FINANCIAL PARTICIPATORY APPROACH

GUIDELINES FOR IMPLEMENTATION

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1. INTRODUCTION

1.1 The rationale and objective of the FPA guidelines

The Financial Participatory Approach (FPA) guidelines for implementation are prepared for implementers of the FPA approach at different levels. These include the project team, FPA facilitators and working group members. The guidelines provide the basic principles, tools and processes that are necessary in implementation of the FPA projects. They offer basic theoretical background supported by the practical instructions and examples for better implementation. The appendix additionally offers the templates and further examples to guide the application of the FPA.

FPA is a people driven process, therefore all forms of guidance are to be taken as examples and not as recipes that should be followed exactly as presented. This is specifically true for the templates and specific examples taken from specific cases.

The main objective of these guidelines is to offer support in implementation of the FPA and checklists that can be used at all stages of FPA implementation. The guidelines can also be used for presentations and trainings on FPA implementation to different persons and groups. They are mainly intended for the FPA facilitators but also for all other individuals and groups actively involved in FPA implementation (project team, working groups and others).

The design of the guidelines is based on the lesson from the implementation of the FPA in Caucasus and Ethiopia. The guidelines “Financial Participatory Approach for Socio-economic development, Implementation Manual and Toolbox, 2015” developed by KfW for the Caucasus were used as the basis for preparing this manual.

1.2 Introduction to Financial Participatory Approach

Financial Participatory Approach (FPA) uses direct financial resources for mobilizing local populations to take charge of their own development. It is designed to generate autonomous development dynamics which are constructive, inclusive, and very participatory at family, community and at regional levels.

The purpose of FPA is:

- to break through the vicious circle of environmental degradation and rural poverty,
- achieving that rural communities and families improve their living conditions and
- manage their natural resources in a sustainable manner.

People themselves are stimulated and encouraged to acquire new experiences, to learn from the best and to generate development capacity that is tailor-made by themselves to best fit their situation. The FPA therefore is all about facilitating discovery and recognition (the feeling of “ah ha...!”), about adaptation, about acquiring meaningful experiences that can propel into sustained development.

Financial Participatory Approach brings empowerment, transparency, and trust in implementation of community development projects.
Empowerment - through direct involvement of local communities into design, implementation, and evaluation of project activities. With respect for their knowledge and abilities to define what is best for them without overwhelming inputs of outside technical knowledge and “imposed” solutions.

Transparency – “the rules of the game” are defined and implemented by the people - for the people and enforced in a transparent way (decisions are explained, the processes recorded).

Trust – is demonstrated by the project through direct payments to the local community (members) for the best achievements. At the heart of the approach are subsequent contests promoted and conducted by communities: such as for the best idea, for the best (business) planning of the idea, for the best implementation of the plans etc. And in return, through implementation of the contests, trust towards the project grows as well as the responsibility and sustainability of project results.

FPA corresponds to the core development strategy as people centred approach to community development. It is a holistic approach at many levels (inclusiveness, FPA principles, FPA tools, and FPA cycles). FPA enables incorporation of existing practices as well as supports innovation since it is open to the needs and challenges the people and their environment face. There are no restrictions to the fields of action as long as it corresponds to the main project goal (and legal restrictions).

The proposed Financial Participatory Approach, which has been found innovative and effective in similar projects funded by KfW, is one of the strategies to be applied in the current project.
2. IMPLEMENTATION PRINCIPLES OF THE FPA

The FPA implementation principles are:

Principle 1: All Initiatives come from the people
Principle 2: The role of the FPA and its project staff is limited to facilitation
Principle 3: Cooperative competition generates best ideas and practices
Principle 4: Direct financing supports successful generation and implementation of ideas
Principle 5: Mobilization of learning, knowledge, and experience
Principle 6: The FPA makes constructive use of tensions
Principle 7: Media exposure reinforces the impact of FPA
Principle 8: The FPA progresses through cumulative cycles

In order to ensure that the FPA works, these principles are to be **upheld entirely** while implementing the FPA. The implementation of the principles may differ depending on the reality on the ground that drives the practical application of the tools. There is no notion of priority or time sequence attached to above list.
Principle 1: All initiatives come from the people

Financial participation approach can only work if the people have the full opportunities to discover themselves their development solutions, and to find the best fit within their existing set of accepted and known ideas. This can only happen without outside interference in the assimilation and accommodation. Consequently, the FPA and its facilitators ensure that all development ideas and initiatives emanate from the people themselves. The FPA in that matter is devoid of any expert initiated technical impulses and orientations. The FPA goes more than the extra mile to ensure that this principle is upheld.
Principle 2: The role of the FPA and its project staff is limited to facilitation

The principle 2 implies that the FPA staff only coordinate and facilitate activities. FPA facilitation should refrain as much as possible from suggesting solutions such as pasture management, tree planting, water supply, irrigation, or specific products, but rather will entice the people themselves to come up with these specifics if they find them appropriate. They may provide orientation in terms of the general themes or the overall objective, such as community development, create links with environment and nature protection, promote business development, etc. FPA just sets the general framework within which the community activities are being conducted. Everything else is people driven. The project merely facilitates this drive. The project can, however, provide training and guidance to the people involved based on their request. Adopting the role of the facilitator, the FPA staff explicitly shies away from any technical expert role in orienting and conducting the project. The expert role is considered contradictory to cognitive development learning. Experts are introduced to the process only when their services are explicitly requested by the people and limited to the scope of the request.
Principle 3: Cooperative competition generates best ideas and practices

Mild competition between people tickles them into being more creative than usual. It helps them to think further about their own situation, about what causes their situation, what resources they may need to mobilise in order to improve their situation, what knowledge they need to help themselves.

For this fundamental principle of cognitive learning FPA projects organise cooperative contests in communities to help people discover specific local contents, new development opportunities and solutions to specific problems as perceived. The best results of these contests receive prizes, often financial, in a very visible and public way. These prizes are called “awards” because they also bestow prestige and esteem among their peers. People “go the extra mile” because of the awards and look for the best fit. FPA contests focus on determining – usually by local juries - who has the best ideas and best practices in applying development solutions which will then be awarded with prize money. Sometimes the award serves as a co-funding for the further development of the winning idea.

