader approach and review all inputs given by various stakeholders in their area.
- Identify the achievements made so far, asking, "What achievements have we had from these inputs?"
- Participants can be encouraged to see the inputs as the roots of a tree and the achievements as the fruit. For example, if we have water and manure as inputs, we will get good fruit later on. This principle can be applied to development as well.
- Ask them to prepare a presentation in a 'tree format' showing inputs as the roots and achievements as the fruit on the tree.
- Give 40 minutes for small group work, including preparation for presentations.
- This amount of briefing may not be enough for some participants. Facilitators should go to the small groups and help them present their findings in the tree format.
- After all the presentations, open the floor for plenary discussion for as long as possible. The discussion should be for sharing individual views but not for debate. If you allow too many questions and answers, you will be trapped in a never-ending debate.
- Finally, close this session with remarks like, "Many development agencies, including governments, have been providing innumerable inputs for a long time. However, poverty, deprivation, and marginalisation still exist. Therefore, the development approach must be viewed critically in the coming days/ generations."

Resource Materials for Session 2

RM 2.1 Workshop Context

- Explain {Workshop Context's} role in the last few years in having conceptualised, nurtured, and assisted in the creation of CBO and NGO alliances in the Hindu Kush-Himalayas {or other appropriate activities}.
- Discuss the emergence of CBOs and their networks in the mountain areas as potentially powerful institutional mechanisms for mountain development and for advocating the rights of mountain communities.
- Review the tremendous response from individuals who have demonstrated their commitment to build and strengthen CBO alliances and networks in the region to articulate the concerns of mountain farmers and women at the grass roots and to empower them to work against the injustices they face.
- Point out that a relative absence of understanding and clarity in advocacy concepts and tools persists among all actors (NGOs, CBOs, and GOs) in the region.
- Endorse the belief that effective advocacy can make a contribution to assisting disadvantaged groups gain more control over their own lives.
- Finally, emphasise that this workshop was the outcome of an independent needs assessment, which endorsed the need and demand for capacity building in advocacy strategies for these actors, and constitutes the thrust of this Action Initiative.

RM 2.2 Expectations from this Workshop

{Workshop Context} expects that the following conditions would be achieved as a result of this workshop. The following example relates to ICIMOD, replace as appropriate:

- conceptual sharing on various aspects of advocacy taking place at the regional level;
- practices/techniques, case studies, and experiences of advocacy in different countries being shared at the regional level;
- a feeling of commonality and alliance building for advocacy efforts and exchange of expertise;
- a resource pool on advocacy matters emerging in these mountain areas;
- sharing of reference materials, examples, and experiences from different countries to further equip potential trainers of the region; and
- inter-linked strategic thinking about advocacy for mountain people spreading through the participating CBOs to all the four countries involved.

Session 3

The Paradigm Shift in Development

Time: 1 hr 30 minutes

Overall Objective of Session

To review the paradigm shifts in development approaches

Specific Objectives of Session

- Review the advantages and weaknesses of the welfare approach
- Assess the achievements of the reform approach and its limitations
- Explain the needs of a rights-based approach and its connection to advocacy
- Give some reasons for the emergence of the concept of social inclusion.

Activities		Time (minutes)	
Activity 3.1	Brief review of development approaches	15	(15)
Activity 3.2	Development vision under different approaches	20	(35)
Activity 3.3	Comparative analysis of different approaches	15	(50)
Activity 3.4	Comparison between rights- and needs-based approaches	40	(90)

Advance Preparation

- The diagram of the paradigm shift prepared for this session is a generic one. It does not represent the situation of any one country.
- Remember this is a conceptual session. Participants may raise different questions for clarification. You should be fully prepared to deal with those questions regarding the development paradigm.
- Do not think you must personally answer all questions. You can encourage participants to be a part of this exploratory session by asking for their perceptions and understanding. It is also not necessary that everyone agree on all issues/aspects in this session.
- All presentations, either in PowerPoint or using the OHP, must be prepared before the session. You should have back-up methods and materials also prepared in case one method fails for technical reasons. For example, if the electricity fails, you cannot make a PowerPoint or an OHP presentation.

Suggestions for Facilitators Session 3

Activity 3.1 Brief Review of Development Approaches

Time: 15 minutes

It might be helpful to prepare the participants by indicating at the outset that the session is going to be a very conceptual one about development approaches. This is especially necessary if the participants are field-based personnel who are more interested in practical ways of doing things and who may get impatient with spending time on conceptual aspects.

- Introduce the concept of the evolution of development approaches using a parallel example from their own lives. Choose an example that is suitable for your group.
- For example, you might ask participants, “How have rural lifestyles changed over the last 20 years in terms of dress, food, and housing?” You can also ask this question differentiating between men’s and women’s clothes. Make three columns on the white board – 20 years ago, 10 years ago, and today, and fill in the responses as below. This is just one of the ways of generating discussion. Facilitators may find other interesting ways.

Parameters	20 years ago	10 years ago	Today (2004)
Dress of men			
Dress of women			
Food eaten at home			
Food eaten outside			
Differences in houses			

- After several points have been noted on the board, ask participants why such changes have occurred. Participants might have different reasons. Appreciate them all and say that all opinions are valid in their own context.
- More importantly, indicate that often these changes are necessary because the situation changes, or our own understanding changes, and that sometimes it is very hard to see why some of these changes have taken place. The same is true with regard to the changes in development approaches.
- Present a brief review of development approaches (RM 3.1). During your presentation, remember to illustrate your review with several practical examples from different countries and communities.
- Let participants express some of their experiences with different approaches, and be careful not to react negatively to their perceptions. At some point you will also need to point out that clarity will come as the session progresses.

Activity 3.2 Development Vision

Time: 20 minutes

- This part of the session continues the discussion initiated with Activity 3.1. The graphic 'Development Approaches from the 1950s to the Present Day' as given under Resource Materials 3.1 can be used as a PowerPoint slide or on an OHP. The graphic can be used as the scaffolding on which this part of the session is built. This involves focusing on different perceptions and activities that guide the different approaches. In all instances it is important to give practical and relevant examples. Clarify that this presentation is a continuation of the previous one.
- The idea of different development approaches can be brought home to participants through their own development work experiences. You could ask questions like, "Have you seen such differences in your own organisation over the years?" You can also give some examples from your own organisation for clarity. You can extend this discussion up to the time limit for this part of the session.

Activity 3.3 Comparative Analyses

Time: 15 minutes

- This section further highlights the need to include a rights-based approach in development work (compare RM 3.3). You need not spend much time on this presentation, but it is important to defuse any inner psychological resistance that might surface when the rights-based approach is introduced. Such resistance is based on the fact that those who are working in the field can sometimes feel that the rights-based approach is just some new jargon being pushed by donor agencies, or that stressing such an approach downgrades all that was done in the past. Tell them openly, this is not the intention of this session.

Activity 3.4 Comparison between 'Rights' and 'Needs'

Time: 40 minutes

- Start this part of the session by clarifying that welfare and reform programmes are carried out to fulfil the immediate needs of marginalised and poor people. In order to explain this, you can use the imaginary examples suggested in relation to natural resource management programmes that are given in 3.5 and 3.6 of the Resource Materials section of this chapter.
- After these presentations, circulate the case study (RM 3.7) in order to initiate a plenary discussion. Give participants 15 minutes to read the case study individually and ask them to assess the situation as indicated by the questions written at the end. After this individual review, initiate a discussion in plenary by considering the same questions given in the case study.
- Then go to the presentation that highlights the key thrusts of a rights-based approach as mentioned in RM 3.8. If time permits, you can open the floor for a short discussion after this presentation. If you are pressed for time, there is no need for a detailed discussion. Any areas of confusion may be cleared up in coming sessions.
- Finally, relate the rights-based approach to development with the concept of advocacy. The main points for your concluding remarks of this session could be as follows, below.

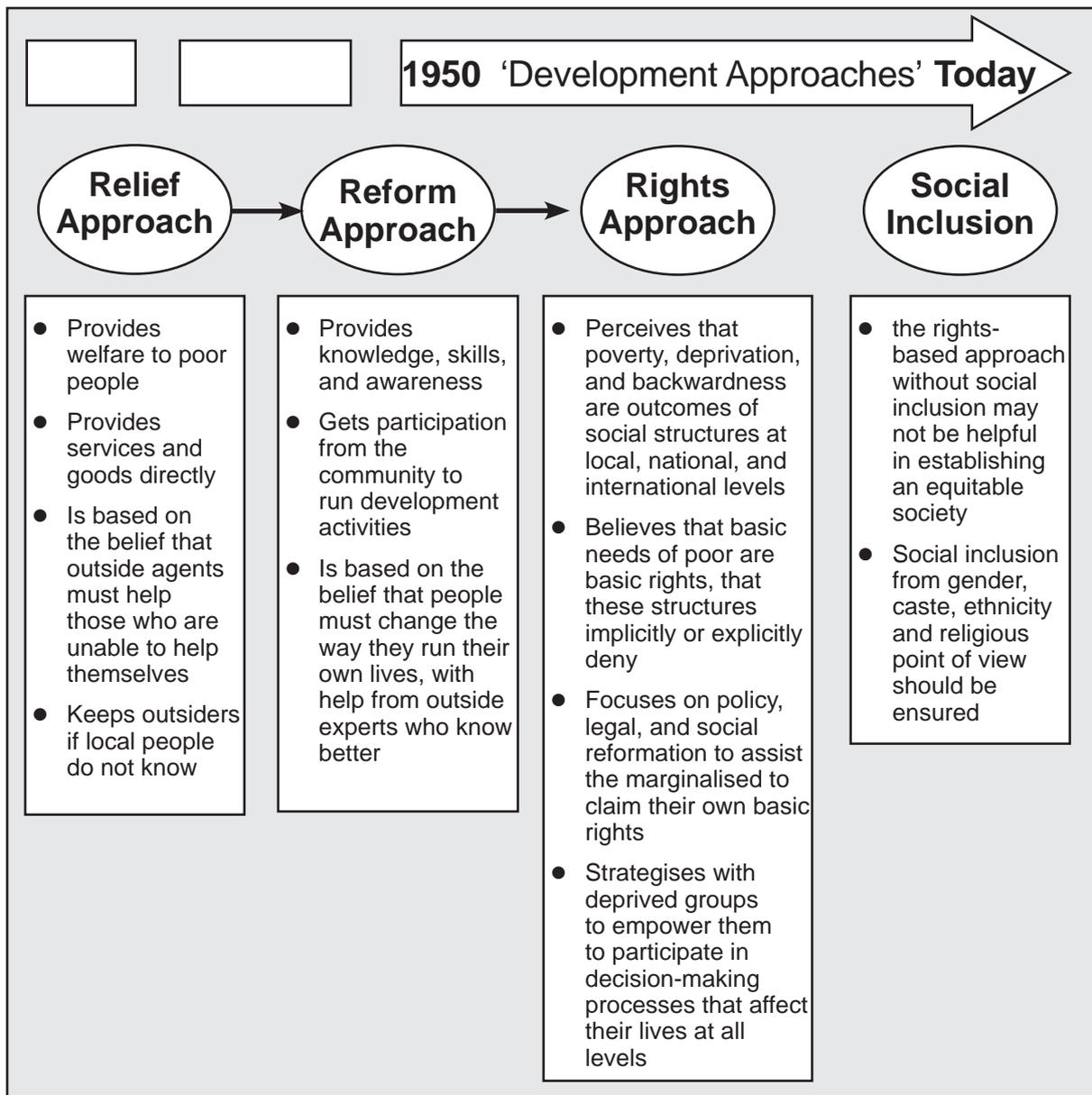
- The rights of many people are the source of power. Power is always related to benefits: more power = more benefits; less power = fewer benefits.
- The power holders of today are not going to give up their benefits easily.
- A strong collective voice and logical arguments are required to regain the people's power, which is all part of an advocacy initiative.
- Becoming familiar with the rights-based approach is one thing participants should do before the advocacy training. However, past experience indicates that people who are not familiar with the rights-based approach also come to advocacy training and get confused in this session. They demand more details about the rights-based approach which is not possible in one training session. So, you have two options: (i) ask those participants to read more about the rights-based approach; and (ii) add some extra presentations on the rights-based approach after this session.
- People in government agencies still get frightened by the term 'rights' in this session. You need to be extra careful if you are giving advocacy training to government staff.
- This training session begins with broad topics. It is natural that participants get confused until the contents go into specific detail about advocacy. So do not worry about confusion in this session. Things will become clearer for participants in the coming sessions.



