

EVALUATING GOVERNANCE

A HANDBOOK
TO ACCOMPANY
A PARTICIPATORY PROCESS
FOR A PROTECTED AREA

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The authors are very grateful to the people and organisations willing to test the process outlined in this handbook and thus contribute towards a better and more useful final version.

INTRODUCTION

Congratulations!

By opening this handbook, you demonstrate interest in an evaluation process that will help you improve the governance of a protected area of your concern. We would like to encourage you along this path, as such a process may be highly rewarding in terms of enhancing both the environment and resources at stake and the society affecting and being affected by the protected area. You may actually consider that the evaluation process began the very moment in which you started thinking about ‘governance’, ‘performance’ and ‘effectiveness’ in relation to a protected area. This handbook is designed to help you develop a better understanding of these concepts and issues, and improve them for everyone’s benefit.

‘Evaluation’ and ‘assessment’

Throughout the handbook we use the words ‘evaluation’ and ‘assessment’ interchangeably. Please use whichever you prefer. Just remember, the participatory process you are engaging in is not a one-time event and needs to be thought of as a long-term commitment to improving the governance and management effectiveness of the protected area of your concern. For maximum benefit, you will need to do further monitoring and assessments through time after the first evaluation exercise.

The challenge of governance

During the last 10 years, governance has become a ‘hot topic’. As the limitations of national governments have become more apparent, addressing issues of public concern

has become more complex.¹ While governments exert an important influence on many public matters, they are only one among many powerful actors. Others include indigenous peoples' organizations, non-governmental organisations with environment and development goals, trans-national corporations, bodies of international and national law, scientific and local expert groups and professional associations. In this dynamic setting, conventional governance structures and roles – based on a centralized, hierarchical authority – are no longer adequate. Society is testing new and more flexible forms of governance to more effectively represent and respond to public concerns. These innovative institutional arrangements, both within national governments and between governments and society, are moving toward more flexible, multi-party arrangements characterized by interdependence among the actors and shared authority. Various forms of collaboration among communities, government, business and other actors ('public interest partnerships') have been growing in many countries.

Two key factors explain why new models of governance are emerging:

- Governments are seeking to implement their policies and programs in a more cost-effective, responsive and equitable manner and to increase overall social benefits.
- Citizens are demanding more influence on decisions affecting their lives and, as appropriate, the redressing of past injustices.

Experience indicates that new systems of governance can play a critical role in improving social well-being. For example, recent research on Indian Reservations in the United States points to the importance of exercising power through effective and well coordinated institutions. This appears to be a key factor distinguishing the Indian tribes that developed successfully in comparison to others.² In many countries, novel ways of strengthening citizen participation in policy-making processes are being developed.³ This is done in order to improve governance as both an end in itself (creating fair and equitable processes) and a means to an end (producing desired results).

In the realm of protected areas, practitioners recognize that adaptable institutional arrangements are necessary to manage natural resource systems that have complex social, political, cultural and ecological dimensions. We need to change the way we think about governing protected areas due to:

- increasing recognition of the limitations of 'expert' science and of the need to integrate it with indigenous and local ecological knowledge;
- the evolution of new, ecosystem-based, adaptive management approaches;
- the need to accommodate changing social values and rapidly shifting political and economic forces;
- growing demands for more effective representation of citizens' interests in policy and decision-making;

¹ Institute on Governance, 2002.

² Cornell and Kalt, 1992

³ Pimbert and Wakeford, 2001.

- increasing recognition of the legal basis for the rights of indigenous/ aboriginal peoples;
- government pressure to reduce management costs, e.g. for monitoring activities, enforcing rules, maintaining infrastructures, etc.

As a result of all of the above, we have been witnessing a general move by protected area authorities to decentralize, and in some cases delegate or devolve some of their authority and responsibility to multi-party groups at the regional and local level⁴.

Box 1: Decentralisation, delegation and devolution

(adapted from Ribot, 2002 and Alcorn *et al.*, 2003)

The term “decentralisation” describes an act by which a central government formally cedes power to actors and institutions at lower levels in a political-administrative and territorial hierarchy. If those are local branches of the central state (e.g. prefects, or local administration and technical ministries) the process is referred to as “*administrative decentralization*” or “*de-concentration*”. If those are private bodies such as individuals, corporations or NGOs, the process is called “*privatization*” or “*delegation*”. If those are local authorities downwardly accountable to local people, the process is called “*democratic decentralization*” or “*devolution*”. The powers that can be transferred are: legislative (elaboration of rules), executive (implementing and enforcing decisions) and judicial. These powers and the financial resources to implement actions are rarely transferred together in integrated packages or ways that create positive synergies, a fact that complicates the process and often creates conflicts.

The trend toward decentralization and/or devolution of authority has put some decision-making power in the hands of local communities, non-governmental organizations (NGOs) and private businesses. In some cases, it has also prompted the recognition of the conservation value of community-conserved areas that exist outside of the official protected area system.

The new or newly recognized organizations, relationships and forms of direct citizen participation raise several kinds of governance questions:

- Who is entitled to share authority in PA management?
- In what form can authority best be shared (basically: by vote or by consensus)?
- Who should be responsible for what?
- Who should be accountable to whom?
- What is happening to protected areas’ management objectives with the introduction of the private sector’s and communities’ values, interests and into decision-making?
- What are the new costs and benefits involved in pluralist conservation arrangements?
- Who should share in such costs and benefits? Through what arrangements?

⁴ Add here a reference here to the survey promoted by Parks Canada

- How can community conservation initiatives be integrated into larger conservation systems (national, regional and international)?

Despite the mounting interest in governance, the understanding of the concept and its application in a protected area setting is still wanting. So too are methods to assess governance arrangements from both a process perspective (responsiveness, equity, cost-effectiveness), and an outcome perspective (effectiveness, reaching the desired goals).

Why this handbook?

The purpose of this handbook is to assist in a systematic process of designing, conducting and following up a participatory assessment of protected area governance.

We use the term governance to describe the processes, operations and relationships that structure the allocation and use of decision-making powers⁵.

This guide is for you, whether you are a member of a PA governing body, a PA staff, a member of a community traditional organisation governing a community conserved area, a village leader, a representative of a resource user group, or a conservation or development advocate. It is our hope that the guide will assist you in assessing and improving, if necessary, the governance of the protected area of your concern.

By conducting a participatory evaluation using a broad range of perspectives, we hope this handbook will clarify your understanding of:

- The concept of ‘governance’;
- Conventional and non-conventional approaches for the governance of protected areas;
- How the structures and processes of governance influence day-to-day PA management operations;
- The complex and often contradictory nature of governance (e.g. the gap between governance decisions and actions, between what is happening in concrete practice and what different stakeholders perceive to be happening, etc);
- The critical role of governance as a means to achieving protected area goals and objectives.

This handbook is also intended to get people thinking about ‘good governance,’ and to provide ideas to improve your governance situation.

We realize that every site has unique conditions and it is (fortunately!) impossible to develop a ‘one size fits all’ management or assessment tool. It is however possible to offer you some guidance and ideas for a participatory process that can help you determine what your needs are, and how best you can meet them. This handbook will assist you in developing, implementing and maintaining a participatory assessment process that is unique, responsive and effective for you, avoiding a routine, top-down or funding-driven

⁵ A [fuller](#) definition of governance can be found later in this volume, in the section entitled *What is governance?*

programme. Ultimately, we hope that this handbook will lead to sounder governance of protected areas.

Why is it important to evaluate the governance of a protected area?

... to find solutions to management challenges

Protected areas face many types of threats to their ecological integrity and social and cultural significance. Harmful practice originates from the failure of policies, laws and decision-making processes to provide effective guidance and conservation incentives to managers and others involved. Responsive, coordinated and efficient governance processes can establish policies and provide incentives (e.g., social recognition, financial support, consistency in agency mandates) that ensure a variety of stakeholder⁶ perspectives, including ‘expert’ opinions, are brought to the table to discuss and ultimately solve complex socio-ecological dilemmas.

... to ensure accountability and conserve financial and material resources

Governments, funding agencies, regulatory bodies and stakeholders in general are increasingly interested in accountability: they want to know how well a governance system supports the achievement of established goals and objectives. They also want to see how the results generated compare with the effort expended and the resources committed. Over time, a governance assessment could improve the cost-effectiveness and efficiency of conservation processes and programmes.

... to determine whether a change in governance structure and process is due

Adaptive management and enhanced stakeholder participation in management are on the increase in many protected areas. This is due to several factors, including an increased appreciation of the ecological role of humans and their relationship with landscapes; a desire to improve risk management by incorporating a broader-based representation and assessment of the issues at stake; public demands for more direct representation of their interests in decision-making, and a growing recognition of aboriginal rights. In each situation, a combination of political, institutional and economic factors may signal that the time is ripe for more (or less) collaborative approaches to management.

... to identify the most appropriate governance system in the face of global change

Global bio-physical, socio-economic and institutional change is sweeping the world and profoundly affecting protected areas. In the face of such powerful challenges the advantages and disadvantages of different governance systems need to be evaluated in terms of their capacity to cope. A number of aspects can be examined, including:

- What governance arrangements would be the most flexible, and capable to respond to the changing needs, opportunities and threats related to the protected area?

⁶ Here and in the following, when we say “stakeholders” or “relevant social actors”, we mean those individuals, groups and organisations bearing major and distinct interests and concerns about the protected areas at stake.

- What governance arrangements would promote fuller use of the diversity of resources each stakeholder can offer?
- What governance arrangements would promote an equitable distribution of the costs and benefits of conservation?
- What governance arrangements would support the ecological, social and economic outcomes of greatest concern to the key stakeholders?
- What are the key governance problems and opportunities for enhancing the conservation of connected terrestrial and marine protected areas?
- What are the key governance opportunities for developing greater synergy among conservation initiatives at the local, regional and international levels?
- Are there ‘nested institutions’ capable of responding to local interests and concerns and assuring conservation outcomes?
- What are the key governance opportunities and challenges for strengthening conservation among governance structures of local conservation initiatives – established by groups of local stakeholders, indigenous people, local governments, the private sector, and NGOs – and in relation to the governance structure of official conservation authorities?

Why a *participatory* evaluation?

A participatory evaluation acknowledges the perspectives, interests, concerns and values of a variety of stakeholders affecting and affected by the protected area. Through the participatory evaluation process such stakeholders engage in analyzing the objectives, principles and performance of the governance system and in identifying the necessary changes and corrective action. This brings many perspectives and skills to bear on the protected area governance and promotes a social consensus on its existence and value.

A potent force driving the evolution of governance models is the growing recognition of, and value placed on the rights, responsibilities and interests of stakeholders, in particular indigenous and local communities concerned about specific protected areas. A common goal is to move beyond traditional forms of consultation and representation to give the historically excluded and underrepresented an effective voice. When diverse perspectives are brought to bear on complex policy issues, risk assessments and subsequent decisions can be improved.⁷ Furthermore, the contributions of different stakeholders provide complementary resources for conservation.

Three principles are emerging as central to new governance designs for protected areas:

- Increase the stakeholders’ involvement in the conservation policy, planning, implementation and evaluation processes;
- Foster a participatory and cooperative culture among protected area staff and technical consultants through training and supportive policies, procedures and professional attitudes;

⁷ Stirling, 2001.

- Build the organizational capacity of various stakeholders (in particular, primary and most directly affected stakeholders as the indigenous and local communities living within or in the surroundings of the protected areas).

Our handbook upholds these principles by supporting participatory evaluation for governing bodies and stakeholders at large. We hope to promote a connection among a mix of social actors, so that together they can design, carry out and draw lessons from an assessment process that meets their needs and interests. The process should also remain relevant and creative rather than becoming routine, top-down or funding-driven. Such a capacity for participatory evaluation is critical because of the priority placed today on partnerships and self-reliance in managing protected areas.

Just as participatory governance builds on the knowledge and comparative advantages (skills, resources, relationships, communication networks) of all actors involved, so does the participatory assessment process. With participation comes a sense of ownership and responsibility for the performance of the governance arrangements, which is essential for real change to be effected when necessary.

It is also known from experience that the more people are directly involved in evaluation, the more likely they are to validate and “own” the results, and to use them to improve their future performance.⁸ It is all more likely that action is taken after assessment when a variety of participants “are watching” and monitor the follow up to the measures agreed.

Can the people responsible for the governance of an area assess their effectiveness objectively?

Everyone brings a point of view to their work, external and internal evaluators alike. The key question, however, is for the evaluation to be done with competence, integrity and transparency, to be documented clearly and to be shared widely. In this sense, the involvement of a variety of (social actors), including the members of the protected area governing bodies, brings an added guarantee.

We believe, on the other hand, that external professionals may make a participatory assessment very effective. External evaluators can help facilitate the participatory assessment process and bring fresh insights, broader perspectives and valuable expertise. If it is the first time you are conducting a participatory assessment, external evaluators can help create the capacity to do so—a capacity that can be used later for ongoing monitoring and assessments. External evaluators can also add credibility to “internal” findings and results. We encourage you to explore different arrangements, and consider participatory assessments as a necessary complement to periodic external evaluations or audits.

A significant advantage of a well conducted participatory assessment is the engagement, trust and support it can help you build among the protected area stakeholders. These

⁸ Chambers, 1992; Jackson and Ingles, 1998; Margoluis and Salafsky, 1998; Ostrom, 1990; Steinmetz, 2000.

individuals and organizations will gain greater insight into the types of issues, decisions and stakes involved in governing a protected area. They will become more aware of the rights and responsibilities of each of the actors involved. They will also benefit from more accurate information on relevant activities and performance.

What will the handbook provide and not provide?

Not a rigid method

We propose a framework for assessing the governance of a protected area, but not a rigid method. You will, as a matter of fact, design what you need and what you can afford based on your own situation.. There are vast differences between protected areas in terms of ecosystems, cultures, political and social settings, history, preferred ways of communicating, access to information and available resources. Assessing governance in a dry land protected area inhabited by mobile peoples in Niger is vastly different from evaluating governance in a cultural landscape in the United Kingdom, an arctic environment in Russia, or a sacred community conserved forest in India. And yet, the guidelines proposed here may offer insights for all these environments, and even enable comparisons and sharing of lessons with others using this same handbook.

Working definitions

Throughout the handbook, we offer definitions for a variety of concepts and terms. These are ‘working definitions’, and we encourage you to revise them, as you see fit. Definitions need, most of all, to make sense in your own context.

Help to evaluate process rather than results

The evaluation of governance can involve an assessment of both process (how it is functioning) and outcomes (impacts on the ground). This handbook mostly helps you evaluate how your governance system functions - its structure, composition, processes and activities - and how it performs against various principles and goals. It does not deal with how governance ends up affecting conditions 'on the ground', i.e. its intended and unintended, environmental and socio-economic impact⁹. And yet, by understanding and improving the functioning of your governance system, the performance of the protected area (e.g., its protection of biodiversity, its contribution to the local economy) is likely also to improve. This may not happen as quickly as desired, since process changes take time to produce positive impacts and several factors may be out of your control (e.g., climate change, economic recessions). Nevertheless, through time, improved PA governance can surely help you to achieve more effective, equitable and sustainable conservation outcomes.

⁹ Outcome is the result of a variety of variables and conditions, of which the governance system is only one.

A framework to understand and improve a PA governance system

The handbook provides a framework to help increase your understanding of the governance system for the protected area of your concern. It will assist you in carrying out a critical and systematic examination of the following governance aspects:

- The existing PA governance situation (Who is involved? Who holds the decision-making authority and responsibility? Who is accountable to whom? What structures, institutions and relationships are concerned? How do they function?)
- The PA governance goals (What are the values, principles, approaches and goals underlying the system? Can those be better served by an improved governance system?)
- The desirable changes in PA governance (What needs to be modified for the PA governance system to function more effectively and efficiently? Who can take action? How? With whose help? With what resources?)

Hopefully, the evaluation process will:

- promote greater awareness and participation of local communities and other stakeholders in protected area governance and management;
- generate support for collaborative problem solving;
- improve the PA planning and implementation process;
- promote and improve accountability;
- develop a participatory assessment capacity for similar exercises in the future;
- develop a plan to improve the governance of the protected area, where additional resources will be strongly justified on the basis of evaluation results ;
- complement and contribute to other evaluation processes conducted in the protected area.

Who is this handbook for?

The people most qualified to carry out this participatory evaluation are the people directly involved in, or impacting upon and impacted by the governance system. They include a diverse range of groups, organizations and individuals familiar with the field conditions relevant to a specific protected area or areas. This guide is written for them, rather than only for ‘experts’ and ‘professionals.’

Individuals can use the handbook, but you will get the maximum benefit by using it as part of a comprehensive team of stakeholders concerned about the same protected area. Ideally, your team should include one or more members of the PA governing bodies, PA staff, and representatives of all concerned social actors.

If you are a board overseeing a management body, or a management body with governing responsibilities and powers, this volume can help you evaluate your own governance system with the meaningful participation of stakeholders. This may include an analysis of governing bodies at a higher or lower level of authority. If you are a private owner or manager of a protected area, this handbook can help improve your understanding of the governance system in which you operate, and assist in convening a participatory

evaluation that may strengthen your status. If you are community members wishing to improve the local governance of a protected area, territory or resource, the handbook may help you design meetings and projects where the whole community and key people from outside it can be involved.

The results of your participatory evaluation may help stakeholders at large understand protected area decisions and call institutions accountable. Results should also help managers and decision-making bodies to better understand their own approaches and the specific constraints or opportunities they face.

Other people who might find this guide useful include local authorities, government officials, policy and decision makers, NGOs, donors, researchers, and students.

Structure of the handbook

The handbook can be picked up and used at any part. However, we recommend that the team members who will carry out the evaluation first become familiar with its contents. This will provide a valuable overview of what the handbook has to offer.

The handbook is divided up into seven sections. This first section you are reading provides an introduction to a participatory evaluation process. Here we have explored the purpose of the handbook, the reasons for and importance of carrying out a participatory evaluation of the governance system of a protected area, and what the handbook will and will not provide.

In the second section, we help you establish a knowledge base for your assessment. First we offer a working definition of the term ‘governance’ and examine its role, powers and instruments in a protected area setting. We then present four broad models of protected area governance based on the distribution of authority, responsibilities and accountabilities among government agencies and civil society organizations. This is followed by a discussion on ‘good governance’ with a presentation of principles of good governance from a United Nations and an Indigenous Peoples’ perspective.

The third section contains the ‘hands-on’ part of the handbook. Here you will find a practical and systematic approach for the participatory evaluation. We present a series of steps divided into three phases:

- Phase I: Planning the evaluation
- Phase II Carrying out the evaluation, and
- Phase III: Taking action and learning by doing

Each phase contains a variety of ideas, methods and tools to help you design an approach best suited to your situation. More specific material, such as examples of indicators for several governance criteria, or reviews of qualitative and quantitative methods, is placed in Annex 1, 2 and 3. More information can be found in specialised literature which is listed in the References section.

To get the maximum benefit from your participatory evaluation, you should act on the basis of its results. Annex 4 focuses on ideas for improving your governance, responding to the strengths and weaknesses identified in your evaluation. Five case studies describe PA governing bodies that have taken specific actions to improve their governance

situation.

PROTECTED AREA GOVERNANCE

What is governance?

For the past decade, the term ‘governance’ has grown in importance, describing the structures and processes used by a variety of social actors to influence and make decisions on matters of public concern. Essentially, governance depicts the way people interact and create policies and rules to guide their behaviour. Governance is not a synonym of ‘government’; it is more than a set of official bodies, or people working as government staff. In this handbook we use a definition of governance from a recent study commissioned by the Canadian Government’s national parks agency, Parks Canada:¹⁰

Governance is the interactions among institutions, processes and traditions that determine how power is exercised, how decisions are taken on issues of public and often private concern, and how citizens or other stakeholders have their say.

Fundamentally, governance is about power, relationships and accountability: who has influence, who decides, and how decision-makers are held accountable.

Governance may be used in different contexts – global, national, and local, social and institutional. Governance occurs wherever people organize themselves – formally and informally – to develop rules and relationships with each other in pursuing their objectives and goals. The types of actors involved can be many and varied, including government agencies and ministries at various levels, local elected and traditional authorities, indigenous and local communities, NGOs, businesses and corporations, international bodies, labour unions, professional organizations, religious and educational organizations, military authorities, political officials and parties, etc.

Context is crucial

Governance of natural resources is a realm of power struggles. Throughout history it has provided an arena for the playing out and resolutions of innumerable cultural and political clashes, including wars and violent conflicts¹¹. It is hardly imaginable to deal with governance of important natural resources, such as the ones included in a protected area, without the benefit of a supportive, non-repressive socio-cultural environment. In fact, progress on applying sensitive governance principles, such as legitimacy and fairness, simply cannot happen in the absence of a supportive environment¹². This supportive context will at least encompass:

- **A supportive democratic and human rights context**, including democratic institutions based on free elections, ‘one person one vote’, and a viable multi-party system; respect for basic human rights such as freedom of speech, association, religion; and lack of discrimination based on gender, race, colour, religion.

¹⁰ Institute on Governance, 2002

¹¹ Borrini-Feyerabend et al., 2003.

¹² Graham et al., 2003. See also Bruch and King, 2002.

- **A supportive judicial context** characterized by respect for the rule of law including: an independent judiciary; equality before the law; the requirement for government and its officials to base their actions on well-defined legal authorities; and citizens having the right to seek legal remedies against the government and against their fellow citizens.

The above is true even when a protected area is a fairly well-contained unit of natural resources, since it is increasingly evident that PAs can only be managed in the context of a broad landscape or ecosystem. The social actors holding responsibilities ‘at the boundaries’ need to be able to communicate and collaborate to support the PA.¹³

What is the role of governance in a protected area ?

Increasingly, protected area managers have found that problems at the operational level are closely linked with broader governance issues. Resolving technical issues related to conservation and resource use frequently requires a critical examination of existing laws, policies, programmes, regulations, organizational cultures and professional attitudes. This can result in broad public policy debates, negotiations and, ultimately corrective actions by governing bodies. Box 2 shows examples of protected area management issues – arising from a technical problem – that require governance-related solutions.

Box 2: Examples of Protected Area Management Issues Requiring Governance-related Solutions

Technical problem: Determine and enforce sustainable harvesting levels for fish (or wildlife) in a protected area.

Associated management issues requiring governance-related solutions:

- clarify and uphold rights to resource use (e.g., state, indigenous/aboriginal, private);
- improve access to information;
- re-orient institutional policies and practices to build a participatory culture;
- establish and enforce rules and regulations for levels of use;
- clarify / negotiate the respective roles of government, indigenous/aboriginal groups, local communities and other parties in shaping and attaining management objectives and overall social and economic goals for the region;
- create and sustain effective adaptive management rules and risk management systems for the PA;
- foster stakeholder participation in planning and implementing resource monitoring, evaluation and enforcement;
- build local monitoring and evaluation capacity and integrate within it the traditional ecological knowledge.

¹³ Scanlon, J. 2002

The primary role of those responsible for PA governance is to create and maintain the conditions necessary for effective management. Governing bodies at various levels do this in a variety of ways, including by:¹⁴

- providing a legal framework for land and resource use and tenure;
- establishing a policy framework that balances ecological and human well-being;
- establishing, structuring and putting into operation roles, responsibilities and accountabilities in decision-making about conservation and resource use;
- investing in building institutional capacity at various levels;
- investing in developing relevant individual and community capacities;
- fostering institutional policies, programmes and procedures, organizational cultures and professional attitudes that support participatory processes;
- providing decisive interventions in the event of conflict, particularly over boundary disputes and over land and resource use;
- guaranteeing fairness of stakeholder representation in decision-making processes and dispute resolution;
- assuring standards of performance in management;
- fostering the provision of employment and other economic opportunities and benefits for stakeholders;
- providing investments in PA infrastructure;
- providing technical inputs and support to protected area staff.

