**Annex II: Field guide to conflict analysis**

This annex provides a guide to help practitioners apply conflict analysis tools in the field. Conflict analysis is a learning process to help mediators and stakeholders improve their understanding of a conflict and decide whether and how best to manage it. The annex is intended to help mediators use conflict analysis tools as part of conflict management processes.

The annex complements Section 5, which explains why conflict analysis is essential, how it is integrated into the conflict management process, and what role each tool plays in it.

### Analyzing Conflict

Conflict analysis comes in all various stages during a conflict management process:

A. Preliminary conflict assessment: During the early stages, the conflict analysis that is carried out as part of the conflict assessment is a strategic instrument for the mediators to plan the way forward - to decide whether or not to proceed in the conflict and what steps to undertake next. It is carried out after initial contact with the stakeholders in the early phase and after clarifying their accounts and concerns. A preliminary conflict assessment is carried out by the mediators internally.

B. Facilitated conflict analysis: The conflict analysis during this later stage is different from the initial conflict assessment in that the mediators help the stakeholders to conduct their own analyses. The mediators seek to support and advance a process of self-examination and self-discovery among the conflict stakeholders. All stakeholders must be able to follow the process, understand the results and know how those results have been obtained. So the mediators' main task is to explain and visualize each step of the process and all interim results. Depending on the circumstances, the mediators may facilitate the conflict analysis as a joint multi-stakeholder event. When there are severe tensions, the analysis may be better done separately with the different stakeholder groups. However, at some point, the different stakeholders need to share their analyses in order to promote better understanding of each other's points of view.

The aim of conflict analysis at the later stage is for stakeholders to reach a common understanding of what the conflict is about, and what its meanings and implications are for each party. For different stakeholders this may involve broadening or narrowing the scope of issues to be negotiated.

### Tools in Conflict Analysis

Tools are aids for the people who carry out conflict analysis. Each plays a different role in the various steps of the process map. The tools are not rigid processes, and different stakeholders need to share their analyses in order to promote better understanding of each other's points of view. Depending on the circumstances, the mediators may facilitate the conflict analysis as a joint multi-stakeholder event. When there are severe tensions, the analysis may be better done separately with the different stakeholder groups. However, at some point, the different stakeholders need to share their analyses in order to promote better understanding of each other's points of view.

The root causes of a conflict are not properly understood, any steps to manage and solve the conflict may miss some important causes. The conflict may then not be properly managed, and may re-emerge later on. This is similar to felling a tree without eradicating its roots, which causes the tree to start growing again. Clarify any questions that participants may have about the process.

### Conflict Analysis Tools

<table>
<thead>
<tr>
<th>Tool number</th>
<th>Tool</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Root cause analysis</td>
<td>To help stakeholders examine the origins and underlying cause of conflict.</td>
</tr>
<tr>
<td>2</td>
<td>Issue analysis</td>
<td>To examine the issues that contribute to conflict and the specific issues that give rise to a specific conflict in more detail, focusing on five categories:</td>
</tr>
<tr>
<td>3</td>
<td>Stakeholder identification and analysis</td>
<td>To identify and assess the dependency and power of different stakeholders in a conflict.</td>
</tr>
<tr>
<td>4</td>
<td>4Rs analysis (right, responsibilities, roles, relationships)</td>
<td>To examine the rights, responsibilities and benefits of different stakeholders in relation to natural resources, as part of improving understanding of a conflict.</td>
</tr>
<tr>
<td>5</td>
<td>Conflict timeline</td>
<td>To assist stakeholders in examining the history of a conflict and to improve their understanding of the sequence of events related to the conflict.</td>
</tr>
<tr>
<td>6</td>
<td>Mapping conflict over resource use</td>
<td>To show geographically where or resource use conflicts exist or may exist in the future. To determine the primary issues of conflict.</td>
</tr>
</tbody>
</table>

Tools 1 to 4 are core tools, which are a fundamental part of detailed conflict analysis. Tools 5 and 6 are complementary tools, which are useful, but needed not necessarily be used in each conflict analysis.

### Core Tool 1: Root Cause Analysis

**Purpose:** To help stakeholders examine the origins and underlying causes of conflict.

**Application:** The root cause analysis helps to illuminate the linkages among the different factors and causes that have triggered the conflict. It helps build simple cause-effect chains, which show the underlying dynamics of the conflict.

**Root cause analysis can be applied as:**

- an internal mental model to structure the thoughts of the mediators;
- a facilitation tool applied with the conflict stakeholders to guide them in their own analysis.

**Root cause analysis is usually carried out with each conflict stakeholder separately during:**

- shuttle consultation - as part of preliminary conflict analysis (step 3);
- stakeholder engagement - stakeholders analyse their own conflict.

The root cause analysis can be repeated throughout the conflict analysis process, as more information becomes available and new issues arise.

**Preparation:**

- Flip charts.
- Post-it notes.
- Coloured marking pens.
- Tapes.

**Potential constraints:**

Root cause analysis reveals different interpretations of cause and effect. Some stakeholders may be unwilling to bring out key problems, and there are often differing perceptions about the importance of different problems. However, the root cause analysis can be so broad that the conflict tree becomes too complex to help the analysis. The conflicts may be too complex to help the analysis. The conflicts may be too complex to help the analysis. The conflicts may be too complex to help the analysis. The conflicts may be too complex to help the analysis.

**Cross references:**

- Sections 4.4, 5.4, and 6.