Resource Materials for Session 3

RM 3.1 A Brief Review of Development Approaches

The following graphic shows the gradual changes in development paradigms over the past half-century. Some use the term ‘evolution of development approaches’. The reality is that if development approaches are viewed in a broad sense from the Marshal Plan approach onwards, various changes can be noticed. The main message of this graphic is that we need to look back at the activities that have been carried out in the past in the name of development.

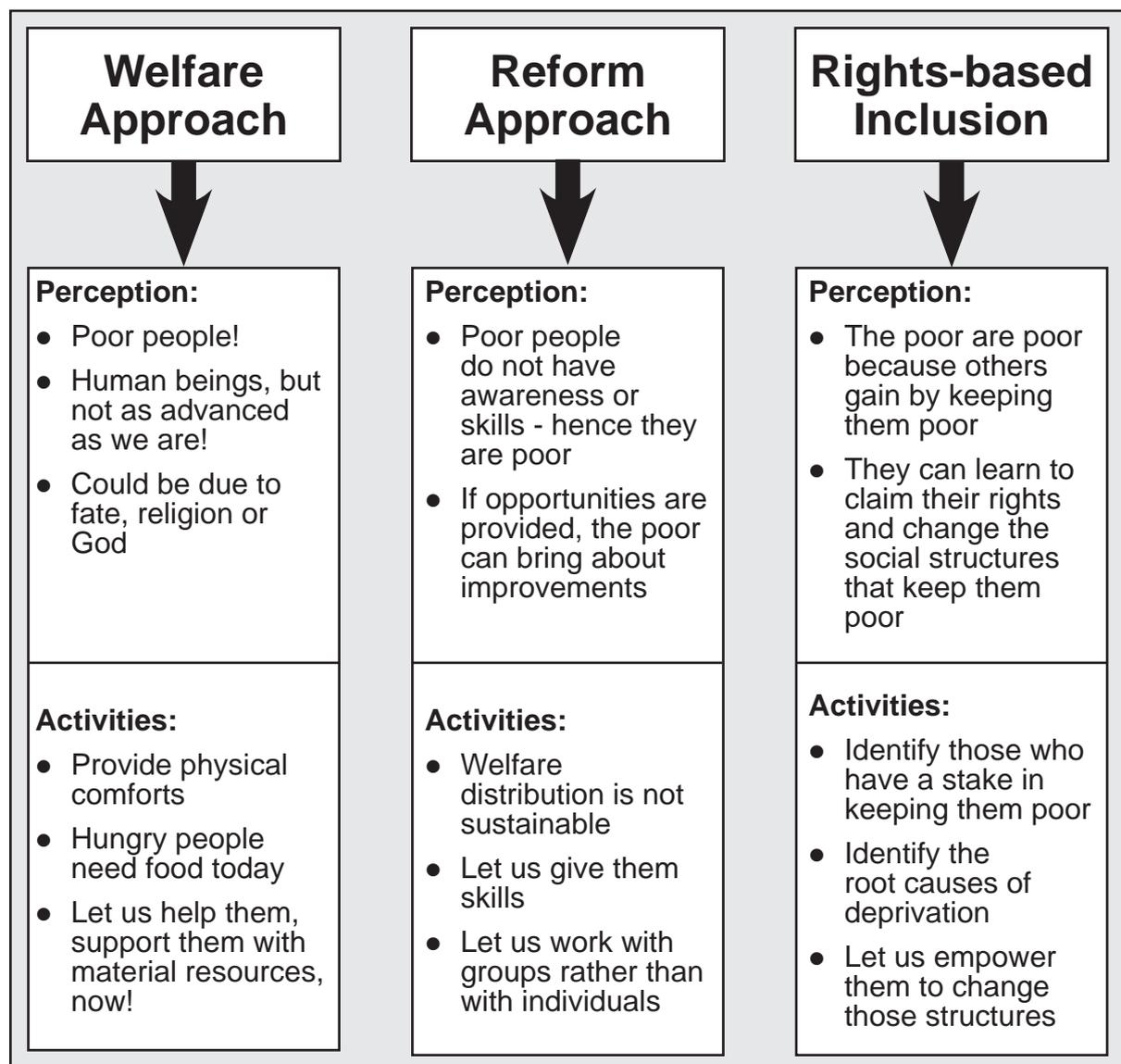


Development approaches from the 1950s to the present day

The above summary is presented here as one example of how to explain the paradigm shifts in development approaches. Other such diagrams can be made. However, the **rights-based approach** must always be included in any model or diagram used. Moreover, analysing a real-life situation or particular context that is familiar to the participants will help to explain the above model (or a similar model). The list of characteristics under each approach can be made more extensive. It can also be emphasised that there is no claim that the rights-based approach is the only valid approach for all situations, and that the other two approaches are worthless. Welfare and reform programmes are still valid and are required in various contexts.

RM 3.2 Comparative Analysis of Development Approaches

The following comparative diagram has been prepared only to clarify the same concept presented by the graphic in RM 3.1. A comparative analysis can be carried out in the same way using different parameters such as cost, area coverage, and population. If you like, you can enlarge this graph for your own use. However, an example of perception and activities will be enough for conceptual clarity.

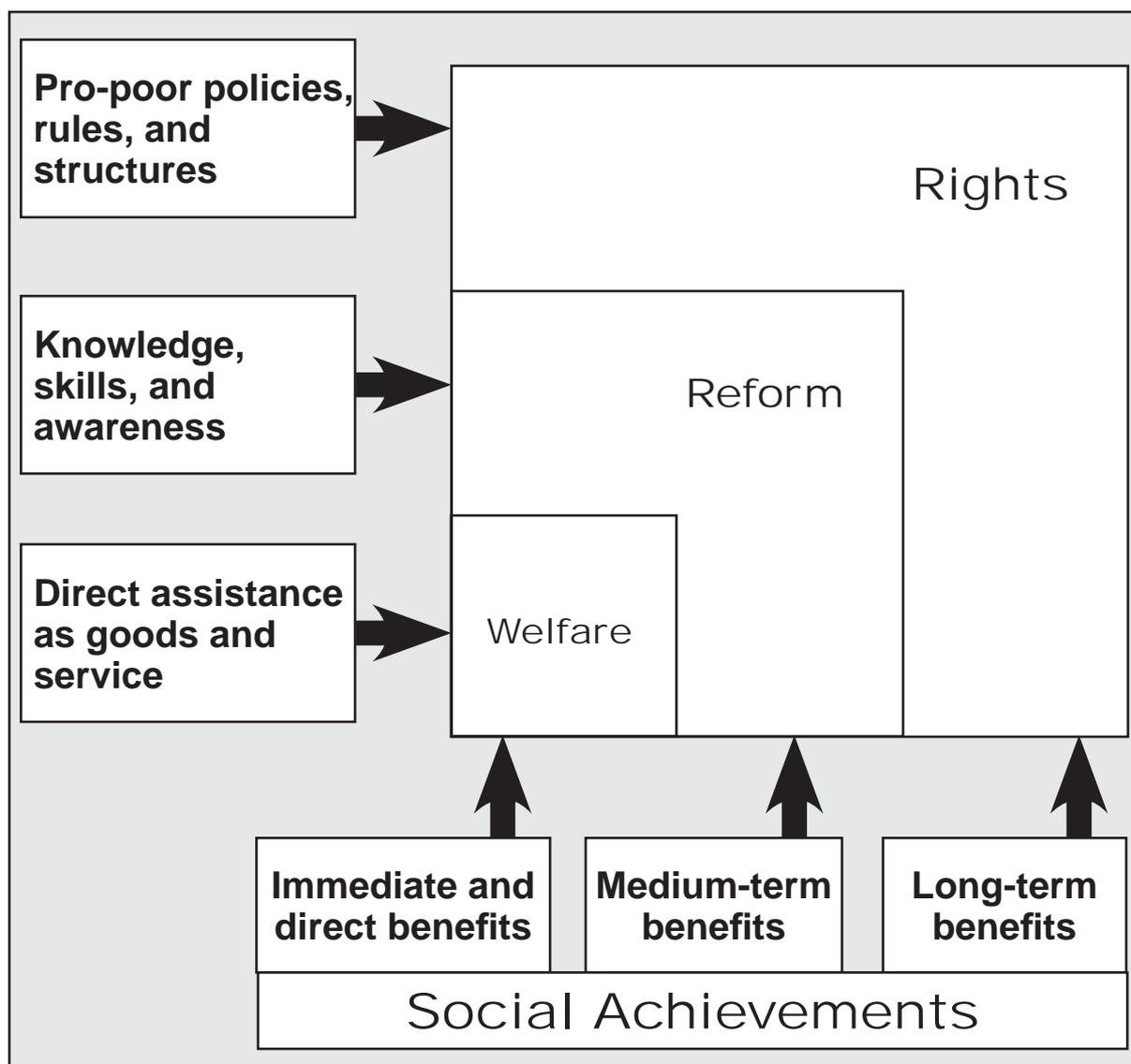


Development approaches from the 1950s to the present day

The main message of the above diagram is to point out how different development agencies perceive the problems and root causes, and the activities that flow from these analyses. We know that people are poor, deprived, and marginalised, but analysis helps us see why. We need to do this analysis continuously in order to make sure we are dealing with the actual root causes rather than the superficial, symptomatic causes. Whatever terms we use, until and unless we dig out the root causes of the problems, we will keep on completing development activities but the dependency status of the poor will not be changed significantly and in a sustainable manner. So, a programmatic shift is the demand of the present development trend, particularly in South Asia.

RM 3.3 The Value of the Rights-based Approach to Development

The same concept as presented in diagram RM 3.1 can be further developed and visualised differently. The following figure highlights an added dimension. The main focus here is that the goals of various development interventions can be enlarged or strengthened if the policy connections of problems are identified and included in the overall planning of all interventions.



