SHARING GOVERNANCE!
A PRACTICAL GUIDE FOR MARINE PROTECTED AREAS IN WEST AFRICA
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This guide is dedicated to the sons and daughters of the region who pioneered the shared governance of marine protected areas in West Africa. May they and their colleagues continue thinking and analysis... but also make sure that practice surpasses theory by far!
# Sharing Governance

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Abbreviations
- CBD Convention on Biological Diversity
- CECI Canadian Centre for International Study and Cooperation
- CEESP Commission on Environmental, Economic and Social Policy (of the IUCN)
- CMPA Community Marine Protected Area
- FIBA International Foundation for the Banc d’Arguin
- ICCA Indigenous and Community Conserved Area
- IMROP Mauritanian Institute for Oceanographic Research and Fisheries
- IRD French Research for Development Institute
- IUCN International Union for the Conservation of Nature
- MPA Marine Protected Area
- NGO Non Governmental Organisation
- NRMU Natural Resource Management Unit
- PA Protected Area
- PAR Participatory Action Research
- PNBA Banc d’Arguin National Park
- PNO Orango National Park
- PRCM Regional Marine and Coastal Conservation Programme
- RAMAQ Regional Learning Network on Shared Governance in West Africa
- RAMPAO Regional Network of MPAs in West Africa
- UN United Nations
At a time when human beings are becoming aware of their capacity to irreversibly destroy the nature that has nourished them for millennia, at a time when global environmental indicators are all on red alert... it is important to stop and think about the “other attitudes” of the men and women of this world, those that have nourished their communities and nature with attention, wisdom, respect and love...

Men and women, highly diverse social groups, communities and sometimes entire peoples prove that it is possible to work together to use natural resources but also to preserve, restore and enhance them. They prove that it is possible to jointly develop knowledge, know-how, wisdom and tools. They show that the costs and benefits of conservation can be shared fairly and intelligently, and that nature often responds generously to efforts towards shared governance and the prevention of problems...

This guide is a tool inspired by these experiences. It proposes possible solutions that are fair, intelligent and effective... at the service of all and usable by all. What better than a concise guide to lead you step by step, irrespective of your original situation and your capacities, through a complex process that engages the rights, concerns and interests of large numbers of stakeholders? I am confident that this document, which was in high demand even before its completion, will receive a favourable response from practitioners of natural resource conservation, especially the leaders of local communities in the coastal areas of West Africa and the staff of various governmental and non-governmental organisations that seek to break with directive and unilateral approaches to conserve or simply manage nature.

Thanks to the large number of communities and individuals who have had concrete experiences and learned by doing, and thanks to the enthusiastic men and women willing to work on this guide, West Africa now possesses a new and effective tool to further co-management, good governance and the sustainability of natural resources and marine protected areas. Thank you to all of them, and may their work bear fruit!

Aimé Nianogo
Regional IUCN Director for Central and Western Africa
Preface

Conservation of biodiversity and fair access to coastal resources: MPAs under shared governance on the front line

The loss of biodiversity observed in the world is spectacular, and it is widely acknowledged that it is the result of industrialisation, population growth, increased pollution, intensive extraction of natural resources, and climate change. The necessity of maintaining the global natural environment in an adequate state of health to serve humanity over the long term has engaged the governments of the planet to launch major projects aimed at achieving sustainable development (Millennium Development Goals - MDG, Convention on Biological Diversity - CBD, etc.).

Despite all this, less than 1% of the surface area of the oceans has been placed under a specific protection regime. The countries who signed the CBD have committed to accelerating the rate at which marine protected areas — MPA — are created, but the objectives for 2012, i.e., protected areas covering 5% of marine areas, will probably not be met. Moreover, the difficulty in installing equitable and effective governance of MPAs has only been very vaguely estimated, and existing management interventions have proven unable to sustainably manage a sector as vital as fishing. Concerning the coastal zones, the pressure of population growth, land ownership and competition between different business sectors, including tourism, have also caused considerable environmental damage, of which the principal victims have been the most productive milieux (salt marshes, estuaries, deltas, mangrove forests, etc.).

Marine and coastal milieus have suffered a particularly serious deterioration but have not benefited from conservation efforts like the land surface of the planet. Overfishing, the use of destructive fishing gear, mining and telluric pollution are factors that have contributed to this degradation, which translates into losses in local biodiversity and, globally, into fishery collapse and the simplification of marine ecosystems. Over fifty years, the reduction in the biomass of large ocean predators has been estimated at 90%. The possibility that we are reaching irreversible thresholds has only been very vaguely estimated, and existing management interventions have proven unable to sustainably manage a sector as vital as fishing. Concerning the coastal zones, the pressure of population growth, land ownership and competition between different business sectors, including tourism, have also caused considerable environmental damage, of which the principal victims have been the most productive milieux (salt marshes, estuaries, deltas, mangrove forests, etc.).

Despite all this, less than 1% of the surface area of the oceans has been placed under a specific protection regime. The countries who signed the CBD have committed to accelerating the rate at which marine protected areas — MPA — are created, but the objectives for 2012, i.e., protected areas covering 5% of marine areas, will probably not be met. Moreover, the difficulty in installing equitable and effective governance of MPAs is sometimes responsible for poor management and lack of effectiveness in relation to their conservation objectives. Conflicts between communities and between institutions have also been observed due to the complexity of the issues at stake;

Sustainable development remains a challenge that humanity will meet only by restoring the balance between its needs (desires?) and the productivity of ecosystems. This challenge can be met, but it can just as well prove impossible for us if we continue to exploit the wealth of natural resources for the purposes of short-term economic growth. In any case, in the event of success or failure, humanity and the planet need as much land as possible that is unspoiled (or nearly un-spoiled), to contain the seeds of biological diversity that can restore adjacent areas. Protected areas are the main tools we have to foster nature’s resilience. All national governments, in fact, have agreed to create and efficiently manage a number of protected areas as large as possible to conserve natural resources and biodiversity, building a dense network, representative of all ecosystems.

Other approaches have been tried out for setting up Community Conserved Areas, based on the involvement and commitment of local communities wishing to preserve their resources and arm themselves against the impact of migrant fisheries. While these dynamics are most interesting, they come up against obstacles related to the legal status of protected areas. Without official recognition and acceptance by the national government, local communities have no legal power to prevent migrant fishermen from coming to fish in their waters.

The picture is bleak... is there still room for hope? Indeed there is, for a great many successes have allowed us to draw lessons about the best practices in MPA management. “Sharing Power”, the book that inspired this guide, relates a multitude of successful or promising local experiences and attempts to learn. And these have been translated into the recommendations of the World Parks Congress (Darwin 2003), World Conservation Congresses (Bangkok 2004, Barcelona 2008), World Congresses on MPAs (Gee-long 2005, Washington, DC, 2009). MPAs work better under shared governance—or co-management—when the various technical institutions and resources users are actively involved in their design and operation.

Innovative approaches require particular skills, often closely linked to knowledge of the context, the capacity to accompany and facilitate the phase that prepares for the management agreements. These skills can only be acquired through experience... or, quite often, they are simply not acquired at all. Conflicts and systems of open access take root where it would be possible to cooperate to the benefit of all. Shared governance requires that champions, leaders, managers, heads of institutions, NGO facilitators and members of local communities emerge, take a stance and commit in favour of cooperative processes. For some, this means investing time, money, resources, or even reputation and capital in terms of social prestige. For others, it means agreeing to call into question the hegemony of the State, and sharing power and responsibility for natural resources with civil society and the local communities.

In the sub-region, experiments have been conducted that were able to achieve sustainable results. In Guinea-Bissau, for example, the entire zoning of the biosphere reserve of the archipelago of Bolama Bijagos (RBABB) was decided in a participatory way. The MPA which were then created by the government of Guinea-Bissau following the gazetting of the RBABB are all under shared
governance, with the local communities well represented. In other countries, different MPAs are resolutely engaging in processes in which the users strengthen and own their own management, with results that are improving perceptibly. The work programme of the young Regional Network of MPAs in West Africa - RAMPAO constitutes a very active framework for cooperation, to which this practical guide is a contribution.

Since 2003, within the framework of the Regional Programme for the Conservation of the Coastal and Marine area (PRCM), IUCN, with the cooperation of CEESP and WCPA, has been encouraging relations among field-based people from various MPAs. This has promoted exchanges of experience, mutual learning, the training of practitioners, and the setting up of a task force of competent people from the sub-region, who will be able to guide and accompany the shared governance process and train field workers in the future. The guide you have in your hands is the fruit of this long work of exchanges and patient compiling by our indefatigable friends Grazia Borrini-Feyerabend and Christian Chatelain, with contributions from a number of the future trainers in the region.

With our warmest thanks to all those who helped to prepare this guide, we hope you will enjoy reading it, and especially hope you will find it useful for fostering the shared governance of MPAs. We trust, in fact, that it will be useful to all those who wish to rise to the challenge of sustainable development and conservation of the coastal region of West Africa, the benefits of which shall be managed and distributed equitably.

Alfredo Simão da Silva, Director of the Institute of Biodiversity and Protected Areas - IBAP and Chairman of the Regional MPA Network in West Africa – RAMPAO

Mathieu Ducrocq, IUCN Marine and Coastal Programme Coordinator for Central and West Africa

Acknowledgements

This manual is the culmination of a relatively lengthy project, based on both some recent publications on the subject of shared governance, in particular the book Sharing Power (IUCN/CEESP and IED, 2004 and 2007, French version Partager le Pouvoir, 2010) and on the wealth of experience of various field practitioners. The idea was conceived by Mathieu Ducrocq and a rough draft, produced by Gilles Hosch in 2008, was later revised by Grazia Borrini-Feyerabend. After a period of gestation and discussions, during which contributions were sought from key actors in the region, Mathieu and Renaud Bailieux from IUCN Dakar rekindled the project. Together, Christian Chatelain and Grazia took over the substance and shape of the guide, and incorporated the contributions of the participants in the first training workshop of the SIRENES project (biosphere reserve of Bolama Bijagos, February 2009) and other key actors with hands-on experience: a mixture of satisfied and pending expectations with respect to the shared governance of natural resources in the region. João Sousa Cordeiro and Sabado Vaz, of Guinea-Bissau, Cheikh Abdallah Ould Inejih, Cheibany Ould Senhoury and Mohamed Abdoullah Ould Maaloum, of Mauritania, and Abdou Karim Salt, of Senegal, generously responded to the call for contributions and have become co-authors of this work.

Practitioners and future practitioners of shared governance have given us the true sense of the value of this document. This was the case at training sessions organised by the PRCM’s RAMAO project on participatory management (today more properly known as shared governance), and at the above-mentioned first workshop of the SIRENES project in 2009, which provided our most direct test and source of inspiration. We extend our warmest thanks to all the people who part took in these workshops. They are vessels of hope for the shared governance of MPAs in West Africa and we are confident they will be the leading ambassadors of this guide.

We are very grateful to the West African Regional Marine and Coastal Conservation Programme (PRCM), to the West and Central Africa Regional Office of the IUCN (IUCN PACO) and to the IUCN Commission on Environmental, Economic and Social Policy (CEESP) for kindly agreeing to sponsor this manual. This guide was produced with financial sponsorship obtained by PRCM from the MAVA Foundation and the National Cooperation Agencies of The Netherlands and Spain. The authors wish to warmly acknowledge them, as well as FIBA, which supplemented the initial budget. We also thank 9 bis factory for the artwork, layout and printing—all carried out in Dakar.

Our gratitude goes above all to the local communities and pioneers in the governmental and non-governmental organisations that have opened the way for the shared governance of Marine Protected Areas in West Africa. We are following in their footsteps and hope to have distilled at least some of the lessons they are currently busy “learning by doing”.

Grazia Borrini-Feyerabend and Christian Chatelain
December 2010
Introduction

The guide you have in your hands draws inspiration from the impressive volume Sharing Power published by the IUCN/CEESP and IIED. The guide provides what we hope to be a convenient synthesis of the main phases of a shared-governance process for Marine Protected Areas (MPA) in West Africa. Among the key actors we are hoping to engage are civil servants in charge of managing MPAs, members of concerned communities and local groups and partners involved with MPAs, such as professionals working for environmental, humanitarian or sustainable development projects.

This guide is not designed to be used by a lone reader but by a team—ideally a team responsible for starting up and accompanying the shared governance process for a specific MPA site. It may, on the other hand, also constitute a useful reference for professionals and members of local communities, stimulating their exchanges and their contributions to the governance process.

This guide is intended to be a compact reference tool that enables users to quickly find their way around the different stages in the shared governance process and to assimilate or review the concepts and phases in order to render them operational in fair and effective ways. To remain as practical as possible, some of the inserts and illustrations in this guide are based on concrete examples from West Africa. Throughout the document, you will find glimpses of dialogues you may have actually overheard... a range of arguments and exchanges between the “devil’s advocates” and the “advocates of commitment and action”.

The decision to produce this guide was made as we recognised both the complexity and depth of issues concerning governance of natural resources and the need to make such issues as accessible as possible. We decided not to dwell on fundamental discussions on the philosophy, principles and specific benefits of shared governance. In the eyes of an increasingly broad international community, shared governance (often also referred to as co-management, cooperative management or participatory management) represents the only viable approach to the conservation of territories and natural resources. The guide was designed with this perspective in mind.

We will thus review a few key concepts, but we will focus mainly on “what to do” to implement shared governance systems in the MPAs of West Africa.

In the sections that follow we shall explore the “why” and the “how” of conservation, keeping in mind issues of equity, cultural values and local traditions. These points—all too rarely taken into consideration by conservation professionals—are nonetheless crucial to the success of their work.
Questions about the “why” of conservation and protected areas are legitimate but (alas!) often posed in a context of opposition. Why try to conserve territories and natural resources, even at the price of changing access conditions anchored in legitimate old-standing customary use?

Conservation is often initiated on the basis of an observed degradation of specific environments and species. In turn, such observed degradation is often the result of overuse of natural resources. For example, the common sawfish (Pristis pristis) has disappeared from West Africa because people fished it in an unsustainable way, engendering a profound (and in this case, irreversible) alteration of the marine ecosystem. The “service” the sawfish provided to people no longer exists and has been lost in the life cycle of our planet, and the “services” they provide through natural resources and in maintaining the conditions essential to life (climate, water and energy cycles) are at the roots of the livelihoods of human communities, at the basis of their food and physical security. The deterioration of the environment and the uncontrolled and unsustainable overexploitation of natural resources lead to a progressive reduction of these functions and services. For example, if the fishermen in Senegal are noticing today that there are “no more fish”, it seems quite obvious to suspect the unsustainable nature of current and past exploitation schemes. Unsustainable systems have contributed directly to the collapse of stocks (ecological crisis) but also to the socio-economic crises that followed (as fish represents an extremely important source of protein and economic opportunity for the populations of entire countries). The degradation of the natural resources thus leads to a clear diminishing of the functions and services provided by nature, and it imperils our way of life. The “why” of engaging in conservation, that is striving to prevent a further degradation of the environment, is therefore tied to the collective interests of communities, regions and nations.

While the above reasoning may be accepted, we may still ask ourselves why we should conserve resources “through MPAs”. Is this the best way to protect the patrimony of the services provided by coastal and marine ecosystems? The short answer to this question is “no”. The best way to ensure the protection and sustainable use (which is what is meant by “conservation”) of coastal and marine ecosystems would be setting in place a system of national and regional policies and practices that guarantee the responsible exploitation of all the marine and coastal environments and their resources. Unfortunately, current conservation measures have reached such a goal—even though there are traditional communities that achieved that for hundreds of years in specific contexts. The perceived necessity to create spaces with a relatively high degree of protection is, thus, an admission of failure. Establishing an MPA basically means that society—nations.

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Why should we conserve? Why through MPAs?

The specific objectives of an MPA may vary from the protection of a coastal landscape to the protection of some key ecosystems (such as the spawning grounds of commercial species) or some emblematic, rare or important species. Today, such possible MPA objectives also include the conservation of the cultural and human heritage of communities living in harmony with their environment and resources. In this case, the aim is to conserve the systems that comprise peoples’ livelihoods and cultures but also the natural heritages that go with them—both of which are in danger from the rampant deterioration of natural resources, the globalisation of exchanges and rapid changes in customs and values.

Today, international and regional instruments preach the creation of MPAs as a means of coping with the general degradation of coastal and marine areas. These instruments, which confer a high level of legitimacy to the approach, include the Rio Declaration, the Convention on Biological Diversity, the Johannesburg Action Plan and, at regional West African level, the Regional Strategy for MPAs in West Africa of 2004 by ten Ministers in charge of Fisheries, the Environment and Protected Areas throughout the region.

Why shared governance?

It is generally accepted that areas under a special regime, such as an MPA, need specific management to ensure that their objectives are met. It is useful to remember that management as such does not refer to the area per se but to the use people make of it. Thus, management efforts aim for results at the level of the environment, but regulate the practical activities of their users. This guide focuses on multiple-use MPAs, which is what all MPAs in West Africa basically are. “Multiple use” means that the protection conferred on the area is neither total nor exclusive—and that some uses of natural resources are permitted there.

From early efforts at establishing terrestrial and marine protected areas, it has been clear that, when-ever resident communities are strongly attached to and dependent upon the concerned land, sea and resources, managing the areas requires the prior involvement of these communities in defining the management regimes. There is a simple explanation for this observation. If the rights and legitimate customary uses of the resources are neither understood nor taken into account in the management system, then the management plans are likely to violate these rights and create serious social injustices.

A good example of this was, in the 1950s, the establishment of Niokolo Koba National Park in South Eastern Senegal. The Park was designed as an integral reserve, open only to nature-lover tourists. The resident populations were evicted manu militari and deprived of access to their land and ancestral homes without prior consultation and with no sign that the government was willing to consider multiple-use in the protected area. Although Niokolo Koba represents an extreme example, the result of such endeavours is a profound violation of customary rights, culture and the very livelihoods of local communities. Several conservation initiatives of this kind have been implemented throughout the world and it has globally turned out that the communities arbitra- rily deprived of their rights subsequently disregard the rules put in place. These populations find themselves criminalised and marginalised in the following processes and, in the end, the protected area does not operate as originally planned. In this respect, we should keep in mind that the
Today it is most often the State that holds the authority and responsibility over land and land use planning—an authority acquired through the historical processes that overcame the local and traditional authorities that used to hold power. If the central and supreme authority of the state is not able, on its own, to define and implement effective and equitable management systems that take into account the interests of the concerned communities, would it not be better to include such communities in the process of identifying, planning and implementing the protected areas? The answer to this question is clearly “yes”!

The idea of “co-managing” protected areas is not new. References to it are to be found already some fifty years ago in efforts to create a middle ground between management by the State and management by private landowners. And it should be considered that co-management is not only intended to limit the detrimental effects of expropriation and failure to respect the rules imposed by a superior authority incapable of listening to local people. It is also intended to ensure that the knowledge and skills of the legitimate actors associated with the areas and territories at stake are taken into account for the benefit of those very sites to be conserved. Despite all this, when we examine conservation practices, we rarely find clear, fair and effective co-management examples. Why is this? Quite probably because “co-management” is not only a matter of technical choices and professional skills. Co-management, which is better described as “shared governance” (see the definition inset “What are we talking about?” below), has to do with the power of taking decisions, it actually demands the sharing of such power and has direct socio-economic consequences. This may call into question the socio-cultural and economic values related to the way decisions are made, as much within a given community as between different social and administrative strata.

What are we talking about?

The concepts of “co-management”, “participatory management” and “shared governance” are often used interchangeably. Is this a sign of conceptual confusion? Are there significant differences among these terms? To answer these questions, let us refer to a few basic definitions:

**Marine Protected Area**

While a “marine area” comprises inter-tidal or sub-tidal environments together with their overlying water and associated flora, fauna, historical and cultural features, a “coastal area” comprises the terrestrial environments upon which activities in the marine milieu have significant repercussions. The Convention on Biological Diversity (CBD) uses the term “Marine and Coastal Protected Area” when the area to be conserved concerns the biodiversity characteristic of this combination. According to the CBD, a Marine and Coastal Protected Area is “… reserved by legislation or other effective means, including custom, with the effect that its marine and/or coastal biodiversity enjoys a higher level of protection than its surroundings.”

In 2008, the IUCN Guidelines for Applying Protected Area Management Categories clearly specified that the new definition of protected area applies equally to marine and coastal environments. For the IUCN, a Marine Protected Area (MPA) is “A clearly defined geographical space, recognised, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values.” The IUCN definition is stricter than that of the CBD. Although it does not prevent fishing reserves from being included among the protected areas, these zones would only be recognised as protected areas if they are “defined, recognised, dedicated and managed to achieve the longterm conservation of nature”. On the other hand, according to the 1980 World Conservation Strategy, conservation is a “positive phenomenon, which includes the preservation, maintenance, sustainable use, restoration, and enhancement of the natural milieu”. The interpretation of what can be included in the national lists of marine protected areas is the prerogative of national governments.

**Management of a protected area**

Protected areas are created with specific aims in mind. These aims always include the preservation of biodiversity, but often also the conservation of natural resources (water, for example) and cultural resources (sacred sites, historical memories, etc.) associated with biodiversity. Protected areas are often also expected to generate socio-economic benefits, in particular for the local residents (boosting the local economy, offering leisure, opportunities for education and tourism, etc.). The management categories codified by the IUCN constitute a flexible approach that reconciles the values of biodiversity with the values of the human communities concerned. Protected areas are usually managed through regulations regarding their

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limits, zoning, activities that can be practiced, uses that can be made of resources, permits and prohibitions inside the area itself, as well as through a set of interventions that need to be carried out (delimitation of the perimeter, maintenance of infrastructures, habitat restoration, eradication of invasive species, etc.). In other words, management is the process by which the concerned decision-makers and executors answer the question “what do we do to achieve the aims of the protected area?”.