Usually, the sense of competition, the esteem and prestige that may be drawn from awards is strengthened by local media coverage, which helps to disseminate best ideas and best practices. It also triggers intense local debate, which is a perfect tool for assimilation and accommodation of new ideas and practices. The FPA in this way is all about learning from the best, who are fully recognized and rewarded as such. The wide attention given to them is generally also a source of intense pride which, again, further facilitates the assimilation and accommodation process. People think out things themselves in a way that they are comfortable with and are proud of. This gives them confidence to take charge of their own development.
Principle 4: Direct financing supports successful generation and implementation of ideas

In addition to the above-described prize money which is awarded for the ideas considered by the local jury to be the best, funding and mobilisation of capital is very important in the process of FPA for developing the new ideas and implementing them, as well as for establishing trust and genuine partnership. Funding can take different forms:

- Initially, funds can be made available almost immediately as “seed money”, in small amounts in order to help people cover small expenses for the development and presentation of their ideas. This provides people with a margin of freedom to be creative without fear of financial risks. It also serves as a motivator, a stimulus, a token of trust that it is up to the people themselves to take charge of their development. These funds are important for acquiring valuable “real time” experience to test and perfect experiences, to provide mainstreaming of best solutions, and to help identify the best implementations of solutions found.

- For winning ideas prize-money may be considered as “co-funding” by the FPA for the further implementation of these good ideas, in order to bring them to a new and higher level. This “co-funding” triggers a multiplier effect as it turns out that most participants then also significantly invest their own resources in cash and in kind, because they are proud of their ideas, in which they believe, because they are proud to be winners who show that their ideas and implementations are the best. The financial input through the specifics of the FPA does not only provide an immediate economic impact for the communities, it also mobilises considerable own contribution in time and funds from the people, leading to strong motivation for continued and efficient implementation.

- The FPA may also encourage and contribute to collective savings arrangements by topping up investment savings or micro-insurance that groups may collect. Through mechanisms of rotating savings and credit schemes or solidarity-based insurance of crops or cattle, this may
contribute to sustained funding of winning initiatives or to risk mitigation for individuals/families who participate in the collective savings scheme.

These different ways and levels of “FPA capitalisation” take place within a context of full trust, with no strings attached, and no questions asked. At first sight this appears to be odd to many non-practitioners or new practitioners, as it is not a common practice in classic development projects. Yet, **this trust is key to success**, as it enhances confidence, respect, and “ownership”. In actual practice, abuse of funds in the context of the FPA is considered well below abuse figures in most classic grant or credit schemes. The FPA principles ensure that community mechanisms of pride and social control kick-in deeply and do take away the sting of temptation.

Capitalisation in the context of the FPA allows for the distribution and **injection of funds directly into the local economy** through **awards, seeding money, co-funding or saving subsidies**. The funds will obviously serve an autonomous economic multiplier function, yet also allow for and boost the generation and implementation of specific socio-economic development activities as conceived through the FPA process. The fact that the **distribution of funds** and their use, based on the FPA principles, is **process driven** rather than externally imposed, **reinforces trust and ownership** and consequently medium to long term sustainability.
Principle 5: Mobilization of learning, knowledge, and experience

External knowledge, expertise, and competence is brought into the FPA-triggered development process through dynamic exchanges in and between communities concerning local and regional ideas, existing experiences and new best practices by individual families and communities. The exchanges trigger the assimilation and accommodation of new ideas from which new knowledge develops, just as new attitudes and behaviour. The FPA strongly encourages and facilitates locally driven exchange visits and locally driven requests for the mobilisation of external expertise when needed and requested by the people.

FPA experiences have shown that at some point the people themselves will acknowledge that they have arrived at a crucial point where they need additional inputs, additional skills, and know-how. The first “itching urge”, the first impulse to want and learn more emanates from the people themselves. The FPA facilitator merely recognises it, picks it up and suggests some form of mobilisation and exchanging of knowledge, and in this way facilitates the resetting of the gears and cogwheels of the minds. This also applies to trainings. People usually will identify their needs themselves. The FPA provides the resources to organise and implement tailor-made programmes for “knowledge management” in any format, including the mobilisation of external expert-knowledge. People may conclude, in their own time, on their own terms, that for example they know enough about production, but now have trouble managing market relations. The essence is that not the project, but its beneficiaries are identifying these requirements and pulling the strings to fulfil them. Advantages of this principle are obvious: “Knowledge management” in this way is to a high degree context and demand driven. Mobilisation of new knowledge and experiences then is “fitting”, provides a match. In addition, the fact that people have identified these needs makes for strong ownership. Finally, sharing information and experiences with other communities is again a source of immense pride, and makes an important contribution to continued efforts and sustainability. The FPA is heavily involved in geographical exchanges of experiences, the mobilisation of expert knowledge on demand and in “à la carte” trainings, in a targeted, people-driven manner.
Box 1: Advice for facilitators

Advice for facilitators:

For facilitators who are not experienced with the FPA and its group process facilitation requirements, it appears always to be difficult to let go of their instinctive urge to suggest their wisdom to the participants in any minor or major way: “to just add a few useful things”, “to be of help”, to explain the “obvious”. In fact, when they do, this always frustrates the outcome. “Obeying” other people does not at all motivate, does not create ownership. Their outside “wisdom” comes from a different background and context and as such may not be recognised as useful, is not at all obvious, and/or simply does not work. Misfits, frustration and (partial) abandon of externally introduced developments are most likely to be the result. As with “beauty”, “Common Sense” is in the eye of the beholder. The biggest misstep any FPA facilitator may commit is to interfere (even a little bit, and with the best of intentions) in the contents of the process. However well-meant, it totally spoils the benefits of cognitive development learning.
Principle 6: The FPA makes constructive use of tensions