**Steps:**

A. Carrying out root cause analysis as a part of preliminary conflict assessment (early phase):

1. In the early stages, mediators contact the different stakeholders and give them space to examine their causes, grievances and perceptions of the situation. In this early stage of confidence building, root cause analysis should not be carried out directly with the stakeholders. However, mediators may use the technique of asking "why?" questions to explore the boundaries and underlying causes of the conflict in more detail.

2. Later, when the mediators meet together, they can use the information obtained from the different stakeholders to develop a preliminary conflict tree as the basis for their decision whether or not to engage in the conflict management process. Root cause analysis is useful in demonstrating how local causes of conflict can be linked to much broader social, political and economic issues. This, in turn, can help determine the level of conflict on which mediators need to focus their attention.

B. Facilitating stakeholders' root cause analysis

1. Introduce the purpose of the activity to the stakeholder group. Explain that this activity assists their understanding of how and why conflict originates and the sequence of contributing causes.

2. Post the sample conflict tree and describe the steps of the process. Explain that a conflict may appear to be either very complex or very clear cut. However, it may be far more or far less complex than it first appears. Root cause analysis is therefore an essential way of managing the conflict and preventing escalation. Explain that when the root causes of a conflict are not properly understood, any steps to manage and solve that conflict may raise some important causes. The conflict may then not be properly managed, and may re-emerge later on. This is similar to felling a tree without eradicating its roots, which causes the tree to start growing again.
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The diagram helped the conflict stakeholders to decide the scale at which they needed (forest service), which were involved in the conflict. Gaining support from some of these groups was a key to managing the conflict.

This is a simplified root cause analysis of a conflict over forest logging among traditional owners (the logging company and the forest service), which involved in the conflict. It also showed which action they could take to anticipate and address underlying issues of the dispute.

6. It is now time to consider how relevant each of the different causes and effects is, and to evaluate the significance of different cause-effect chains. Differentiate among:

- Subdivision makes sense only if you feel that:
  - there are serious power differentials within the group;
  - only a few participants are talking, while the others seem reluctant to voice their concerns;
  - it may be viewed as inappropriate that young or poor people or women speak publicly (as is the case in some traditional societies).

7. If you have divided the main group into subgroups, reconvene them into the overall group after the subgroups have finalized their own analyses. Ask one person from each subgroup to post and explain its chart.

Then, discuss the similarities and differences of the analyses in the overall group, and let the participants discuss:

- the reasons why different subgroups may have different views of the conflict;
- what the main group can do to find common ground in the analysis of the conflict.

The starting point is the specific conflict. Invite the participants to discuss the root causes of the conflict. Check whether there is any reluctance, which needs to be taken into consideration. Only start the process when you think that the participants are ready to do so.

First, ask the participants to discuss why the conflict has occurred, or what the immediate causes of the problem are. They should write each reason on a separate post-it, and place these below the appropriate cause headings on the flip chart. If some of the participants are literate, use pictures to represent the causes instead.

Then, working upwards, participants should keep asking themselves the question "Why?" for each of the immediate causes. The group should discuss the reasons, writing each on a post-it. These steps are repeated until the participants have reached some basic or root causes of the conflict or issue being addressed. They can move the post-its as necessary.

Explain to the participants that they should not get bogged down in arguments about whether or not a "Why?" is valid. This is an exploratory activity and the truth or relevance of each "Why?" can be determined later.

Finally, the participants should connect the post-its with lines to show the linkages between causes and effects. Remind them to check their logic by repeating the process of asking "Why?" down through the levels of causes, as outlined in the previous paragraph.

The group session on root cause analysis is completed when the participants have:

- agreed on an overall analysis of the conflict causes;
- identified information gaps that need further differentiation;
- agreed on an overall analysis of the conflict causes;
- identified key root causes that need specific attention.

**Attachment 1a: Sample conflict tree**

This is a simplified root cause analysis of a conflict over forest logging among traditional owners, a timber company and the government forest service. The conflict tree diagram was prepared by traditional owners who were opposed to timber harvesting on forest land that they claimed as part of their ancestral estate. They wanted logging to be stopped, and argued that the conflict was brought on by:

- over pollution and contamination of their water supply;
- damage to culturally important sites;
- the legality of the logging contract, which involves the wrong set of traditional owners;
- the illegality of the logging contract, which involves the wrong set of traditional owners;
- encouragement of further forest damage by neighboring clans.

The traditional owners identified and recorded each of these issues, exploring the contributing events and causes. The diagram drew attention to a number of other stakeholders and subgroups (other than the traditional owners, the logging company and the forest service), which were involved in the conflict. Gaining support from some of these groups was a key to managing the conflict.

The causes of conflict listed on the conflict tree reflect the issues of the traditional owner's perspective. In discussing the diagram, they conceded that not all of the listed causes might be factual. The diagram did, however, provide a framework for:

- investigating the various causes further;
- collecting further information;
- determining which were and which were not true contributing factors to the current conflict.

The diagram helped the conflict stakeholders to decide the scale at which they needed to manage the conflict in the short term. It identified a number of places for possible action to manage the conflict and improve collaborative management processes. For the local community, the diagram also linked broader political and policy decisions to impacts in their area. It also showed which actions they could take to anticipate and address possible future conflicts.

**CORE TOOL 2: ISSUE ANALYSIS**

**PURPOSE:**

To enable stakeholders to identify the types of issues within a conflict and consider the most effective means of addressing them.

**APPLICATION:**

Issue analysis adds on to root cause analysis by providing a second level of analysis. The tool helps to identify and enumerate the core issues that contribute to a conflict and provides a checklist to help mediators consider five different categories of such issues (attachments 2a and 2b).

Issue analysis is an essential tool in the entry process, especially during entry consultation. It helps explore the boundaries and key issues of the conflict, in order to sort them out and place them in context.