Governance of a protected area

The governance of a protected area raises issues of power, relations and responsibilities. From a practical point of view, it can be understood by asking the following question: “Who has the authority and responsibility for management and is answerable for the results achieved?” In fact, governance has not much to do with management issues (“What to do to achieve the aims of the protected area?”) but informs us about the decision-makers, the ones ultimately responsible about what is or is not done for the protected area. There are four major possible answers to the question “Who has the authority and responsibility for management?”: These answers identify the four major “governance types” that exist for protected areas (all legitimate and important for conservation):

- PAs under the authority of the government (at federal/national or supranational level)
- PAs under the authority of several parties (shared governance)
- PAs under the authority of private entities (generally the owners of the concerned land or natural resources)
- PAs under the authority of the indigenous peoples and local communities—sedentary or mobile—holding customary and/or legal rights (these PAs are generically called ICCAs—an acronym that stands for “Indigenous Peoples Conserved Territories and Areas Conserved by Indigenous Peoples and Local Communities”)

As is the case with protected areas on land, marine and coastal protected areas can therefore also be identified by their type of governance. But there is more than this. Other major questions regarding governance include “How are decisions made for the protected area? What standards are applied and which approaches, values and principles guide the management?”. These answers identify the four major governance types that exist for protected areas (all legitimate and important for conservation): 5

- PAs under the authority of the government (at federal/national or supranational level)
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Marine Protected Areas in shared governance

These are “marine protected areas where authority, responsibility and accountability are shared among stakeholders, such as government bodies and economic operators, and rightholders, such as the indigenous peoples and local communities whose livelihoods and/or culture depend on the protected area and its resources”. In other words, this situation is referred to as “participatory management” or “co-management”, but these terms are not entirely correct because the definition deals with governance rather than management issues. Referring to “management” when we wish to discuss issues of “governance” is still common, but terminology is slowly changing. In a “shared governance” mode, different partners negotiate, define and mutually guarantee the sharing of tasks, rights and responsibilities regarding the concerned marine and coastal area and its natural resources.

Shared governance is developed through a process of negotiation and learning by doing and—sooner or later—gives rise to the emergence of new institutional arrangements. These may include plans and norms agreed upon by various parties (co-management agreements, co-management plans, and complementary agreements) but also multiple-party (pluralist) organisations with mandates for advisory, decision-making, executive roles, etc. In other words, shared governance goes beyond the sharing of the daily management tasks that accompany the implementation of a management plan. Shared governance shapes the decision-making power that develops the plan.

The question of equity

The IUCN defines its vision of the desired future as that of “a just world that values and conserves nature”. The word “just” refers to the principle of equity, and is today at the roots of ecological movements that understand that the natural heritage cannot be conserved by disregarding the human communities that depend upon it. Not taking the “legitimate stakeholders” into account when discussing environment and conservation issues leads to serious injustices, ineffective management systems, human misery and loss of biodiversity. On the other hand, if the principle of equity is embedded in conservation initiatives and it is adequately applied, the chances that management systems will succeed do multiply, creating win/win situations.

It is thus important to elicit the engagement of all stakeholders—including the weaker ones, far removed from the centres of power—to make sure that their voices are heard, and their interests and concerns are taken into account. In this sense, shared governance is an effort at reconciling conservation with equity. It sets up a negotiation process to enable the stakeholders to come to an agreement on the fair sharing of the costs and benefits of conservation—an agreement that can improve the living conditions of people without threatening the sustainability of environmental resources.

The gender approach

The gender approach was introduced to the shared governance process following the observation that, in many cases, women do not participate equally with men in discussions and negotiations. And yet, in traditional, rural societies—particularly in West Africa—women have access to and make considerable use of natural resources in carrying out their daily jobs. They only have to think of collecting firewood, fetching water or gathering shells in the mudflats. In certain communities, these jobs are rarely or even never done by men. Deciding on future access schemes to these resources without the active participation of those who control their use can only create problems, sooner or later.

5. Definition approved by the participants at the first World Congress on Marine Protected Areas (Geelong, 2005).
The gender approach applied to shared governance allows women as well as men, depending on their functions and interests, to be involved in the negotiation of co-management agreements. The gender approach makes sure that each use of the natural resources is defined and understood—socially and economically speaking—by the concerned community, and that all are regulated through co-management agreements.

Beyond the defence of the rights and capacities of women, the gender approach often spills over onto other groups that are sometimes marginalised or “forgotten about”. On this subject, it is important to add that stakeholder groups such as young men, young girls, the elderly, migrants, etc., should not define themselves solely in terms of gender but also in terms of belonging to one or more other interest groups. Of course, all the groups concerned should be taken into account in a management process that is fair and effective. The gender approach is therefore in line with concerns for social equity, which aspire to avoid all forms of injustice, from simply “forgetting” to invite someone to a shocking outright exclusion of a stakeholder from deliberations.

As indicated in the “why shared governance” section, the question of sharing decision-making power opens issues among both the various strata of the administration (state, regions, municipalities, communities) and within communities. Whereas the traditional leader or local elected representative of a coastal community could well appreciate being involved in a co-management process and negotiating directly with the agents that represent the State, this same leader may not necessarily be enthusiastic at the idea of negotiating a community consensus position in which women’s needs are effectively taken into account. It is highly possible that this may not be part of the “governance culture” of the community in question.

This is partly why the approach of shared governance, with its preoccupations of equity and non-discrimination, has sometimes been caricatured as a “social engineering” approach. It is true that it can lead to questioning some basic social and cultural features in order to reach equity in conservation. But the gender approach is also aware of cultural differences and of the need to respect the values of everyone. The promoters and facilitators of shared governance can help people to ask themselves the right questions, but should always let them find their own answers. They can also give examples and express concerns, but they should remember that real change is the fruit of work carried out by the communities concerned.

How to use this guide

The different parts of the guide follow the phases of the shared governance process. Part I describes a typical initial situation and the observations and understanding of the context that are required before engaging in the process. Parts II, III and IV, on the other hand, correspond to the 3 phases of the process itself. Importantly, setting up a marine protected area under a shared governance regime is an initiative that should be well planned and structured if we want to obtain satisfactory results. For example, certain elements of the process should precede others, as they constitute the basis for the work to come. Yet planning must not be rigid but, on the contrary, leave the door open to creativity and the development of adapted solutions, and even enable the parties to take a few steps back, if necessary.

Although the guide is specifically designed for the team that should accompany the setting up of an MPA, it can also be useful to practitioners and administrators (the management team) engaged in the on-going operations of an existing MPA. In fact, even though the structure of the guide is a chronological sequence of the steps to be followed to set up a MPA under a shared governance regime, teams working for MPAs that are already operational may also find information and questions that will enable them to refine their approaches and improve their governance systems. For example, even experienced administrators can make use of what is described in part 1 (the work of the Start-up Team) to check whether the implementation of their governance structures has been well reasoned and rational.

Specific questions—about forty of them—are distributed throughout the guide, helping the reader to find their way around in the stages of the process. Each question requires a yes or no answer and allows the reader to write an explanation for the “Yes” or examine options to remedy the “No”. Spaces have been deliberately left in the “Yes” column for easy writing on the guide itself, which can thus become a living and hopefully practical tool.

In this respect, the questions at the end of each section allow taking stock of the situation, whether the MPA is in its start-up phase or already well established. Asking the recap questions is a way of checking whether the local process has not forgotten to accomplish something along the way. If this is the case, the questions will help to revise and complete the process.

Each site has its own specific characteristics—cultural constraints, political conflicts, or even legal obstacles—and this guide is definitely not intended as a book of formulae to be applied indiscriminately. On the contrary, you can dip in and find a method here and there, at your own pace and wherever you decide to take as your starting point. More than anything, this guide encourages readers to create their own experience, drawing as much as possible inspiration from lessons learned in the field.

An ideal implementation process for a shared governance regime is rarely encountered in the real world. Events and activities bustle each other and overlap, and sometimes even get in the way of each other. The approach is invariably unique and should be tailored to the context. Yet, we firmly believe that all efforts made at engaging people and institutions in the conservation of nature with fairness and respect for culture—which is what “shared governance” is all about—will inevitably be engaging and challenging!
1: Do we know the reasons for establishing an MPA?

<table>
<thead>
<tr>
<th>Yes</th>
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... and we make sure that all users and “stakeholders” are sufficiently familiar with them.
Why and how are we setting up a marine protected area? What will we conserve? How? Is shared governance desirable? Is it feasible? Who should take action for it? With what resources?

So many questions present themselves at the beginning of a conservation initiative... a telling indication of the complexity of the endeavour that will enfold and the need to take several important decisions. This first part of the guide will help you to find answers to these questions, and to other questions dealing with the context at play.

We are taking here the first step towards shared governance, trying to understand whether it will work. If we believe it will, the process shall further take us through three main phases: organising, negotiating, learning by doing.
A Marine Protected Area (MPA) can be a response to several problems. If we face a situation of significant environmental deterioration, the need for conservation is in front of our eyes. Such observations generally occur when the “erosion” of biodiversity and ecological services has already generated negative socio-economic impacts for the concerned communities... but they can still hope to correct the situation. Often, multiple uses of natural resources by various interest groups, such as permanent coastal residents and migrant users, generate an over-exploitation of those resources due to both free access and too many users. The very problem of diminishing resources, however, may push certain actors to seek a change in their management regime. In the Casamance region of Senegal, for example, an organisation of local fishers watched the diversity and abundance of their catch in their traditional fishing grounds deteriorate inexorably. But they did not stand by idly and, in 2009, they set up their own community conserved area, with clearly defined and severely monitored rules, to do all that they could to reverse the negative trend in front of their eyes.

In other cases, the deterioration observed in one specific place can lead actors to try to defend similar places that may still be pristine and unsullied. They may wish to prevent at least in some sites the deterioration that is rife in others. This could actually be the only way to prevent the complete deterioration of a type of ecosystem or coastal and marine resources on a national or regional scale. And yet, when a natural resource is unsustainably exploited on a national scale but still conserved by a marine protected area, demands may rise to access that MPA as well and exploit the scarce resources even there... One relevant example of this is Banc d’Arguin National Park in Mauritania, where fishermen are demanding authorisation for their small motor boats to fish inside the Park as the surrounding areas experience a strong reduction in catches. It is clear that opening the marine protected area to fishing would not solve the problem not even in the medium term... As it is clear that setting up an MPA does not exempt the government from its duty to establish policies for the sustainable management of natural resources in general.
It is not necessary to know from the beginning all the reasons for conservation and all the results expected from the future MPA. We know that the protection of areas, species and their habitats is most likely to induce a development of biological resources (biomass, diversity) and maintain the ecological integrity of the areas (surface water cycle, stable water tables, limitation of coastal erosion). It is also reasonable to believe that limited use of resources is more sustainable than their outrageous over-exploitation. These results provide services to society as a whole and confer a justifying intrinsic value to the marine and coastal protected areas, even if, at the beginning, they may still be only poorly studied and vaguely understood. It is important to add that indigenous peoples and local communities usually have an excellent understanding of the services provided by a healthy and fully functional environment. Alas, this knowledge is often neither acknowledged nor valued...

As stated in the introduction, conservation efforts can focus on a species that is locally threatened or an area or landscape locally considered worthy of protection. But it is also important to recognise the value of protected areas from a more global point of view, at the level of the ecosystem. In West Africa, for example, a whole series of MPAs does protect sites that are distant from one another but are considered to be complementary on a regional scale. These complementarities have not yet been studied in depth but can be predicted on the basis of the different phases in the life cycles of migratory species, such as marine turtles, birds, fish, cetaceans, etc.

The development of a regional network of MPAs covering the key ecological functions of the marine-coastal environment of West Africa is one of the objectives of the Regional Marine and Coastal Conservation Programme (PRCM). The programme is based on both scientific criteria (biology, ecology, etc.) and empirical and local knowledge, but it is not truly necessary to clarify all the scientific questions that one may have before agreeing that certain sites need to be protected. The intrinsic value of such sites, coupled with the observation that the surrounding environment is deteriorating and the living conditions of human communities are becoming more fragile, is enough to establish the need to take some action for conservation.

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</table>
Who is at the origin of the conservation initiative?

The initiative for conserving some specific resources or sites can originate within any group of stakeholders... local communities as much as civil society, the international community or the agencies of the State. While the State normally has the legal mandate (legality) to place a particular site under a conservation regime, it is the local communities and traditional users of the resources who provide local legitimacy, i.e., embody the “consent of society”. The concepts of legality and legitimacy are complementary, and not mutually exclusive. The foundations of shared governance derive from this distinction and its implications. And, in all cases, it is necessary that the stakeholder who takes the initiative demonstrates an ability to engage others with it, building up towards a common success.

Right at the beginning, the group that launches the conservation initiative defines in preliminary terms the site to be conserved (that is to say the extent of the targeted area and the management units comprised within it), as well as the major objectives to be pursued. It is important to spread the word as far as possible about the reasons behind the initiative and its expected benefits, and to gather all the relevant available information, whatever its nature or source. Conservation initiatives are now supported by a considerable number of international instruments, conventions and agreements, which encourage countries and communities to identify and create protected areas, to conserve their natural resources, and to exploit their environment in a sustainable manner. Any user or legitimate resident, and any environmental organisation or State agency can therefore initiate an MPA process with a high degree of legality. It is however crucial—and we shall see this through the whole of the guide—that all the stakeholders are included in this process and that they also commit to making it socially legitimate.

What is a stakeholder? What is a “party” in the negotiation?

A stakeholder for a specific protected area is any organisation, social group or individual who has significant, specific and direct rights, concerns and/or interests with respect to the area and its resources. A stakeholder who takes significant steps to express and defend such rights, concerns and interests becomes a “party” in the negotiation.

2: Do we know “who” wants to establish the MPA?

- Here is a list of ones who took the initiative:

- The “initiating parties” can be:
  - one or more user groups, more or less organised
  - one or more local communities
  - the State through one of its agencies
  - the international community through a UN support programme
  - a national or international NGO
  - the local traditional leadership
  - a group of citizens organised at national, provincial or local level
  - the beneficiaries of a conservation or development project that is expected to take place alongside the MPA

...but we keep in mind that many people may not know who has been active for the establishment of the MPA

3: Do we know who is willing to "carry the initiative" of the MPA?

- Here are the names of these people:

- These ready to carry the initiative (individuals who are actively engaged in setting up the MPA, and act as guarantors of legality or legitimacy) can include:
  - conservation-development professionals or staff of government agencies
  - leaders of local communities- women and men, young and old, elected and non elected representatives
  - traditional chiefs and elders
  - citizens active in civil society at the national, provincial or local level

...and we try to help them as much as possible
Sharing governance

It is important to clearly define the site to be conserved. We often speak of Natural Resource Management Units (NRMUs), a term which includes all the elements of an ecosystem necessary for planning its conservation in a coherent way. In practice, it is difficult to define the limits of an ecosystem—and thus a coherent NRMU—if we want to be sure to include all the elements that have an impact on it. For example, if we want to conserve the marine-coastal biodiversity around an island, it will probably be necessary to include in the NRMU not only the areas located below the low tide mark, but probably also the inter-tidal zones that serve as spawning grounds and feeding areas for fish in their juvenile status (mudflats, mangrove forests, etc.). Once these zones are taken into consideration, one may also be tempted to include elements of the land system that can have a strong influence on the inter-tidal zones, such as rivers, and their watersheds. The same thing is true for large coral basins, and so on... Iterative analyses such as these will ultimately make it possible to identify some ecologically coherent NRMUs, but this will probably happen gradually, as management decisions and actions need to take place (adaptive management).

Beyond being an ecological unit, an NRMU must also be coherent in socio-economic terms. Let us suppose that, in the previous example, there are migrant fishermen and farmers who exploit the natural resources in and around the island in question. Whereas the farmers will have to “pay” a large part of the costs of the initiative for the protection of rivers, the fishermen will gain the most benefits through the maintenance of a diverse and abundant marine fauna. Thus, if we wish the conservation initiative to be just and sustainable, it will be important to include in the NRMU the areas cultivated by the farmers and all components of the land system with a coastal impact. That way, the farmers will also participate in the negotiation and the resulting management agreements will likely include tangible benefits for them, which will offset the conservation costs they will pay.

In traditional societies, we often notice a remarkable coincidence between NRMUs and existing “social units”, such as local communities,
mobile groups who move together, etc. In the Bijagós islands or further south in Guinea, on the island of Tristão, we note that the domain exploited by the resident Bijagó, Nalous, Ballantas and other peoples, comprises land and marine and coastal areas. The socio-economic management unit largely coincides with the ecological one. In these cases, however, the problem remains about the access and allocation of resources among residents and migrants, one of the major challenges encountered along the coasts of West Africa in general.

**What is a Natural Resource Management Unit?**

A Management Unit is a territory or assortment of resources managed “as an ecosystem”. To be coherent, it should include all the ecological components necessary for planning its conservation. It should also be capable of ensuring the equitable distribution of the costs and benefits of the conservation. An MPA should be composed of one or more coherent management units.

**4: Does the presumed site of our MPA correspond to one or more coherent natural resource management units (NRMUs)?**

**Yes**

- We specify the geographical, geopolitical and ecological information that justify the choice of the NRMUs...

**No**

- This is due to the fact that:
  - it was defined in an arbitrary way?
  - it was defined in relation to a natural resource unit which is no longer valid?
  - there was no-one to listen to the ideas of the residents who use the resources?

The points of coherence to be clarified can include:

<table>
<thead>
<tr>
<th>Ecological coherence</th>
<th>Socio-economic coherence</th>
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<tbody>
<tr>
<td>- reproduction zone of several species</td>
<td>- the NRMU has a strong, direct relation with a well-defined community</td>
</tr>
<tr>
<td>- island and its surroundings river and its estuary</td>
<td>- there are close relations between the farmers and the fishermen concerned</td>
</tr>
<tr>
<td></td>
<td>- the fishermen concerned are well-organised</td>
</tr>
<tr>
<td></td>
<td>- the territory to be conserved is wholly located inside an administrative unit</td>
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...and we check that the limits of the MPA are clear for all the stakeholders and that the consistencies listed (ecological and socio-economic) are indeed the result of observations, field studies and discussions with the users of the resources.

**5: Have we listed the existing or potential conflicts about the natural resources of the MPA?**

**Yes**

- Here is a list of the different conflicts that exist...

**No**

- Have we taken into consideration the possible conflicts:
  - between resident and non-resident fishermen?
  - between artisan and industrial fishermen?
  - between boat owners, labourers and merchants?
  - between customary owners and other users of the same resources?
  - between fishermen and the State (e.g. the director of the protected area)?
  - between residents and migrants?
  - between different ethnic communities?
  - between communities with different religions?
  - between women and men?

...and we are trying to assess their impact on the site...

4. Does the presumed site of our MPA correspond to one or more coherent natural resource management units (NRMUs)?

- We specify the geographical, geopolitical and ecological information that justify the choice of the NRMUs...

5. Have we listed the existing or potential conflicts about the natural resources of the MPA?
One of the first elements to be taken into account after the preliminary identification of a site to be protected is the appraisal of the opportunities and feasibility of a shared governance regime. Contrary to the practices of the last century, most countries that engage today in initiatives to establish major protected areas envisage a process for consulting the concerned communities and resident, associated or peripheral users of resources. Such processes, widespread throughout the world, are necessary but far from sufficient to be able to set up a shared governance regime. Extensive time and human and financial resources are indispensable to make the context evolve from simple consultation to shared governance, passing through different phases in which community engagement evolves.

Shared governance allows the prevention of the social injustices that may result if planning does not respect the rights and interests of the associated communities and legitimate users of the resources. And it allows making good use of their knowledge and skills about the environment. According to researchers on the topic, there are two kinds of situations where shared governance is truly needed:

• when access to the natural resources of the concerned site is crucial to the very existence of some communities and legitimate users. This may be so because of food and other basic material needs, but also because of spiritual needs, ceremonies, culture and local traditions;

• when the engagement and the active collaboration of the different stakeholders are crucial for achieving the sound and sustainable management of the site’s resources. This includes the very common case of legitimate users claiming a greater participation in decision-making regarding their ancestral domains, following the centralisation of power and erosion of their customary rights.

The only case where initiating a process towards shared governance would not be useful is the total absence of a community or group of users associated with the site. Given the high population of coastal areas...
in general, such a situation is rare in West Africa and generally applies to remote or very small islands (such as the Madeleine islands off the coast of Dakar, for example, or the island of Alcatraz in Guinea).

Local actors have benefited from customary and/or formal rights to the site and its resources in the past

The lifestyles of the local communities are strongly influenced by decisions that affect the natural resources of the site

The decisions to be made are complex and controversial (e.g., different value systems will need to be harmonised or there are strongly divergent views about how to distribute the rights to the space and its resources)

The current natural resource management system functions badly and does not satisfy the needs of the local actors

The key stakeholders are interested in collaborating and ask to do so

There is enough time to negotiate

Inset 1: Conditions that suggest engaging in a shared governance process

(adopted from Sharing Power)

Feasibility of shared governance

Once the necessity of shared governance has been assessed, we need to clarify the feasibility of implementing it, well knowing that a favourable environment would increase the chances of its success. The analysis must take into account the key factors likely to facilitate or block the process, which may be legal, political, institutional, economic, financial and/or socio-cultural. Even in the most “developed” countries and societies, factors unfavourable to shared governance exist and can create problems. For example, the existence of vested interests with regard to the site and its resources among the stakeholders and/or the fact that the stakeholders possess highly unequal powers do not facilitate the negotiation process. Most blockages, however, can be overcome, and shared governance is nearly always worth trying.