Classical development approaches are generally based on the “harmony” or “consensus” model. Participation is technically tuned to create consensus. There is an inherent fear of unrest, strife or social turmoil of any kind that may disturb the implementation of expertise driven, planned, linear development. Intervention tools are geared to undo and resolve as fast as possible differences of opinion, sentiments of unease, by generously applying consensus tools. The FPA, however, makes abundant use of cooperative competition (principle 3) as a lever for triggering development. Consequently, the FPA in the facilitation of development is not overly focused on creating consensus and maintaining harmony. The FPA considers mild rivalry, challenges, and gentle tensions to be creative and constructive for development. Sociologically speaking, tensions are part and parcel of every society. Every group permanently experiences underlying tensions, which are solved, only to be replaced by new ones emerging. Tension is endemic in society and is an important vector of change. The dialectical process which kicks in to either “solve” or “settle” tension creates new options, attitudes, and behaviour. A rigid search for harmony, to avoid discontent, stifles these opportunities. Without mild conflict human society would not have developed at all. The FPA fully recognises this reality when facilitating the process of socio-economic development. The very nature of “contests” implies that people will try to do better than their neighbours. It also implies that there are winners and then there are those who do not win. The purpose is to identify best and winning ideas, and to flag them up and have people relate to them and learn from them. A reflection on “why did my neighbour win and why did I not win”, with all the embedded emotions which then emerge, triggers an important learning process, and should not be avoided. It is a powerful trajectory for development change. The FPA facilitation observes and recognises these tensions and does not shy away from them. The FPA uses them to their full potential, simply by not trying to reduce them, but simply letting them be. This does require from the facilitator restraint, based on experience and special facilitation skills.
Principle 7: Media exposure reinforces the impact of FPA

The FPA facilitates the **maximum use of the media** when launching the **contests** and in **awarding the prizes**, whenever possible. Media exposure is important for several reasons which are interrelated:

- The fact that people’s activities are being noticed and exposed by radio, television, and newspapers is a source of intense **pride** and **motivates** people. It provides them with a strong **sense of ownership** and **self-confidence**.
- The attention drawn to the communities by media exposure triggers a vigorous dynamic at community level in terms of **debate, collective creative thinking** and sentiments of wanting to live up to expectations. It enhances quality and is a strong activity booster.
- Media exposure strengthens and contributes to **exchanges of lessons learned** at the regional level at least.
Principle 8: The FPA progresses through cumulative cycles

The FPA activities are conducted in successive cumulative “learning cycles” that progressively build on each other and often have a specific thematic topic, identified by the people throughout the process. As the FPA is often implemented in a more or less rural context, its cycles usually take into account the yearly agricultural rhythm of the area concerned. Although this may often be convenient in terms of production and financing phases, availability of time and labour, taking into account the hardships of winter, it is not at all a fixed rule. The FPA “learning cycles” assess the general outcomes after each cycle, and then design the next cycle trying to further improve on the perceived results. This way, as an example, activities may move from production in one cycle to marketing in the next, then to business development, and so on. The tendencies that emerge are not readily predictable, but experience has shown that people themselves will indicate to what extent their ambitions and related development potentials and needs have changed. The role of the facilitator is then to facilitate these next steps in a new cycle, while upholding the FPA principles.

Benefits from adhering to these principles

Applying these FPA principles will lead to development programmes which have the following characteristics:

- Opening-up new development horizons and opportunities;
- Above all, focusing on the “potentials to be unleashed” rather than on the “problems to be solved”;
- Combining learning and financing of development actions;
- Enabling dynamic learning by doing together, which entails that the focus is more on those who want to learn something rather than on the teacher who wants to “transmit” his solutions;
- Transferring decision-making, responsibility, and budget management to local actors, providing them with opportunities and resources to learn and undertake.
Box 2: Origins of the FPA

**Origins of the FPA**

As an approach to socio-economic development, the FPA originated in Latin America at around 1986/7. The original name for the FPA is “Raymi”, which in the Quecha language means “fiesta”, because the competition tools it uses create a literally “festive” environment in the communities which take part. Over the years it proved to be so successful in triggering sustainable socio-economic development that became the main stay of socio-economic development in Latin America for major donors as the EU and IFAD. KfW has also worked extensively with it in Latin America. Over the years FPA / Raymi attracted different names, such as “Learning from the best”, “Contests and Awards”, and now “Financial Participatory Approach”. Gradually the FPA is being applied also outside Latin America because its principles are not bound by cultural or socio-economic contexts but are universally human. Recent case examples may be found in Bangladesh, Laos, Tanzania, and the Southern Caucasus.

**The FPA is ALL about:**

- Active discovery by the people themselves of “development actions” and their integration into people’s lives in order to be successful.
- Triggering locally developed acceptance and adaptation of new behaviour, new technologies, and investments for the local situation.
- Acquiring new skills by actively associating new issues.
- Embedding new technologies and new skills into existing practices and adapting them locally to local situations.

**The FPA is NOT about:**

- Nature protection by fencing people out from national parks
- Classical participatory consultation (e.g. PR/A)
- A central role for outside expertise to disseminate wisdom
- Project driven and dictated activity planning
- Socio-economic development as seen by the experts
- Harmony and consensus
3. THE TOOLS OF THE FPA

The FPA uses several tools to apply the principles of cognitive development learning. These tools may differ from one context to the other, but they always refer to the 8 principles of FPA. There are 5 main types of tools:

- Rapid Rural Appraisal (at the beginning)
- Contests and Awards (all the time)
- Capitalisation (mostly at the end)
- Exchange and Learning (all the time)
- Media Involvement (all the time)

In any FPA cycle several tools are often used simultaneously or in a mixed way.

Fig 1: FPA tools
3.1 Rapid Rural Appraisal (RRA)

The FPA, as a very first step, identifies general livelihood related themes which are important to the people allowing them to develop their own ideas, activities, and priorities. The method applied to identify those general themes often is “Rapid Rural Appraisal (RRA)”. The RRA is a typical tool for rapidly assessing bottlenecks and potentials in livelihoods and economic resources in a specific area. Any other existing rural appraisal or participatory development planning method or its results can also be used for this purpose, for example if it has been recently conducted separately from the FPA process itself.

Under RRA, the FPA Support Team and key members of the RWG, including the representative(s) of the Protected Area, visit individual communities in the FPA intervention zone, conduct interviews with local households, with key stakeholders, meet with local authorities, leaders and representatives of Civil Society to discuss main development issues. The team may consult secondary documentation, look at maps, etc. The objective is to obtain a general idea about the issues at stake regarding development in the area, which may be addressed through the specific FPA activities. The area to be subjected to a RRA should be clearly delineated allowing the RRA to be implemented in about 1 to 2 days. If the size of the area does not allow the RRA to be completed within this limited time, it is best to carve up the area in several zones with a RRA for each. If between different RRA areas, there is a high differentiation of development problems it will be advisable to organise different FPA programmes. If problems are similar the areas may be joined in one FPA programme.