What governing instruments and powers are used?

Governing instruments

Those responsible for creating and maintaining supportive conditions for management of a protected area use a variety of governing instruments to achieve this task, including:

- laws;
- policies and rules (e.g. for establishing roles, responsibilities and accountability);
- regulations (e.g. for timing the use of a resource, opening or closing access to an area, allowing or disallowing a particular technology);
- financial investments (in programmes, infrastructure, etc.) ;
- spreading of information through several avenues;
- provision of occasions to meet, discuss and negotiate over specific issues (forums and platforms, including on-going events);
- provision of material or administrative support;
- research and training programmes;

¹⁴ Adapted from Swift, 1995

- various forms of incentives and disincentives, from fees and taxes to recognition of social merit and boosting of social standing.

Managers, agency representatives and stakeholders interpret and use combinations of these governing instruments (e.g. regulations, policies, incentives, funding, negotiation platforms) to help them carry out their planning and management activities.

Governance powers

Those responsible for governing hold certain powers that enable them to use these governing instruments. Six key governance powers are:

- Regulatory and planning powers: concerning the use of land and resources and for health and safety reasons.
- Spending powers: related to resource management, training programmes, development and maintenance of infrastructure (trails, roads, interpretative facilities, etc.), public safety, law enforcement and research initiatives.
- Revenue-generating powers: commonly in the form of fees, licensing and permits and, in some situations, in the form of property tax powers.
- The power to enter into agreements: concerning the sharing or delegation of aspects and combinations of the three powers above. This includes the authority to officially sanction the establishment of power-sharing arrangements, their mandates and operating rules (e.g. for cooperative management boards, councils, etc). This power also relates to creating agreements with others responsible for land use management in adjacent lands.
- The power of access to information: concerning the formal or informal communication of information related to policy planning, research, decision-making processes, monitoring and evaluation results, etc. This includes the authority to choose the form and the means by which the information is provided.
- The power of enforcement: the ability to enforce decisions, rules and regulations through a variety of means, including social consensus and legitimacy, legal backing, political pressure, and even police and military force.

Overlapping governance powers and authority

Identifying which regulations and other governing instruments apply in a specific protected area context can be a difficult task. Governing bodies at different levels of power, with different degrees of official recognition and often from various social and economic sectors, can claim jurisdiction (authority) to make and enforce their laws, policies and rules. For example, the same geographical spot (a forest, a savannah, a lagoon, etc.) or the same activity (the traditional harvesting of plants, commercial fishing, local trapping and hunting for food and clothes, etc.) may be subject to a number of diverse rules and regulations. A local governance body (e.g., a government district office or a protected area co-management board) may be the source of some regulations, while a regional or national governance body (e.g., a state, provincial or national government department or a regional governing council for several protected areas) may have some contradictory rules. Another source of complexity may be introduced when a regional or

national governance body devolves some power to a local body but later attempts to reassert its authority.

Several geographical levels of governance may exert influence in a given protected area setting.¹⁵ They are:

- the global level (increasingly important with respect to protected areas because of the growing number of international agreements and conventions, such as the World Heritage Convention, the Convention on Biological Diversity, the Ramsar Convention on Wetlands of International Significance, the UNESCO's Man and the Biosphere Programme, etc.);
- the national level;
- the regional/ sub-national/ territorial level (e.g., the level of an indigenous people's domain);
- the local/ community level.

These levels of institutional and legal governance interplay with other forms and levels of governance in each society and culture. In many countries, factors such as ethnicity, religion, gender or belonging to a given clan play a central role in determining the rules of control over the local resources. This is particularly true for natural resources under common property (including the ones that are officially state-owned). Such forms and levels of "cultural governance" may be invisible but nevertheless play a key role in decision-making about a protected area, meshing in various ways with the institutional and legal governance levels and mechanisms.

Additional governance challenges associated with regulatory powers

Of the six types of governance powers listed above, it is perhaps the regulatory power that generates the most attention and controversy. This is because it is so central to meeting the objectives of protected areas and because it presents so many governance challenges. These challenges stem from at least three causes:¹⁶

1. Regulation can become politically charged and is often regarded as a 'necessary evil.' The kinds of criticisms made are many and varied. For example:
 - there are too many regulations;
 - the regulations are too complex or inflexible;
 - the regulations are out of date – they don't reflect the new realities of the regulated activity or the development of new technology;
 - the regulations are so onerous as to represent an unfair burden in competing in the market place;
 - the regulations don't respect indigenous rights or culture or provide for local needs;
 - the regulatory agency is controlled by those it is supposed to regulate.

¹⁵ Institute on Governance, 2002

¹⁶ Sparrow, 2000

2. Regulatory agencies work to prevent unacceptable risks from happening to the public and the environment. Concrete results from effective risk management are difficult to demonstrate. However, since accidents do occur, agencies are vulnerable to criticism and even legal action for ‘regulatory negligence.’
3. Effective regulation is about making choices: there are never enough resources to inspect or monitor the range of activities to be regulated. Furthermore, effective regulation is about exercising discretion in choosing among a range of sanctions, from warning letters to civil or criminal proceedings to suspension of licenses. Such discretion, if not carefully managed, can lead to unfair treatment, abuse of power and possibly, corruption.

Four “types” of protected area governance

Protected area governance can be characterised by the holding of decision-making authority among various actors. Some years ago, a power-sharing continuum was proposed to describe various modes of decision-making for an individual protected area¹⁷ with, on the one extreme, an official state agency vested with complete decision-making power and, on the other, a local community or private entity (e.g., an indigenous organisation, an individual, a corporation, a foundation) with complete control. Between state agency control and private control, there were various types of stakeholder participation in decision-making (e.g., collaborative and joint management models).

Further discussions among protected area researchers and practitioners have generated a number of attempts to describe types of protected area governance. One such attempt¹⁸, shown in Table 1, contains four types of governance, distinguished by where final decision-making authority, responsibility, and accountability ultimately lie. This typology is presented in Table 1 in combination with the classification system for protected areas developed by the International Union for the Conservation of Nature (IUCN). The IUCN Protected Area Categories have been established to distinguish among protected areas dedicated to different overall objectives and management priorities. The four governance types are fully complementary to the IUCN categories (they are category-neutral) and can be applied to any of them. Protected areas exist that fill each possible combination of IUCN category and governance type¹⁹.

¹⁷ Borrini-Feyerabend, 1996; Institute on Governance, 2002; Parks Canada, 2002a.

¹⁸ Borrini-Feyerabend, 2002

¹⁹ Borrini-Feyerabend, 2003.

Table 1: Four types of Protected Area Governance

Government Management		B Multi-stakeholder Management			C Private Management			Community Management	
Local/ municipal ministry or agency in charge	Delegated management (e.g. to an NGO)	Trans- boundary management	Collaborative management	Joint management	By individual land- owner	By non- profit organisations (e.g. NGOs, university, etc.)	By for profit organisations (e.g. corporate land-owners)	Indigenous peoples	Local communities

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- A. GOVERNMENT MANAGEMENT** – Authority, responsibility and accountability for managing the protected area rest with a government ministry or agency that has formally subjected it to a conservation objective (such as the ones that distinguish the IUCN categories). The government level in charge may be the national (provincial in case of a federal country) or the local/ municipal. The government may also have delegated the management to a body (a para-statal organisation, NGO or even a private operator or community) but it retains land ownership and control/ oversight. The government may or may not have a legal obligation to inform or consult other identified stakeholders prior to making or enforcing management decisions.
- B. MULTI-STAKEHOLDER MANAGEMENT** – Authority, responsibility and accountability for managing the protected area are shared in various ways among a variety of actors, likely to include one or more government agencies, local communities, private landowners and other stakeholders. The actors recognize the legitimacy of their respective entitlements to manage the protected area, and agree on subjecting it to a specific conservation objective (such as the ones that distinguish the IUCN categories). Distinct sub-types may be identified. In collaborative management, formal decision-making authority, responsibility and accountability still rest with one agency (often a national governmental agency), but the agency is required— by law or policy— to collaborate with other stakeholders. In its strongest form, ‘collaboration’ means that a multi-stakeholder body develops and approves by *consensus* a number of technical proposals for protected area regulation and management, to be later submitted to the decision-making authority. In joint management, various actors sit on a management body with decision-making authority. Again, the requirements for joint management are made stronger if decision-making is by consensus. When this is not the case, the balance of power reflected in the composition of the joint management body may *de facto* transform it into a collaborative management arrangement . A special case of multi-stakeholder management is the one of trans-boundary PAs, whereby two or more national governments manage co-operatively an area beyond the limits of national sovereignty or jurisdiction of any one of them. This approach has been suggested also for high seas marine PAs beyond the jurisdiction of any one country.
- C. PRIVATE MANAGEMENT** – Authority and responsibility for managing the protected area rest with one or more private landowners. In some cases the owner is a non-profit organization (e.g. an NGO, foundation, research institute or university) but in others it is a for-profit corporation. The owners of the land and natural resources subject them to a specific conservation objective (such as the ones that distinguish the IUCN categories), and are responsible for making the decisions, subject to applicable laws and the terms of any agreements with the government but their accountability to the larger society is usually quite limited. Some forms of accountability may be negotiated with the government in exchange for specific incentives (as in the case of Land Use Trusts).
- D. COMMUNITY MANAGEMENT** – Authority and responsibility for managing the protected area rest with the indigenous peoples and/or local communities with customary and/or legal claims over the land and natural resources through a variety of specific forms of ethnic governance or locally agreed organisations and rules. Land and resources are usually collectively managed, a fact that may or may not have been legally sanctioned in the specific national context.. The community customarily (and/or legally) owning the land and natural resources formally subjects them to a conservation objective (such as the ones that distinguish the IUCN categories) and/or to other objectives that succeed in achieving the conservation objectives. Management is through a locally agreed form of governance, which often has roots in traditional, customary or ethnic practices. The community’s accountability to society may be defined as part of broader negotiations with the national government and other partners, possibly as a counterpart to being assured, for example, full respect for customary rights, incentives, etc. Such negotiations may result in recognition of specific rights and even joint management arrangements.

The role of Land Tenure

Most protected areas are established on lands under common property (state owned or communally-managed on customary grounds) but several sites also involve private lands or a mixture of different tenures – public, private and communal. Frequently, these mixed property territories are under multi-stakeholder management. In many countries, however, land tenure in protected areas is still a controversial issue. Historically, governments appropriated territories without the consent of the original resident communities or individuals, or governments inherited protected areas from a colonial power, perpetuating what many considered unlawful dispossessions. The systematization of protected areas according to “governance types” begins to address some of these issues by acknowledging that conservation can and does happen on land under the tenure of traditional residents or under mixed tenures that include traditional residents..

What is ‘good governance’?

‘Good governance’ is a fair and effective way of exercising governing powers (means) in order to meet the objectives (ends) of the protected area. It is founded upon the capacity and reliability of governing institutions to effectively respond to problems and achieve social unity through various forms of consultation, negotiation and multi-party agreements. Bodies practicing ‘good governance’ can handle conflict constructively, allowing for the expression of different points of view, the exploration of diverse meanings, and the evolution of consensus solutions. This, in turn, increases the governing bodies’ legitimacy, their respect in the eyes of the relevant stakeholders, and social compliance to the relevant rules.

Five principles of good governance

What constitutes good governance is strongly affected by the cultural context. Nevertheless, some universal norms or values have been proposed and can possibly apply across cultural boundaries. The United Nations formulated these universal norms into characteristics of good governance.²⁰ The Institute on Governance has subsequently grouped these characteristics into five broad principles, reproduced in Table 2.²¹ We have added a column listing key related governance responsibilities to make the work as useful as possible as a framework to assess governance in a specific setting.

. Other principles could be added to this list. For instance, some would say that the principles in Table 2 could make stronger reference to a **right based approach**²²,

²⁰ The United Nations Development Programme, 1997

²¹ The Institute on Governance, 2002

²² Insert WWF-CARE ref here, 2002. (Forthcoming)

according to which, first and foremost, protected area governance should not infringe upon the legal and customary rights of communities and individuals. Others would emphasize the concept of **subsidiarity**²³ by which governance authority and responsibility should be delegated to the lowest possible level with relevant capacity (thus promoting public participation and accountability in decision-making). You will undoubtedly consider what principles make the most sense in your historical and socio-cultural context.

Table 2: Five Principles of Good Governance
(modified from Institute of Governance, 2002)

Five Principles of good governance	The United Nations Principles on which the five principles are based	Related PA governance responsibilities
1. Legitimacy and Voice	<p>Participation: All men and women should have a voice in decision-making, either directly or through legitimate intermediate institutions that represent their intention. Such broad participation is built on freedom of association and speech, as well as capacities to participate constructively.</p> <p>Consensus orientation: Good governance mediates differing interests to reach a broad consensus on what is in the best interest of the group and, where possible, on policies and procedures.</p>	<p>Promoting the free expression of views, with no discrimination related to gender, ethnicity, social class, etc.</p> <p>Fostering dialogue and consensus</p> <p>Fostering relations of trust among stakeholders</p> <p>Making sure that rules are respected because they are “owned” by people and not solely because of fear of repression</p>
2. Accountability	<p>Accountability: Decision-makers are accountable to the public, as well as to institutional stakeholders. This accountability differs depending on the organizations and whether the decision is internal or external.</p> <p>Transparency: Transparency is built on the free flow of information. Processes, institutions and information are directly accessible to those concerned with them.</p>	<p>Making sure that stakeholders possess an adequate knowledge, and quality of knowledge, regarding what is at stake in decision-making, who is responsible for what, and how responsibilities can be made accountable</p> <p>Making sure that the avenues to demand accountability are accessible to all</p> <p>Making sure that accountability is</p>

²³ Commission of the European Communities, 2001. See also the CBD understanding of the “ecosystem approach”.

	Enough information is provided to understand and monitor institutions and their decision-making processes.	not limited to verbal exchanges but linked to concrete and appropriate rewards and sanctions
3. Performance	<p>Responsiveness: Institutions and processes try to serve all stakeholders.</p> <p>Effectiveness and efficiency: Processes and institutions produce results that meet needs while making the best use of resources.</p>	<p>Ensuring a competent administration.</p> <p>Making certain there is sufficient institutional and human capacity to carry out the required roles and assume the relevant responsibilities</p> <p>Being robust and resilient, i.e. able to overcome a variety of threats/obstacles and come out strengthened from the experiences</p>
4. Fairness	<p>Equity: All men and women have opportunities to improve or maintain their well being.</p> <p>Rule of Law: Legal frameworks are fair and enforced impartially, particularly the laws on human rights.</p>	<p>Making sure that conservation is undertaken with decency: without humiliation or harm to people</p> <p>Ensuring that the governing mechanisms (e.g. laws, policies conflict resolution forums, funding opportunities, etc.) distribute equitably the costs and benefits deriving from conservation</p> <p>Making certain that public service promotions are merit-based</p> <p>Being consistent through time in applying laws and regulations</p> <p>Providing fair avenues for conflict management and, eventually, non-discriminatory recourse to justice</p>

5. Direction	Strategic vision: Leaders and the public have a broad and long-term perspective on good governance and human development, along with a sense of what is needed for such development. There is also an understanding of the historical, cultural and social complexities in which that perspective is grounded.	Providing effective leadership , generating and supporting innovative ideas and processes. Providing a model of good conduct, being consistent in what it is said and done
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Priorities differ by social context

The details of what constitutes good governance depend on such factors as the values and cultural norms of the society in which you live, your political history, and your desired social and economic outcomes. It is important that different traditions and values be accommodated when considering appropriate roles, responsibilities and relations among stakeholders and government agencies.

Different principles of good governance will receive priority depending on the social context²⁴. For example, Western cultures place top value on efficiency, while in other parts of the world, harmony and consensus may be most important. Depending on the society, different priorities may be surfacing between:

- individual rights compared to communal obligations;
- the ‘objective’ application of the rule of law compared to traditional and customary decision-making practices;
- economic growth compared to cultural integrity, richness and diversity.

While the five principles of good governance listed in Table 2 do hold weight across cultural boundaries, applying them to practical situations may create controversy, either because they conflict with each other, or because too heavy an emphasis on one may lead to undesirable results. For example, stability in the application of laws and use of processes (under ‘fairness’) could prevent needed change and political development from occurring. As well, an excess of public participation (under ‘legitimacy and voice’) could result in detrimental delays on critical issues or decision-making by individuals with little accountability.

An Indigenous Peoples’ perspective

There is a growing body of work on forms of indigenous governance and, in particular, on what constitutes good governance from an indigenous perspective. Box 2 presents a vision for the new government of Nunavut, a recently created territory in Canada’s north.

²⁴ Graham et al., 2003.

The vision contains principles of good governance based on the voices of the Nunavut people, and yet it is not far from the United Nations' principles described above.

Box 3: A Vision for the Government of Nunavut

In preparation for the new government of Nunavut, a recently created territory in Canada's north, extensive consultation with citizens of Nunavut resulted in a vision²⁵ of government that:

- places people first;
- represents and is accountable and fair to all its residents;
- is a servant of the people of Nunavut;
- seeks direction from the people;
- is shaped by and belongs to the people of Nunavut;
- offers programmes and services in an integrated and holistic manner;
- promotes harmony amongst people;
- places ownership of well-being into the hands of individuals, families, and communities;
- conducts itself with integrity and openness;
- encourages excellence and welcomes creativity;
- incorporates the best of Inuit and contemporary government systems.

²⁵ Author? "Nunavut – Changing the Map of Canada", year???? Insights – *Public Sector Management in Canada*, Volume 3, Number 4 (NEEDS COMPLETION OF REFERENCE , AND NEED TO Place it IN THE REFEEENCES LIST...)

THE PARTICIPATORY EVALUATION

The quality and results of the participatory evaluation of the governance system for the protected area of your concern depend on the long-term commitment of the relevant actors to improve governance and management effectiveness. The evaluation, in fact, needs to engage all of them in an active way, through time and at different levels.

Table 3²⁶ summarises the tenets of the participatory evaluation approach versus the conventional one:

Table 3: What distinguishes a participatory evaluation from a conventional one?		
	Conventional Evaluation	Participatory Evaluation
Who plans and manages the process	Senior managers, or outside experts	Local people, project staff, managers, and other stakeholders, often helped by a facilitator
The role of 'primary actors'	Providing information	Designing and adapting the methodology, collecting and analysing data, sharing findings and deriving the needed action
How success is measured	Mainly by externally-defined quantitative indicators	By internally-defined indicators, including qualitative judgements
The overall approach	Pre-determined	Adaptive

Participative or not, however, an evaluation must be well planned. For this we offer a series of steps arranged in three phases. You are invited to consider them as a starting point and inspiration to create the approach that best suits your own context and situation.

The process outlined below has been drawn from accumulated experience designing the monitoring and evaluation of organizations, projects and programmes²⁷, with special emphasis on Participatory Action Research²⁸, Action-Evaluation²⁹ and Empowerment Evaluation³⁰. Table 4 provides an example of Participatory Evaluation Plan which

²⁶ Modified from Guijt and Gaventa, 1998.

²⁷ See, for instance, Borrini-Feyerabend, 1997; Jackson and Ingles, 1998; Margoluis and Salafsky, 1998; Abrams, 2000; Hockings *et al.*, 2000; Steinmetz, 2000; Borrini-Feyerabend and Farvar, 2001. For additional ideas and information, see ELDIS, 2003 (website on participatory monitoring and evaluation), and Institute of Development Studies, 2003 (website on citizen participation and participatory approaches to development).

²⁸ Barton *et al.*, 1997;.

²⁹ Rothman, 1997

³⁰ Fetterman, Kaftarian, and Wandersman, 1996.

includes each of these steps. However, this is just a general guide as many factors (e.g. the number and characteristics of the relevant actors, the existence of particular communication or logistical difficulties) may require special attention and greatly modify the time needed for a specific activity. You will also need to adapt the steps to your particular circumstances, depending on the level of governance and type of PA you are evaluating.

A 3-Phase Participatory Evaluation

PHASE I: Planning the evaluation

- ☛ Identify *who* should be involved in the evaluation
- ☛ Establish a Core Participatory Evaluation Team
- ☛ Agree upon *why* you are conducting an evaluation: the objectives of the evaluation
- ☛ Agree on *what* you want to evaluate: what “good governance” means and which criteria and indicators can best describe it in the specific PA context.
- ☛ Agree upon *how* you will conduct the evaluation: the structure and methods of the evaluation
- ☛ Make sure that the Core Team is fully prepared for the tasks ahead
- ☛ Develop the Participatory Evaluation Plan

PHASE II: Carrying out the evaluation

- ☛ Engage the relevant actors in the evaluation
- ☛ Generate information in a participatory way
- ☛ Carry out the participatory situation analysis, goal and action analysis

PHASE III: Taking action and learning by doing

- ☛ Implement the initiatives agreed to improve governance
- ☛ Monitor progress through time and learn by doing

Table 4: Example of a Work Schedule for the Participatory Evaluation

Activities	Month 1	Month 2	Month 3	Month 4	Month 5
Phase I: PLANNING THE EVALUATION					
Core Team established					
Identify relevant actors, evaluation objectives and prelim. governance criteria and indicators					
Agree on the participatory evaluation principles and methods					
Train the Core Team					
Develop the participatory evaluation Plan and budget					
Get the plan and budget approved and invite actors					
Phase II: CARRYING OUT THE EVALUATION					
Engaging the actors in the evaluation					
Workshop(s) to reflect on governance, agree on principles and criteria and discuss perceptions of existing governance system					
Generating the information in a participatory way					
The relevant actors assess the agreed priority indicators					
Participatory situation analysis, goal and action analysis					
Workshop(s) to share the results, analyse and agree on goals for improving PA governance. Develop action analysis and agree on concrete initiatives.					
Phase III: TAKING ACTION AND LEARNING BY DOING					
Implementing the initiatives					
Monitoring the progress of the initiatives					
Feedback sessions: how well did evaluation meet its own objectives					

Phase I: PLANNING THE EVALUATION

Planning for your participatory evaluation is carried out in several steps, dealing with the ‘who’, ‘why’, ‘what’ and ‘how’ of the participatory assessment. Before you even start planning, however, it is important to consider some basic feasibility questions, including the willingness of the PA governing bodies to engage in an evaluation process and the availability of a minimum of human and financial resources. Once such basic feasibility is assured, the following steps can be taken.

Identify who should be involved in the evaluation

PA governance systems are embedded in broader social and political contexts. They are dependent upon their interactions and compatibility or nesting³¹ within the decision-making framework at national and other levels; they also affect in different ways a variety of social interests and concerns. In addition, if changes to the system are needed, the ability to effect those changes is usually not limited to those directly involved in the governing bodies. Because of all this, the evaluation needs to involve a broader constituency than the PA governing bodies, that is, it needs to be to be **participatory**.

Deciding who should be involved at what moment and in what way is pivotal to conducting a balanced, thorough and effective evaluation. To ensure that the selection is fair, the people promoting the evaluation may start by identifying the local groups, individuals, organizations and initiatives with interest and concern in the management of the protected area. This “preliminary list of key relevant actors (stakeholders)” should include those who are related the protected area in a close and constant way but also those who are related to it on the basis of erratic, seasonal or indirect relationships (mobile peoples or those who have a 'downstream' interest in the resources originating from the PA). This first list of stakeholders can be made by talking with your closest collaborators with the help of a checklist such as the one in Box 3.