The analysis of feasibility must give priority to examining the main blockages. An almost absolute legal blockage would be, for example, a law that prohibits delegating protected area management authority to any decentralised administrative or community institution. For lesser blockages, it is important to clearly identify the problems and to formulate strategies to resolve them... calling into question the shared governance approach should be the very last option!

6: Is shared governance really necessary for our MPA?

Yes □ No □

- Here is a list of the reasons we have found, for or against...
- .................................................................
- .................................................................
- .................................................................
- .................................................................
- .................................................................
- .................................................................
- .................................................................
- .................................................................
- .................................................................

- Then, we check whether shared governance is necessary by investigating the following questions:
- Are the concerned natural resources of vital importance for the communities and legitimate users (key means of livelihoods, spirituality, identity, ceremonies, tradition, etc.)?
- Do stakeholders have legitimate rights to the natural resources in the MPA?
- Are local knowledge and skills available and necessary for the effective management of the MPA?
- Could social injustices caused by the presence of the MPA disappear through better negotiated sharing of its management rights and responsibilities?
- .................................................................
- .................................................................
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- .................................................................
- .................................................................
There are, however, situations in which the implementation of shared governance can create serious problems, even to the extent that it would no longer be desirable.

These situations include the following:

- when there is no liberty of expression or personal security, impeding any sincere collaboration among stakeholders. If this is the case, implementing a process of shared governance could engender acts of vengeance, violent repression and even endanger lives;
- when there is an emergency situation in which decisions must be made very quickly in order to avoid an irreversible deterioration of resources and/or an ecological catastrophe.

Finally, there is another, very particular case in which the shared governance approach is not desirable. This is a situation in which one of the users of the resources is particularly powerful, has a heavy impact on the sustainability of natural resources and lacks social legitimacy. By becoming accepted as a stakeholder in a negotiation process, this user could gain legitimacy, and perhaps even long-term access to the natural resources. This is clearly not in the long term interest of the legitimate stakeholders and users, as a co-management agreement would be less beneficial to the legitimate users than the simple and clear-cut exclusion of a user who has no legitimacy. This case demonstrates that each stakeholder must identify its own “best alternative to a negotiated agreement” before embarking on a negotiation process. The search for an alternative can lead legitimate stakeholders to seek the judicial exclusion of a stakeholder whose lack of legitimacy (or illegal situation) is defined by the existing laws. The illegitimate user, when in a strong position, may also pursue the same strategy, e.g., by trying to prevent State agencies from entering into direct negotiation with the legitimate actors. Sometimes, powerful actors even use intimidation, corruption and violence to silence legitimate claims from the grassroots.

Inset 2: Potential benefits of shared governance
(adapted from Sharing Power, pages 131-132)

- The effective sharing of management responsibilities among all the parties involved in the agreement lessens the burden of any one party in charge.
- A co-management agreement produces negotiated specific benefits for all the stakeholders.
- Alliances between governmental agencies and local social actors tend to fend off resource exploitation from non-local interests, which often represent the main threat to conservation and sustainable resource use.
- Shared governance promotes more effective management as a consequence of harnessing the capacities and comparative advantages of various social actors (knowledge and skills, mandate, proximity to resources, etc.).
- Shared governance reduces enforcement expenditures because of agreed, voluntary compliance.
- Shared governance enhances the capacity for resource management among all parties involved.
- Shared governance enhances the trust between state agencies and relevant actors, shared “ownership” of the conservation process, and strong commitment to implement decisions taken together.
- Shared governance promotes a sense of security and stability, leading to increased confidence in investments, long-term perspective and enhanced sustainability of negotiated management.
- Shared governance promotes understanding and knowledge among all concerned parties about the views and positions of others, preventing or minimizing conflicts and disputes due to miscommunication.
- Shared governance promotes public awareness of conservation issues and the integration of conservation and sustainable use efforts in social, economic and cultural initiatives.
- Shared governance contributes towards participatory democracy in society in general.
7: Is shared governance feasible in our MPA?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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</table>

- Here is a list of the reasons that justify its feasibility:
  - [Reason 1]
  - [Reason 2]
  - [Reason 3]

- Here are the phenomena that could compromise it:
  - [Phenomenon 1]
  - [Phenomenon 2]
  - [Phenomenon 3]

<table>
<thead>
<tr>
<th>Have we checked whether:</th>
</tr>
</thead>
<tbody>
<tr>
<td>There are factors that facilitate the process:</td>
</tr>
</tbody>
</table>
  - Stakeholders open to dialogue
  - Expressed determination of several stakeholders
  - Traditional systems of conflict management are still active

<table>
<thead>
<tr>
<th>There are factors that are an obstacle to the process:</th>
</tr>
</thead>
<tbody>
<tr>
<td>- The resources in question have a high economic value</td>
</tr>
<tr>
<td>- Laws or official legislation restrict the delegation of MPA management authority to decentralised units</td>
</tr>
</tbody>
</table>

We believe shared governance should be avoided as:
  - There is no freedom of expression, no personal safety and a risk of violent repression
  - We are in an ecological emergency, there is a risk of imminent ecological catastrophe
  - A non-legitimate user is too strong, is going to control the process and unfairly acquire legitimacy through it

...
All legitimate stakeholders must be included in the negotiation process. They usually form a diverse set of actors, comprising groups of local and all-too-real people but also representatives of distant legal entities with a relevant mandate. They may be intimately associated with the site (residents), or they may be constituted of migrants related to the site and its resources through their past history. They may be stakeholders whose links are defined by the impact their activities generate on the site (an oil company operating just outside the site, for example) or by a State mandate to ensure conservation (for example, officials from the supervisory Ministry). In general, the stakeholders have different and, at times, even divergent interests regarding the allocation of authority and responsibility about the site, and also different degrees of legitimacy.

Without a doubt, stakeholder identification is a complex task. The task begins at the time of identifying the NRMUs, as described previously, because the conservation initiative should deal with an ecological but also socio-economic unit that is as coherent as possible. The task goes on until all the legitimate rights, concerns and interests have been taken into consideration and thoroughly examined, and until all the related stakeholders (some of whom should rather be called “rightholders”) have been invited to join the process. Leaving out legitimate stakeholders would surely make co-management agreements fragile or difficult to implement.

Stakeholders can be classified into a number of categories, whose consideration may help the Start-up Team (see further on) to identify them in a given context:

- **Affected and dependent groups** - decisions about the management of natural resources will have a definite impact on these groups. Question to be asked: Who uses and/or directly depends on the resources that could be placed under a conservation scheme? (don’t forget possible migrants, seasonal workers, etc.)
Concerned groups - these are groups who have a direct interest or mandate to manage the resources. Question to be asked: Which central authorities, agencies, organisations, research institutes, local and/or traditional authorities, etc. have an interest and/or a mandate to use, manage or even simply study the resources at stake?

Groups with specific claims - these are groups who claim the right to access and use the resources. Question to be asked: Do any companies, communities, groups or individuals claims to possess operating permits, land rights and/or customary, ancestral or other rights to the site or any of its resources?

Groups with an impact on the resources - these are groups whose activities may have a direct or indirect impact on the site in question. Question to be asked: What kinds of activities have an impact on the ecological and socio-economic integrity of the site, and who is conducting these activities?

Groups emerging because of special circumstances - these are groups related to circumstances that affect the local communities and change the dynamics in place. Question to be asked: Are there any initiatives (e.g. development projects, agrarian reforms), or phenomena in progress (large-scale migrations) that must be taken into account, and whose key actors must be included in the process?

A final word about legitimacy: it is clear that certain actors will have much more legitimacy than others. This applies, for example, to actors who have enjoyed access to the site and used resources for generations, who depend on the resources for their livelihood, and who will suffer the direct consequences of management decisions. These are the “primary” stakeholders... although the highest level of legitimacy, in practice, often goes hand-in-hand with the least power to affect decisions! The secondary stakeholders are actors who are less directly concerned and have lesser claims to advance. Nevertheless these actors—NGOs, private entrepreneurs, etc.—can often bring to bear the widest range of technical and financial resources to support the conservation initiative.

8: Do we have the list of “stakeholders” for our MPA?

---

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image1" alt="List of primary stakeholders" /></td>
<td><img src="image2" alt="List of secondary stakeholders" /></td>
</tr>
<tr>
<td><img src="image3" alt="Here is the list of our primary stakeholders:" /></td>
<td><img src="image4" alt="Remember that “stakeholders” are social actors who have direct, specific and important rights, concerns and/or interests in relation to the natural resources at stake. There are different types of stakeholders:" /></td>
</tr>
<tr>
<td><img src="image5" alt="... and here are the secondary ones:" /></td>
<td><img src="image6" alt="Actors with rights or who claim rights (primary stakeholders):" /></td>
</tr>
<tr>
<td><img src="image7" alt="and to make sure we do not leave anyone out, we are going to check out our lists through site visits." /></td>
<td><img src="image8" alt="Actors with concerns and interests (secondary stakeholders):" /></td>
</tr>
</tbody>
</table>

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Here we state the legislation, certification or tradition that gives each stakeholder the basis for their legal or legitimate recognition:

- The stakeholders invited to the registration meetings by the Start-up Team may come to know one another and recognise each other’s legitimacy when they openly express their rights, concerns and interests and what they are ready to contribute to the management of the natural resources of the MPA. We are therefore going to facilitate these exercises, as much as possible before the negotiation meetings, or no later than at the start of the meetings!

...and here is a separate list of the stakeholders not recognised by the others:

9: Are the stakeholders at ease with each other? Do they recognise each other’s legitimacy?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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</table>

10: Do we know how the stakeholders will be involved in the shared governance process for our MPA?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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<tbody>
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- We specify the way of associating them and the indicators and proof of their participation (reports, minutes, photos, videos, etc.):

- In this case, we could:
  - review the system for circulating and distributing information about the shared governance system
  - check and guarantee the principle of transparency of decisions, including decisions about the budget of the process itself
  - find out the reasons that prevent the participation of certain stakeholders
  - help stakeholders who are far away or “weak” (but nonetheless real) to be able to take part in the process

...and we are careful not to consider a simple “invitation” to a meeting as sufficient to consider the stakeholder as “associated”.

- UNDERSTANDING the ISSUES at STAKE and DECIDING to GET ENGAGED
One of the key points that determine the speed of progress for the shared governance process is the availability of adequate financial and human resources. Sometimes the process is long and requires resources to gather the necessary information, plan, obtain technical advice, start social communication initiatives, help stakeholders organise, support meetings, negotiate co-management agreements, draft documents, etc.

It is important to assess resource requirements in accordance with the complexity of the initiative at stake (size of the site, number of communities, number of stakeholders, etc.) and identify the sources of funding—all from the perspective of medium term planning. Partial and/or very short term funding is not necessarily useful, for the process must be conducted over the medium to long term and in any case right to its productive end. While sources of funding may be diverse, an interruption in the process due to lack of funds would create frustration among the stakeholders and threaten the credibility and success of the initiative.

Care should be taken to find a good balance between outside funding in cash and internal resources made available by the communities, including contributions in kind. A contribution from the grassroots actors is an important signal (often a necessary signal) of their commitment to the process. Processes that are funded solely by external sources have a tendency to degenerate into “gift” projects where local engagement can quickly evaporate. With too much funding in cash there is also a risk of corrupting the initiative. On the one hand, cash attracts the attention of people who are more interested in managing the money than the process and, on the other hand, some external funding comes with conditions attached—conditions that could destroy an independent, open and participatory process.

It should be clear, in any case, that the resources made available in cash or in kind will fund a process, and not some “pre-cooked” conservation plans. The result of the process, in terms of conservation and protection of the environment, will be determined through the negotiated agreement.

5. Who pays?

It is important to assess resource requirements in accordance with the complexity of the initiative at stake (size of the site, number of communities, number of stakeholders, etc.) and identify the sources of funding—all from the perspective of medium term planning. Partial and/or very short term funding is not necessarily useful, for the process must be conducted over the medium to long term and in any case right to its productive end. While sources of funding may be diverse, an interruption in the process due to lack of funds would create frustration among the stakeholders and threaten the credibility and success of the initiative.

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It should be clear, in any case, that the resources made available in cash or in kind will fund a process, and not some “pre-cooked” conservation plans. The result of the process, in terms of conservation and protection of the environment, will be determined through the negotiated agreement.
Here are a few practical points regarding the funding required to support a process geared towards shared governance:

- How many stakeholders are to be engaged? Are they easy to contact? Is it easy to bring them together? Are there any major logistics or financial feasibility issues?

- What is the extent of the information the stakeholders have about the issues at stake? Is there a need for social communication campaigns? Is there a need to reinforce the internal organisation of the stakeholders before the negotiation phase?

- Does it look like the co-management agreement for the natural resources will be simple or complex? Are there any old, still unresolved questions likely to come up again? Is there a perceived need for external expertise to facilitate the meetings, offer support for mediating conflicts, and/or clarify difficult issues?

- Are there organisations, local authorities, administrators and others with good capacities to be brought to play in the negotiation process and in the co-management of the site?

- Do the stakeholders have the capacity/wish to contribute in supporting the process (in cash and/or in kind)?

- Are there offers of external financial support? If so, are these offers tied to any specific conditions or results that could distort or corrupt the process?

> What is a Start-up Team?

The Start-up Team is a small group of people who take responsibility for starting and running the process and preparing for the phase of negotiating the management agreement. The principal qualities of the Team should be its social credibility, the diversity and personal motivation of its members and their excellent capacity to communicate.
Who will do the preliminary work described in the preceding sections? The Start-up Team! The Start-up Team is a small group of people who, at the start of the shared governance initiative, takes responsibility for animating the process and preparing the negotiation phase. The group can get together and decide to work spontaneously or can be called up by a project or a government initiative. Often the members of the group are volunteers, but at times they are paid (by a project, for instance) or receive incentives. The Start-up Team usually works only as far as organising and steering the first phase of the process (preparing the partnership)... but this phase is crucial for the whole process to be successful.

The Start-up Team, which can also be called “steering committee”, “start-up committee” or “launching team”, is usually composed of a small number of individuals (we could say three to eight, but in certain cases even a single person can play this role!) who do not “represent” the stakeholders involved but who, thanks to their complementary qualities, constitute a group capable of effective communication with all the stakeholders concerned with the MPA. For example, someone in the Team will be well-considered by the government for his/her experience in cooperation with State agencies. Someone else will have strong links with the local communities, speak local languages and have strong knowledge of the tenets of local culture and its traditions relating to natural resources and so on. It is clear that, ideally, a Start-up Team is composed of members who are diverse and complementary. In a good Start-up Team, each stakeholder finds at least one individual in whom they have confidence, and with whom they can easily communicate.

The ideal Start-up Team is thus a group of individuals who are motivated, committed, effective and of multi-disciplinary background. The group is transparent in all its activities, and disseminates consistent and complete information about the shared governance process. The group launches the process well knowing that once the negotiation phase is underway it will be the responsibility of the parties themselves to carry it through.
Above all, the Start-up Team must never operate in the interest of one or the other specific stakeholder. It is there to ensure that the process is set up for the benefit of everyone concerned.

There is no perfect process for developing a co-management partnership, but the legitimacy and impartiality of the process, which in the beginning are provided by the Start-up Team, are indispensable to its success.

### Inset 3: Key selection criteria for members of a Start-up Team
(adapted from Sharing Power, page 137)

- **Diversity** - the members of the Team come from different groups of stakeholders
- **Credibility** - the members have high credibility among the communities and the players concerned
- **Personal motivation** - the members care about the project and the expected results, and are ready to invest time and energy in the initiative
- **Capacity to communicate** - the members have an excellent capacity to communicate, they know how to get a message across but they also know how to inspire their audience to give the best of themselves

#### 12: Are there any shared governance “champions” ready to join the Start-up Team of our MPA?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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</table>
| - Here is a list of the people who took charge of the starting the process:...
- ...and we note how we can support them in their engagement |
| How do we identify/encourage/promote the creation of a good Start-up Team? |
| - Ideally 3 to 8 people
- From various places, with different sensitivities and capacities but all well-considered in society, recognised as having integrity and being honest, respectable and sincere
- Capable of good relations with the stakeholders (each stakeholder should be able to talk to at least one member of the Team)
- Volunteers or paid but above all motivated and engaged for goals wider than their personal interests, whether moral or financial |
| Who could be in it? |
| - Launching and animating the process
- Communicating extensively about the MPA concerns and the shared governance process
- Helping the stakeholders to organise
- Preparing the conditions for an equitable and effective negotiation phase |
| To do what? |
Please wait!... Before you go any further, you should check whether the points in the list that follows have all been accomplished. If this is not the case, please take the time to complete them...

**Checklist for the phase of “understanding”:**

- Do we have a clear idea of the natural resource management units (NRMUs) that exist within the MPA?
- Do we understand their conservation needs and how the MPA is going to meet them?
- Are we clear about whether and why it is desirable to set up a shared governance regime for the MPA?
- Has a preliminary list of stakeholders been drawn up for each NRMU, and for the MPA in general?
- Do we know what we need in terms of human and financial resources, and are those resources available to carry the process through?
- Do we have a Start-up Team in place?
Organising the Partnership

Concrete work starts here, in the first phase of the process, when social actors engage in preparing for partnership. Action is initiated and facilitated by the Start-up Team, whose work is decisive for the value and legitimacy of the entire process.

The Start-up Team pulls together all sorts of useful information and tools held by different stakeholders, sets up a social communication system—including a participatory action research component—and facilitates the internal organisation of the stakeholders as “parties” in the negotiation of the co-management agreement. Last, the Start-up Team organises the first negotiation meeting among the parties—a task that includes logistical considerations but also the drafting of important procedures, rules and equity safeguards.
We already know plenty about this MPA! What we need is action, not studies, studies and more studies!! These things have always happened, and will always happen...

Maybe you do know enough, but I’d really like to find out more about why, last month, we found so many dead dolphins on the beach....

I was also wondering if it is true that the oil prospecting that has been going on not far from here will affect our local fishing... I heard that some fishermen went on a study trip to Nigeria, and came back shocked about what they found there... Right in the land where the oil miracles were supposed to take place.... I want to know what’s happening before we engage in the negotiation for the new MPA management plan. Gathering our knowledge and questions could help us. Otherwise, the others will walk all over us...

7. Gathering the necessary information and tools

The iterative nature of shared governance can be felt from the very beginning of this phase. Although the Start-up Team has pre-identified the stakeholders involved and the management units, it is only now—working directly with the stakeholders—that things are discussed, re-assessed and fully defined. It is through this iterative work, the increasingly precise definition of the site to be conserved, its management units and its stakeholders, that the initiative takes on its full legitimacy.

Note that, at this stage, the stakeholders have not yet officially met. The members of the Start-up Team communicate with them individually, discuss the process to be followed, and help them to prepare and get organised. The members of the Team do not espouse any particular position on technical questions, or on specific ways to solve environmental problems. They simply help the stakeholders to take on the responsibility for this work, which needs to be done.

One of the Start-up Team’s jobs is to help to gather as much information as possible about the site, its residents, its resources, and their uses. This poses a challenge in situations where working with formal, structured, written information is not a common occurrence, which is especially the case in rural communities with low levels of literacy. The gathering and sharing of information are important to enable the stakeholders to base their opinions and wishes not only on their own personal or traditional knowledge, but on a range of knowledge as large and comprehensive as possible. It is in the interests of the MPA to create some form of “resource centre” where information is collected and everyone can come and consult it.

Providing the grassroots actors with access to types of information generally not available to them (maps, studies, films, etc.) is a great step towards building their capacities. Although rural communities are often the focus of social, economic or anthropological studies, they only rarely have access to the findings of such studies. It is therefore difficult for them to take advantage of the knowledge compiled, even when it concerns them very closely.
One key type of information that is crucial for the resident communities is constituted by all recognised title deeds and non-recognised claims relevant to the site and the use of its resources. Such claims can be reviewed by means of participatory, iterative discussions. The relative weight of the various title deeds and claims can be used to assign varying degrees of “legitimacy” to the different stakeholders, and distinguish between the “primary” stakeholders (i.e., those with undeniable legal or customary rights) and “secondary” ones (i.e., those with interests and concerns that are valid but less crucial).

On the basis of the gathered information, the Start-up Team may decide to prepare a summary document that collects all the available information about the site of the potential MPA, including the NRMUs identified in a preliminary manner and the observations that “justify” the conservation initiative, and the available information concerning the shared governance process, including the list of identified stakeholders and any problems and conflicts existing among them. The information generated by the grassroots actors (traditional knowledge, etc.) should be taken into consideration here with the same level of respect as more formal and scientific information. If key information is completely missing, the Start-up Team will try to commission at least a basic analysis of the ecological, economic or social features of the site, which will clarify the initial situation and provide as solid a basis as possible for the negotiations to follow.

The Start-up Team may decide to draw up a summary report on the data collected, but it should be careful about impartiality (the report should contain information but not make a case for any particular stakeholder). If there are serious divergences on the future of the site and the use of its resources, those can be mentioned but not discussed, nor should proposals be advanced about how to solve them. All divergences and conflicts among stakeholders should only be discussed in the negotiation meetings. Whenever the opportunity arises, the summary report will be drawn up with the active participation of the stakeholders.