RRA chief techniques may include:

- Review of secondary sources, including aerial photos
- Direct observation, foot transects, familiarization, participation in activities
- Interviews with key informants, group interviews
- Rapid report writing in the field by the multidisciplinary team
The purpose of the RRA is not to obtain a detailed analysis and development plan, but to get a basic idea of what “is going on”, what are the issues that are on people’s minds related to development, what are the challenges that people are facing in terms of their livelihoods. Parts of RRA can be the following:

- Problem analysis
- Ongoing processes and programmes defined
- Assumptions about the future developments documented
- Opportunities defined
- Stakeholders and their roles defined

With the result of the RRA in mind, the Support Team and the RWG will identify the main themes, the activities, and the budget.
Box 3 - An example of a template for Rapid Rural Appraisal

Template for Rapid Rural Appraisal

General information on the area

- General information (location, borders, climate, landscapes, biodiversity, infrastructure etc)
- Demographic information, administrative-territorial division and local self-government system;
- Ongoing socio-economic processes (income source, employment; information on use of natural resources, land-use and main tendentious, main opportunities for development);
- Projects in the field of rural development, biodiversity protection and socio-economic development);
- Information on human-wildlife conflicts

Stakeholder Analysis (relation to project, power, attitude, interest)

- Narrative part and table

Recommendations and potential risk management

- Recommendations on project implementation, assessment of potential risks and management
3.2 Contests and Awards

The FPA organises all kinds of contests between people on issues which may help them improve their livelihoods. They can range from identifying best traditional knowledge, to new ideas, to solutions for problems, to new activities, to short stories about their situation. Anything imaginable may go if one way or the other it is linked to improving livelihoods with regard to main project objective. Juries assess the results from the contests, and award prizes and bonuses to those who have shown exceptional outcomes. The best results are exposed to the public, as is the awarding. The purpose is not the competition or the “winning” per se, but the exposure of the best and the dynamic chitter-chatter in the community that takes place as a result. The “best” that comes from the people themselves is all of a sudden in the midst of the attention. People vividly debate why “this is a winner”, and they are proud that they themselves have generated such excellent ideas or have achieved such excellent results. They contemplate why other submissions to the competition were considered not as good.

Contests and awards take place within two main phases, each with multiple contest cycles:

- **Priming phase (knowledge, stories, planning)**
- **Main phase (contests between communities, families, groups, businesses)**

**Priming Phase**

At the start of a first FPA cycle a priming phase is introduced. “Priming” invites the community to take part in the process and triggers community members into preparing themselves for their own ideas and creativity. In a way, it is about warming up the “mental musculature” and preparing for the main phases. The priming preparations mainly serve several purposes:
Community level

- Through priming the communities carefully, cautiously, and playfully explore the orientation that the development solutions may take place based on their own ideas, thinking, and aspirations.
- Priming prepares and familiarizes the participants in a playful way for the FPA tools and the “rules of the games”. It helps them to open-up.

Project and RWG level

- Priming helps the Support Team and the Regional Working Group to identify particular or sensitive previously undetected issues to take into account.
- The facilitating NGO can settle in this way it’s financial and logistical systems and make changes if necessary.

Individual and household level

- Priming prepares and familiarizes the participants in a playful way for the FPA tools and the “rules of the games”.
- Priming also helps to use small capitalisation funds for households and (women groups) to build trust/confidence in the programme and in themselves.

Typical priming contests examples are:

- Identifying useful traditionally available knowledge
- Writing short stories about general issues
- Identifying a development orientation for the future of the community (basic community planning) -
  "our community, its past, present and future"

Main phase
During priming people have learned to participate, get involved, and have explored potential development avenues. They will use this basis to continue contests and awards at a more comprehensive level, with more funds involved, with concrete development boosting activities in mind. Contests may take place between families, between communities, between specific groups (for example women’s groups), between businesses and between individuals.

A contest can, but need not, take place in several stages. As an example, a first stage is about generating good ideas, at a second stage several interesting and feasible ideas can compete for best business plans, while at a third stage competition for best implementation may take place. All may happen during one or even several FPA cycles.

Evaluation after each cycle
At the end of each cycle, an evaluation takes place at the level of the RWG and the Support Team, and a new cycle is proposed, which builds on the results of the previous one. As a result of the evaluation, the main FPA themes may be amended and adjusted.

Sometimes the question is asked whether participants in the FPA do not need any guidance on how to generate development ideas. If participants themselves request specific support on specific topics, then this can be arranged through exchange and learning tools. The key issue is that the need and request emanate from the participants themselves. The FPA facilitator may provide guidance on neutral techniques such as brainstorming, “problem tree techniques”, and so on, but must remain
far removed from suggesting contents beyond the general and very broad topics identified and agreed during the RRA during the initial scoping activities.

It should be kept in mind that the competition tool specifically seeks to incite participants to generate innovative ideas and show excellent implementation as examples for making best use of local development potentials. The purpose is not equitable distribution of project funds. Facilitation should create understanding and acceptance of this concept, to create a conducive environment for fair competition.
3.3 Capitalisation

Contests and awards are often accompanied by some kind of direct funding support to the local economy, which function as an economic and financial support tool. This “capitalisation” may take several forms:

- **“Seed money**” provided by the project to participants at the start of a contest in order to help them cover local expenditures needed to generate initial ideas and first activities, and to present them. These generally are small amounts.

- **Co-funding** by the project to further develop initial ideas into more concrete plans, or the implementation of activities which already have been recognised as winners. Usually co-funding by the project represents a “minority stake” in the overall capital requirements of a development activity.

- **Investment** identified during the FPA as important to achieve the overall purpose may be picked up by a government programme (e.g. agriculture support, land register) or by a donor project (e.g. building infrastructure, setting up local savings scheme, value chain development...)

- The FPA can contribute to setting-up and running **local saving and investment schemes**, which may develop into revolving and rotating loan funds. A **revolving loan** allows the borrower to draw down, repay and re-draw the loan funds agreed. Rotating saving and credit is money saved by a group of individuals, through fixed regular individual deposits, allowing individual members to take turns in accessing and reimbursing as credit the total combined savings deposits. A group which organises itself this way is a ROSCA (Rotating Savings and Credit Association).

