



# NATURAL RESOURCE GOVERNANCE

Training Manual



International Union for Conservation of Nature, Sri Lanka Country Office



# NATURAL RESOURCE GOVERNANCE

Training Manual



Published by : IUCN (International Union for Conservation of Nature) Sri Lanka Country Office

Copyright : © 2011 IUCN, International Union for Conservation of Nature and Natural Resources

Reproduction of this publication for educational or other non-commercial purposes is authorized without prior written permission from the copyright holder provided the source is fully acknowledged.

Reproduction of this publication for resale or other commercial purposes is prohibited without prior written permission of the copyright holder.

Citation : IUCN (2011). Natural Resource Governance Training manual. Colombo, IUCN Sri Lanka. xii + 126p.

ISBN : 978-955-0205-10-3

Cover photograph : Governance Training Workshop at Nilgala

Photographer's name: Kapila Gunarathne@iucnsl

Designed by : Ms Padmi Meegoda

Printed by : Karunaratne & Sons (Pvt) Ltd., 67, UDA Industrial Estate, Katuwana Road, Homagama, Sri Lanka.  
[www.karusons.com](http://www.karusons.com)

Printed with VOC free, non toxic vegetable oil-based environmentally-friendly ink, on FSC certified paper from well-managed forests and other controlled sources.



# Acknowledgements

IUCN Sri Lanka Country Office is grateful for the technical assistance and the leadership provided by Ms. Patricia Moore, Head Asia Regional Environmental Law Programme in Bangkok.

This manual would not have been possible if not for the support and input of many. We are very grateful to the experts, reviewers and other contributors who have lent direction and contributed to make this manual a more relevant, practical and applicable one in the context of natural resource governance in Sri Lanka.

We would also like to acknowledge the assistance of the participants in the regional and national level consultative workshops and meetings, representing government departments and institutions, intergovernmental organizations, academic institutions, NGOs, and other stakeholders, for their inputs in testing and revising the manual. We also thank the Sri Lanka Project Advisory Panel comprised of Mr. S A D Kingsley (Forest Department), Ms A H S Ediriweera, (Department of Fisheries and Aquatic Resources, Ministry of Fisheries and Aquatic Resources), Ms Eeasha Nanayakkara (Department of Wildlife Conservation).

The global project is implemented by IUCN Headquarters in Gland, Switzerland. Our thanks are due to Gonzalo Oviedo and Jordi Surkin (IUCN Headquarters) for their support in this endeavour.

We also thank Ms Pimolwan (Petch) Singhawong of the Asia Regional Environmental Law Programme, Bangkok for her support in many ways.

We thank the Governance and Transparency Fund of the Department for International Development of the United Kingdom (UKaid) for providing financial support for the development of this Manual.

Finally we would like to thank Dr. Tilak Wettasinghe for editorial assistance provided in preparing this Manual.

## Contributors

*Lead Contributor and Reviewer* : Ms. Patricia Moore

*With assistance from* : Mr. Anandalal Nanayakkara, Attorney-at-Law and  
IUCN Consultant  
Dr. Ranjith Mahindapala, Country Representative,  
IUCN Sri Lanka  
Mr. Shamen Vidanage, Programme Coordinator,  
IUCN Sri Lanka  
Ms. Diana J de Alwis, Senior Program Officer,  
IUCN Sri Lanka

### *Contributions during Consultations:*

#### *Regional:*

Mr. Narayan Belbase, Country Representative IUCN Nepal  
Dr. Niaz Ahmed Khan, Country Representative, IUCN Bangladesh  
Mr. Anushuman Saikia IUCN Asia Deputy Regional Programme Coordinator Bangkok

#### *National*

Mr. Anandalal Nanayakkara, Consultant, IUCN Sri Lanka  
Mr. Neshan Gunasekera, Attorney-at-Law, Weeramantry International Centre For Peace Education and Research  
Mr. Sisira Kumarasiri, Consultant, IUCN Sri Lanka  
Mr. Hemantha Withanage, Executive Director, Centre for Environmental Justice (CEJ)  
Mr. W T B Dissanayake, Regional Deputy Conservator of Forests, (Central and Uva), Forest Department  
Ms. Mihiri Gunawardena, Director, Public Interest Law Foundation (PILF)  
Ms. Kalyani Hewapathirana, Biologist, Department of Fisheries & Aquatic Resources Development Ministry of Fisheries and Aquatic Resources  
Mr. M G N Jayakody, Assistant Director of Fisheries, District Fisheries Office, Kalmunai  
Mr. Priyantha Jayaratne, Consultant, Public Interest Law Foundation (PILF)  
Mr. Anura Jayasekera, Assistant Director of Fisheries, District Fisheries Office, Puttalam  
Mr. Ranjan Marasinghe, Deputy Director, Law Enforcement, Department of Wildlife Conservation  
Mr. Cyril Pallegedara, Consultant, IUCN Sri Lanka  
Mr. Dilena Pathragoda, Director, Centre for Environmental Justice (CEJ)

Mr. K W P Thilakaratne, Consultant, Public Interest Law Foundation (PILF)

Mr. S K A Wanniarachchi, Assistant Director, North Western Provincial Environmental Authority

Ms. D M J K Dissanayake, Environment Management Officer, Ministry of Environment

Ms. Neranjala J. Jayasundara, Consultant, Sri Lanka Institute of Development Administration (SLIDA)

Ms. Gayani Hewawasam, Programme Coordinator, Weeramantry International Centre for Peace Education and Research

Ms. Jeeva Warnakulasooriya, Assistant Director, Natural Resources Management, Central Environmental Authority

Mr. A Sarveswaran, Senior Lecturer, Faculty of Law, University of Colombo

Ms. Eeasha Nanayakkara, Officer-in-Charge of Community Outreach, Department of Wildlife Conservation

Mr. Kingsley Senadheera, Senior Deputy Conservator of Forests, Forest Department

Mr. Jagath Gunawardane, Attorney-at-Law and Consultant IUCN Sri Lanka

Ms. Naazima Kamardeen Lecturer, Faculty of Law, University of Colombo

Mr. M G M M Kapila Gunarathne, Head, Coastal Livelihoods and Policy Unit, IUCN Sri Lanka

#### *Lead Researchers:*

Dr. Anil Premaratne

Ms. Eeasha Nanayakkara

Mr. Kingsley Senadheera

Mr. Jagath Gunawardane

Mr. M G W M Kapila Gunarathne

Ms. Kumudini Ekaratne

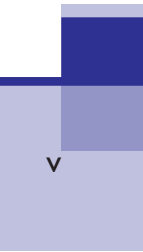
Mr. Saman Senanayake

Mr. Sisira Kumarasiri

#### *Case study Reviewers:*

Mr. A Sarveswaran

Ms. Naazima Kamardeen







# Preface

This Training Manual is an output of the global project, [Improving Natural Resource Governance for Rural Poverty Reduction](#), which is implemented in several countries by IUCN, International Union for Conservation of Nature and is funded by the Governance and Transparency Fund of UKaid from the Department for International Development of the UK. The five-year project seeks to improve livelihood security through better natural resource governance, including fair and equitable access to natural resources, and more participative and transparent decision-making. A component of this project, [Improving Natural Resource Governance for the rural poor in Sri Lanka](#) is being implemented in Sri Lanka in four sites, two in coastal ecosystems (Puttalam lagoon in the North Western Province and Periyakalapu lagoon in the Eastern Province) and two representing forest ecosystems (Nilgala in Uva Province and Peak Wilderness in the Sabaragamuwa Province).

In the course of project implementation in the four sites, IUCN Sri Lanka and its Partners have come across a wide array of issues relating to natural resource management. These include low consciousness of ‘governance’ across the society, difficulties in conceptualizing ‘governance’, lack of consideration of the key governance elements in decision-making processes, and a general lack of peoples’ participation in decision-making processes. Over the years, the communities have felt a sense of deprivation in their role as equal partners in decision-making processes that determine who may use natural resources and how, resulting in an erosion of public confidence in the related processes.

## Why a training manual?

In the course of implementing the project at the four sites, it became obvious that a concerted effort is needed to raise the awareness of a wide spectrum of the society, particularly those involved in decision-making and those who use natural resources, about governance of natural resources and how it relates to natural resource management. This Training Manual is one of the responses to this urgent need.

This Manual presents a framework, includes technical material for raising awareness, and provides basic education on governance in the context of natural resources, and is designed to target a wide audience.

There is a strongly felt need for a structured training manual to provide standard learning materials across society to promote a common understanding of the concepts, components and principles of governance, which are not clearly understood by the communities and even officials responsible for making and implementing decisions that affect natural resources and natural resource users

The learning objectives of the training course are for participants to:

- Understand the origins of the concept of governance, how it has evolved, and how the word ‘governance’ is used, and mis-used, today;

Understand the components and basic principles of governance and what they mean; and

Develop basic skills needed to apply them in practice.

The training is an opportunity for all participants to share their own experience with natural resource governance with each other and to learn from each other while learning from the course.

## Who developed it?

This Manual was developed through a wide consultative process. The leadership for the development of training materials was provided by Ms Patricia Moore, Head Regional Environmental Law Programme of IUCN. A Working Group comprised of eminent environmental lawyers, academia and practitioners supported this process in many ways.

The materials thus developed were tested, revised and refined at a series of workshops held in Sri Lanka, attended by state officials responsible for making and implementing decisions that affect natural resources, natural resource users, and other experts. Their participation brought forth an array of perspectives including field-level issues requiring practical solutions.

The regional consultation workshop and a consultative workshop in Bangladesh also provided ideas for further refinement of this Manual. Participants at these workshops represented a wide range of cultural backgrounds with knowledge and experience in making and implementing decisions that affect natural resource use.

## How is the Manual organized?

This Training Manual is divided into 14 technical sessions, introduced by an orientation session. It is designed to be conducted over three days; half-day and one-day training programmes can be extracted from the manual based on the audience, the training needs, and the resources available. The three-day training module covers the following topics:

*Day 1* : Defining governance

Components of governance

*Day 2* : Principles of governance

Governance framework

How the general components and principles of governance are applied in natural resource governance indicators

*Day 3* : Practice using the governance framework

Issues and interventions

Examples of how natural resource governance contributes to rural poverty reduction

Each session has a Module covering a particular topic. Training materials are provided for each session, and includes technical materials, power point presentations, practical examples, case studies and exercises. The organisation of the manual provides an opportunity to expand it with additional modules as we gain experiences through its use over time. The manual should therefore be considered organic and work in progress with opportunities to grow based on benefits from new experiences. A common format and structure has been adopted for the modules in order to make it user-friendly for effective teaching and learning.

## **What is the audience?**

The manual provides a framework for training that can be adapted for a wide range of audiences –from the grassroots level communities to the top-level decision-making officials –depending on the needs and the resources available. Target audiences may include the judiciary, legal professionals, politicians (national, provincial and local level), officials from government agencies (national, provincial and local level) , civil society organizations, including community based organizations, practitioners who have stake in natural resource decision making and the general public. The material can be easily adapted to suit the target audience.



# Contents

Acknowledgements-----	iii
Contributors -----	iv
Preface -----	vii
Training Plan at a Glance-----	1
Training Materials -----	18
General Guidance for Trainers – All Sessions -----	21
Individual Learning Diary -----	23
 <i>Opening session</i> -----	 27
3-day Training Agenda (PowerPoint Presentation)-----	28
 <i>NRG Session 1 - Background</i> -----	 29
Governance – the Background (PowerPoint Presentation) -----	30
 <i>NRG Session 2 – Defining Governance</i> -----	 31
Defining Governance – Background Information -----	32
Defining Governance (PowerPoint presentation)-----	34
Definitions of Governance (formatted to paste) -----	37
Definitions of Governance table (with sources)-----	45
Definitions of Governance table (without sources)-----	46
 <i>NRG Session 3 – Governance</i> -----	 47
Introducing the Components of Governance (½-day orientation and 1-day training) (PowerPoint presentation)-----	48
Introducing the Components of Governance (3-day) (PowerPoint presentation) -----	49
 <i>NRG Session 4 – Laws</i> -----	 52
Laws – Statutory and Customary – Background Information -----	53
Governance Component – Laws – Statutory and Customary (PowerPoint presentation) -----	55
Session 4 Case study: Laws – Statutory and Customary (Declaration of National Parks and Recognition of Customary Rights)-----	56
 <i>NRG Session 5 – Institutions</i> -----	 58
Institutions –Background Information -----	59
Governance Component – Institutions (PowerPoint presentation) -----	61
Session 5 Case study: Institutions (Negombo Lagoon) -----	62
 <i>NRG Session 6 – Processes</i> -----	 63
Processes –Background Information -----	64
Governance Component – Processes (PowerPoint presentation) -----	65
Session 6 Case Study: Processes (Periyakalapu Lagoon)-----	67

<i>NRG Session 7 – Principles</i> .....	68
Principles of Governance list.....	69
Governance Principles (PowerPoint presentation) .....	70
Principles of Governance – Background Information for Trainers, explaining the matrix .....	73
 <i>NRG Session 8 – Participation</i> .....	 75
Participation – Background Information .....	76
Governance Principle – Participation (PowerPoint presentation) .....	79
Session 8 Case study: Participation (Bio-safety Policy) .....	80
 <i>NRG Session 9 – Transparency</i> .....	 81
Transparency – Background Information.....	82
Governance Principle – Transparency (PowerPoint presentation) .....	83
Session 9 Case study: Transparency (Environmental Impact Assessment) .....	84
 <i>NRG Session 10 – Accountability</i> .....	 86
Accountability – Background Information .....	87
Governance Principle – Accountability (PowerPoint presentation) .....	89
Session 10 Case study: Accountability (The Marsh) .....	90
 <i>NRG Session 11 – Rule of Law</i> .....	 91
Predictability/Rule of Law – Background Information.....	92
Governance Principle – Predictability/Rule of Law (PowerPoint presentation) .....	94
Session 11 Case study: Predictability/Rule of Law (Issuing Environmental Protection Licenses) .....	95
 <i>NRG Session 12 – Governance &amp; Management</i> .....	 96
Governance and Management (PowerPoint presentation) .....	97
Natural Resource Governance and Management in Puttalam and Periyakalapu – exercise .....	98
Natural Resource Governance and Management in Ratnapura and Nilgala – exercise .....	99
Natural Resource Governance and Management in Puttalam and Periyakalapu – answers .....	100
Natural Resource Governance and Management in Ratnapura and Nilgala – answers .....	101
 <i>NRG Session 13 – Introducing the Governance Framework</i> .....	 102
Introducing the Governance Framework (PowerPoint presentation) .....	103
 <i>NRG Session 14 – Issues</i> .....	 107
Using the Governance Framework (PowerPoint presentation).....	108
Natural Resources Governance Orientation – Evaluation.....	110
Natural Resources Governance – Day 1 Training Evaluation.....	113
Natural Resources Governance – Day 2 Training Evaluation.....	117
Natural Resources Governance – Day 3 and Overall Training Evaluation.....	120
Natural Resources Governance –Training Evaluation.....	123

# Natural Resource Governance

## Training Plan at a Glance

This overall training plan provides information on all sessions of a 3-day training:

- Day 1* : Defining governance  
Components of governance
- Day 2* : Principles of governance  
Governance framework  
How the general components and principles of governance apply in natural resource governance indicators
- Day 3* : Practice using the governance framework  
Issues and interventions  
Examples of how natural resource governance contributes to rural poverty reduction

*For a half-day orientation*, use sessions A, C, and 1, 2, 3, 7, and 12 of this training plan.

The time allocated for each session is indicated in the agenda for the half-day orientation.

Session 7 in this training plan is Session 4 in the half-day orientation agenda.

Session 12 in this training plan is Session 5 in the half-day orientation agenda.

*For a 1-day training*, use sessions A, B, C, D and 1, 2, 3, 7, 12, 13, and 16 of this training plan. The time allocated for each session is indicated in the agenda for the 1-day training.

Session 7 in this training plan is Session 4 in the 1-day orientation agenda.

Session 12 in this training plan is Session 5 in the 1-day orientation agenda.

Session 13 in this training plan is Session 6 in the 1-day orientation agenda.

Session 16 in this training plan is Session 7 in the 1-day orientation agenda.

## Day 1

Session	Time	Topic	Methods and Materials	Notes
A	8.30 – 9.00	Introductions	<p><u>Methods:</u></p> <ul style="list-style-type: none"> <li>Use any one of various methods that allow participants to introduce themselves to each other – self-introductions, “interviews”, map, others</li> </ul> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>Flip charts</li> <li>Cards</li> <li>Pens/markers</li> <li>Map (optional)</li> </ul>	Optional map: with groups of participants from different parts of one country, or from different countries, individual participants can indicate where they live and work on a map of the country, region or world
B	9.00 – 9.15	Introduction to the training	<p><u>Methods:</u></p> <ul style="list-style-type: none"> <li>Brief presentation by trainer</li> <li>Questions and answers in plenary</li> </ul> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>PowerPoint presentation provided</li> <li>Agenda distributed to all participants</li> </ul>	



Session	Time	Topic	Methods and Materials	Notes
C	9.15 –09.30/09.45	Expectations	<p><u>Methods:</u></p> <ul style="list-style-type: none"> <li>For the ½-day orientation, the trainer asks participants “Why did you come to this training?” , and writes their answers on a flip chart.</li> <li>For the 1-day and 3-day training, the trainer asks participants to write on individual cards one or more answers to the question “Why did you come to this training?” Trainer groups the answers and posts them in the training venue where all participants can see them throughout the training.</li> </ul> <p><u>Optional:</u></p> <ul style="list-style-type: none"> <li>Trainer introduces the concept of a ‘learning diary’ . Participants maintain a daily “diary” for self-monitoring to record what they learn each day, what was difficult to understand, and what they would like to learn more about. In the “learning diary” participants will also note their plans for how to practically apply what they have learned by the end of the training, in their own field of work.</li> </ul> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>Cards</li> <li>Pens/markers</li> <li>Optional – printouts of a learning diary, with examples of the kind of notes participants may want to make in them</li> </ul>	<p>Training evaluation</p> <ul style="list-style-type: none"> <li>For the ½-day orientation and 1-day training, the evaluation will be done at the end of the orientation/ day.</li> <li>For the 3-day training, the evaluation will be done at the end of each day.</li> </ul> <p><u>Optional self-monitoring – Learning diary</u></p> <ul style="list-style-type: none"> <li>For the 3-day training, participants may use a “learning diary” . This is only used for a 3-day training course, not for the ½-day orientation and 1-day course.</li> </ul>

Session	Time	Topic	Methods and Materials	Notes
D	09.30/09.45 –10.00	Agreement on how the group will work together	<p><u>Method:</u></p> <ul style="list-style-type: none"> <li>The whole group discusses and agrees on the “rules of the room” – for example: turn off mobile phones, do not interrupt each other, do no talk while others are talking, respect the schedule, share responsibility, and close computers, among other possible rules. Trainer records the agreed “rules of the room” and posts them so that participants can refer to them throughout the training.</li> </ul> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>Flip chart</li> <li>Markers</li> </ul>	<p>Working groups select leaders and presenters by consensus or by voting.</p> <p>For 3-day training only:</p> <p>Ask 3 participants to volunteer to give a 2-3-minute summary of each day’s work at the beginning of Day 2 and Day 3</p>
	10.00 – 10.15	Break		
1	10.15 – 10.45	Background on the concept of governance	<p><u>Methods:</u></p> <ul style="list-style-type: none"> <li>Ask each participant to write on a card what s/he thinks “governance” is. Each participant will keep that card for the entire training session and at the end, see if his/her understanding is the same as it was at the beginning.</li> <li>After participants write out their initial ideas, the trainer makes a brief presentation, followed by discussion.</li> </ul> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>PowerPoint presentation provided</li> <li>Cards</li> <li>Pens/markers</li> </ul>	