The information collected and the summary report, if there is one, are precious tools for the work of the preparatory phase, in particular for the efforts of social communication that will invariably have to do with specific information about the site. But information and reports are not enough. The Team should also pull together all the equipment and secure the logistical tools that will facilitate the various exchanges and work sessions with the stakeholders: boards, Kraft paper, markers, tape, cards, phones, means of transport, facilities to prepare and share meals, etc.

13: Has the information concerning our MPA been gathered and made available to all the stakeholders?

Yes □ No □

- Here is a list of the places and facilities where the Start-up Team is making information easily available:

- …and we make sure all the stakeholders can take advantage of them.

- Could the Start-up Team:
  - create a place (resource centre) to keep together the available knowledge and resources about the MPA?
  - gather and file existing documents in all formats—hand-written, digital, graphic, audio, video—and organise updates?
  - publicise the place and the information it contains and give preferential access to it to the primary actors (too often left without information)?
  - check that any studies that deal with specific communities are properly restituted to them?
Here are the names of the writers and the year it was compiled:

…and we make sure the information is “fresh” and useful.

A neutral, summary document is prepared by the Start-up Team in order to gather:

- basic information about the local situation:
  - of a formal and scientific nature, but also from the grassroots actors (traditional knowledge and skills, customs, rites, etc.)
  - and the management of the site (justification of the conservation initiative, potential NRMUs)
- information concerning the shared governance process (list of stakeholders, existing conflicts)

…and we make sure the Start-up Team takes them into account when organising the negotiation phase.

The Team will then put the right questions to key informants to identify any claims. They will:
- properly distinguish between “primary” and “secondary” stakeholders on the basis of clear criteria
- understand and explain any possible occurrence of denigration of stakeholders or violence against them.

15: Does the Start-up Team know all the stakeholders well?

**Yes**

- We list here the widely recognised rights (title deeds, for example, or uncontested customary rights) and the claims that have not yet been acknowledged:

…

- and we make sure the Start-up Team could ask for it to be identified, gathered and compiled.

**No**

- The Team will then put the right questions to key informants to identify any claims. They will:
  - properly distinguish between “primary” and “secondary” stakeholders on the basis of clear criteria
  - understand and explain any possible occurrence of denigration of stakeholders or violence against them.

16: Is there a document summarising what we know about our MPA?

**Yes**

- Here are the names of the writers and the year it was compiled:

…

- and we make sure the information is “fresh” and useful.

**No**

- A neutral, summary document is prepared by the Start-up Team in order to gather:
  - basic information about the local situation:
    - of a formal and scientific nature, but also from the grassroots actors (traditional knowledge and skills, customs, rites, etc.)
    - information concerning the management of the site (justification of the conservation initiative, potential NRMUs)
    - information concerning the shared governance process (list of stakeholders, existing conflicts)

Note that, if important information is missing, the Start-up Team could ask for it to be identified, gathered and compiled.

14: Does the information gathered cover all that we need to know for the sustainable management of our MPA?

**Yes**

- Here is a list of the subjects covered:
  - Types of information that could be gathered by the Start-up Team:
    - historical data on the evolution of the site and its communities (including legends, local stories, etc.)
    - studies of changes in resources (changes in biologi
cal diversity and species populations, rainfall, water salinity, etc.)
    - ecology studies (analysis of the ecological values at stake, and any threats to them)
    - studies focusing on a particular resource (water plants, mangroves, molluscs, sharks, mullets, etc.)
    - maps (including old maps to show how the site has changed)
    - anthropological and demographic studies (birth rate, mortality rate, health, migration) of the communities and people concerned
    - studies of the local economy, its potentials and trends
    - summaries of economic and social development policies with impact on the site
    - features about the site in newspapers and magazines
    - films, photos and documentaries about the site
    - films, documentaries and management plans about any ecosystems similar to the site

- …and we notice that there is some information the Start-up Team does not have, for instance:

- the names of the writers and the year it was compiled:

…”

**No**
ORGANISING THE PARTNERSHIP

8. Setting up a social communication system

All negotiations expected to take place in Phase II of the shared governance process will not produce satisfactory or legitimate results if they are conducted in a vacuum of information and knowledge, and/or by only the few stakeholders who are informed and aware.

The objective of the social communication system is to share and discuss as broadly as possible knowledge about the values of the potential MPA site, the threats weighing on it and the justification for its conservation. The idea of shared governance should be discussed (what is it? how does it work? how can people make an active contribution to it?). And a base as broad as possible of people and points of view should be engaged in the communication process. The legitimacy of the co-management agreements will be, at least in part, determined by the interest and commitment that the social communication process will have been able to generate!

Apart from spreading and disseminating information, raising awareness and engaging the players in the process, social communication constitutes a source of innovation and dynamism in local society. It leads the stakeholders to exchange, debate and understand each others’ points of view, formulate new ideas, call them into question, and, in the end, generate new information and new knowledge. The exchanges here are between the Start-up Team and the stakeholders, and internally within each stakeholder’s group. Sometimes questions arise spontaneously from these activities, and they can be explored through participatory action research (see below).

We talk sometimes about a social communication “system” and sometimes about a “campaign”, as indeed the Start-up Team should prepare a specific initiative, and give it very special attention. An in-depth analysis should be carried out about why exactly communication is needed, with whom and through what channels. In general, the stakeholders differ greatly in their requirements in terms of information, encouragement and strengthening of capacity they need before being ready to take part in...
What do we mean by social communication?

Social communication is a process of dialogue and information exchange between the start-up team and the stakeholders, and among the stakeholders themselves. It draws on specific events (e.g., a celebration, a street theatre event), but it generally comprises a permanent component, such as a place or a well-identified focal point (a display panel, a designated person, a radio programme) where questions and remarks can be sent or heard, and where specific needs can be communicated through time. The aim of social communication is to set up the conditions for interactive learning and informed decision-making in society. Interactive learning (thinking, discussing and acting together) is crucial for shared governance initiatives.

Insert 4: Functions of social communication

- Broadcast information about who took the initiative to set in motion the process to create the MPA and why
- Initiate discussions about the major environmental, economic and social questions that concern the site under consideration
- Make the issues at stake “visible” (that is to say, clarify the social and natural phenomena that are important for the stakeholders)
- Lead everyone to understand the laws and policies concerning the site and the issues at stake
- Lead everyone to understanding the opportunities that present themselves with the process of shared governance
- Allow people to get to know each other better
- Prepare the stakeholders for the negotiation phase
- ... and remember that social communication continues to play an essential role in the setting up of shared governance, even beyond the negotiation phase.

One of the most important aspects of social communication is that it must fit the social and cultural context in which it operates, even though a successfully conducted campaign may modify certain attitudes and positions of the stakeholders concerned. It must also be “social”, that is to say broad, transparent, open, available... because communication that is “not social”, that is, communication that occurs only among a few, serves only to strengthen the existing power relations. On the contrary, real social communication builds capacities and strengthens the role of the weakest through the “power of the process”.

Ideally, a social communication campaign continues until all primary stakeholders are fully engaged and have had access to the information and discussions required for them to assume their place as “partners” in the negotiation phase. But social communication never loses its central place in shared governance. It remains a permanent tool, while the co-management decisions are made and communicated, and in the phase of learning-by-doing, to discuss and understand together what is being learned.

Insert 5: Types of social communication (adapted from a RAMAO training presentation)

- Information: Improvement of the knowledge of the receiver; the message is generally controlled by the sender
- Awareness raising: Improvement of the knowledge of the receiver; the message is generally controlled by the sender
- Training: Strengthening the competencies of the receiver; the message is generally controlled by the sender
- Interactive learning: Improvement of shared knowledge, awareness and skills through joint reflection, discussion and action; the “message” is formulated within the framework of the exchange of ideas among the actors involved.
Social communication is an open door for innovation and creativity. There are a thousand and one ways to communicate. A good beginning in each campaign is to find a good name for the MPA initiative—and thus give it a strong and visible identity. This identity should federate the actors and convey an idea that all the involved stakeholders, and especially the most legitimate ones, can fully embrace.

Then, depending on the specific context, the available budget and the goals that have been set, the social communication activities will be targeted and adapted to suit the groups addressed by the campaign. In communities with a predominantly oral culture, it is obviously not very useful to convey messages in writing (newspapers, boards, etc.)—although these means may be extremely useful in other social contexts. In the case of predominantly oral communities, exchanges through community radio, street theatre, awareness raising films, and direct exchanges are more likely to generate the desired commitment. Never forget, in all cases, to add exchanges that are not one-way, that is to say discussion sessions and debates on the subjects handled in the theatre plays, films or radio programmes.

On the whole, social communication should promote dialogue and interactive learning, and distinguish itself clearly from “education” and “prescriptive information” that aim to impose a desirable type of behaviour. Some of the desirable characteristics of social communication and of the messages it conveys can be summarised as follows:

- **Use of appropriate language:** the language (values, concepts, beliefs, etc.) used in social communication should be adapted to the language used by the group(s) concerned.
- **No discrimination against the weakest:** the means of communication should be adapted so that especially the weakest groups will have access to information. A street theatre everyone can gather round is less discriminatory than a printed pamphlet, which can only be used by literate people.
- **The information is true, complete and fair:** the information presented influences the decisions to be made. It is therefore very important to make sure that it is as complete as possible, and unbiased.
- **Respect local culture and norms:** local practices and any other sensitive subjects should be approached with respect for local norms, values and beliefs and without scorn for cultural peculiarities.
- **Awareness of social implications:** training and capacity building initiatives for the benefit of selected individuals can generate disparities and changes in the balance of power between members of a community. Any new opportunities that arise should be distributed in a fair way (e.g., it is not fair to organise exchange visits for men only).
- **Promotion of exchanges:** it is crucial to link each communication initiative to an activity in which information is actually exchanged (debate, dialogue, discussion), and to give the different groups and individuals, in particular the weakest ones, the opportunity to express themselves (or even to learn how to express themselves) in public. These exchanges are a source of knowledge, awareness and improved attitudes—they represent the backbone of the social communication process!
### 18: Does our social communication system strengthen the knowledge and capacities of the stakeholders concerning the MPA and shared governance?

<table>
<thead>
<tr>
<th>Yes □</th>
<th>No □</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Here is a list of the social communication topics and initiatives that enhance the visibility of our MPA and the knowledge of what is all about:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>The Start-up Team will thus:</td>
</tr>
<tr>
<td></td>
<td>• promote a strong identity for the MPA (propose a competition to find the best “name” for it, have it convey a unifying idea, express its objectives clearly, etc.)</td>
</tr>
<tr>
<td></td>
<td>• organise specific initiatives to inform stakeholders about the shared governance process and what it means for them</td>
</tr>
<tr>
<td></td>
<td>• hold separate sessions with the different stakeholders to review their knowledge, concerns and interests towards the MPA and their capacities, which should be highlighted during the negotiation…</td>
</tr>
<tr>
<td></td>
<td>… and here is a list of the topics and initiatives that spread information and build capacity for shared governance:</td>
</tr>
</tbody>
</table>

### 19: Does the social communication system for our MPA foster dialogue and interactive learning?

<table>
<thead>
<tr>
<th>Yes □</th>
<th>No □</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Here is a list of the different types of communication used and exchanges that took place:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>To promote dialogue, the social communication activities the Start-up Team shall thus:</td>
</tr>
<tr>
<td></td>
<td>• leave as much time for discussion as for information messages (e.g., a film)</td>
</tr>
<tr>
<td></td>
<td>• make more use of questions than answers</td>
</tr>
<tr>
<td></td>
<td>• incite exchanges in “safe” environments, for example in small focus groups composed of the same type of people (women, young people in ethnic minority communities, etc.)</td>
</tr>
<tr>
<td></td>
<td>• …</td>
</tr>
<tr>
<td></td>
<td>• and here are some of the indicators showing changes in the capacities of the stakeholders:</td>
</tr>
</tbody>
</table>

Participatory Action Research (PAR) is a natural extension of social communication. Information and knowledge are exchanged among the stakeholders and this generates new information and new knowledge. Participatory Action Research brings local players together in their quest to better understand their context and respond to the challenges in front of them. PAR actually differs from conventional research in that it is not external experts who analyse the situation and deliver results, but the actual stakeholders, sometimes with the help of facilitators or researchers, who combine their forces, ask their own questions and find their own answers. In this, PAR constitutes a major interactive learning process. It enables new cooperative networks to be created between local and outside partners and even among local stakeholders themselves.

Outside partners include government civil servants who manage the protected areas, staff from environmental NGOs, university researchers, at times migrants resource users, industrial businesses, representatives of municipalities, etc. - whereas the local partners and stakeholders are the resident communities most directly related to the site at stake.

In Participatory Action Research, the accent is as much on “action” as on “research”. This means that what is “done” with the results of the research is just as important as the information itself. In general, the intervals between the gathering of the information, its analysis and the restitution are short. PAR also serves to designate natural leaders among the participants because it produces local actors who are informed, engaged and ready to assume an active role in the subsequent negotiations. These leaders will generally be recognised during the process and will naturally engage in the negotiation phase.

The questions
A good interactive session with relevant questions can identify the concerns and interests of the stakeholders. The questions, for example, can start from an open discussion about who exactly are the stakeholders in the MPA. Depending on the context, several techniques can be used...
What is Participatory Action Research?

PAR is a type of research oriented towards the needs felt by the local communities and institutions. It places value on history, institutional memory and local knowledge. It also concentrates on action, in the sense that the results of the research are used to directly enhance the planning of concrete activities. A minimal delay is expected between the collection of data, its analysis and the feedback from the analysis. PAR is also particularly concerned with process—the quality of the interactions among scientists, informers and research subjects—who often find themselves playing more than one role at a time.

20: Have all stakeholders identified their rights, concerns and interests, and distilled their priorities regarding the MPA?

Yes ☐ No ☐

- Here is a description of the priorities of each stakeholder regarding the MPA and its natural resources:

- The Start-up Team will initiate discussions with each stakeholder on questions concerning the MPA and its natural resources, for example:
  - Do you care about the site of the MPA?
  - Why? What does it represent for you? Why is it important?
  - Who, at this time, takes management decisions for it?
  - Are you involved in these decisions?
  - Do you have any knowledge or other specific capacity regarding the MPA?
  - Do you believe that you should be involved in taking management decisions about the MPA?
  - If so, would you like to be consulted with? Would you like to be part of the decision-making body?
  - Would you like to receive a share of the benefits generated by the MPA? If so, in what form?
  - If you would like the responsibility of a management function and a share in some of the benefits of the MPA, do you think you have a “right” to those? If so, based on what?
  - What management responsibilities would you be interested in and willing to assume?
  - Who do you name those stakeholders, what “rights” do they have?
  - What do they have to offer? More specifically, should they be involved in providing advice? Taking decisions? Executing the decisions?
  - Which management responsibilities could be conferred to them, in your opinion?
  - What benefits should they be able to draw from their role?
  - When management decisions are to be made, who among the stakeholders you have identified should be part of a “committee” authorised to make decisions?
  - Who should have the right to advise this committee?
  - Who should be involved in interpreting the decisions and implementing them?

Inset 6: Who works for who?

Three models of relations between a support project, research and the project “beneficiaries”. The third model may yield the best results in the setting up of an MPA...

Stakeholders and research are “at the service” of the project

Stakeholders are “leaders” with respect to both research and the project

Stakeholders are “leaders” with respect to the research component of the project

Three models of relations between a support project, research and the project “beneficiaries”.

The third model may yield the best results in the setting up of an MPA...
It is quite rare that the “right answers” to the questions the stakeholders are interested in emerge easily after a few interviews, even if they are conducted with key informants. Certain concepts and topics do not have the same meaning for all the actors and it is only through discussion that these can be clarified. To do this, a series of tools and methods was developed to obtain information in participatory ways. An ideal place for the first formal contact between the Start-up Team and any specific group is right in the field. The proximity of the management units that are the subject of the initiative favour the natural exchanges that should take place, and the discussions and activities to be carried out. This proximity also sometimes helps to eliminate erroneous pre-conceptions about the site, its usage, and/or the state of its resources.

The following non-exhaustive list brings together a number of examples of Participatory Action Research tools. More detailed descriptions of these tools exist in the technical literature now available on the Internet.

Here is a list of the questions offered by the stakeholders of our MPA to direct research:

- and we make sure they also help to define the methodology.

To facilitate their leadership in improving knowledge of the MPA, we encourage stakeholders to:
- ask questions themselves and find practical applications for their own answers
- seek external, complementary support (facilitation, expert appraisals, research, etc.) in keeping with their own needs and purposes
- identify local residents who are “natural leaders” and are willing to engage in the subsequent negotiation phases

Participatory Action Research tools

Observation walks and diagrams: after field visits that combine direct observation of phenomena and spontaneous interviews with people met along the way, information is compiled in a so-called “transect” diagram—possibly with a social, environmental or a combined focus. This is useful for stakeholders to identify and analyse specific phenomena.

Participatory mapping of areas and resources: this is used to visualise with a community its territory, resources, problems and assets, and to initiate discussions on their main problems and opportunities. This provides a rapid overview of the situation. People who have had little formal education can participate in this exercise very actively.

Historical mapping: land uses and the accompanying social situation (demographics, wealth, etc.) are represented through maps that illustrate the same site at different points in times (e.g., 20 years ago and today). In this way, people can identify phenomena and the linkages among them, and develop their participatory analyses. It is also possible to pursue the work with a map of the expected future and envisage what to do to prevent future problems.

Trends analysis: the subject can be the social or ecological situation, and the impact of one on the other. The exercise provides a view of the expected changes in a resource or community over time, and makes it possible to share points of view, discuss them, and generate new information. Simple materials such as shells, pebbles or pieces of wood can be used to create diagrams describing the changes of any variable or phenomenon over time.

• **Historical time line:** this exercise is preferentially carried out with elders, who remember further back into history and may possess information and teachings passed on in customary ways. By starting as far back in time as possible, the participants are invited to note the key times of change, i.e. the times that, in their opinion, marked their lives and their way of doing things. People draw lessons from such times to understand the current situation and envisage solutions to the problems of the present.

• **Gender analysis:** this illustrates the differences between men and women regarding the way they take part in several phenomena. It highlights, for example, the perception they both have of the dynamics of demographic change and its effects. It allows discussion of the differentiated use of natural resources, the dependence of men and women on those resources and their capacity to access solutions. Lastly, it can show up the constraints (financial, legal, cultural) acting on the way men and women respond to joint initiatives and take part in them.

• **Seasonal calendar:** this exercise is used to visualise the principal problems and constraints related to the natural resources and their use vis-à-vis the seasons. Among other things, it shows the times of year when labour is scarce or abundant, and when the dangers of illness and malnutrition are greatest. It is a good idea to use this tool at the very beginning, before defining precisely the actions to be included in an annual calendar.

• **Photo-language:** photos taken together and viewed together can be used to initiate discussions, raise awareness or reflect together upon a given subject. The local actors learn to use a camera which they can then use to photograph their own environment. They subsequently project their photos in meetings and call for comments from the participants who can identify and analyse the positive and negative aspects of the situations, events or items that were photographed.

• **Brainstorming:** used in groups to come up with ideas about a given set of issues. This exercise allows people to freely suggest different ideas without necessarily committing to them or feeling obliged to justify or “defend” them. Brainstorming is done to quickly launch plenty of ideas and proposals, it facilitates the participation of everyone and is often used as a departure point for more structured exercises.

• **Structured brainstorming:** the goal here is to figure out how to think together. Individual answers to a question are written on cards and then arranged in groups according to the affinities that are apparent among the answers. This constructive exercise allows the participants to structure their own thoughts but also to be attentive to other people’s ideas. It also makes it possible to record some main ideas with the consent of everyone, as everything is put on paper and placed in full view. This exercise requires a skilful facilitator and the participants must be literate.

• **Guided projection into the future:** a group is set out on a dream journey to the desired future for the site concerned. A capable facilitator helps people to agree on a common vision, from which it becomes apparent that the “immediate” disagreements among the stakeholders are quite limited and unimportant. The exercise helps to maintain planning oriented towards consistent goals and the desired future—even when these goals will not be reached within the lifetimes of the participants.

• **Problem trees:** a visual exercise that is used to structure a collective analysis of existing problems, their origins, effects and causes. The visual element is introduced by the fact that causes and effects (roots and branches) are linked to a common trunk which represents the problem. This exercise is used to untangle the complexity of certain problems, visualise their causes and consequences, and identify the actors directly concerned.

• **Analysis of strengths, weaknesses, opportunities and obstacles (or dangers):** this exercise encourages the participants to analyse their situation from several perspectives, identifying the positive elements and the problematic aspects of one or more given phenomenon or topic. Placed at the end of a series of exercises, this analysis is used to identify concrete elements to feed the process of organising the stakeholders.

• **Role playing:** consists in simulating a situation by playing the role of some real actors. This exercise can help to portray behaviours and attitudes which, in real life, disturb or reinforce social relations and effective management of natural resources. Role playing is often a way of both relaxing the atmosphere and creating a new way of looking at present realities.