Box 4. A checklist to identify the PA relevant actors

- √ Are there communities, groups or individuals actually or potentially *affected* by the PA governance? Are there historic occupants (e.g., indigenous communities or regular transients) and traditional resource users with customary rights within or in the vicinity of the PA? Are there recent migrants? Non-resident users of resources? Major secondary users of local resources (e.g., buyers of products, tourists)? Are there local associations or NGOs concerned with the PA? Are there businesses and industries potentially impinged upon by the PA decisions? Are there research, development or conservation projects in the area? How many employees (national and international) live in the area because of the PA?
- √ Who are the main traditional *authorities* in the territory of the PA? Are there government agencies officially responsible for the territory where the PA is located and for its surroundings? Are there

³¹ Ostrom, 1990

respected institutions, to which people have recourse in connection with a variety of relevant needs and circumstances (e.g. water uses)?

- √ Who has *access* to the territory and resources of the PA? Who is using those resources at present? In what ways? Has this changed over time?
- √ Which communities, groups and individuals are most *dependent* on the resources of the PA? Is this a matter of livelihood or economic advantage? Are these resources replaceable by others?
- √ Who upholds *claims*, including customary rights and legal jurisdiction over the territory or resources of the PA? Are there communities with ancestral and/or other types of acquired rights?
- √ Who are the various government sectors and ministerial departments at the national level that are involved in policy and decision-making about conservation and development in the PA(s) and the surrounding areas? Are there national and/or international bodies involved because of specific laws or treaties?
- √ Which communities, groups or individuals are most *knowledgeable* about, and capable of dealing with, the territories or resources of the PA? So far, who has had a direct experience in managing them?
- √ Are there seasonal/ geographical variations in resource use patterns and user interests within or in the vicinity of the PA? Are there major events or trends currently affecting local communities and other social actors (e.g., development initiatives, land reforms, migration, important phenomena of population mobility or natural growth or decline) in relation with the PA?

After drawing a preliminary list, you should contact the identified “relevant actors”, discuss their main interests and concerns regarding the protected area and ask whether they are willing to take part in the participatory evaluation. You will then group them broadly according to their views. For instance, if all the pastoral communities in the area are similarly and principally concerned about their exclusion from the PA pastureland in time of drought, and if they basically have no other major interest vis-à-vis the PA, you may consider them broadly as “one relevant actor”. Consider carefully, however, who is offering the views, and what biases the persons may have. In fact, you might want to collect information from several persons for each identified relevant actor. Importantly, you should consider gender, age, ethnic and class variables, and pay particular attention to vulnerable groups (e.g., refugees, ethnic minorities). Obstacles that could be encountered in this exercise are distrust between local people and official agencies, as well as language and cultural barriers.

As you create your initial list of the “relevant actors”, include an analysis of their roles and relationships among themselves and with the protected area and its resources. You could, for instance, create a matrix such as the one in Table 5. Remember to ask them specifically who are the *other* “relevant actors” who should also be involved in the evaluation. The views of all stakeholders will together, give you a good picture of the social situation of the PA of your concern.

Table 5. Stakeholder analysis matrix (to be compiled with each relevant actor)

Relevant	Specific	Key	Key concerns,	Does the	Has the stakeholder
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Actors	management and decision-making roles vis-à-vis the PA	interests, including benefits being received	including costs incurred, livelihood impacts, etc.	stakeholder possess legal or customary rights vis-à-vis the PA? If yes, which ones specifically?	assumed legal or customary responsibilities vis-à-vis the PA? If yes, which ones specifically?
Oneself					
Relevant actor no 1.					
Relevant actor no 2.					
Etc.					

The stakeholder analysis will help you include all the different and key interests and concerns in the participatory evaluation. If you realize you have grouped together some groups as one “relevant actor”, when, in fact, they have different or even contrasting interests, concerns, rights and responsibilities, “split” these, and consider them as separate stakeholders.

Once you are confident you have identified the key social actors, you should consider who should be involved in what steps of the evaluation, and in what way. There are different levels of involvement in the process, for instance a relevant actor may be:

- a member of the Core Participatory Evaluation Team,
- a participant in the generation and analysis of the information
- an agent of change, and/or
- a communicator of information.

Obviously, if the total number of “relevant actors” you identified is large, the actors may need to identify one or more “representatives” to take part in the evaluation. The issue of *effective representation* is sometimes a complex issue and is well worth careful consideration by yourself and the actors concerned. It is not always clear who can best represent a particular actor’s concerns. Some actors may have a traditional form of leadership over which local government structures have been superimposed; others may have strong commercial organisations which also serve to represent social concerns; yet others may have no formally recognised form of social organisation although they do respect certain individuals as ombudsmen or mediators when conflict occurs. Once again it is important to keep in mind the representation of gender, age, ethnic and class variables, and pay particular attention to vulnerable groups (e.g., refugees, ethnic minorities). Working with representatives who lack credibility or who defend their own personal or political interests rather than those of their constituencies can cause conflicts and can threaten the credibility of the evaluation process. These complex socio-political dynamics are an essential characteristic of participatory processes and selecting an appropriate representative is often another example of ‘learning by doing’ for many actors. An initial analysis should identify:

- organisation at the social level (how actors influence or decide upon family, village, business affairs) and
- **organisation** at the political level (how they influence government policy and decision-making through elected officials etc.).

Sufficient time and information -should, therefore, be provided for the selection of representatives, possibly including several visits, short presentations, etc. Some ad-hoc form of semi-direct participation, in which representatives maintain a direct, face-to-face relationship with their constituencies, is usually preferable to indirect participation (see box 5.).

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Box 5. Different forms of participation

- **direct** participation: face-to-face; people personally express their opinions and represent themselves;
- **semi-direct** participation: people delegate others — relatives, friends, respected members of their community, representatives of a community-based group — to represent them but maintain a direct, face-to-face relationship with their representatives;
- **indirect** participation: people delegate others — experts, appointees of large associations, NGOs, parties or government officials — to represent them but rarely, if ever, interact with their representatives on a person-to-person basis.

Participatory processes often require different skills and knowledge of their representatives than classical leadership situations. In some situations where actors do not feel confident that their normal representative will be able to effectively defend their interests and concerns, it can be helpful when preparing invitations to distinguish between ‘political’ and ‘technical’ representatives: ‘political’ representatives are those who have a mandate to represent certain actors (traditional leaders of a community, elected local officials, president of a cooperative etc.) and ‘technical’ representatives are individuals who possess an in-depth knowledge of the issues and are well respected as local ‘experts’.

Establish a Core Participatory Evaluation Team

The Core Participatory Evaluation Team (hereafter referred to as the Core Team) represents the most intensive level of involvement with the participatory evaluation. It usually has an official mandate, or at least the authorization of the protected area governing bodies to facilitate the governance evaluation on their behalf. As can be seen from the example work schedule (table ...), members of the Core Team will spend a considerable amount of time dedicated to the evaluation and will, therefore, need advance notice in order to ensure that they are available for the time required. In specific cases, the members of the Core Team are compensated for the time they need to spend at this task.

These are some of the responsibilities of the Core Team:

- designing the participatory evaluation plan and making sure that it is implemented in a timely and effective fashion;
- involving a broad constituency in the participatory evaluation, providing encouragement and incentives, as necessary, and making sure that the knowledge, skills and networks of different relevant actors are optimally used;
- creating a sense of collective ownership in the evaluation process;
- helping all the involved actors to empower themselves and make sure that the PA governance system is responsive and accountable to them;
- fostering a broad social and political base for the advocacy of self-corrective action to the governance system where identified as necessary;
- establishing the credibility of the evaluation in the eyes of all involved actors.

The effectiveness of the evaluation depends greatly on the character, skills, and commitment of the Core Team members. It is also helpful if they are all officially delegated by their respective constituencies. Ideally, they would be:

- expressing a diversity of interests and concerns related to the PA;
- closely linked with the key relevant actors for the PA and highly respected by them;
- possessing a sincere interest in the aims of the evaluation;
- able to dedicate the time needed to participate in all stages of the evaluation;
- able to communicate well;
- possessing the attitude and potential to be “members of a team” and facilitators rather than dominating leaders;
- knowledgeable in, and able to apply evaluation techniques (see below).

Not all relevant actors can be “represented” on the Core Team, but it is useful to include one or more members of the PA governing bodies and some individuals closely linked with those actors whose interests are most strongly affected by the PA management decisions. If possible, one or two external experts could be included on the Core Team, particularly if the evaluation is being carried out for the first time. Including external expertise would add a broader perspective to the exercise, help create local capacities and lend credibility to the results in the eyes of some actors.

The size of the Core Team should be limited (ideally, 5 to 7 people) to make the work as effective as possible and to reduce costs. To ensure a common level of capacity and to build a team ethic, it is appropriate to conduct a “hands-on” training experience for the Core Team. A Planning and Training Workshop, possibly externally facilitated and probably comprising several meetings, could help create a common language and understanding amongst all the Team members. If the resources are not available, however, the person(s) reading this handbook, and probably acting as members of the Core Team, could facilitate one or a series of meetings on their own. The workshop could aim to achieve:

- a team spirit and a sense of shared responsibility for the evaluation;
- a shared understanding and agreement on what “good governance” means and on which criteria and indicators best express it in the context of relevance;
- a shared understanding and agreement on the operating principles, objectives and overall structure, approach and methodology of the evaluation;
- a confirmed list of key relevant actors for the PA and ways to involve them in the evaluation;
- a clear design and time line for the participatory evaluation plan.

Agree upon *why* you are conducting a participatory evaluation: the objectives and operating principles of the governance evaluation.

Among the first tasks of the Core Team at the Planning and Training Workshop is to establish the reasons why it is conducting a participatory evaluation of governance. Prior to this, it is appropriate for the Core Team to establish its own operating principles. For this, a basic point of departure are the documents that guide the work of key organizations such as protected area governing bodies, community and development organizations, and professional unions. Consult their policies, vision and mission statements, charters, constitutions, codes of conduct, etc. and the statement of values implicit or explicit in them. As you draw from them, you may want to emphasize one or more of the following:

- create and maintain transparent and cordial relationships within the Team and with other relevant actors and partners;
- maintain an open exchange of ideas while fully respecting all participating individuals;
- ensure the active participation of all the members of the Team and relevant PA actors;
- follow the accepted mores of the broadly shared local culture;
- strive to enhance the evaluation capacity of all the participants in the process by using a ‘learning by doing’ approach;
- respect the preliminary nature of their work prior to the evaluation itself and ensure that relevant PA actors actively contribute to the definition of governance principles and ways to evaluate them.

The operating principles concerning ‘respect for individuals’, and ‘learning by doing’ are quite important because the evaluation will identify some aspects of governance that are sensitive, others that are effectively beyond the control of the people involved, and other difficult issues. In general, individuals should not be directly “blamed” for the identified shortcomings, although the problems should be discussed in depth and not glossed over to “protect” any one person. Guided by these operating principles it is then the task of the Core Team to share their reasons for undertaking the evaluation i.e. *why* the group is

promoting an evaluation and *what* does it want to learn and achieve through it. This is done by clarifying and agreeing upon the evaluation's objectives.

The evaluation's objectives

Three critical questions to ask are:

- What are our motivations for doing this evaluation?
- What specifically are we seeking to find out about how we are governing the PA of our concern?
- In what ways do we want to use the results of the evaluation?

Clear objectives help you stay on track, be transparent and help others understand what your priorities and focus are in your particular governing environment. The diverse membership of the Core Team should ensure that the interests of key actors are taken into consideration when setting objectives. It is also helpful to think about the interests of those actors who are less directly involved, such as donors, policy makers in government and other agencies, members of the larger protected area community and the broader public. For future reference and to help share your work, it is a good idea to write down why and how you came up with your objectives. Include the information and events that led you to develop your objectives by recording your group discussions.

As you answer these questions you will likely discover a mixture of 'summative', 'formative' and 'change-related' objectives. Summative objectives focus on what you are seeking to evaluate about your PA governance system and depend on your shared vision of what constitutes good governance and how to measure it. In contrast, formative objectives place importance on the learning that happens through the process of *doing* the evaluation rather than through the information gathered e.g. arriving at a shared understanding of good governance and learning how to analyse and improve it within one's own setting. Finally, the Core Group may identify objectives that refer directly to the initiatives or the action to be taken once the evaluation is over. These objectives focus on desired change sought as a result of the evaluation and focus on the capacity of the system for self-corrective action. Box 6 presents some examples of objectives you might generate.

Box 6. Examples of objectives of the evaluation

- To gain a better understanding of what PA governance means.
- To arrive at a shared vision of what constitutes good governance and create a space for critical reflection on how the governance system could be improved.
- To gain a better understanding of and how the governance system of our protected area actually functions in both theory and practice.
- To determine whether the governance system of our protected area is participatory and consensus-oriented
- To determine whether the governance system of our protected area is accountable and transparent.
- To develop a local capacity and shared responsibility for ongoing monitoring and evaluation of the performance of our governance system, and to complement other components of our PA evaluation.

- To share the experience of our PA governance with other PAs in the region and beyond, and thus facilitate mutual learning.
- To strengthen our own capacity and incentives for self-corrective action.
- To solve the specific problem/ conflict of, which is clearly related to governance issues.
- To establish a set of common governance objectives, and a set of relevant indicators to monitor the achievements and weaknesses of the governance system and to allow adjustments to its settings and practice, as necessary.
- To prove to our funding organizations that we are practicing good governance in the use of our budget.

Agree on what you want to evaluate: what “good governance” means and which criteria and indicators can best describe it in the specific PA context

After identifying the objectives of the evaluation, the Core Team’s second task is to develop a shared understanding of what “good governance” means for you. As a first step, we suggest the Core Team generate criteria that best describes good governance in your PA context. Some examples of criteria derived from each of the five principles of good governance are listed in Boxes 7, 8, 9, 10 and 11³². The Core Team may wish to choose among them the ones most relevant to their situation and/or develop other, more appropriate principles and criteria.

Box 7. Criteria drawn from the Principle of Legitimacy and Voice

Representation of Interests and Concerns. The governing bodies accurately and reliably represent, directly or indirectly, the interests and concerns of all relevant actors.

Public Participation. Strong participation in numbers and contributions are obtained in relevant consultations and decision-making forums at various levels (legislation, system of PAs, individual PA).

Commitment to Multi-party Processes. The governing bodies provide the support necessary to build and maintain strong multi-party processes of consultation and decision-making. The free expression of views is promoted, with no discrimination related to gender, ethnicity, social class, etc.

Subsidiarity. Decisions are taken at the lowest level compatible with relevant capacities.

Checks and balances. Civil society groups and an independent media act as a check and balance on the exercise of the powers granted to PA political leaders and managers.

Support for Organizational Capacity of Various Relevant Actors. The governing bodies provide assistance to various relevant actors (e.g. local indigenous communities, NGOs) to develop their organizational capacity. This allows them to better represent their interests, participate in collaborative processes, and engage in activities.

Variety of Institutions. Various types of PA institutional settings are recognised as legitimate. In particular, Community Conserved Areas are recognised and supported but not forced to conform to either “conservation” or “development” as defined by non-local people.

³² Many of them take inspiration from Institute on Governance (2002).

Responsiveness to Power Sharing. The governing bodies demonstrate responsiveness to new ideas and institutional arrangements that explore constructive forms of sharing their governing powers.

Effective Consensus Processes. The relevant actors in the governing bodies are able to entertain an effective dialogue among themselves, arrive at mutually satisfactory decisions and prevent the process from producing only “lowest common denominator” agreements (vague, generic decisions).

Credibility. Governing bodies honour internal and external commitments (e.g. following strategic plans, addressing issues of emerging importance, aligning practices with stated values). Their decision-making processes inspire confidence because they are unbiased, fair and open.

Continuity in Membership of the Governing Bodies. Members of governing bodies are maintained for long periods of time and there is a smooth hand-over process when replacements occur. Stability and consistency in representation occurs, allowing for the building of trust and collaboration amongst the members themselves, their constituencies and other relevant actors.

Ownership of institution. The management rules are respected because they are “owned” by the relevant actors and not solely because of fear of repression.

Box 8. Criteria drawn from the Principle of Accountability

Appropriate Roles and Responsibilities. The roles and responsibilities held by the governing bodies’ and other relevant social actors are within the scope of their influence and ability to carry them out.

Clarity of Roles and Responsibilities. There is a clear identification and assignment of roles, authority, responsibility, rights, rules and accountability in all aspects of PA management. Clarity is critical in being able to answer the questions “who is entitled to what under which conditions?” and “who is accountable to whom for what?”.

Effective Reporting System. Effective mechanisms exist and are used to provide relevant PA information to the public at large and, in particular, to the most directly concerned social actors.

Guaranteed Access to Information. There is guaranteed access to information that is adequate in terms of quantity, quality and completeness regarding the governing bodies, the management process and results and the accountability of each decision/ result. Information is guaranteed as a right of citizenship.

Public Concern and Demand. The civil society (e.g., communities, NGOs, unions, associations, business groups, leaders and individuals at large) is active (e.g. through the media and the legal system) and effective in obtaining the accountability of the governing bodies.

Performance Evaluation. There is an effective, ongoing evaluation of the PA governance, fostering improved performance and information sharing.

Independent Accountability Institutions. There are independent public institutions of accountability with the authority and capacity to oversee and question the actions of the governing bodies. Examples of such institutions are the legislature, the judiciary, auditing agencies, ombudsperson, and human rights commissions.

Rewards and Sanctions. Accountability is reflected, as appropriate, into concrete and appropriate rewards and sanctions

Box 9. Criteria drawn from the Principle of Performance

The ultimate test of effective performance of PA governance is how it influences or enables management to achieve valued outcomes “on the ground”. Several dedicated works exist³³ to support evaluation of management, and we advise readers to consult them. Here the emphasis is the performance of governance in process terms. We believe that if these process criteria are met, it is quite likely that the PA management will be more effective.

Capacity. The governing bodies have sufficient human, technical and financial capacity to carry out their required roles, responsibilities and accountability over time.

Programme Design. The governing bodies establish and maintain a balanced and responsive overall design to structure their own activities and those of other PA actors. They are capable of embracing and merging conservation and other objectives (e.g., supporting sustainable livelihoods, strengthening cultural identity, satisfying spiritual needs).

Co-ordination. PA governing bodies effectively co-ordinate with other governing bodies, technical bodies and relevant actors, in particular at ecosystem/landscape and regional levels.

Cost Effectiveness and Efficiency. The governing bodies are cost effective and efficient in achieving the PA management objectives, on the basis of a sound planning and implementation system that prevents damaging delays.

Attainment of Management Objectives. The governing bodies are able to demonstrate progress towards the PA management objectives and/or attained performance. [Protected area objectives may include protection of habitat, nature interpretation and outreach, protection of cultural resources, maintenance of ecosystem functions, etc.]

Performance Information to the Public. Governing bodies provide sufficient and timely information to allow assessments of their performance by interested parties and the public.

Responsiveness. Governing bodies are responsive to complaints and public criticism of their activities. Appropriate changes are made to meet the expressed needs.

Internal Evaluations. Governing bodies are capable to undertake internal programme evaluations and respond to their own findings.

Robustness and Resilience. Governing bodies identify key potential threats facing them (e.g. funding shortfalls, legal attacks, political sabotage, changes in national protected area policies and leaders), successfully cope with them and learn from the experience.

Advocacy and Outreach. Governing bodies successfully inform the public and interested parties about their own functions and roles and are able to influence decision-making processes in other components of a country’s governing system.

Policy Learning. Lessons learned from the experience of the specific PA are successfully fed back into the policy of governing bodies.

Box 10. Criteria drawn from the Principle of Fairness

Decency. Governing bodies make sure that management activities and conservation in general are undertaken with decency, without humiliating or harming people.

Impartial Enforcement of Rules. The rules that restrict the use of PA’s territory and resources are transparent and sanctions over infractions can be appealed.

³³ See Hockings et al., 2000.

Shared Decision Making. Mechanisms for sharing relevant PA decision-making with local and indigenous people exist and are appropriately utilised.

Fair Management of Conflicts and Past Injustices. Governing bodies provide fair avenues for conflict management and, eventually, non-discriminatory recourse to justice. They take full advantage of a variety of formal and informal means to promote fair and effective dialogue and development of agreements among conflicting parties. Processes for recognizing and dealing with past injustices resulting from the establishment of PAs exist and are appropriately used.

Opportunities. Governing bodies provide support to conservation and development initiatives benefiting stakeholders.

Non-discrimination and Consistency. Governing bodies do not discriminate against any group on the basis of gender, religion, ethnicity, social status, political affiliation or other, with respect to the membership of policy and decision-making bodies or other PA-relevant functions. PA rules are applied consistently.

Distributional Equity. Governing instruments (e.g. PA management policies, rules, conflict resolution mechanisms, funding opportunities, etc.) are used in an impartial fashion to distribute fairly the costs and benefits generated by the protected area.

Rule of Law. Governing bodies hear cases and enforce sanctions for all potential infractions according to established rules and regulations, without any form of discrimination and consistently through time. These laws are transparent, enforced fairly and there is a right to appeal for the transgressors.

Integrity in of Staff Management. PA Staff receive positive or negative rewards in fair proportion to the results of their performance (merit-based).

Box 11. Criteria drawn from the Principle of Direction

Leadership. The governing bodies generate new ideas and launch innovative processes (e.g., cultural sensitivity training, conservation covenants) to address and resolve difficult issues. They support other social actors engaged in innovative, promising work.

Collaborative Learning. The governing bodies provide or support initiatives to increase and improve the use of collaborative learning in various forums: policy and decision-making, conflict resolution, etc.

Policy Direction. The governing bodies provide clear policy directions for the main issues of concern to the protected area e.g., sustainable commercial development, use of local ecological knowledge, gender balance in programmes, public participation in decision-making, etc.

Guiding Values. There is a set of agreed-upon values that guide the protected area's governing bodies' processes and activities.

Vision. The governing bodies provide an inspiring vision of the protected area's future based on values shared by its main relevant actors and society at large. They are able to mobilise support for that vision.

Consistency between Values and Practice. The protected area's governing processes, objectives and plans are clear, viable and respect the values collectively agreed upon.

Shared Perspective on Good Governance. There is a broad, shared perspective between the governing bodies and concerned social actors on what is needed to create a system of good governance.

Consistency with International Obligations. The PA directives are consistent with their international obligations, such as the Convention of Biological Diversity, the World Heritage Convention, the Ramsar Convention, the ILO rulings on Indigenous Peoples, etc.

The evaluation indicators

Once the Core Team has chosen the preliminary criteria for the evaluation, it is ready to identify indicators. The indicators may help the Core Team discover further aspects of good governance due to their fine detail. An indicator is a unit of information that measures a specific aspect or condition that exists in the area under study (e.g., level of stakeholder satisfaction with respect to a specific decision, amount of money spent on enforcement programmes). An indicator is derived directly from one or more criteria, allowing the evaluators to determine how close they are to meeting the standards described by the criteria, and often entering into the finer details of “what it all means”. For example, if the criterion is “Responsiveness” under the principle of “Performance”, one indicator may be “number of times appropriate changes were made to meet the expressed needs compared with the total number of complaints received”. More than one indicator may be identified for each criterion, depending on how complex or broad the criterion is.

There are two basic types of information, and thus two basic types of indicators, which you will generate in the evaluation: qualitative and quantitative.³⁴ Quantitative information—such as opinion polls, financial records, records of infrastructure or attendance to meetings, —is easily represented as numbers. Examples of tools to collect and store quantitative information are measuring instruments, tracking records (forms designed to capture numerical data) and standardized questionnaires with closed questions (only a predetermined list of responses is possible). Methods include direct sampling and statistical analysis of replies to questionnaires. At times the information is confidential and this requires particular care in handling (see below)

Qualitative information is not easily summarized in numerical form, such as an individual’s understanding of problems and opportunities or a group’s perception of how a decision-making process functions in a given context. The relevant methods are more open-ended, participatory and more likely encourage critical thinking and social interaction. Tools include diagrams, videotapes, drawings, comparative matrices, or the minutes from governing or management board meetings. Qualitative data normally deals with people’s knowledge, perceptions, attitudes and behaviours, sorted in a verbal, visual or written form.