Session	Time	Topic	Methods and Materials	Notes
2	10.45 – 12.30	Defining governance	<p><b>Methods:</b> First, an exercise</p> <ul style="list-style-type: none"> <li>Post definitions of governance on A4 paper around the room. Participants walk around and read the definitions, select the definition of governance that seems most appropriate to them, and explain why.</li> </ul> <p>or</p> <ul style="list-style-type: none"> <li>Distribute the table of definitions of governance without the sources. Groups come to a consensus on the most appropriate definition of governance and explain their decision.</li> </ul> <p>After the exercise</p> <ul style="list-style-type: none"> <li>Distribute the table of definitions of governance with the sources, for participants' information.</li> <li>Trainer makes a brief presentation on the definition of governance, followed by discussion.</li> <li>The last slide of the presentation introduces the working definition of "stakeholder" that will be used for the purpose of this training.</li> </ul> <p><b>Materials:</b></p> <ul style="list-style-type: none"> <li>Background information on defining governance</li> <li>Definitions of governance formatted to print on individual sheets of A4 paper to be posted around the room (optional, depending on space available and number of participants)</li> <li>Handout with definitions of governance without sources to be used in the exercise</li> <li>Handout with definitions of governance with the sources to be distributed for information after the exercise</li> <li>PowerPoint presentation provided</li> </ul>	<p>The method used for this exercise will depend on:</p> <ul style="list-style-type: none"> <li>the number of participants</li> <li>the space available in the training room.</li> </ul> <p>The list of definitions of governance without the sources can be distributed for both methods.</p> <p>Posting definitions of governance around the training room can be done:</p> <ul style="list-style-type: none"> <li>where there is sufficient space to post the definitions and for participants to walk around and read them, and/or</li> <li>with a small group of participants.</li> </ul> <p>With a large group of participants and/or where the space available is limited, participants must use the list of definitions without the sources.</p> <p>After Session 2, if definitions have been posted around the room, take them down. The trainer may want to post the definition of natural resource governance that is given on slide 8 in the PowerPoint presentation.</p>
	12.30 – 1.30	Lunch		

Session	Time	Topic	Methods and Materials	Notes
3	1.30 – 1.45	Introduction to the components of governance	<p><u>Methods:</u></p> <ul style="list-style-type: none"> <li>Brief presentation by trainer</li> <li>Questions and answers in plenary</li> </ul> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>2 PowerPoint presentations provided – one for the ½-day orientation and 1-day training and one for the 3-day training</li> </ul>	<p>Session 3 introducing the components of governance is only 15 minutes long in the 3-day training because Sessions 4-6 go into detail about each component.</p> <p>Session 3 is 30-minutes long in the ½-day orientation and 1-day training because information on all governance components needs to be given and discussed in Session 3.</p>
4	1.45 – 2.30	Laws –Statutory and Customary	<p><u>Method:</u></p> <ul style="list-style-type: none"> <li>Brief presentation by trainer</li> <li>Groups use a case study to analyze how statutory and customary laws function as a principle of governance</li> <li>Groups explain their analysis in plenary</li> <li>Questions and answers in plenary</li> </ul> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>PowerPoint slides provided</li> <li>Case study</li> <li>Flip charts</li> <li>Markers</li> </ul>	<ul style="list-style-type: none"> <li><b>Trainers need to emphasize who makes decisions and how decisions are made throughout the training. Each case study provides opportunities to do that in the 3-day training. The ½-day orientation and the 1-day training do not use case studies, so trainers will need to call participants' attention to "who" and "how" in the sessions on components and principles of governance.</b></li> <li>At the end of the case study there are questions for working groups to answer concerning the case</li> <li>Groups may use diagrams or any other means they choose to illustrate their analysis of the case</li> <li>Optional: if there is time, ask participants for examples of how statutory and customary laws function as components of governance in their own experience.</li> </ul>

Session	Time	Topic	Methods and Materials	Notes
5	2.30 – 3.15	Institutions	<p><u>Methods:</u></p> <ul style="list-style-type: none"> <li>Brief presentation by trainer</li> <li>Groups use a case study to analyze how institutions function as a principle of governance</li> <li>Groups explain their analysis in plenary</li> <li>Questions and answers in plenary</li> </ul> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>PowerPoint slides provided</li> <li>Case study</li> <li>Flip charts</li> <li>Markers</li> </ul>	<ul style="list-style-type: none"> <li>The link among all 3 components of governance:</li> <li><b>Institutions</b> make and implement decisions. <b>They may make and implement laws and they are often responsible for facilitating</b> processes.</li> <li>At the end of the case study there are questions for working groups to answer concerning the case</li> <li>The case study questions ask about the relationship between laws and institutions.</li> <li>Trainers need to point out to participants the ways in which the components of governance interact.</li> <li>Each case study provides opportunities to do that in the 3-day training. The ½-day orientation and the 1-day training do not use case studies, so trainers will need to call participants' attention to the interactions among the components in Session 3</li> <li>Groups may use diagrams or any other means they choose to illustrate their analysis of the case</li> <li>Optional: if there is time, ask participants for examples of how institutions function as a component of governance in their own experience.</li> </ul>
	3.15 – 3.45	Break		Before or after the break, trainer may ask one or more participants to lead an “energizer”.

Session	Time	Topic	Methods and Materials	Notes
6	3.45 – 4.30	Processes	<p><u>Method:</u></p> <ul style="list-style-type: none"> <li>Brief presentation by trainer</li> <li>Groups use a case study to analyze how processes function as a principle of governance</li> <li>Groups explain their analysis in plenary</li> <li>Questions and answers in plenary</li> </ul> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>PowerPoint slides provided</li> <li>Case study</li> <li>Flip charts</li> <li>Markers</li> </ul>	<ul style="list-style-type: none"> <li>The link among all 3 components of governance:</li> <li>Processes <b>are usually facilitated by institutions. Processes are required</b> to make and implement laws as well as decisions.</li> <li>At the end of the case study there are questions for working groups to answer concerning the case.</li> <li>The case study illustrates formal and informal processes for making and implementing decisions. The formal processes result in unfavourable outcomes. The informal process results in a favourable outcome for natural resources and natural resource users.</li> <li>Groups may use diagrams or any other means they choose to illustrate their analysis of the case</li> <li>Optional: if there is time, ask participants for examples of how processes function as a component of governance in their own experience.</li> </ul>
	4.30 – 4.45	Questions and clarifications on anything during Day 1 sessions		
	4.45 – 5.00	Evaluation and self-monitoring	<p><u>Method:</u></p> <ul style="list-style-type: none"> <li>Daily evaluation</li> <li>Self-monitoring – Learning diary</li> </ul> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>Daily evaluation form</li> <li>Learning diary</li> </ul>	Self-monitoring/the learning diary for the 3-day training only.
	5.00	Close		

## Day 2

Session	Time	Topic	Methods and Materials	Notes
	9.00 – 9.10	Participant summaries of Day 1	<p><u>Method:</u></p> <ul style="list-style-type: none"> <li>Summaries by participant volunteers</li> </ul>	Ask 3 participants to volunteer to give a 2-3-minute summary of this day's work in the morning of Day 3
7	9.10 – 10.00	Introduction to the principles of governance	<p><u>Methods:</u></p> <ul style="list-style-type: none"> <li>Distribute a list of governance principles and ask participants to select the 4 principles they think are the most important ones and explain their choice to the whole group.</li> <li>Individual or group feedback in plenary</li> <li>Brief presentation by trainer after handing out the table of governance principles</li> </ul> <p>Questions and answers in plenary</p> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>List of governance principles</li> <li>Table of governance principles to be distributed after participants have selected the 4 most important principles and discussed their choices.</li> <li>PowerPoint slides provided</li> </ul>	<p>Identification of 4 most important governance principles can be done in groups or participants can do it individually, depending on the number of participants and the time available.</p> <p>Points to draw out in discussion after participants/groups have selected the principles they think are most important:</p> <ul style="list-style-type: none"> <li>Why individual participants think specific principles are particularly important for governance, and why</li> <li>Which principles participants thought were specifically not appropriate for governance, and why.</li> </ul>
	10.00 – 10.15	Break		

Session	Time	Topic	Methods and Materials	Notes
8	10.15 – 11.00	Participation	<p><u>Method:</u></p> <ul style="list-style-type: none"> <li>Brief presentation by trainer</li> <li>Groups use a case study to analyze how participation functions as a principle of governance</li> <li>Groups explain their analysis in plenary</li> <li>Questions and answers in plenary</li> </ul> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>PowerPoint slides provided</li> <li>Case study</li> <li>Flip charts</li> <li>Markers</li> </ul>	<ul style="list-style-type: none"> <li>At the end of the case study there are questions for working groups to answer concerning the case.</li> <li>Groups may use diagrams or any other means they choose to illustrate their analysis of the case</li> </ul> <p>Optional: Trainers may want to use slides 3-5 in the PowerPoint presentation for Session 7 to reinforce the relationships between participation, the components of governance and the other principles of governance.</p> <p>Optional: if there is time, ask participants: for examples of how participation functions as a principle of governance in their own experience; what actions can be taken in Sri Lanka to promote public participation in making and implementing decisions that affect natural resources and natural resource users.</p>
9	11.00 – 11.45	Transparency	<p><u>Method:</u></p> <ul style="list-style-type: none"> <li>Groups use a case study to analyze how transparency functions as a principle of governance</li> <li>Groups explain their analysis in plenary</li> <li>Questions and answers in plenary</li> </ul> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>PowerPoint slides provided</li> <li>Case study</li> <li>Flip charts</li> <li>Markers</li> </ul>	<ul style="list-style-type: none"> <li>At the end of the case study there are questions for working groups to answer concerning the case.</li> <li>Groups may use diagrams or any other means they choose to illustrate their analysis of the case</li> </ul> <p>Optional: Trainers may want to use slides 3-5 in the PowerPoint presentation for Session 7 to reinforce the relationships between transparency, the components of governance and the other principles of governance.</p> <p>Optional: if there is time, ask participants: for examples of how transparency functions as a principle of governance in their own experience. what actions can be taken in Sri Lanka to promote transparency in making and implementing decisions that affect natural resources and natural resource users.</p>



Session	Time	Topic	Methods and Materials	Notes
	11.45 – 12.45	Lunch		
10	12.45 – 1.30	Accountability	<p><u>Method:</u></p> <ul style="list-style-type: none"> <li>Groups use a case study to analyze how accountability functions as a principle of governance</li> </ul> <p>Groups explain their analysis in plenary</p> <p>Questions and answers in plenary</p> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>PowerPoint slides provided</li> <li>Case study</li> <li>Flip charts</li> <li>Markers</li> </ul>	<ul style="list-style-type: none"> <li>At the end of the case study there are questions for working groups to answer concerning the case.</li> <li>Each group draws a diagram on a flip chart that illustrates who is accountable to whom and for what in the case</li> </ul> <p>Optional: Trainers may want to use slides 3-5 in the PowerPoint presentation for Session 7 to reinforce the relationships between accountability, the components of governance and the other principles of governance.</p> <p>Optional: if there is time, ask participants:</p> <ul style="list-style-type: none"> <li>for examples of how accountability functions as a principle of governance in their own experience;</li> <li>what actions can be taken in Sri Lanka to promote accountability in making and implementing decisions that affect natural resources and natural resource users.</li> </ul>



Session	Time	Topic	Methods and Materials	Notes
11	1.30 – 2.15	Predictability/ Rule of law	<p><u>Methods:</u></p> <ul style="list-style-type: none"> <li>Groups use a case study to analyze how predictability/rule of law functions as a principle of governance</li> <li>Groups explain their analysis in plenary</li> <li>Questions and answers in plenary</li> </ul> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>PowerPoint slides provided</li> <li>Case study</li> <li>Flip charts</li> <li>Markers</li> </ul>	<ul style="list-style-type: none"> <li>At the end of the case study there are questions for working groups to answer concerning the case.</li> <li>Groups may use diagrams or any other means they choose to illustrate their analysis of the case</li> </ul> <p>Optional: Trainers may want to use slides 3-5 in the PowerPoint presentation for Session 7 to reinforce the relationships between predictability/rule of law, the components of governance and the other principles of governance.</p> <p>Optional: if there is time, ask participants:</p> <ul style="list-style-type: none"> <li>for examples of how predictability/rule of law functions as a principle of governance in their own experience;</li> <li>what actions can be taken in Sri Lanka to promote predictability/ the rule of law.</li> </ul>

Session	Time	Topic	Methods and Materials	Notes																														
12	2.15 – 2.45	Exercise – the difference between governance and management	<p><u>Methods:</u></p> <ul style="list-style-type: none"><li>■ Brief explanation of the exercise by the trainer</li><li>■ Group exercise to identify the difference between governance issues and management issues</li><li>■ Questions and answers in plenary</li></ul> <p>Brief presentation by the trainer after the exercise</p> <p><u>Materials:</u></p> <ul style="list-style-type: none"><li>■ Exercise distributed to participants</li><li>■ PowerPoint slides provided</li><li>■ Flip chart</li><li>■ Markers</li></ul>	<p>There are two versions of this exercise. Trainers can use one or both. The explanation of what to do is in the handout.</p> <p>This exercise is usually done in groups so that there can be group discussion to identify governance and management issues. The exercise can be done individually, if there are a relatively small number of participants.</p> <p>The trainer records on a flip chart each group's or individual's identification of governance and management issues. Example:</p> <table><tr><th>Issue</th><th>Gov'nance</th><th>Mgmt</th></tr><tr><td>1</td><td></td><td>       </td></tr><tr><td>2</td><td>       </td><td></td></tr><tr><td>3</td><td>       </td><td></td></tr><tr><td>4</td><td></td><td>       </td></tr><tr><td>5</td><td>       </td><td></td></tr><tr><td>6</td><td>       </td><td></td></tr><tr><td>7</td><td></td><td>       </td></tr><tr><td>8</td><td>       </td><td></td></tr><tr><td>9</td><td>       </td><td></td></tr></table> <p>Experience with this exercise shows that almost all groups identify governance and management issues correctly.</p>	Issue	Gov'nance	Mgmt	1			2			3			4			5			6			7			8			9		
Issue	Gov'nance	Mgmt																																
1																																		
2																																		
3																																		
4																																		
5																																		
6																																		
7																																		
8																																		
9																																		
	2.45 – 3.15	Break		Before or after the break, trainer may ask one or more participants to lead an “energizer”.																														

Session	Time	Topic	Methods and Materials	Notes
13	3.15 – 4.00	Introduction to the governance framework	<p><u>Methods:</u></p> <ul style="list-style-type: none"> <li>■ Presentation by the trainer that uses the results of the exercises in Session 12 to illustrate how governance components and principles interact</li> <li>■ Questions and answers in plenary</li> </ul> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>■ Framework distributed to participants</li> <li>■ PowerPoint slides provided</li> </ul>	
14	4.00 – 4.45	Introduction to issues	<p><u>Methods:</u></p> <ul style="list-style-type: none"> <li>■ Exercise in plenary or in groups</li> <li>■ Brief presentation by the trainer</li> <li>■ Questions and answers in plenary</li> </ul> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>■ Framework distributed to participants</li> <li>■ Answers to exercise in Session 12</li> <li>■ PowerPoint slides provided</li> </ul>	<p>This session allows participants to practice with the governance framework, using the governance issues identified in Session 12.</p> <p>Trainer reminds participants that it is possible that a governance issue may involve only a governance component without involving a governance principle as well. For example – the governance issue is that there is no law, or no institution, or no process. Refer to slides 4 and 5 in the PowerPoint presentation for Session 13.</p> <p>If this exercise is done in groups, it is helpful for each group to draw the governance framework on a sheet of flip chart paper so that there is room to write in issues.</p> <p>If the exercise is done in plenary, the trainer can:</p> <ul style="list-style-type: none"> <li>■ Draw the governance framework on a sheet of flip chart paper and write in issues</li> <li>■ Use the PowerPoint slide and type in issues</li> </ul>

Session	Time	Topic	Methods and Materials	Notes
	4.45 – 5.00	Evaluation and self-monitoring	<p><u>Methods:</u></p> <ul style="list-style-type: none"> <li>■ Daily evaluation</li> <li>■ Self-monitoring – Learning diary</li> </ul> <p><u>Materials:</u></p> <ul style="list-style-type: none"> <li>■ Daily evaluation form</li> <li>■ Learning diary</li> </ul>	Ask 3 participants to volunteer to give a summary of this day's work in the morning of Day 3
	5.00	Close		
	Evening (Optional)		<p>Options for the evening of Day 2 during the 3-day training:</p> <ul style="list-style-type: none"> <li>■ offer an optional session on multi-stakeholder platforms as a mechanism to facilitate stakeholder participation in decision-making</li> <li>■ offer an optional session on public-private partnerships, possibly with a speaker from the private sector</li> <li>■ show a documentary on stakeholder involvement in making and/or implementing decisions that affect natural resources and natural resource users</li> <li>■ offer an optional session on how to conduct stakeholder analysis</li> </ul>	

## Day 3

Session	Time	Topic	Methods and Materials	Notes
	9.00 – 9.10	Participant summaries of Day 2	<u>Method:</u> <ul style="list-style-type: none"> <li>Summaries by participant volunteers</li> </ul>	
15	9.10 – 10.30	Identifying interventions	<u>Method:</u> <ul style="list-style-type: none"> <li>Group exercise</li> <li>Group feedback in plenary</li> <li>Questions and answers in plenary</li> </ul> <u>Materials:</u> <ul style="list-style-type: none"> <li>Framework</li> <li>Flip charts</li> <li>Markers</li> </ul>	<p>The purpose of this exercise is to show how identifying governance issues can be used to plan projects before they are implemented or how to identify and deal with governance issues that emerge as a project is being implemented.</p> <p>Groups use the results of the exercise in Session 12, and agree on at least one intervention that would be a step toward resolving each governance issue identified.</p> <p>Groups should draw the governance framework on a sheet of flip chart paper so that there is room to write in the interventions for each issue.</p> <p>This governance framework is also used as a basis for assessing governance, which is beyond the scope of this training.</p>
	<b>10.30 – 10.45</b>	<b>Break</b>		
16	10.45 – 11.30	Natural resource governance and poverty reduction	<u>Methods:</u> <ul style="list-style-type: none"> <li>Brief presentation by trainer or resource person/s</li> <li>Questions and answers in plenary</li> </ul>	
	11.30 – 11.45	Final questions and clarifications		

Session	Time	Topic	Methods and Materials	Notes
	11.45 – 12.00	Evaluation and self-monitoring	<u>Methods:</u> Daily evaluation Self-monitoring – Learning diary  <u>Materials:</u> Daily evaluation form Learning diary	
	12.00-12.30	Closing	Presentation of certificates Closing remarks by participants Closing remarks by organizers	
	12.30	Lunch		

## Training Materials

To hand out as a package at the beginning of the training:				
Session	Document	½-day Orientation	1-day Training	3-day Training
	Brief bio note for each trainer	■	■	■
Opening/B	Training agenda	■	■	■
C	Learning diary			■
2	Session 2 – Defining governance Background information	■	■	■
3	Laws – Statutory and Customary Background Information (Session 4 in 3-day training)	■	■	
	Institutions Background information (Session 5 in 3-day training)	■	■	
	Processes Background information (Session 6 in 3-day training)	■	■	
4	Session 4 – Laws – Statutory and Customary Background Information			■
5	Session 5 – Institutions Background information			■
6	Session 6 – Processes Background information			■
7	Participation Background Information (Session 8 in 3-day training)	■	■	
	Transparency Background Information (Session 9 in 3-day training)	■	■	
	Accountability Background Information (Session 10 in 3-day training)	■	■	
	Predictability/Rule of Law Background Information (Session 11 in 3-day training)	■	■	
8	Session 8 – Participation Background Information			■
9	Session 9 – Transparency Background Information			■
10	Session 10 – Accountability Background Information			■
11	Session 11 – Predictability/ Rule of Law Background Information			■



To use and/or hand out during sessions:				
Session	Document	½-day Orientation	1-day Training	3-day Training
1	Handout of PowerPoint presentation for Session 1	■	■	■
2	Handout of PowerPoint presentation for Session 2	■	■	■
2	Definitions of Governance to be printed and posted on the walls of the training room		■ optional	■ optional
2	Definitions of Governance – table without sources	■	■	■
2	Definitions of Governance – table with sources to be handed out for information after the exercise is finished	■	■	■
3	Handout of PowerPoint presentation for Session 3	■	■	
4	Declaration of National Parks and Recognition of Customary Rights Case study for Session 4 – Laws – Statutory and Customary			■
	Handout of PowerPoint presentation for Session 4			■
5	Negombo Lagoon Case study for Session 5 – Institutions			■
	Handout of PowerPoint presentation for Session 5			■
6	<b>Periyakalapu Lagoon</b> <b>Case study for Session 6 – Processes</b>			■
	Handout of PowerPoint presentation for Session 6			■
7	Handout of PowerPoint presentation for Session 7	■	■	■
	Handout of table of principles of governance	■	■	■
8	Biosafety Policy Case study for Session 8 – Participation			■
	Handout of PowerPoint presentation for Session 8			■
9	Environmental Impact Assessment Case study for Session 9 – Transparency			■
	Handout of PowerPoint presentation for Session 9			■
10	Marsh Land Case study for Session 10 – Accountability			■
	Handout of PowerPoint presentation for Session 10			■

To use and/or hand out during sessions:				
Session	Document	½-day Orientation	1-day Training	3-day Training
11	Issuing Environmental Protection Licenses Case study for Session 11 Predictability/ Rule of Law			■
	Handout of PowerPoint presentation for Session 11			■
12	Natural Resource Governance and Management in Ratnapura and Nilgala – exercise	■	■	■
	Natural Resource Governance and Management in Puttalam and Periyakalapu – exercise	■	■	■
	Natural Resource Governance and Management in Ratnapura and Nilgala – answers to be handed out after the exercise	■	■	■
	Natural Resource Governance and Management in Puttalam and Periyakalapu – answers to be handed out after the exercise	■	■	■
	Handout of PowerPoint presentation for Session 12	■	■	■
13	Handout of PowerPoint presentation for Session 13		■	■
14	Session 14 – Ratnapura and Nilgala – Governance Issues			■
	Session 14 – Puttalam and Periyakalapu Governance Issues			■
15	Session 15 – Governance Framework – Identifying Interventions			■
16	Handout of PowerPoint presentation for Session 16		■	■
Evaluation forms		■	■	■

# General Guidance for Trainers – All Sessions

## Content

Participants will come for this orientation or training because natural resource governance is significant in their work. There may be as many different ideas about what natural resource governance is, as there are participants. The purpose of the training is to give participants a clear and simple way to understand natural resource governance and a framework that helps them to apply that understanding in their work.