Note that these tools are not reserved for a particular phase of the process towards shared governance but can be used at any time along the way. The important thing is to use the right tool at the right time, for example brainstorming at the beginning of a reflection and not at the end, the building of a diagram after a transect walk and not before, etc.
<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image1.png" alt="Yes section" /></td>
<td><img src="image2.png" alt="No section" /></td>
</tr>
</tbody>
</table>

- **Yes**: Here is a list of the tools used:
- ![List of tools](image3.png)
- ...and we underline the ones that have produced the best results.
- ![Underlined tools](image4.png)

- **No**: Here is a list of the tools we think can be used:
- ![List of tools](image5.png)
- ![List of people](image6.png)
- And here are the names of the people that will do so.
- ![Names of people](image7.png)
Because of the widespread centralisation of decision-making powers by national governments, traditional societies and their ways of managing natural resources have often been destructured and greatly weakened. Consequently, rural communities, resource users and disadvantaged groups within these communities rarely have, today, the capacity to defend their interests in a strong and independent way vis-à-vis other, more privileged actors. Yet, if these groups and communities want to participate as “parties” in a process of shared governance, it is important that they have the capacity to assert their points of view in autonomous ways, and to defend them by backing them up with good arguments. In several cases, there is a clear need for stakeholders to “organise themselves”. It may be that certain groups, for example young women, still have no group organisation at all. The work with them must therefore start from the most basic concepts. Or it may be that some traditional organisations do exist, but are not recognised by the national government. In this case, the first goal should be to have them recognised before “replacing” them with new organisations that have not yet proven effective.

The process by which a stakeholder organises itself to be able to participate effectively in the shared governance process, comprises several elements, including:

• Acquiring specific capacities: for example, achieving legal recognition as an interest group, procuring transport for attending meetings, figuring out how to formulate an application to the authorities (if this was a problem previously), etc.
• Developing an internal agreement: this implies the clarification of the issues at stake with regard to the MPA and obtaining a consensus on the values, needs, interest and claims of the group in relation to the site and its resources
• Designating one or more representatives: each stakeholder involved in the negotiations must designate one or more individuals to represent them in the process

We will now discuss these items in more detail.
Organising the Partnership

Knowledge, skills and capacities, as needed

Material resources: the needed tools, equipment and financial means

Links: capacity to develop and maintain cooperative relations with individuals, groups and organisations while pursuing the group’s vision and mission

Structure: clearly-defined roles, functions, communication methods and transparency mechanisms and accountability within the group

Adaptive strategies: practices and policies that allow the group to adapt in response to changes in its functional environment

Culture: a way of being and doing that allows the group to reach its objectives, have confidence in itself, be effective and have an impact

Shared world view: a coherent reference framework that the group uses to interpret the environment it operates in, and in relation to which it defines its place

Inset 8: Characteristics allowing a stakeholder to participate effectively in the co-management process

Acquiring specific capacities

The capacities involved in shared governance encompass attitudes, knowledge, know-how, resources and social recognition that allow a player to take part in the process in an effective manner. Although outside expertise can provide support essential to the building of certain capacities, “internal motivation” is always at the heart of the matter and cannot be supplied by outside players. The Start-up Team can help by providing logistics resources, information, translations, specific training initiatives... but a stakeholder’s own motivation to engage in the process remains crucial.

Above all, capacity building must not be limited to “raising the awareness” of the players on ecological and environmental questions. The actors must be able to understand each others’ interests, the driving forces behind the current problems—including market forces, policies, and the concerned legal framework. Capacity building is done on a case by case basis, through targeted or generic initiatives, following a needs analysis. The stakeholders’ participatory analysis precedes this stage, and may well include an analysis of the strengths, weaknesses and needs of each of them.

In most cases, all stakeholders will need some support, even if minimal, to understand the process of shared governance. This includes these three main types of actors:

- government administration and staff at central and decentralised levels;
- civil society in general, and in particular environmental organisations and support projects; and,
- local communities.

Exchange visits among different field sites have proven very useful for shared governance as they can bring these three groups of actors to understand issues in a similar way. These visits often make it possible to understand the implications of shared governance in much greater depth than any other method.

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- local communities.

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23: Does our MPA have a strategy for improving the capacities of the stakeholders?

OUI

- Here is a list (with scores) for all the capacity building activities in which we have engaged the stakeholders:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training initiative</td>
<td>…………………</td>
</tr>
<tr>
<td>Information sharing</td>
<td>…………………</td>
</tr>
<tr>
<td>Specific training</td>
<td>…………………</td>
</tr>
<tr>
<td>Exchange visits</td>
<td>…………………</td>
</tr>
<tr>
<td>Other initiatives</td>
<td>…………………</td>
</tr>
</tbody>
</table>

- The Start-up Team plans activities, taking into consideration that:
  - capacity building must be adapted to suit each individual stakeholder, on a case by case basis
  - the analysis of the stakeholders’ needs should be participatory, just as much as the analysis of their strengths and weaknesses
  - “fly-by” experts should not preach and impose models... they should rather listen and adapt themselves to the specific needs and capacities of the different stakeholders
  - the demands for training initiatives should come from the stakeholders themselves, responses should be well targeted and “tailor-made”
  - exchange visits are a rather expensive but effective and fast way of allowing stakeholders to see what may be coming ahead and preparing for it

NON

- but we do not forget that it is each stakeholder’s internal motivation that makes the difference.

The Start-up Team plans activities, taking into consideration that:

- capacity building must be adapted to suit each individual stakeholder, on a case by case basis
- the analysis of the stakeholders’ needs should be participatory, just as much as the analysis of their strengths and weaknesses
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- the demands for training initiatives should come from the stakeholders themselves, responses should be well targeted and "tailor-made"
- exchange visits are a rather expensive but effective and fast way of allowing stakeholders to see what may be coming ahead and preparing for it
Developing an internal agreement

In order to take part in the negotiation forum, a stakeholder must develop its own “internal agreement”. This is important so that its representatives in the negotiation forum will have a clear idea of what to assert. Developing such a position is not very different from developing the broader co-management agreement among all the parties, since it may imply a negotiation within the stakeholder camp itself. Certain groups harbour strong internal dissention and polarisations of interests... and sometimes the views and the interests of a minority dominate the group.

This reminds us that experimentation with shared governance ends up dealing with the fabric of power relations at all levels of society—from the most local to the highest echelons of government administration. Often, the existing power relations at the level of the local communities exert a predominant influence on internal agreements. In certain societies, the leader’s view carries the force of the whole community, and calling such a position into question can be taken as a serious offence. This is an extremely sensitive issue. It should be addressed on a case by case basis, gradually, as situations arise.

The ideal internal agreement of a group of players is formulated by consensus, i.e., through a series of rich and mature discussions that aim at a solution that maximises everyone’s benefits and makes use of the knowledge and capacities of all the concerned parties. When the internal agreement is formulated by only one or two people by virtue of their relatively strong position, this agreement may assure the interests of these individuals only, and, in extreme cases, may run counter to the interests of the group. In the ideal internal agreement, what is sought after is thus participatory democracy rather than representative democracy, where only a very few people play an active role in taking decisions.

24: Has the Start-up Team helped the stakeholders to develop their own internal agreements?

- Yes
- No

- Here is a list of the internal agreements of each stakeholder (for example: acceptance of the MPA on condition that certain neighbouring belongs be declared a fishing reserve for the village):

- ...and we check that each of their representatives “is fully capable of articulating the topic and defending the interests of the group”

- The Team will do this via specific meetings in which:
  - it will promote a detailed and open discussion that enables the safe expression of dissent
  - it will call forth all the members of the group to contribute their knowledge and skills
  - it will help to identify the interests shared by the greatest number of people but especially to find a consensus: a position all the members of the group can adhere to, at least partially
Organising the Partnership

The problems surrounding the designation of representatives are similar to those surrounding the development of an internal agreement. The situation can be dominated by individuals in a position of force inside the group. The designation of representatives becomes in fact quite complex when there are opposing factions within the group. It is easier, on the other hand, when the group is homogeneous and essentially in agreement on the key points.

A viable approach is to set up a brainstorming session and propose to all the members of a group to identify the qualities required by someone who would be their ideal representative. Once the qualities have been listed (e.g., recognised as honest, wise, capable of speaking several languages, etc.) the group will choose from among its members by asking the audience to identify someone who possesses all the identified qualities. This enables a pragmatic, freer identification, removed from the immediate pressure of having to choose the “usual strong men” (or women) in any given context. In the case where more than one representative is designated, it would be good to make sure that the representatives have complementary qualities and characteristics, e.g., the elder of the village could be accompanied by a lively young literate, enterprising person.

While the Start-up Team can facilitate the process of designating representatives, it should never interfere in the deliberations and the actual designation. On the other hand, before admitting the representatives to the negotiation forum, the Start-up Team should verify whether the people have effectively been mandated by their group to represent it, and make sure that the necessary reporting (feedback) mechanisms have been put in place. The process of shared governance implies grassroots participation. Feedback and discussion are crucial to ensure that the process remains effectively participatory.

Identifying the representatives

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25: Has the Start-up Team facilitated the designation of the stakeholders’ representatives in a wise and participatory way?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>- Here is a description of the selection process followed by each of the stakeholders:</td>
<td></td>
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<tr>
<td>- The Team will then do this by facilitating one or more internal meetings for each stakeholder so that they can:</td>
<td></td>
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<tr>
<td>- define what a “good” representative is (list of criteria, qualities, etc.)</td>
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<tr>
<td>- identify the person or persons who best fit this description</td>
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<tr>
<td>- mandate such person(s) to speak and respond in the name of the group</td>
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<tr>
<td>- clarify and insist on a system to feedback to the group all information relative to the negotiation meetings</td>
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<tr>
<td>- and we make sure that the representatives effectively express and defend the ideas and positions of their groups.</td>
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</table>
Once the different stakeholders have organised themselves, defined their points of view, and designated their representatives, the process of shared governance is well advanced. It is now up to the Start-up Team to prepare the first meeting among the stakeholders—sometimes also called “first meeting of the negotiation forum”. The preparation covers the logistics, but also the development of a set of procedures and rules of functioning to propose to the forum in a preliminary way, as well as a series of considerations on the equity of the process itself.

Logistics, too often neglected or insufficiently prepared, has a great part in conditioning the success of the forum. Especially at a first meeting, the participants will be very concerned about proper invitations, means of transport, quality of the food and refreshments served, the quality of attention during the discussions, etc., in other words, they will focus on many details that will provide them with as many reasons to be satisfied, or unsatisfied, and build up their overall attitude towards the shared governance process.

The Start-up Team usually proposes rules and procedures for the forum, which will be discussed, and possibly modified, by the forum itself. A good Start-up Team will propose procedures and rules in empathy with the local culture, and will know how to make the parties feel at ease. The negotiations will thus be conducted in a way that reassures everyone.

At the level of the negotiation process itself, a set of rules of functioning must be developed. Cultural and political awareness and sensitivity are very important here, and the rules will vary from place to place, depending on the parties participating in the process.
The Team reviews and makes decisions on the procedures to be established prior to holding the first negotiation forum:

- **Participants:** which legitimate stakeholders are admitted?
- **Invitation:** who convenes the meetings? How are the invitations sent out? How long before the meeting? Is there a need for an official written communication? Is oral and informal communication sufficient?
- **Place, date and time of the meeting:** what is the ideal place for the forum meetings? How many times are the players expected to meet, in total? What is the best time for the meetings with regard to the seasons, the days of the week, and the time of the day?
- **The negotiating table (or rug):** how will the players be seated? Will there be tables? Will there be rugs or mats? What is the maximum number of people admitted?
- **Languages:** which languages will be spoken during the deliberations? Are interpreters needed? Would having no interpreters compromise the quality of the meeting?
- **Tone of exchanges:** must it always remain respectful and “soft”, or is “freer” speech also acceptable? Possibly even desirable?
- **Length of interventions:** is it permitted to interrupt a speaker? What is the maximum amount of time allowed to a single speaker to make her/his points?
- **Duration:** what is the maximum duration of a meeting?
- **Limitations:** is it permitted to present facts that can not be verified and to report other people’s experiences? Is it admissible to present the opinion of a person who is absent from the meeting?
- **Objectives of the shared governance process:** are they well known to all the representatives? Will they be recalled, re-discussed and finalised during the first meeting?
- **Facilitation:** will there be a facilitator (local, external, professional)? Is it clear that the facilitator must never express personal opinions on the subjects discussed?
- **Chair:** who will chair the first meeting? Is a “Chair” necessary? Should the Chair have to maintain a neutral position in the discussions?

Has the Start-up Team proposed some procedures for the smooth running of the meetings among the stakeholders?

**Yes**

- Here is a list of the planned procedures:
  ...

**No**

- The Team reviews and makes decisions on the key points of the logistics behind the negotiation forum.
- **Person in charge:** who is responsible for the organisation and administration of the first meeting?
- **Facilities:** is there a suitable room for the meetings? Are there enough chairs, tables or rugs, notebooks, projectors, microphones, boards, and other necessary work materials? Are there secondary rooms for workgroups or meetings of smaller groups?
- **Budget:** what is the global budget available for the negotiation phase? Who is providing these funds? Will there be official visibility of the sponsors? How?
- **Travel expenses:** are they reimbursable? If so, on what basis? How can the reimbursement be made? Could it be made in advance?
- **Catering:** will drinks be served? Meals? Otherwise, is there easy access to food and drinks near to the meeting place?
- **Specific needs:** are there any specific needs in terms of meals (vegetarians) or religion (prayer times), etc.? Who will clearly inform people that smoking is not allowed on the forum’s premises? Who will ask the participants to turn off the sound of their cell phones?
- **Toilets:** are there facilities close to the meeting-room? Are they adequate?
- **Light:** is the room too dark or too light? Will the meeting go on past sunset? Will additional lighting be required?

...and we check that they are followed and improved as and when the meetings are held.
The Start-up Team’s jobs are not all and only practical. As a matter of fact, the team is also the first guarantor of equity and impartiality throughout the shared governance process. To this end, it is never too early to conduct a specific reflection on equity and how to achieve it. The results of such a reflection can be rendered explicit and incorporated into the negotiation procedures and rules. To take into consideration the equity of the process, the following question includes some interesting ideas:

28: Has the Start-up Team proposed some rules for the negotiation process?

<table>
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<tr>
<th>Yes ☐</th>
<th>No ☐</th>
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<tr>
<td>• Here is a list of these rules:</td>
<td>• The Team reviews and agrees upon some preliminary rules to be proposed for a peaceful and effective negotiation process. For instance, it clarifies the following:</td>
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Organising the Partnership

Checklist for the “organising” phase

- The information and tools required for the MPA have been assembled and/or produced, and are made available to all concerned; they comprise information about the site’s ecological history and the history of the interaction between local communities and natural resources.
- The Start-up Team is in place and has worked in a congenial atmosphere.
- A social communication campaign has informed the stakeholders and invited them to join in the process of shared governance of the MPA: people are now discussing the issues at stake for conservation in an informed and (mostly) relaxed way.
- Participatory Action Research activities have engaged the stakeholders in the analysis of the current situation.
- The stakeholders have organised themselves: they are stronger and better equipped, have developed an internal consensus on their priorities vis-à-vis the MPA and have identified one or more representatives to carry their voices to the negotiation forum.
- The financial and logistics questions regarding the negotiation forum have been resolved, including date, place and agenda of the first meeting, as well as facilitation, invitations and working languages.
- The Start-up Team has developed a preliminary version of the procedures and rules of functioning, to propose to the parties during the first meeting of the negotiation forum, and has started addressing equity considerations.
Negotiating the co-management agreement and the shared governance structure opens the phase that is, perhaps, the most exciting in the process. Few MPA sites in West Africa have succeeded in reaching this point, which tells something about the innovative character of this work... Throughout the region, MPA managers do meet with stakeholders, including grassroots actors. In the majority of cases, however, this remains a far cry from actually negotiating shared governance agreements.

A major challenge for MPAs in West Africa remains the development of negotiation forums where all the concerned parties can discuss and develop agreements in an effective and equitable manner.

We reach here a “make it or break it” moment... If all goes well, this second phase leads to a co-management agreement—possibly including a co-management plan for the MPA—and to a shared governance structure that will implement and revise the agreement through time.
They’re not inviting us to listen to us, but to convince us...!

If I take the trouble to go to this meeting, I’ll really speak my mind!

And what will happen once you have “spoken your mind”? It’s good to get things off your chest but your attitude at meetings is important. Learn to listen to other people, too. If you come to a consensus together, it would be best for everyone involved...
In situations where there are important power differentials among the parties, the setting up of a fair and equitable negotiation forum is difficult, since the strong are always a length ahead of the weak (access to information, means to be well represented, etc.). However, the existence of a pluralistic negotiation platform, the adoption of transparent rules and procedures, and the facilitation of the process by an independent facilitator are all steps towards a more equitable situation.

Inset 9: Qualities and tasks of a good facilitator
(adapted from Sharing Power, page 194)

Qualities:
- Recognised as independent by all the parties
- Respected and accepted by all the parties
- Capable of relating effectively with all the parties
- Sensitive, able to listen and understand
- Calm, insightful and capable of posing the key questions
- Capable of refraining from expressing personal opinions
- Capable of eliciting the best out of the participants and helping them to see the future they wish for themselves and their community

Tasks:
- Help the Start-up Team and the forum to develop and adopt the negotiation rules and procedures
- Be responsible for practical matters at the meetings (place, agenda, translation, etc.)
- Ensure that the representatives of the parties truly represent them (and are not merely self-appointed)
- Facilitate the negotiations
- Ensure that the rules and procedures are properly applied
- Ensure that all the parties have an opportunity to express themselves
- Help the forum to be conscious of itself and its goals, mission and opportunities
- Promote the best possible communication within the forum (paraphrase certain points, ask for clarification when necessary, etc.)
- Help the forum to broaden its options, in particular by encouraging participants:
  - to talk to each other directly, if this was impossible before;
  - to take time to listen to and respect each other’s positions;
  - to raise and discuss in-depth all issues that remain unclear;
  - to clarify and improve how they perceive each other’s situations and opinions;
  - to bring in new information useful for the discussion;
  - to discover new points of agreement that promise to be sustainable, and to deal with them first, before passing on to contentious subjects.

30: Has the Start-up Team taken measures to avoid the trap of an overambitious first meeting?

Yes ☐
- Here is the agenda for this meeting:

No ☐
- The agenda items for the first meeting should:
  - put the parties at ease, especially those for whom this is a first contact of the kind
  - concentrate mainly on the procedures and rules of the meetings themselves
  - provide information regarding logistics, the covering of expenditures, etc.
  - do not include themes that are too “sensitive”, which could cause arguments and raise points of conflict
  - allow all the participants to experience some work accomplished together peacefully and effectively

Inset 9: Qualities and tasks of a good facilitator
(adapted from Sharing Power, page 194)
Once the rules and procedures have been agreed, at least one meeting of the negotiation forum is devoted to establishing the ground of shared interests and concerns shared by all parties. The facilitator reminds everyone about the site and the NRMUs identified in a preliminary way by the Start-up Team, usually with the help of a map of the area. She/he then invites the members of the forum to describe and discuss their long-term wishes and hopes for the NRMUs.

To do this, the facilitator can use several methods, for example visualisation exercises and structured brainstorming. The objective is to help people to vision a fairly distant future—let us say twenty years ahead, or more—and the best possible conditions in which they would like to hand down the MPA site and its resources to their children’s children… This should lead to the formulation of a common vision of the desired future for the site in question, its resources, its ecological functions, and the living conditions of the local communities.

It is important to develop a common vision at the beginning of the negotiation process as—beyond offering a picture of the objectives of the whole process—the vision will provide an invaluable “common ground” to help to solve problems while negotiating the co-management agreements.

During the discussion of the common vision of the desired future, divergent opinions can come to the surface. The most likely confrontations are those between “local” perspectives and values—often conservative and risk-averting, and the “development” perspectives and values held by government authorities and private sector interests. A skilful facilitator will take note of the different points of view, summarise them, and help the forum to develop a consensus vision, as concrete as possible, of the ecological and socio-economic situation of the site and of its management units in twenty years’ time. When the visions of different parties appear truly incompatible, specific workgroups and harmonisation efforts will be necessary.
NEGOTIATING

This is part of the process, and enables the parties to speak directly to each other, learn to get to know each other, listen to each other, start to understand each other’s ideas and values, change the often stereotyped image they have of each other, and find a solution that is acceptable to all.

The common vision of the desired future must be as concrete and “visionary” as possible, and the power of this exercise should not be underestimated. While the shared governance process deals with a shared patrimony, the common vision defines this patrimony and what it means to respect it and preserve it for the good of all. Without a common vision, the process works in a vacuum, motivated only by the interests of the various parties, without a unifying factor that leads the parties to work together in the desired, shared direction.

A professional facilitator will know how to steer the process to a safe end and some manuals are available on how to do this. In general, it is recommended that each stakeholder develops its own vision and comes back to the plenary meeting to compare its vision with the ones of the others, identify and pull together all the points of agreement, detect any possible incompatibility. The facilitator will then accompany the work of harmonisation. This work needs at least one dedicated session of the forum before achieving a satisfactory result. The agreed shared vision of the desired future for the area and resources at stake should be put into writing (it will be a sort of “federating text”) and remain accessible to all the parties for the remainder of the negotiations (it is very useful to write the vision in large letters and post it in the meeting room of the forum).


31: Has the Start-up Team facilitated a consensus on a vision of the desired future shared by all parties?