Issue analysis is best used as an internal mental model for mediation, particularly during the entry process and stakeholder consultation, when the mediator needs to obtain a clearer picture of the conflict. The tool
Preparation: Flip charts. Colored marking pens. Prepare flip charts from different types of issues that lead to conflict (Attachment 2a) and Sample issue analysis table (Attachment 2b).

Potential and Constraints: In real-life conflicts, it may be difficult to distinguish clearly among the different categories, and it is helpful to be pragmatic in sorting the issues. At the same time, the categories may help to trigger additional useful questions to ask and additional issues to look into.

Cross Reference: Sections 4.4 and 5.4.

Steps:
1. Categorizing issues analysis as part of preliminary conflict assessment (entry phase):
   When the mediation team is analyzing the conflict internally, each participant should identify the issues that he/she regards as being central to the conflict. Hand out index cards or post-its to each participant so that they can record each issue on a separate card or post-it. Ask the participants to outline the conflict briefly and list all the issues. After all the issues have been presented, organize the cards into groups in which issues of a similar nature are clustered according to the five types of core issue:
   - Problems with information;
   - Conflicting interests;
   - Difficult relationships;
   - Structural issues;
   - Conflicting values.
   Identify what gave rise to the issue:
   - A perceived or actual difference, or contending views;
   - A perceived or actual threat;
   - A gap - an absence or lack of important information, rules, regulations, etc.

   In reality, these categories of issues can overlap, and the participants should be cautioned not to become anxious if there is not a "clear fit". It is important that the categories are used as tools for more systematic thinking about each of the contributing causes of conflict.
   The team should also decide which of the issues are most significant and mark these with an asterisk (*). It should also note which are most immediate and which require long-term action.

   When this has been done, the team takes a few minutes to look at the analysis and discuss possible actions for addressing the conflict, based on that analysis. The team should then discuss which steps it can undertake to facilitate solving the conflict.

2. Facilitating stakeholders’ issue analysis
   Issue analysis is best done in small groups to learn about the wide range of views different stakeholders are likely to hold about sources of conflict.

   Separating a conflict into its various issues, and then identifying the type of each issue and its causes (whether these are differences, threats or gaps) can be useful in developing a strategy for conflict management.

   When talking with the stakeholders, mediators should let them tell their own stories and express their emotions without much interference. Mediators may encourage by asking "why?" questions when appropriate. The mediators can take the list of five core issues as the basis for more specific questions during consultation, as in, during stakeholder engagement (step 4).

   One mediation team member should take notes, but only after the mediator has asked the speaker’s consent. The information from these notes can then be used in the preliminary conflict analysis. The issue analysis needs to be updated by the mediation team whenever new information arises throughout the conflict management process. It becomes a stock of important background information for the mediation.


   Attachment 2a: Different types of issues that lead to conflict

<table>
<thead>
<tr>
<th>Type of issue</th>
<th>Elements</th>
<th>Points to remember in managing such conflicts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conflicting interests</td>
<td>Differing needs and desires, sharing of benefits and resource use</td>
<td>Identify shared or common interests</td>
</tr>
<tr>
<td></td>
<td>Perceived and actual competition of interests</td>
<td>Understand needs can often be satisfied in more ways than one (first obvious)</td>
</tr>
<tr>
<td></td>
<td>Can emerge from a perceived or actual lack of shared interests</td>
<td>Clarify whether interests are real or perceived</td>
</tr>
<tr>
<td>Information issues</td>
<td>Lack of information or differences in interpretation of information</td>
<td>Reach agreement on information needs</td>
</tr>
<tr>
<td></td>
<td>Can be linked to differing methods of assessing, evaluating or interpreting information</td>
<td>Reach agreement on the criteria for evaluating or interpreting information</td>
</tr>
<tr>
<td>Difficult relationships</td>
<td>Differences in personality and emotions, as well as perceptions and prejudices</td>
<td>Identify the specific difficulties, encourage conflicting parties to avoid generalizations in stating their difficulties with one another</td>
</tr>
<tr>
<td></td>
<td>Incompatible techniques (methods, styles, rules), differing expectations, attitudes and approaches to problem solving</td>
<td>Aim to build positive perceptions and solutions</td>
</tr>
<tr>
<td></td>
<td>History of conflict and bad feeling among the parties</td>
<td>Emphasize the need for ground rules to be followed by all parties</td>
</tr>
<tr>
<td>Structural issues</td>
<td>Differences regarding appropriate management processes, rules, roles and power</td>
<td>Work to realign or build relationships, fostering care and willingness on the part of the parties</td>
</tr>
<tr>
<td></td>
<td>Can be linked to competing or conflicting interests over this village's interests (as perceived by villagers)</td>
<td>Facilitate greater understanding of the conflict</td>
</tr>
<tr>
<td></td>
<td>Perceived or actual inequality or unfairness concerning power, control, ownership or structures that influence access to or distribution of resources</td>
<td>Focus on the power relations and how these control and influence the lives of the parties</td>
</tr>
<tr>
<td></td>
<td>Factors that hinder cooperation such as decision-making structures and responsibilities, time constraints, geography or physical settings</td>
<td>Aim to transform conflict into a force for social change so solutions are sustainable in the long term</td>
</tr>
<tr>
<td>Conflicting values</td>
<td>Differences among cultural, social or personal beliefs, or different world views and traditions</td>
<td>Frequently the most difficult to change</td>
</tr>
<tr>
<td></td>
<td>Different goals, expectations or assumptions that reflect personal history and upbringing</td>
<td>Some differing human values may be non-negotiable</td>
</tr>
<tr>
<td></td>
<td>Emphasize the need for flexible and/or shared goals</td>
<td>Focus on interests or shared goals and avoid focusing on resolving conflicting values</td>
</tr>
</tbody>
</table>

   - Frequently the most difficult to change
   - Some differing human values may be non-negotiable
   - Focus on interests or shared goals and avoid focusing on resolving conflicting values
   - Requires a long-term strategy that builds respect and supports the sharing and understanding of values among stakeholders.