Points for further consideration

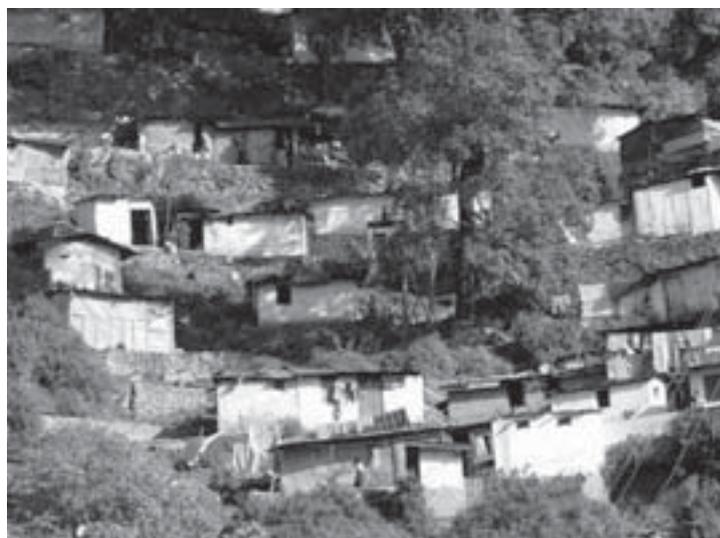
- The figure displayed above explains the gains and achievements from development interventions based on different approaches.
- Development approaches can be compared to a ladder. When the upper step of the ladder is constructed, there is no question of removing the lower ones. All steps of the same ladder are important, but it helps to reach the distant goal if one climbs up to the top-most step. Therefore stressing the rights-based approach does not imply that welfare and reform programmes are not needed. There should still be interventions based on the welfare and reform approaches, but these interventions must be able to mobilise the community to establish and/or claim their own basic human rights.
- To establish basic human rights, welfare- and reform-oriented development programmes must be linked with structural reform and social transformation in favour of poor and vulnerable groups.
- The ultimate destination of present-day development work has to be related to policy considerations because the root causes of poverty and deprivation are intimately connected with policy issues.

Note

What needs to be stressed is that welfare as well as reform programmes have to be **connected** with the process of attaining basic human rights. This is the important insight we have today in development work. Unless development agencies connect their programmes with policy issues that impact on the human rights of a large section of the population, the type of development they support will not be sustainable from a people-centred point of view, and will always be dependent not only materially, but more importantly, psychologically, on outside agents.

It is also imperative for those of us involved in development work today to discover the connectivity of activities carried out based on different approaches. For example, some agencies are very professional in providing welfare programmes for needy people, and it may not be necessary or suitable for them to eliminate such programmes and follow the rights-based approach, especially if they lack the human resources and competence to carry out such an approach. A similar reality applies to those who are very strong in the reform type of development programmes.

However, whatever the preferred approach, all agencies should create a linkage between their programmes and the basic human rights of the poor and marginalised people living

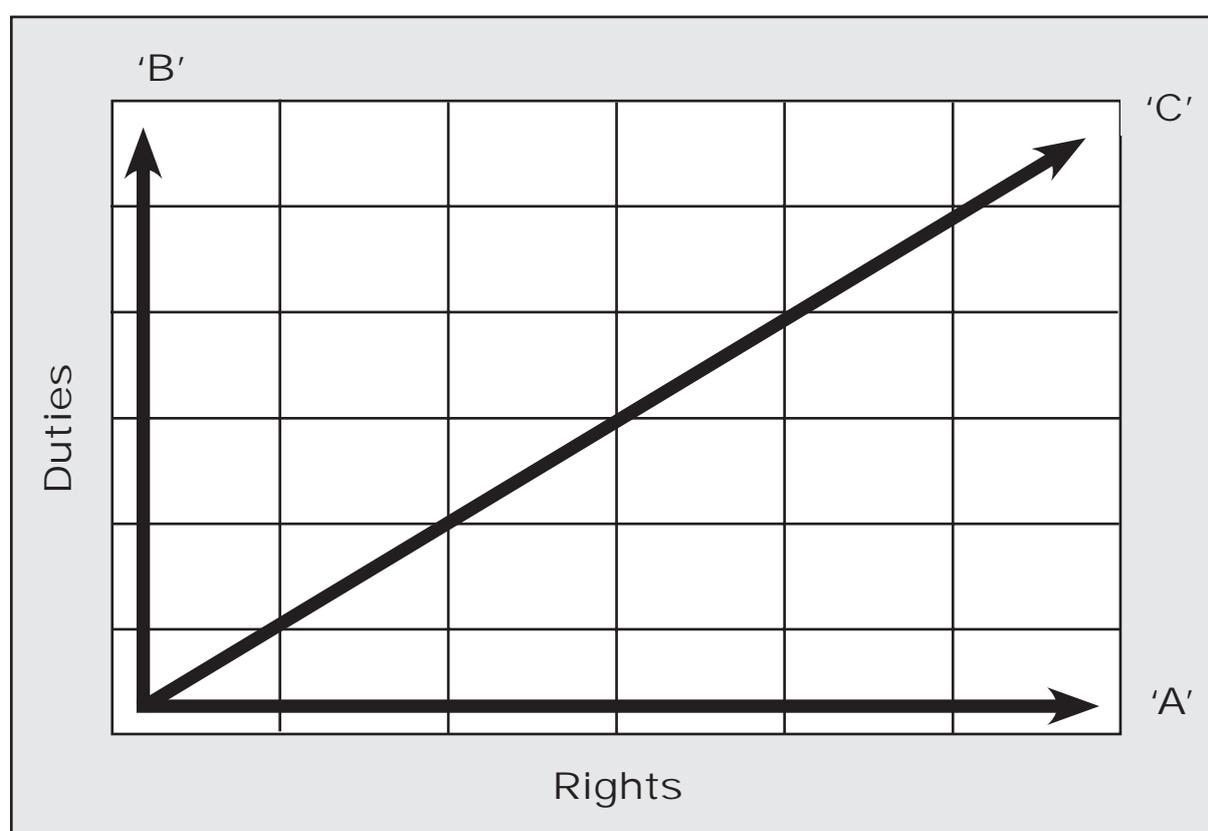


in the mountains. If we cannot establish this kind of connection, we might disregard the root causes of poverty and deprivation, and our support to the poor and marginalised would quite likely end up being instrumental only in minimising the effects of the root causes. Therefore, the intention of this analysis is to bring to the minds of the workshop participants the awareness required to maintain the connection between development activities and human rights issues.

The rights-based approach is not a new programme. No one should be afraid of this approach. The only difference is one of perception. If we look at a photograph of a poor village, we can perceive it differently. If we see the village from a 'needs' perspective, there are many needs. We could spend ten years trying to fulfil all of those needs. If we perceive the same village from a rights-based perspective, we see the same thing differently. We may be talking about changing some policies in addition to fulfilling the village's immediate needs.

RM 3.4 Rights and Duties

The idea behind this graph is to emphasise that rights and duties should come together if the situation of the poor and marginalised is to truly improve. While advocacy can be used to claim rights, the overall desired change will not come about if the same people do not take responsibility for fulfilling their own duties. When the claiming of rights and the fulfilling of duties are balanced, communities will experience progress, as depicted by 'C' in the graph below.



In the case of this graph

A = Condition that rights are fully claimed

B = Condition that duties are fully fulfilled

C = This is a condition of balance between rights and duties that gives optimum benefits to the people affected

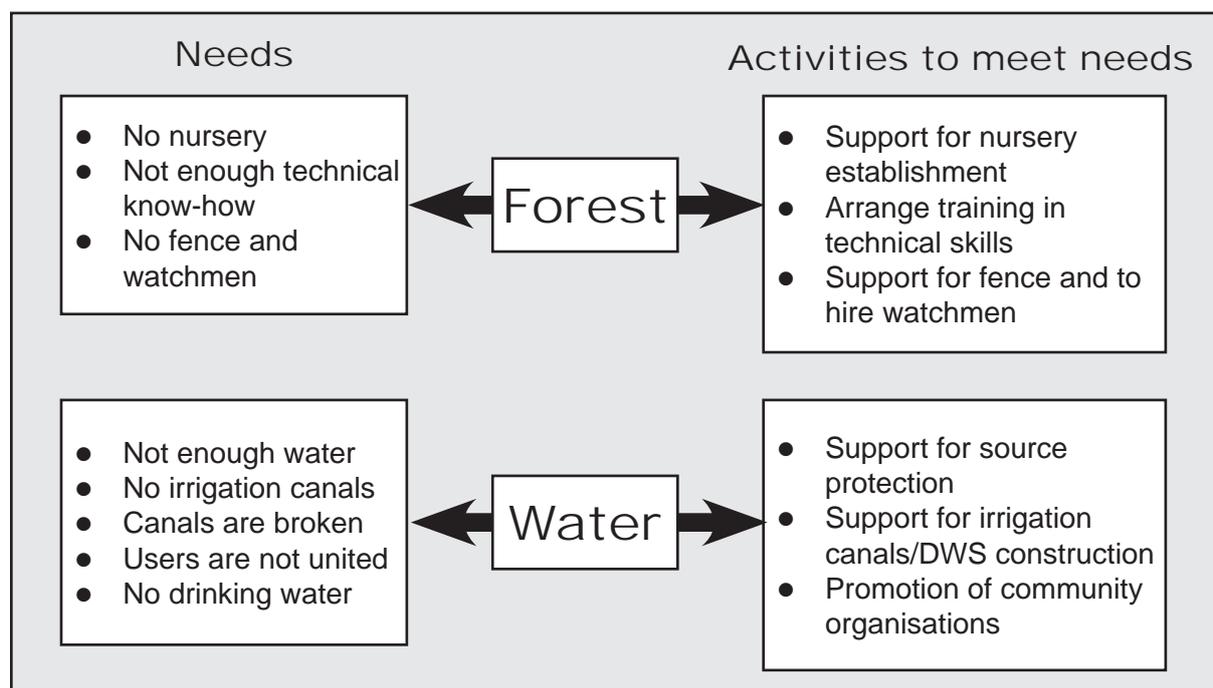
People are generally very happy to claim their rights but ignore their duties very easily. The easiest excuse is, "We are poor, we are uneducated, and therefore we do not know." This will not lead to the attaining of rights in a sustainable manner. If someone wants to claim his or her rights, the person has to be fully aware of the corresponding duties that must be fulfilled individually and collectively as a community.

Certain duties are also applicable at the organisational level. For example, being transparent, maintaining justice within the organisation involved, etc. are some of the duties that an organisation must fulfil. If organisations ignore their duties and claim only their rights, their credibility will suffer and their effectiveness will decrease.

RM 3.5 Examples of Needs-based Development

The following are imaginary examples based on a general paradigm of needs-based development, the first for a reforestation project and the second for a water supply. These examples may not be true and relevant in all contexts, however, they are useful for conceptual clarity.

A needs-based approach would see the following kind of activities.



This is the conventional style of community development. Many development agencies still follow this approach. This approach is not wrong. It is still important and necessary for those who are poor and marginalised. But is it enough? We need to ask this question of ourselves.

We can support communities to create capital at the local level through income generation projects, but how many people can we help in this way? How much more powerful or effective would our intervention be if we could somehow convince or pressure the government and/or social structure to see employment as a right of all the people, and then work towards making sure that this right is implemented and claimed? If we have clearly thought about issues in this way, we are moving in the right direction. However, if we lack clarity on the necessary linkage with rights, our efforts may be problematic from the point of view of sustainability.