For both quantitative and qualitative information, a good indicator will be capable of **assessing change** by comparing data through time. For example, by taking one measurement at the beginning of your evaluation and then taking a second measurement one month or one year later, you can determine whether the condition you are interested in is improving or not, that is, whether you are approaching or getting farther away from meeting your desired criteria. By taking separate measurements over time, you can also determine whether an intervention you took to improve the situation was effective. This type of information is called time-series information and is generated using the same methods and sources on many occasions over time. On the first occasion, you will establish your **baseline data** and later you will assess change with respect to that. The

³⁴ Margoluis and Salafsky, 1998

indicators and methods chosen should be replicable, i.e. repeatable. Once you have assessed any changes that have occurred, you may wish to represent them graphically. This is an effective way to communicate your results. Graphs also make it easy to recognise **trends**, that is, whether governing bodies are moving closer or farther away from agreed standards of 'good governance'. In general good indicators have a number of characteristics (see box 12).

Box 12 Characteristics of good indicators

A good indicator is³⁵:

- **Significant.** Reflects changes or aspects of importance at meaningful spatial and temporal scales;
- **Sensitive.** Changes proportionately in response to actual changes in the condition or item being measured;
- **Measurable.** Can be recorded and analyzed in quantitative or qualitative terms;
- **Precise.** Defined the same way by all people;
- **Simple and measurable at low cost.** Easy to measure and cost-effective in terms of data collection, analysis and interpretation;
- **Practical.** Can be collected, analyzed and reported on in a timely fashion;
- **Comparable.** Defined and measured in a way that allows it to be compared to and combined with other indicators (e.g. percent achievement of a standard).

Combining indicators allows you to create **indexes**. These merge various types of information pertaining to a particular principle, criterion, region or country.). By combining results from several protected areas, indexes allow for comparisons among protected area governance systems in different regions or countries. These comparisons, however, have to be designed carefully, given differences in socio-economic and cultural contexts. Comparisons are best used along with other sources of information or research to provide a fuller picture of the situation.

In Annex 1 we suggest a variety of indicators for each criterion derived from each of the five principles of good governance. These lists of indicators are by no means exhaustive: we encourage you to formulate others that better suit your situation. Remember to use the standards of a good indicator (box 11) when creating your own.

Some indicators may not have been identified during the initial design and planning stage of the evaluation but come to attention later, during the assessment process itself. This may happen as a consequence of several factors, including changes in the governance system or its context, the emergence of new actors and phenomena, or the identification of better ways to gather the same information.

³⁵ Based upon the work of the Centre for Coastal Management, 1993; Briggs et al., 1996; Abbot & Guijt, 1998; Margoluis and Salafsky, 1998.

Prioritizing criteria and indicators

It may be helpful to use a table to organize the set of agreed governance principles, criteria and indicators. See Table ...in the section on Participatory Generation of Information. The Core Team may find that it has identified numerous criteria and indicators for its participatory evaluation and want to prioritise among them. One way to determine their relative importance is to assess them against a number of standards³⁶, such as:

- *Perceived Importance within the Core Team*: How do the team members rank the importance of these criteria and indicators?
- *Stakeholder Perceived Importance*: How does a larger group of stakeholders (e.g. the actors the Core Team is planning to involve in the evaluation) rank the importance of the criteria and indicators?
- *Scope*: How broad a scope do the criteria and indicators affect? Are they too broad for the governing bodies and protected area?
- *Intensity*: How strong are the criteria and indicators in their influence (positive or negative) on the governing bodies and protected area?
- *Urgency*: How important is it that immediate action take place to deal with these criteria or indicators?
- *Political Feasibility*: Given the local, regional, national or international political situation, how realistic is it for you to attempt to address these criteria or indicators?
- *Social Practicality*: Given local or national social conditions, how sensible is it for you to try to deal with these criteria and indicators?

Agree on how you will undertake the evaluation: the structure and methods

The evaluation structure and methods

The Core Team will now focus on **how** they and the relevant PA actors can evaluate their PA governance performance against the selected indicators and criteria whilst also accomplishing the other equally important objectives of the evaluation. The Core Team will need to design a structure for the evaluation. The structure will probably include the following key steps:

- participatory generation of information,
- participatory situation and goal analysis,
- participatory action analysis.

³⁶ Drawn from Margoluis and Salafsky, 1998.

These steps will create an experience of learning together and result in the enhanced engagement of the relevant actors in the PA governance process. Each step will also aim at some distinct specific results which it is expected will meet your summative, formative and change-enhancing objectives (see Table 6.).

Key step	Expected results
ENGAGING THE RELEVANT ACTORS IN THE EVALUATION	<p>Improved understanding of PA governance system by all relevant actors and how they can be involved in improving their particular PA</p> <p>Key governance principles, criteria and indicators for the PA are identified by all relevant actors</p>
PARTICIPATORY GENERATION OF INFORMATION	<p>Improved understanding of how PA governance system is perceived by different relevant actors and what are key factors affecting it.</p> <p>Improved understanding of how the governance system is designed to function, and how it functions in practice</p> <p>Priority governance indicators assessed by the relevant actors with quantitative and qualitative methods.</p>
PARTICIPATORY SITUATION ANALYSIS and GOAL ANALYSIS	<p>Collated baseline dataset established for the agreed upon priority indicators</p> <p>List created of perceived strengths and achievements of the current PA governance system with respect to specific governance criteria</p> <p>List created of perceived threats to, and weaknesses of the current system, with respect to specific governance criteria</p> <p>List of short, medium, and long term goals for improving the PA governance system with respect to key governance criteria is agreed upon by all relevant actors.</p> <p>List of indicators and “warning flags” for the goals is identified</p>
PARTICIPATORY ACTION ANALYSIS	<p>Initiatives to improve the PA governance system agreed upon by all relevant actors.</p> <p>Specifications established of who could do what, with what means, by when in order to implement the desired initiatives.</p>

The Core Team will need to design a methodology which will enable you and the relevant actors to achieve the results listed above. The choice of specific methods and tools to generate that information will depend on the indicators you will choose, the information already available, the characteristics of the local culture and context, the information storage and coding abilities, and how much time, money and other resources you are able to invest for the future monitoring. For information and advice it is recommended that you read through the following sections:

- ‘Make sure that the Core Team is fully prepared for the tasks ahead’;
- ‘Phase II: Carrying out the Evaluation’;

Annex 2 on qualitative methods and tools; and
Annex 3 on quantitative methods and tools.

Here are a few considerations to keep in mind while designing the methodology for the participatory evaluation:

- **Assess feasibility.** Does the Core Team include people who can facilitate the participatory evaluation, and appropriately use the tools/ methods/ approaches? If not, can the Core Team members be trained? Is there a good training programme available? What will it cost? When can it be administered? How long will it take?
- **Maximise reflection and interaction.** How much do the tools/ methods/ approaches engage the participants in actively reflecting and deliberating on the situation either individually or as a group? How much do they allow those with a weak voice in the group to articulate their concerns?
- **Foster the ability to capture complexity.** How much do the tools/ methods/ approaches allow for the generation and comparison of multiple perspectives on issues, thus illuminating the complexity and possibly the contradictions inherent in them?
- **Promote adequate but not excessive accuracy and reliability.** How much precision is necessary for each chosen indicator? (What will you use it for? What difference will it make if you know the answer with greater precision?) What is the “estimated error” in information collected by using these tools/ methods/ approaches? To what degree will that estimated error (accuracy) affect what you will do with the information and what consequences will you derive from them? Will the results be reliable, i.e. would you obtain the same results if you will repeat the process or by use another method to gather the same information? If not, can you figure out how you are introducing a bias in your data? How could you minimize that?
- **Watch-out for cost-effectiveness.** What do the tools/ methods/ approaches require in terms of resource investment? What material and equipment will be needed? Are there less expensive ways to get the same quality information and engagement of the relevant actors?
- **Ensure compatibility.** Does the evaluation team have the necessary information storage and coding capabilities? Is there a plan to link rapidly and effectively information generation and information storage and coding?
- **Verify appropriateness.** Are the tools/ methods/ approaches culturally suitable and socially acceptable? Is this true for the relevant minorities and subgroups (e.g. the poor, the low caste, women, religious minorities)? If not, what can be done to make sure that everyone can comfortably participate?

When designing the methodology, also think carefully about triangulation and confidentiality:

Triangulation

To ensure the quality of your data collection and recording, use triangulation as much as possible. In a strict sense, to “triangulate” means to use at least three different points of view to analyze a given event or situation. More generally, triangulation is based on the idea that using multiple sources and methods is the best assurance of the validity, reliability and completeness of the information collected. Two basic modes of triangulation are used in participatory action research: external and internal triangulation. ‘External triangulation’ involves a comparison between the information generated by the participatory process and data from external sources, such as PA statistics, aerial photographs, or independent research and technical studies. ‘Internal triangulation’ refers to a set of techniques for strengthening validity within the process itself. These techniques include:

- ***Comparison of different perspectives.*** Different social actors usually have different views and perceptions of ‘reality’. One way to understand these co-existing views is for different sources to offer their assessment of the same priority indicators and then – possibly – compare and discuss them in joint meetings.
- ***Use of different methods and techniques for exploring the same topic.*** For instance, a description of the way in which the community is impacted upon by the presence of the protected area may be developed through a combination of observational walks, interviews with local authorities and a participatory mapping exercise with community residents.
- ***Involvement of non-local professionals with different disciplinary backgrounds.*** Different disciplines will raise different questions about the same issues, thereby stimulating deeper analysis by the participants. For instance, an anthropologist may be more sensitive than others in recognising issues of respect to cultural peculiarities. Or, a local police officer may be very knowledgeable about ways by which rules are being by-passed. .

A participatory evaluation process will describe and analyze problems and issues from a variety of perspectives, interests and concerns. The Core Team will need to understand these and help the relevant social actors make “collective sense” out of them . Encourage a diversity of views and opinions as you proceed. If by applying triangulation some information is confirmed, then that is considered valid and it should be recorded. Non-confirmed information, however, may be even more important for the evaluation process, as it signals situations in which the perspectives of the key actors differ and conflicts of concerns, interests or even underlying values may be present. A Core Team including people with diverse backgrounds will be capable of identifying such cases and highlight them in a positive and fair way.

Confidentiality

In a participatory governance evaluation confidentiality may be a major issue. As the topic deals with power, money, careers and personal prestige, it is generally very sensitive. The nature of the participatory process, in particular during qualitative open-

ended interviewing, can result in respondents disclosing information which they (and others!) would prefer to keep confidential (possibly meaning they may want the information revealed but not who the source is). As this is to be expected, the Core Team should identify avenues to allow sensitive information to be fed into the process without directly exposing the informant:

- a mailing address could be provided where people can send information by post, with the understanding that only information corroborated by some evidence will be taken into consideration;
- a “universally respected” individual— such as a retired judge or religious minister or local chief— may be identified as “ombudsperson” and receive in confidence information from sources that prefer to remain anonymous;
- a focus group may be encouraged to meet privately and deliver a report without individual attribution.

In all cases, the burden of proof should fall on the people volunteering or providing information. People who might be singled out because of their acts or failure to act should always be offered plenty of ways to justify themselves. In this sense, the evaluation process should maintain a fine balance between candid discussion and respect and fairness for all involved actors.

The issue of confidentiality should be kept in mind when planning the data collection methodology. Most open interviewing techniques for instance, are best carried out with detailed note-taking aimed at catching the exact words and phrasing of respondents’ answers (i.e., quotes, verbatim statements). Tape recording can be of great assistance in this effort, but only when and where it is fully acceptable to the respondents. Also, if you are planning to carry out a survey, you should decide whether the respondents will be recorded anonymously.

Make sure that the Core Team is fully prepared for the tasks ahead

Hands-on practice

Several members of the Core Team will probably not be familiar with participatory approaches or with conventional data collection methods. The Planning and Training Workshop will need to address this until everyone in the Core Team is adequately prepared to facilitate and support the tasks ahead. An external trainer may be necessary to accomplish this. Ideally, the training will involve ‘hands-on’ practice with a variety of quantitative and qualitative tools in order to help Core Team members identify best ways to generate information for the agreed criteria and indicators. For example, the Core Team may wish to practice with standardized forms that could be used to collect the data (e.g. record forms, checklists). If diagrammatic representations are to be used, they should practice recording the outcomes with a camera (possibly a digital camera, which will more easily allow the use of images in a written report). If statistical sampling of populations and statistical analysis of data are needed, the Core Team may consult

Annex 3 or the abundant literature on the subject³⁷. It may also be useful to consult with individuals capable of providing the specific support required.

Pre-testing

The Workshop should also involve a pre-test of all the procedures to be used for participatory situation, goal and action analysis with the Core Team members practicing through role playing how to facilitate meetings and use tools such as Venn diagramming, mapping or structured brainstorming in the most effective way. If issues are to be identified using cards, for example, they should practice assisting a group to cluster the cards into main categories. If there are also other complex methods which the Core Team has no experience in using, they can be pre-tested in a situation that resembles as much as possible the real one they will investigate. By pre-testing methods you will get a sense of how long it will take to use them, and what are the easy and difficult tasks ahead. This will help you plan more effectively the use of time and other resources. After the pre-testing, it is normal to revise and refine methods and tools.

Develop the Participatory Evaluation Plan

The next step for the Core Team is to develop a Participatory Evaluation Plan, including a work schedule for the key activities and ‘milestones’ – dates on which portions of the work are to be completed or key meetings are to be held. The example in Table ... is a general guide as various factors (e.g. the number and characteristics of the relevant actors, the existence of particular communication difficulties) may require special attention and greatly modify the time needed for a specific activity.

Responsibilities for the activities should be clearly assigned within the Core Team and the logistics of each activity figured out (e.g., travel, locations, accommodation, number of people involved). This will help to determine the resources required. See for instance, Table 8.

Table 8: Basic planning for each activity in the PE Plan

Activity	Where?	When?	Who needs to be involved?	Responsible person in the Core Team	Support persons	Necessary financial resources	Other necessary resources
...							
...							

³⁷ See, for instance, Margoluis and Salafsky.

Budget

What will it cost to implement your participatory evaluation plan? The resources the Core Team will need include paid time (wages or contracts), materials and equipment (e.g., information collection sheets, notebooks, a tape recorder), communication costs, travel costs, costs of meetings of the Core Team, costs of the several needed workshops among the relevant actors, costs of information gathering. To those, you should add the costs for a number of follow-up meetings within the first year after the completion of Phase II, and a 10% contingency. You may wish to make explicit the time resource and in-kind contributions that many relevant actors may be willing to make (cost sharing).

If you find your budget exceeds the resources available, you can reduce the costs by seeking more and various contributions from relevant actors. Also, enlist volunteers to do some of the work in place of paid staff. Consider that an ample range of interests and concerns in society may be willing to contribute in cash or in-kind to the evaluation process. If no other way has been found, you may also want to consider reducing the number of participants, or restricting the priority indicators to the ones that require little time and resources to be assessed.

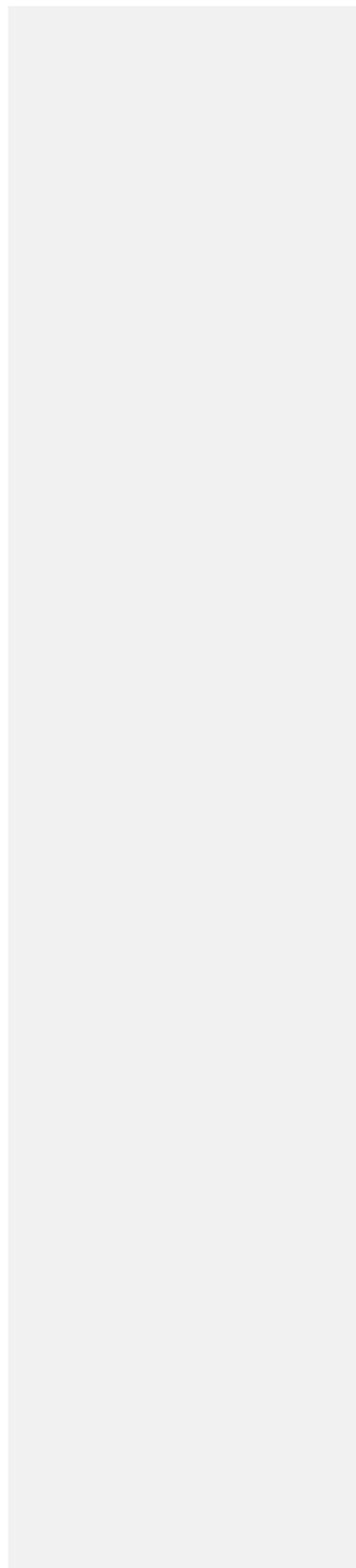
A crucial budgetary element that can be only estimated in a preliminary way regards the activities that will be needed to implement the governance improvements identified as necessary during the evaluation. On the one hand the Core Team cannot and should not pre-empt the results of the situation analysis, goal analysis and action analysis and thus does not know what will be identified as necessary and planned for action. On the other, all the efforts spent in the evaluation will be wasted if no improvement will be possible because of insurmountable budgetary constraints. The Core Team should at least make sure that the PA governing bodies and relevant actors are aware of this issue and have set aside at least some resources to respond to the needs identified by the participatory evaluation.

Get the plan and budget approved

When the plan is as coherent and complete as possible, the Core Team should present it to the PA governing bodies and relevant donors. This will not be the first time the Core team interacts with them: some members of the governing bodies may be members of the Core Team and some source of funds should be identified long before starting the whole process. However, this time the Core Team will explain in depth how the participatory evaluation is expected to unfold. The members of the governing bodies should be assisted to appreciate the value of the exercise and the specific benefits that may accrue to them specifically (for instance, better recognition of their work, more support from various social actors) but also to the PA and relevant social actors. The Core Team may invite the governing bodies to reflect upon what constitutes “good governance” for the PA, in preparation of the future participatory evaluation exercises in the presence of other relevant actors. The governing bodies and donors should approve

the Participatory Evaluation Plan and, as appropriate, make the budget available. Once the Participatory Evaluation Plan is approved the Core Team can safely communicate this news to the relevant actors and proceed with the invitations for the planned workshops.

|



Phase II: CARRYING OUT THE EVALUATION

Phase II is the heart and soul of the participatory evaluation and consists of a series of workshops, meetings and group exercises that focus on:

- ☞ the engagement of the relevant actors in the evaluation process;
- ☞ the participatory generation of information;
- ☞ the participatory situation analysis, goal and action analysis;

The main method employed for these participatory exercises is group interviews in a workshop setting, making use of a variety of supporting tools and techniques (structured brainstorming, small group work, ranking and scoring, Venn diagramming, etc.). The groups are carefully composed to provide different perspectives. This method is usually integrated with others, both planned and impromptu, such as the direct collection of various types of data (e.g. documents, measurements and observations) as well as individual interviews with key informants and participants in the system. Of equal importance to collecting good quality information is the way in which the Core Team is capable of engaging the relevant actors in reflecting upon governance issues, problems, opportunities and solutions. In general, the following broad approaches could be recommended:³⁸

☞ **Deliberative inquiry**

The term “deliberation” has been increasingly used in recent years to describe the careful consideration and discussion of reasons for and against a particular theme of decision³⁹. As with a deliberative process, a participatory governance evaluation involves the careful consideration and discussion of issues and the reasons for particular points of view. The Core Team should aim to provide a supportive and engaging framework for the discussion of issues and collection of data, while leaving room for the spontaneous emergence of ideas and initiatives. A good approach for the Core Team to learn from is participatory action research (PAR)⁴⁰

☞ **Facilitation**

The meetings and exercises will be facilitated by members of the Core Team (which may include a professional expert), who will help the participants reflect on the issues and communicate with one another. It is very important that the members of the Core Team

³⁸ For further ideas and information, see ELDIS, 2003 (website on participatory monitoring and evaluation), and Institute of Development Studies, 2003 (website on citizen participation and participatory approaches to development).

³⁹ Pimbert, M. Reclaiming our right to power: some conditions for deliberative democracy, in *Deliberative Democracy and Citizen Empowerment*. Participatory learning and action (pla) notes 40: 81-84. London, U. K., International Institute for Environment and Development, 2001.

⁴⁰ See Barton et al., 1997

act as facilitators and not controllers of the process. They need to provide meaningful questions and guidance to the process, manage interpersonal dynamics, ensure that the discussion is kept on a relevant track, and keep the length of the meetings within reasonable limits. At all cost, they should avoid imposing their own views, such as suggesting the ‘right’ answers or decisions, either explicitly or implicitly. Gathering governance information is important, but so is keeping the interaction among participants open, pleasant and productive.

↳ **Open framing of issues and scope of inquiry**

The way in which a participatory process is allowed to extend its scope beyond a particular topic to examine broader issues, i.e. alternative policy options or social justice perspectives, is critical to the extent to which it empowers people. In this sense, the participants in the evaluation may be encouraged to discuss issues within the frame of reference proposed by the Core Team, but also explore different options and perspectives, questioning basic assumptions and sources of information. For instance, discussions may reveal some major contradictions between laws and policies, regulations and environmental or social needs. Such contradictions may surface when examining laws regulating ownership and control of land and resources in and around the protected area, codes establishing what types of local institutions can enter into partnerships with the government, and rules concerning the nature of partnerships between the government and members of civil society. Indigenous and local communities may find it crucial to link the discussion of PA governance to their time-tested uses of resources for local livelihood, their customary rights to land and resources, their rights to self-determination and prior informed consent, respect of their local institutions and mechanisms for negotiating agreements and managing conflicts, etc. If this is the case, some follow-up initiative may need to take off in a broader direction than PA governance, and possibly involve an examination of specific national laws and policies.

↳ **Process orientation**

The choice of engaging the relevant actors in generating the information rather than dealing with them as mere “respondents” (providers of information) is very important. In this sense, the quality, depth and ingenuity of the chosen methodology is directly linked to the dynamics of social change.⁴¹ For some of the expected participants, the act of thinking critically (and in public!), even about issues that have affected them every day of their lives, will be relatively new and instructive. As a matter of fact, **the very act of deliberating and reflecting on the questions raised during the evaluation is likely to lead to a transformation of the ideas and actions of everyone involved.** The *process* of evaluation will be change-enhancing and will contribute to improving your governance system even before any data is collected and analysed. As their awareness of the relevance and implications of the investigated issues increases, so their aspirations and concerns may develop; the process is, therefore, dynamic and adaptive through time.

⁴¹ Pimbert and Wakefield, 2001

Data needs to be collected but equally important is to make participants aware that this is not a one-time data-collection exercise and that their participation throughout will be instrumental in bringing about improvement and change.

↳ **Empowering**

If the aim of the evaluation is also to empower the relevant actors regarding the PA governance, then non-local professionals should be involved in new roles. Leaving behind their attitudes as ‘experts’ they should act more as providers of views and information (whose appropriateness and usefulness will be assessed by the relevant actors and people). At times, they should serve more as facilitators than experts.