- Yes
- No

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- ...and here is the description of that “common vision”:
- ...and we check that it is disseminated and made accessible to all the stakeholders

- The steps towards achieving a common vision shared by all parties can comprise the following:
- put everyone on the same footing by describing the site and its preliminarily identified NRMU
- help each party to separately visualise their desired future
- have all the parties share and compare their different visions, and discuss any issue or contradiction that may arise (example: how to reconcile conservation and development?)
- work in small groups for difficult subjects that require significant harmonisation efforts
- hold more than one session, if necessary, to let time help ideas to mature
- find a consensual vision and write it down in a document that will serve as a sort of “federating text”
- communicate this text broadly and make it visible and accessible throughout the negotiations that will follow
The common vision of the desired future represents a sort of constitutional treaty among the parties and openly states their major shared objectives. It is only on the basis of these objectives that the negotiation can generate a strategy, a plan of action, and a governance structure.

The “ritualisation” of the common vision is an official act of celebration, bringing together all the actors that participate in the negotiation forum. It can take on expressions that are traditional (ritual dances, sacrifices), religious (benedictions, prayers), “modern” (official speeches, signing of charters and contracts) or mixed (the most interesting!). The common vision is the founding text of the process underway, and must be celebrated in an appropriate manner. Its ritualisation represents a first official/political act, and requires broad communication and broadcasting efforts. The vision is the first accord achieved among the parties, a sort of first contract that provides the basis upon which the full co-management agreement will be negotiated. Ritualising this vision means asserting it, regarding it as sacred and, in some way, seeking for it a certain “blessing” for success.

Ideally, the ritualisation ceremony takes place in a context and form that fit local values and traditions but also incorporate modern values and practices. This can respect and even strengthen the traditional power structures while allowing all parties to come closer to one another. In an atmosphere of mutual trust, the common vision of the desired future can be ritualised straight away after being agreed upon.

In a conflict-ridden environment, however, or where broken promises are the rule rather than the exception, it is wiser to postpone ritualisation of the common vision until the negotiation has produced concrete co-management activities and results. The ritualisation of a common vision in an atmosphere of uncertainty or distrust could be prejudicial to the process. There are examples of parties who were betrayed after having sincerely ritualised a common vision (example of the Conkouati-Douli National Park in the Congo).
In unclear situations, in fact, it is best to work together without “tam-tams”, until a management agreement is achieved and implemented. As the signs that the agreement is taking root become tangible, the time will be ripe to ritualise the common vision!


32: Has the Start-up Team organised the ritualisation of the common vision of the desired future shared by all the parties?

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- Here is a description of the way this ritualisation was conducted and any written, audio or video archives that may exist:

- …and we check that it was indeed the vision that was ritualised, and not the co-management agreement, as agreements are destined to evolve...

- The act of ritualisation should:
  - result naturally from the satisfaction of the stakeholders on having achieved a common vision
  - take place just after the common vision has been agreed upon, or postponed if conflicts and dangers still exist
  - unite all the stakeholders (invite all their members, not just their representatives)
  - take on a form adapted to the different cultures and codes of conduct of the stakeholders (tradition, religion, legality, economy, etc.)
  - give the different stakeholders an occasion to get together and celebrate
  - strengthen positive relations between the stakeholders and the natural resources (including for traditional local institutions, religious institutions, elected representatives, etc.)
  - celebrate, if appropriate, a founding text for the MPA
15. Defining the strategy to approach the desired future

Once the common vision has been identified and, where relevant, ritualised, the parties must figure out a way to achieve it. This is the heart of the negotiation! During the initial analysis and preparation of the partnership (Phase I of the process), the Start-up Team and the parties roughly analysed the key problem issues. These problems are now taken up again to identify any “blockages” they may occur on the path towards the vision of the desired future.

For each major obstacle or felt problem, the members of the forum identify the domains of change required and the principal objectives and approaches to pursue them. A simple definition of “strategy” is a “coherent set of objectives and approaches capable of providing a solution to the problems and obstacles towards achieving our desired future”. When defining a strategy, the parties’ forum should avoid going into too much detail, but should clearly state the following points:

- the key domains to be dealt with (also called “strategy components” or “strategic axes”)
- the major objectives and results aimed at in each such domain
- the approaches/work options through which these objectives and results will be pursued

The facilitator of the negotiation should do all she/he can to avoid impasses in the negotiation. Impasses encourage the strong actors to seek solutions outside the forum, e.g., through political lobbying and influence—which would undermine the overall process. Developing a common strategy should, on the contrary, build confidence among the parties. It is possible that the “bargaining” which starts here—the giving and taking among different interests—may weaken some conservation objectives through various forms of compromise. This is not ideal, but an agreement that has been extensively negotiated and is supported by all the parties is always preferable to an “ecologically ideal” situation that has not been agreed upon and nobody is likely to respect.

The facilitator should make sure all problems and blockages that are
NEGOTIATING the co-management agreement and the Shared governance Structure

identified are also analysed and dealt with. The local communities usually mention socio-economic questions and concerns about the productivity of natural resources. If the question of sustainable production is not raised by the parties, the facilitator can do it herself/himself. For any strategic component there will be several valid objectives and options. The facilitator should help the parties to communicate effectively with one another and perhaps combine different options to reach a consensus on what needs to be done.

After examining each strategic component separately and identifying its major objectives, it is a good thing to examine the strategy as a whole to identify synergies or contradictions among the components. This makes it possible to close strategic planning in a judicious way.

Inset 10: A concrete example: from the vision of the desired future to the components of the strategy and their main objectives

Heart of the vision
“...we wish to continue to live in a healthy, safe and productive environment which enables us to have what we call a “good life”–which includes continuing to eat good fish and shellfish from around our villages—and developing our society at our own pace...”

Identified problems/obstacles
• Over-fishing due to free access to the resources
• Cutting of large quantities of wood in mangrove forests to dry fish
• Applications for hydrocarbon exploitation permits submitted to the authorities for the marine zone just facing our communities

Strategy components
1. Productivity of the coastal and marine ecosystem
2. Integrity of the coastal and marine ecosystem

Objectives (and work options)
1a. Ensure sustainable fishery harvests by setting up a MPA in the vicinity of the communities (clarify optimal dimensions, boundaries, zoning, access rules, fishing rules, governance structure, monitoring, sanctions, etc.)
1b. Identify the zones outside the MPA site that are crucial for the conservation of local fish biodiversity and engage the concerned authorities and communities to cooperate for their conservation as well
2a. Restore local mangrove forests and develop a plan for their sustainable exploitation
2b. Defend the ecological integrity of the MPA site and surrounding area (this includes preventing hydrocarbon pollution)
2c. Improve knowledge on the potential impacts of climate change (this includes preventive and impact limitation measures)

Q.33: Have the parties developed a strategy to achieve the common vision?

Yes ☐

- We list here the components of the strategy and the main agreed objectives for each component:

No ☐

- The forum should give priority to:
  - facilitating effective communication and mutual trust among its members
  - defining the strategy components in response to the obstacles and problems identified
  - deciding on the major objectives and desired concrete results for each component of the strategy
  - identifying a variety of options by which the objectives can be pursued
  - analysing all main assumptions and points of obstruction
  - determining the synergies and contradictions that will speed up or slow down the implementation of the strategy

...
16. Negotiating the co-management agreement

At this stage in the process, the parties’ forum knows what it is committing to in the long term (the common vision) and it has identified the components of a strategy and the major objectives to be aimed for in each component. The time is thus right to make things concrete and develop a detailed and practical co-management agreement for the MPA.

If there are strong conflicts of interests among the parties, this is when they will come to the surface. The facilitator must here demonstrate all his/her skills as a moderator to give all parties the same opportunity of expressing themselves and being heard, but especially to help the participants identify the points of conciliation between different ideas (often not at all apparent), which are all the more important as new ideas and solutions often emerge off the beaten track.

Regarding the major objectives identified, it is now necessary to identify the specifics of how to approach them, that is to say through which activities, who will be responsible, how will the costs and benefits that affect the parties be shared in a fair way, etc.

To achieve an objective—let us say, preventing coastal deterioration—several working options can be identified, for example:

- restricting or stopping the cutting of mangroves
- restricting or stopping the mining of sand from the beaches
- restricting or stopping the implantation of tourism infrastructure
- building a huge cement barrier to break the waves

The different options will be supported by different parties, and the facilitator can help the group to achieve a better understanding of the options by asking them to evaluate, for each option, the feasibility, the expected effectiveness, the time before the option yields results, the sustainability of the results, the equity that can be expected in terms of the sharing of the expected costs and benefits, and so on.

A simple way of doing this is to list the options and the criteria in a grid, and ask everyone to distribute a given number of dots in the cells of...
Inset 11: Methods and tools for agreeing on a course of action
(adapted from Sharing Power, page 212)

• Break down large issues into smaller or sectoral ones, which can more easily be tackled. If a problem is too vast, it is useful to split it into its components. Different working groups can separately tackle such components and come back to the plenary with their proposals.

• Stimulate the detailed discussion of the assumptions underlying different options for action. Are people certain that the options for action under discussion will produce the expected results? It is good to state which results are expected to be achieved through which activities, and make explicit why and on the basis of what evidence we hope to achieve the expected results (projections through modelling? experience of other sites? etc.).

• Call for outside expertise. External expertise can be necessary if the negotiation forum does not have sufficient information for deciding on a key question. External expertise may also be useful in cases of strong disagreement among the parties. The external experts can help to elucidate difficult questions in an independent manner.

• Compare alternatives options for action according to a series of criteria. All the options likely to produce the desired results are compared according to a series of relevant criteria (for example: feasibility, sustainability, efficiency, equitable sharing of expected costs and benefits, etc.). This can be done with the help of a graphic matrix, where ratings can also be assigned. This visual approach is used to elicit information and help the forum to come to an agreement on the most appropriate option(s).

• Provide mediation for actual conflicts. The best solutions are those upon which all parties can agree. If the situation is stuck, the mediator can help manage the conflicts with different techniques, for instance:
  • giving all parties the time and space to express themselves without interruption, and be heard by all the others;
  • asking everyone to go back to the common vision to make sure the proposed courses of action are well aligned with it, and work towards reaching its goals;
  • using special conflict-management methods (see Inset 12).

The complexity of needs, customs, dependencies, and multiple parties claiming their use of the resources means that the management plans must always be tailored to the specific contexts.

Fortunately, several instruments are available to managers to regulate the access and use of natural resources in a flexible way.

These include:
• zoning (each zone being subject to different rules);
• concessions, operating permits and quotas (instruments that can be adjusted to the situation of the natural resources at a particular moment);
• privileges for certain users (e.g., according to customary rules) with identity cards or specific certificates to distinguish them from other users.

These instruments can be used to set up flexible systems of access and use at any point in a spectrum that spans from open access to strict and absolute protection.

Another important element of flexibility is introduced by the complementary accords. For example, if a stakeholder is asked to forego access to an important resource, a complementary accord can be set up to compensate for this loss and make sure that no one is deprived in terms of livelihood. Complementary accords can include decrees and by-laws, modified tax systems, new policies, specific projects in support of certain parties, etc.

If, for example, a community agrees to forego its customary right to cut firewood in the mangroves, the need to replace this source of energy with another—let us say butane gas—and the commitment of a government body to facilitate this replacement, could become building blocks towards a local consensus. The government could supply household butane through a subvention system (a decision that requires both practical and legislative actions) and link this to the stopping of the exploitation of the mangrove. The whole “package” would constitute the desired co-management agreement.

In situations where indigenous peoples or traditional communities are associated with the MPA site, as for the Imraguen of the Banc d’Arguin in Mauritania, traditional management rules for certain natural resources often already exist (or existed in the past), and produce (or used to produce) valid results for generations. In such cases, it is important to pay particular attention to traditional skills, knowledge and know-how. The implementation of a negotiated management plan represents a real opportunity to correct any incomprehension and errors that may have occurred in the past and give value to the traditional systems that have stood the test of time. This does not imply that these systems cannot or should not be integrated with more modern ways, but that it is always best to start by recognising and giving full attention and value to what exists.
Decision-making by consensus and conflict management

So that all the actors “remain on board” and support the decisions taken within the forum, the parties should not be alienated by decisions imposed by the strongest among them, or even by a simple majority of actors. Decision-making by consensus avoids this by engaging everyone to seek one or more solutions that are “acceptable” to all. Decision-making by consensus does not imply the total satisfaction of each and every stakeholder, but implies that no stakeholder feels the need to reject a decision that represents a reasonable compromise among the parties and whose costs are bearable and equitably shared.

Decision-making by consensus is helped by the use of flexible management instruments such as the ones mentioned in the previous section. These instruments are used to set up systems that take everyone’s interests into account and share the costs of conservation equitably. Throughout the negotiations, the facilitator strives to prevent open conflicts. The line between disagreement and open conflict is a fine one, especially when there are far-reaching cultural or socio-economic implications involved. It is important that the facilitator be sensitive enough to feel the “emotional charge” related to the different points that are being negotiated, and effectively prevent crossing the line between disagreement and open conflict. An open conflict can lead one or more parties to reject the process and leave the forum altogether. This would call into question the legitimacy and value of the co-management setting, in particular if the stakeholder who intends to disengage is of primary legitimacy.

The facilitator must also make sure that she/he does not personally become a source of conflict. He/she must maintain a position of neutrality in controversial situations.

What does consensus mean?

The ideal deliberation method in a co-management negotiation is consensus. Deliberations by consensus are based on the development of an informed, conscious, deliberate and active agreement among the different parties. Contrary to popular belief, a consensus does not mean that everyone is fully and totally satisfied by the collective decision, but that—all things considered—no-one wants to obstruct the wishes of the others, even if points of disagreement remain.

The ultimate goal of the negotiation phase is to reach a broad agreement (if possible approved by consensus), stipulating what should be implemented in the near future at the level of each strategic component of the agreed strategy. The co-management agreement can take several forms. There is no standard agreement, and each agreement will take the form most suited to the particular situation of the site and the negotiation process.

In general, however, the agreement includes decisions regarding all the components of the agreed strategy. Thus, it is common that one component of the agreement deals with managing natural resources and one or more other components regard other problems at stake, such socio-economic or other issues identified as crucial in the agreed strategy.

Examples of the first component include:
- MPA implementation timelines, specifying the commitments and responsibilities of different parties;
- ad hoc covenants, in traditional and not legal form, stipulating the community use of natural resources;
- by-laws signed by local administrative bodies regulating access to and uses of natural resources;
- a co-management plan for the MPA.

Examples of the second component include:
- secured legal protection to customary rights;
- memoranda or letters of agreement detailing how the government and other parties will assist a community with a specific project;
- legal contracts regulating the costs and benefits of exploiting natural resources.

A good co-management agreement between the parties also stipulates precisely who is responsible for doing what, by when, and with what resources. In Guinea-Bissau, the Urok community conservation area is validated through a decree stipulating the shared rights and responsibilities involved in managing the site. This decree—which was preceded by a relatively long and detailed local process—acts as a co-management agreement, and is one of the most innovative and visible agreements signed and published in the region.

In general, a co-management plan for an MPA contains the following elements:
- the scope and coordinates of the marine area and/or territory and natural resources at stake, possibly supported by maps with geo-references;
- the key objectives of their management (including the IUCN management category if this is a protected area);
- the parties mutually recognised as legitimate;
- the responsibilities and the rights assumed by each party;
- the planned guarantees to secure the investments of each party;
- the planned activities, the period of execution and their expected results;
- the implementation mechanisms and the resources available for managing the area;
- the duration of the agreement and the procedure for reviewing, reporting, and evaluating it (sometimes also called “follow-up protocol”);
- the mechanisms for the resolution of the conflicts that may arise.

... and brings answers to the following questions:
- have different management techniques (such as zoning, detailed rules of use, etc.) and different forms of participation in management been explored to respond to the different interests of the parties?
- has a good balance been found between the management rights and responsibilities pertaining to each stakeholder, as well as between the costs and benefits accruing to them?
- is adaptive management being pursued (through learning by doing, and action in response to learning)?
To recap again, the “co-management agreement” usually includes a natural resource management component (for instance a co-management plan for the MPA) and one or more complementary components (for instance a project to improve local socio-economic conditions or other issues identified as important in the overall strategy) which are approved together and constitute a “package”. This is a crucial aspect of the agreement: benefits and privileges depend on corresponding responsibilities, and all parties should be aware of that.

At the end of the negotiation process, an official signing session (or other form of celebration in the case of an unsigned agreement) marks the completion and closing of this phase. The agreement is celebrated and broadcasted in all the appropriate languages. It should not, however, be the subject of a ritualisation. Contrary to the common vision of the desired future, all agreements are specific instruments destined to evolve with time.

Inset 12: Ideas for managing conflicts
(adapted from Sharing Power, page 221)

- Start with small issues that are easily settled: starting from smaller issues and reaching some satisfactory agreements will help the participants develop a sense of mutual trust and confidence in the process, encouraging them to tackle more thorny issues.
- Promote personal relationships between the parties in conflict: travelling together, eating together, living under the same roof for representatives of groups who have no affinities and at time even “oppose” one another can help them to get to know one another and listen, understand and develop effective dialogue.
- Involve all parties when the representatives directly in conflict are about to break up their dialogues: among the rules to be set up ahead of time it is useful to include that withdrawal from discussion is a possibility, but all members of the forum agree they will do so only after clearly explaining their problem(s) and seeing if those problem(s) can be addressed with the help of the entire set of parties.
- Offer transparency and potential extensive information/publicity about the controversy: some conflicts are rooted in chronic situations of privilege and corruption; visibility and the presence of independent observers and witnesses may break such deadlocks.
- Do not gloss over major past injustices and losses: past injustices and major losses should be acknowledged, and a process of “truth and reconciliation” promoted, which can encourage the parties to close off with the past and engage to build a better future.
- Provide occasions to vent frustrations: people have the need to “vent” their frustrations, accumulated negative energy and aggressiveness, they need to be heard and recognised before moving on; this can be done in groups away from the forum, in the presence of the facilitator.
- Promote the taking of unilateral action: at times a deep-seated distrust about the sincerity or good intentions of another party acts as a stumbling block for dialogue and meaningful negotiation. In such cases it may be helpful for one or more parties to break the deadlock by announcing and carrying out some friendly unilateral action favouring the others.
- Show examples of similar conflicts that have been successfully solved, and have the parties visit such examples: at times a possible solution to conflicts exists but the parties do not manage to see it because they are stuck in their long-term grievances and positions; translating their case into a different setting may produce a refreshing change of perspective and inspire the parties to act.
### 34: Have the parties negotiated how specifically they wish to implement each component of their strategy?

**Yes □**

- For each component of the strategy there is a list of activities, responsibilities, costs and expected benefits.
- To achieve consensus in the negotiation, it is necessary to:
  - Break down complex issues and assign them to small workgroups that will bring proposals to the plenary sessions
  - Envisage the ecological and socio-economic results of alternative options and compare them carefully
  - Recognise customary rules, traditional knowledge and skills and value them while leaving them free to evolve
  - Manage conflicts through efficient mediation
  - Call upon additional outside expertise, if appropriate
  - Seek compromises solutions facilitated by flexible management instruments (zoning, quotas, user cards, etc.) and compensation tools (complementary agreements, specific projects, tax breaks, etc.)
  - For each broadly agreed option for action, have the facilitator ask the difficult questions:
    - What exactly do we wish to achieve?
    - For that to happen, what needs to be done?
    - Who will be responsible for doing it?
    - When should it be done?
    - Where should it be done?
    - How much shall it cost and who will pay for it?
    - Which human resources will be used?
    - Which indicators will be used to evaluate progress, results and impact?

**No □**

- and we are planning additional studies for the following questions that are still pending:

### 35: Have the parties produced a co-management agreement?

**Yes □**

- Here is a description of the agreement, its components and the legal documents, the foreseen activities, implementation schedule, etc.:

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  - and we ensure there is a final official celebration session (signing or equivalent) and that the terms of the agreement have been broadly publicised.

**No □**

- The facilitator will:
  - engage again the parties to develop an agreement that comprises:
    - a component dealing with natural resource management such as an agreement to implement an MPA, an ad hoc resource use agreement, an MPA co-management plan, etc.
    - one or more components dealing with the other elements of the agreed strategy (legal protection of rights, socio-economic projects, compensa-
      tion for loss of use, etc.)
  - make sure that the different components of the agreement are seen as "a package"—benefits and privileges depend on the corresponding responsibilities
  - make sure the agreement is tailor-made and developed in situ
  - for each component of the agreement, help the parties to specify who is expected to do what, when, where, and with which means.
The shared governance structure results at least in part from the co-management agreement and the ambitiousness of its objectives. At times, it may even consist of an institution that takes shape while the agreement is being implemented, following needs as they arise. And some institutions are actually “designed” to implement and follow-up the agreements.

The forms and functions of the shared governance structure are as diverse and numerous as the co-management agreements. In general, they include one or more bodies that assume standard functions and display operating rules (statutes) developed with care to guarantee the “good governance” of the MPA.

The shared governance bodies

Governance bodies can be distinguished according to their functions. The following types can be found:

- **Decision-making bodies.** These are fully responsible for managing the MPA or a particular territory, zone or natural resource.
- **Consultative bodies.** These have the responsibility of providing advice and sometimes drawing up technical proposals for the decision-makers.
- **Mixed bodies.** These have mixed responsibility (for example decision-making responsibility for part of the MPA and consultative functions for another part).
- **Executive bodies.** These are responsible for the interpretation and application of the decisions inherent to a management plan (for example, a local committee can assume the function of an executive body and report to a higher-level decision-making body).

In MPAs governed by the State, the State authorities are solely responsible, even if they sometimes seek to obtain the agreement or “participation” of other parties. The shared governance bodies, on the other hand, always necessarily include representatives of different parties. The Community Marine Protected Areas (CMPAs) are examples of MPAs under
shared governance in which the communities have an important place in the decision-making bodies (at least according to stated intentions?)