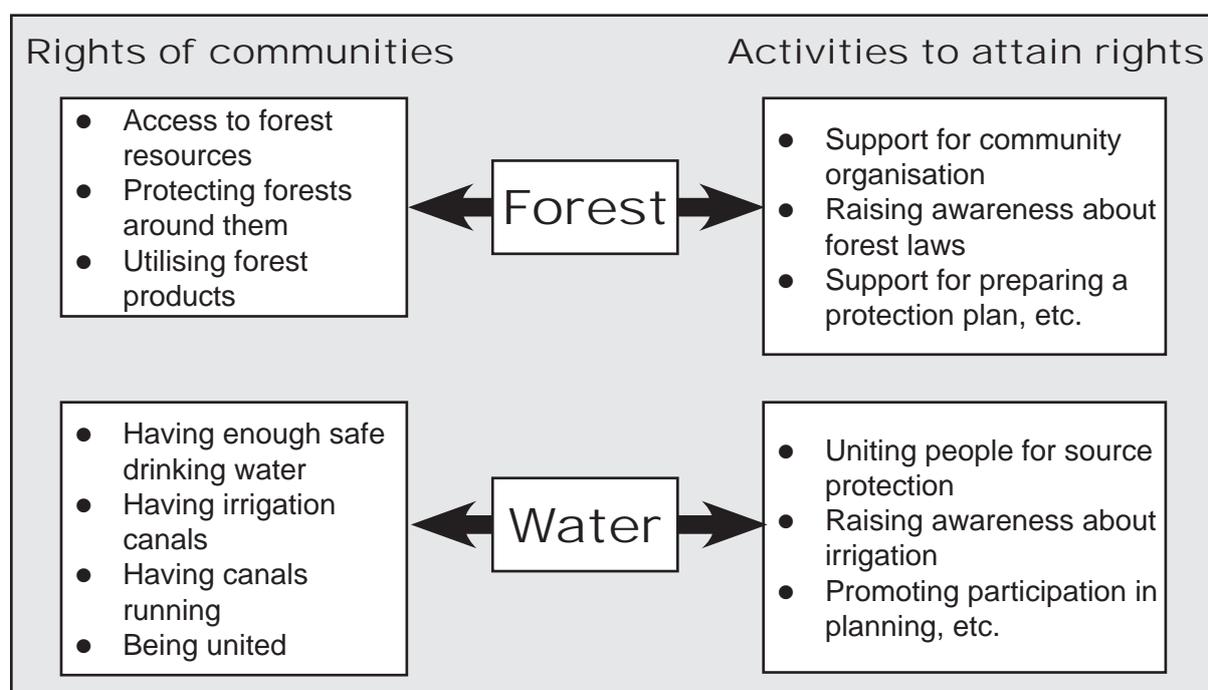
RM 3.6 Examples of Rights-based Development

The three earlier issues are now examined from the perspective of a rights-based approach to development. These examples will be useful in showing the differences in perception and activities inherent to these two approaches.

While looking at this set of activities, it is apparent that this approach does not give immediate relief to the people. This is the limitation of the rights-based approach. However it does attack the root causes of poverty and deprivation. As a result, when activities carried out under this approach are successful, the benefits to the community will be long-lasting.

For example, if we can increase awareness about how to raise community capital, the community can continue raising capital at the local level. As a result, their dependence on outside support will decrease dramatically until they are fully independent. In addition, formulating rules and structures in favour of local capital formation could be even more sustainable.

The following figure shows a rights-based approach to the previous imaginary examples.



RM 3.7 A Case Study from Darjeeling, India

It is not always the case that people living close to an economically strong town or city receive physical, economic, and social support that improves their lives dramatically. Many villages near such towns or cities experience an acute level of poverty, deprivation, and social exclusion. This case study refers to one such village located near Darjeeling in India.

A reputed national NGO worked in this village for approximately nine months (July 2003 to February 2004). The village is located in the valley of the Darjeeling hills and is surrounded by thick forest. One side of the forest is part of a national reserve forest and another side is

a national forest protected by the Department of Forests, West Bengal.

The village includes around 80 households, all of whom had relocated there about 20 years ago. When they were relocated to this place, the forest department gave each household a piece of land for cultivation and some support for the construction of a wooden house. However, it was one-time support, and the land was not registered in the people's names as their private property. Therefore these people are legally landless. The main occupation of most of the villagers was the collection of firewood (legally or illegally) from the forest, for sale in the nearby market.

When the NGO started its work, it found it very difficult to get people to come together even for small activities. The village youth were almost out of control. At the beginning of their intervention, the NGO used participatory rural appraisal methods to try to understand the villagers' real problems. The villagers came up with a long 'shopping list' of problems: lack of alternative income sources, lack of awareness, lack of opportunities, etc. After this initial assessment, the NGO supported the establishment of a poultry farm (on a small scale). The farm is now under the common ownership of five households. Similarly the NGO supported the establishment of a pig farm – again jointly owned by a couple of households. Furthermore, the NGO provided some funding for farm construction, 5/6 piglets, and training to some village youths in pig farming. Apart from these activities, the NGO has involved a number of villagers in different skill development and awareness building sessions. Today, a full-time field worker is based in this village so the villagers can get advice on a day-to-day basis.

Questions for discussion

- What are the rights issues that you can identify in this village?
- What is the kind of development approach that the NGO is following in this village?
- Explore whether these interventions are geared to supporting the villagers in claiming any of their basic human rights. Explain your reasoning.
- What suggestions would you like to give to this NGO to further promote the rights of these poor people?
- Do you see any issue in this village that could lend itself to advocacy initiatives?

RM 3.8 Thrust of a Rights-based Approach

A rights-based approach to development is a conceptual framework for the process of human development based on an international standard. The main elements of this approach are linkages to rights, accountability, empowerment, participation, and non-discrimination (see <www.unhchr.ch> for details). Based on these elements, many points can be drawn out for conceptual clarity.

A rights-based approach holds the following beliefs

- People are made poor and marginalised by societal factors. These could be on the surface or could be invisibly rooted below the ground.
- The basic needs of communities have to be established as their basic human rights. This is the primary job of community-based organisations.
- Ordinary people who are suffering from different problems are the prime source of power to change their destiny. Collective action is the most important instrument to help them claim their own inherent power.

- Communities themselves can find better ways of organising their lives. Outside support should be used to evoke their suppressed capacity.
- If something is good for their livelihood, the community will do it regardless of outside support. For example, if there are oranges in the garden, people will not wait to learn how to eat. They will start eating anyway.
- Development must be geared towards the marginalised claiming their rights, but it does not mean that there is no need to work towards immediate help to fulfil basic needs.
- “Human beings are the centre of concern for sustainable development. They are entitled to a healthy and productive life in harmony with nature” (Principle 1 of the Rio Declaration).
- The Human Rights Council of Australia has given extensive thought to the relationship between human rights and development, and particularly to the work of inter-governmental aid agencies. The main idea is that, “...human rights and development are not distinct or separate spheres and, therefore, the question is not how to identify points of actual or potential intersection but to accept that development should be seen as a subset of human rights. The realisation of the importance of economic and social rights in the development process, and the tendency of governments to ignore steps to their full realisation, have led us to look closely at the precise actions needed to realise these rights. An essential aspect of the Right to Development is its emphasis on the centrality of the human person as a subject of the development process.”

RM 3.9 Basis on Which to Claim Rights

“You are being considered for a job at a particular company. After a number of interviews you have now been selected and you have been invited to a meeting with the Managing Director (MD) to finalise your remuneration package. While discussing this matter the MD informs you that there are two systems of remuneration possible in this organisation. The systems are (a) either you could choose to have a fixed salary every month of _____ (choose an amount that is not excessive and yet not too low for a mid-level staff member), or (b) you could choose to leave the amount of remuneration every month to your MD’s discretion.³

“In the latter case you would (on the last day of the month) submit a statement of your requirements for the next month, and after studying the requirements of all those who have chosen this method, the MD will divide the total fixed amount kept aside for salaries according to the MD’s judgement of the requirements of the different people who have joined this scheme of remuneration. This means that in one month you could get a huge amount (say 50,000) and yet in the next month you could get 1000 – all this based on your own stated requirements balanced against the requirements of others, since the total amount allocated to salary would remain constant.”

Having shared this scenario with the participants, you as the facilitator will now ask each participant to choose which scheme of remuneration they would prefer to accept. In most cases there will be a division among the participants, with some opting for the first scheme, and some for the second. As facilitator you then ask some of those who have chosen the first scheme to explain **why** they opted for that scheme. Do the same with some of those who opted for the second scheme. After listening to their answers and letting the two groups challenge or question each other, you could point out (if none of the participants have already done so), the following.

³ Josantony Joseph contributed to the preparation of Sections 3.9 to 3.11.

- a) Irrespective of which scheme was better and which was worse, the basic difference between the two kinds of remuneration packages is that in the former, you get your salary **as a right** which can be enforced (as it is part of the contract), while in the second scheme one's remuneration is allocated based on what 'somebody up there' decides are your legitimate needs **in the context of others' needs**. There will be some who will point out that even in the first scheme the salary is being decided by the MD. However, you could point out that even if that is the case in the beginning, once it has been decided then the MD has no right to change it unilaterally; if the MD does not give that salary then the employee can claim it as a right which is enforceable in court.
- b) Secondly, and this is a crucial difference, the basic difference in the two schemes is also in the power relationship between the MD and the employees.

The above two points can be discussed further in the group for a brief time, to lead to a point that clarifies that in this example one sees the difference between a **rights-based approach** and a **needs-based approach**.

RM 3.10 Contrast between the Rights-based Approach and the Needs-based Approach

You, as the resource person, can use the plenary discussion to explore with the participants the differences they can identify or name between these two approaches. You could have a slide with the following points already prepared and use it to summarise at the end, remembering to add any further points that the participants may contribute.

Needs-based Approach	Rights-based Approach
Non-justiciable (cannot be claimed legally)	Justiciable (can be claimed legally)
Gives more immediate help/support to immediately felt needs	Requires 'staying power' as the benefits take time to be realised
Eventually non-sustainable	Eventually sustainable
Fulfilled based on the goodness of various 'outsiders' (e.g. state, NGOs, philanthropic groups etc.)	Responsibility of state and civil society to ensure
Allows the 'outsider' to select the beneficiaries	Non-discriminatory, except positive discrimination
The beneficiaries remain dependent on the outsiders	The marginalised are empowered to claim their own rights
Attacks the outward effects, and is a symptomatic approach	Attacks the root causes
Can more easily get funding for such activities from donors	Getting funds is more difficult, as the donor may get into trouble with licensing/state authorities
State is willing to look more kindly at such efforts as it is a supplement to what the state ought to be taking responsibility for	State is unlikely to support such efforts as it could create 'problems' (law and order issues, upheavals in society)
Less risk for the implementers, and generally non-confrontational	Extremely risky, and often could (though not always) lead to confrontation and violence

Once these two approaches are clarified in this way (or through some other such interactive way) one could then revert back to the other slides (data) prepared and presented in the Resource Materials for the third session. In addition, the next section RM 3.11 could be taken up at the end of the session if time permits or depending on the needs of the participants.

RM 3.11 Some Concerns about the Rights-based Approach

It may be fruitful to have a discussion on some of the ways in which the the rights-based approach can be subtly undermined. The following points could help to initiate this discussion.

Co-opting the jargon: Oppressive agencies often co-opt the language used by rights-based activists, so that the meaning is changed (as in George Orwell's book, '1984'). Thus 'good governance' is a term adopted from rights-based vocabulary which is gradually being given the meaning of a governance system in which everything runs well (i.e., an efficient governance system, which of course implies that it is run by the 'elite' who know better) rather than its rights-based meaning, which is people governing/choosing for themselves the use of their own common resources etc. (which of course is more messy, but gives power to the people).