↳ **Orientation towards consensus-building**

A difference of opinions is one of the soundest indicators of a pluralist, vibrant, thinking society. But such differences of opinions must, soon or later, be reconciled with some form of decision and action. For instance, in the context of the evaluation, it would be important not only to analyse the evident problems but also to decide about some (likely less evident and more controversial) solutions. In this sense the participants in the evaluation would take upon themselves part of the “governance responsibility” they are analysing. An orientation towards consensus-building and the capacity of the Core Team members to facilitate it would play a very important positive role in this. In most traditional societies, consensus rather than majority voting is the preferred means of decision making, and this is not surprising. When decisions are taken by voting they may be quickly over, but always leave behind an unsatisfied minority. On the contrary, consensus decision-making typically needs more time but allows to explore issues more in depth and to develop innovative solutions and compromises that take into account the interests and concerns of all parties. Importantly, they may bring to the fore some specific capacities in social communication, conflict management, negotiation of agreements and the like that will remain useful in the future management of the PA.

↳ **Commitment to using the results of the evaluation**

The results of the participatory evaluation must be fed rapidly into planning and action—promoting the changes identified as desirable and/or needed. The inquiry should not be limited to listing of problems, measuring indicators and the like. Beyond a collection of data and a set of ‘recommendations’ based on those findings (as often happens with external evaluations) the participatory evaluation should incorporate an analysis of potential solutions and needed change, and be able to influence practical decisions. In other words, the process must incorporate methods for translating the knowledge gained directly into practical decisions and/or feasible courses of action. Timeliness of follow up will greatly increase the cost-effectiveness and value of the whole evaluation exercise.

↳ **Keeping the pulse of the process**

Throughout Phase II, the Core Team members will find it supportive and helpful to meet at the end of each meeting to talk over insights and concerns and to prepare for the following meeting or event. If an outside expert is assisting, it will be good to meet with

that person as well, and receive feedback to support the on-going learning. The meetings will be useful to assess how the process is going, whether the relevant actors are effectively engaged in the evaluation, whether information of good quality and comparability is being collected, what conflicts and misunderstandings are surfacing, what additional support may be needed, how could that be provided, etc.

Engage the relevant actors in the evaluation

Guided by the approaches discussed above, different Core Teams will design different ways of engaging the relevant actors in the evaluation. Participatory tools are extremely useful in encouraging actors to explore the meaning of governance within their own PA setting and so begin the journey of evaluating governance. One option is to gather each group of actors in a workshop setting (see Table 8) and ask them to work together to create a graphic representation of their governance system. They can do this by using the Venn Diagram technique whereby they cut out and position different shapes and sizes of card which symbolise the following:

- the actors who directly form part of the decision-making framework for their PA setting;
- those who indirectly influence the decision-making process;
- the decision-making procedures (e.g. who makes a proposal, who approves etc.);
- the factors which are affecting the decision-making system.

This collaborative piece of work will reveal to actors how much they do or do not know about how decisions are made in their governance system and it will immediately engage them in discussions about their perceptions of how it functions and how it should function. As well as helping the actors to engage the actors in critical reflection on their governance system, this exercise provides one of the first sources of rich qualitative data for measuring levels of knowledge and perceptions about the system and should be carefully recorded. Once completed, this collaborative task leads logically into an exercise whereby the actors are asked to identify key governance principles which they believe should guide this decision-making process. As with the Core Team during the Planning and Training Workshop, the actors could be assisted in this task if necessary by being presented with the criteria derived from the five principles of good governance as well as the set of principles and criteria preliminarily agreed upon by the Core Team. In this way, the relevant actors are actively contributing to the identification of the governance principles to be evaluated and may even suggest some alternative ways of gathering information than those designed by the Core Team. At this point, certain actors may also volunteer to help in the generation and preliminary analysis of information. At a later multi-actor workshop, the different perceptions and principles of the different actors could be presented to each other. The aim of this workshop would be to reach an agreement over a shared list of key principles and criteria and ways of assessing them.

Table 8.

ENGAGING THE RELEVANT ACTORS IN THE EVALUATION

TASK	Key questions/statements	Methods	Expected results
Understanding existing PA governance system	<p>Who takes decisions, and how, about your protected area? Who are the key relevant actors? Please represent them with cards. What are the relationships among them? What are the main factors affecting the system? Please represent them with cards, symbols, arrows, etc.</p> <p>Can you create a graphic representation of the governance system and its components?</p>	<p>Separate workshops with different key relevant actors (focus groups). Cutting out and positioning of symbols for the key actors in PA governance (Venn diagramming) and factors affecting them, drawing of internal and external influences and relationships, asking questions on decision-making inputs, and ways of influencing the system internally and externally.</p>	<p>Visualisations of the PA governance system as perceived by different "stakeholders". Lists of key factors affecting the PA governance. This information is also an important part of the qualitative data collection, giving a baseline for indicators e.g. measuring level of knowledge about the governance system amongst key actors; perceptions of power-sharing, representation, credibility of process, consensus orientation etc.</p>
Identifying key principles and criteria of good governance	<p>What is, for you, a system of "good governance"? What principles do you believe your PA system should uphold? How can you assess whether those principles are respected? What criteria and indicators would you use? What do you think of the priority criteria and indicators identified by the Core Team?</p>	<p>In same workshops with focus groups.</p> <p>Elaboration of lists of priority governance criteria and indicators through group interviews, joint exercises, visual tools, etc.</p>	<p>Experience of learning together; improved understanding of what PA governance is and how it functions; enhanced engagement in the evaluation process.</p>
Understanding perceptions and agreeing on key principles and criteria.	<p>These are the visual representations of the existing PA governance system made by each focus group. Here are the lists of principles, criteria and indicators identified by the different actors. Can we build a composite list agreed by all?</p>	<p>Workshop gathering all the key relevant actors. Presentation of their visual representations by each of the focus groups. Various exercises grouping and refining ideas and concepts in both plenary session and small groups.</p>	<p>List of key governance principles, criteria and indicators for the PA at stake, agreed by all key relevant actors</p>

Generate information in a participatory way

The preliminary list of priority governance criteria and indicators identified by the Core Team will now have been shared, revised and, if possible, agreed to by the relevant

actors. All the priority indicators in the agreed final list will then need to be measured/assessed. This involves four steps:

- ↳ Generation of information;
- ↳ Organisation and storage of information;
- ↳ Validation of data;
- ↳ Preliminary analysis.

The key results of the participatory generation of information will be the baseline dataset for these priority indicators and a broader shared understanding of how the PA governance system is designed to function, how it does function in practice and how it is perceived to function by different relevant actors.

↳ **Generation of information**

The Core Team should now revise their Participatory Evaluation Plan in the light of any changes that have been made to the agreed list of priority criteria and indicators, and ways of gathering that information. They should confirm who will collect what specific information and how. See Table 9. This may now also involve the participation of other relevant actors and should be planned for with care. These data collection activities may involve field work gathering documents, measurements and observations, specific interviews or the design and implementation of surveys. Keep in mind that information on several indicators can be collected with the same method, for instance by posing several questions to one or more focus groups of respondents. We have already seen how the initial focus group workshops (see ‘Engaging the Actors in the Evaluation’) served not only to focus the actors on the meaning of governance but, through the Venn Diagram exercise, also generated extremely rich qualitative data about the level of their knowledge about their governance system and their perceptions about how it functions in terms of participation, consensus orientation, power-sharing, representation etc. Depending on your particular setting, it may be appropriate to use the opportunity of the initial focus group workshops to continue with the participatory exercises to generate further information – once the group has agreed on the principles and criteria that it believes should be evaluated.

PARTICIPATORY GENERATION OF INFORMATION			
TASK	Key questions/statements	Methods	Expected results
Defining methods for measuring indicators	This is the list of key governance principles, criteria and indicators agreed by all key relevant actors. Who will assess which indicators? How?	Brainstorming and small group work by Core Team and volunteers sharing assessment tasks and defining the assessment methods	List of those responsible and methods for the assessment of each priority governance indicator.
Information gathering to	What documents and records include essential information	Interviews with key informants and	Information on how the governance system has

measure indicators	on the PA governance system? Where else can the necessary information be found? What participatory techniques will best help to generate information on knowledge and perceptions?	identification, collection and analysis of existing documents and records.	been designed to function and how it does actually function in practice.
Information storage and handling	How can the data collected best be stored? How can I store quantitative and qualitative data (triangulation) on the same indicators in such a way that it can be analysed easily?	Filling in quantitative and qualitative values to the priority indicators in a coded way so as to allow comparison over time.	Base-line data set and measures of existing performance against priority criteria and indicators

↳ **Organisation and storage of information**

Throughout the process of generating information, the Core Team should make sure that the governance information is generated and stored in consistent ways, e.g. by counting the same things, asking the same questions over time, having the same understanding of all terms used, etc. For instance, when measuring the number of days taken to receive a response from a governing body, they should clarify whether these are working days only, etc. Once the governance information has been collectively generated, it needs to be effectively handled and stored. This involves several steps, from coding the information through to cleaning and preparing it for analysis. These steps may take time but are essential and should be well known and practiced by the Core Team (See Annex 3)⁴².

It may be helpful to use a table to organize the set of governance principles, criteria and indicators agreed by all relevant actors and the values obtained when assessing them, as in the example in Table 10 below. A numbering or coding system will help you at a later date to compare trends in the data over time. It is a good idea to make a habit of recording explanatory notes and comments close to the basic data, to help you remember the context in which information was gathered⁴³.

During the assessment of the priority indicators it is very possible that other indicators, not yet considered or agreed upon by all the actors, may be identified. You should remain very open to these additions. Data on them should be collected and the expansion of the list could be agreed in a later moment.

⁴² A general description of these steps is in Concept File 5.2.8 Handling and storing information.

⁴³ (See Appendix 2: Information Generation Formats).

↳ **Validation of the information**

After storing comes the validation, which should begin as close to the sources as possible, so that some crosschecks with the providers of information are possible⁴⁴. In the validation, the points not fully understood/recorded by the Core Team are clarified, any remaining information gap is filled and any disagreement with the providers of the information regarding the meaning of the collected data is carefully recorded.

↳ **Preliminary analysis**

The validated data is then to be collated and desk-analysed in a preliminary way. If the participants have done a good job of coding and managing the information as soon as it was collected, much of the organising will be already done, with information grouped and separated. Some preliminary scrutiny may have already been accomplished by the participants themselves, e.g. by listing, grouping, comparing and statistically analysing⁴⁵ the data. These are already important steps. Comparing views and responses can identify important differences of ideas among the relevant actors, while pulling them together can illustrate the breath of support for a given option or the extent of social agreement in the perception of a problem. This preliminary analysis may involve identifying trends, calculating averages, means, percentage of answers, or the frequency and distribution of certain values.

Careful thought must now be given to how to present and illustrate the information in a format appropriate for public reporting in the next step of *collective* discussion and learning. There is no “neutral” way of organising and presenting information, but the Core Team should assist the participants to discuss the implications of the information collected at the data generation stage, so that it is the whole group that engages in the more substantive part of the analysis without being spoon-fed its most important results.

Appropriate communication formats are most important and can help you strike a balance between the richness of information to convey and the need to maintain the attention of your audience within a relatively limited time frame. Describing the information collected in a visual form allows it to be perceived dramatically. When there are no literacy barriers, written and/or graphic summaries of the results can be distributed prior to the meetings, to give the participants time to prepare themselves and formulate questions.

⁴⁴ For the importance of local validation of preliminary results, see ELDIS, 2003; Selener *et al.*, 1999; Jackson and Ingles, 1998; Samra and Mishra, 1998; Mukherjee, 1995. For related information, see International Development Research Centre, 2003.

⁴⁵ See Margoluis and Salafsky, 1998.

Table 10: Example of a framework for organizing agreed governance principles, criteria and indicators

Principle	Criteria	Indicators	Source of Information	Measured baseline value	Valued measured at first planned follow-up
1. Participation and consensus orientation	1.1 Fair representation of interests and concerns	1.1.a Number of different social actors with membership on the governing bodies	Legal framework or document indicating membership.		
		1.1.b Existence and use of mechanisms that promote power sharing in governing bodies' meetings (e.g. a rotating chair)	Internal regulations of governing body and tracking record of meetings, minutes.		
		1.1.c Percentage of meetings of the governing bodies for which the agenda was developed collaboratively with various concerned actors	Tracking record of meetings, minutes of meetings.		
		1.1.d Existence and use of mechanism(s) by governing bodies for gathering direct information from stakeholders (especially grassroots and marginalized groups) about their own interests and concerns	Internal regulations, documents recording consultation exercises, grass-roots proposals, tracking record, minutes etc.		
	1.2 Public participation	1.2.a Number and range of participants at PA consultation and decision-making forums	Minutes, attendance sheets and tracking record.		
		1.2.b Level of stakeholder knowledge of consensus processes convened by governing bodies (e.g. issues to be discussed, specific agreements reached)	Participatory exercise with focus group		
		1.2.c Number and types of protected area operations in which local stakeholders play an active role (e.g., as salaried staff, key advisors, evaluators)	Documents and minutes of meetings for quantitative data; Venn Diagram with focus groups for perceptions.		

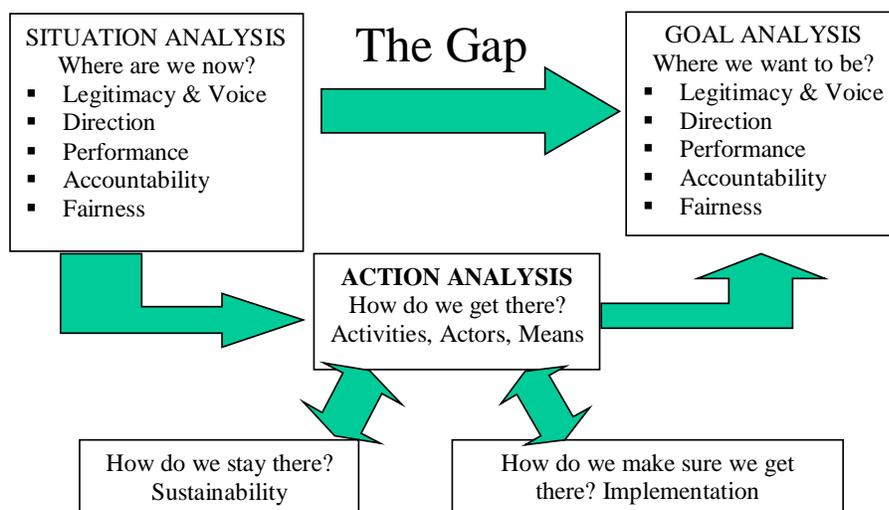
Carry out the participatory situation analysis, goal and action analysis

You have now reached one of the richest and most intensive stages of the participatory evaluation, during which the Core Team and relevant actors reflect on:

- what they have learnt about their PA governance system;
- how well it is performing against key criteria and indicators;
- how well they would like it to be performing against these criteria in the short, medium and long-term; and
- what initiatives are necessary for them to achieve these governance goals.

Figure 1 depicts a simple graphic representation of how this type of analysis can help you to move across the ‘gap’ between the current situation and how you would like the PA governance situation to be.

Figure 1: Graphic structure of an action analysis (modified from Graham, 2003)



↳ **Participatory Situation and Goal Analysis**

The participatory situation analysis provides the opportunity for the collated data to be shared and analysed by the different participants in a main feedback meeting. As

mentioned above, careful thought should go into how the data should be presented most effectively to allow for discussion and analysis. Verbal reports are the simplest form of communication, are delivered face-to-face and have the advantage of allowing for immediate questions and feedback. They can be displayed by all sorts of visual and graphic supports, which are helpful to compare and contrast results, illuminate complexity and promote a rich discussion. Written reports should accompany any verbal presentation as they are indispensable for future reference and widespread sharing.

After the presentation of the reports, and after a time for clarification of questions and answers, a number of methods and tools can be used to help the relevant actors to draw the necessary conclusions about how their PA governance system is functioning and to identify what change and remedial action need to take place. Methods may include brainstorming, structured brainstorming, small group work, ranking and scoring exercises and, very useful at this point SWOL (strengths, weaknesses, opportunities, limitations) exercises, which allow an in depth exploration of the strengths, weaknesses, opportunities and limitations of a given aspect of PA governance or option to improve it⁴⁶. The simple comparison of views held by different groups may be the starting point of a good discussion and the members of the Core Team may encourage this by asking some constructive questions.

Table ... describes the analytical process whereby the participants in the evaluation draw conclusions as to the strengths and weaknesses of the existing governance system with respect to key governance criteria and indicators. Collectively, the participants then agree what improvements they would like to see in their governance system i.e. where they would like to be in terms of these same criteria and indicators in the short, medium and long-term. For instance, if the principle of “participation” has been selected as important and if the “fair representation of interests and concerns” has been re-affirmed as a criterion, then one of the short-term goals to be pursued by the PA governance system could be “at least 50% of meetings of the governing bodies develop an agenda collaboratively with various concerned actors”. The participants then identify indicators and ‘warning flags’ as part of a future monitoring plan to help them assess whether these improvements are happening in practice. A “warning flag” for this particular example might be “a series of 3 or more meetings of the governing bodies in which no item in the agenda had been discussed or agreed upon with relevant social actors”.

Table 11.

PARTICIPATORY SITUATION ANALYSIS and GOAL ANALYSIS			
TASK	Key question/ statements	Methodological tools	Key results
Report on preliminary results of indicator analysis	Please report on the results of the priority indicators you have assessed and on the methods you have used	Workshop gathering all the key relevant actors. The ones who were in charge of assessing the priority	Composite baseline dataset for the agreed key governance indicators for the PA

⁴⁶ Various methods to agree on a common course of action can be found in Borrini-Feyerabend et al., 2000.

	in the assessment.	indicators report on their results. The others offer comments and questions.	at stake
Identification of Strengths of governance system with respect to key criteria and indicators	What do you appreciate about your current PA governance system with respect to specific governance criteria? What are its points of strength? What are its main achievements? What opportunities does it present?	Brainstorming or structured brainstorming in a workshop setting (SWOT analysis) and estimation of trends	List of perceived strengths and achievements of the current PA governance system with respect to specific governance criteria
Identification of Weaknesses of governance system with respect to key criteria and indicators	What are the weaknesses of the governance system so far? What has it not achieved or has it failed to achieve? Are there threats we should be aware of?		List of perceived weaknesses and problems of current system, and threats to it, with respect to specific governance criteria.
Identification of goals for improving the governance system with respect to these criteria	How would you like the PA governance system to be performing with respect to key criteria? What are your goals for improving the system in the short, medium and long-term?	Visioning exercises. Brainstorming or structural brainstorming, as above	List of short, medium, and long term goals for improving the PA governance system
Identification of indicators and warning flags to assess progress towards these goals.	For each one of the identified goals, what indicators should we monitor to understand whether we are making progress? What could inform us that we are in danger of not reaching the goals at all?	Plenary discussion of selected goals, brainstorming and joint analysis of indicators and “warning flags”.	List of specific indicators and “warning flags” for the goals identified

↳ **Participatory Action Analysis**

PA governance evaluation is not a one-time data collection exercise with no practical consequence. It is critical that the social actors who carried out the evaluation also identify some relevant corrective action to enable them to achieve their goals for improving governance in the short, medium and long-term, as well as to remain involved in the follow-up. Table ... shows how the participatory action analysis can be undertaken within the same workshop setting as the participatory situation and goal analysis. Among the conclusions drawn by the group during the participatory situation analysis will be

problems with one or more aspects of governance, in particular unsatisfactory performance with respect to one or more criteria referring to the basic principles of good governance. The important element is that when a problem is identified the relevant actors are also engaged in proposing and discussing solutions. At times these “identified problems” need to be analysed in some depth, possibly by some small groups of relevant actors, or, if the matters involved are very substantial, by ad-hoc working commissions. The product sought from such working groups/ commissions would be specific recommendations for feasible remedial actions.

It is not easy to devise ways to improve a governance system. Initiatives should include:

- How to support and maintain the existing positive conditions;
- How to take advantages of opportunities that are present;
- How to improve what needs to be improved;
- How to avert or defend against the threats that are present.

Some options for action that were tried out in real field situations are collected in Annex 4. Other ideas can be found in the general literature⁴⁷. Different options for action should be compared to one another and a choice among them should be made on the basis of specific expectations and criteria (see Annex 2). Some proposed initiatives will be simple to accept and implement (e.g. being open to suggestions in developing the agenda of meetings of the governing bodies, diffusing the notes of those meetings, etc.) but others will require a specific and more lengthy follow-up (e.g., changes in local rules of access to resources, budgetary allocations). Experience suggests that an appropriate number of flexible, “pilot”, incremental-change initiatives in the spirit of adaptive management are preferable over broad, sweeping and untested changes.

The members of the Core Team are likely to have their own interpretation of the collected information and their own favourite options for action. They may wish to offer them for consideration but it is important to refrain from being overpowering, as a greater sense of ownership, responsibility and accountability will be fostered when the people who can effect change are the ones who identify it as necessary. If the participants of the meeting fail to mention something that the members of the Core Team believe it is important, they can always pose some specific questions and introduce the relevant ideas.

Once the initiatives have been preliminarily identified and agreed upon, the participants in the evaluation should develop a proposed time frame and assign the responsibilities for carrying out the relevant activities. Agreement should be reached on which indicators they will keep monitoring to measure progress and exactly when this will happen. If some information gaps still exist, these should be noted and filled in during the follow-up to the evaluation.

⁴⁷ See, for example, Borrini-Feyerabend, 1997 and Schacter, 2000.

Table 12.

TASK: PARTICIPATORY ACTION ANALYSIS			
TASK	Key questions/ statements	Methodological tools	Expected results
Identification of initiatives to enable PA system to accomplish its goals for improving governance with respect to key criteria	What do we need to do to achieve the PA governance improvement goals we have identified? What changes shall we make in the current system and what changes shall we promote in its surrounding "context"? Are there specific opportunities we can take advantage of? Are there obstacles, limitations, threats we need to be aware of? Specifically, who should do what? With what means? By when? What conditions needs to be present for us to succeed?	Work in small groups, followed by presentations and questions/answers/ discussion/ adjustment of plans. Comparative analyses of options for action and synthesis into a list of priority initiatives.	A list of priority initiatives, specifying who will do what, with what means, by when, in order to achieve the agreed governance goals. Specification of the indicators and warning flags to be monitored through time.

Phase III: TAKING ACTION and LEARNING BY DOING

Implement the initiatives to improve governance

The participatory evaluation is a long-term commitment to improving the governance of the protected area of your concern. It is critical that, following the reporting and learning/planning steps you implement the agreed options for action. For that, the specific means (administrative, financial and logistical) to implement change and the relevant responsibilities should be clearly identified prior to the end of the participatory evaluation meetings. This is one of the most delicate and important tasks to be followed by the Core Team and it could be underlined by some ceremony or wider communication event. If appropriate, during the last meeting of the evaluation process some journalists, communication officials from government agencies, NGOs, and local authorities and organizations could be invited. The key actors who participated in the evaluation could present to the invited guests what has been learnt during the evaluation and the main resolutions taken to remedy the identified problems. As appropriate, meetings in more private settings can be also organised with key change agents such as Ministers and donors. There can also be press releases accompanied by brochures, pamphlets, and audiovisuals. The relevant reports could also be posted on the Internet.

Monitor progress through time and learn by doing

Monitoring progress on initiatives through time

A critical aspect in accomplishing the collectively agreed governance goals will be the monitoring of the identified indicators and warning flags, so that progress towards the expected and desired changes can be assessed through time. During the identification of the indicators and flags, agreements should be made as to who will be responsible for which follow-up activity, with which funds and logistical support etc. See Table ... Equally important, the governance indicators identified as most interesting and revealing will need to be monitored through time. The Core Team may have developed a sense of commitment to the results of the evaluation and so be willing to take on the responsibility for follow-up. Or there may be other relevant actors who have volunteered or shown to have special skills and comparative advantages for carrying out part of the monitoring.