There is, however, another type of marine area to be taken into consideration: areas conserved by the will and direct action of concerned indigenous peoples and local communities, commonly referred to as “Indigenous and Community Conserved Areas” or ICCAs for short. In the case of ICCAs, the communities assume the conservation initiative and the authority and responsibility for governance. If other parties, including governmental agencies, acknowledge the value of these ICCAs, they can offer them various forms of support. Many ICCAs, however, take on the full responsibility of conservation singlehandedly without any official recognition and support... and while actually facing threatening external pressures on natural resources.

In the case of shared governance, whether one or more governing bodies are involved, it is the entire set of the parties that is engaged in management through the rules and implementation decisions they agreed upon in the negotiation process. Notably, consultative bodies can only offer an “opinion” to decision-making bodies, which have the power to approve the management agreement. This being said, a consultative body with no legal power to decide can affect the agreement with considerable legitimacy and moral force. For example, a consultative body may offer technical support of the government, it is a local community that takes charge of the conservation initiative and assumes the authority and responsibility for its governance. For various examples of ICCAs in the world, see: www.ICCAs.org

The shared governance bodies must work transparently (for example following clear statutes or rules for their functioning) and each of their members should report to the stakeholders she/he represent. The reports should cover agreed decisions and activities but also how the shared governance bodies operate, their accounting systems, their human resources policy, etc. The funding of conservation initiatives should be, at least in part, generated locally to avoid problems with ongoing operations. This funding component could be derived from revenues related to ecotourism, scientific research, or other. The Bamboung MPA in Senegal, with its ecotourism facilities run by an association of surrounding village communities, is an exemplary case in the region.

Many effective shared governance bodies have been set up fully or in part on the basis of existing traditional local organisations. This option, which should be explored in all the situations where the opportunity exists, implies reinforcing and offering legal recognition to traditional/customary governance structures.

Through time, the governance structure should assess the way it is working. It may turn out, for example, that important conditions change, and that new stakeholders ask to become members of the shared governance bodies, including stakeholders who had not been previously identified and did not take part in the organisation and negotiation phases. For that, there should be mechanisms to enable legitimate new parties to propose to become involved in the governance structure. Flexibility at this level (adaptive governance, learning by doing and action following what has been learned) is important for the institution to remain legitimate in its own social and political context.

What is the difference between a CMPA and an ICCA?

There is a fundamental difference between official Protected Areas and ICCAs—a difference that has to do with governance. For example, in Senegal there are Community Marine Protected Areas (CMPAs) under the authority and responsibility of a Conservation Manager appointed by the State who has a mandate to cooperate with the local communities. According to the IUCN classification, these PAs could be considered Protected Areas under shared governance (type B). They are created under the initiative of the state and/or conservation NGOs, and remain dependent on their dynamics and their support to keep them running. On the other hand, ICCAs (type D in the IUCN classification) emerge because of the will and organisation of local communities strongly associated (for historical, cultural, subsistence reasons, etc.) with the natural resources to be conserved, and are maintained by the efforts of these same communities. The government and conservation NGOs can support the ICCAs and have important roles to play, but the difference with respect to the CMPA remains clear. In an ICCA, albeit with the consent and the technical support of the government, it is a local community that takes charge of the conservation initiative and assumes the authority and responsibility for its governance. For various examples of ICCAs in the world, see: www.ICCAs.org

The quality of the governing

"Good governance" can be seen as a situation where performance and fairness meet, an evolving process by which fundamental values and principles, including environmental and human rights, can percolate into society. It is the position put forward by certain United Nations agencies and by professionals who believe that—in any domain, including conservation—good governance should contribute to decent, accomplished and sustainable livelihoods. Participatory evaluation of governance is probably the ideal way to proceed, because no-one is in a better position to understand and define what constitutes “good governance" in a given situation than the parties most directly concerned. The following table offers some items for reflection in this area.

Negotiating the co-management agreement and the shared governance structure

9 See Abrams et al., Evaluating Governance. A Handbook to accompany a participatory process for a protected area, manuscript, CEEPF/CMNP/ITC/CIPA, 5th World Congress on Protected Areas, Durban (South Africa), 2003.
36: Have the parties set up a shared governance structure for the MPA?  

<table>
<thead>
<tr>
<th>Yes ☐</th>
<th>No ☐</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Here is a description of the governance body (or bodies) including roles, statutes and composition:</td>
<td></td>
</tr>
<tr>
<td>- The shared governance structure:</td>
<td></td>
</tr>
<tr>
<td>- can develop “naturally” from the co-management agreement</td>
<td></td>
</tr>
<tr>
<td>- can emerge from the need to accompany and follow-up the implementation of the agreement</td>
<td></td>
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<tr>
<td>- can draw on traditional, modern or mixed organisations reinforced and legitimised through the negotiation process and agreement</td>
<td></td>
</tr>
<tr>
<td>- can include one or more bodies with different roles (decision-making, consultative, mixed, executive)</td>
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<tr>
<td>- engages representatives of all parties, as appropriate</td>
<td></td>
</tr>
<tr>
<td>- has an obligation to be transparent and accountable</td>
<td></td>
</tr>
<tr>
<td>- seeks multiple sources of funding (normally this also includes internal sources)</td>
<td></td>
</tr>
<tr>
<td>- foresees a process and mechanisms for assessing its own performance and evolving as appropriate</td>
<td></td>
</tr>
<tr>
<td>- ...and we note where and how the parties are fairly represented in those bodies</td>
<td></td>
</tr>
</tbody>
</table>

• Inset 13: Governance responsibilities of managers of protected areas and other social actors

<table>
<thead>
<tr>
<th>Governance criteria</th>
<th>Encourage the free expression of views, without discrimination based on gender, ethnic group or social class (positive discrimination may however be necessary in situations of historical injustice)</th>
<th>Stimulate dialogue and reach collective agreements on management objectives, strategy, activities and implementation mechanisms</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legitimacy and voice</td>
<td>Promote trust among the parties</td>
<td>Encourage citizen organisations to become involved in governing the protected areas</td>
</tr>
<tr>
<td>Equity</td>
<td>Make sure rules are respected through ownership and not only because of fear</td>
<td>Make sure the concerned indigenous people, local communities and other stakeholders take part in the establishment of the protected area and check that their customary and legal rights are respected</td>
</tr>
<tr>
<td>Leadership</td>
<td>Guarantee the independence of the media</td>
<td>Make sure conservation is undertaken with decency: without humiliating or wronging people</td>
</tr>
<tr>
<td>Performance</td>
<td>Make sure conservation is undertaken with decency: without humiliating or wronging people</td>
<td>Encourage participatory mechanisms for decision-making concerning the protected areas</td>
</tr>
<tr>
<td>Accountability</td>
<td>Make sure the costs and benefits of conservation are fairly shared by taking advantage of a variety of management and governance mechanisms (laws, forums, sources of funding, etc.)</td>
<td>Ensure constancy and consistency in the application of the laws and regulations pertaining to the protected areas and promotion of staff according to merit.</td>
</tr>
<tr>
<td>Governance criteria</td>
<td>Make sure there is an obligation to be transparent and accountable</td>
<td>Ensure effective leadership by listening to people, understanding their concerns, stimulating innovative ideas and processes, maintaining an inspiring, coherent vision of the long-term development of the protected area, mobilising support for this vision, and assembling the resources required for the implementation of the plans</td>
</tr>
<tr>
<td>Leadership</td>
<td>Make sure there is adequate, well-coordinated staff to fill the required roles and assume the appropriate responsibilities</td>
<td>Have very clear objectives for the protected areas and for the partnerships developed, but be flexible and ready to adapt in pursuing them</td>
</tr>
<tr>
<td>Performance</td>
<td>Make sure there are adequate supplies of equipment, funding and information for undertaking the required functions, and an administration that is competent, efficient and effective</td>
<td>Be compliant with international conventions, national legislation and traditional and “modern” good practices</td>
</tr>
<tr>
<td>Accountability</td>
<td>Make sure there are adequate supplies of equipment, funding and information for undertaking the required functions, and an administration that is competent, efficient and effective</td>
<td>Become a model of good behaviour</td>
</tr>
<tr>
<td>Governance criteria</td>
<td>Make sure there is a sturdy and resilient system of governance, capable of overcoming obstacles and threats and handling complaints and criticism in a sensitive and constructive way</td>
<td>Walk your talk: do what you say and say what you do</td>
</tr>
<tr>
<td>Leadership</td>
<td>Make sure the parties are in possession of sufficient knowledge (qualitative and quantitative) concerning decisions, who is responsible for what, how the performance of the people in charge can be assessed and how they can be required to report (accountability)</td>
<td>Make sure the press is free to watch and report on the media for applying the established rules, as well as abuses, allegations of corruption, etc.</td>
</tr>
<tr>
<td>Performance</td>
<td>Make sure the parties are in possession of sufficient knowledge (qualitative and quantitative) concerning decisions, who is responsible for what, how the performance of the people in charge can be assessed and how they can be required to report (accountability)</td>
<td>Make sure the reports and explicit cases of rewards or sanctions actually applied are easily accessible to the public</td>
</tr>
</tbody>
</table>

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NEGOTIATING THE CO-MANAGEMENT AGREEMENT AND THE SHARED GOVERNANCE STRUCTURE
Please wait! Before you go any further, you should check whether the points in the list have all been accomplished. If this is not the case, please take the time to complete them...

Checklist for the “negotiating” phase

- The parties have agreed upon the rules and procedures for the negotiation
- All discontents concerning how the meetings are organised have been taken into account and resolved
- A facilitator has been identified and recruited to accompany the meetings
- A common vision of the desired future has been agreed by all the parties
- If the parties were ready for it, the common vision has been ritualised, otherwise the ritualisation has been planned for a later date
- The meetings of the forum of the parties are lively, participation is broad and decisions are made by consensus
- Within the forum, diverging opinions are expressed peacefully, and conflicts are managed effectively
- Powerful lobbies (oil and gas, industrial fisheries, tourism, etc.) have been taken into account and, as appropriate, associated with the meetings of the forum
- A strategy with several components has been negotiated, including a component on natural resources management (e.g., a co-management plan for an MPA, a timeline to set up an MPA, a fishing calendar, etc.)
- A co-management agreement including decisions for dealing with all the components of the strategy has been reached
- The co-management agreement specifies that its components work as a package, i.e. the moral and/or economic benefits and privileges it foresees are linked to the responsibilities and costs assumed by the parties
- A shared governance structure has been set up, including one or more bodies with clear composition, roles and statutes or rules of functioning
- The negotiation parties are fairly involved in the shared governance structure, as appropriate
- The agreement has been celebrated and widely distributed
While it is obvious that co-management agreements that are not implemented serve no purpose, it is not so self-evident how to finally move to action in the field... Are all responsibilities clear? Are all the means available? Some co-management agreements are very optimistic and assign parties tasks they have never carried out before... Do the parties need to strengthen their capacities before being able to take action? And how shall they organise on-going evaluation at the heart of the collective learning they need?

The third phase of the process is the time of the harvest: taking action to implement the agreement and “learning by doing”. It is a phase of adaptive management, as action generates lessons that can improve both further action and the desired results. And it is a phase of adaptive governance, as people also learn to govern the MPA together. Hopefully adaptive management and governance can become an intrinsic part of the culture of the MPA.
Once an agreement has been signed—for example, about setting up a new MPA, its governance structure and management plan and, side by side, carrying out a specific project to compensate the fishermen affected by the fishing rules—the agreement should not be irreversibly carved in stone but transcribed on paper and communicated to the communities concerned and the other parties. It should be clear that management plans and governance structures are rarely perfect from the start and that the agreement will probably require some tuning as it is applied. To do this, the partnership begins on the basis of an initial agreement but allows for re-evaluations during its application.

Learning by doing implies that most of the lessons are drawn during the actual phase of implementing the agreement, not by waiting for a crisis to occur, but through a process of on-going reflection, revision and improvement. The agreement should evolve: everything that has been agreed is respected but is also open to improvements...

Such improvements will not be decided at random, however, but in accordance with procedures agreed upon by the governance structure. The agreement should be accessible and written in terms that are clear for all, which means they should be available in the local language(s). If this turns out to be appropriate and feasible, forms of oral communication such as community theatre, audiovisual materials and presentations at traditional meetings could also be used to make sure everyone concerned is informed of the terms of the negotiated agreement. In addition, it is desirable to mark the agreement with a specific celebration or ceremony. As far as possible, the signatories and key participants in this ceremony should be the people who will be most directly responsible for the management of the natural resources and/or MPA. These people should publicly commit to the agreement.

Before implementing the co-management agreement it is advisable to build the capacity of the people supposed to perform specific tasks and other planned activities. For example, the young members of the
surveillance committee of the Bamboung MPA in Senegal found out from one day to the next that they had been assigned the task of MPA surveillance at the main entrance of the sea arm (bolong) that constituted the MPA. It was only by practicing their complex and sometimes dangerous role that they ended up learning how to obtain their desired results... Ideally, however, some training should precede the age of a technical nature--for example, taking an inventory of biodiversity, giving a warning to offenders, guiding tourists, etc. At least the basic knowledge and skills should be transferred before proper implementation begins.

The first task to be attended to when the agreement is about to be implemented is thus to define the capacity-building needs of the different people and groups expected to perform certain tasks, and to follow this up with appropriate responses and/or training. In certain cases it is useful to envisage training on an on-going, long-term basis (on-the-job training). This is particularly useful to ensure that certain roles foreseen by the co-management agreements can be fulfilled by local people unaccustomed to perform them (eco-guards, eco-tourist guides, community fishing supervisors, etc.). The management tasks should also be accompanied by appropriate logistical resources. In the case of the surveillance activities for the Bamboung MPA, a watchtower ten metres high was erected at the main entrance of the MPA, and the entrance was signposted. This provided a physical demarcation of the boundaries of the protected area, which facilitated the task of surveillance. The eco-guards also required binoculars, notepads, daily food rations, etc. Even the most basic activities need considerable organisation and regular logistical follow-up. As a result, starting new tasks and implementing agreements and plans are, by their own nature, evolving endeavours, and both practical training and learning by doing are to be foreseen.

Regarding funding, it is useful to figure out how to set up small autonomous funds to finance operations at different levels. It may happen that centralised and bureaucratically heavy administrations make daily field tasks difficult or even impossible. Access to some basic funding, such as that required for buying petrol or oil for the patrol boat, should be possible in real time to meet immediate requirements. This being said, even for those autonomous funds, financial and activity statements and general accounting, as well as auditing, should be produced with some rigour. The co-management agreements no doubt include rules, and these rules should be applied! This point is crucial. To a certain extent, the MPA will not really “exist” until the first offender is punished, it quickly becomes clear for everyone that the MPA is only protected on paper. A probable consequence is that the site will quickly become abused. This may be a simplification of the dynamics of illegal exploitation, but serves as a warning to underline that the success or failure of an MPA site depends on the effectiveness of the application of its own rules. Illegal uses of resources should be detected and repressed to ensure the success of the conservation systems. Here we are touching on the fragile balance between trust and control. Showing trust does not exclude the exercise of control... on the contrary, properly enforced control reinforces the mutual trust of all the parties. Lastly, it is important that the system of repression be flexible: a simple warning may sometimes be enough, but in other cases more severe reprobation, such as a community punishment, a fine, the confiscation of some fishing gear or even some legal proceedings are indicated. With that, it is also important to make sure that at least some of the benefits of conservation are perceived by everyone. Combined with a perceptible presence of surveillance agents in the field, these flexible practices are generally sufficient to keep illegal exploitation at an “acceptable” level, that is to say, a level that does not compromise the goals of the MPA.

Lastly, it is important that the system of enforcement be flexible: a simple warning may be enough, otherwise, more severe reprobation, such as a community punishment, a fine, confiscation or legal proceedings are indicated. And it is important to make sure at least some of the benefits of conservation are perceived by everyone. Combined with a perceptible presence of surveillance agents in the field, these flexible practices are often sufficient to keep illegal exploitation at an “acceptable” level, that is to say, that does not compromise the goals of the MPA.
<table>
<thead>
<tr>
<th>Yes □</th>
<th>No □</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Here is a description of which parties are supposed to do what and whether they feel they can easily perform their tasks, or they are in need of support.</td>
<td></td>
</tr>
<tr>
<td>• How do we avoid losing momentum after the negotiation of the agreement?</td>
<td></td>
</tr>
<tr>
<td>• We mark and celebrate the agreement and organise events to maintain the motivation of the parties.</td>
<td></td>
</tr>
<tr>
<td>• Once the roles and tasks have been agreed, we reinforce the capacities of all those supposed to be responsible for them.</td>
<td></td>
</tr>
<tr>
<td>• We make sure to have efficient logistical resources for each action.</td>
<td></td>
</tr>
<tr>
<td>• We support the shared governance bodies in their daily tasks.</td>
<td></td>
</tr>
<tr>
<td>• We keep a notebook listing problems and successes, mistakes and good new ideas as they become apparent.</td>
<td></td>
</tr>
<tr>
<td>• We vary the sources of funding, also through modest but multiple and independent sources.</td>
<td></td>
</tr>
<tr>
<td>• We make sure that the shared governance bodies report on activities simply but rapidly (accountability).</td>
<td></td>
</tr>
<tr>
<td>• If there is a need to repress infractions, we organise it to be as compatible as possible with local codes and practices.</td>
<td></td>
</tr>
<tr>
<td>• We agree to tolerate a degree of controlled/repressed infractions rather than striving for unattainable zero infractions.</td>
<td></td>
</tr>
<tr>
<td>• …and we check, in particular, that the shared governance bodies have effectively taken on their responsibilities.</td>
<td></td>
</tr>
</tbody>
</table>
If co-management agreement could be impeccable from the start and the results and impact of activities could be known in advance with certainty, there would be no reason to invest time and money in monitoring and evaluation. Unfortunately, this is never the case. Even when plans are based upon good will and the best possible information and knowledge, there will always be gaps between expectations and reality... There is no guarantee that even the best of efforts will achieve the desired results! It is therefore necessary to keep gathering data on the results of the activities that people carry out, and to periodically evaluate the progress achieved. “Indicators” are the nuts and bolts of monitoring. For each expected result and impact of management, one or more objectively verifiable indicators should be defined and monitored over time.

During the step known as “monitoring” there is regular gathering of information relative to the indicators that tell us about a certain activity or phenomenon. For example, observations of fishing canoes trying to enter a restricted zone are noted down in a booklet over the course of a year. At the end of the year, the sum total of these observations is the value of the desired indicator. For this indicator it is also possible to enrich the observations by also noting down the date of events, the number of fishermen in each transgressing canoe or even where the fishermen come from and what fishing gear they have on board. Another example would be to count how many sea turtles nest on a particular protected beach in a given nesting season. In this case, the information that could be noted could range from a simple nest count to detailed note-taking on the weight and size of each nesting animal, the precise position of the nests on the beach, the number of eggs laid in each nest, etc. In the first example, the subject of the monitoring is a human activity; in the second, it is a natural phenomenon. In the first example, the indicator is used to establish the extent to which the rules are being respected; in the second the indicator assesses the reproductive success of a protected species. Through time, the trends shown by the indicators will tell us about the impact of the activities (e.g., surveillance of the fisheries, protection of the beach) conducted as part of the co-management agreement.
Monitoring can be carried out quite rigorously by technicians or community members specially trained to gather information. A good example is the IRD’s monitoring of the growth of the fish population in the Bamboung MPA since its main bolong was closed to fishing. This monitoring, which encompasses fishing controls conducted under constant conditions and at regular intervals, made it possible to detect a significant change in biodiversity and biomass inside the bolong since it was closed. Similarly, the fishermen that developed the ICCA of Kawawana in Casamance have also set up a detailed monitoring system under controlled conditions and are revealing important results.

To gauge the success of an MPA in conserving biodiversity, several indicators should always be collected and analysed together. For example, has biodiversity increased in the bolong through a "refuge" effect, as the fish more readily enter the bolong because they feel safer there? Does this go hand in hand with a reduction in biodiversity outside the bolong? Is there a risk that certain species inside the bolong will be reduced, for example because of the presence of larger species of predators? The collection of raw data is never truly interesting... it is their analysis that transforms information into knowledge!

In fact, biological and ecological monitoring alone are not enough. Socio-economic monitoring is also important if we wish to check whether the setting up of the MPA and, where relevant, the reversal of biomass and biodiversity loss, are accompanied by an improvement in the living conditions of the concerned communities. In this respect, the collection of biological and socio-economic baseline data before the setting up of the MPA is indispensable to have a good comparative set of information. In the case of an MPA that has been in existence for some time and does not have such baseline data (and there are many of them!), estimates of the impact of the MPA on the environment and on the standard of living of the local communities can be derived from open discussion of phenomena expected to be sensitive to the activities agreed as part of managing natural resources.

Monitoring comprises the regular and methodical collection of indicator measurements and other selected information concerning the phenomena expected to be sensitive to the activities agreed as part of managing natural resources. Monitoring should always be accompanied by the analysis of the collected data.

38: Is there a monitoring system in place to reveal changes following the implementation of the co-management agreement?

**Yes ☐**

- Here is a description of the monitoring and evaluation protocol set up at the time of the agreement (e.g., provisions, indicators and tools to be used, “who does what”, etc.).