Deflecting the focus (by focusing on language rather than on the reality behind the language): Sometimes rights activists are sucked into discussing the rights language of documents so that a huge amount of energy is spent on negotiating the right terminology of drafts/ documents, while the change in the mind-set that is necessary to actually create a rights-based administrative/bureaucratic/political system is ignored or sidelined. While documents are necessary, they ought not to be focused upon at the expense of simultaneously working on the reality that needs to inform them.

Formal but not real acceptance: This involves committing to a rights-based approach, but quietly refusing to work out the practical steps to implement such a commitment. Thus a country like India will sign almost all the different **rights** conventions, but will not sign many of the optional protocols that specify **how** these conventions can and must be implemented.

Progressive realisation: Another way in which the rights-based approach is undermined is by the 'reasonable' argument that since all rights cannot be attained in one attempt, the progressive realisation of these rights is necessary. Inevitably this means that the first rights that are to be attained are those that are most beneficial to those in power, and hopefully, progressively the rights of those who do not have power in the current system will be achieved. Thus there will be a stress on initially working for the right to choice/freedom, the right to private property and profit, and the rights of consumers to get value for money. All these rights, while important, are precisely the rights which suit those who have money and power to choose, who have private property and are able to make profits, and finally those who have the money and resources to be consumers. On the other hand, basic human rights like the right to food, education, health, shelter, and employment are considered as rights which can only be progressively realised... later.

Another argument which is used in this progressive realisation is that the nation's budgetary constraints do not allow for the latter kinds of rights. This argument has been shown to

be false by those who are working on the budget analysis of the governments, because a budget is always adapted to the real (not rhetorical) priorities of a government. It isn't that there is no money for basic priorities such as primary education, but that the government decides to spend more on subsidising the education of those who go for higher education, or on defence, etc. So the issue is not lack of money, but that the government has decided that the money should be spent on things other than the basic rights of ordinary people.

Stressing the outside but not the inside: Another way in which a rights-based approach is undermined is when those working for this approach undermine it themselves. This happens when the activist or organisation or group working for such a rights-based approach works towards this goal only with reference to the situation 'out there' and does not apply the same principles to the situation 'in here'. Thus, many international NGOs use rights-based language in their work outside the organisation, but do not apply the same principles within the organisation (for example, paying expatriates huge salaries compared to local people who are equally or even more competent and responsible). Similarly we have people (usually males) pushing for gender rights outside their own homes, but who do not apply the same principles to their own family situations.

So the application of the rights-based approach in practical life is necessary rather than making it just one more piece of jargon.



Interaction with women groups at Pipaldanda, Palpa – users of the Women and Energy project

Session 4

Social Structure and Balance of Power

Time: 1 hr 30 minutes

Overall Objective of Session

To review the existing social structure and analyse it from the viewpoint of the power balance among different institutions in local areas where participants work.

Specific Objectives of Session

- Understand the importance of power analysis in development work
- Identify the influential institutions that exist in the mountain areas of the HKH countries
- Examine the power balance in mountain societies
- Identify the weaker sections of these societies that need strengthening

Activities		Time (minutes)	
Activity 4.1	Understanding the importance of power analysis	20	(20)
Activity 4.2	Identifying the main power bases in societal structures	25	(45)
Activity 4.3	Context analysis – small group work	45	(90)

Advance Preparation

- All presentation materials are given in the section under Resource Materials for this session. A thorough knowledge of the materials given here, plus further supplementary reading is crucial if the facilitator/resource person is to handle the various questions likely to arise from the participants during this session.
- The facilitators need to have some real examples of the field in relation to different institutions and their achievements in the name of development. Some field-based concrete data/statistics are even more important.
- It is likely that discussions in this session will become hot and controversial. The facilitators should be prepared to deal with this and be competent enough to guide the discussion in a constructive, rather than a destructive direction, so that participants come out more reflective rather than remaining further entrenched in their own individual viewpoints.
- However, it is not necessary that the facilitator must have the answers to all the participants' queries. You can share your views without insisting that they be acceptable to all. The main goal is to start a reflective process in all the members of the workshop – and even to show that you too are open to further reflection. This will enable participants to be more open themselves.

Suggestions for Facilitators Session 4

Activity 4.1 Importance of Power Analysis

Time: 20 minutes

Since the previous session introduced the concept of rights and briefly indicated the role of empowerment to claim rights, rather than just satisfying the needs of the marginalised and poor, it is clear that analysing the power held by various societal institutions is crucial in the rights-based approach to development. Inevitably then, in approaching development from a rights-based angle, one needs to carry out a power analysis. However, despite accepting this in theory, in actual fact most development workers who enter a deprived area or who are working with deprived or marginalised people tend to focus on how best to fulfil the needs of the people urgently, and do not spend the time and resources to actually carry out a power analysis of the situation. Such development workers would say that once the people have their needs fulfilled, they are empowered to claim their rights. This is nothing else than a disguised form of a needs-based approach. As the earlier session tried to point out, people could have their needs fulfilled because of the help of benevolent outsiders, and yet not feel empowered to claim the fulfilment of their needs as rights – rights that they can legally claim from the state and civil society. Hence this activity is meant to bring home to the participants the importance of such a power analysis, and the importance of not becoming fixated only on people's needs.⁴

- Participants are divided into four groups. Each group is given two large sheets of paper (A4 size or bigger), one of which has a very large letter 'X' written on it with a dark marker pen. On the other paper the letter 'Y' is written. You may choose to select any other two symbols that suit your participants. Thus each group has two sheets of paper, one with an X and one with a Y written on it (or two other appropriate symbols).
- The participants are told that the aim of the game is to improve their economic situation, and the way to earn money is to selectively put up an X or a Y when the signal is given by the facilitator. The rules for earning money are explained below.
 - Any group that puts up an X or a Y after seeing what the other groups have put up will be penalised 100 currency points (whichever currency is suitable for that particular group of participants).
 - Any group that puts up both X and Y will be penalised 200 currency points. The facilitator may also penalise any group 100 currency points for any other behaviour that the facilitator considers to be a violation of the spirit/rules of the game. However, only in this case if such a ruling is seen to be too arbitrary, the penalised group may appeal to the other three groups, and their joint decision is final on whether this particular penalty is to be levied or not.
 - Since there are four groups, there are five different permutations/combinations possible (see table below). In other words, for example, three groups may put up a Y, and one group may put up an X. Or two groups may put up Ys and two groups may put up Xs. These options are given below and the score that each group will win or lose depending on what the other groups have put up is indicated below.

⁴ This activity is an adaptation by Josantony Joseph of a well-known game. The original intention of the game was purely to show the importance of teamwork. However, Joseph has adapted it to show the importance of power analysis in any development intervention.

Possible combinations	Each group putting up an X wins / loses	Each group putting up Y wins / loses
IF all four groups put up Xs	-100	
IF three groups put up Xs and one group puts up a Y	+100	-300
IF two groups put up X and two groups put up Y	+100	-100
IF one group puts up an X and three groups put up Y	+ 300	-100
IF all four groups put up Y		+100

- After the rules have been properly explained, the game begins. Sometimes participants want a trial round. This can be allowed. Once the real game starts, however, the facilitator must be very strict and ensure that penalties for late display of the group's X or Y, or groups putting up both X and Y, and other such behaviour is immediately marked on the group's score chart. The score or money gained or lost by each group is continuously updated on the white/black board where everybody can see it.
- After a few rounds have been played (a round consists of the facilitator counting to 3 and asking the groups at the count of 3 to put up an X or a Y), and the scores displayed on the board, choose one participant from each group and ask the four of them to see whether they can come to any common strategy. When these four leave the room, the facilitator tells the other participants that they need not follow the advice of their representative who has left the room as their aim is to make as much money as possible.
- Have just two rounds after the representatives come back. Make sure to stop the game before all the groups begin to cooperate with each other by all of them putting up Ys.
- Total the scores for each group. Congratulate those who have won. Now lead the group in a reflection on the game.
- Draw out the following lessons from the game.
 - You will notice that while one group may have gained and another lost, the winning or losing is always at the expense of each other, never at the expense of the one who is running the game. If, however the groups had got together, then the one who was running the game would have lost money to make good gains made by all groups. Furthermore the rules of the game which penalised people for putting up their X or Y late or putting up both X and Y were also in favour of the one running the game, because any loss on these counts would be gains for the one running the game.
 - Thus the rules of the game, though apparently very just (who could fault them?) were subtly biased to make sure that the one who has the most power, i.e., the one running the game, would almost always win. Connect this with societal and international rules (e.g. the WTO) where the rules seem just, but always are in favour of those who have power.
 - Furthermore, although all were free to join each other and defeat the one who was running the game, the one who had power made sure that the 'poor' competed with each other. As a result if they did gain, it was always at the expense of each other, never at the expense of the one running the game. This was fostered by encouraging the participants to believe that it was a game of competition, rather than cooperation, and where making the most money (i.e., improving their economic situation, fulfilling their basic human needs) was the primary and most important target, and healthy competition was the best and most just way for this to be done. Again compare this

situation with the current 'market competition' ethos that is being pushed vigorously by the economically powerful countries.

- Other comparisons with the real world can be drawn. However, end with the insight that if each of the participants only focused (as they did) on improving their economic situation (fulfilling their basic needs), as most development workers do, **without** analysing the **power** relationships that run the entire game (entire societal structure), there is no hope of significantly changing the situation of the marginalised, although of course some groups will do better than others. Therefore, such an analysis of who holds the power, and how they have made the rules/structures to safeguard their own power is crucial if one must work from a rights-based approach – for in such an approach we need to tackle the root causes of why people are poor, not just the symptoms of their poverty.

Activity 4.2 Analysis of Societal Structures

Time: 25 minutes

Having driven home the importance of power analysis in the rights-based development approach, it is important to help participants to understand the three basic institutions/structures in society amongst whom this relationship of power/powerlessness exists. These are the state, the market, and civil society. This section is intended to explain these three concepts.

- Start this part of the session by asking the question, “What is the state?” Participants are requested to answer in one word. The responses are displayed on the board/newsprint. Carry out this discussion in the same way for the other two terms: ‘market’ and ‘civil society’. Do not spend much time on this. Just leave the noted points displayed, and go on to present a definition of these three terms, making sure to connect when possible with the responses that have been gathered from the participants. Section 4.1 of the Resource Materials section of this manual will help.
- At various appropriate moments it may be important to give examples of the institutions in these three categories. In some groups this may not be important, as the participants may be able to understand the terms from the definitions themselves. However, if you want to present an example of a country, have a look at the display sheets in the Resource Material (RM 4.2, 4.3, and 4.4).
- Next present the figures that indicate what would happen when there is an imbalance of power in favour of one or other of these three entities (RM 4.5, 4.6, and 4.7). During your presentation, make sure you explain the points written at the end of each sheet. Prepare for this session by identifying practical examples from different countries but remember that you should not cite controversial ones, as they will confuse the participants when trying to understand the concept itself.

After these presentations, open the floor for a plenary discussion. You can extend your discussion up to the time limit that you have set. In this discussion, you can highlight the following points.

- Civil society is relatively weak in the HKH region. Therefore, this training is specifically focused on strengthening the weaker parts of social structures.
- Every one of us has to be very careful in our work, projects, dealings, and interventions in our respective areas to reflect on who exactly we are supporting. We have to be able to ask questions of ourselves, such as, “Are we supporting those who are already strong, who already have power? Or are we supporting those who are weak?” For example, running a parallel health centre because the government health centre

is corrupt could mean that we are fostering that corruption and hence the power of those who are already making money out of the people. If we explore the situation from this perspective, we can find more effective ways and means to work towards social justice rather than just towards the welfare of the needy.