   This is to be decided by the winners or by the owners of the savings and investment fund. The group establishes its own rules for managing the savings and for issuing savings to group members for new activities. When the savings account(s) reach certain saving levels, the FPA can add a savings bonus.
- Prize awards that are won in competitions also channel funds in the communities and therefore also represent a kind of capitalisation. Experience has shown that winners mostly invest the prize funds in their winning ideas and activities.

Capitalisation serves to provide direct capital to the local economy and to stimulate the emergence and implementation of development activities. The FPA does not impose conditions on the spending of seed money, prize awards, or savings funds; this is to be decided by the winners or by the owners of the savings and investment fund.

The trust factor is extremely important in the FPA and basically a tool in itself. Experience has shown, that people are worthy of this trust, and abuse is inexistent or extremely rare. The very transparent character of the FPA strengthens important social control mechanisms in support of appropriate use of funds made available by the FPA. These have proven to function extremely well.

For transparency and project monitoring purposes the FPA keeps track in a detailed way of where the FPA funds are going. Yet, no judgment or value is attached to the nature of the expenditures, as this is to be decided by the participants themselves. Assessments by the FPA in terms of good expenditures and bad expenditures would again direct the activities towards what “others” consider to be “good” or “bad”. As long as funds are spent in line with the rules of the FPA anything is good.

However, within the context of exchange and learning, the FPA on the request of the participants and / or the RWG may provide training on “financing techniques”, “funding possibilities”, “business planning”, and so, as long as this advice stays away from suggesting what the funds should be spent on in terms of contents.
FPA is all about identifying the best and then learning from it, from each other and from their experiences. Consequently, an additional support tool of the FPA consists in explicitly promoting the exchange of important experiences and learning. Exchange and learning take different shapes:

- Exchange trips
- On-demand trainings (technical, financial literacy, organisation, governance...)

The FPA programme reserves funds for exchange trips between participating communities and, if possible, between different FPA projects and other FPA programmes. This explicitly stimulates people to show to others the lessons that they themselves have learned.

It is important that those who go on an exchange trip share their experiences as soon as possible with the other members of the community when they return home. It is also important that this “debriefing”-session must lead to conclusions on how the contents of what was learned from the other communities can be used in the home community, accompanied with an action plan. Therefore, not only the exchange visit is to be organised, but also the follow-up afterwards.

At some point in time, participants will discover themselves that they will need to know more about a particular subject if they want to progress. As examples, they could state that they know how to produce, but they need marketing skills in order to sell their products. They now understand that they need to know more about animal healthcare in order to make the use of riding horses more attractive to visitors. They want to expand their activities and need to set up officially registered and licensed organisations and consequently, they want to know more about how to register, licence and keep administration for tax purposes or other legal requirements.

It is a matter of time, and people will discover their own training needs.
The FPA will make funds available to provide tailor-made trainings that are tuned to the particular needs of the participants.

FPA trainings are not teacher centred. The communities, the RWG and the FPA facilitator identify together the trainers. Competent local, regional trainers are preferred as they are usually better able to express themselves in concepts which are locally understood.

A training programme and curriculum will be submitted to the RWG beforehand and will be based on the principle of cognitive learning, thus avoiding as much as possible the rather classical “teacher-to-trainee” methods.

- Sometimes it will be necessary to call for outside expertise in order to improve the quality of the ideas and support the implementation. For this, the FPA holds funds available and the people themselves will identify their needs. The program always takes care, though, to avoid an expert driven learning orientation.
3.5 Media Involvement

The FPA strongly supports media exposure of the programme in all stages, from the launch of FPA activities to the presentation of outcomes and the awarding of prizes. The NGO and the RWG may be very instrumental in mobilising media coverage. This can take place at all levels: local, regional, and national. It ranges from written press (newspapers) to audio-visual coverage (local, regional, and national radio and television). However, there should be some caution with internet-based media, such as Facebook, Twitter, etc., as in many rural areas internet is less widely available or internet media are less commonly used.

For the FPA, the media involvement serves several purposes:

- Local pride
- Internal debate
- Wider exchange of experiences and lessons learnt

The fact that articles are written about a community, that people can hear and see themselves and their neighbours on radio and TV concerning their development initiatives, is itself an intense source of local pride. Consequently, people claim strong ownership of the ideas and activities that they have initiated, contributing to sustainability, perseverance, and motivation.

Within the communities, the media coverage itself is the object of, again, intense internal debate, consolidates the assimilation and accommodation, and helps the internalisation. It is very much part of the cognitive learning.

Media coverage, especially the local and regional coverage, may play an important role in facilitating the exchange of experiences and lessons learned and disseminating best practice to a wider audience.
4. MONITORING AND EVALUATION

At different stages of FPA implementation, different monitoring and evaluation tools are used.

4.1 Monitoring

Monitoring is performed through regular reporting. Reports are prepared for implementation of:

- individual contests
- capacity building trainings
- exchange visits
- etc.

Every report on individual activity should contain the information on number of participants, costs of each contest, description of the programme, defined goals and achieved outcomes.

An example is shown in the template table below:

Table 1: Activity report draft

<table>
<thead>
<tr>
<th>Activity</th>
<th>Contest 1</th>
<th>Capacity Building training</th>
<th>Exchange visit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Programme description</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>No. of participants</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Goals</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Outcomes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Value/cost</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Progress Report is a summary of different evaluation reports (for different activities).

Besides the table that offers an overview of individual activities this report entails also a narrative description of implemented activities organized according to FPA tools (Contests and Awards, Media Involvement, Capitalization, Exchange and Learning). An important part of the progress report is also documentation of the observed impact.

A person responsible to produce the progress report is the facilitator. The content of the report must be aligned with the view of the working group. The receivers of the progress report are: Support Group, Project Leader and responsible governance body (e.g. Ministry of Agriculture).