After the definition of governance is introduced in Session 2, in all subsequent sessions continually reinforce the concept that natural resource governance is about making and implementing decisions that affect natural resources and natural resource users, and about how those decisions are made and implemented. Many participants come to governance training with the idea that governance is government and may need several sessions and repeated reinforcement to begin to come to terms with the idea that governance is the interaction between government and citizens.

## Logistics

To the extent possible, try to ensure that working group reflect a cross-section of the participants' backgrounds and experience.

Allow as much time as possible for the exercises or case study analysis and feedback, and keep the time spent on presentations to a minimum

Clearly tell participants how much time they have for each exercise and specify the time by which they must finish.

Because time is relatively limited, trainer will need to closely monitor use of the time available for group feedback to ensure that all issues raised by each exercise are addressed When there are two or more trainers:

There should be a lead trainer for each day and/or for each session.

Each trainer should explicitly close the session s/he is conducting before handing over to the next trainer for the following session.

When the training is more than one day, trainers should coordinate between themselves at the end of each day or before the first session on the following day, to ensure coherence in the transition from one day and session to the next.

# Individual Learning Diary<sup>1</sup>

*[title of training]*

*[date(s) of training]*

*[venue of training (optional)]*

*[place of training]*

The goal of using the diary is to help you track your progress and document what you learn each day.

## Objectives

- » Stimulate your active participation in this training.
- » Stimulate reflection and self-evaluation in a more systematic way.
- » Help you to keep track of ideas for your personal action plan.
- » Identify personal mindsets and behaviours that you may consider changing for improving professional performance
- » Record what you may want to include in the overall evaluation of the training.

At the end of every day you can reflect on some of the learning points of the day (What did we do? What was new to me? What particularly interested me, and why?). In particular, it is helpful to record how you think you can apply what you have learned in your own work. You can also note the issues, concepts, or ideas that are puzzling you, and still have to be clarified.

## Procedure

- » At the end of every day, answer the questions in the learning diary. As you do that, think about the “guiding questions” in the box below.
- » At the beginning of the next day, ask for clarification of concepts that are still not clear.

## Guiding questions

- » What particularly interested or impressed me today: Ideas? People? Questions or challenges? Something else?
- » What will I remember in three months?
- » What was most relevant for me today?
- » Which lessons or ideas can I apply in my work situation? Which challenges might I run into when I try to do that?
- » Which of the things that I learned today would I like to continue to work on?
- » Which of the things that I learned today would I like to pass on to others in my organisation? How would I do that?
- » What questions do I still have about what I learned today? What can I do to get answers?
- » What would I like to discuss in more detail?

<sup>1</sup> Adapted from a learning diary originally developed by Wageningen International, The Netherlands, and Center for International Forestry Research (CIFOR), Indonesia.

# Individual Learning Diary

Name:

Personal learning needs / objectives at the start of the training

## Day 1

Date:

1. What was today's programme in key words?
2. Personal learning: What did you learn today?
3. Implications for you: What are the implications of this learning for you in your work/ organisation?
4. What new questions do you have as a result of what you learned today?

## Day 2

Date:

1. What was today's programme in key words?
2. Personal learning: What did you learn today?
3. Implications for you: What are the implications of this learning for you in your work/ organisation?
4. What new questions do you have as a result of what you learned today?

## Day 3

Date:


1. What was today's programme in key words?
2. Personal learning: What did you learn today?
3. Implications for you: What are the implications of this learning for you in your work/ organisation?
4. What new questions do you have as a result of what you learned today?

Additional notes....





# Opening Session




# Natural Resource Governance

[title of orientation]  
[date/s of orientation]  
[venue (optional)]  
[place]

Trainer's name (optional)

1



## Day 1

- Defining governance
- Components of governance


## Day 2

- Principles of governance
- Governance framework

## Day 3

- Practice using the governance framework
- Issues, interventions, indicators
- Assessment indicators
- How natural resource governance contributes to rural poverty reduction


2



### Day 1

Session	When	What
A	8.30 – 9.00	Introductions
B	9.00 – 9.15	Introduction to the training plan
C	9.15 – 09.45	Expectations
D	9.45 – 10.00	Agreement on how the group will work together
	10.00 – 10.15	Break
1	10.15 – 10.45	Background on the concept of governance
2	10.45 – 12.30	Defining governance
	12.30 – 1.30	Lunch
3	1.30 – 1.45	Introduction to the components of governance
4	1.45 – 2.30	Laws – Statutory and Customary
5	2.30 – 3.15	Institutions
	3.15 – 3.45	Break
6	3.45 – 4.30	Processes
	4.30 – 4.45	Questions and clarifications
	4.45 – 5.00	Final questions and clarifications
	4.45 – 5.00	Evaluation and self -monitoring
	5.00	Close


3



### Day 2

Session	When	What
	9.00 – 9.10	Participant summaries of Day 1
7	9.10 – 10.00	Introduction to the principles of governance
	10.00 – 10.15	Break
8	10.15 – 11.00	Participation
9	11.00 – 11.45	Transparency
	11.45 – 12.45	Lunch
10	12.45 – 1.30	Accountability
11	1.30 – 2.15	Predictability/Rule of law
12	2.15 – 2.45	Exercise – the difference between governance and management
	2.45 – 3.15	Break
13	3.15 – 4.00	Introduction to the governance framework
14	4.00 – 4.30	Introduce issues and interventions
	4.30 – 4.45	Questions and clarifications
	4.45 – 5.00	Evaluation and self -monitoring
	5.00	Close

4

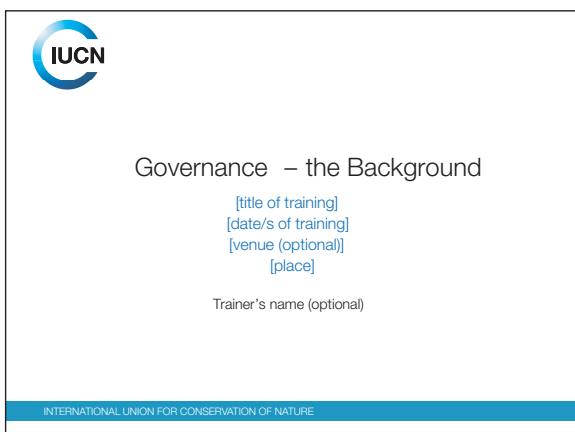


### Day 3

Session	When	What
	9.00 - 9.10	Participant summaries of Day 2
15	9.10 - 10.30	Identify interventions
	10.30 - 10.45	Break
16	10.45 - 11.30	Natural resource governance and poverty reduction
	11.30 - 11.45	Final questions and clarifications
	11.45 - 12.00	Evaluation and self -monitoring
	12.00 - 12.30	Closing
	12.30	Lunch

5

# NRG Session **1:** Background



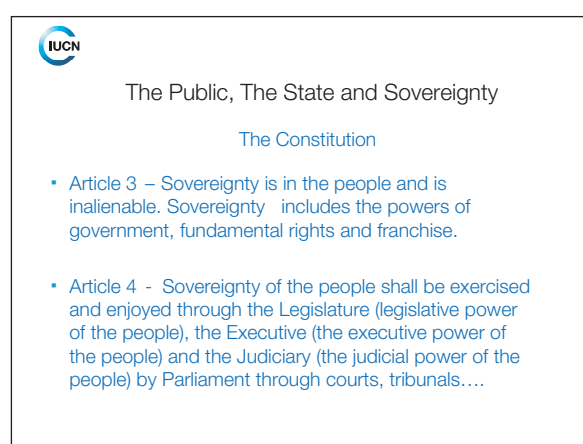
1



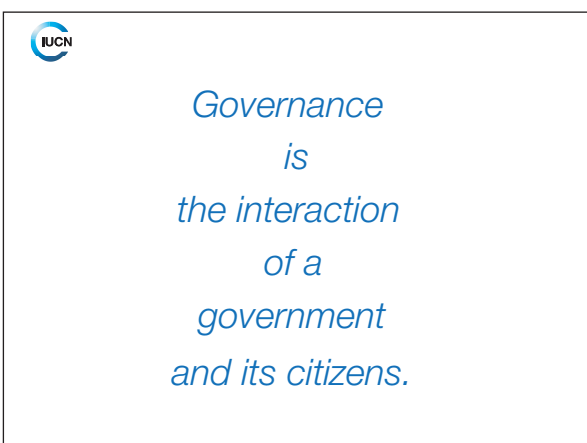
2



3



4



5



6

**NRG Session 2:**  
**Defining Governance**

## Defining Governance

### Background information

The modern concept of governance has been with us for more than 300 years. It has attracted increasing attention in the development and conservation fields in the past 20 years.

At the 2002 World Summit on Sustainable Development, governments made a commitment to improve governance. The term “governance” is often used, however, without specifying what the writer or speaker actually means by it.

Since the mid-1990s, many institutions and organizations – including United Nations agencies, multilateral development banks, regional economic integration organizations, bilateral international aid agencies, and think tanks – have developed their own definitions of governance. These multiple definitions are similar in some ways and very different in others. This has created confusion about what governance is.

Many of the definitions of governance adopted by national and international organizations focus on the exercising of power and authority. Others emphasize processes and decision-making. Other definitions highlight rules or laws and institutions. Others say that “governance” and “management” are the same thing. Other sources, instead of defining governance, simply describe what it should be.

Some definitions say that “governance” and “government” are the same, but this is the opposite of the original concept. Some modern English-language dictionaries unfortunately define both “governance” and “government” using the same words. This creates the impression that “governance” and “government” are the same thing, but they are not. Government alone is not responsible for making and implementing decisions – governance requires the participation of all citizens.

Some of the definitions say that governance is management. This is not the case. Management is part of governance. Governance is strategic. Management is operational. Governance involves making and implementing decisions. Management is a tool for implementing decisions. Governance is about making the big decisions about what must be done – for example, a decision that irrigation must be managed at the community level. Management determines how those water resources are distributed equitably – when each farmer receives water and what type of mechanisms are used to deliver the water, for example.

Looking at definitions that have been developed over the past 20 years, we see that governance involves the exercise of power, decision-making, and implementation of decisions. The major components of governance are: laws or rules; institutions; and processes.

Governance is not “one-size-fits-all”. Because the concept of governance originated in northern and western societies, it is often a challenge to attempt to translate it and apply it in non-western societies. Many of the institutions that have defined “governance” over the years have pointed out that governance is dynamic and evolves differently in different societies and cultures. These

definitions reflect the specific purposes and focus of the institutions that have developed them. Although many institutions refer to “good governance” as a global goal, many others recognize that many of the values ascribed to “good” governance are not necessarily commonly understood and practiced in non-western societies. Many criteria that are currently put forward to describe “good” governance were in fact the results of development in industrialized countries.

The United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP) points out that “good governance” is an ideal which is difficult to achieve, but toward which societies should strive. This helps to put governance in context. It is more realistic to understand that any country will have a range of ways for making governance function.

Thinking of governance in terms of its components and principles will make it easier to focus on what is working in a country and how to build on that.

This information is adapted from:

Moore, Patricia, Thomas Greiber, and Saima Baig. 2010. *Forest Law Governance and Law Enforcement: Findings from the Field*. IUCN.

A version of this information also appears in Moore, Patti, Xuemei Zhang, and Ronnakorn Tririganon. 2010. *Natural Resource Governance Trainers’ Manual*. IUCN, RECOFTC, SNV, Bangkok.

## References

van Bodegom, Arend J. *et al.* 2008. *FLEGT beyond T: Exploring the meaning of “Governance” concepts for the FLEGT process*, p. IV-3. Wageningen University & Research Centre, Wageningen, the Netherlands. Available on-line:

[http://www.cdic.wur.nl/NR/rdonlyres/DFDA8928-9664-4EF3-A593-C5E3023D3164/70310/FLEGT\\_beyond\\_T.pdf](http://www.cdic.wur.nl/NR/rdonlyres/DFDA8928-9664-4EF3-A593-C5E3023D3164/70310/FLEGT_beyond_T.pdf) Accessed 13 September 2009

Borrini-Feyerabend, Grazia. 2008. *Implementing the CBD Programme of Work on Protected Areas: Governance as key for effective and equitable protected area systems*. IUCN Commission on Environmental, Economic and Social Policy. Briefing Note 8. February. p. 1. Available on-line:

[http://cmsdata.iucn.org/downloads/governance\\_of\\_protected\\_areas\\_for\\_cbd\\_pow\\_briefing\\_note\\_08\\_1.pdf](http://cmsdata.iucn.org/downloads/governance_of_protected_areas_for_cbd_pow_briefing_note_08_1.pdf) Accessed 20 November 2009.

Bosselmann, Klaus, Engel, Ron and Taylor, Prue. 2008. *Governance for Sustainability – Issues, Challenges, Successes*. IUCN, Gland, Switzerland.

Regional Community Forestry Training Center for Asia and the Pacific. 2004. *Multiplying the Impact of Community Forestry: RECOFTC Strategic Plan 2004-2009*. Available on-line:

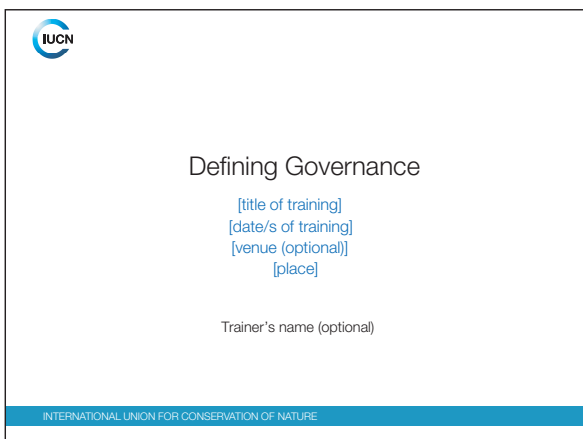
[http://www.recoftc.org/site/fileadmin/docs/publications/The\\_Grey\\_Zone/RECOFTCStrategicPlan04-09/RECOFTC\\_strategic\\_plan\\_2004-2009.pdf](http://www.recoftc.org/site/fileadmin/docs/publications/The_Grey_Zone/RECOFTCStrategicPlan04-09/RECOFTC_strategic_plan_2004-2009.pdf) Accessed 20 November 2009.

Grindle, Merilee S. 2002. *Good Enough Governance: Poverty Reduction and Reform in*

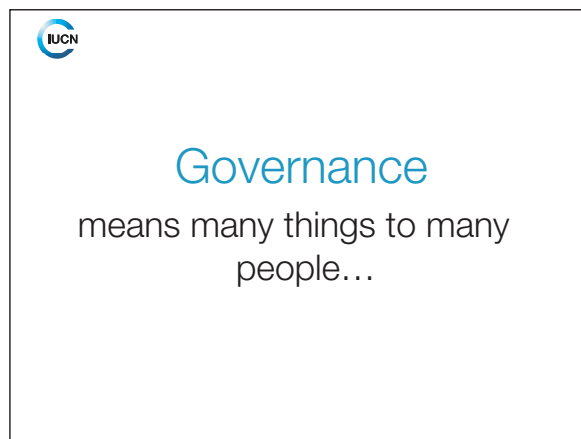
*Developing Countries*. Prepared for the Poverty Reduction Group of the World Bank. Available on-line: <http://www.gsdr.org/docs/open/HD32.pdf> Accessed 10 May 2009.

Mayers, J. et al. 2006. Forest Governance and social justice: practical tactics from a learning group approach in Africa. In *International Forestry Review* Vol. 8(1), p. 102. Available on-line: <http://portals.wi.wur.nl/files/docs/landscapes/forest%20governance%20learning%20group%20experiences.pdf> Accessed 7 November 2009.

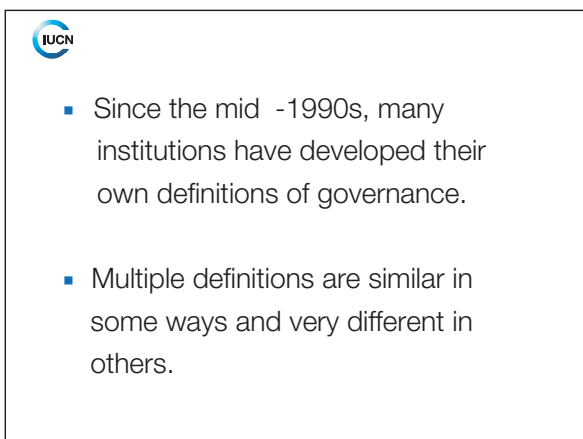
Plumptre, Tim and John Graham. 1999. *Governance and Good Governance: International and Aboriginal Perspectives*. Institute on Governance. Canada. December 3, 1999. Available on-line: <http://www.iog.ca/publications/govgoodgov.pdf> Accessed 25 October 2009. An updated version of the 1999 paper was published in 2000: Plumptre, Tim and John Graham. 2000. *Governance in the New Millennium: Challenges for Canada*. Institute on Governance. January. Available on-line: <http://www.iog.ca/publications/governance.pdf> Accessed 9 November 2009.