- Similarly, a power analysis might show us that the government machinery is very strong in the communities among which we work, but not in a way that empowers the poor, rather it disempowers them. Consequently, we may find out that government officers control everything so that formally or informally, a situation is created where people cannot speak out. In such a situation it may be easier to work with the government officers who might listen to us because we are of the same ‘class’ as they are, but it may not be justifiable. This kind of association or collaboration may not promote the rights (livelihood, food, health rights, etc.) of the poor.
- Finally, conclude the session by remembering to highlight the fact that advocacy is all about raising a voice on behalf of the voiceless sections of communities. Therefore, understanding who is voiceless is a prerequisite of an advocacy initiative on any issue. For some groups this amount of discussion may not be enough to understand the concepts properly. In such groups a more contextual analysis may be necessary based on the local context, rather than a general kind of discussion as has been put forward so far in this manual. However, we do hope that the analysis of power balances will help to enhance participants’ understanding of the process. The following activity is designed to help participants apply this learning to their own contexts.

Activity 4.3 Context Analysis – Group Work

Time: 45 minutes

Start this session with an energiser. This icebreaker is similar to the ‘fruit salad’ game, and is called the ‘career game’.

For this game, you should give three career options. For example, you can give

(a) banking, (b) administration, and (c) teaching.

- Ask participants to select one of the careers silently and keep it confidential.
- When you announce one career like ‘banking’ all participants who had selected this career have to change their seats.
- When they are changing their seats, you can remove one of the chairs so that one person fails to get seated. Then, ask that person to announce another career and then while people again change seats, that participant too can try to get a seat. It goes on in this way for as long as you like.

Group Work

As background to this exercise, you can say to the participants, “In the previous sessions today we have talked more about development approaches in a broad sense. In this session, we are going to reflect on the stakeholders on the ground who are crucial in bringing about change.”

- Then divide participants into 3 or 4 groups based on the geographical locations from which they come. Assign different places for group work. The time allocation for this group work will be as follows:
 - introduction, group division, clarification of group task, and small group work = 25 minutes
 - display and observation of maps by different groups = 10 minutes
 - plenary discussion = 10 minutes

As this is the last session of the day, it could go over the time allotted, if the participants are willing. In this case there will be more time for the plenary discussion.

- Explain the task that each group must complete, as follows.
 - The group must choose a geographical area that many in the group, or at least one of the group members, is very familiar with and where the NGO to which that participant belongs is doing some development intervention.
 - Then the group must prepare a **'power map'** of the area of work on a large display sheet (e.g., newsprint paper, chart paper). On this map, they should show (a) **position** (closer to the centre is 'more powerful') and (b) **size** (the larger the circle the greater the ability to influence or bring about change in the lives of the marginalised for whom the NGO/organisation is working).
- Each group must show the power relationship between the different organisations by suggesting arrows.
 - First of all identify where the STATE exists. Give symbols and write the names of major organisations that you would consider as part of the state.
 - Where does the MARKET exist? Give separate symbols and write the names of major organisations that you would consider to be part of the market.
 - Where does CIVIL SOCIETY exist? Give separate symbols and write the names of major groups that you would consider to be part of civil society.
 - Where are the most vulnerable people living in this area situated? Show these areas using a different colour and write their approximate population.
- In drawing the above on this power map, remember to use position and size to indicate the relative power of the different units/organisations identified under the different categories above.
- Finally, indicate with arrows the units/entities/organisations that your NGO can influence a lot, to a certain degree, or very little. Where your influence is very strong, draw a **thick arrow** (→), from your NGO to the concerned entity/units of the state/market/civil society already drawn on the power map. Where influence is very small, draw a **thin arrow** (→), and so forth. For medium influence draw a **medium-thick arrow** (→). Where there is no influence do not draw any arrows. Alternatively, the groups can be asked to draw these different kinds of arrows from the marginalised group they are working with to indicate their ability to influence others.
- While the different groups are working in different locations, the facilitators must spread out and support them in the small groups, particularly from the point of view of clarity in understanding how to prepare a power map. After the group work, ask each group to display their maps in different corners of the training hall. Participants from all groups are then requested to go to the different corners and see the maps prepared by different groups. At each map, there must be one person from that group who can answer any questions that the 'visitors' may have.
- Now bring all the participants together in a plenary session. Participants may be asked to comment on the maps put up by the other groups, or on their own maps. Allow some time for discussion. Finally conclude the session by pointing out that when we intervene in any area, it is important that after we get a picture of the area, of the various organisations and deprived groups, we analyse these social structures from a power point of view. Different structures and their power are responsible for bringing good governance at the local level. The arrows help us reflect on whether we are actually working to change power relationships, whether we are trying to influence or change or pressurise those who have the real power, or whether we are only satisfying the needs of the people on an immediate basis. This can help us clarify for ourselves whether our organisation is working from a rights-based perspective or a needs-based one.



Resource Materials for Session 4

RM 4.1 Definitions of State, Market, and Civil Society

Defining the state, the market, and civil society in simple words is not very easy. Various definitions can be borrowed from the literature on the subject. Regardless of the intellectual definitions, the general understanding of state, market, and civil society in the context of a rights-based approach to development is given below.

State: The 'state' refers to those institutions whose ultimate goal is to serve citizens, to ensure their basic rights, to make the populace feel secure, and to maintain law and order in society. The state has the ultimate authority for maintaining the geographical area of the nation. To perform this basic job properly, the state formulates and establishes the necessary structures throughout the area. The government of the day (whether democratically elected or otherwise appointed) is the entity that organises or takes responsibility for all the state institutions fulfilling these roles as it sees best. In this sense the government is part of the state and functions as its brain. This government may of course change over time.

In the context of the rural areas of the Hindu Kush-Himalayan region, all government institutions located in the rural areas – including municipalities or village development committees (Nepal); village panchyats (Uttaranchal, Himanchal, Arunachal, and Assam in India); village councils (Nagaland, India); village 'darwars' (Meghalaya, India); and so on are part of the state. Similarly, constitutional bodies and government-owned institutions – like government schools and hospitals – are also considered to be institutions of the state. Political parties strive to become part of the government.

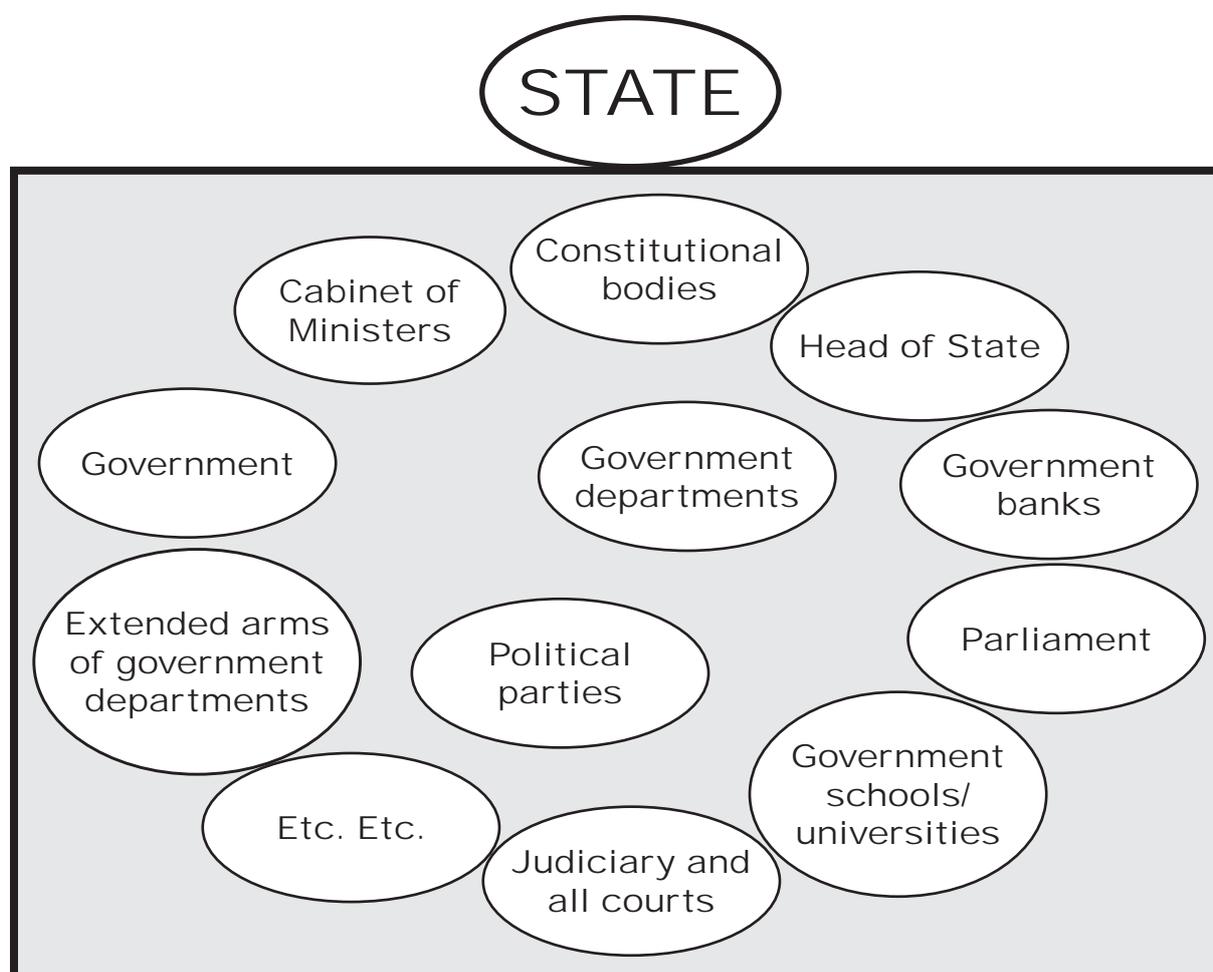
Market: The 'market' refers to those institutions whose main goal is to produce and/or sell goods and services for the purpose of making a profit. Industries, banks, financial institutions, as well as service-oriented institutions can all be part of the market. Some people feel more comfortable with the term 'private sector' rather than market. This term is also acceptable. In today's world of privatisation some government institutions (such as government banks) are also established to make a profit like other players in the market. Such entities straddle the divide between the **state** and the market. They belong to the state as they are meant to further the policies/aims of the government, while they also belong to the **market** in that they have to make sure they make a profit.

Civil Society: 'Civil society' indicates formal or informal institutions that are set up by people primarily to promote the common well-being of members of society, usually with a non-profit making motive. The ultimate aim of these organisations is to undertake services of a social nature, and to protect the rights of the communities they represent. All NGOs, CBOs, user groups, associations, networks, and self-help groups come under this category. Since self-help for the common benefit is often a motive for these organisations, a self-help group (such as the Self Employed Women's Association [SEWA] in India) can also become a profit-making enterprise, therefore straddling the divide between **civil society** and the **market**. These three terms are thus both distinct and overlapping in some cases.

RM 4.2 The State (Example from Nepal)

The following example is given as a learning aid to explain the concept of the **state**. This is also a very broad example, as it looks at the state from a national scenario, and not from a regional or local viewpoint. In a real-life analysis of one's situation, one would have to be even more specific. For example, under 'government departments', or 'judiciary', one can carry out a far more detailed listing of each department and each level of judiciary and so on.