   Attachment 2b: Sample issue analysis table

<table>
<thead>
<tr>
<th>Type of issue</th>
<th>Description of the issue</th>
<th>Analysis of issues</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conflicting interests</td>
<td>Women need to collect forest materials and medicinal plants</td>
<td>Perceived difference in interests related to use of the forest landscape versus supporting local livelihoods</td>
</tr>
<tr>
<td></td>
<td>The community forest user's group (CFUG) wants to stop the poaching of wildlife</td>
<td>Perceived threat of the CFUG and the forest officer restricting access to needed resources</td>
</tr>
<tr>
<td>Information issues</td>
<td>Villagers have no access to information on the proposed restriction</td>
<td>Lack of information from the CFUG to the village on the proposed restriction</td>
</tr>
<tr>
<td></td>
<td>Hunters question how the bird is going to be protected</td>
<td>Validity of information needs to be confirmed</td>
</tr>
<tr>
<td>Difficult relationships</td>
<td>Previous bad relationship between the CFUG chairperson and the village</td>
<td>Suggest that the CFUG chairperson from another village is supporting forest officers</td>
</tr>
<tr>
<td></td>
<td>Suspect that the CFUG chairperson from another village is supporting forest officers</td>
<td></td>
</tr>
<tr>
<td>Structural issues</td>
<td>Consultation with villagers on forest use</td>
<td>Failure of the forest office and the CFUG to consult the women or hunters before making the proposal</td>
</tr>
<tr>
<td>Conflicting values</td>
<td>The significance of local bird feathers in traditional ceremonies</td>
<td>Forest officers' lack of appreciation for the ceremonial importance of bird feathers in determining relationships within villages</td>
</tr>
</tbody>
</table>

   Proposed actions emerged from the conflict analysis:
   - Check the details of the proposal with forest officers and the CFUG.
   - Ensure that the forest officers provide and explain information on the birds and the significance of wildlife.

   Information about the example:
   One local village heard that the District Forest Office and the CFUG had decided to restrict access to an area of forest in order to protect an endangered bird species. The district forest officers convinced the CFUG that the restriction of access was necessary to protect one of the few remaining nesting habitats for the bird and to stop poaching by hunters. Male hunters in the village disagreed that the bird was in any danger, as they still saw many in the forest. Women villagers were angry because the proposed closure affected an area that was important for the collection of medicinal plants and local traditional plants. All the villagers feared that they would no longer be able to collect local bird feathers for use in traditional ceremonies. Both the male and the hunters in the village saw the conflict as being central to gaining continued access; the Forest Office saw it as a conflict of unacceptable resource use within the region.
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CORE TOOL 4: ANALYSING THE 4RS - STAKEHOLDER RIGHTS, RESPONSIBILITIES, RETURNS AND RELATIONSHIPS

**PURPOSE:** To identify and assess the dependency and power of different stakeholders in a conflict.

**APPLICATION:** Stakeholder identification and analysis helps to identify the stakeholders involved or affected by the conflict, as well as how powerful they are and what relationships they have among them.

**Preparation:** An internal mental model to structure the mediation’s thoughts.
- A facilitation tool with the conflict stakeholders to guide them in their own analysis.
- It is carried out with each conflict stakeholder separately during:
  - Shuttle consultation - preliminary conflict analysis (Step 2)
  - Core analysis - stakeholders analyse their own conflict (Step 4)

Stakeholder analysis can be repeated throughout the conflict analysis process, as more information becomes available and new issues arise.

**PREPARATION:** Flip chart
- Coloured pens
- Coloured post paper
- Gag discs

**POTENTIAL AND CONSTRAINTS:**
- Identifying the involvement of different stakeholders and their relative power is a sensitive issue and requires careful, mediated group discussion.
- In addition, it is important to ask for secondary stakeholders who may be influential, but who are not directly involved in the specific conflict.

**CROSS REFERENCE:** Section 5.5

**STEPS:**

1. Explain the purpose of the activity and that the term “stakeholder” refers to all those people or organizations that have a stake in the conflict. There are the people and organizations that are directly involved in the conflict, and affected by the conflict, or in some way affected by it.

2. Describe in detail the sample stakeholder diagram (Appendix 3a) on a flip chart, or draw it on the ground. Describe a simple conflict example and how the diagram depicts the different stakeholders, their interests and their relative power.

3. Ask the participants to identify, classify all the stakeholders in the conflict.

4. Invite the participants to draw circles on the ground, or to cut them out of paper, to represent the stakeholder groups (by labelling the circles). The size of each circle should reflect the relative interest or stake of the stakeholder group that it represents. To determine the size of the circle, it is useful to consider how affected the stakeholder group is by the issue or its outcome. For example, a large circle indicates that the stakeholder group is greatly affected by the issue and the outcome. A small circle indicates that the stakeholder group is not affected as much.

5. Ask the participants to position the circles around the conflict. Use distance from the centre and from the stakeholder circles to depict the relative distance (not geographic) of the stakeholders to one another and to the conflict.

6. Ask the participants to consider who agrees with the position of the different circles, and guide a discussion so that all the participants agree. If it is difficult to find agreement, you may consider forming subgroups.