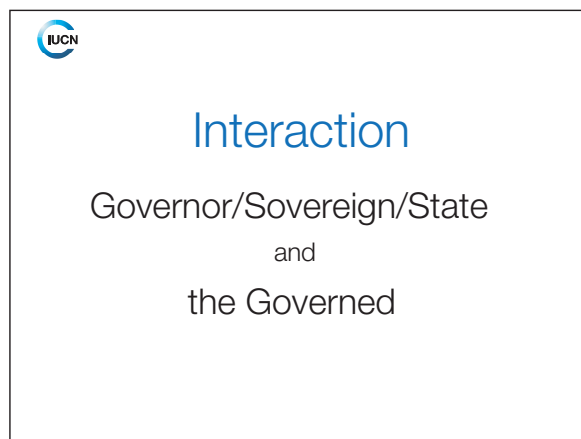
1



2



3



4





## Interaction

- Statutory and customary laws
  - Institutions
  - Processes
  - Principles

5



## Interaction

Powers  
and  
Responsibilities

6



To make decisions  
  
To implement decisions

7



Natural Resource Governance  
is the  
interaction of laws, institutions, processes  
and principles  
through which a society exercises  
powers and responsibilities  
to make and implement decisions  
affecting natural resources and natural  
resource users.

8



Who has the power to make a  
decision that affects natural  
resources and natural  
resource users ?

How is the decision made?

9



Who has the responsibility to  
implement a decision that  
affects natural resources and  
natural resource users?

How is the decision  
implemented?

10



### Making Decisions – An Example

A government, without prior consultation with local people, made a decision to approve a mega -development project that will require relocating people who live on the land where the project is to be carried out.

11



### Making Decisions – An Example

A government made a decision to adopt a law to govern the natural resources in an area where local people have customary laws that governed the same resources for generations. There was no consultation with local people concerning the new statutory law, which does not take local customary law into account and is in conflict with it.

12



### Making Decisions – An Example

A government made a decision to approve re -routing a road through a coastal wetland, with no consultation with local communities. The road caused fundamental changes in the water flow and quality that have in turn significantly affected local livelihoods.

13



### A stakeholder is someone who

- has an **interest** in;
- will be directly or indirectly **affected** by;  
and/or
- can or wants to **influence** natural resource governance

14

1

Governance is the exercise of political, economic and administrative authority in the management of a country's affairs at all levels.

2

Governance means the process of decision-making and the process by which decisions are implemented, or not implemented.

### 3

Governance is the exercise of political, economic and administrative authority necessary to manage a nation's affairs.

### 4

Good governance is the transparent and accountable management of human, natural, economic and financial resources for the purposes of equitable and sustainable development.

# 5

Governance means rules, processes and behavior that affect the way in which powers are exercised at [regional] level, particularly as regards openness, participation, accountability, effectiveness and coherence.

# 6

Governance consists of the traditions and institutions by which authority in a country is exercised. This includes the process by which governments are selected, monitored and replaced; the capacity of the government to effectively formulate and implement sound policies; and the respect of citizens and the state for the institutions that govern economic and social interactions among them.

7

Governance is a process referring to the manner in which power is exercised in the management of the affairs of a nation, and its relations with other nations.

8

Governance is about the institutional environment in which citizens interact among themselves and with government agencies/officials.

## 9

Governance encompasses the values, rules, institutions, and processes through which people and organizations attempt to work towards common objectives, make decisions, generate authority and legitimacy, and exercise power.

## 10

Governance is about the use of power and authority and how a country manages its affairs.



# 11

Governance is the process whereby societies or organizations make important decisions, determine whom they involve and how they render account.

# 12

Governance is the process or method by which society is governed.

# 13

Governance describes the overall manner in which public officials and institutions acquire and exercise their authority to shape public policy and provide public goods and services.

## Definitions of Governance

1	UNDP defines governance as the exercise of political, economic and administrative authority in the management of a country's affairs at all levels. <sup>i</sup>	United Nations Development Programme (UNDP)
2	Governance means the process of decision-making and the process by which decisions are implemented, or not implemented. <sup>ii</sup>	United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP)
3	Governance is the exercise of political, economic and administrative authority necessary to manage a nation's affairs. <sup>iii</sup>	Organisation for Economic Co-operation and Development (OECD)
4	Good governance is the transparent and accountable management of human, natural, economic and financial resources for the purposes of equitable and sustainable development. <sup>iv</sup>	Council of the European Union
5	Governance means rules, processes and behaviour that affect the way in which powers are exercised at European level, particularly as regards openness, participation, accountability, effectiveness and coherence. <sup>v</sup>	Commission of the European Communities
6	Governance consists of the traditions and institutions by which authority in a country is exercised. This includes the process by which governments are selected, monitored and replaced; the capacity of the government to effectively formulate and implement sound policies; and the respect of citizens and the state for the institutions that govern economic and social interactions among them. <sup>vi</sup>	The World Bank
7	A process referring to the manner in which power is exercised in the management of the affairs of a nation, and its relations with other nations. <sup>vii</sup>	African Development Bank (AfDB)
8	Governance is about the institutional environment in which citizens interact among themselves and with government agencies/officials. <sup>viii</sup>	Asian Development Bank (ADB)
9	Governance encompasses the values, rules, institutions, and processes through which people and organizations attempt to work towards common objectives, make decisions, generate authority and legitimacy, and exercise power. <sup>ix</sup>	Canadian International Development Agency (CIDA)
10	Governance is about the use of power and authority and how a country manages its affairs. <sup>x</sup>	Department for International Development (DFID)
11	Governance is the process whereby societies or organizations make important decisions, determine whom they involve and how they render account. <sup>xi</sup>	Institute on Governance
12	Governance is the process or method by which society is governed. <sup>xii</sup>	International Institute for Environment and Development (IIED)
13	Governance describes the overall manner in which public officials and institutions acquire and exercise their authority to shape public policy and provide public goods and services. <sup>xiii</sup>	The Brookings Institution

# Definitions of Governance

- 1 Governance is the exercise of political, economic and administrative authority in the management of a country's affairs at all levels.
- 2 Governance means the process of decision-making and the process by which decisions are implemented, or not implemented.
- 3 Governance is the exercise of political, economic and administrative authority necessary to manage a nation's affairs.
- 4 Good governance is the transparent and accountable management of human, natural, economic and financial resources for the purposes of equitable and sustainable development.
- 5 Governance means rules, processes and behaviour that affect the way in which powers are exercised at [regional] level, particularly as regards openness, participation, accountability, effectiveness and coherence.
- 6 Governance consists of the traditions and institutions by which authority in a country is exercised. This includes the process by which governments are selected, monitored and replaced; the capacity of the government to effectively formulate and implement sound policies; and the respect of citizens and the state for the institutions that govern economic and social interactions among them.
- 7 A process referring to the manner in which power is exercised in the management of the affairs of a nation, and its relations with other nations.
- 8 Governance is about the institutional environment in which citizens interact among themselves and with government agencies/officials.
- 9 Governance encompasses the values, rules, institutions, and processes through which people and organizations attempt to work towards common objectives, make decisions, generate authority and legitimacy, and exercise power.
- 10 Governance is about the use of power and authority and how a country manages its affairs.
- 11 Governance is the process whereby societies or organizations make important decisions, determine whom they involve and how they render account.
- 12 Governance is the process or method by which society is governed.
- 13 Governance describes the overall manner in which public officials and institutions acquire and exercise their authority to shape public policy and provide public goods and services.

# NRG Session **3:** Governance

Introducing  
the Components of Governance

[title of training]  
[date/s of training]  
[venue (optional)]  
[place]

Trainer's name (optional)

1

Natural Resource Governance

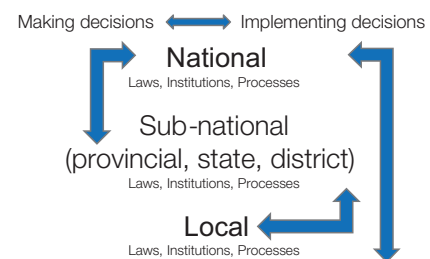
is the  
interaction of **laws, institutions, processes** and principles  
through which a society exercises  
powers and responsibilities  
to make and implement decisions  
affecting natural resources and natural  
resource users.

2

- Statutory and customary laws
  - Institutions
  - Processes

3

Governance at multiple levels –  
on-going, all the time



4

## Introducing the Components of Governance

[title of training]  
[date/s of training]  
[venue (optional)]  
[place]

Trainer's name (optional)

1

Natural Resource Governance  
is the  
interaction of **laws**, **institutions**,  
**processes** and principles  
through which a society exercises  
powers and responsibilities  
to make and implement decisions  
affecting natural resources and natural  
resource users.

2

- Statutory and customary laws
  - Institutions
  - Processes

3

### Statutory law

- Source of rights – rights of non-State stakeholders, individual/collective rights
- Command and control, focus on exploitation/enabling, focus on sustainability
- Reactive/proactive
- Dispute resolution/access to justice

4

### Customary law

*Source of rights – collective rights*

*Source of access to justice*

**Customary law in national constitutions:**

- Sri Lanka, Nepal – recognize the right to language and culture
- Bangladesh, India, Pakistan – “law” includes custom
- Afghanistan, Bhutan, Maldives – no mention

5

### Institutions

An organization or body  
that has responsibility  
for one or more aspects  
of natural resource  
governance

6

## Institutions

- Make and implement decisions
- May make and implement laws
- Often responsible for processes

7

## Institutions

“Formal” institutions are usually created or recognized by statutory law.

Examples:

- government ministries and other agencies
- national and sub -national parliaments/ assemblies/ legislatures
- the courts
- legally -registered non -governmental organizations
- private sector associations
- legally -registered community -based organizations

8

## Institutions

“Informal” institutions are usually citizen groups that organize to ensure that they have a voice in decision - making and implementation, but which do not take the step of formal legal registration

Example:

- community-based organizations working in the field of natural resource conservation.

9

## Institutions

Customary institutions

- usually older than statutory institutions
- in some societies, stronger than statutory institutions

Examples:

- decision -makers and decision -making bodies
- customary authorities with responsibility for natural resources
- customary dispute resolution bodies

10

## Institutions

- Multiple institutions – statutory & customary
- Multiple levels – local, sub -national, national
- Strengthening institutions needs to take all types of institutions into account & link them

11

## Processes

A process is a series of actions carried out for the purpose of achieving something

12



## Processes

- Make decisions
- Implement decisions
- Negotiate and mediate among stakeholders with differing interests.

13

## Processes

- Open/transparent processes facilitate understanding and consensus.
- Closed/non-transparent processes can create the perception that decision-makers or implementers have something to hide.

14

## Processes

Making and changing a law or rule requires a process, and a law or rule may specify a process for its implementation.

Examples of processes that may be created by law:

- decentralization processes;
- processes to plan for natural resource allocation and use;
- development planning processes;
- processes for distributing benefits;
- processes for following through on agreements to share benefits between customary rights holders and commercial interests.

15

## Processes

- Multiple levels
- “Macro” – decentralization, EIA
- “Micro” – permitting
- Statutory & customary, formal & informal – dialogues

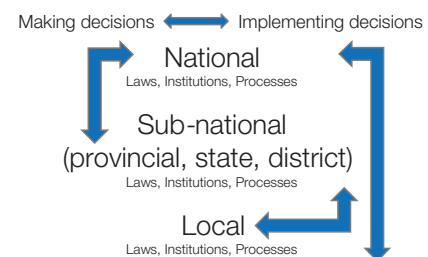
16

## Processes

- Opportunities for participation
- Enabled by transparency
- Safeguards built into processes support accountability
- Skills to facilitate participatory processes often lacking in government institutions

17

## Governance at multiple levels – on-going, all the time



18

# NRG Session **4:** Laws

## Laws – Statutory and Customary Background Information

Statutory and customary laws create rights, provide the foundation for institutions and processes, and establish the basic principles for how people interact with each other and with natural resources. Economic and financial interests drive much of the decision-making concerning natural resources and they are reflected in both customary and statutory laws.

Statutory law is the written or codified law of a country. It is created by national or sub-national authorities with law-making power, usually the legislative and executive branches of government.

Customary law is developed over time by traditional societies and is usually transferred orally from generation to generation. There are some cases in which customary law is written down. Unwritten, customary laws are the basis for decision-making about natural resources in many societies, even when there is also statutory law governing those resources.

The text that follows explains more about statutory law and customary law.

### Statutory law

Statutory law governing natural resources usually establishes institutions that manage those resources. It may also specify processes for which those institutions are responsible. Examples of natural resource laws include:

- basic or framework environmental law;
- forest law, including community or social forestry law;
- wildlife law;
- water law;
- fisheries law;
- coastal and marine resources law.

Natural resources may be governed by other types of laws as well. Those may include:

- land law;
- agriculture law;
- protected areas law;
- biodiversity law, including access to genetic resources.
- administrative law
- civil law
- criminal law

Statutory law generally focuses on the individual. It may grant and restrict rights to access and use natural resources. It may – but it does not always – provide for access to information about natural resources, public participation in decision-making about natural resources, and accountability of government officials responsible for natural resources. Statutory law usually includes provisions governing revenues from natural resources. It sometimes, but not always, also provides for sharing benefits from natural resources.

## Customary law

Customary law is usually collective, but it also frequently recognizes individual rights. For the purposes of this training, it can be understood as rules that a society develops over time that are usually passed from generation to generation by word of mouth. Analysis of current practice of customary law has shown that it is consistent with the definition of governance – it establishes who has decision-making power, who has the power and responsibility to implement decisions, and who is held accountable and how.

Customary law governing natural resources is actually far more widely applied than is often assumed or accepted. There is strong evidence that customary law currently governs large areas of forest around the world. But there are no data to prove the degree to which local communities and indigenous peoples apply their customary law. It is often the case that customary and statutory law are different and conflicting. And it is also often the case that communities are most likely to apply their customary law governing natural resources when there are no statutory authorities close by to attempt to enforce statutory law.

Around the world, more than 100 countries recognize customary law by constitution, by statutory law, or both. Twenty-eight of these countries are in Asia. Even in countries that provide constitutional recognition, customary law often operates independently, sometimes in parallel to and sometimes in conflict with statutory law. A small number of countries recognize that local communities and indigenous peoples apply their customary laws within their own territories. There is increasing support for the idea that rights originating in customary law should be recognized. Several countries have done that; many more have not.

## References

Bilal, Asad, Huma Haque and Patricia Moore. 2003. *Customary Laws Governing Natural Resource Management in the Northern Areas*. IUCN Pakistan Environmental Law Programme.

Colchester, M. et al. 2006. *Justice in the forest: Rural livelihoods and forest law enforcement*. Bogor, Indonesia: Center for International Forestry Research (CIFOR). Available on-line: [http://www.cifor.cgiar.org/publications/pdf\\_files/Books/BColchester0601.pdf](http://www.cifor.cgiar.org/publications/pdf_files/Books/BColchester0601.pdf) Accessed 30 March 2009.

Corbett, Andrew and Brian T. B. Jones. 2000. *The legal aspects of Governance in CBNRM in Namibia*. Paper prepared for the CASS/PLASS Second Regional Meeting on the legal aspects of governance in CBNRM,

University of the Western Cape, 16-17 October 2000, p. 4. Available on-line: [http://www.cbnrm.net/pdf/corbett\\_001.pdf](http://www.cbnrm.net/pdf/corbett_001.pdf) Accessed 1 May 2009.


Ellsworth, Lynn. 2004. A Place in the World: A Review of the Global Debate on Tenure Security. Ford Foundation. Available on-line: [http://www.fordfound.org/pdfs/impact/place\\_in\\_world.pdf](http://www.fordfound.org/pdfs/impact/place_in_world.pdf) Accessed 30 March 2009.

Nguyen Quang Tan, Nguyen Van Chinh, and Vu Thu Hanh. 2008. *Statutory and Customary Forest Rights and their Governance Implications: The Case of Viet Nam*. IUCN Viet Nam. Hanoi. Available on-line: [http://cmsdata.iucn.org/downloads/vn\\_flegt\\_assessment\\_report\\_en.pdf](http://cmsdata.iucn.org/downloads/vn_flegt_assessment_report_en.pdf) Accessed 20 May 2010

This information is adapted from:

Moore, Patricia, Thomas Greiber, and Saima Baig. 2010. *Forest Law Governance and Law Enforcement: Findings from the Field*. IUCN.

A version of this information also appears in Moore, Patti, Xuemei Zhang, and Ronnakorn Tririganon. 2011. *Natural Resource Governance Trainers’ Manual*. IUCN, RECOFTC, SNV, Bangkok.



Governance Component


Laws – Statutory and Customary

[title of training]  
[date/s of training]  
[venue (optional)]  
[place]

Trainer’s name (optional)

INTERNATIONAL UNION FOR CONSERVATION OF NATURE

1



Statutory law

- Source of rights to natural resources – rights of non-State stakeholders, individual/collective rights
- Command and control, focus on exploitation /enabling, focus on sustainability
- Reactive /proactive
- Dispute resolution/access to justice

2



Customary law

Source of rights to natural resources – collective rights

Source of access to justice

Customary law in national constitutions:

- Sri Lanka, Nepal – recognize the right to language and culture
- Bangladesh, India, Pakistan – “law” includes custom
- Afghanistan, Bhutan, Maldives – no mention

3

## Session 4 Case Study

### Laws – Statutory and Customary

#### Declaration of National Parks and Recognition of Customary Rights

Sri Lanka's indigenous people, known as *Wanniyaletto*, *Adivasi* or *Veddha*, Community has a history dating back several thousand years. Prior to the commencement of the Mahaweli Development Project in early 1980s, Dambana and its surrounding areas were covered by forest. The *Adivasi* community engaged in traditional practices such as hunting, gathering of bee honey and berries, Chena (shifting) cultivation and carrying out their rituals. The *Adivasi* claim customary rights to the land and resources. It is unclear whether the *Adivasi* community had documented title to their homesteads though they had been in occupation for centuries.

In terms of the Fauna and Flora Protection Ordinance (FFPO), a national park cannot be declared over non-State land.

Maduru Oya National Park was declared on the 9<sup>th</sup> November 1983 under the FFPO. All who were living inside the National Park area were resettled outside the park except the *Adivasi* Leader Uruwarige Tissahamy, the chieftain of the *Adivasi* clan at that time, and his immediate family members – 7 households as per the census conducted by the DWC in 1990. They continued to occupy their original homes in Kotabakiniya, Dambana at Maduru Oya National Park, while some of the clan members had homesteads just outside the park. The *Adivasi* community continued their traditional practices even after the declaration of the park. This led to many confrontations between the Park Management and the *Adivasi* community.

Under the FFPO, section 3, it is prohibited to enter a National Park except for the purpose of observing fauna and flora. Hunting, killing or taking animals, or damaging, collecting or destroying plants are also prohibited.

It is reported that *Adivasi* clan members in Henanigala made several attempts in May 1992, October 1998, July 2003 and October 2005 to enter the park and re-occupy their former lands. DWC officials resisted these attempts. The *Adivasi* community has been progressively integrating with the dominant society and their traditional livelihood practices are disappearing. It is also reported that individual members of the *Adivasi* clan have attempted to enter the National Park to hunt for commercial purposes, rather than for customary subsistence purposes.

The Constitution provides that every bill under consideration must be published in the Gazette seven days before it is placed on the Order Paper of Parliament. The most recent amendment to the FFPO came into effect on the 20<sup>th</sup> April 2009. Under section 3(3)(a) traditional practices have been identified, and under section 3(3)(b) the Minister can prescribe the customs, usage and traditional practices which may be exercised in any land within the limits of a National Park. The *Adivasi* community claims that it did not know that this amendment was being considered and therefore did not have any opportunity to comment. Regulations for the recent amendment are yet to be made, so it is not yet known whether the traditional practices of *Adivasi* community will be covered by the amendment.