4.2 Evaluation

Evaluation after each cycle is important. Based on evaluation further steps are defined. When evaluating the cycle, the following questions can help to plan the next cycle:

- What went well?
- What went wrong?
- What did we learn?
- How to plan the next cycle?
- Exchange and training needs identified
The main indicators used for evaluation of FPA activities are:

- Number of participants
- Amount of funds used

The evaluation should take place after each activity/cycle. The person responsible for evaluation report is facilitator, but the contents of the evaluation need to be consulted with the working group. The evaluation should include general description of the rewarded outcomes, ideas, stories and/or general evaluation of the activity implementation.

For better clarification and implementation, the table below presents a possible template for evaluation and Progress report:

**Table 2: FPA Progress report and evaluation**

<table>
<thead>
<tr>
<th>Activity Description</th>
<th>Contest</th>
<th>Capacity Building Programme - CBP</th>
<th>Exchange visit</th>
</tr>
</thead>
<tbody>
<tr>
<td>No. of participants</td>
<td>Number</td>
<td>Number</td>
<td>Number</td>
</tr>
<tr>
<td>Value/Cost</td>
<td>Amount of the winning awards</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Goals</td>
<td>What is/are the goal(s) of the contest?</td>
<td>What is/are the goal(s) of the CBP?</td>
<td>What is/are the goal(s) of the exchange visit?</td>
</tr>
<tr>
<td>Outcomes</td>
<td>What were the results?</td>
<td>What were the results?</td>
<td>What were the results?</td>
</tr>
<tr>
<td>Observed Impact (+ and-)</td>
<td>Which positive/negative impacts</td>
<td>Which positive/negative impacts</td>
<td>Which positive/negative impacts</td>
</tr>
<tr>
<td>Implementation Evaluation</td>
<td>What went well / wrong?</td>
<td>What went well / wrong?</td>
<td>What went well / wrong?</td>
</tr>
<tr>
<td>Lessons learned – for next cycle</td>
<td>How to do it better?</td>
<td>How to do it better?</td>
<td>How to do it better?</td>
</tr>
<tr>
<td>Training needs - identified</td>
<td>Which trainings to implement?</td>
<td>Which other trainings to implement?</td>
<td>Which other exchange visits to implement?</td>
</tr>
</tbody>
</table>
5. INSTITUTIONAL FRAMEWORK OF THE FPA

5.1 Introduction

The local population, the target groups, determine through the process the objectives, the activities, and the results. The FPA requires some limited, yet clear organisational and institutional arrangements. These are outlined in the following paragraphs.

5.2 The FPA Support Team

General management of the FPA implementation resides with a FPA Support Team (FST). The composition of the FST depends on the institutional framework in which the FPA is implemented. It is basically composed of a facilitator and the wider team representing the institutions involved in process facilitation of the FPA and the management of logistics and finance. Depending on circumstances these include donor programmes or projects, state institutions, regional and local authorities, NGOs, consultants, and experts centred around one organisation (office) that manages the funding and contracting.

The FPA Support team of the FPA Pilot project team consists of the following members:

- Project Team Leader
- FPA Expert
- National/Regional delegated staff
- Contracted local organization (NGO - FPA facilitator)

The role of the FPA Support team (FST) is:

This team is responsible for the FPA methodology, capacity building, budgeting, contracting of NGOs, and coordination with other project components.

The FST will provide all existing reports and materials related with the assignment of the contracted NGO. The overall coordination of the work will be provided by the FST while logistic and operational coordination of the work will be made by the NGO.

5.3 The Facilitator

The facilitator is the face of the FPA towards the community and the guardian of the integrity of the process and consequently of its success. The facilitator is someone with explicitly proven facilitation skills and who has a track record of process facilitation. The quality and neutrality of the facilitator is the hinge pin to success.

Main duties and responsibilities of the facilitator are:

- Participate in and successfully complete the training on FPA implementation
- Understand and update the results of the Participatory Rapid Rural Appraisal together with WG members
- Setting up the working group(s) and carry out communication with different stakeholders
- Facilitate FPA activities performed by the work group and organize meetings
- Support the working group in conducting of different project activities, including
information dissemination

- Ensure regional/local media involvement
- Prepare reports summarizing results of each conducted competition
- Evaluation of the process, conclusion and developing lessons learned from the experience
- Implementation of all logistical activities
- Input in preparation of FPA framework plan
- Develop and regularly update the work plan of FPA implementation
- Participate in other workshops if requested

**Box 5: The fundamental differences between experts and facilitators**

**About experts and facilitators: the fundamental differences**

An **expert** is a person with specific knowledge in a particular field, often “technical”, based on study and research, experience or profession. It is significant that most other people do not have the specific expertise of the expert, by virtue of which the expert has “technical authority”. Within the context of development projects the role of the expert is to bring in his or her expertise to diagnose problems, propose solutions, plan and implement activities. Participatory consultations by the expert often do take place, yet the final authority and the position taken by the expert regarding the solutions proposed and implemented is not questioned. The expert engages in technical contents and as such is directive.

A **facilitator** is a person who creates and supports the preconditions for initiating and maintaining collective change processes, by helping people to understand common objectives and by helping them to plan how to achieve these themselves without claiming technical authority or taking a particular position. Even though facilitators may have specific technical expertise while facilitating, they do not engage in technical contents. The facilitator is content neutral and as such non-directive. The specific skills set of facilitators concerns the understanding of group dynamics, including the functions of building consensus and using tension constructively. A facilitator considers that there is power and potential in not telling people what to do, but to help them think it through themselves. The facilitator fosters supportive relationships to help people understand the need and opportunity for change.

The facilitation process is supported by an **office** for managing funds and logistics, such as transportation, reservation of meeting places, and mobilising the media and experts for on-demand learning. The office implements the decisions made by Regional Working Group and reports back to the Regional Working Group and the project. The office is also content neutral. The skills and capacities required of the office concern accounting, finance, and logistics.
5.4 Contracted Facilitating organization

An organization will be contracted to provide the facilitation and the necessary technical and logistical service required for the implementation of FPA. The organization should have an established office in the regional capital or any other areas within the region but close to the project target area. The organization will assign one FPA facilitator which will work at community level (possibly on full time bases for the duration of the contract period). In addition, the contracted organization will mobilize managerial and support staff to work in support of the FPA.