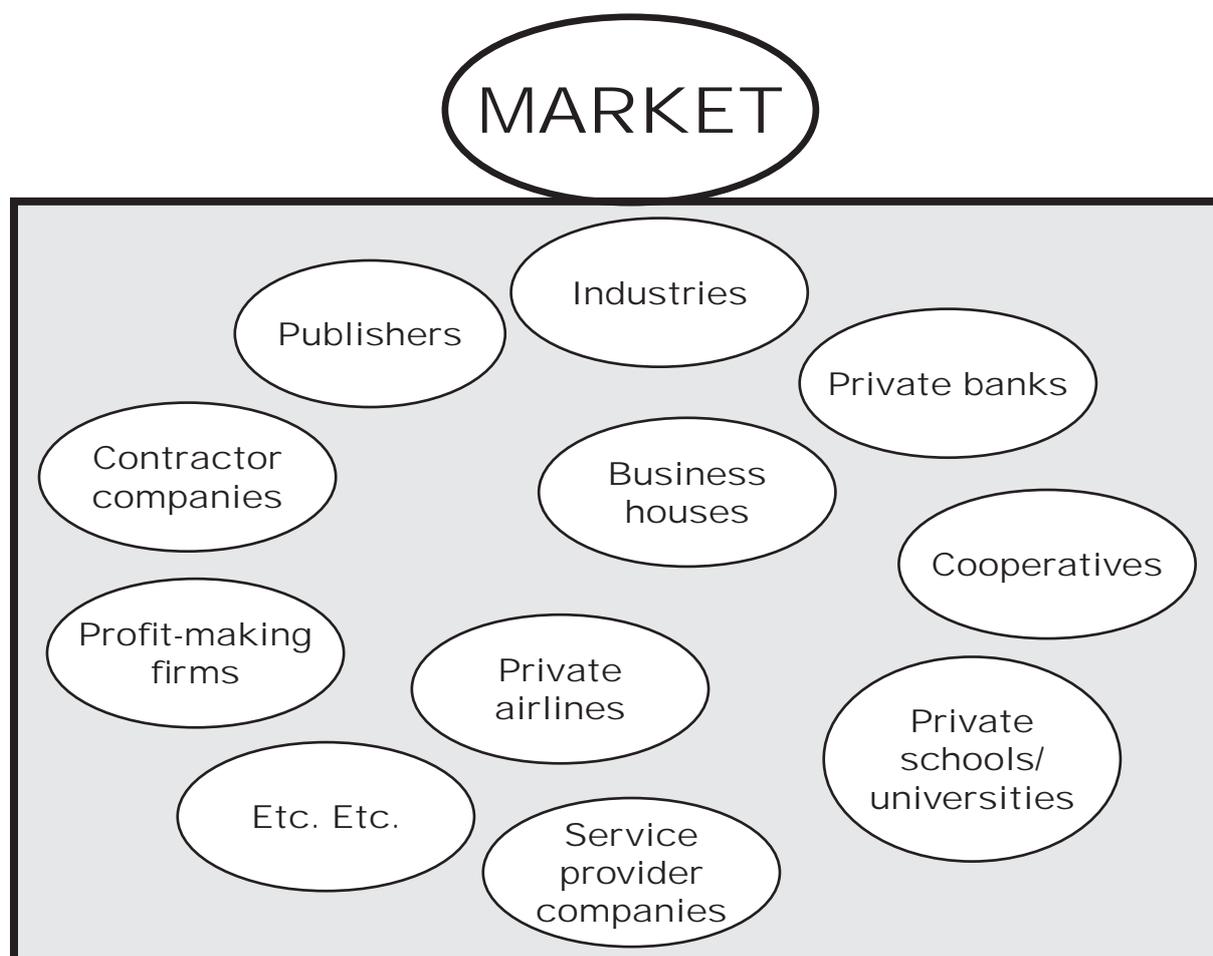
- Sometimes, **political parties** can be seen as civil society organisations. They speak very much in favour of poor people. Because of this, some people might choose to consider political parties to be part of civil society. However, if we look at the ultimate goal of political parties, it is clear that they exist primarily because they want to run the government some day. Therefore, political parties can also be considered an extension of the state as explained earlier. However, if a political party functions without the objective of forming a government, but only to give voice to the marginalised etc., such parties can be considered a part of civil society.
- The **state-promoted** corporate sector entities (profit-making entities) have some degree of autonomy regarding their decisions and functions. However, they are heavily influenced by their respective governments, at least in South Asian countries. Sometimes they become even more bureaucratic than the regular state departments. Therefore, it is suggested that all **state-promoted entities** be considered part of the state for power analysis purposes.



RM 4.3 The Market (Example from Nepal)

This example has also been prepared for learning purposes. The market has emerged as a vast organisational set-up with so many institutions that they cannot all be enumerated. The general stereotype is that the **state** is responsible for all evils related to the rights of the people. However the reality today is that the **market** is providing many goods and services that the state was earlier responsible for. Therefore, a careful analysis of market-related organisations is necessary to understand the power game properly. The following example can be taken as a reference for the analysis of real-life situations when it is carried out for specific micro-locations.

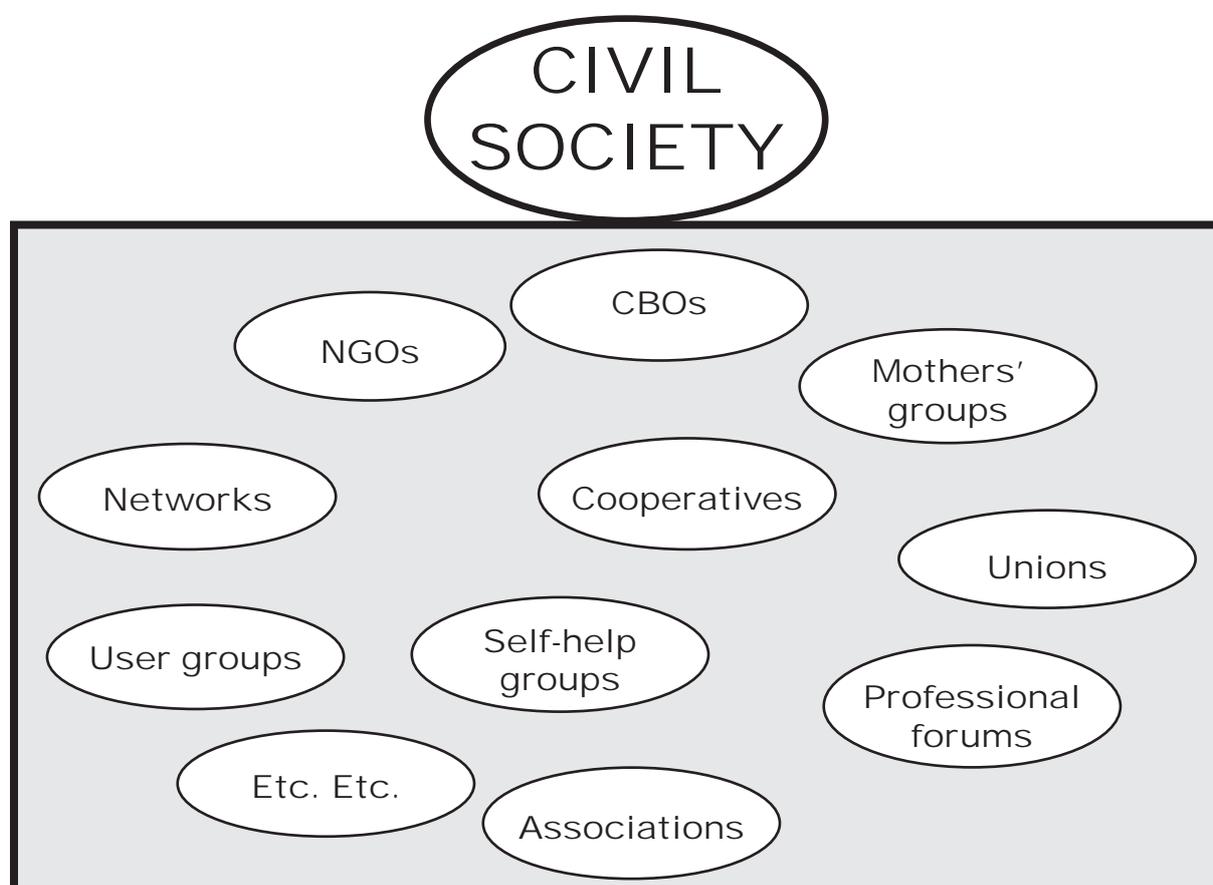
- Remember that all individual, profit-oriented companies come under the umbrella of the market, but all associations form a part of civil society. For example, all taxi companies are part of the market, but a taxi owners' association is part of civil society. Therefore, it is expected that such associations should not pay attention only to profit. They should focus on social responsibilities.
- Sometimes, the same person plays different roles. In this case, roles can be categorised rather than individuals. For example, a member of parliament can be an active member of an NGO in their state. At the same time, that MP may own a business house in the city. Therefore, the role the person is playing can be assigned to state, market, or civil society, rather than the person per se. Similarly, the family is always part of civil society. However, family members may play different roles when they carry out their respective work. Therefore, it is important to keep in mind that it is the role of an individual that is categorised, rather than individuals themselves.



RM 4.4 Civil Society (Example from Nepal)

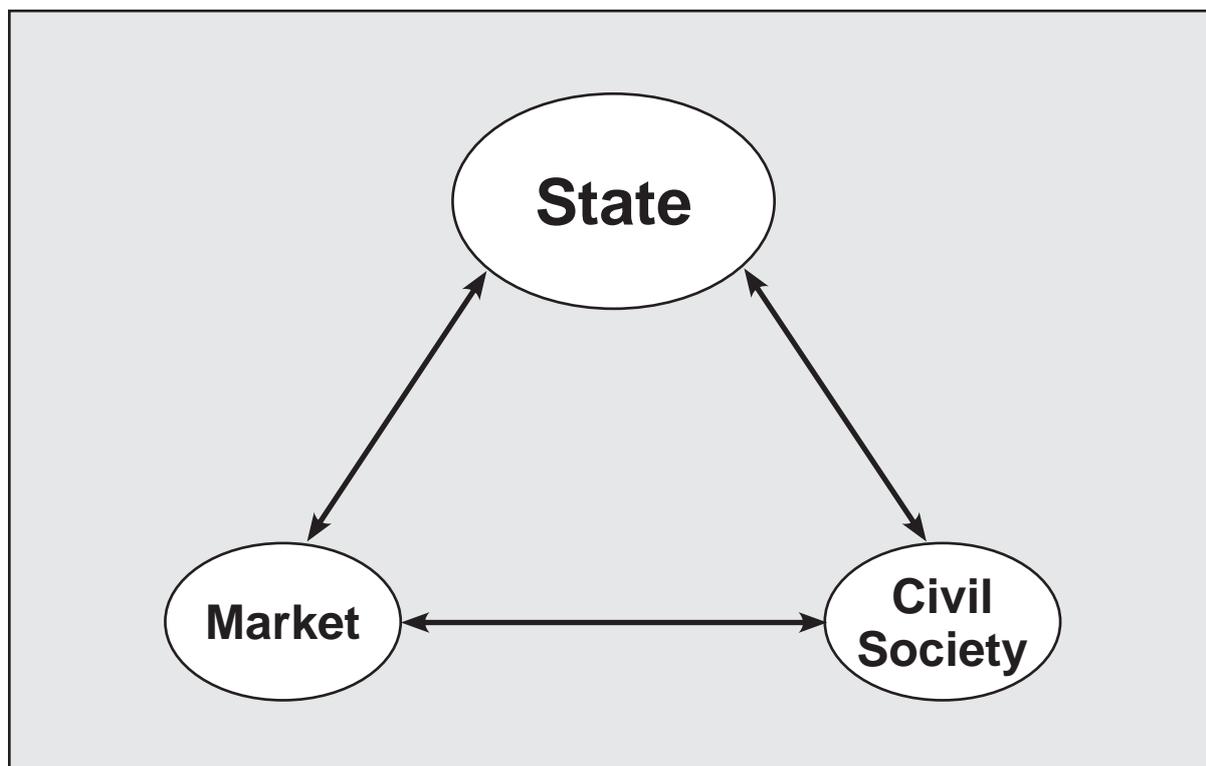
Although this comprises the largest section of the populace, **civil society** has not evolved into as big an organisational set-up as the other two sectors. All families are part of civil society but they have no significant influence until and unless they are organised beyond the household level. The system of government and the degree of real democracy in a country will determine the number and roles of civil society organisations. A number of civil society organisations have appeared recently in all mountain countries. The figure below will give some idea of the status of civil society organisations in the areas that you are working in.