### Questions on the case study

1. How did the conflict between customary law and statutory law in this case begin?
2. What decisions could statutory authorities take to resolve the conflict? What decisions could customary authorities take to resolve the conflict?
3. What process or processes could statutory authorities use to take and implement those decisions in a way that would avoid future conflict?

**NRG Session**



**Institution**



# Institutions

## Background information

Institutions make and implement decisions. They may make and implement laws and other rules, and are responsible for processes as well. As decision-makers and implementers, institutions play a key role in natural resource governance and in economic and social development more generally. The way in which institutions make and implement decisions, and how they implement laws and rules, has great influence on the sustainability of natural resource use.

### What is an “institution”?

In the fields of development and natural resource conservation, “*institution*” refers to an *organisation or body that has responsibility for one or more aspects of natural resource governance or development*. A reference to “institutional strengthening” usually means building the capacity of government agencies. More recently, “institutional strengthening” may also include building the capacity of civil society organizations as well. This training manual uses this definition of “institution”.

### Types of institutions

Many different kinds of institutions may have a role in making and implementing decisions. Institutions may be formal or informal. “Formal” is usually used to refer to institutions that are created or recognized by statutory law. Examples of formal institutions include: government ministries and other agencies, national and sub-national parliaments/assemblies/legislatures, the courts, non-governmental organisations, private sector associations, and community-based organisations. Informal institutions may include citizen groups that organise to ensure that they have a voice in decision-making and implementation, but which do not take the step of formal legal registration, and may include community-based organisations working in the field of natural resource conservation.

Customary institutions are usually older than statutory institutions, and in some societies remain stronger than statutory institutions. Customary institutions are very similar to statutory institutions. They include customary decision-makers and decision-making bodies, customary authorities with responsibility for natural resources, and customary dispute resolution bodies. Customary institutions include those responsible for monitoring the use of natural resources, for ensuring that it is consistent with customary law, and for considering violations and determining penalties. The names given to these institutions vary according to the language of the society which creates them.

Institutions play a significant role in governance. The internal capacity, or lack of internal capacity, of institutions – particularly statutory or public sector institutions – to make and implement decisions can make a significant difference in the quality of governance. When institutions that are responsible for natural resources are poorly-designed, inefficient, or simply non-functioning, it is more likely that natural resources will not be used sustainably. In economic terms, lack of internal institutional capacity leads to inefficient allocation of resources and often creates perverse incentives for unsustainable use.

The three key aspects of the capacity of statutory institutions are:

- Human, physical and financial resources;
- Management systems with clearly defined authority, responsibility and accountability; and
- Management systems that enable public sector institutions to interact with other stakeholders.

A symptom of internal lack of capacity in public sector institutions is the lack of skilled, well-informed public officials. An example of lack of internal institutional capacity is the absence of systems within public sector institutions to facilitate participatory processes. Related to this is the problem that even when government institutions have a mandate to involve public participation in making and implementing decisions, public sector officials have not been trained to facilitate participatory processes.

Internal lack of capacity within public sector institutions often leads to a lack of coordination among them. In many countries, different institutions are responsible for administering different natural resources. The more institutions that have some responsibility for natural resource governance, the more likely there will be conflicts if there is no functioning coordination mechanism. Coordination is necessary not only at the central level, but among decentralized authorities as well. Ministries with responsibility for natural resources at the central level of government – which may include, for example ministries of forestry, environment, fisheries, agriculture, mining, and others – often do not have effective mechanisms for coordinating among them, which means there are limited opportunities for cooperation and more possibilities for duplication of effort and even conflict. Where there is a lack of coordination at the central level, a similar lack of coordination is likely among the decentralized government authorities responsible for natural resources at sub-national levels.

In economic terms, jurisdictional conflicts and lack of coordination among public sector institutions responsible for natural resources result in transaction costs which impact the whole economy. Lack of capacity and coordination among public sector institutions also cost the economy when inadequate implementation of laws means that revenue is lost – for example, when fees for natural resource use cannot be collected. Insufficient investment in sound institutions creates a vicious cycle: institutions that are unable to implement decisions and laws – collecting revenue from permits for legal activities and penalties for illegal ones, for example – have insufficient income to cover their operating costs, which means that they continue to be unable to implement.

In countries which recognize customary law by constitution or by statute, there may be provisions that specify the interaction of customary and statutory institutions. More often, the interaction occurs on a need basis. Statutory and customary authorities in the Northern Areas of Pakistan interact informally, particularly to deal with violations of statutory law governing natural resources. Where statutory institutions are not functioning, particularly in isolated rural areas, customary institutions – even though they may not be recognized by statutory law – often provide the only means of making and implementing decisions that affect natural resources and natural resource users.

This information is adapted from:

- Moore, Patricia, Thomas Greiber, and Saima Baig. 2010. *Assessing Forest Law Enforcement and Governance: Lessons from the Field*. IUCN.
- Bilal, Asad, Huma Haque and Patricia Moore. 2003. *Customary Laws Governing Natural Resource Management in the Northern Areas*. IUCN Pakistan Environmental Law Programme.



## Governance Component Institutions

[title of training]  
[date/s of training]  
[venue (optional)]  
[place]

Trainer's name (optional)

INTERNATIONAL UNION FOR CONSERVATION OF NATURE

1



## Institutions

An organization or body  
that has responsibility  
for one or more aspects  
of natural resource  
governance

2



## Institutions

- Make and implement decisions
- May make and implement laws
- Often responsible for processes

3



## Institutions

"Formal" institutions are usually created or recognized by statutory law.

Examples:

- government ministries and other agencies
- national and sub-national parliaments/ assemblies/ legislatures
- the courts
- legally-registered non-governmental organizations
- private sector associations
- legally-registered community-based organizations

4



## Institutions

"Informal" institutions are usually citizen groups that organize to ensure that they have a voice in decision-making and implementation, but which do not take the step of formal legal registration

Example:

- community-based organizations working in the field of natural resource conservation.

5



## Institutions

Customary institutions

- usually older than statutory institutions
- in some societies, stronger than statutory institutions

Examples:

- decision-makers and decision-making bodies
- customary authorities with responsibility for natural resources
- customary dispute resolution bodies

6



## Institutions

3 key aspects of the capacity of statutory institutions are:

- Human, physical and financial resources;
- Management systems with clearly defined authority, responsibility and accountability; and
- Management systems that enable public sector institutions to interact with other stakeholders.

7



## Institutions

- Multiple institutions – statutory & customary
- Multiple levels – local, sub-national, national
- Strengthening institutions needs to take all types of institutions into account & link them

8

## Session 5: Case Study Institutions

### Negombo Lagoon

Encroachment, pollution, excessive use of resources and illegal fishing methods have led to deterioration of productivity of the Negombo Lagoon and affected the livelihood of the surrounding communities. More than 20 government agencies have jurisdiction over different issues related to the lagoon, with no clear jurisdictional boundaries.

In 1989, the government froze all development proposals and requested the Greater Colombo Economic Commission to prepare a Master Plan for the sustainable development of the lagoon. The Master Plan recommended strictly conserving the lagoon and setting up a single governing body. The objectives of the Master Plan have not been achieved as the many agencies with operations in the lagoon area implemented their activities without adhering to the guidelines in the Plan.

In 1990, the Coast Conservation Department (CCD) prepared a Coastal Zone Management Plan (CZMP) with limited information. Inadequate consultation with the public and relevant agencies in preparing of the CZMP made implementation of policies in the CZMP complicated and impracticable. As the public participation for preparation of CCD policies was minimal, participation of the communities in the implementation of the policies was also minimal. The failure to implement sectoral management of the lagoon necessitated a different approach for conservation and management of the lagoon.

In 1997, CCD revised the CZMP and included a chapter on Special Area Management (SAM) to manage coastal resources in an integrated manner.

The Negombo Lagoon Management Authority (NLMA) was established under the Fisheries Act. The mandate of the NLMA is set out in the Gazette, but other agencies operating in the Negombo Lagoon area continue their activities without regard to the jurisdiction of the NLMA.

SAM is a bottom-up collaborative approach with the participation of stakeholders and the media. The SAM Plan identified activities for implementation by community organisations and by the NLMA, which was given the responsibility for implementation in the Negombo Lagoon area.

### Questions on the case study

1. What is the basis for the institutional conflicts in this case? What is the role of laws in creating these institutional conflicts?
2. What decisions could statutory authorities take to resolve the institutional conflicts? What are the legal and institutional reasons why efforts to resolve the conflict have not been successful so far?
3. What process or processes could statutory authorities use to take and implement decisions to resolve the institutional conflicts in a way that would avoid future conflict?

# NRG Session **6:** Processes

## Processes

### Background information

A process is a series of actions carried out for the purpose of achieving something.

Processes are an integral part of governance. Processes are required to make decisions and processes are required to implement decisions. Processes are essential for negotiating and mediating among stakeholders with differing interests. It is important to identify all stakeholders in a process and ensure that they are involved. When processes are open, they facilitate understanding and consensus. When they are closed, processes can create the perception that decision-makers or implementers have something to hide.

Like laws and institutions, processes may be formal or informal. Formal processes are usually created by statutory or customary law or institutions. Informal processes may be created by groups of people with similar interests who simply recognize the need for a mechanism to make or implement a decision.

Making and changing a law or rule requires a process, and a law or rule may specify a process for its implementation. Examples of processes that may be created by law include:

- decentralization processes;
- processes to plan for natural resource allocation and use;
- development planning processes;
- processes for distributing benefits;
- processes for following through on agreements to share benefits between customary rights holders and commercial interests.

Ideally, laws governing natural resources will include requirements for decision-making processes that enable stakeholders to provide input and to see that their concerns have been given adequate consideration by decision-makers.

Institutions are usually responsible for facilitating processes that are required to implement a law or rule or a decision. Challenges arise when national and sub-national public sector institutions lack the capacity to facilitate processes and incorporate their results into decision-making and implementation.

Viet Nam provides an example of an experiment with an open process related to natural resources. In 2004, in five ethnic villages in the buffer zone of a nature reserve, Viet Nam involved selected households in each village in the entire process of forest allocation including making the plan, surveying the forest, proposing the benefit-sharing policies, sharing knowledge, and setting up the forest protection team. Customary norms and practices and local knowledge on forest management were brought into public discussions at community meetings. Agreements on community-based forest management and benefit sharing policies were documented and submitted to district authorities for approval. Even though the process did not involve all households in the villages, and even though there were problems external to the process, local people generally viewed the allocation process and its results

as positive. This is an example of a process that was effective because it was participatory and transparent.

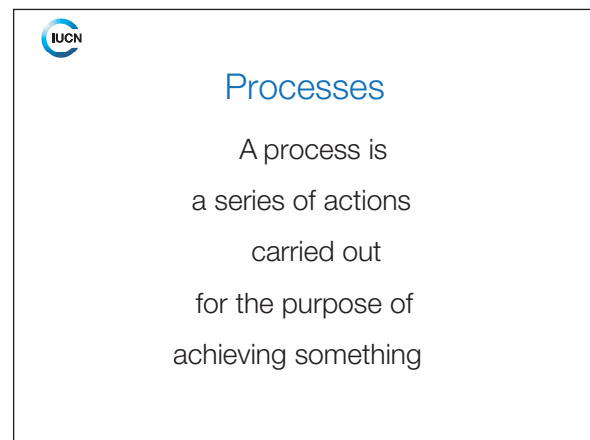
Community initiatives to create protected areas offer an example of an interaction between informal and formal processes related to natural resource conservation. India has many informal examples of local and indigenous efforts to protect ecosystems and species. A non-governmental organization documented these initiatives and has begun to explore possibilities for communities to take advantage of processes created by national law to have their informal protected areas recognised by the statutory protected areas system.

This information is adapted from:

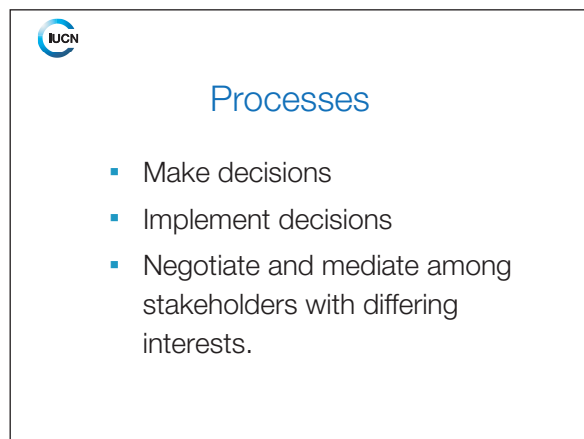
Moore, Patricia, Thomas Greiber, and Saima Baig. 2010. *Assessing Forest Law Enforcement and Governance: Lessons from the Field*. IUCN.



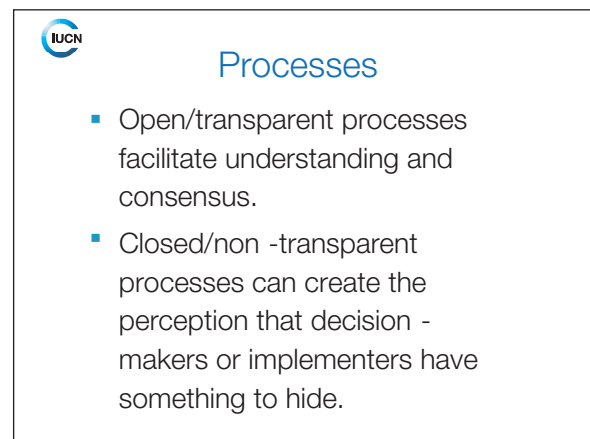
1



2



3



4



## Processes

Making and changing a law or rule requires a process, and a law or rule may specify a process for its implementation.

Examples of processes that may be created by law:

- decentralization processes;
- processes to plan for natural resource allocation and use;
- development planning processes;
- processes for distributing benefits;
- processes for following through on agreements to share benefits between customary rights holders and commercial interests.

5



## Processes

- Multiple levels
- “Macro” – decentralization, EIA
- “Micro” – permitting
- Statutory & customary, formal & informal – dialogues

6



## Processes

- Opportunities for participation
- Enabled by transparency
- Safeguards built into processes support accountability
- Skills to facilitate participatory processes often lacking in government institutions

7



## Session 6: Case Study Processes

### Periyakalapu Lagoon

67

Periyakalapu is one of the lagoons on the eastern coast of Sri Lanka. Until the 1980s, the lagoon was seasonally connected with the sea across an ancient causeway; water was exchanged between the lagoon and the sea only when water levels rose. The design of the causeway was altered in the 1980s, to allow continuous exchange of water of the lagoon and the ocean. The design change was faulty and, following the tsunami, it was found that sand accretion had almost completely obstructed this exchange, converting the brackish-water lagoon into a near freshwater lagoon. The fresh water was drawn off for irrigation, affecting the livelihoods of the fishing communities.

When the design of the causeways was altered in the 1980s, the authorities had not adequately considered the possible adverse impacts of the causeways on the lagoon ecosystem and on local livelihoods.

Similarly to what happened in the 1980s, reconstruction of the road system in the eastern part of the country after the tsunami was planned without taking the possible impacts on coastal water flows into account. When the Road Development Authority decided to renovate the causeways, it did not have any obligation to disseminate the information to the communities and invite their participation in the decision-making process and an environmental impact assessment was not carried out.

The Periyakalapu Local Coordinating Committee (PLCC) was established post-tsunami under a development project. The project raised awareness of the ecological impacts of the causeways. Subsequently, the PLCC discussed the situation resulting from the causeways at one of its meetings. It was only after that meeting that the local representatives of the agencies realized that procedures established by law had not been followed in deciding to renovate the causeways.

The PLCC requested the donor to reconsider the decision to renovate the causeways. The donor agreed and carried out a technical review and environmental assessment of the plan to renovate the causeways. On the basis of that review, the donor amended its agreement with the government and granted the additional funds required to build two new bridges, which was more expensive than renovating the two causeways.

Subsequently, the Road Development Authority has rehabilitated the road system on the east coast using bridges instead of causeways.


### Questions on the case study

1. How many processes for making and implementing decisions can you identify in this case?
2. What role did formal processes play in this case and what impact did the results have on natural resources and natural resource users?
3. What role did informal processes play in this case and what impact did the results have on natural resources and natural resource users?

# NRG Session **7:** Principles

# Principles of Governance

1. Government effectiveness
2. Policy effectiveness
3. Effectiveness and efficiency of institutions and processes
4. Responsive
5. Coherence
6. Transparency/Openness
7. Consensus oriented
8. Capacity of the State
9. Combating corruption/Control of corruption
10. Access to information and justice
11. Subsidiary
12. Respect for human rights
13. Accountability
14. Equity
15. Equitable and inclusive
16. Strategic vision
17. Commitment to the public good
18. Participation
19. Stock of social capital
20. Political stability and absence of violence
21. Regulatory quality
22. Predictability/"Rule of Law"
23. Promoting and enabling legal and judicial framework



## Governance Principles

[title of training]  
[date/s of training]  
[venue (optional)]  
[place]

Trainer's name (optional)

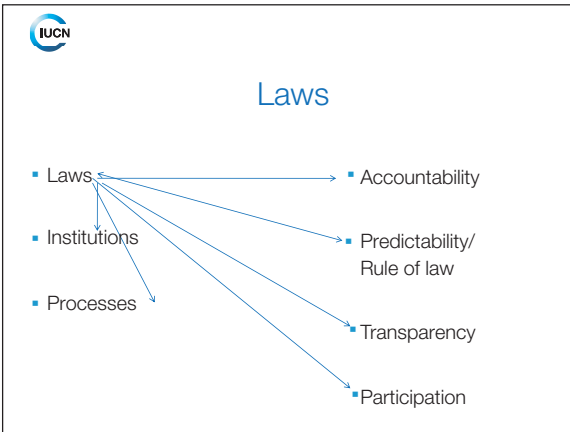
INTERNATIONAL UNION FOR CONSERVATION OF NATURE

1

Principles of Governance								
	IUCN14	UNDP15	UNESCAP16	Commission of the European Communities17	African Development Bank18	Asian Development Bank19	USAID20	UK Department for International Development (DFID)22
Accountability	*	*	*	*	*	*	*	*
Transparency ("Openness" - EU Commission)	*	*	*	*	*	*	*	*
Participation	*	*	*	*	*	*	*	*
Rule of Law	*	*	*	*	*	*	*	*
Government effectiveness (World Bank); Policy effectiveness (EU Commission); Effectiveness and efficiency of institutions and processes (JNDP and UNESCAP)	*	*	*	*	*	*	*	*
Responsiveness	*	*	*	*	*	*	*	*
Coherence	*	*	*	*	*	*	*	*
Consensus oriented	*	*	*	*	*	*	*	*
Capacity of the State	*	*	*	*	*	*	*	*
Combating corruption (AIDB); Control of corruption (World Bank)	*	*	*	*	*	*	*	*