Reflecting on evaluation's overall objectives

During the final wrap-up meeting, the Core Team should take this opportunity to have a de-briefing about their experiences during the evaluation e.g. what they have learnt and how it has affected them etc. This is also the opportunity for them to revisit the overall objectives of the evaluation which they had identified at the beginning of the Planning and Training Workshop. These objectives may have included the following:

- learning about governance,
- learning how to conduct a participatory governance evaluation
- learning about how their own PA governance system is performing, and

bringing about needed change to improve their governance system.

The Core Team should discuss your perceptions and those of others (which will have emerged during the different phases of the evaluation) to assess to what extent the evaluation has met these objectives. You should identify the strengths and weaknesses of the design chosen and its implementation and you should make recommendations for future evaluations. In this way, you are learning by doing and helping to continually improve your governance evaluation.

Improving evaluation effectiveness

When identifying the strengths and weaknesses of the evaluation, the Core Team may identify ways to improve the governance evaluation design. Obviously, there is a need to maintain consistency and comparability of the data over time but lessons learned from the evaluation may show better ways in which to collect the same information. Such lessons may include the need for a programme of continuous low-level data gathering on some governance activities. Experience will have shown the importance of being able to access information about what has been happening on a day-to-day basis within the governance system; for example, the meetings and activities of the governing body. This kind of information is extremely important for evaluation purposes and is simple to gather on a daily basis; however, it is rare that a governing body actually records and stores this information systematically. A continuous tracking record should be kept of the governing body's meetings and activities. Someone could be identified as responsible for keeping track in a simple table (on the computer if possible) of information such as number and frequency of meetings, trends in attendance, number of times that the agenda is developed collaboratively, number of grassroots proposals that are approved at higher levels, percentage of decisions that are reached by consensus etc. Such information provides rich quantitative data about what is happening in practice. During the next evaluation, this quantitative information would then be compared with the qualitative data which measures what actors perceive to be happening within the governing bodies.

Linking evaluation of governance process and impact

It is also important to link your evaluation, which focused on governance process, with a management effectiveness evaluation, which focuses on the impacts of governance. Usually the evaluation of the management effectiveness for a protected area is done separately from any governance evaluation. The former may include indicators of surveillance effort, number of infractions, costs per numbers of patrol, etc. These and other indicators of effectiveness, however, are very closely related to governance issues, and it makes great sense to examine them together. Conversely, some of the information related to the functioning of your governing system may be available from management effectiveness evaluations. By combining the two types of information you can assess how, and to what degree, the functioning of your governance system contributes directly or indirectly to achieving the desired outcomes (the management objectives) of the protected area of your concern. To plan an integrated governance-management effectiveness evaluation, we suggest holding a planning session with the key actors in the various departments of the protected area agency. You will likely need to advocate for

inter-departmental collaboration and the integration of evaluation programmes. To strengthen your case, consider presenting a concrete proposal showing how the monitoring of complementary indicators could be carried out together.

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ANNEX 1: SUGGESTED INDICATORS FOR EVALUATING PA GOVERNANCE

We offer below some examples of “governance indicators”, listed according to their associated criteria and principle of good governance. We strongly suggest that you do not pick and use ready-made indicators from the list below but, rather, draw from the list ideas to develop the indicators that best suit your assessment needs. For example, you may want to evaluate the quality and performance “of one specific management body” among several that exist in the governance system of your protected area, or the frequency of conflicts that took place “with regard to a specific issue”, and so on.

Please notice that we include below both quantitative and qualitative indicators, and that some indicators may offer information on more than one criteria or principle. For qualitative indicators you should establish your own “scale”. For instance, for “range of represented interests” you may have “large” if more than five are represented, “medium” if from three to five and “low” if only one or two different interests are represented. For “level of stakeholder approval” you may have a scale from “very poor” to “excellent” and ask the stakeholder representatives to provide their values. It is important that the scale is explicit, unambiguous and stored together with the data.

We use the term “frequency” to indicate occurrences over a specified time and during a given period, e.g., the yearly frequency of change of membership in a governing body is the number of times the membership of that body has changed during the past year or, if the data is available, the average number of times per year during the past several years.

We use the term “stakeholder” to indicate any relevant actor interested in having a role in the governance of the protected area and “governing bodies” to indicate the organisations (e.g. boards of directors, consultative councils, executive committees and the like) that develop the relevant technical decisions, agree upon them and ensure that they are enforced. In this sense the “governing bodies” comprise consultative (influencing), decisions-making and executive organisations.

Indicators related to the principle of Legitimacy and Voice

Representation of stakeholder interests:

- number of different social actors with membership on the governing bodies;
- range of interests represented by the governing bodies’ members;
- attendance by elected/selected members at governing bodies’ meetings (percentage of meetings attended over the total);
- level of stakeholders approval of the composition of the governing bodies;
- level of stakeholder approval of the election/selection processes proper to each governing body;
- number of claims for the right of other stakeholders to be members and proportion accepted/unaccepted;
- existence and use of mechanism(s) that promote power sharing among the stakeholders (e.g. a rotating chair for the meetings of the governing bodies’);

- existence and level of use of mechanisms to handle sensitive issues and conflicts among governing bodies' members (e.g. mediator or ombudsperson agreed upon by all members);
- agendas of the meetings of the governing bodies developed collaboratively with a variety of stakeholders (percentage of meetings for which the agenda was developed collaboratively);
- level of stakeholders' satisfaction about the content of the governing bodies' meetings agenda (their interests being covered);
- origin of technical proposals discussed at governing bodies' meetings (percentage of technical proposals originating from the stakeholders);
- level of satisfaction of the members of the governing bodies with:
 1. their own ability to contribute to the meetings,
 2. the quantity and quality of contributions from other members,
 3. the governing body's ability to handle sensitive issues and conflicts among members;
- percentage of the governing bodies' meetings in locations that favour local constituencies (for instance in remote, rural environments versus meetings at Park Headquarters);
- existence and use of mechanism(s) by governing bodies for gathering direct information from the stakeholders (especially grassroots and marginalized groups) about their own interests and opinions;
- extent of stakeholder satisfaction with the ability of members of governing bodies to represent and negotiate their interests accurately, reliably and constructively;
- number of conflicts between the members of the governing bodies and the constituencies they represent;
- number of claims and notes deposited questioning the legitimacy of a member/representative.

Participation of stakeholders:

- existence and level of active engagements of organizations and representatives capable of conveying the stakeholders' views, interests and concerns;
- number and range of stakeholders understanding the PA consultation and decision-making processes and able to participate in them;
- public attendance at the regular meetings of the governing bodies (if allowed);
- public attendance at the open consultative meetings called by the governing bodies;
- number of internal pre-negotiation meetings initiated by stakeholders themselves;
- appreciation of local knowledge by the governing bodies (frequent or rare consultation and use?);
- frequency and type of participation of stakeholders in the design, generation, analysis and reporting of technical information;
- amount and type of stakeholders' resources committed to participating in and maintaining the governing bodies' collaborative processes (e.g. the stakeholder representative is supported by its own constituency to travel to the meeting);
- degree of stakeholder satisfaction with their ability to participate in consultation and decision-making forums;
- length of time stakeholder groups/organizations have maintained relationships with the governing bodies;
- number of stakeholders involved in governing bodies' training programmes and activities (e.g., leadership training, evaluation of management activities);

- number and types of protected area operations in which local stakeholders play an active role (e.g., as salaried staff, key advisors, evaluators).

Commitment to multi-party processes:

- existence and frequency of fora for public input on governing bodies' policies and operations;
- existence and frequency of reports diffused by the governing bodies towards their constituencies at large;
- existence and use of an (updated) stakeholder analysis;
- existence and type of specific partnerships forged by governing bodies with stakeholders (e.g. financial incentives provided to traditional, environmentally-friendly production technologies) ;
- extent of governing bodies' support to collaborative processes in the form of:
 1. time devoted to planning, implementation and evaluation,
 2. financial resources,
 3. training initiatives open to non-PA staff,
 4. material resources,
 5. staff time to relate with stakeholders.
- existence and use of mechanism(s) permitting additional stakeholders or actors to be involved in specific decision and policy-making processes, if necessary.

Subsidiarity:

- there exist a nested system of governance for the national PA system foreseeing different decisions to be taken at different levels;
- the above system shows a tendency to decentralise/ delegate/ devolve decisions as capacities accrue at lower level rather than centralise and retain power;
- local stakeholder estimate to be able to influence the PA decisions that concern them through appropriate fora and institutions.

Checks and balances:

- Existence of cases in which civil society groups and the independent media have openly questioned the PA political leaders and managers.
- Existence of cases in which civil society groups and the independent media have managed to modify rules or decisions after having openly questioned the PA political leaders and managers.

Support to stakeholders' organizational capacity:

- numbers of local organizations receiving organisational support (e.g. funding, training) from the PA governing bodies;
- extent of support from governing bodies to stakeholder organizations in the form of:
 1. financial resources,

2. training,
 3. material resources,
 4. technical assistance (e.g., seconded or dedicated staff);
- degree of stakeholder satisfaction with the support received from governing bodies;
 - existence and use of mechanism(s) developed and run by stakeholders to promote their internal communication, consultation and organising on issues to be negotiated, on decisions just taken, etc. ;
 - trend of stakeholder capacity to influence PA decision-making (e.g. trends in percentage of decisions the stakeholder have effectively influenced).

Variety of institutions:

- Legal recognition of various forms of PAs as part of the national PA system, including Community Conserved Areas (e.g. the Australia’s Indigenous Protected Areas), Private PAs, Co-managed PAs.
- The government and society in general provide support to various forms of conservation within a national systemic strategic approach. .

Responsiveness to power sharing:

- existence of PA governing bodies using consensus decision-making processes;
- number and type of PA governing bodies that have a policy and/or legal requirement to use consensus decision-making processes;
- number and range of stakeholders effectively involved in designing the PA governing bodies and their mandate;
- existence of legal framework recognizing stakeholder rights to participate in policy and decision-making processes;
- existence of organized groups representing stakeholder interests;
- existence of specific decisions and agreements in which the stakeholders’ input led to the effective decentralisation, delegation or devolution of governing powers;
- percentage of stakeholder-initiated proposals further negotiated and translated into legally-binding management regulations;
- level of stakeholder satisfaction with power sharing by governing bodies (e.g., perception that they can effectively influence PA-relevant decisions).
- level of stakeholder satisfaction with power sharing by governing bodies (e.g., grassroots perceive that management regulations are based on their proposals).

Effective consensus processes:

- existence of clear PA goals and objectives agreed by consensus by all stakeholders;
- percentage of decisions agreed upon by consensus versus decisions agreed upon by vote;
- existence and use of clear procedures to guide the governing bodies in consensus decision-making processes (who is to participate; with what status [e.g., participant, observer, facilitator]; with what responsibilities; how issues are to be discussed; how options are to be developed; how decisions are to be submitted for approval, modified, agreed upon; etc.);

- effective use of incentives to reach consensus on various decisions (policy and practice);
- existence and frequency of intra- and inter-stakeholder pre-negotiation meetings;
- existence and use of appropriate support (material and financial resources, dedicated staff and training; accommodation of procedures) towards effective and informed decision-making processes (e.g. advance distribution of documents and guidelines, in particular clearly reporting proposals and recommendations; appropriate timing of meetings; timely provision of technical inputs; information, training in negotiation and conflict management skills, etc.);
- presence of skilled facilitators who never enter into the subject matters of discussion and limit themselves to facilitating communication and the development of agreements in the PA governing bodies:
- level of stakeholder knowledge of consensus processes as applied in the meetings convened by governing bodies (e.g., knowledge of consensus-seeking principles and practices, the issues to be discussed, the specific agreements reached).
- degree to which information provided at meetings is perceived by stakeholders as balanced and impartial;
- degree of participant satisfaction with the governing bodies' consensus processes.

Credibility:

- percentage of governing bodies' agreements (e.g., policy decisions, rule making) honoured by protected area managers and other stakeholders;
- degree to which agreements are perceived by stakeholders as being honoured;
- percentage of governing bodies' agreements implemented by all the responsible parties;
- percentage of governing bodies' agreements rejected by stakeholders (possibly even after an initial approval by their representative, if any, in the governing bodies);
- extent of stakeholders' resources committed to supporting and implementing governing bodies' decisions and rules;
- number of land and resource use conflicts resolved using the governing bodies' own conflict resolution mechanisms;
- degree to which stakeholders perceive that governing bodies' processes are fair and effective;
- degree to which stakeholders perceive that governing bodies' processes are beneficial to their sector;
- number of PA governing bodies' meetings or activities boycotted or disrupted by complaints regarding the legitimacy of the governing processes/ actions;
- number of attempts to remove certain stakeholders from governing bodies or discredit their inputs;
- trends in number of confrontational strategies employed by stakeholders;
- percentage of stakeholders' confrontational strategies that managed to change the decisions previously made by the PA governing bodies;
- degree to which stakeholders perceive that they have achieved increased influence over the PA governing bodies' decision-making processes through collaboration as opposed to confrontation;
- degree to which stakeholders perceive that the decision-making by the PA governing bodies is unduly influenced by external forces (e.g. by politicians, the private sector, donors, international lobbying, etc.);

- percentage of stakeholders satisfied with the governing bodies' ability to honour commitments;
- effective efforts made to explain to the relevant stakeholders how and why certain commitments have not, or not yet, been honoured;
- percentage of stakeholders satisfied with the governing bodies' distribution of the costs and benefits from the protected area.

Continuity in Membership of the Governing Bodies:

- frequency of change in the membership of the governing bodies;
- existence and use of orientation mechanisms for the new members of the governing bodies;
- number of prior agreements reconsidered and recanted by new members;
- number of meetings that needed to re-address issues just for the sake of one or more new member(s) in the governing bodies.

Indicators related to the principle of Accountability

Appropriate Roles and Responsibilities:

- extent to which the roles and responsibilities agreed to be held by the governing bodies and stakeholders are being carried out and honoured;
- satisfaction of stakeholders about the feasibility, fairness and appropriateness of the roles and responsibilities assigned to them.

Clarity of Roles and Responsibilities:

- existence of documents (e.g., contracts, memoranda of understanding, laws, mandates) clearly establishing the rights, entitlements, roles, responsibilities, authority and accountabilities of governing bodies', their members and stakeholders at large in the governance of the protected area;
- degree of recognition and understanding among the governing bodies' members and stakeholders regarding their rights, entitlements, roles, responsibilities, authority and accountabilities for governing the protected area, including conservation and sustainable use issues (e.g., exact timing and levels of allowed uses of resources, sharing of tourism revenues, etc.), and processes issues (e.g., in conflict resolution for a, in the meetings of the governing bodies);
- degree of correspondence between the roles and responsibilities held by the governing bodies and stakeholders as perceived by each member or stakeholder and as recorded in official documents ;
- existence of and adherence to rules of operation for the governing bodies' internal processes.

Effective Reporting System:

- existence and use of mechanism(s) for reporting on PA management operations and activities and informing the public at large;

- level of satisfaction of the PA overseeing body with the quality and timeliness of reports submitted;
- degree of public or stakeholder satisfaction with the range and type of information communicated by the PA governing bodies.

Guaranteed Access to Information:

- existence and use of laws/regulations guaranteeing access to information about the functioning and results of the PA governing bodies;
- level of stakeholder satisfaction with the quality of the accessible information, and in particular with its:
 1. timeliness,
 2. relevancy,
 3. comprehensiveness,
 4. accuracy,
 5. reliability.
- extent of investment by governing bodies to make technical information accessible to all stakeholders;
- existence and use of mechanism(s) to ensure that all actors receive information in time, e.g., technical reports, information about forthcoming issues to be handled;
- percentage of technical reports or issue/background papers presented at meetings that were distributed previously;
- extent of use of technical information (e.g. quotations from specialised journals) by stakeholders/ governing body members in their proposals and arguments;
- understanding among stakeholders about the governing bodies' mandate, contacts and constitution, e.g. the rules on the number, selection and replacement of governing or management body members;
- understanding among stakeholders regarding the distribution of the PA costs and benefits;
- existence and frequency of complaints about poor access to information.

Public Concern and Demand:

- open discussion of PA-related issues within civil society and/or the media;
- demands for enhanced accountability from the protected area's governing bodies voiced by stakeholders and the media.

Performance Evaluation:

- existence and use of an ongoing participatory PA evaluation programme (e.g. for governance or for management effectiveness);
- degree to which stakeholders are involved in the evaluation (e.g. in its design, information generation, analysis, validation, presentation, and corrective action);
- existence and use of performance evaluation initiatives for the members of governing bodies;
- existence of clear evaluation criteria and procedures (including feedback) for the performance assessment of PA staff;
- length of time the performance evaluation programme have been operating;

- extent of positive corrective actions taken as a result of performance evaluations;
- types and use of methods for sharing information on evaluation results with stakeholders.

Independent Institutions for Accountability:

- existence of independent public institutions of accountability (e.g. a body in charge of supervising the financial accounts of the PA executive bodies);
- existence of reports including recommendations and operating orders from these institutions;
- demonstrated follow-up to such reports on the part of the PA governing bodies.

Rewards and Sanctions.

- Existence of concrete and appropriate rewards and sanctions to compensate good or negligent action by the PA governing bodies, staff and users:
- Use of existing rewards and sanctions in consistent ways responding to fair assessment of behaviour and met or unmet responsibilities.

Indicators related to the principle of Performance

Capacity:

- existence of an effective design and overall plan for the PA (e.g. in terms of relevant biophysical and cultural features);
 - existence and use of strategic planning process;
 - existence of appropriate PA infrastructure;
 - existence and use of conflict resolution mechanisms for the PA governing bodies;
 - correspondence between guaranteed multi-year PA funding and planned operational budget;
 - percentage of annual budget allocated to fixed costs (salaries, benefits, rents) versus operating costs (communications and utilities, supplies and equipment, travel expenses, multi-party processes, support to management, support to stakeholders, revenue generating initiatives, and other activities);
 - percentage of annual revenue earned directly by the PA from fees, licenses, services, grants from outside bodies, in-kind contributions, etc.;
 - existence and use of recruitment procedures for the governing bodies' members and the PA staff;
 - level of stakeholder satisfaction with those procedures;
 - use of outside expertise by governing bodies to fill gaps in information and skills;
- use of performance evaluation for PA staff (including managers).

Programme Design:

- extent of relative attention and resources provided by governing bodies to research, inventories, planning, outreach, enforcement, monitoring, evaluation and problem-solving activities;

- existence of timely and effective decisions taken by the PA governing bodies in response to new information (e.g. stakeholder consultations, monitoring data, new environmental hazards, socio-economic problems).
- existence of management activities that respond and satisfy at the same time conservation objectives and objectives related to sustainable livelihoods and other social values and goals.

Co-ordination:

- existence of joint initiatives between the PA and other bodies at regional and national level (e.g. cross-border initiatives, projects with private businesses and community organizations, inter-sectoral dialogue with forestry, mining, health, employment, tourism, fisheries agencies, etc.);
- existence and use of an institutional analysis examining the compatibility of your governing bodies' process with other processes and agreements at local, national and international levels (including international conventions);
- frequency of governing bodies' decisions supported, overruled or contradicted by other bodies at lower or higher level or with overlapping jurisdictions;
- level of stakeholders satisfaction with the PA governing bodies' ability to coordinate effectively with other relevant actors.

Cost Effectiveness and Efficiency:

- cost comparisons for similar activities as carried out by other protected areas;
- expert certification of the effectiveness and efficiency of PA spent resources;
- trends in time necessary by the PA governing bodies to reach agreement on controversial decisions;
- existence and use of self-financing mechanisms to cover costs of decision-making processes.
- trends in infractions of PA rules and regulations;
- existence and use of incentives to promote efficiency and timely enforcement of decisions;
- percentage of budgetary expenditures dedicated to enforcement costs.

Attainment of Management Objectives:

- existence and use of a performance evaluation procedures for the PA governing bodies;
- degree to which all elements of governing bodies' plans are clearly and logically linked to the PA conservation objectives;
- degree of implementation of the governing bodies' planned activities, e.g. for:
 - innovative policies (e.g., for stakeholder participation, integration of conventional science and traditional ecological knowledge)
 - improving infrastructure and human resources
 - revenue generation (e.g., from gate fees, hunting and operator licenses)
 - relevant partnerships (e.g., with resource user communities, private businesses, local authorities),
 - social communication (e.g., diffusing and discussing new regulations)

enforcement (e.g., of rules for visitor behaviour, commercial development, extractive use of resources).

Performance Information to the Public:

- amount and variety of information on the performance of governing bodies accessible to all stakeholders;
- level of use by the PA governing bodies of social communications initiatives, for example to disseminate results of meetings;
- level of stakeholder satisfaction with the amount and quality of information provided by governing bodies on all aspects of their performance.
- existence and effective operation of reporting mechanisms for holding decision-makers accountable.

Responsiveness:

- percentage of complaints and public criticism of governing bodies' decisions and operations effectively answered and addressed;
- number of changes the governing bodies made in response to needs or expectations expressed by stakeholders (e.g., regarding rules of access to resources, harvesting quotas, employment opportunities, consultation in policy and decision-making processes);
- level of stakeholder or public satisfaction with the PA governing bodies' capacity to change in response to questions and criticisms;
- number of unresolved complaints about the operation and decisions of governing bodies.

Internal Evaluations:

- use of regular internal PA management evaluations and governance evaluations;
- existence and use of mechanisms ensuring that the results of internal evaluations are properly taken into account;
- changes to plans, programmes or decisions based on results from governing bodies' internal evaluations.

Robustness and Resilience:

- number of years the governing bodies of the protected area have been in function;
- existence of a legal base for each protected area governing body and/or key organization in the governance system;
- changes to law or policy that strengthened one or more of the governing bodies (existence of such changes and efforts spent by the PA stakeholders in that);
- extent of problems created by legislation or regulations preventing the governing bodies from achieving their objectives;
- number and type of threats and changes within the operating environment that the governing bodies have been able to endure (e.g., changes in electoral systems, political sabotage, economic incentives working as conservation disincentives, drop in financial support);
- existence and use of risk management strategy to face major threats;

- instances of remarkable flexibility of governing bodies (e.g. demonstrations of being able to experiment and adopt novel solutions);
- extent of threats effectively dealt with by the PA governing bodies;
- number and nature of revisions to the governing bodies' risk management strategy based on lessons learned from dealing with threats;
- level of dependence of governing bodies on outside expertise (e.g., for coordination, development of technical proposals);
- number of times stakeholders have taken direct responsibility for organizing formal and informal meetings of governing bodies;
- degree to which stakeholders perceive that maintaining the functioning of the PA governing bodies is a joint responsibility.

Effective Advocacy and Outreach:

- active interaction between the PA governing bodies and "outside allies", including supporters within higher governing bodies, who can assist in meeting the governing bodies' objectives;
- percentage of success of governing bodies' lobbying efforts (e.g., number of favourable decisions out of all decisions pertaining to your protected area taken by other entities which the governing bodies had sought to influence through various avenues and means);
- Understanding of important aspects of the PA governance situation detected as a direct result of outreach activities.

Policy Learning:

- instances whereby the PA governing bodies integrate lessons learned from experiences into their policy development;
- use of information sharing and exchange visits to promote learning;
- number of changes to governing bodies' policies explicitly based on lessons learned.

Indicators related to the principle of Fairness

Decency

- Instances and reports of people (including transgressors of PA rules) been treated harshly, humiliated or exposed in cruel and culturally unusual ways.
- Complaints by human rights organisations (e.g. because of forced or uncompensated resettlement of PA residents).

Rule of Law:

- Existence and accessibility of written rules and regulations for the PA.
- Complaints about social discrimination in the hearing and judgements related to the PA rules and regulations.
- Statistical analyses of PA rule offenders and related sanctions

- Existence of appeal mechanism for the transgressors of the PA rules and regulations.