7. Once they are satisfied with their stakeholder circle positioning, the participants should discuss the relative power that each of these stakeholder groups has to influence the outcomes of the conflict. This includes considering the range of options available to a stakeholder group if an interest or basic need associated with a resource is not met.

8. Choose a triangle that represents the relative influence of each stakeholder group (the bigger the triangle, the more power the group has to influence the outcome of the conflict). Position this on top of the appropriate circle (overlapping).

9. Once they are satisfied with the diagram, participants should discuss, and then mark with an asterisk (*), those stakeholders that they feel are the primary stakeholders that should be involved in managing the conflict.

10. At the end of the activity, the participants should have a piece of flip-chet paper depicting the conflict, with circles and triangles representing the stakeholder groups and their relative interest and influence.

11. If the mediators have formed subgroups, give each subgroup the space to present and explain their analysis to the others. If the analysis of the different subgroups offer considerably, ask the reasons for this. Ask how the subgroups can find a common understanding of the stakeholders involved, because this will be important in strengthening their negotiation positions.

12. Initiate a discussion around the following points:
- What does this tell us about stakeholders and power and influence?
- Were there any disagreements about who were and who were not legitimate stakeholders? What do these differences signify and how can the group find a common understanding of the stakeholders involved in the conflict?

**Note for mediators:**
- It is easy to arrive at the appropriate balance of stakeholders in managing conflict. To assist the decision, stakeholders groups need to define and agree on criteria for primary and secondary stakeholders. To a large degree, these criteria depend on the goals and desired outcomes of the conflict management process. If the goal is to work towards fair and equitable resolution, you must ensure that the primary stakeholders include those who are most affected by or dependent on the resource. If the goal is to resolve or re-direct the conflict, you must include those stakeholders who are most affected by or dependent on the resource, or on the resolution or resolution of the conflict. This includes considering the range of options available to a stakeholder group if an interest or basic need associated with a resource is not met.
- Stakeholders that are linked to the conflict but have less direct effect on it are secondary stakeholders. They may play key roles in resolution strategies, when they can be objective, or they may be less involved. These stakeholders may not accept solutions that do not directly affect them, and they may work to undermine a particular party in an advisory role. They may also provide incorrect information about stakeholders or the conflict. Ineffective collaboration and management of these stakeholders groups may result in tension, authority, and influence over the sustainability of the outcome should be included. If they are not involved early on, powerful groups may not accept solutions.


**Attachment 3a: Sample stakeholder diagram**

The conflict was among the local users of one village (village A), the staff of a government forestry agency, and members of a conservation NGO. It centred on a proposed decision to prohibit harvesting of rattan in a forest reserve. The two organizations believed that the harvesting of rattan by village A was degrading the biodiversity of the forest reserve. The figure illustrates how the members of village A viewed the stakeholders in this conflict. It presents how they defined the different stakeholders, their views on how affected these stakeholders were by the outcome of the management decision, and their own relative power to influence that decision.

- The women of village A who traditionally harvest, process and sell the rattan, were seen as being the most affected by the proposed decision, but they were not as influential in deciding the outcome. They included the women of village A as they are the primary stakeholders in the conflict.

**Different Viewpoints:**

- What do these differences signify and how can the group find a common understanding of the stakeholders involved in the conflict?

- What does this tell us about stakeholders and power and influence?

- Were there any disagreements about who were and who were not legitimate stakeholders? What do these differences signify and how can the group find a common understanding of the stakeholders involved in the conflict?

**Potential and constraints:**

- When applied in rural communities, this tool may need careful explanation and guidance from the mediator, as it requires a sound understanding of specific conceptual categories. People may not always find such categorization easy.

- The relationship diagram (the fourth R) and stakeholder identification (Core tool 3) are partially overlapping in terms of what they analyze.
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In addition, stakeholders have relationships among each other that are independent of the resource.

5. At the end of the discussion, introduce the second stage of the analysis, which focuses on analyzing the relationships among stakeholders:

- On a flip chart or on the ground, the participants should draw circles to depict the key stakeholder groups listed in the 3Rs matrix. (Building on previous stakeholder identification activities, participants can use different-colored circles to depict the different levels of stakeholder interest or influence, if they wish.)

- The participants may build on the stakeholder analysis (Core tool 3) for this exercise.

- Encourage the participants to discuss each of the relationships among the stakeholder groups. For example, are relationships positive or cooperative and negative or conflicting? Are relationships among groups only occasional and intermittent?

- Each stakeholder group should then be connected to others by the appropriate line that indicates this relationship. Good relationships are indicated by a straight solid line (the thicker the line, the stronger the relationship). Where good relations are evident, participants should sketch a green line in the matrix; negative relationships are depicted with a wavy line (this more jagged the line, the greater the conflict between the two groups).

6. After the participants have had a chance to link to each other, sue the following points to initiate a discussion among the participants:

- What does this activity show about stakeholder relationships in the conflict?
- If mentioned, point out that interactions among stakeholders are much more complex than they may initially appear. Discuss the role of shared histories and how they affect relationships within the conflict. Also, remind the participants that relationships among stakeholders are dynamic, and change during the course of a conflict. This tool can be used to examine such change (as part of monitoring an existing conflict, or when looking back and evaluating the impacts of a conflict).  
- Encourage the participants to identify potential alliances that strengthen their own positions.

Does the analysis indicate who may be able to play the role of a trusted party to help resolve the conflict?

Adapted from:

Chart S6: Example conflict situation

In this example, an overseas logging company approached the national forestry agency for a seven-year timber concession to harvest 50,000 ha of forest that had traditionally been occupied and used by local indigenous communities. This proposal resulted in a conflict among local communities, the government, and commercial interests. The company proposed to excavate the timber and to construct a major road through the area. The road would increase access for future development and assist in controlling the country's illegal immigration into the area, while the company cited the need to harvest the forest for future use.