2

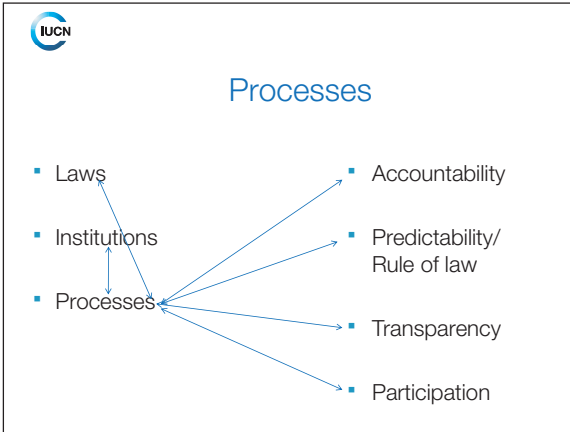
Please see page 71



3



4

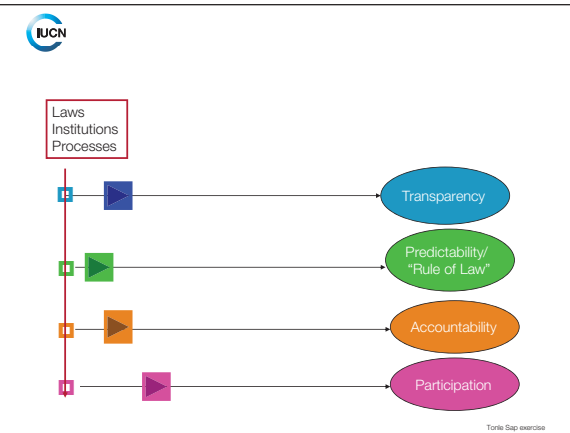


5



## Should we talk about “good” governance?

6



7

Principles of Governance									
	IUCN14	UNDP15	UNESCAP16	Commission of the European Communities17	African Development Bank18	Asian Development Bank19	USAID20	World Bank21	UK Department for International Development (DFID)22
Accountability	■	■	■	■	■	■	■	■ <sup>23</sup>	■
Transparency ("Openness" - EU Commission)	■	■	■	■	■	■	■	■ <sup>24</sup>	
Participation	■	■	■	■	■	■	■	■	
Rule of Law	■	■	■			■	■	■	
Government effectiveness (World Bank); Policy effectiveness (EU Commission); Effectiveness and efficiency of institutions and processes (UNDP and UNESCAP)		■	■	■				■	
Responsive25		■	■						■
Coherence	■			■					
Consensus oriented		■	■						
Capacity of the State							■		■ <sup>26</sup>
Combating corruption (AfDB); Control of corruption (World Bank)					■			■	

(Slide No.2 of page 70)

Principles of Governance									
	IUCN14	UNDP15	UNESCAP16	Commission of the European Communities17	African Development Bank18	Asian Development Bank19	USAID20	World Bank21	UK Department for International Development (DFID)22
Access to information and justice	■								
Subsidiarity	■								
Respect for human rights	■								
Equity (UNDP) Equitable and inclusive (UNESCAP)		■	■						
Strategic vision		■							
Commitment to the public good							■		
Stock of social capital							■		
Political stability and absence of violence								■	
Regulatory quality								■	
Promoting and enabling legal and judicial framework					■				

# Principles of Governance

## Background information for Trainers

*This is background information for trainers.*

- This training uses four basic principles of governance. From where did we get these four basic principles? They were identified by analyzing the definitions and descriptions of governance used by nine major international and national institutions. The criteria for using these nine institutions were:
  - an international (including regional) institution
  - that defines and describes governance and
  - the definition/description had to be in an official publication or on the institution's web site or both.
- No government in Asia has defined or described governance as far as it has been possible to determine. There are no principles of governance that have been identified by Asian governments.
- Four principles of governance are recognized by the majority of the international institutions surveyed that have attempted to describe governance: accountability; transparency; participation, and predictability or "rule of law". Nine institutions were surveyed, which means that the majority is five or more. The four principles that are used in this training are accepted by six or more of the institutions surveyed. The other 19 principles are accepted by four or fewer of the institutions surveyed. This does not mean that these 19 are not valid – it simply means that they are not accepted by the majority.
- The one principle on which all institutions agree is "accountability".
- Eight out of nine institutions identify transparency and participation as principles of governance.
- All of the selected institutions use "transparency" to mean openness and access to information.
- Six out of nine institutions identify predictability/"rule of law" as a principle of governance.
- All other principles are identified by fewer than half of the institutions surveyed. This training uses the four basic principles – accountability, transparency, participation and 'rule of law' or predictability – that are identified by 2/3 of the selected institutions.
- Law enforcement is a function of institutions. The term "rule of law" is often confused with "law enforcement", but that is not what it means, and that is why many experts now use the term "predictability" instead.

- “Effectiveness” and “efficiency” are identified by four institutions. The UN agencies refer to “effectiveness and efficiency” of institutions and processes. This is certainly a valid principle, but it was chosen by only two institutions and is therefore not in the top four. The World Bank refers to government effectiveness only. The European Commission refers to “policy effectiveness”, but it is difficult to describe what this means, since a policy usually cannot be applied without a law or rule of some kind.
- Only two institutions identify controlling corruption as a principle of governance. Both are multilateral development banks – the World Bank and the African Development Bank.
- “Equity” is often mentioned as a principle of governance, but only the UN agencies list it as a principle of governance. Equity means “fair” – it does not mean “equal”. “Equal” is not always fair. If accountability, participation, transparency and predictability are all functioning well in a society, the chances are good that there will be equity.
- Access to justice and respect for human rights are listed as governance principles by only one institution.



# NRG Session **8:** Participation

## Participation

### Background information

In the context of governance, participation means effectively taking part in decision-making and implementation either directly or through legitimate representatives. In the context of governance, the quality of participation in making and implementing decisions can range from no participation to full and effective participation.

Participation in making and implementing decisions about natural resources poses challenges. They usually arise because decision-making tends to be done by two groups of stakeholders – the government, and the private sector interests that seek to exploit natural resources – at the expense of civil society, particularly rural resource-dependent communities.

Participation by all stakeholders in decision-making and implementation processes is desirable. This is a higher priority for local resource users, in many parts of the world, than it is for governments or the private sector. Particularly, if the customary practices and values are reflected or incorporated in statutory law, institutions and processes, local resource users will be interested in participation in any related decision making and implementation.

Customary law is often described as the result of participation, since its rules develop through a social process. Under customary law, participation is not an issue if communities are small enough to allow for regular meetings of the adult population to exchange information and form opinions.

Customary practices in some countries can serve as models for designing mechanisms for community and collective participation in decision-making concerning natural resources because participatory approaches are already woven into the social fabric. Customary law, however, does not always encourage or allow participation of all members of the community. In some countries, customary processes limit the participation of certain members of the community. Customary decision-making and dispute resolution mechanisms in Viet Nam are hierarchical, with elders and clan leaders making or influencing most decisions. This elite-dominant decision-making leads to in many cases, the elite capturing of benefits.

The role of women and minorities in making decisions is minimal or non-existent and their role in implementing decisions is under-valued in some societies. The degree of participation of women and minorities, including lower castes and other marginalized groups, varies from country to country. In some countries, women and minorities are generally excluded or marginalized from participating in customary decision-making processes, but statutory law requires that they are included. In other countries, the situation is the opposite – women participate in decision-making under customary law, but statutory law restricts their options.

We have read in the paragraph above that statutory law in some countries makes it mandatory to include women and minorities in decision-making processes. In other countries, Viet Nam for example, statutory law does not require any participation from them in government decision-making or implementation at all. Policy and law in still other countries may be progressive in providing a basis for participatory decision-making, but building on that basis can be slow in practice. Even where national policy and law provide for participation of all stakeholders in implementation at least,

opportunities for participation may remain unequal, favouring government authorities and the private sector, with natural resource-dependent local communities at the bottom of the scale.

### Barriers to participation

Lack of participation, however, is not always because of a lack of goodwill on the part of government officials and the private sector.. Barriers to participation can include:

- a lack of institutional capacity to facilitate participatory processes;
- a lack of mechanisms that support participation;
- a lack of knowledge and accessible information to support decision-making;
- the very difficult logistics of consulting rural people or of finding credible representatives of their communities;
- an inhibition on the part of local communities to participate in decision-making and to voice their opinions because government and private sector actors are perceived as more powerful; and
- a lack of capacity at the local level to participate in decision-making and implementation, among other things. Cost- and benefit-sharing mechanisms may provide benefits from natural resources that will increase incentives for local participation.

Lack of transparency –effective communication and information flow –significantly undermines the way members of a given community participate in decision-making as well as in implementing decisions.

### Participation and law enforcement

In many countries, the enforcement of law governing natural resources is weak, at least partly, because statutory law does not enable local people who live closest to the resources to participate. Customary enforcement, on the other hand, is based on participation by all community members, who police themselves and each other.

While it may not be appropriate for civil society to participate in all aspects of law enforcement, local people can be very effective in compliance monitoring. Statutory enforcement officers cannot always be present everywhere in a country, and local inhabitants can play an important role in detecting violations of natural resource laws. When violations are not detected and prosecuted in a timely manner, evidence is lost, convictions become less likely, and the lack of action provides an incentive for further illegal activity.

### Participation in international law

The principle of participation is the governance principle most frequently found in international declarations and agreements.

The Convention Concerning Indigenous and Tribal Peoples in Independent Countries (United Nations International Labour Organisation Treaty No. 169) relies on the principle of participation in requiring

that the free and informed consent of indigenous and tribal peoples be secured before these peoples can be relocated from lands they occupy (Article 16).

The “Rio Declaration”, adopted at the 1992 United Nations Conference on Environment and Development – the “Earth Summit” – includes a provision related to the governance principles of participation and transparency. Principle 10 of the Rio Declaration says:

“Environmental issues are best handled with the participation of all concerned citizens, at the relevant level. At the national level, each individual shall have appropriate access to information concerning the environment that is held by public authorities, including information on hazardous materials and activities in their communities, and the opportunity to participate in decision-making processes. States shall facilitate and encourage public awareness and participation by making information widely available. Effective access to judicial and administrative proceedings, including redress and remedy, shall be provided.”

There is an international treaty that specifically deals with accountability, participation and transparency – the Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters. It applies only to Europe, but is an example of what other regions could do. This Convention is directly related to governance and the relationship between people and governments.

Multilateral environmental agreements (MEAs) that govern natural resources also include provisions related to the principles of governance. The Convention to Combat Desertification has comprehensive requirements for public participation, and specifies the participation of local communities.

The Convention on Biological Diversity calls for allowing public participation in environmental impact assessment (EIA) processes (Article 14). It also calls for the participation of indigenous and local communities in deciding how their traditional knowledge, innovations and practices that are relevant for the conservation and sustainable use of biodiversity can be applied (Article 8j).

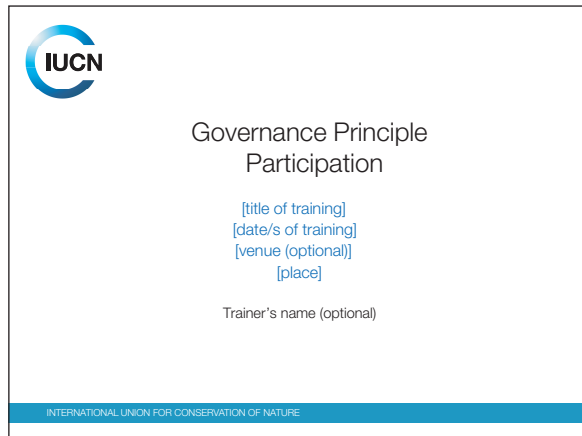
## References

- The full text of the Convention Concerning Indigenous and Tribal Peoples in Independent Countries is available on-line:  
<http://www.ilo.org/ilolex/cgi-lex/convde.pl?C169> Accessed 5 September 2010
- The full text of the Rio Declaration is available on-line:  
<http://www.unep.org/Documents.Multilingual/Default.Print.asp?documentid=78&articleid=1163> Accessed 25 May 2010.
- The full text of the Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters is available on-line:  
<http://www.unece.org/env/pp/treatytext.htm> Accessed 25 May 2010.
- The full text of the Convention on Biological Diversity is available on-line:  
<http://www.cbd.int/convention/convention.shtml> Accessed 25 May 2010.

- The full text of the Convention to Combat Desertification is available on-line:  
<http://www.unccd.int/convention/text/convention.php> Accessed 25 May 2010.

This information is adapted from:

Moore, Patricia, Thomas Greiber, and Saima Baig. 2010. *Assessing Forest Law Enforcement and Governance: Lessons from the Field*. IUCN.



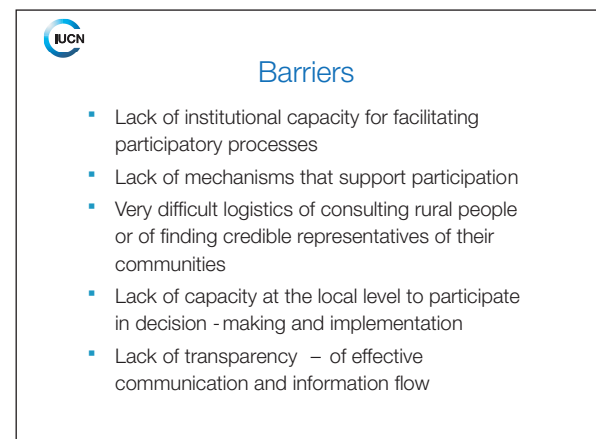
1



2



3



4

## Session 8: Case Study Participation

### Bio-safety Policy

Sri Lanka, as a Party to the Cartagena Protocol, developed its National Bio-safety Framework, which requires deciding how genetically modified organisms can be used in the country.

A government-appointed multi-disciplinary sub-committee produced a first draft of the policy. The draft was available in Sinhalese, Tamil and English.

Bio-safety involves complex scientific issues; the technical terms in the draft were very difficult for many people to understand. Bio-safety also involves the precautionary approach, which was another aspect of the policy that was difficult to understand.

The call for comments was posted on a government website that is only in English. The call was published in newspapers which do not have a large circulation in the country.

The government convened a public consultation in Colombo on the bio-safety policy.

Although the draft was available in all three languages, the consultation in Colombo was held in Sinhala and English only. Other consultations, held in Kandy and in Galle, were held only in Sinhala.

Verbal as well as written comments were accepted.

The draft went through 16 revisions. At the end of the process, the biosafety policy was considered a good document and stakeholders were satisfied.

### Questions on the case study

1. Describe the positive aspects of participation in this case. How did they affect the outcome?
2. Describe the negative aspects of participation in this case. How did they affect the outcome?
3. What process or processes could statutory authorities use in the future to ensure effective public participation in making decisions on complex issues like biosafety?
4. Do you think this form of governance produced a more effective National Biosafety Framework than what would have resulted from governance without participation? Explain why.

**NRG Session** **9:**  
**Transparency**

## Transparency

### Background information

Transparency means sharing information and acting in an open manner. It requires the free flow of information. Transparent systems have clear procedures for public decision-making and open channels of communication among all stakeholders, and make a wide range of information accessible. Transparency allows stakeholders to gather information that is critical to uncovering abuses and defending their interests. Transparent systems will give stakeholders information on how to get involved in decision-making processes and in implementation.

Information about their rights to access and use natural resources is critical for rural communities whose livelihoods depend on natural resources. Where local communities know their rights are, information about how to seek redress through formal, statutory processes is also critical to defeat any attempts to violate their rights.

In rural communities, transfer of information is usually by word of mouth. Smaller communities can hold meetings of all members of the community to exchange information and form opinions. Customary social networks usually ensure that available information reaches every community member, including the illiterate. There are examples, however, of customary authorities who do not routinely consult villagers, nor share the outcomes of meetings with all villagers. The result is that many villagers are out of the communication and information loop, and not part of customary decision-making processes. So, decisions are made and implemented without taking their needs into account even within their own communities.

In some countries, the constitution guarantees access to information. Statutory law in some countries enables information sharing and transparency. Some countries already have adopted “freedom of information” laws that provide for citizen access to information held by government authorities and other countries have draft laws under consideration. One thing countries can do to facilitate access to information concerning governance of natural resources is to distribute simplified versions of the main natural resource laws and regulations in national and local languages. In countries where a significant percentage of the population is illiterate, information should be shared using radio, television and other media that do not require the ability to read. Even when these measures are used, however, there are challenges for all stakeholders to compile and analyze their own information and to access information held by others. This means that we need to find innovative approaches to address this kind of problem.

Rural communities are often at a disadvantage because they have few options for accessing information that is available with government agencies and the private sector. And government and the private sector often simply do not seek information about rural communities that may be affected by decisions and their implementation. The result is that stakeholders often make and implement decisions based on inadequate information about each others’ requirements. Even when there is some level of participation in decision-making or implementation, information often reaches stakeholders too late for it to inform what they do.

Market information including information related to collection, allocation and distribution of revenues from natural resource use, natural resource taxes, and license for natural resource use are necessary for informed decision-making.

Lack of transparency and information hampers law enforcement, particularly in rural communities. In many cases, rural communities are not aware of what is legal under statutory law and what is not,

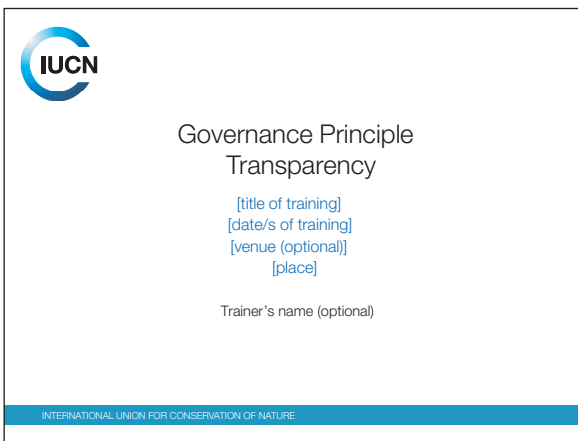


because the laws are not available in local languages. This also creates a problem with predictability – when people do not know what is legal and what is not, it is easier for others to take advantage of them.

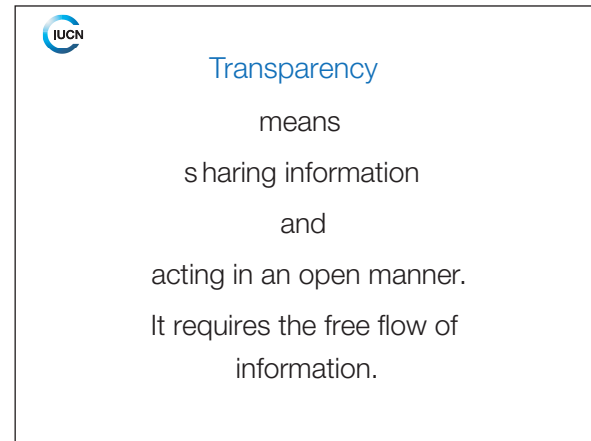
This information is adapted from:

Moore, Patricia, Thomas Greiber, and Saima Baig. 2010. *Forest Law Governance and Law Enforcement: Findings from the Field*. IUCN.

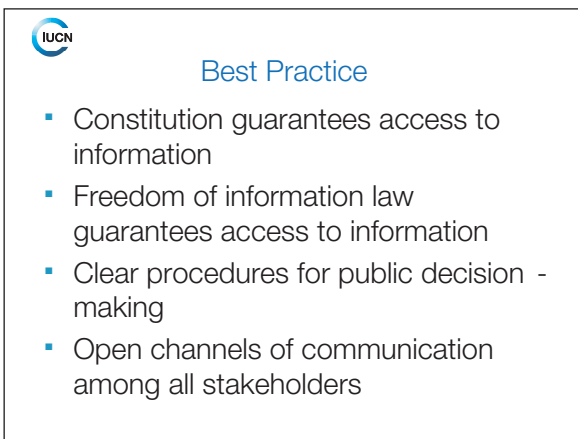
It also appears in Moore, Patti, Xuemei Zhang, and Ronnakorn Tiriganon. 2010. *Natural Resource Governance Trainers' Manual*. IUCN, RECOFTC, SNV, Bangkok.