- The crucial element of ‘profit making’ and ‘non-profit making’ is a matter for discussion. Many people argue that civil society organisations are also earning profits. The basic difference could be articulated by saying that while civil society organisations may earn a profit (if they do at all) for non-profit making purposes, market organisations work for profit as their primary purpose. For example, an NGO carries out a research project that it has been assigned after a competitive bidding. At the end of the project, the NGO may have saved a certain amount of money from the total grant received for the research project. In this case, the saved amount cannot be divided among the NGO members. On the other hand, a consulting firm which is profit-making can carry out the same research. This firm can quite legitimately divide the saved amount among their members. It will be their earning out of their investment in setting up the firm.
- Remember that some investment is also necessary to promote a non-profit making organisation such as an NGO or a CBO. Some people have a philanthropic urge to offer such investment. In all these situations there are of course grey areas, where organisations overlap between the sectors.



RM 4.5 Power Balance in the Social Structure – The State

The issue of rights was shown in earlier sessions to be closely related to the power structure of society. Therefore, as explained before, in order to work for rights it is important to know who is holding how much power and in what context. At the same time, power as such is invisible and unstable, changing over time and circumstances. For the purpose of learning, the following graph gives an overview of the situation when power is located primarily in the **state**.



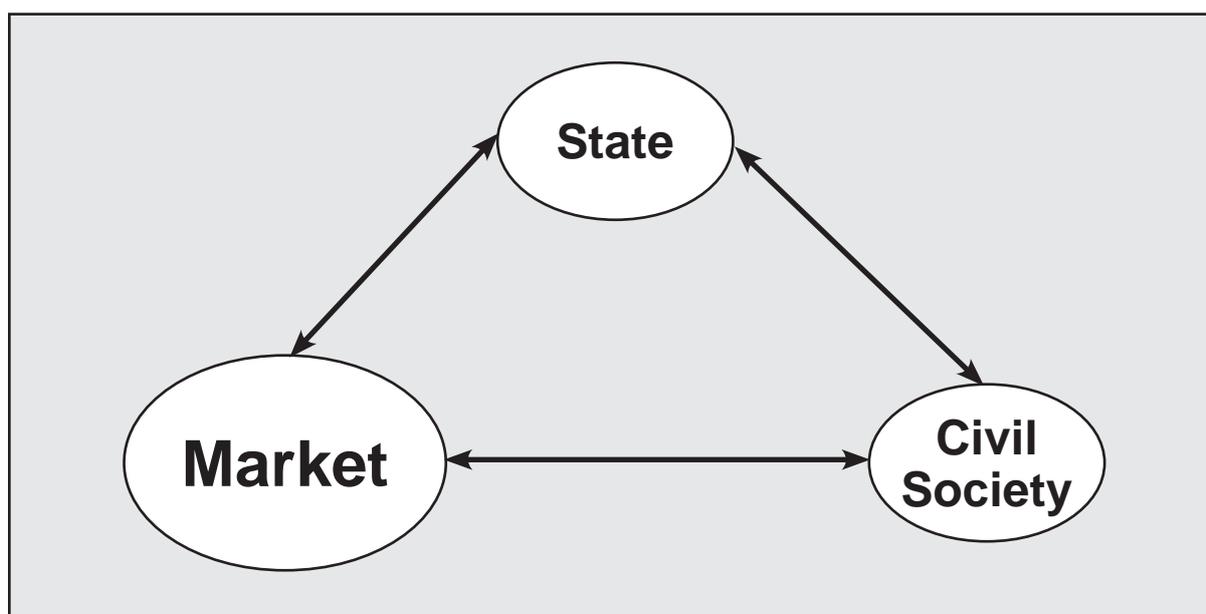
- Here the state is very powerful. Generally, this kind of situation happens in countries with a unitary system of government, or where the ruler or ruling class has great control (e.g. a monarchy, dictatorship).
- In the situation represented here, civil society is very weak. In this condition, civil society is not able to control the government machinery.
- The market is also weak. However, in this condition, the market can join with the state machinery to further weaken civil society to the advantage of individual members of the state.

This is a power game which the state controls. The state machinery may also be run by individuals coming from civil society, but organised in such a way that the end result is a strengthening of the state and not of civil society. For example, when a person becomes a minister, that person serves to strengthen the state. When the same person loses their power as minister, they may start to play a role that will strengthen civil society organisations.

If a development worker asks stakeholders to draw this kind of graph based on their own understanding of power locations, one might find a real area, district, state, or country that is similar to the figure above. That power map would then be the starting point for your discussion about the rights of the poor and a rights-based approach to development.

RM 4.6 Power Balance in the Social Structure – the Market

As with the previous figure, the following figure was prepared as a learning tool. It does not reflect the exact real-life situation of any country or state. However, the reality is that today the **market** is an unavoidable and powerful element of modern livelihood almost everywhere. Furthermore, modern technological progress (especially in communications) has allowed the 'market' to create a separate world, beyond all state boundaries. Therefore, although the power position of the market may not be exactly the same as presented in the figure below, it carries a significant meaning for further discussion.



- Here the market is very powerful. Generally, the situation becomes like this where there is a policy conducive to an uncontrolled open market.
- In such a situation the state and civil society are both weak. In fact because of the 'supra-state' world that the market creates, the state itself loses sovereignty and sometimes cannot use its power even within its own state borders. The present WTO regime exemplifies this situation. The power of the state is thus gradually usurped by national and international business companies.
- In such a situation, the state cannot strengthen civil society even if it is willing to do so. The market influences policy formulation processes directly or indirectly. The policy makers get trapped in the clutch of a few rich people/companies.
- A rights-based, good governance model is not possible in this kind of society. Everything is linked to money, and the power that money commands in society.

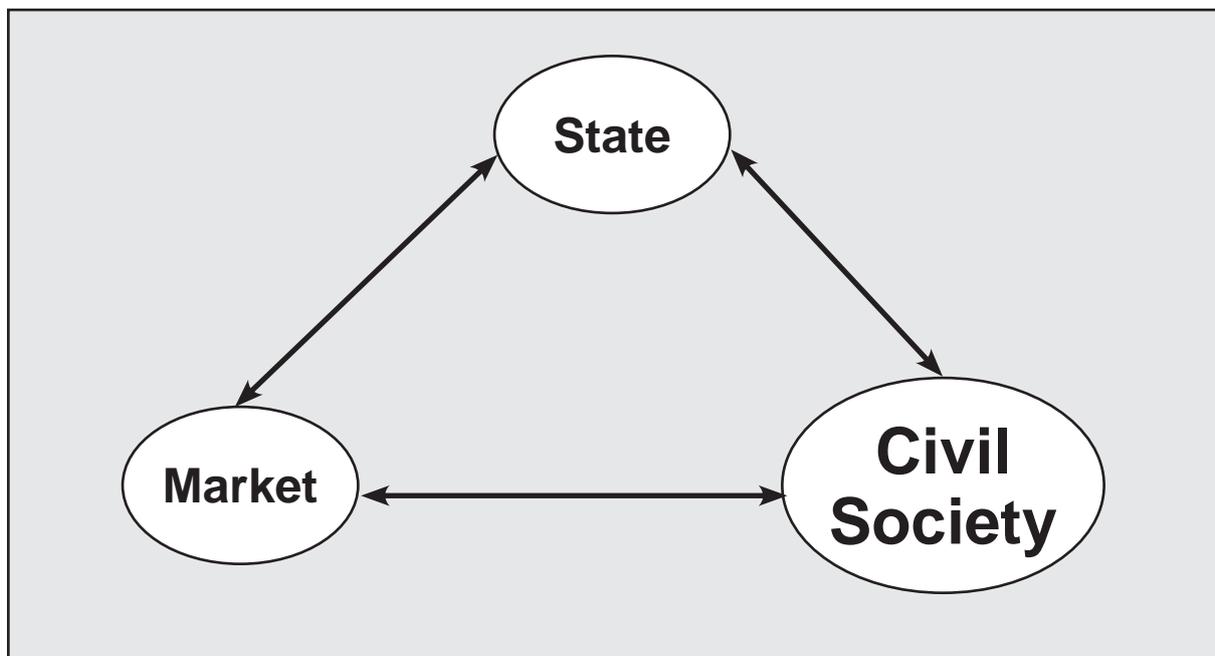
This situation is a negative outcome of the kind of globalisation promoted by the economically rich countries and companies in the world today. In the mountain context, such market-driven globalisation brings about a situation that very severely harms the economically marginalised communities. Therefore, if community advocates are able to raise critical awareness in this regard, mountain communities can develop a selective attitude towards globalisation. As explained earlier, helping the participants create a power map that identifies clearly the market forces that impinge on the lives of the marginalised with whom they work would help immensely in preparing the ground for brainstorming and working out which category of organisations one should target while initiating advocacy initiatives.

RM 4.7 Power Balance in the Social Structure – Civil Society

Civil society is the mother of both the state and the market. As a result, any individual who has no role in either the state or the market remains part of civil society. The household can be seen as the basic unit of civil society. Although civil society comprises around 80% of the population of all countries, it is being weakened in many places. The state and the market apply the conventional strategy of ‘divide and rule’ to keep civil society weak all the time. If civil society becomes stronger, it would start controlling both the state and market, which would be unacceptable to those currently holding power.

- Here, civil society is relatively more powerful than the state and the market. In theory, the situation could develop in this way if citizens are highly aware of their own rights and ensure that the state and the market employ a people-friendly way of managing public affairs. As a result, the state machinery will believe that people are the centre point for all the activities and policies of the state.
- The state and the market are not actually weak in this situation, but they are more responsive to the people because they cannot ignore the people’s rights.

Today we are moving into an age that could be called an age of civil society movements. No one can stop this movement because it is rooted in democratic principles. A constructive and responsive civil society could never become harmful. It rather controls the social structures around it in a way that keeps people at the centre – a goal that is necessary in a democratic society.





Discussion on issues during the ToT in advocacy strategies organised in collaboration with Nepal Participatory Action Network (NEPAN) at Nagarkot, Nepal



Participants evaluating the achievements from a ToT using a participatory method at Nagarkot, Nepal