Main duties and responsibilities of the selected organization facilitator are the following:

- Conducting Rapid Rural Appraisal
- Support to the establishment of Working Groups
- Provide technical and financial facilitation services for the implementation of FPA activities
- Ensure and avail logistics required for FPA activities implementation
- Facilitate and support the selection of juries
- Organize and facilitate regular meetings of Working Groups
- Keep records and taking minutes of all meetings;
- Facilitate and support implementation of different contests, awarding ceremonies, and associated events
- Mobilize targeted populations for the participation in local/community level contests
- Provide technical and logistical services for experience sharing and exchange visits
- Prepare and submit regular activity reports (narrative and financial) as required
- Facilitate the presence of media during contests and awarding ceremonies
- Participate actively in the evaluation of the process, conclusion and developing lessons learned from the experience

5.5 The Regional Working Group

The Regional Working Group (RWG) is at the heart of the FPA. With conceptual and operational assistance from the Support Team, the RWG, representing as many stakeholder groups as possible (including the target population), will de-facto take all relevant management decisions for the implementation of the FPA programme (the competitions, exchange and learning, media activities, ...). The members of the RWG are all based in the area. Typical tasks that the RWG may be responsible for include deciding the activities, allocating the budget, set up juries, monitor the implementation of activities, implement jury decisions, and so on.

The RWG serves the purpose of implementing the FPA in a participatory and inclusive way. Beyond this it has no formal or informal “raison d’être” and thus should not be continued to live past its purpose.

A typical RWG is composed of the following members:

- Representative(s) of the local authorities
- Representatives of religious organizations (If appropriate)
- Representatives of each community involved in FPA
- Representative(s) of a locally active NGO(s)
- Representative(s) of small scale Enterprise(s)
- Representative(s) of Protected Area(s)
• If requires, representatives of a Community (s) Working group(s)

An efficient RWG should have at least 5 and not more than 15 members.

At the beginning of its assignment the RWG receives a basic FPA training from the FPA facilitator in the Support Team.

5.6 Target Community Working Group

Often the FPA concerns more than one community. When individual participating communities have more than about 400 permanently residing members, it may be good to set-up Target Community Working Groups (TCWG) in order to facilitate decision making and coordination at the community level. One member, usually the chairperson, then also represents the community at the RWG.

Usually, the TCWGs do not have more than 7 members. As the main function of the TCWG is to make internal community decision making easier, its structure is relatively simple. There are members and a chairperson. The TCWGs also receive training from the FPA facilitator in the Support Team at their inception and may receive further facilitation support from the FPA facilitator throughout the whole approach, if needed.

For both, RWG and TCWG, it is important that all major relevant categories of society find adequate representation, including women and the young. Consequently, it is to be avoided that “local politics” takes over the FPA. For that reason, it is not advisable that representatives of political groups or parties have seats on the RWG or TCWG.

5.7 The Local Jury

A key institutional element of the cooperative competition principle of the FPA is the Local Jury who assesses the ideas and the activities which have been generated and implemented in the contests, and who decides to whom the different prizes will be awarded. Each contest will have its own individual jury. Often the jury is composed of 5 members, usually from the area where the FPA is being conducted. The members may be well known dignitaries, notabilities, or other “somebodies”. If the contests concern themes which have a specific technical aspect, technical specialists may be invited also. In general, they are then added to the existing membership of five, to the extent that the final number is uneven. The quality of the jury is essential to the final result of the FPA. It is important that the jury is accepted by all. Participants who did not win may sometimes tend to challenge the quality, neutrality or integrity of the jury and its work. It is important to prevent this, taking great care in appointing the jury by being transparent and meticulous when the jury is active. Experience has shown that with good care and with a few good rules of thumb, problems may be avoided and overcome:

Usually, the composition of the jury is decided and publicly announced before the contest has been launched. This may be done in the following way. During a public announcement and launch session of the contest, in the presence of all participants, the RWG proposes several members of the jury, and explains why the RWG thinks that these potential members may be very suitable. As a next step, the RWG invites the participants to propose additional members and, if considered desirable, propose alternatives. The final jury composition is decided by all present. The RWG then makes clear that these members will make up the jury, that this has been decided in common agreement and
that people should either “speak now, or forever hold their peace”. When all questions and issues have been resolved, the jury has a publicly recognised mandate, which is difficult to challenge.

The presentation of the outcome of the contest activities should be done publicly, and the jury deliberation and assessment should take place immediately afterwards during that same session. Also, during that same session, the jury will announce its findings publicly and justify and explain its considerations and how it came to its conclusions.

The jury (but sometimes also the RWG and the project) may be held accountable and therefore all efforts should be made to avoid any secrecy, and to work transparently and diligently towards understandable and justified jury decisions when awarding prizes.
6. FPA PROCESS STAGES

The FPA is implemented in 4 main stages:

1. Set-up of the institutions (facilitator and the support team)
2. Rapid Rural Appraisal
3. Contests and awards - Priming phase
4. Contests and Awards – Main phase

At the implementation of each 4 stages, it is important to clearly explain the overall objective of the FPA process. This should be clear and understandable for all participants at all times of the project duration. In this way all involved in the process follow a common goal within all FPA process stages.

Some examples of overall objectives:

- Drought resilience in Ethiopia
- Nature conservation in Caucasus

The following diagrams show the summary of FPA process stages:

**Fig. 2: Main stages of FPA**

Institutional Setup → Rapid Rural Appraisal → Priming Phase → Main Phase

Activities:
- Finalize Support Team
- Put in place NGO support
- Set up RWG

Assessment of:
- Ongoing processes
- Stakeholders
- Problems
- Possible developments
- Opportunities

Other Tools:
- Media
- Exchange and learning
- Capitalisation

Other Tools:
- Media
- Exchange and learning
- Capitalisation
6.1 Set-up of the institutions

As a first step, to get started with the FPA it is important that the main institutions are being set-up. There is a specific sequence to developing the basic institutional framework that will run the programme as a process.

Fig. 3: Steps in institutional setup

Finalize Support Team → Put in place Office/NGO support → Set up RWG

All institutional set-up groups are in detail described in chapter “Institutional Framework of the FPA.”

6.1.1 Finalize Support Team

FPA Support Team is responsible for the FPA methodology, capacity building, budget, contracting of facilitators, and coordination with other project components.

Support team consists of several members:

- Chief Technical Adviser (chosen by the Team Leader and his or her staff specifically guides the FPA Facilitator)
- FPA Facilitator
- FPA Expert
- Regional and Governmental PCU representatives (regional units of government responsible for promotion of agriculture and rural development)
- Etc.