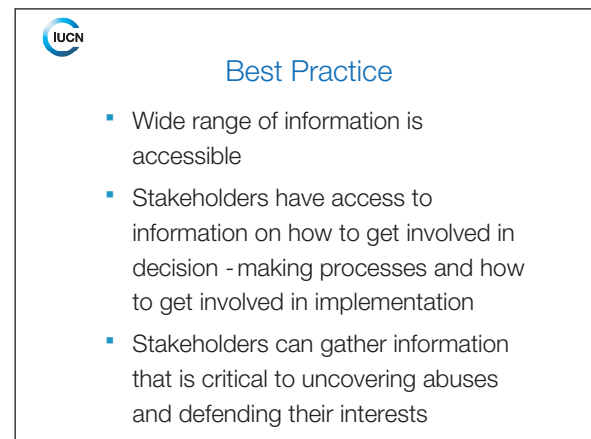
1



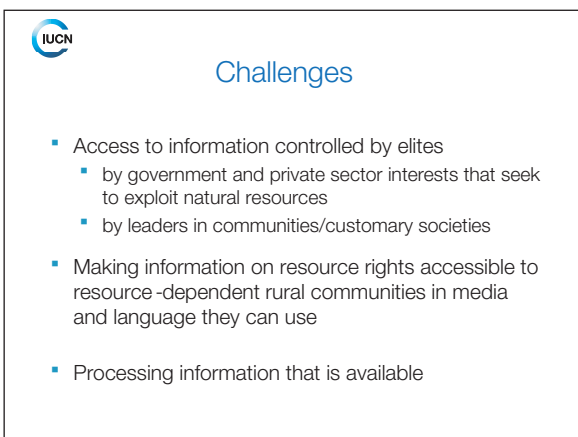
2



3



4



5

## Session 9: Case Study Transparency

### Environmental Impact Assessment

The Environmental Impact Assessment Report (EIA) helps policy makers determine the potential environmental effects of a proposed development project. The first law to incorporate this was the Coast Conservation Act. Subsequently, the National Environmental Act as well as the Fauna and Flora Protection Ordinance have also incorporated provisions calling for EIAs.

The basic procedure to be followed regarding EIAs and Initial Environmental Evaluation (IEE) in all three enactments remains the same: following the preparation of the report, the public should be notified, by advertisement in State-owned newspapers in all three languages, of the availability of such reports and be given a period of 30 days to read and make their comments, if any.

There is mutual mis-trust between government officials and civil society organizations. Civil society organizations do not trust government officials to provide information. Government officials do not trust civil society organizations, because some of them have tried to get information held by government agencies and use it against government officials.

The government intends to construct a national highway from Jaffna to Trincomalee and has submitted an EIA report in order to receive approval as required under the National Environmental Act. The route planned for the highway will cut through a wetland, but the map included in the report does not indicate that the wetland exists.

The report has been prepared in English and translated very poorly into Sinhala and Tamil. The report is very technical and contains many graphs and charts. In addition, the report is several hundred pages long.

The report implies that people who may eventually be displaced by the highway construction will be eligible for replacement value compensation, which is higher value, when in fact they will only be entitled to statutory compensation.

The notice about this EIA report was very small and difficult to see among many advertisements and it was published in three newspapers that are not very popular in the country.

Many comments were received concerning this EIA report. Some of the comments opposed the highway on the basis that it would destroy the wetland. Other comments, from people expecting market value compensation for their land, supported the highway. Most of the people who submitted the comments were not called for a public hearing.

The highway project was approved. The approval indicates that most of the comments made were not taken into account in making the final decision.

### Questions on the case study

1. How did the public notice period for the EIA report comply with the letter of the law? How did it comply with the spirit of the law?
2. How did transparency – or lack of it – influence the way the decision to approve the highway project was made?
3. What procedures or processes could statutory authorities use in the future to ensure transparency in making decisions on infrastructure development that affects natural resources and natural resource users? Should any changes be made in existing procedures, and if so what are they and how should they be made?

**NRG Session**

**10:**

**Accountability**

## Accountability

### Background information

Accountability is the requirement to accept responsibility and answer for actions.

Decision-makers and implementers, whether they are statutory public servants or customary authorities, should be accountable for the way they use – or abuse – their powers.

Formal and informal institutions as well as individuals may be held accountable. Formal institutions are usually understood to mean government agencies, but may also include private sector actors and formally-established or formally-recognized civil society institutions.

- Ideally, statutory law should provide clear rules and procedures for determining accountability of public institutions and officials:
- who will be held responsible for making decisions, and by whom;
- who will be held responsible for implementing decisions, and by whom; and

the means for holding decision-makers and implementers accountable.

If statutory law does not provide clear rules and procedures for determining accountability, it will be difficult for other stakeholders to hold public institutions and officials accountable. Where that is the case, stakeholders can explore the possibilities of amending the rules and procedures to ensure that there is support for civil society to be able to hold government decision-makers and implementers accountable.

Institutional accountability of governmental agencies means that the agency is accountable for decisions made on its behalf by government officials. Institutions are accountable for decisions at the governance/strategic policy level as well as for management decisions at the operational level. Informal and customary institutions may also be held accountable for their decisions.

Individual government officials, and individual private sector and civil society actors may be held accountable under their own obligations to exercise their responsibilities and to obey the law. Informal and customary systems usually have mechanisms for holding individuals accountable for their actions. Communities may use community meetings as an opportunity to discuss decisions that community authorities have made and hold them accountable.

In Viet Nam, there are both statutory and customary mechanisms that promote accountability. Statutory law in Viet Nam provides three options for holding government authorities accountable: through their administrative superiors; through the People's Councils at all levels, and directly to any individual or organization, under the Law on Complaint and Denunciation. Customary leaders are nominated by village elders and are accountable to them. Customary accountability mechanisms tend to function well, but customary leaders are undermined by the fact that their authority is not recognized by the

government, in part because of concerns that grass-roots authority could challenge the power of the State.

Government authorities in Sri Lanka are generally accountable only to the Parliament. Statutory law does not provide for an administrative review process to hold government decision-makers, including those responsible for natural resources, accountable for their decisions and how their decisions are implemented. The ways in which citizens can hold a public authority responsible for its decisions include: lobbying an individual member of Parliament to raise questions to be answered by the Minister in charge; or submitting a public petition in order to draw the attention of the entire Parliament to a particular issue. Another option for holding government institutions and individual officials accountable is through the Human Rights Commission of Sri Lanka, which is empowered to investigate infringements of fundamental rights and to either make recommendations, or to refer these cases to a Court, to mediation, or to conciliation.

Accountability of public sector institutions and officials is the weakest aspect of forest governance in the Democratic Republic of Congo. The customary hierarchy makes traditional leaders accountable to each other, but not to the members of their communities. Chiefs of families are accountable to the chiefs of their lineages who are accountable to group chiefs. However, this hierarchical structure does not allow for members of communities to hold their chiefs accountable.

Also in Africa and also in the forest sector, Ghana experiences difficulties with the accountability of formal, governmental institutions and officials as well as of customary authorities. Both statutory and customary accountability are undermined by the very institutions that are responsible for ensuring it. The statutory authority responsible for the forest sector has a charter that requires it to provide information reasonably required for stakeholders to hold it effectively accountable. But the existing institutional framework does not promote accountability. There is no effective system of checks and balances in place to monitor conflicts of interest and to hold the Commission and its officials accountable for their actions. Customary authorities are often not accountable to the members of their communities for the way benefits are distributed, or not distributed. Some customary authorities have kept benefits for themselves rather than distributing the funds among community members or investing them in community development projects.


Lack of accountability can create economic losses at the local and national levels, for communities and for the central government, and opportunities for corruption when there are no mechanisms to hold authorities accountable for how revenues and benefits from natural resources are earned and distributed. When authorities who are responsible for law enforcement are not held accountable when they do not enforce natural resource laws, governments and their citizens can lose significant amounts of income and benefits.

## Resources

Patlis, J. 2004. *A Rough Guide to Developing Laws for Regional Forest Management*. CIFOR, Indonesia. p. 12; referring to Turner, M. and Hulme, D. 1997. *Governance, Administration and Development: Making the State Work*. Kumarian Press, West Hartford, CT.

This information is adapted from:

Moore, Patricia, Thomas Greiber, and Saima Baig. 2010. *Assessing Forest Law Enforcement and Governance: Lessons from the Field*. IUCN.




Governance Principle  
Accountability

[title of training]  
[date/s of training]  
[venue (optional)]  
[place]

Trainer's name (optional)

INTERNATIONAL UNION FOR CONSERVATION OF NATURE

1



Accountability

is


the requirement to

accept responsibility

and

answer for actions

2




Best Practice

Statutory law should provide clear rules and procedures for determining accountability of public institutions and officials:

- who will be held responsible for making decisions, and by whom;
- who will be held responsible for implementing decisions, and by whom; and
- the means for holding decision -makers and implementers accountable.

3



Challenges

- Institutional framework does not promote accountability and/or actually undermines it
- No effective system of checks and balances in place to monitor:
  - Conflicts of interest
  - Elite capture of benefits
- Economic losses when there is no accountability for how revenues are earned and how benefits are distributed


4



Accountability in Sri Lanka

- Government authorities generally accountable only to the Executive/Parliament
- Limited statutory requirements for administrative review to hold government decision -makers accountable
- Citizens can hold a public authority responsible for its decisions by:
  - Bringing a case to court
  - Petitioning the Human Rights Commission of Sri Lanka
  - Lobbying an individual Member of Parliament to raise questions to be answered by the Minister in charge
  - Public exposure in the media

5



5 actions for which government officials should be accountable:

- Acquiring the marsh land
- Leasing the marsh land
- Inadequate EIA
- Granting approval to fill the marsh on the basis of an inadequate EIA
- Failure to monitor the conditions of the permit to fill the marsh

Public

Parliament

Proponent

Courts

6

## Session 10: Case Study Accountability

### The Marsh

A significant area of marsh land within city limits was important for natural drainage and flood control.

Under the Land Acquisition Act, the government can acquire land only for a public purpose. The government used the Land Acquisition Act to acquire the marsh land. The purpose for the acquisition was not revealed to the public. Internal government documentation indicated that the marsh land was acquired to ensure water retention and drainage. The original owners were paid minimal compensation for their land.

Government authorities leased part of the marsh land to a private interest for an exclusive private luxury resort and recreational park that would not be open to the public. The private interest transferred the rights in the lease to a third party proponent for a significant amount of money. Subsequently, an EIA was carried out for structures that the third party proponent intended to construct on the marsh land. The EIA was vague and did not mention all the intended uses of the marsh land. In spite of the inadequacy of the EIA and contrary to government procedure, the third party proponent was given permission to fill the marsh land. The approval to fill the marsh land included a condition that only earth from the same site could be used as fill; this was subsequently not monitored.

Public interest groups tried through administrative channels to find out why and how the government leased to a private interest land that was needed to guarantee water retention and draining for the public good.

Because they could not obtain information through administrative procedures, the public interest groups sued to get information about the lease agreement and its consistency with the Constitution. They argued that the entire series of transactions was unconstitutional, illegal, and an abuse of the public trust doctrine.

### Questions on the case study

1. Identify the decision-makers, the implementers, and other stakeholders in the case and draw a diagram on a flip chart that illustrates who is accountable to whom and for what.
2. Describe the difficulties involved in ensuring accountability in the case and identify possible ways that those difficulties could have been overcome in each instance.
3. What process or processes could local communities and people who are affected by projects, Parliament, government officials, the courts, and the general public use in the future to ensure that government officials are accountable for their actions?



**NRG Session**

**11:**

**Rule of Law**

## Predictability/Rule of Law

### Background information

The rule of law means equal treatment – both protection and punishment – under the law. This principle of governance does not refer to law enforcement or to punishment alone, but it is often misunderstood to mean only that. The rule of law has to do with the security of knowing how one can expect to be treated under the law – protected as well as penalized – whether statutory or customary law.

Rule of law means that laws and rules are applied to everyone in the same way, all the time. For example, a law that prohibits collecting firewood in a reserved forest should apply to a local leader the same way it applies to a poor farmer – the leader should not be allowed to collect wood to make charcoal while the farmer who collects firewood for household use is penalized. The rule of law means that law is not – or should not be – subject to arbitrary action by those who have decision-making or enforcement power. It requires laws and rules that are fair, an impartial and incorruptible police force to enforce them, and an independent judiciary to apply them.

The establishment and persistence of the rule of law depends on:

- Clear communication of laws in a manner that allows people to understand what the law says with respect to their rights
- Non-discriminatory application of laws
- Effective enforcement of laws
- Predictable and legally enforceable methods for changing the content of laws
- Citizens who perceive that laws are fair, just and legitimate, and are willing to follow them.

There is a great deal of money to be made from many natural resources, and those potential revenues can provide incentives for laws and rules to be applied in different ways to different people. Where corruption is perceived to be widespread, unequal application of the law may easily be interpreted as corruption, even though no bribes have been paid.

When the rule of law is operating, everyone should have the security of knowing how a law or rule will be applied to them. It is not functioning when:

- Penalties are applied to outsiders but not to members of the same family or group;
- The law provides for permits to access a natural resource and those permits are only issued to members of a particular political party;
- Nationals are penalized more often than foreigners;
- The poor are punished while the wealthy and the political elite escape punishment.

A conflict between statutory law and customary law often creates a situation in which local people cannot predict how a law or rule will apply to them. For example, a fishing village has had customary rights to fish in a certain area for generations. Other villages know the boundaries of the fishing area

and in most cases the boundaries are respected. Statutory law does not recognize these customary rights and creates a process for granting fishing concessions. For years, no one is interested in getting a concession to that fishing area, there is no reason for statutory authorities to attempt to apply the law, and the traditional fishing village continues to exercise its customary rights. Even if the fishing villagers know of the statutory law, they have reason to believe that it does not apply to their fishing area because it is not applied. Then a businessman sees potential for making money with commercial fishing in the area, pays for a concession, and forces the traditional fishers to leave their customary fishing waters, which means they no longer have a means of making a living. The businessman may or may not know about the customary fishing rights, but he wants to have the statutory law enforced to secure his concession. The statutory authorities try to enforce the statutory law and keep villagers out of their customary fishing area, and conflict results when the villagers try to protect their source of livelihood.

This kind of problem arises all too often in natural resource governance. This situation illustrates the consequences when statutory law does not take customary law into account. And it illustrates the challenge for the rule of law when customary and statutory law conflict.

This information is adapted from:

Moore, Patricia, Thomas Greiber, and Saima Baig. 2010. *Forest Law Governance and Law Enforcement: Findings from the Field*. IUCN.

A version of this information also appears in Moore, Patti, Xuemei Zhang, and Ronnakorn Tririganon. 2010. *Natural Resource Governance Trainers' Manual*. IUCN, RECOFTC, SNV, Bangkok.

Governance Principle  
Predictability/Rule of law

[title of training]  
[date/s of training]  
[venue (optional)]  
[place]

Trainer's name (optional)

1

Predictability/Rule of law

means

- equal treatment – both protection and punishment – under the law
- laws and rules are applied to everyone in the same way, all the time

2

Predictability/Rule of law depends on:

- Clear communication of rules and laws that allows all stakeholders to understand them
- Non - discriminatory application of rules and laws
- Effective enforcement of rules and laws
- Citizens who perceive that rules and laws are fair, just and legitimate, and are willing to follow them

3

Predictability/Rule of law is not functioning when...

- Penalties are applied to outsiders but not to members of the same family or group
- The law provides for permits to access a natural resource and those permits are only issued to members of a particular political party
- Nationals are penalized more often than foreigners or vice versa
- Marginalized groups are punished while the wealthy and the political elite escape punishment

4

## Session 11: Case Study Predictability/Rule of Law

### Issuing Environmental Protection Licenses

95

The Environmental Protection License (EPL) is a procedure by which industries are licensed to operate, provided they follow certain guidelines/conditions under which the license is issued. It was introduced to Sri Lanka through the National Environmental Act 47 of 1980 (NEA). The latest regulations on this subject, of January and February 2008, set out a list of “Prescribed activities” for which a license is required. The EPL is a mandatory requirement for these industries to operate.

The NEA has made provision for the issuance of EPLs to be delegated by the Central Environmental Authority (CEA) to other bodies. One Provincial Environmental Authority also issues EPLs under the Provincial Environmental Statute (PES). The NEA and the PES establish essentially identical standards within which an industry must operate.

The procedure to be followed when obtaining an EPL is substantially the same under both the NEA and the PES.

One province has five tanneries. All operate using standard facilities and procedures, which are highly polluting, yet they are granted EPLs and the EPLs are regularly renewed. A proponent applied under the PES for an EPL to construct a tannery in the coastal zone in this province. The proposed tannery would operate using standard facilities and procedures.

Another province has three tanneries, all operating using standard facilities and procedures. A proponent applied under the NEA for an EPL to construct a tannery near a wetland in this province. The proposed tannery was designed to be an environmentally-friendly operation.

Each application was complete and each proponent followed all procedures for applying for an EPL.

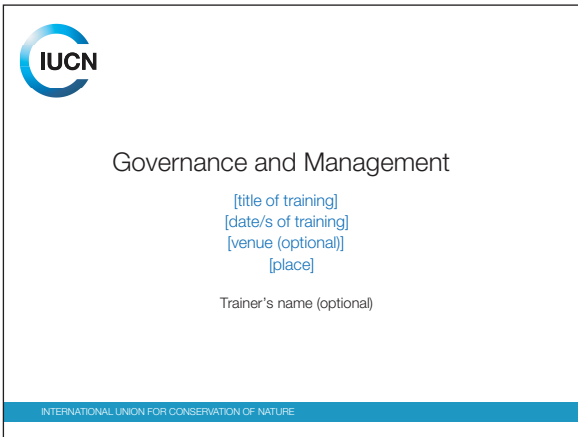
The EPL was issued within one month, under the PES, to the tannery designed to use standard facilities and procedures. There were minimal conditions on the EPL to require control of effluents from the tannery and therefore minimal cost implications for constructing the tannery.

Six months after submitting its application, the tannery designed to be an environmentally-friendly operation received notification that an EPL would not be granted under the NEA. No reasons were given for the denial of the EPL.

### Questions on the case study

1. Describe the rule of law/predictability issue in this case.
2. What are the potential implications for natural resource governance, natural resources, natural resource users and other stakeholders when similar laws with similar purposes are applied differently?
3. What can be done to ensure that laws are applied to everyone, in the same way, all the time?

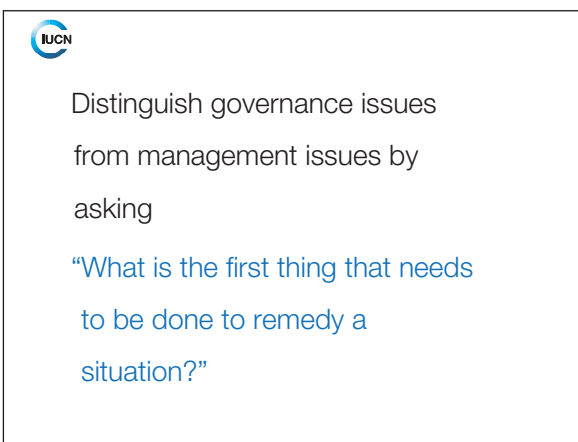
**NRG Session** **12:**  
**Governance & Management**



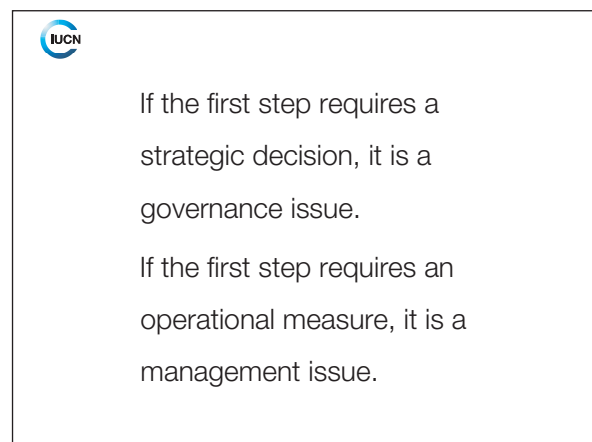
1



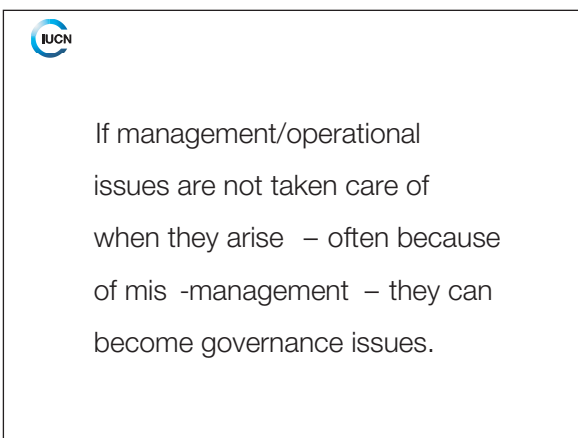
2



3



4



5

## Natural Resource Governance and Management in Puttalam and Periyakalapu - exercise

A total of 28 issues related to natural resources were identified in these two sites in 2009. Some of these are governance issues; most are management issues.