Shared decision making:

- Existence of consultation and negotiation for a at various elvels where PA-relevant decisions can be discussed, shaped and consented upon by a variety of concerned social actors and by indigenous and local communities in particular.
- Frequency of utilisation of such mechanisms
- Complaints about the conduction/ facilitation of such mechanisms
- Satisfaction of various relevant actors abut those mechanisms

Fair management of conflicts and past injustices

- Existence of fair avenues for the management PA-relevant conflict, as much as possible incorporating local, traditional means and institutions
- Existence of avenues of non discriminatory recourse to justice in case of failure of preliminary forms of reconciliation.
- Existence of due processes for recognizing and dealing with past injustices resulting from the establishment of PAs
- The relevant actors are satisfied with the way past injustices have been redressed.

Opportunities:

- stakeholders receive resource and/or land benefits to compensate their PA-related costs (e.g. fishing quotas, hunting licenses, guiding concessions, building permits, access and land use agreements);
- percentage of PA revenues directly accruing to entitled stakeholders;
- number of conservation and development initiatives launched and/or maintained by entitled stakeholder groups with the governing bodies' support (e.g. projects for diversification of income, tree-planting, training of primary health practitioners);
- amount of funding and in-kind contributions provided by the PA governing bodies to support stakeholders' conservation and development initiatives;
- number of governing bodies' members and PA staff, positions held by local and indigenous people;
- extent of local out-migration due to reduced access to national resources and others conservation-related programmes.

Non-discrimination and consistency:

- proportion of PA governing bodies' members and PA staff positions held by women and under-privileged groups;
- instances of proposals presented by (or for) women and under-privileged groups to address their concerns;
- proportion of PA governing bodies' meeting agendas determined collaboratively with women's and under-privileged groups' organizations;

- number of women and under-privileged groups receiving PA governing bodies' programme support or resource entitlements;
- extent and nature of support (financial resources, training, material, technical assistance) assigned by PA governing bodies to women and under-privileged groups to improve their participation in policy and decision-making forums;
- changes in laws, contracts, regulations or rules to include non-discrimination clauses, measures and programmes;
- existence of freedom of association and guaranteed freedom of speech;
- legal recognition of collective rights and responsibilities of indigenous and local communities in agreement with their customary law
- degree of satisfaction from women and under-privileged groups about the PA 's non-discrimination programmes and initiatives, the balanced representation of social interests in the governing bodies and the overall share of costs and benefits deriving from the PA;

Distributional Equity:

- existence and use of regulatory framework defining property and access rights to protected area resources;
- mentioning of 'equity' as one of the governing bodies' core values;
- existence of specific mechanisms (e.g. fees, fines, revenue distribution, specific resource entitlements, quotas, rules).to compensate for PA-related costs incurred by stakeholders;
- degree of stakeholder satisfaction with the governing bodies' distribution of the costs and benefits of the protected area

Rule of Law:

- existence of written PA rules and regulation, easily accessible to all;
- degree to which relevant actors (including human rights groups) perceive the PA governing bodies are equitably applying the rule of law;
- comparative number of repressive and punitive actions taken by the PA governing bodies with respect to the same number and type of infraction by different stakeholders.

Integrity in Staff Management:

- correspondence between rewards given to governing bodies' members and PA staff and performance evaluation results;
- instances of protests for unfair treatment of staff.

Indicators related to the principle of Direction

Leadership:

- extent of innovation initiated and supported by the PA governing bodies (e.g., new partnership agreements, trans-boundary negotiations, major outreach events);
- extent of stakeholder-initiated innovations supported by the PA governing bodies;

- existence of specific initiatives and mechanisms (e.g., specific studies and research initiatives, social communication, adaptive management initiatives) that demonstrate the active (and not only reactive) role of the PA governing bodies with respect to on-going social, economic and ecological challenges.

Collaborative Learning:

- existence and use of internal rules of operation for governing bodies that promote collaborative learning;
- existence of programmes to promote cross-fertilization and lessons learned in governance of protected areas, e.g. regional information sharing, international exchanges, linkages with broader institutions/organizations;
- number and nature of learning partnerships created or adhered to by the governing bodies;
- number and nature of learning tools the governing bodies are using, e.g. exchange visits, national conferences, staff refresher courses, etc. .

Policy Direction:

- existence and use of policies statements on key issues of concern for the PA governing bodies, protected area staff and stakeholders;
- degree of satisfaction of relevant parties on the clarity and usefulness of the governing bodies' policies.

Values:

- existence and level of use of agreed values to guide PA governance (and conservation in general);
- level of understanding and satisfaction of the governing bodies values among their members, and with stakeholders.

Vision:

- existence and use of PA vision statements among its governing bodies;
- level of stakeholder and public approval of the governing bodies' vision statements for the PA, e.g., degree of common direction and/or objectives;
- concrete support publicly harnessed by the PA for the attainment of the vision.

Consistency between Values and Practice:

- number of complaints to governing bodies or ombudspersons because the PA governing bodies have not respected the guiding values that appear in their charter/constitution and policies;
- degree of stakeholder satisfaction with the consistency between the governing bodies' values and practices.

Shared Perspective on Good Governance:

- existence of a shared perspective among the governing bodies and stakeholders on the vision and practices of PA governance, and its necessary conditions for implementation;

- existence and use of information on PA governance by the general public.

Consistency with International Obligations:

- Existence of international, national and local complaints pointing at a discrepancy between the PA directives and international obligations.

ANNEX 2: ON QUALITATIVE METHODS AND TOOLS

(adapted from Barton et al., 1997; Borrini-Feyerabend, 1997 and Borrini-Feyerabend et al., 2000)

Document Analysis

This involves identifying crucial information and records among existing written documents, such as legislation and policy, customary laws, plans and regulations for PA management, old plans and cadastral maps and the like, but also census data, health data, socio-economic data as well as environmental research papers and reports. Some of these documents may not be well known or easily available and it will be a challenge to all the participants in the evaluation to gather and use them, as needed. Copies of relevant documents should be made available for the relevant actors to consult separately, as necessary.

Field visits

The Core Team members, usually accompanied by some representative of relevant actors, get to the PA location or in its periphery and explore features, behaviours and phenomena, while meeting people in spontaneous ways. Sometimes this is done by carrying out a transect observational walks, i.e. crossing an area in a chance-determined direction, adding an element of randomness to the process. The team members may also attend official meetings (e.g. the PA Management Board) and community gatherings and ceremonies. They can observe PA staff in their jobs and project activities and seek to understand the communication flows between agencies and local people. In all of the above, the Team members are open about the reasons of their visits and presence and freely engage the local actors in data collection and preliminary analysis.

Interviews

Interviewing is a process of inquiring into the perceptions of another person or persons about a particular issue or set of topics. It can include exploring their knowledge, feelings, attitudes, opinions, past experiences and expectations for the future. Two main interview approaches are generally used: closed-ended and open-ended interviewing. Closed ended interviewing involves a standardized sequence of questions whose answer are a plain 'yes' or 'no' statement, a numerical figure (e.g., 15 years) or a categorical judgment (e.g., 'good' or 'bad'). This is usually done through questionnaires administered to fairly large number of people. The answers are later coded and statistically analysed. Open-ended interviews are based on a less standardized and more open sequence of questions whose answers are expected to be richer and more complex. Open-ended interviews aim at discovering elements of the insiders' perceptions of the topic under investigation including some that may be entirely unknown to the interviewer. The interviewer is free to rephrase questions as appropriate and to probe deeper into issues where necessary (e.g., by saying "Tell me more about that, please" and using questions such as "Who?" "Where?" "When?" "Why?" and "How?"). Open-ended interviewing is a powerful means to catch 'qualitative information' but also, and most importantly, is one of the most powerful means of

engaging a number of people into an issue. Choosing the proper respondents is very important. Some respondents could be selected because they have special knowledge about the topic and those are called “key informants”. Others might be selected because they represent some interest groups, or have a special status (as a matter of fact often the respondents will be selected as they have been identified as a “relevant concerned actor” in the PA governance).

Open-ended questions can also be addressed to a group of respondents. Such groups may be spontaneous (e.g., farmers working in their fields, tourists visiting the PA, villagers met at the local market, etc.) or convened by the interviewer on the basis of a common feature (e.g. PA staff at a given level, farmers whose fields border the PA boundaries, charcoal makers, hunters, members of a local minority group, women, etc). The first type of groups are usually called “natural groups” and the second “focus groups”. For the focus groups, if the pool of possible participants is large, participants are at times chosen by means of sampling procedures. More often, they are casually chosen.

A very interesting twist on the method occurs when the interview is actually carried out *by a group* of relevant actors. In this case it is the group to pose the questions to one or more individuals on a given subject. Later the group meets to draw and record the relevant conclusions. Group interviews could be carried out with the same person or persons by different groups of actors (e.g. the key manager in the PA could be interviewed by the representatives of the men in the local community, then by the representatives of the women, then by the representatives of the traditional authorities, by the representatives of the PS staff, etc.). After separate analysis of the information, the groups could exchange and compare their conclusions.

Open ended interviews of a group or by a group – usually including from very few up to twenty or thirty individuals— are provide a rich opportunity for collective discussion and analysis of issues relevant for the PA governance. The Core team should make sure that the meeting environment is pleasant and respectful and that the debate is based on facts rather than on unconfirmed statements. The success of an open-ended interview depends very much on the communication skills of the interviewer(s), which are needed to keep the discussion as a relaxed dialogue. These skills include helping the interviewee (respondent, participant) feel at ease, phrasing questions in clear but not leading ways (i.e., not suggesting the ‘correct’ or ‘expected’ answer, as in the question ‘Do you believe that conserving natural resources is good for your community?’), and introducing probing questions appropriately (e.g., asking for further details when respondents give general answers).

Closed ended interviews though administered questionnaires are still much fashionable among some social scientists while others⁴⁸ share a very critical view of them, maintaining that they are rarely accompanied by a critical discussion of methodological problems and too often poorly reliable and valid (questionnaires tend to be overstuffed with questions and poorly understood by respondents; interviewers can administer them mechanically and encourage casual replies, write down answers in biased ways, etc.). In addition, questionnaire interviews are usually lengthy and costly. We do not encourage them as part of a participatory evaluation unless very large numbers of people need to be involved and a specific probing is required about issues identified as important with other means.

⁴⁸ See Chambers, 1992

Brainstorming and structured brainstorming

This is a crucial technique employed to gather the views and perceptions of a group of people on a specific subject. It is based on a freewheeling offering of ideas started by an open-ended and somewhat provocative question put forwards by the facilitator, such as “What are the key initiatives we could pursue to improve accountability regarding our PA?” Opening statements and questions should be general and non-leading, i.e., should not stress or overemphasize a point of view that could bias the participants. It should be clear that brainstorming is a free and non-committal way of exploring ideas, i.e., no one commits him or herself to something simply because he/she mentioned it in a brainstorming session. Usually people offer ideas orally, one after another, and the facilitator draws relevant pictures or writes the ideas up on a board. The clarifying, grouping and re-phrasing of these ideas is then done through general discussion. The result is a consolidated and hopefully coherent and exhaustive list of items (problems, resources, etc.) If all the participants in the exercise are literate, it is also possible to utilise a structured brainstorming exercise. In this case the facilitator asks the question, leaves time for people to think individually and then asks them to write their replies in large letters on colour cards and to describe them, one by one, to the rest of the group. After each idea card has been presented, it is pinned up on the wall and the group decides where it should be set, to cluster with related ideas. The final result is a series of “card clusters”, each dealing with a main subject. Each cluster can later be assigned to a sub-group, which will clarify it, rephrase it and explore it in detail.

Visual techniques

Visual techniques are an essential feature of meetings involving more than just a few people. They include drawings, posters, pictures and slides as well as open-ended stories, popular theatre and community-directed videos (which can all be an excellent entry points for group discussions), graphic representations by means of pie charts or bar charts, pictograms used to describe and analyze time trends, etc.

Visual techniques tend to focus the attention of the audience and can be used as a “controlling tool” over it. They become much more empowering when the visual representations are not prepared and delivered by the organisers of the meeting but actually prepared and presented by the participants themselves. For instance, the pictures and slides can be shot and developed in advance of the meeting by the participants themselves. Disposable cameras can be used to the purpose, and the participants can be asked to shoot the important PA features that they wish to analyse and discuss with relation to the governance theme.

Visual techniques controlled by the participants include all sorts of group-filled matrixes or card-based discussions, with “idea-cards” prepared by the participants pasted on a wall and later sorted, grouped and synthesized collectively. Sorting, counting and ranking exercises can be done in written forms but also by using everyday objects, such as seeds, stones or simple sketches on small slips of paper. Time lines and transect representations involve the pictorial sequencing of events or features of the landscape. More analytical visual tools include problem-cause-effect trees or sequences of causes, problems and solutions. Visual representations with cards, arrows and symbols can be created to represent an institutional setting, a decision-making structure or the patterns of relationship among different actors and powers as perceived by the participants in the exercise. These drawings can be made on flipcharts, chalkboards or on large sheets of kraft paper, which is rather sturdy and can be readily transported.

Mapping

Mapping is a great visual exercise, usually employed in conjunction with a group interview. The participants in the exercise (local community members but also PA staff, bureaucrats, politicians, business people—any relevant actors at any level) draw a simple map of the local territory and resource, including the relevant PA, recording a variety of information about local natural resources and social conditions. The map may first be drawn on the ground, on a blackboard or large sheet of paper and later reported into more transportable means. The map assembles the important elements as seen by the relevant actors involved, which may include the PA's boundaries, the boundaries of the community's territories, streams and ridges, farmlands, water sources, community sacred areas and resources, schools, churches and mosques, public buildings, forests, lagoons, wetlands, key areas for the use of natural resources, pathways, cultural or spiritual sites and the existing villages with numbers of households. Existing topographic maps can be used as a reference. A series of mapping exercises for the past (e.g., what was there twenty years ago), the present (what is there now) and the future (what will be there twenty years from now if current trends will continue) is called historical mapping. Besides showing how the participants see the local situation and what they perceive to be its most important elements, a collectively built map is a great situation over which to talk and explore a variety of issues of common concern.

Ranking and scoring exercises

Ranking and scoring exercises are a popular tool to order and determine the relative importance of particular factors, items, conditions or perceptions. They are usually done by drawing a table and having on one dimension various options or aspects of given phenomenon and on the other one or more criteria. The person or group interviewed scores or ranks each option according to each criterion in order of preference. This can be done by assigning ranks (first in order of importance, second, third, etc. to fifth if there are five options) or by assigning a "score" to each option or positioning different numbers of objects, such as leaves or pebbles. The reasons for assigning a given rank or score should be openly discussed, otherwise the exercise can become rather mechanical and useless. At the end, the scores for each option (row) are added up, providing an overall view over several criteria.

Sampling: statistical, purposeful and self-selected

To generate information on the evaluation's indicators, you can either include *all* of the individuals or items you are interested in, which is referred to as "census" of the population", or include only a *specific subset* of the individuals or items. "Sampling" is the process by which you identify the subset. For instance, you may wish to interview the herders in the surroundings of a particular PA or the PA staff in a given country. You can identify a "sample" of these people based either on judgmental (purposeful) criteria or on random chance. Statistical sampling is based on randomness, so that researchers can confidently draw statistical probabilities from a small sample to a larger population. This requires some familiarity with statistical methods and tools (see Annex 3). Purposeful sampling is very different. Its power lies in selecting

information-rich cases for in-depth analysis related to the central issues being studied⁴⁹. It includes:

- Extreme case sampling, which focuses on cases that are rich in information because they are unusual or special in some way (e.g., the only communities that benefit from PA-related tourism)
- Sentinel sampling, which selects on a small and manageable number of individuals especially sensitive to some factor or characteristic of particular importance to the evaluation (e.g. landless peasants in the vicinity of the PA).
- Maximum variation sampling, which aims at capturing and describing the central themes or principal outcomes that cut across participant or program variations (e.g., persons of different ages, gender, economic level in the community).
- Homogeneous samples, which pick a small sample with similar characteristics to describe some particular sub-group in depth (e.g., firewood cutters or charcoal makers in a specific area).
- Typical case sampling, which uses one or more typical cases to provide a local profile. These cases (individuals, families/households, communities, etc.) are selected with the co-operation of key informants, such as PA staff or knowledgeable participants, who can help identify what is typical.
- Critical case sampling, which looks for critical cases that can make a point quite dramatically or that are, for some reason, particularly important in the scheme of things (e.g., the life history of a poacher).
- Snowball or chain sampling, which moves from informant to informant by asking: ‘Who knows a lot about...? Who should I talk to?’ This sample gets easily large and is useful to identify specific kinds of cases (e.g., critical, typical, extreme, etc.).
- Criterion or quota sampling, which is done by selecting all individuals or cases that meet some pre-set criterion of importance (e.g., owners of hotels larger than a certain size). These cases are later compared to others that lack the particular characteristic of interest.

Last but not least is self-selected sampling, which is also called representation. The relevant population (e.g. the herders in the surrounding of the specific PA or the PA staff in the country) decide among themselves who are the people to convey their collective views on particular issues and come to talk with you in the meetings you organise. This is obviously the most empowering of the sampling methods, but should be accompanied by some assurance that the internal procedures of analysis of issues and representation of the collective opinions are indeed fair.

Analysing strengths, weaknesses, opportunities and threats/limitations

This exercise, usually referred to as SWOT analysis, is a powerful tool a group can use to assess an issue of concern, for instance PA governance. Basically, it is a group brainstorming on the positive factors (strengths), the negative factors (weaknesses), the possible improvements (opportunities) and the constraints (threats and limitations) related to the issue at stake. Usually the results of the session are listed on a four-column matrix, drafted on flipcharts on a wall. At

⁴⁹ See Patton, 1987.

times, participants have different opinions or express contradictory statements. In such cases, the facilitator can ask further questions to deepen the arguments, but a consensus among group members is not necessary. Contrasting views and alternative options can be listed on the same column in the matrix. In particular circumstances, it may be necessary to gather more information once the meeting is over, information that will be communicated to the whole group in the next meeting.

Comparing alternative options

Alternative options for action can be examined on the basis of various **criteria**, such as effectiveness, feasibility, cost in human, material and financial resources, expected benefits and impacts (in particular impacts in terms of environment and social equity), sustainability, and so on. The open comparison of alternative options is a very useful tool to help a group decide which option it should select from amongst the many available. The discussion can easily be summarised on a board, with alternative options listed in rows and criteria in columns. For all the criteria chosen by the group the alternative options can be scored, and the matrix will then offer a broad comparative view of options and scores. It is to be stressed that the scores should not be assigned from the top of the head, but only after a discussion of concrete issues. For example, with regard to feasibility, who is ready to take on the major responsibility for each alternative option? In what time frame? Using which material and financial resources? With regard to impact, what are the expected environmental but also the social and economic consequences of the proposed options? What degree of certainty are we dealing with in those provisions?

ANNEX 3: ON QUANTITATIVE METHODS AND TOOLS

(adapted from Margoluis and Salafsky, 1998)

Census and statistical sampling techniques

To generate information for your evaluation's indicators, you can either include *all* of the individuals or items you are interested in - the population - or a *specific subset* of the individuals or items - a group. Censusing involves counting all individuals and/or items in the population, and sampling involves measuring a subset of individuals and/or items in the population.

Censusing

For some aspects of your evaluation, it may be easy to monitor all the individuals or items in a population. For example, if you want to generate information about meetings of a governing body, it may be relatively easy to conduct interviews with each and every member of the body. Likewise, if you are interested in documenting how often particular stakeholder issues are addressed during meetings of a governing body, you can examine all of the minutes produced from every meeting. When you count and include all the individuals and/or items in a given population, this is called a census. Using a census has the advantage that your information will adequately represent the entire population since you have collected data from all individuals and/or items.

Statistical sampling

When you are interested in generating information with much larger populations, e.g., a large village or many record books, and you have limited time and resources, it is better to identify and engage a subgroup of the individuals and/or items. It is important to identify a subgroup you think will represent the whole population. This subgroup is known as a *sample* and the procedure involved in selecting this group is called *sampling*. If your sample is a good representation of all the individuals and/or items you are interested in, then you can take the indicator results from the sample and apply them proportionately to the whole population. For example, if your sample is 20 people from a total population of 100, and 15 people in your sample have received timely and complete information about a recent agreement, this is 75% of your sample. You can then claim (with a certain margin of error) that 75% of the 100 people, or 75 people have received the information.

The main advantages of sampling over censusing lie in the reduced cost and greater speed of measurement made possible by generating information with a subset of individuals and/or items rather than with the entire population. The disadvantage of sampling is that it requires using *statistics* to determine to what extent your sample data represent the population.

There are three main considerations in selecting a sample:

1. *Size*. Generally, the larger the sample size - the closer it approaches the total population size - the more likely it is that your results from the sample will truly apply to the overall population. As a rule, the more diverse your individuals or items, the size of your sample should increase.

2. *Sampling frame.* A sampling frame is a description of the set of all possible individuals and/or items you could sample. Your sampling frame will describe these either as specific units or in general terms. For example, if you are interested in interviewing 20 percent of the households in a village, your sampling frame might consist of all the households in the village. If you are interested in measuring 30% of the bookkeeping entries of financial support provided by a governing body to women’s organizations in the last year, your sampling frame might consist of all the financial support sent to women’s organizations in the last year.
3. *Selection method.* A sample must be selected in a way that ensures that it adequately represents the larger population from which it was drawn and avoids any bias. There are two basic ways of selecting samples:

Probability Sampling.

This form of sampling is associated with quantitative information generation and analysis. Here, every individual or item in the population has an equal chance of being selected for the sample. Two of the most commonly used types are *simple random sampling* and *stratified random sampling*. In simple random sampling the group of individuals is selected randomly from a list of the population. Stratified random sampling is similar, except the population is first divided into different subgroups, or strata, based on some characteristic (such as age, sex, ethnic group in a household survey, sectoral interest in a funding survey), and then a random sample is selected within each stratum. The stratified approach gives you a sample from each stratum, creating a more accurate representation of the different subgroups within the population. However, you need sufficient information about the population from the start of the evaluation to accurately assign all individuals or items to the appropriate strata.⁵⁰

Example: Simple and Stratified Random Sampling

You want to measure the degree to which stakeholders from a particular village perceive a governing body’s decision-making consensus process is benefiting them. Village records indicate there are 126 households. The evaluation team determines they want to survey 30 percent of these households.

Simple Random Sampling

To do a simple random sample, you can write the name of each head of household on a slip of paper, put all the slips into a hat, mix them up, and choose 38 names (30 percent of 126 households).

Stratified Random Sampling

You understand that village residents are engaged in three activities using protected area resources: food fishing, commercial fishing and tourism. In fact, most families are subsistence fishing and very few are engaged in commercial fishing or tourism. You want to be sure you have included the minority households engaged in commercial fishing and tourism in your sample in order to have a stratified random sample. To do this, you look at the distribution of the families between the three categories and find that there are 77 subsistence fishing families, 29 commercial fishing families, and 20 families involved in tourism.

You still want an overall sample of 30% so you take 24 subsistence fishing families (30 percent of 77, which is really 23.1 but always round up), 9 commercial fishing families (30 percent of 29), and 6 families involved in tourism (30 percent of 20) for a total of 39 families (this is one more family than the sample for simple random sampling due to rounding up). You then select a *random* sample of: 24 families from your

⁵⁰ For another example of drawing a stratified random sample, see website for IIRR, 1996.

list of 77 subsistence fishing families; 9 families from your list of 29 commercial fishing families; and 6 families from your list of 20 tourism families. This will give you your total sample for the village.