6.1.2 Put in place office / NGO support

Local NGO or similar organization selected by the Support Team is responsible for financial and administrative tasks related to the FPA implementation. Its role is in detail described in chapter 6 – Institutional Framework of the FPA.

6.1.3 Set up RWG

Regional Working Groups are responsible for all relevant management decisions for the implementation of the FPA programme. Their roles and tasks are in detail described in chapter 6 – Institutional Framework of the FPA.
6.2 Rapid Rural Appraisal (RRA)

The RRA is a typical tool for rapidly assessing bottlenecks and potentials in livelihoods and economic resources in a specific area. RRA identifies general livelihood related themes which are important to the people allowing them to develop their own ideas, activities, and priorities.

This is in detail described in chapter 3 - The tools of the FPA.

6.3 Contests and Awards - Priming phase

Priming serves to open-up both the issues and the participants for mainstreaming FPA and helps the Support Team and the RWG to test and fine-tune their systems. Activities during priming are of a general nature, non-controversial, and mainly identify the issues which may be further explored during the main FPA phase. Possible activities for the priming phase are:

- Contests and awards to identify local knowledge,
- Short story writing
- Planning contest between communities
A case example from the pilot tests: *Short story contest*

**Objectives:**
❖ To collect stories, both traditional and modern, that tell about man and nature and its positive constructive relationships that implicitly embrace the need to protect nature, also as part of the cultural identity and heritage of the area.
❖ To bring the stories and the values that they hold to the public conscience and awareness as sources of inspiration for modern behaviour and strengthen the relationship between man and the nature in the area.
❖ To create a potential source for media distribution (written, audio, visual).

**Steps to be taken:**
1. The RWG announces the short story contest in 5 target communities, and requests that after a month short stories will be presented to a jury. The stories will tell in not more than 10 minutes, or a maximum of 1200 words, a tale of the positive, constructive relationship between humans and nature in the area. They may be old or modern.
2. Stories will be submitted in written form. If there are more than 15 submissions, a pre-selection will take place by the jury.
3. The (pre-selected) submissions will be presented, read out loud, preferably by a trained speaker, such as a school master or teacher, at a public session and in a central location in the presence of those who have submitted, and preferably of invited media representatives. The session will be announced in all communities and are open for all.
4. From the twenty submissions, five first prizes of € 100,- each will be awarded, five second prizes of € 65,-each and five third prizes of € 35,- each. (The total prize money is € 1000,-)
6.4 Contests and Awards - Main phase

General guidelines for identifying themes during the FPA main phase:

- The themes and the activities in which they are embedded allow participants to pursue objectives related to the improvement of their livelihoods, their socio-economic situation.
- Themes should be realistically implementable
- The themes and their activities do not go against the overall objectives of the project context.
- The themes are not related to religious or politically contentious issues.

Main phase activities can be:

- Contests between families in a specific area with capitalisation fund
- Community contest on the improvement of community conditions
- Individual business contest with capitalisation fund,
- Group contests with capitalisation funds,
- special awards or prizes for outstanding activities/results

The implementation of the contest has the following elements:

- Theme - defined
- Contestants – invited, applied
- Budget for the prizes – defined and announced
- Rules, transparency – agreed upon and defined
- Publicity ensured, the target group informed
- Indicators - set
- Media - involved

**Evaluation and identification of the next cycle**

Evaluation after each cycle is important. Based on evaluation further steps are defined. When evaluating the cycle, the following questions can help to plan the next cycle:

- What went well?
• What went wrong?
• What did we learn?
• How to plan the next cycle?
• Exchange and training needs identified
Diagram FPA – principles, tools and implementation stages

Principle 1:
All initiatives come from the people

Principle 2:
The role of the FPA and its project staff is limited to facilitation

Principle 3:
Cooperative competition generates best ideas and practices

Principle 4:
Direct financing supports successful generation and implementation of ideas

Principle 5:
Mobilization of learning, knowledge, and experience

Principle 6:
The FPA makes constructive use of tensions

Principle 7:
Media exposure reinforces the impact of FPA

Principle 8:
The FPA progresses through cumulative cycles

Main Phase

Promising Phase

Institutional Setup

Rapid Rural Appraisal

Exchange and Learning

Media Involvement

Contests

And Awards

Capitalisation
7. APPENDICES

1. Possible steps in implementation of FPA

<table>
<thead>
<tr>
<th>Preceded BY</th>
<th>Followed By</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recruit Facilitator</td>
<td>Local NGOs Social science background</td>
</tr>
<tr>
<td>Working groups</td>
<td>Regional, target community Statute</td>
</tr>
<tr>
<td>Rapid Rural Assessment</td>
<td>Collect data Field visits</td>
</tr>
<tr>
<td>Priming phase</td>
<td>Preparation Contests Evaluation</td>
</tr>
<tr>
<td>Main phase</td>
<td>Preparation Contests Evaluation</td>
</tr>
<tr>
<td>Capitalisation</td>
<td>Depending on the results of contests and awards</td>
</tr>
<tr>
<td>Learning and Exchange</td>
<td>Depending on the needs identified</td>
</tr>
<tr>
<td>Media</td>
<td>Opportunities Communication strategy</td>
</tr>
</tbody>
</table>
2. FPA Planning Template

| Element                      | Scope                                                                 |
|------------------------------|                                                                     |
| Objectives                   | Contributes to the programme objectives (resource management, livelihood) |
| Key issues to be addressed   | List                                                                 |
| Rapid Rural Assessment       | Summary                                                              |
| Key stakeholders             | List                                                                 |
| Institutional setup          | Groups, committees,                                                |
| Target group(s)              | Define                                                               |
| Priming phase – first round  | • Theme                                                              |
|                              | • Contestants                                                        |
|                              | • Budget for the prizes                                             |
|                              | • Rules, transparency                                               |
|                              | • Publicity, informing the target group                              |
|                              | • Indicators                                                         |
|                              | • Media                                                              |
| Priming phase – other        | List potential trainings                                           |
| Main phase                   | List potential visits                                               |
| Trainings                    | List target media, when they should be invited                      |
| Capitalisation               | Final desired outcome, linked to objective                          |