**No ☐**

- A monitoring and evaluation protocol is developed including:
  - indicators that are simple, valid, coherent, few in number and relatively easy to measure
  - a set of baseline data serving as a reference, with changes periodically evaluated for each indicator
  - types of monitoring adapted to the subject, for example:
    - rigorous monitoring and comprehensive analyses, if we wish to demonstrate an impact on biodiversity
    - participatory monitoring, if we wish to demonstrate an impact on local livelihoods
  - an emphasis on capacity building, making use of the knowledge and skills of the parties and consolidating their commitment to management
  - analyses of indicators in the light of other indicators and phenomena
  - an emphasis on transparency in the management of the MPA site

3. ...and we make sure that all the parties are aware of it.

**What is “monitoring”?**

Monitoring comprises the regular and methodical collection of indicator measurements and other selected information concerning the phenomena expected to be sensitive to the activities agreed as part of managing natural resources. Monitoring should always be accompanied by the analysis of the collected data.

**What is “accountability”?**

Accountability is the capacity and willingness to answer for one’s own acts (or the lack thereof) and accept the consequences.

Wherever and whenever possible, monitoring should be conducted in a participatory way, with simple and effective protocols for data collection to be executed by or with the primary local actors. This form of monitoring can keep them engaged in the process, build their capacity, and strengthen them as active parties in implementing the MPA. Simple and robust indicators are essential, and protocols should be anything but complicated. A monitoring protocol that is too detailed is often of interest only for the members of the scientific community, and may overload the data collection routines. As a consequence, monitoring may not be properly carried out and information may end up being incomplete and/or unusable.

The monitoring protocols and indicators play a key role in the transparent governance and management of the MPA site. And their on-going analysis and evaluation are essential for accountability, the obligation of everyone to report back to everyone else concerned. For an MPA under a shared governance system, transparency goes hand in hand with accountability and each person or group who accepts to take on a responsibility has to report to the other parties in due time. This creates an environment of trust among the parties and galvanises the process of shared governance.
As mentioned, “monitoring” should go hand in hand with the analysis and the “evaluation” of the results of the initiative. In a way, monitoring and evaluation are like Siamese twins: one is nothing without the other. In the process of shared governance it is quickly understood that there is no final completion point, that the process remains dynamic, and that it should be evaluated and adjusted periodically, on an on-going basis. Evaluation measures the progress made towards the objectives we set ourselves. Evaluation obliges us to ask ourselves not only if we are reaching our expected objectives, but also whether they are still relevant. Evaluation is based on the indicators chosen in the monitoring protocol, but other information is also generally collected and taken into account as part of the analysis. In a shared governance system, evaluations should be participatory, and their results amply communicated.

There are multiple subjects of evaluation and several questions that the evaluations may wish to cover, such as:

• Is the co-management process being conducted in a satisfactory way?
• Are we achieving the short-term objectives—environmental and social—of the co-management agreement?
• Do the shared governance bodies function properly, as expected?
• Are the shared governance bodies capable, efficient, fair, and in phase with their tasks?
• Are the co-management agreement and shared governance bodies producing an impact, i.e., getting us closer to the common vision of our desired future (long term objective)?

While the evolution towards the realisation of certain objectives can be quantified after a relatively short time (a few months or a few years), it may take longer to evaluate other objectives in a satisfactory way. For example, the rehabilitation of a given fishing ground may be observed after a couple of years of careful protection, but the harmonious development of a community is generally slower, and more difficult to measure. What is important to remember is that evaluation should be scheduled like...
any other management activity, and its share of investments in time and financial and human resources should be budgeted for. Evaluation is a basic component of shared governance.

Without evaluation, and without the adjustments it generates, the process is blind and runs the risk of drifting like a rudderless boat...

The three phases of the shared governance process should themselves be subject to an in-depth evaluation. The process is never perfect, and any problem that may endanger the future of the site and its communities should be detected and addressed in a timely manner.

Orderly implementation of the phases of the co-management process, just one after the other, as described in this manual, is only rarely encountered in the field. Progress is actually more often jagged, and it turns out to be necessary to turn back, evaluate and rectify.

The following inset shows some examples of indicators that can be used to evaluate the different phases of the co-management and shared governance process.

When it is clear that significant steps have not been completed or even taken at all, you may have to go back and correct the process. This does not imply that the process should stop. It simply means that not only phase III but also phases I and II will never really be entirely closed... Also, many other indicators can be added to those listed in Inset 14, for instance to describe the legitimacy of the parties in each other's eyes, the completeness of the situation analysis, the quality of the social communication campaign, etc. These additions go hand in hand with progressive improvements in the quality of the overall process and its results.

Good monitoring and evaluation mechanisms may call into question certain aspects of the co-management agreement and shared governance bodies. For example, it may turn out that the approved zoning is not really appropriate and needs to be reviewed. It may happen that new parties ask to become members of the shared governance bodies—including legitimate stakeholders who had not been identified as “separate parties” and had not even taken part in the original organising and negotiating phases. In these situations, the original parties should simply go back to the negotiation table and revise and improve the zoning and/or decide together to offer the new legitimate parties the possibility of joining the existing governance bodies.

Such changes should not be perceived as a problem, but as a demonstration that the process is working well, and can improve itself through time. In fact, the flexibility inherent in “adaptive management” and “adaptive governance” is crucial to maintain their vitality in an evolving social and political context. Change, however, should not be random or respond to each and every protest that may surface, but be based on the explicit and transparent reasons that refer to the aims of the agreement and enable a more effective and fair approach to it. For instance, if change is proposed because a consequence of the agreement is contested by one of the parties, but that consequence had been foreseen and compensated in the original agreement... there is no real justification for revising the agreement.

Evaluation is the basis for the renewal and gradual adaptation of the agreement to produce ever improved results through time. The governance and management should in fact become progressively wiser, more knowledgeable and skilled. Ideally, the decision-making body would approve any major change with the contribution of all the parties that took part in the original negotiation. An approach that highlights monitoring, evaluation and continuous learning on the basis of methods and procedures agreed in advance—e.g., an approach that is flexible but also rigorous—is capable of responding not only to the imperfections of the past but also to intervening changes in the present and future. This is what we mean when we speak of “embedding learning by doing in the culture of the MPA”.

Inset 14: Examples of indicators for the process and results of the three main phases of co-management / shared governance

(adapted from Sharing Power, page 315-317)

- Phase I (Organising)
  - level of understanding of the overall site and Natural Resources Management Units in the MPA and of the ecological and social context that helped to define them
  - existence of a list of “parties” to include in the negotiation and information about their claims, recognised rights, power with respect to other parties and conflicts for the exploitation of natural resources
  - availability to all parties of information and tools (e.g. maps) on the main ecological and social issues at stake
  - level of understanding of the political, social and institutional factors that affect the access to natural resources and their use
  - existence of an appropriate name for the shared governance process
  - level of understanding and acceptance by all parties of the phases and aims of the co-management/ shared governance process
  - extent to which social communication initiatives led to a broad discussion of the issues at stake in managing/ governing natural resources
  - extent to which the parties are well organised and properly informed, ready to start the negotiation of a co-management agreement
  - emergence of new “parties”, previously not well organised or even marginalised in society

- Phase II (Negotiation)
  - level of understanding by all parties of the negotiation process
  - regularity of holding negotiation meetings among the parties
  - easiness and fairness of access to the negotiation meetings for all legitimate parties
  - existence of a facilitator able to make the negotiations flow smoothly, and help the parties to bring out the best in themselves
  - effective participation of all parties in developing a common vision of the desired future for the MPA, and in negotiating the strategy and plans to achieve that vision
existence of a document describing the “common vision of the desired future” for the MPA
extent to which the negotiation meetings engage all the parties and are effective and fair
existence of a co-management agreement that spells out a fair sharing of rights, responsibilities and tasks among the parties for the management of the MPA
existence of a protocol for the monitoring and evaluation of the co-management agreement including a calendar of activities, people in charge, methods and procedures for the collection of data, logistical means, etc.
easiness of relations and trust among the parties taking part in the negotiation

Phase III (Taking action and learning by doing)
- level of implementation of the co-management agreement
- existence of an active shared governance structure
- level of compliance with the management plan (if included in the co-management agreement)
- availability of competent personnel to clarify the parties’ rights and responsibilities and, where necessary, resolve conflicts
- maintenance of a positive attitude in case of problems, being able to manage conflicts
- availability of personnel and resources for monitoring and evaluation activities
- awareness that learning is being achieved while taking action
- satisfaction of the parties about how the process is working in general
- equity of the distribution among the parties of the costs and benefits resulting from the agreement
- reduction of the frequency and gravity of conflicts among the parties
- long-term commitment of the parties, possibly revealed by “political” initiatives to facilitate the implementation of the shared governance agreement

39: Is there an evaluation system in place that makes learning by doing intrinsic to the culture of our MPA?

<table>
<thead>
<tr>
<th>Yes □</th>
<th>No □</th>
</tr>
</thead>
</table>
| • Here is a list of the parties that are most empowered/engaged in the evaluation and mechanisms set in place: | • Learning by doing implies:
| • and here are some examples of how the co-management agreement and the shared governance structure for our MPA have adapted in a learning-by-doing mode and have rewarded the capacity to adapt: |    - regularly carrying out the activities foreseen in the monitoring protocol
| |    - attentively analysing the collected data, not being satisfied with easy interpretations
| |    - planning and carrying out participatory evaluations
| |    - including in such evaluations an analysis of:
| |    - the quality of the process
| |    - the degree to which the desired results are achieved (management results and others)
| |    - the quality of functioning of the shared governance structure (capable? appropriate? effective? good governance?)
| |    - the degree to which the desired impact is achieved (closeness to the common vision of the desired future)
| |    - checking that the evaluation results are widely known
| |    - rewarding people who think, who independently analyse issues, who identify new problems and opportunities...
| |    - being capable of going back and restarting an activity, studying a problem again, renegotiating, correcting, etc.
| |    - focusing on the quality of the process over the quantity of results

LEARNING by DOING

DOING and LEARNING by DOING
The Marine Protected Area of Joal-Fadiouth, Senegal: an MPA under shared governance!
by Cheikh Abdellahi Ould Inejih, IUCN Projet PARTAGE and Abdou Karim Sall, MPAJF

In Senegal, everyone knows the town of Joal—one of the largest fishing ports in West Africa—and its twin sister, Fadiouth, a town whose mangroves are very important in local history and culture and a favourite place for women harvesting shellfish. But Joal-Fadiouth is also getting to be known for another, surprising reason, given the reputation of local residents as consummate harvesters of the sea… Joal-Fadiouth is getting to be known for its Marine Protected Area!

A few years ago, a handful of local fishermen, worried by the degrading situation of their fishery, decided to do something to protect it and, if possible, restore it. Armed with sheer willpower and tenacity, they engaged all the actors involved with marine resources in endless discussions, and succeeded in convincing them to work together. Recognised at the highest level in Senegal, the MPA of Joal-Fadiouth, which started in 2004, operates today under a regime of shared governance that is exemplary in the region.

The motivation of the fishermen and the entire resident community of Joal-Fadiouth to support their MPA is rooted in three main well-recognised facts:

• The threat looming over the local seagrass beds, which are the main habitat for the reproduction and development of young fish such as the thiof (grouper). This habitat is critically affected by two types of small-scale fishing gear that drag the bottom of the sea: beach seine nets and shrimp-fishing gear (used by killeurs).

• The local presence of species under protected status, such as the manatee and marine turtles. Turtles, for example, can be followed on foot and can be a source of attraction for visitors and tourists, but they are also attractive for their meat...

• The need to protect the mangrove forest for its multiple ecological, economical and even socio-cultural benefits.

The current zoning of the MPA is rather simple and includes: a core area where fishing is permitted only on foot, a multiple-use zone, where only responsible fishing is permitted (line fishing and nets with a minimum mesh size of 100 mm), and a zone of mangrove forests and bolongs, with precise and detailed rules for extracting all types of resources. Two fishing methods have been recognised as non-sustainable: beach seine and killi fishing, which are now forbidden. To reconcile conservation and equity, the MPA is trying to find alternative source of revenue for the fishermen suffering losses due to these measures.

The MPA covers the habitat of the manatees and marine turtles, and one of its goals is to protect them. And the MPA also protects the mangroves, which in turn have beneficial effects against coastal erosion and for the conservation of ecological habitats, marine productivity, tourism, and revenues from harvesting of shellfish. Also, it is presently well recognised that the MPA also plays a role in preserving a cultural heritage of great value, helping to keeping traditional practices alive and transferring ancestral knowledge and know-how that are important elements in the conservation of natural resources. Actually, the mangrove habitat is still preserved by traditional means... thanks to the presence of spirits and customary rules that forbid many kinds of exploitation. Fadiouth is really an ICCA (Community Conserved Area) within an MPA!
The Joal-Fadiouth MPA has already achieved plenty of results. Better fish catches, larger average fish sizes and the return of turtles and of some highly prized fish species that had actually become very rare… Most of all, there is the enthusiasm and the energy, however, do not erase the fact that daily problems still exist and some elements have to fine members of their own community!

The local youth is remarkably involved in the governance bodies, the energy of their leaders is contagious, and the frequency and regularity of surveillance patrols is impressive… nearly unbelievable for volunteers who sometimes have to fine members of their own community!

The travelling truck as a social communication tool
adapted from Jean Goeppe, Head of the Narou Heuleuk project at the Oceanium in Dakar, Senegal

The NGO Oceanium, based in Senegal, has equipped a truck with video equipment to raise awareness of environmental issues. Going from village to village, the truck travels up and down the coast of West Africa and some of the local residents have nicknamed it the “messeenger of hope”. A true social communication tool, the truck is used to conduct awareness-raising campaigns aimed at the local communities for the setting up of Community Marine Protected Areas (CMPAs). In the CMPA of Bamboung, the truck was used to organise film screenings followed by general discussions, which allowed everyone to gain a better understanding of local knowledge and needs concerning fishery resources management.

Film screenings/discussions have multiple advantages:
• They are a fabulous force of attraction for all social groups in the village: once the equipment has been installed and plugged in and the sound system switched on… the entire community is there, waiting to participate.
• A moment of discovery for the Senegalese fishermen, who are among the best artisan fishermen in the world: they see pictures taken underwater, which is an aspect of the sea unknown to most of them.
• A positive force of identification, when good and bad fishing techniques are evoked in our short films. The fisherman shown on the screen is a hero. The others want to be like him.
• A force of animation, when the discussions begin after the film has been shown. The facilitators from Océanium recognise their celebrations, their rituals, etc. They automatically feel concerned and take part in the discussions.
• A force of animation, when the discussions begin after the film has been shown. The facilitators from Océanium pass the microphone around. The interventions are often heartfelt and fascinating, and tie in directly with the subjects of the films. This is a moment of great interest for everyone, as it gives an idea of the village realities and the fishing activities in the area.

In Senegal, social rules are omnipresent. In the village square, for instance, not just anyone has the right to speak… To exchange with other members of the village, such as women or children, the Oceanium truck has other tools: shell games, palaver sessions, local awareness-raising initiatives. Oceanium tries to touch people’s hearts, and the problems it deals with are always connected to actual experience. It is only by acting from a sense of solidarity with fishing communities that sustainable management of fishing resources will become possible, and MPAs will become a reality.

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The shared governance structure of Urok’s MPA, Guinea Bissau
by Sábado Vaz, Tiniguena Facilitator

The governance system of Urok’s MPA was built on the basis of extended cooperation and decision-making that was as consensual as possible, even though reaching a consensus among the different users of the natural resources; the local administrative authorities, represented by the State Committee; Tiniguena, the NGO in charge of facilitating the process; and the Institute for Biodiversity and Protected Areas (IBAP), a government institution responsible for protected areas in Guinea-Bissau. Given the existence of other interests from outside the territory, we also kept striving to involve in the management all the stakeholders interested in Urok’s natural resources, that is to say, also the non-resident fishermen and users of the coastal resources.

Issues of equity and legitimacy were analysed and implemented with the goal of maintaining the social balance and reinforcing participation and governance cohesion throughout the Urok complex. The direct management and shared governance actors at Urok are the following: the communities of the three islands, represented by the different users of the natural resources, the local administrative authorities, represented by the State Committee, Tiniguena, the NGO in charge of facilitating the process, and the Institute for Biodiversity and Protected Areas (IBAP), a government institution responsible for protected areas in Guinea-Bissau. Given the existence of other interests from outside the territory, we also kept striving to involve in the management all the stakeholders interested in Urok’s natural resources, that is to say, also the non-resident fishermen and users of the coastal resources.

The structure of governance comprises several decision-making and approval bodies: the Urok Management Committee (UMC), the Tabancas Management Committees (TMCs), the Tabancas are traditional villages), the Urok General Assembly (UGA), that meets once a year; and the Island Assemblies (AI). In parallel, there are two consultative bodies: the Technical Committee and the Elders’ Council. The latter also has the power to approve (or not approve) the decisions of the UGA. Negotiations and consensus building take place at meetings among the interest groups and the communities of each Tabanca, each represented by its Tabanca Management Committee, which is the basic management and governance structure.

Steps in the process of establishing Orango National Park, Guinea Bissau
By João Sousa Cordeiro, Coordinator of the Biosphere Reserve of the Bolama Bijagos Archipelago, IBAP

The idea of establishing a protected area in the Orango islands had been around for quite some time. In 1978, SCET International conducted a study on the agriculture, forestry and fishery of the islands and recognised Orango’s great potential for the conservation of nature. Already in 1982, in a paper about the hippopotami of the Bijagós Archipelago, biologist P. Chardonnet suggested that the Orango Islands be devoted to the protection of those animals. Yet, the fundamental steps leading to the establishment of Orango National Park did not take place until 1988, when a project facilitated by the IUCN contingency in Guinea-Bissau started planning the coastal management of the country.

In 1990 and 1991, Canadian international cooperation (CECI), IUCN and the Ministry of Forestry and Wildlife of Guinea-Bissau produced a general inventory of the fauna and the socio-economic landscape of the Bijagós. Following this study, proposals relative to the development of the territory and the use of the archipelago’s natural resources were drawn up. It was observed that the Orango Islands constituted a focal point for the archipelago’s wealth of biodiversity, ecological integrity and landscape value. The conservation ideas mentioned above, which had been based on rather superficial analyses, were reinforced, and a proposal to create a protected area, more specifically a National Park, was renewed.

In 1992, negotiations for the creation of the National Park started involving the local residents, in the framework of the coastal area development project. These negotiations lasted five years and were principally facilitated by an expatriate technical assistant and by a person from Guinea-Bissau who was very familiar with the Orango Islands. Both worked from an office in the Bijagos Environment and Culture Centre in Bubaque. They were assisted by Sábado Vaz, Tiniguena Facilitator, by a person from Guinea-Bissau who was very familiar with the Orango Islands.

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In 1993, the person who accompanied the process received in-depth training in Mexico focusing on the management of protected areas in tropical zones. This specialised training made it also possible to formalise the knowledge acquired in the course of the years of work, already rich in lessons and hands-on experience. At the beginning of 1997, as part of the coastal zone development programme, this person was appointed Director of Orango National Park (PNO), a position he held until March 2004. Other Park staff was also recruited in 1997. The same year, a training course was organised for eco-guards. Among the trainees, 7 people from Tabancas in the PNO islands were selected, and they are currently employed by the Park. The same year, two technicians answering to the director were also recruited to strengthen the team, along with two sailors.

The construction of the PNO infrastructure (headquarters, house for temporary visitors, guard stations) began in 1996. It was completed and became operational the following year. In 1997, the process of institutionalising the PNO began (indirectly) with the publication of the Framework Act on Protected Areas. The official creation of the PNO was approved by the cabinet, but the political/military events of 1998 prevented the publication of the government decree. Earlier decisions were suspended. On 27 April 2000, the creation of the Orango Islands National Park was once more approved by the cabinet and the corresponding decree published in the official gazette dated 4 December 2000.
The Park Management Board met for the first time in April 2000 without the entirety of its members (various representatives of government bodies were absent, as they had yet to be appointed). The Management Board now meets once a year and decisions are made by consensus. It comprises 13 community representatives and 13 representatives of the administration appointed for a period of five years. Each community representative speaks for one of the Orango islands. There is a management plan, valid for a 10-year period, which takes into account the needs and activities of the residents of the islands as well as their customary rights.

Since 1997, various small research projects, eco-development and training projects have been initiated. The first management plan for the PNO was drafted and published in May 2002. In March 2004, the Institute for Biodiversity and Protected Areas (IBAP) was founded. Its remit is to (i) administer the protected areas and coordinate their scientific programmes, (ii) guide and coordinate the administrative bodies of each protected area and control their activities and accounts, (iii) procure the goods, equipment and material required for the running of the protected areas and (iv) recruit, train and manage the personnel of the protected areas.

The internal regulations of the PNO were approved by the Management Board in 2006, after several meetings, discussions and negotiations concerning the rules for using natural resources. Finally, in 2008, the second Management Plan for the Orango National Park (PNO) was completed.

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Governance of a marine protected area
(sharing authority, responsibility and accountability): a continuum*

Full authority and responsibility by the agency in charge (government MPA)

Shared authority and responsibility (MPA under shared governance, possibly CMPA)

De facto authority and responsibility by an indigenous people or local community (ICCA)

Carrying out surveillance activities and cracking down on infractions

Consulting other parties and seeking consensus

Negotiating specific agreements

Sharing authority and responsibility in a formal way (e.g., via seats in a decision-making body)

Recognising and transferring authority and responsibility

increasing contributions, commitment and ‘accountability’ of the parties

...but also increasing expectations of the parties, and increasing need for respect and equity

*from the point of view of a governmental agency