The participants then construct their own matrices:

1. Ask the participants to list all the stakeholders identified in the stakeholder analysis (Core tool 3). Then, prepare a table with three additional columns (strengths, responsibilities, and returns). Invite the participants to fill in the table for each conflict stakeholder. If they are reluctant to do so, or do not understand the concept, use a simple example to illustrate what each R means in practical terms.

2. The participants then construct their own matrices:

- They should first review the terms “strengths,” “responsibilities,” and “returns,” defining and clarifying what they themselves mean by each term, and how the terms are used in relation to the stakeholders and the forest resource. Important points of definition should be written down. Point out that it can be helpful to think of “strengths” as being both the benefits gained and the “cost” or impact of a changed situation.

- Encourage the participants to go through and describe current and actual rights, responsibilities and returns for each stakeholder group. They are to score each on a scale of 0 to 5 (with 0 meaning none, and 5 meaning highly/most). Mention that responsibilities there may be a difference between what the stakeholders are legally responsible for and the responsibility that they actually display. In such cases, the descriptions should reflect the practical situation, and the score for the column should reflect the reality.

- Emphasize that the participants should complete all the columns for each stakeholder before going on to the next stakeholder.

3. Initiate a discussion around the following questions:

- What do you think about the conflict from completing the 3Rs matrix?
- How different are the stakeholders in relation to their rights, responsibilities and returns from the resource? How do differences in these factors affect the stakeholders’ levels of power or influence in the conflict?
- How should these different factors be changed in order to reduce the conflict?

4. Does the analysis indicate who may be able to play the role of a trusted party to help resolve the conflict?

Attachment 4a: Sample conflict situation

In this example, an overseas logging company approached the national forestry agency for a seven-year timber concession to harvest 50,000 ha of forest that had traditionally been occupied and used by local indigenous communities. This proposal resulted in a conflict among local communities, the government, and commercial interests. The company proposed to excavate the timber and to construct a major road through the area. The road would increase access for future development and assist in controlling the country's illegal immigration into the area, while the company cited the need to harvest the forest for future use.

The participants then construct their own matrices:

1. Ask the participants to list all the stakeholders identified in the stakeholder analysis (Core tool 3). Then, prepare a table with three additional columns (strengths, responsibilities, and returns). Invite the participants to fill in the table for each conflict stakeholder. If they are reluctant to do so, or do not understand the concept, use a simple example to illustrate what each R means in practical terms.

2. The participants then construct their own matrices:

- They should first review the terms “strengths,” “responsibilities,” and “returns,” defining and clarifying what they themselves mean by each term, and how the terms are used in relation to the stakeholders and the forest resource. Important points of definition should be written down. Point out that it can be helpful to think of “strengths” as being both the benefits gained and the “cost” or impact of a changed situation.

- Encourage the participants to go through and describe current and actual rights, responsibilities and returns for each stakeholder group. They are to score each on a scale of 0 to 5 (with 0 meaning none, and 5 meaning highly/most). Mention that responsibilities there may be a difference between what the stakeholders are legally responsible for and the responsibility that they actually display. In such cases, the descriptions should reflect the practical situation, and the score for the column should reflect the reality.

- Emphasize that the participants should complete all the columns for each stakeholder before going on to the next stakeholder.

3. Initiate a discussion around the following questions:

- What do you think about the conflict from completing the 3Rs matrix?
- How different are the stakeholders in relation to their rights, responsibilities and returns from the resource? How do differences in these factors affect the stakeholders’ levels of power or influence in the conflict?
- How should these different factors be changed in order to reduce the conflict?

4. Does the analysis indicate who may be able to play the role of a trusted party to help resolve the conflict?

Attachment 4a: Sample 3Rs matrix

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Rights</th>
<th>Responsibilities</th>
<th>Rank</th>
<th>Returns</th>
</tr>
</thead>
<tbody>
<tr>
<td>National forest agency</td>
<td>Supervision Management</td>
<td>4</td>
<td>Administrator timber concession Enron annual national is achieved</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>3</td>
<td>Implement biodiversity strategy to meet international commitments</td>
</tr>
<tr>
<td>National department of international affairs</td>
<td>None exclusive to forest area (but powerful government office)</td>
<td>1</td>
<td>National security immigration control</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>3</td>
<td>Improved access to the border</td>
</tr>
<tr>
<td>Logging company</td>
<td>7-year exclusive lease on 50,000 ha of forest</td>
<td>5</td>
<td>Road construction</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>3</td>
<td>Expected timber sales and profit</td>
</tr>
<tr>
<td>Village A</td>
<td>Unrecognized customary forest use rights</td>
<td>3</td>
<td>Continued role in day-to-day management of forest, controlling forest entry by ineptness</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>5</td>
<td>No further access to forest products</td>
</tr>
<tr>
<td>Village B</td>
<td>Unrecognized customary forest use rights</td>
<td>5</td>
<td>Continued role in day-to-day management of forest, controlling forest entry by ignorance</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>5</td>
<td>No further access to forest products</td>
</tr>
<tr>
<td>Village C</td>
<td>Unrecognized customary forest use rights</td>
<td>3</td>
<td>None</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>0</td>
<td>Increased revenue from sale of produce</td>
</tr>
<tr>
<td>Indigenous</td>
<td>None</td>
<td>0</td>
<td>None</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>0</td>
<td>Further access to forest products</td>
</tr>
<tr>
<td>Forest research institute</td>
<td>Research permit</td>
<td>3</td>
<td>Inform government of biodiversity inventory assist forest agency with biodiversity management</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>3</td>
<td>Inventory updated, lodge gis in national forest database</td>
</tr>
<tr>
<td>Conservation NGO</td>
<td>Research permit</td>
<td>3</td>
<td>Inform government of biodiversity inventory assist forest agency with biodiversity management</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>3</td>
<td>Inventory updated, lodge gis in national forest database</td>
</tr>
<tr>
<td>Development NGO</td>
<td>None exclusive to forest site (but empowered under government health programme)</td>
<td>3</td>
<td>Improvement of local livelihoods</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>4</td>
<td>Increased pressure on local livelihood support</td>
</tr>
</tbody>
</table>