The list of nine issues below is taken from the total of 28 issues identified in Puttalam and Periyakalapu. Six issues in the list below are governance issues; three are management issues.

1. There is no lagoon management plan.
2. Allocation of government lands for various development activities such as plantations, prawn farms and salt pans without proper coordination with the community.
3. During the rainy season farmers with powerful connections open the sand barrier which means that fisher folk lose the shrimp catch
3. There is no demarcation for the lagoon, which encourages encroachments.
4. Customary law is not recognized or practiced.
5. Lack of a forum of community organizations to deal with environmental matters effectively
6. Obstructions to access routes to lagoon and fish landing sites due to fencing of and constructions on the lagoon banks by the local people and outsiders
7. Poor interaction between government officers and the communities
8. Planning and implementation of projects and programs on fisheries and other issues without proper participation in decision making, particularly by women.

### Step 1

- Identify the governance issues
- Identify the management issues

**Keep your answers to this exercise.**

**Step 2 will be done in Session 14.**



## Natural Resource Governance and Management in Ratnapura and Nilgala - exercise

A total of 26 issues related to natural resource governance and management were identified in these sites in 2009. Some of these are governance issues; most are management issues.

The list of nine issues below is taken from the total of 26 issues identified in Ratnapura and Nilgala.

Six issues are governance issues; three are management issues.

1. Inability to control the damage caused by wild animals to cultivations of the communities under the prevailing laws.
2. Lack of evaluation and monitoring of the relevant agencies (e.g., Irrigation Department, Forest and Wildlife agencies)
3. Lack of transparency in allocating land for mega development projects, such as the proposed sugarcane cultivation, and rubber plantation (250 acres) in Dimbuldena
4. Unclear forest demarcation and related conflicts
5. Inequitable law enforcement by the government regulatory bodies
6. The process of planning and implementation is taking place in the area without proper participatory approaches
7. Lack of a well developed mechanism in responsible local government institutions to control pollution, especially garbage collection during the pilgrim season
8. Lack of information for the people on forest management, elephant control etc.
9. Absence of a permit system for NTFP collection in the Gal Oya National Park

### Step 1

- Identify the governance issues
- Identify the management issues

Keep your answers to this exercise.

Step 2 will be done in Session 14.

## Natural Resource Governance and Management in Puttalam and Periyakalapu - answers

### Governance issues

2. Allocation of government lands for various development activities such as plantations, prawn farms and salt pans without proper coordination with the community.
3. During the rainy season farmers with powerful connections open the sand barrier which means that fisher folk lose the shrimp catch
5. Customary law is not recognized or practiced.
6. Lack of a forum of community organizations to deal with environmental matters effectively
8. Poor interaction between government officers and the communities
9. Planning and implementation of projects and programs on fisheries and other issues without proper participation in decision making, particularly by women.

### Management issues

1. There is no lagoon management plan.
4. There is no demarcation for the lagoon, which encourages encroachments.
7. Obstructions to access routes to lagoon and fish landing sites due to fencing of and constructions on the lagoon banks by the local people and outsiders

# Natural Resource Governance and Management in Ratnapura and Nilgala - answers

## Governance issues


2. Lack of evaluation and monitoring of the relevant agencies (e.g., Irrigation Department, Forest and Wildlife agencies)
3. Lack of transparency in allocating land for mega development projects, such as the proposed sugarcane cultivation, and rubber plantation (250 acres) in Dimbuldena
5. Inequitable law enforcement by the government regulatory bodies
6. The process of planning and implementation is taking place in the area without proper participatory approaches
8. Lack of information for the people on forest management, elephant control etc.
9. Absence of a permit system for NTFP collection in the Gal Oya National Park

## Management issues


1. Inability to control the damage caused by wild animals to cultivations of the communities under the prevailing laws.
4. Unclear forest demarcation and related conflicts
7. Lack of a well developed mechanism in responsible local government institutions to control pollution, especially garbage collection during the pilgrim season

**NRG Session 13:**  
**Introducing the Governance Framework**


3

	Principles of Governance			
Components of Governance	Transparency	Predictability/ Rule of Law	Accountability	Participation
Laws – Statutory and Customary				
Institutions Formal/statutory Customary Informal Government, private sector, civil society				
Processes Formal/statutory Customary Informal				


4

	Principles of Governance			
Components of Governance	Transparency	Predictability/ Rule of Law	Accountability	Participation
Laws – Statutory and Customary				
Institutions Formal/statutory Customary Informal Government, private sector, civil society				
Processes Formal/statutory Customary Informal				


5

	Principles of Governance			
Components of Governance	Transparency	Predictability/ Rule of Law	Accountability	Participation
Laws – Statutory and Customary				
Institutions Formal/statutory Customary Informal Government, private sector, civil society				
Processes Formal/statutory Customary Informal				


6

	Principles of Governance			
Components of Governance	Transparency	Predictability/ Rule of Law	Accountability	Participation
Laws – Statutory and Customary				
Institutions Formal/statutory Customary Informal Government, private sector, civil society				
Processes Formal/statutory Customary Informal				

7

	Principles of Governance			
Components of Governance	Transparency	Predictability/ Rule of Law	Accountability	Participation
Laws – Statutory and Customary				
Institutions Formal/statutory Customary Informal Government, private sector, civil society				
Processes Formal/statutory Customary Informal				

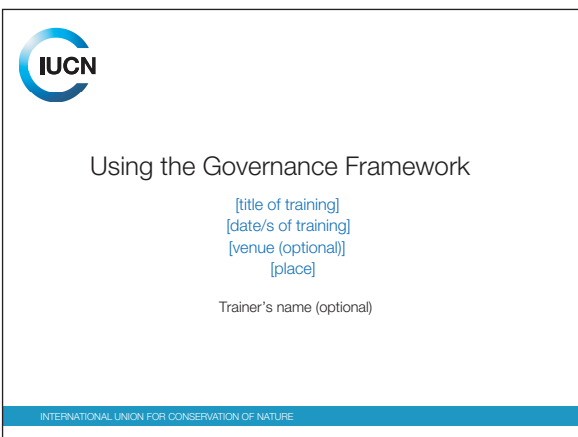
8

	Principles of Governance			
Components of Governance	Transparency	Predictability/ Rule of Law	Accountability	Participation
Laws – Statutory and Customary				
Institutions Formal/statutory Customary Informal Government, private sector, civil society				
Processes Formal/statutory Customary Informal				


9



# NRG Session **14:** Issues



1

 Ratnapura and Nilgala Governance Issues				
Components of Governance	<b>Transparency</b> Lack of information for the people on forest management, elephant control etc.	Predictability/ Rule of Law	Accountability	Participation
<b>Laws – Statutory and Customary</b> Absence of a permit system for NTFP collection in the Gal Oya National Park				
Institutions		Inequitable law enforcement by the government regulatory bodies	Lack of evaluation and monitoring of the relevant agencies (e.g., Irrigation Department, Forest and Wildlife agencies)	
Processes	▪Lack of transparency in allocating land for mega development projects, such as proposed sugarcane cultivation, rubber plantation (250 acres) in Dimbuldena			The process of planning and implementation is taking place in the area without proper participatory approaches

2



## Puttalam and Periyakalapu Governance Issues

Components of Governance	Transparency	Predictability/ Rule of Law	Accountability	Participation
<b>Laws – Statutory and Customary</b> Customary law is not recognized or practiced.				
<b>Institutions</b> Lack of a forum of community organizations to deal with environmental matters effectively			Poor interaction between government officers and the communities	
<b>Processes</b>		During the rainy season farmers with powerful connections open the sand barrier which means that fisher folk lose the shrimp catch		Allocation of government lands without proper coordination with the community  Planning and implementation of projects and programs without proper participation in decision making, particularly by women

# Natural Resource Governance Orientation

[date of orientation]

[place of orientation]

## Evaluation

Please complete this evaluation by circling the number which you think is most appropriate. Thank you for your participation and cooperation.

- 1 – Very satisfactory
- 2 – Satisfactory
- 3 – Needs improvement
- 4 – Unsatisfactory

Introductory sessions				
1. The relevance of the sessions was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in these sessions were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on these

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Session 1 Background on the concept of governance				
1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



Session 2 Defining governance				
1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Session 3 Introduction to the components of governess				
1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Session 4 Introduction to the components of governess				
1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Session 5 Exercise - the difference between governance and management				
1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

# Natural Resource Governance

[date of training]

[place of training]

113

## Day 1 Training Evaluation

Please complete this evaluation by circling the number which you think is most appropriate.  
Thank you for your participation and cooperation.

- 1 – Very satisfactory
- 2 – Satisfactory
- 3 – Needs improvement
- 4 – Unsatisfactory

Introductory sessions A-D				
1. The relevance of the sessions was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in these sessions were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Self-monitoring - learning diary				
1. The relevance was	1	2	3	4
2. The method was	1	2	3	4
3. It was useful to me	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Session 1 Background on the concept of governance**

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Session 2 Defining governance**

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



### Session 3 Introduction to the components of governance

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Session 4 Statutory and customary law

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Session 5 Institutions

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

Session 6 Processes				
1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

# Natural Resource Governance

[date of training]

[place of training]

117

## Day 2 Training Evaluation

Please complete this evaluation by circling the number which you think is most appropriate.  
Thank you for your participation and cooperation.

1 – Very satisfactory

2 – Satisfactory

3 – Needs improvement

4 – Unsatisfactory

### Session 7 Introduction to the principles of governance

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Session 8 Participation

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Session 9 Transparency

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Session 10 Accountability

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Session 11 Predictability/Rule of law

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Session 12 Exercise – the difference between governance and management

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Session 13 Introduction to the governance framework

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Session 14 Introduction to indicators

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

# Natural Resource Governance

[date of training]

[place of training]

## Day 3 and Overall Training Evaluation

Please complete this evaluation by circling the number which you think is most appropriate.  
Thank you for your participation and cooperation.

1 – Very satisfactory

2 – Satisfactory

3 – Needs improvement

4 – Unsatisfactory

### Session 15 Introduction to issues, interventions, and indicators

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Session 16 Identifying issues and interventions and developing indicators

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Session 17 Assessing governance

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Session 18 Natural resource governance and poverty reduction

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### The training course overall

1. The course content was relevant/useful to me	1	2	3	4
2. My expectations were met	1	2	3	4
3. The overall organisation was	1	2	3	4
4. The overall time allocation was	1	2	3	4

Suggestion for improving training

---

---

---

---

---

Do you suggest any follow-up activity? If so, what should it be?

---

---

---

---

---



# Natural Resource Governance

[date of training]

[place of training]

123

## Training Evaluation

Please complete this evaluation by circling the number which you think is most appropriate.  
Thank you for your participation and cooperation.

- 1 – Very satisfactory
- 2 – Satisfactory
- 3 – Needs improvement
- 4 – Unsatisfactory

### Introductory sessions A-D

1. The relevance of the sessions was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in these sessions were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this  
session \_\_\_\_\_

---

---

---

### Session 1 Background on the concept of governance

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this  
session \_\_\_\_\_

---

---

---

Session 2 Defining governance				
1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Session 3 Introduction to the components of governance				
1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Session 4 Introduction to the principles of governance				
1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Session 5 Exercise – the difference between governance and management

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Session 6 Introduction to the governance framework

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Session 7 Natural resource governance and poverty reduction

1. The relevance of the session was	1	2	3	4
2. The method of presentation was	1	2	3	4
3. The competence of the trainer was	1	2	3	4
4. My questions concerning the material presented in this session were answered	1	2	3	4
5. The time allocation was	1	2	3	4

Specific comments on this

session \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## (Endnotes)

- 1 United Nations Development Programme. 1997. Governance for sustainable human development. A UNDP policy document. Available on-line: <http://mirror.undp.org/magnet/policy/summary.htm> Accessed 13 September 2009.
- 2 UNDP has since expanded this definition. See, for example, United Nations Development Programme. 2007. Governance Indicators: A User's Guide. p.1. Available on-line: [http://www.undp.org/oslocentre/docs07/undp\\_users\\_guide\\_online\\_version.pdf](http://www.undp.org/oslocentre/docs07/undp_users_guide_online_version.pdf) Accessed 9 November 2009.
- 3 United Nations Economic and Social Commission for Asia and the Pacific. What is Good Governance? Available on-line: <http://www.unescap.org/pdd/prs/ProjectActivities/Ongoing/gg/governance.asp> Accessed 22 October 2009.
- 4 OECD definition of governance. On-line: <http://stats.oecd.org/glossary/detail.asp?ID=7236>
- 5 Council of the European Union. Governance in the Context of Development Cooperation. 14773/03 DEVGEN 144. 13 November 2003. Available on-line: <http://register.consilium.europa.eu/pdf/en/03/st14/st14773.en03.pdf> Accessed 24 October 2009.
- 6 Commission of the European Communities. 2001. European Governance A White Paper. COM(2001) 428 final. Brussels, 25.7.2001. Available on-line: [http://eur-lex.europa.eu/LexUriServ/site/en/com/2001/com2001\\_0428en01.pdf](http://eur-lex.europa.eu/LexUriServ/site/en/com/2001/com2001_0428en01.pdf) Accessed 6 November 2009.
- 7 World Bank. Governance Matters. On-line: <http://info.worldbank.org/governance/wgi/index.asp> Accessed 23 October 2009.
- 8 African Development Bank. What is Governance? On-line: <http://www.afdb.org/en/topics-sectors/sectors/economic-financial-governance/frequently-asked-questions/> Accessed 24 October 2009.
- 9 Asian Development Bank. 1999. Governance: Sound Development Management. p. 3. Available on-line: <http://www.adb.org/documents/policies/governance/govpolicy.pdf> Accessed 24 October 2009.
- 10 Canadian International Development Agency. Governance. On-line: <http://www.acdi-cida.gc.ca/acdi-cida/ACDI-CIDA.nsf/eng/JUD-111883426-HX4> Accessed 23 October 2009.
- 11 Department for International Development. 2007. Governance, Development and Democratic Politics DFID's work in building more effective states. p. 6. United Kingdom. Available on-line: <http://www.dfid.gov.uk/Documents/publications/governance.pdf> Accessed 24 October 2009.
- 12 Plumptre, Tim. What is Governance? Institute on Governance. On-line: <http://www.iog.ca/page.asp?pagelD=3&htmlarea=home> Accessed 23 October 2009
- 13 International Institute for Environment and Development. Governance. "It includes regionalisation, decentralisation and the informal interactions between government and other actors (including non-governmental) and the key roles they play in delivering effective, accountable solutions to shared problems." On-line: <http://www.iied.org/governance/about/about-governance-group> Accessed 23 October 2009.
- 14 de Ferranti, David et al. 2009. How to improve governance : a new framework for analysis and action. p.8. The Brookings Institution, Washington, D.C..
- 15 IUCN. Strategies. IUCN refers to these as "principles" of governance. On-line: [http://www.iucn.org/about/work/global\\_programme/strategies/](http://www.iucn.org/about/work/global_programme/strategies/) Accessed 22 October 2009.
- 16 United Nations Development Programme. 1997. Governance for sustainable human development. A UNDP policy document. Available on-line: <http://mirror.undp.org/magnet/policy/summary.htm> Accessed 13 September 2009.
- 17 United Nations Economic and Social Commission for Asia and the Pacific. What is Good Governance? Available on-line: <http://www.unescap.org/pdd/prs/ProjectActivities/Ongoing/gg/governance.asp> Accessed 22 October 2009.
- 18 Commission of the European Communities. 2001. European Governance A White Paper. COM(2001) 428 final. Brussels, 25.7.2001. p. 8. Available on-line: [http://eur-lex.europa.eu/LexUriServ/site/en/com/2001/com2001\\_0428en01.pdf](http://eur-lex.europa.eu/LexUriServ/site/en/com/2001/com2001_0428en01.pdf) Accessed 6 November 2009.
- 19 African Development Bank. 2008. Governance Strategic Directions and Action Plan GAP 2008-2012. p. 15, footnote 1. Available on-line: [http://www.afdb.org/fileadmin/uploads/afdb/Documents/Publications/7000017\\_EN\\_OSGE%20anglais%20OK.pdf](http://www.afdb.org/fileadmin/uploads/afdb/Documents/Publications/7000017_EN_OSGE%20anglais%20OK.pdf) Accessed 24 October 2009.
- 20 Asian Development Bank. 1999. Governance: Sound Development Management. p. viii. Available on-line: <http://www.adb.org/documents/policies/governance/govpolicy.pdf> Accessed 24 October 2009.
- 21 United States Agency for International Development. Promoting democratic governance. [http://www.usaid.gov/fani/overview/overview\\_governance.htm](http://www.usaid.gov/fani/overview/overview_governance.htm) Accessed 13 September 2009.
- 22 World Bank. Governance Matters 2009. <http://info.worldbank.org/governance/wgi/index.asp> Accessed 13 September 2009.
- 23 United Kingdom Department for International Development. 2006. Eliminating world poverty making governance work for the poor. <http://www.dfid.gov.uk/Documents/publications/whitepaper2006/whitepaper-printer-friendly.pdf> Accessed 22 October 2009.
- 24 The World Bank refers to these as "dimensions" of governance and combines "voice" and "accountability" into one dimension.
- 25 The World Bank specifies that "public availability of knowledge and information" is a prerequisite for governance improvement and anti-corruption. <http://web.worldbank.org/WBSITE/EXTERNAL/WBI/EXTWBIGOVANTCOR/0,,contentMDK:20678938~pagePK:64168445~piPK:64168309~theSitePK:1740530,00.html> Accessed 13 September 2009.
- 26 One definition of accountability says that accountability is responsiveness: "Accountability, in general, describes the responsiveness on the part of government to citizens' demands concerning the type of public services the public sector should provide. This may include the government's response to citizen efforts to bring about a change in the government's behavior by persuasion, demand, or compulsion." de Ferranti, David et al. 2009. How to improve governance : a new framework for analysis and action. The Brookings Institution, Washington, D.C. p.7.
- 27 DFID uses the term "State capability".



## NATURAL RESOURCE GOVERNANCE Training Manual

IUCN, the International Union for Conservation of Nature, helps the world find pragmatic solutions to our most pressing environment and development challenges. It supports scientific research, manages field projects all over the world and brings governments, non-government organizations, United Nations agencies, companies and local communities together to develop and implement policy, laws and best practice.

IUCN is the world's oldest and largest global environmental network – a democratic membership union with more than 1,100 government and NGO member organizations, and 12,000 volunteer scientists in more than 160 countries.

IUCN's work is supported by more than 1,100 professional staff in 60 offices and hundreds of partners in public, NGO and private sectors around the world. The Union's headquarters are located in Gland, near Geneva, Switzerland. Its Asia Regional Office is based in Bangkok, Thailand.

The IUCN in Sri Lanka was established in 1986 and is guided by IUCN's mission and the environmental concerns embodied in successive National Environmental Action Plans of the Government of Sri Lanka



INTERNATIONAL UNION  
FOR CONSERVATION OF NATURE

Sri Lanka Country Office,  
53, Horton Place,  
Colombo 07,  
Sri Lanka.  
com@iucnsl.org  
Tel + 94 11 269 4094  
Fax + 94 11 268 2470  
www.iucnsl.org