Note:
1. Despite the national forestry agency having a number of formal (legal) responsibilities to manage the forest sustainably, it was given a lower ranking (for responsibility) because of its inability to carry out its duties. The effectiveness of the forestry agency in all responsibilities hinged on the support of various partnerships (for example with communities, the research institute, the logging company).
2. Many of the villages initially saw all the interests of the government as being represented by the national forestry agency. In preparing the matrix they realized that they needed to engage with the office of international affairs, as well as the national forestry agency. These two government departments have different interests.
3. In discussion of the matrix, it was pointed out that the company had a low level of responsibility in terms of ensuring that the harvest was sustainable or that it provided for future local needs. It was also feared that constructing the road would open the area up to more settlers from other areas, and would not control the migrants as intended.
4. The forestry agency acknowledged that it would continue to need the assistance of local people in forest management.
5. In discussion of the matrix, the local villages opposing the logging decided to enlist the support of the research institute and conservation NGO, as those two groups had some formal rights to the area and their interests were potentially threatened.
NEGOTIATION AND MEDIATION TECHNIQUES FOR NATURAL RESOURCE MANAGEMENT

Malawa people prepared this timeline, with the assistance of a conservation NGO, in order to understand rivalries with another clan (the U'afu). Why do you think the parties acted in the way they did? What were the underlying interests, fears or needs of the parties in these events?

On a flip chart, the mediator can suggest writing down the sequence of events on a flip chart so that the stakeholders can verify whether the mediators have correctly understood their stories. The mediator can suggest writing down the sequence of events on a flip chart so that the stakeholders can verify whether the mediators have correctly understood their stories.

Ask one participant to name one of the events—preferably one of the earlier events. Ask other participants to contribute their ideas without being questioned. The mediator can suggest writing down the sequence of events on a flip chart so that the stakeholders can verify whether the mediators have correctly understood their stories.

The time line helps conflict stakeholders to reflect on the different events that triggered the conflict. It helps mediators to clarify the chain of events.

The conflict time line is a useful tool for clarifying the dynamics of the conflict and improving their understanding of the sequence of events that led to the conflict.

The conflict time line is particularly helpful when applied with the conflict stakeholders. It shows that mediators take the stories of the conflict and enumerate what each party has done, when and how. The conflict time line helps to structure the narratives of the conflict when stakeholders tell their stories of the conflict and enumerate what each party has done, when and how.

To assist stakeholders in examining the history of a conflict and to improve their understanding of the sequence of events that led to the conflict.

Purpose:

Application:

Steps:

1. The conflict time line can be utilized without much prior explanation. When a stakeholder group narrates its story, it may be useful to structure the flow of information. The mediator can suggest writing down the sequence of events on a flip chart so that the stakeholders can verify whether the mediators have correctly understood their stories.

2. Ask one participant to name one of the events—preferably one of the earlier events or actions in the history of the conflict. Record the date and event on the flip chart.

3. Allow each participant to contribute his or her ideas without being questioned.

4. Ask the participants for another event and record it. Continue to do so, explaining that they do not have to name the events in sequence. Check whether the participants think of something that happened before the first events listed. The events will be recorded in the appropriate chronological order based on date.

5. When participants appear to be satisfied with the time line record, ask them to take a moment and reflect on the history of the conflict.

Start a discussion with the following questions:

- What have the participants learned about the conflict from the time line?
- What have been the most significant events in escalating or broadening the conflict? Why?
- How have the events affected relationships among the parties?
- Why do you think the parties acted in the way they did? What were the underlying interests, fears or needs of the parties in these events?

Attachment 4e: Sample conflict time line

Malawa people prepared this timeline, with the assistance of a conservation NGO, in order to understand rivalries with another clan (the U'afu).

CONFlict NGALA RIVER PROTECTED CATCHMENT AREA

<table>
<thead>
<tr>
<th>Date</th>
<th>Events</th>
</tr>
</thead>
<tbody>
<tr>
<td>1975</td>
<td>Head of the Malawa informed that U'afu’s villagers are cutting trees claimed by the Malawa for canoes (land adjacent to the Ngala river). Malawa head and spokesperson go to U’afu, who explain that the cutting was within U’afu’s boundaries. Malawa head disagrees and asks that cutting stop.</td>
</tr>
<tr>
<td>1981</td>
<td>Forest officials meet with U’afus to discuss timber concession on the eastern boundary of Ngala river and the overlap of Malawa land. U’afus do not tell forest agency about Malawa land claim.</td>
</tr>
</tbody>
</table>

PURPOSE:

To assist stakeholders in examining the history of a conflict and to improve their understanding of the sequence of events that led to the conflict.

APPLICATION:

The conflict time line helps to structure the narratives of the conflict when stakeholders tell their stories of the conflict and enumerate what each party has done, when and how.

The conflict time line is particularly helpful when applied with the conflict stakeholders, during shuttle consultation and/or stakeholder engagement. It shows that mediators take the stories of the stakeholder groups seriously, and helps structure the discussion and complex information flows.

PREPARATION:

- Flip chart.
- Coloured pens.
- A copy of Sample conflict time line (Attachment 5a) per person.

POTENTIAL AND CONSTRAINTS:

- The time line helps conflict stakeholders to reflect on the different events that triggered the conflict. It helps mediators to clarify the chain of events.

CROSS REFERENCE:

- Section 5.4.
Negotiation and mediation techniques for natural resource management

Riverbank material site, as they came to understand that this could improve water quality upstream of the village along the riverbank. During preparation of the map, villagers local villagers identified their primary concerns as being lack of access to important fuelwood collection site (site 1), the presence of two principal sites of carving and hunting (sites 2 and 3), and the presence of a forest regeneration area proposed by a watershed management committee and a forest regeneration area proposed by a watershed management committee and a forest regeneration area proposed by a watershed management committee and a forest regeneration area proposed by a watershed management committee. The map was created using a basic sketch map of the area on which natural features were marked out. The map was then used to identify areas where land or resource uses are in conflict. When the map has been completed, the participants were asked to identify areas where land or resource uses are in conflict. The conflict map is most usefully applied with the stakeholders during stakeholder engagement (step 4). Mediators should let the stakeholder group members draw the map themselves and should stimulate the process with questions. Mapping can be carried out with one stakeholder group alone or, later in the conflict management process, with all primary stakeholders. In the latter case, drawing a conflict map may help to clarify the spatial boundaries of conflict among different stakeholders as a preparation for assessing options.

### Cross Reference

Sections 4; 5; and 6.

### Complementary Tool 6: Mapping Conflicts over Resource Use

**Purpose:**

To show geographically where land or resource use conflicts exist or may exist in the future.

To determine the primary issues of conflict.

**Application:**

Mapping is always useful for an understanding of the spatial dimension and geographic boundaries of resource conflicts. It is helpful to involve stakeholder groups in the process, structuring discussion about conflict issues and giving stakeholders a more active role in the process of analysis.

The conflict map is most usefully applied with the stakeholders during stakeholder engagement (step 4). Mediators should let the stakeholder group members draw the map themselves and should stimulate the process with questions.

Mapping can be carried out with one stakeholder group alone or, later in the conflict management process, with all primary stakeholders. In the latter case, drawing a conflict map may help to clarify the spatial boundaries of conflict among different stakeholders as a preparation for assessing options.

**Preparation:**

Flip chart.

Coloured pens.

Maps can be drawn on the ground so that they are easier to correct and change. The final map should then be documented on paper.

**Potential and Constraints:**

Drawing maps with stakeholders can be essential in stimulating discussion and triggering new ideas about how best to solve the conflict. Maps can help clarify the conflict issues.

However, mapping can also lead to tension when disagreement occurs, particularly when maps are drawn in the presence of all the stakeholders.

**Cross Reference:**

Sections 4; 5; and 6.

### Steps:

1. Explain the purpose of the activity to the participants, emphasizing that mapping is a useful tool for exploring the resource uses and values of different stakeholders, and for identifying existing or latent conflicts.
2. Ask the participants to begin by preparing a basic sketch map of the area on which the conflict is centered. This map should show the major landscape features and relevant boundaries of tenure.
3. Next, ask them to mark out areas of existing or proposed resource uses for different stakeholders. Resource uses may include food or material collection, protected area boundaries, commercial timber harvest, religious or sacred cultural sites, existing sites for endangered species and use boundary changes.
4. When participants are satisfied that all the relevant information has been marked on the map, ask them to identify areas where land or resource uses are in conflict. These may include conflicts among existing uses, between existing and proposed uses or among proposed uses.
5. Review each of the areas of conflict. Initiate a discussion with the following questions:
   - What are the primary sites of conflict?
   - Which sites are of secondary importance?
   - What would the consequence or impacts be to the different stakeholder groups if the existing or proposed uses are stopped or changed?
   - What alternatives or possible solutions in land or resource use are suggested from the information on the map?

Note: There are several possibilities for preparing the map. It can be drawn directly on a flip chart paper with coloured markers. Alternatively, in some rural areas it is more effective to ask the participants to construct the map first on an area of bare ground, possibly in a village centre, using rocks, leaves, seeds, twigs, etc. as symbols for natural and human features. When the map has been completed, a few participants transfer it on to flip chart paper. The advantage of this approach is that it allows many more people to be involved in creating the map and discussing the conflict.

### Attachment 6a: Sample Conflict Map

The map below depicts conflicts in forest use. It identifies three areas of conflict between a forest regeneration area proposed by a watershed management committee and an area of traditional forest used by one local village community. During preparation of the map, villagers identified their primary concerns as being lack of access to an important fuelwood collection site (site 1), the presence of two principal sites of carving and hunting (sites 2 and 3), and the presence of a forest regeneration area proposed by a watershed management committee and a forest regeneration area proposed by a watershed management committee. The map was created using a basic sketch map of the area on which natural features were marked out. The map was then used to identify areas where land or resource uses are in conflict. When the map has been completed, the participants were asked to identify areas where land or resource uses are in conflict. The conflict map is most usefully applied with the stakeholders during stakeholder engagement (step 4). Mediators should let the stakeholder group members draw the map themselves and should stimulate the process with questions. Mapping can be carried out with one stakeholder group alone or, later in the conflict management process, with all primary stakeholders. In the latter case, drawing a conflict map may help to clarify the spatial boundaries of conflict among different stakeholders as a preparation for assessing options.

![Conflict Map Example](image_url)