Handling and storing information

As information from your indicators is being generated, it will be crucial to handle and store it as efficiently and effectively as possible. The following are six steps that will enable you to achieve this:

1. *Code your information.* As your information arrives from the field, you will need a process to define how you want to represent and record it. Each piece of information you generate should be recorded using a consistent and specific code that represents each characteristic you are measuring. Coding should be fully integrated with the design of your instruments and field tested along with your methods. Questions in a formal survey are usually closed or open ended. Closed questions have a predetermined range of possible answers, for example, “yes”, “no”, “don’t know”, or a list of sources of information on governing body decisions. The interviewer circles the options mentioned by the respondent. Open-ended questions are left for the respondent to answer without having to give a pre-determined response. Specific information coding techniques can be subdivided into those used for quantitative and qualitative information:

- *Quantitative:* information is usually classified in one of two ways. First, as a number with an unlimited amount of possible outcomes (e.g., the number of times the agenda of the PA governing board dealt with tourism issues.). This type of information is referred to as a continuous variable and is measured along a numerical scale. The second way, is recording numerical information that has a limited number of possible classifications (e.g., type of support received by stakeholders from governing body: “money”, “technical expertise”, “office equipment”). This information is referred to as a categorical variable, and is recorded in discrete intervals or as groups. When coding continuous variables (numbers, distances, incomes) it is best to enter the variables directly, making sure that it is in a common unit (e.g., meters, pesos). When coding categorical variables, make sure that the same categories are used consistently for each respondent. You may wish to group information into meaningful categories during your information analysis. This is particularly useful for open-ended questions for which you can determine approximate categories after you have generated your information.

As you develop the codes for your responses and information, you will want to keep a record of these codes and what each value means. Create a codebook for each information generation instrument you use. Codebooks are generally developed for questionnaires and checklists that are composed primarily of closed questions. A codebook is a reference guide that lists each question or piece of information you are generating, the possible responses for each question or piece of information, and the codes you have assigned to each possible response. The codebook serves as a record of how you coded your data so that you or anyone else can code and interpret the same instrument in a standard manner in the future. It is also a good idea to include a specific code for missing data for each question in your codebook. Missing data refers to places in your instrument where, for whatever reason, you were unable or forgot to generate or record the necessary information.

- *Qualitative.* This type of information is usually recorded as a verbal statement. Instead of designing a database and codebook – as you do for quantitative information – focus on organizing the transcribed statements from your conversations, focus groups,

participatory mapping, etc. Identify and extract key concepts expressed by your respondents or found in documents that are relevant to your evaluation. Then group statements and other information under these points of view or categories. The key in coding qualitative information is to preserve people's words in their proper context, while also identifying and extracting key concepts. Develop an effective coding system that enables you to organize your information in a way that will support your subsequent analysis.

2. *Review your information.* As information comes in from the field, check them for any obvious recording errors and gaps. If you find blanks in response areas of your instrument and you cannot go back to the source of the information to fill the gap, better to record it as missing data.
3. *Transcribing your information.* This process involves systematically, consistently and clearly recording your information in some predetermined format. It is especially useful for organizing field notes and open-ended responses. Some methods do not need this step, e.g., formal surveys, since responses are recorded directly onto the instruments themselves. Transcription of focus groups, key informant interviews and other qualitative information is very important as it allows you to begin to assemble information in an organized and systematic manner. Transcribing information from focus groups and interviews often involves listening to the recorded tapes of each session and typing or writing them up word for word. For this case, this step occurs before you develop your coding guide. It is also important to transcribe field notes and informally generated information so you have a secure record of this information. Transcribing your information also provides you with a back-up copy of your valuable information.
4. *Entering and organizing your information.* After transcribing your information, you are ready to enter it into your information handling system. This process can be time-consuming and tedious, but it is important that it is done accurately, and that you cross-check your entries where possible. There are specific information handling techniques for quantitative and qualitative information:
 - *Quantitative.* Most quantitative information generated using questionnaires or checklists are entered or archived in some kind of database, which is a table or archive that contains all the information you have generated. This archive can be kept on paper or in computer files using a spreadsheet (like Excel), database programme or statistical package. The database or spreadsheet is generally divided into records (rows) and fields (columns) with the structure drawn directly from your instrument codebook. Each record (or row down the side of the sheet) represents a new sample unit, such as a key informant interview, government log, stakeholder group or minutes from a governing body meeting. Each field (or column across the top of the sheet) contains one specific type of data, such as date, interviewer, respondent's name (interview number), source of income, stakeholder affiliation, agenda item, type of resource (e.g., money, office equipment). The fields should correspond directly to the questions or categories in the instruments codebook, except for information that was not coded but used as reference information in case you have to return to this source of information.
 - *Qualitative.* This type of information – generated from focus groups, open-ended key informant interviews, etc. – is not commonly entered into a database. Nonetheless, it is critical to review this information and develop a detailed outline of how you will want to organize and collate it. With this outline and your already coded information, you can go through your results again. Extract and group relevant information (using cutting and pasting), rearranging it so that it follows your outline.

5. *Backing up your information.* Once you have coded, transcribed, entered and organized your information, store the originals in a safe, cool and dry place, separate from your working versions. As soon as possible, and at regular intervals, make at least two backup sets of your most recent versions. This may take the form of new files in your computer and on floppy discs, or photocopies of all relevant forms and documents. When travelling with information, leave one backup set at your home base.
6. *Clearing and preparing information for analysis.* Cleaning data is the process of going through your information to catch any errors that were introduced during the coding and entering process. For quantitative data, look at the information in each field of your database/spreadsheet. Look for obvious data points that are outside of the expected range for the particular variable/characteristic. Double check these to ensure that they represent the true values as originally recorded on the instrument in the field. If it was not a mistake in entry or coding, then decide whether it is a mistake in the recording or a true value. You can also add row and column totals where applicable and make sure they work out across and down. For qualitative information, review the information that you have extracted and organized, looking for consistency, logic and thoroughness.

Information generation formats

Examples of qualitative scoring system:

Criteria	Indicator: extent of problems created by legislation or regulations preventing the governing bodies from achieving their objectives	Score	Comments (including "don't know")
Robustness	Problems with legislation or regulations are a major restriction to achieving PA objectives	0	
	Problems with legislation or regulations are a significant but not major restriction to achieving PA objectives	1	
	Problems with legislation or regulations are not a restriction to achieving PA objectives	2	
	Legislation or regulations are lightly effective in supporting PA objectives	3	
	Legislation or regulations are effective in supporting PA objectives	4	
	Legislation of regulations are very effective in supporting PA objectives	5	

Formatted Table

The PA governing bodies performance at:	Poor	Less than satisfactory	Satisfactory	More than satisfactory	Excellent	Don't Know
Representing my interests						
Explaining its purpose						
Preventing and controlling unwanted practices						
Supporting new economic initiatives						
Resolving conflict constructively						
Keeping commitments						
Strengthening its influence with higher levels of government						

Scale Format

Form of stakeholder economic activity	This form of activity should not be supported at all	Degree of governing body's involvement (control) necessary to support this form of activity			
		Full involvement is essential (e.g. co-management or joint venture)	Some involvement is adequate (e.g. advisory)	Involvement is optional (priority is low)	Don't know
Forestry					
Fishery					
Mining					
Tourism					

Check-list Format

Note: this can be used for data collection as well as tracking the progress of your data collection process.

Date:			
Yes	No	Not Applicable	Indicator/ step, etc.
ف	ف	ف	The core Team is formed and operational
ف	ف	ف	A social communication plan is being implemented
ف	ف	ف	All stakeholders have been contacted and invited to take part on the participatory evaluation.
ف	ف	ف	The evaluation budget is covered for the current year at least
ف	ف	ف	The evaluation plan and agenda have been agreed upon

ANNEX 4. IDEAS FOR IMPROVING YOUR GOVERNANCE: FIVE CASE STUDIES

This section offers some ideas on how you can address some governance aspects in need of improvement. Several case studies are presented where PA governing bodies have made changes to improve their governance. For each case, these changes are examined in some detail and organized according to the principles and criteria for good governance presented in section 2 of this volume. By reviewing these cases, you may discover or confirm ideas for improving the governance of your PA according to specific criteria.

Galapagos Marine Reserve

Background

The Galapagos Marine Reserve (GMR) comprises the coastal and marine resources surrounding the Galapagos archipelago. Some 97% of the archipelago's land area was declared a national park – the Galapagos National Park [GNP] – in 1959, a World Heritage Site in 1978 and a UNESCO Biosphere Reserve in 1984.

The GMR was initially declared a Marine Resource Reserve in 1986 by presidential decree. Little effort was made to involve key users of the resource through information sharing, persuasion, or negotiation, and no attempt was made at compensation. These issues, and the fact that the Reserve lacked legal standing, led to fierce local opposition and major infractions and conflicts within its boundaries – often between the GNP and local fishing operators.

In 1996 the national protected area authorities attempted to unilaterally upgrade the Reserve to a Biological Reserve within the system of national protected areas. This was contested by other Ministries, and, once again, was met with strong opposition from mainland and local people. One of the main problems was Ecuador did not have a Marine Reserve category and therefore, the Biological Reserve could not be a legally protected area. Moreover, the rules regarding a Biological Reserve were applicable for terrestrial parks only (e.g. regulating “hunting for subsistence”).

In 1996, the national protected area authorities and conservation officials decided to open a dialogue aimed at overcoming the conflict and to encourage a participatory process intended to revise the GMR's Management Plan. At the national level, a government commission was established to prepare and draft innovative legislation (known as the “Special Law”) for the Galapagos National Park.

The Marine Reserve Chapter of the Special Law was developed with the strong support and contribution of a local participatory process promoted by the GNP, endorsed by the Ministry of the Environment, and with technical and logistical support from the Charles Darwin Research Station (CDRS). The process, begun in 1997, brought together the main social actors interested and affected by the management of the reserve to jointly identify and solve their differences. Their primary focus was to revise the GRM's management plan. Those involved in the process were classified into three categories:

- *Participants*: direct users, such as the fishing cooperatives, sea product merchants, representatives of the tourism industry, the conservation sector, the port and military authorities, etc;
- *Local observers*: local authorities who were not directly involved (the mayors, the prefects, the governor, etc.);
- *National observers*: the most senior government authorities responsible for the island region: Ministry of the Environment, plus a few nongovernmental organizations.

This strategy allowed the various stakeholders to have their opinions heard. The creation of “observer” status for the national authorities strengthened the message of decentralization. On the part of local authorities, it was an attempt to maintain the focus on the issues at hand. This mechanism was used to place authorities in a position to listen to the people. All participants and local users of the marine reserve had the same level of importance. The mainland fishing interests were excluded, because their activities were seen as incompatible with the objectives of conservation and limited use of marine resources, and to remain consistent with the proposal of extending the area of the reserve from 15 to 40 nautical miles from the baseline.

To ensure groups participated effectively, careful preparatory work was carried out, consisting of:

- advanced distribution of documents and guidelines;
- making technical support available;
- advanced preparation of comments, proposals, and recommendations;
- checks to ensure comments, proposals and recommendations were clear and concrete.

Professional facilitators were appointed to provide objective help to all parties involved in revising and rewriting the management plan. These facilitators also helped draw up a clear work timetable, with specific goals and outcomes.

A short, clearly focused and technically oriented event was organized, aimed at reaching general consensus on the central points of the plan. To carry on the planning process after the event, participants appointed a core group of 11 dedicated people. The group was composed of: 3 representatives of the national park; 2 each from the conservation, tourism, and fishing sectors; 1 from the fisheries division; and 1 from the Merchant Marine Office. The group (called the “Grupo Nucleo”) focused on continuing the revisions to the GMR's management plan. Their mandate was to convene meetings and local discussion groups and to hold regular plenary sessions to ensure the revised Plan was a consensus-based document.

In 3 months the Grupo Nucleo produced a final consensus report, based on three parts: (1) the principles that should govern management of the protected marine zone; (2) the points that should be included in the revised management plan; and (3) aspects that should be included within a new legal framework for carrying out that plan. The document served as input to the work of the government commission preparing the Special Law.

At the end of April 1997, the Ecuadorian President broadened the inter-institutional make-up of the government commission. Representatives of the local fishing, tourism, and conservation

interests and of municipal governments on the islands were invited to take part in the commission's work, and the Ministry of the Environment was appointed as coordinator.

A committed, collaborative effort resulted in the development of both the Special Law for the Galapagos and the new management plan for the GMR. This was possible due to the institutional support of the CDRS, the GNP, the World Wildlife Fund, the strong participation of stakeholder representatives, and the help of many facilitators.

In 1998, the Special Law was passed and the GMR was extended in size and declared the first Marine Reserve in Ecuador, establishing a new category of protected areas in the country. In 1999, the new management plan entered into operation, creating the GMR's participatory management board, the Junta de Manejo Participativo (JMP). In 2000, the General Regulations of the Law were issued, establishing the participatory approach of the GRM's management. All relevant sectors were to be involved: conservation, research, artisanal fishing and tourism. Industrial fishing was the only significant sector excluded. This sector's interests were judged incompatible with the new conservation objectives of the GMR.

The GMR's governance system consists of the JMP, and Inter-institutional Management Authority (IMA) and the GNP. While the JMP is made up of the key local stakeholders, the IMA comprises representatives of Ministries and local stakeholders. In the JMP, the members present proposals concerning regulations of fisheries and tourism. They are also authorized to present proposals in the areas of conservation, education and research, though this has yet to happen. Proposals are negotiated and eventually agreed upon by consensus. The proposals are then submitted for approval to the IMA and then to the GNP for implementation and control. Proposals that have obtained consensus in the JMP have almost always been approved by the IMA. However, if the members of the JMP are not able to reach consensus, the different stakeholder positions are submitted to the IMA where a decision is taken by a majority of mainland ministerial officials. Thus, the governance system has a strong incentive to promote consensus at the level of the JMP and prevent unacceptable delays.

Despite the collaborative nature of the formation of the Special Law, it has received challenges. Recently, the National Tuna Fisherman Association (NTFA) claimed the Special Law was unconstitutional and demanded the case be reviewed by the Constitutional Supreme Jury of Ecuador. Eight members of the Jury voted in favour of the Special Law for Galapagos and one abstained. This provided a strong endorsement of the legal validity of the Special Law and has opened the way for the GMR to become part of the World Heritage Site that now only includes the terrestrial park.

The introduction of legal and political reform in the governance of the GMR is expected to have the following impacts:

- general policies will be created for conservation and sustainable development, with respect to both human settlements and protected land and sea areas;
- the establishment of a participatory management regime, (the JMP) with strong legal legitimacy, as it is backed by the Special Law of Galapagos of 1998, the management plan of 1999, the Official Regulations of 2000, and the decision of the Constitutional Supreme Jury of Ecuador in 2001;
- strengthening of the decision-making capacity of local environmental and development authorities;
- increased decision-making powers for local fishing cooperatives;
- effective participation of local fishing cooperatives in the use and management of fisheries resources;

- a substantial increase in funds resulting from decentralization of taxation; i.e., the national park authorities are empowered to collect, administer, and distribute tax revenues from tourist fees to finance the marine reserve's management plan;
- clarity on the scope of the provincial and conservation bodies' authority and action; i.e., the GNP now shares jurisdiction over the marine area with the fishing and military authorities, and must respect decisions on development activities made by the appropriate regulatory body;
- a significant reduction in the rate of population growth, because of restrictions on immigration;
- greater local control over external public and private interests seeking to exploit tourism and fishing resources.

The degree of decentralization achieved through the Special Law is unprecedented in the country and is especially significant because the island population is so small and has very little political influence. The GRM provides a significant example of institutionalized participatory management and political and legal reform in a protected area governance system.

Steps taken to improve governance

Legitimacy and Voice

Responsiveness to Power Sharing: The efforts of stakeholders and protected area authorities led to legal and political reform in the GMR governance system. Political support from the highest political level was obtained on critical issues:

- The use of a multi-party collaborative process to revise the GMR's management plan and design the Special Law.
- The passing of Special Law. Legislation was created to clarify the legal regime governing the entire island territory, build local management capacity, and establish principles of sustainable development.
- The appointment of a mediator (the Ministry of the Environment) acceptable to all stakeholders to facilitate the designing of the Special Law.
- The exclusion of the mainland commercial fishing sector from the multi-party processes.

Effective Consensus Decisions: stakeholders involved in the formation of the GMR have taken a number of steps to improve their consensus decisions:

- To resolve conflicts, distributional issues such as stakeholder power, and the costs and benefits of sustainable resource use have been addressed. One of the results was the exclusion of the mainland commercial fishing sector that might have used its economic power and political influence to derail the proceedings. Conflict resolution has focused on the negotiation of "needs," rather than "interests," among groups and institutions resident in the islands, which shifted discussion toward common "problems."
- Impartial, skilled facilitators were used to make the participatory process for revising the GMR management plan more effective.
- A variety of participatory research methods have been used to allow participants to visualize complex issues through the use of simple techniques such as Venn diagrams, seasonal calendars, mapping, etc.

- There is an imbedded incentive for the JMP to reach consensus on its technical proposals and avoid delays. If the JMP cannot obtain consensus, the AIM will make its own decision.

Effective Representation of Stakeholder Interests: There has been many aspects of the participatory management approach in the GMR that have provided effective stakeholder representation:

- The site for the first multi-party meeting to discuss the revision of the GMR management plan took place on one of the Galapagos islands, rather than in a provincial or national capital.
 - The use of “participant” and “observer” status at the multi-party meetings gave the same level of importance to all participants and local users, and it allowed their voices to be heard by local and national authorities.
 - The Grupo Nucleo’s membership was chosen by a broad spectrum of stakeholders, and represented many interests.
 - The government commission to design the Special Law has broad sectoral representation.
 - The JNP and AIM represent a wide range of stakeholder interests.
- **Strengthening Stakeholder Participation:** fostering local participation has been a constant priority since 1996. New working relations have been forged and recognition has been given to local groups as legitimate stakeholders. The participatory process that revised the GMR’s Management Plan empowered and supported marginalized stakeholders.

Accountability

Appropriate Roles and Responsibilities: The JMP is kept accountable to the inter-institutional AIM by having to reach consensus on technical proposals in a reasonable amount of time. If an unacceptable delay is occurring, the AIM has the power to make a decision on the proposal on its own accord.

Performance

- **Cost Effectiveness and Efficiency:** During the revision of the GMR’s management plan, preparation of documents beforehand (e.g. summaries, interpretations of technical data, proposals), and recruitment of technical support improved the effectiveness and efficiency of meetings. As well, to carry on the revisions, there was an effective delegation of responsibilities. A task force was appointed (i.e. the Grupo Nucleo) which provided the necessary leadership, focus and energy.
- **Sufficient Capacity:** The processes received support from international conservation interests. As well, expertise in conflict resolution, facilitation and technical fields was recruited during critical points in the planning processes.
- **Effective Advocacy and Education:** Mobilization and political pressure from local stakeholders and protected area authorities made the GMR a national political priority. Continued advocacy and education ensured the Special Law, the GMR management plan and the Official Regulations all established participatory management in the GMR.

Fairness

- **Equitable use of Governing Instruments:** The new management plan for the GMR and the Special Law have been established with the input of a broad spectrum of stakeholders. With

the exception of the mainland commercial fishing sector, the planned distribution of the costs and benefits associated with the establishment and operation of the GMR should be equitable.

Direction

- **Effective Leadership:** Addressing people's core needs and interests in participatory processes has helped effective leadership to emerge at the community level, e.g., the Grupo Nucleo. This commitment, as well as advocacy efforts, has secured support from leaders in other sectors, including the GNP, technical institutions, conservation organizations, and local and national government.

Adapted From Heylings and Bravo (2000), Oviedo (1999) and Heylings & Cruz (1998)

Clayoquot Sound Central Region Board

Background

Clayoquot Sound is located on the West Coast of Vancouver Island, British Columbia, Canada. It is a region of abundant natural beauty, cultural importance and commercial significance. It is composed of a complex network of undeveloped watersheds, islands, channels, fjords, and old growth forests. It has a total area of 3,500 square kilometres, almost 70% of which is covered in forests. Approximately 35% of the Sound's land area (25% of the total area) is a terrestrial protected area. The protected area forms a reserve linking the interior mountains to the ocean. It includes significant old growth forest, lake and river salmon spawning habitat, rare marine ecosystems and rare plant species.

Clayoquot Sound is also home to the five Central Region Tribes of the Nuu-chah-nulth First Nations who have long demanded recognition of and jurisdiction over their traditional territory, which encompasses all of the Sound.

Until 1994, the history of land use and resource management in Clayoquot Sound was filled with controversy and conflict, primarily involving forests on Crown land. In general, those parties mostly interested in large-scale industrial production of fibre were pitted against others who viewed the forests and forest habitat as irreplaceable sources of ecological, recreational and spiritual values. At the centre of this struggle were the Nuu-chah-nulth First Nations who were contesting the Provincial Government's claim to ownership of Clayoquot's lands and resources. Equally important, the Nuu-chah-nulth were demanding that an equitable share of the economic benefits generated by use of the Sound's resources remain in the local communities.

The crisis came to a head during the summer of 1993. Thousands of people from around the world assembled in Clayoquot to protest continued clear cut logging and, from the environmentalists' point of view, insufficient creation of protected areas as allocated in the Province's Clayoquot Sound Land Use Decision. At the same time, the Nuu-chah-nulth First Nations unleashed a powerful international campaign for greater recognition of their aboriginal rights in land use and resource management decisions.

Faced with a strong environmentalist-First Nation's coalition, the Provincial Government sought to contain the conflict by negotiating an agreement on shared decision making with the Nuu-chah-nulth. The agreement took the form of an Interim Measures Agreement (IMA), which would protect key Nuu-chah-nulth values while broader treaty negotiations were still in process. The IMA mechanism grew out of an earlier inter-institutional review of the treaty process. The

emergence of the IMA strategy was also a response to the growing legal recognition of aboriginal rights to certain land and resource use as enshrined in the Canadian Constitution. The Provincial Government and the Nuu-chah-nulth's hereditary chiefs from the region (the Principals) concluded the Clayoquot Sound IMA in March 1994 after "40 days and 40 nights" of tense, often acrimonious negotiations.

Continuous pressure from the chiefs and environmentalists ensured that the IMA contained measures to strengthen the First Nation's economic development and the protection of ecological and First Nation's values in resource management. Two key achievements were the establishment of an economic development fund for the Nuu-chah-nulth, and the creation of a joint decision-making process for the management of all land and resources in the region. The Principals created the Clayoquot Sound Central Region Board (CRB) as the body responsible for administering the implementation of this shared management process. They forged a mandate for the Board, which prioritized the conservation of ecological values, the diversification of the local economy and the protection of Nuu-chah-nulth socio-economic and cultural interests. The Board's main vehicle for implementing its mandate was through the Province's referral process for reviewing resource use applications.

Since the CRB was created through an agreement with the Provincial Government (i.e. a section of the IMA), its authority rests on a policy and political base, not a legal one.

The CRB was composed of five aboriginal representatives (one from each of the five Central Region Tribes), and five representatives appointed by the Province. It also had two co-chairs, one from the Nuu-chah-nulth and one from the provincial government. The CRB had a three-member secretariat: a director, one secretary and one research coordinator/analyst.

The CRB has three key sources of power:

1. Review of critical documents related to Clayoquot Sound:

The Board has the right to review any plan, application, permit, decision, report or recommendation relating to resource management or land use affecting Clayoquot Sound. The Board's responsibility is to reach a consensus on what action to take on the document within 30 days of receiving it. One of three actions can be taken: accept, propose modifications to, or recommend rejection of the document. The sponsor of the document, i.e. a Ministry, agency, or panel, then has another 30 days to implement the Board's decision (modifications to or rejection of the document) to the Board's satisfaction.

2. Right to refer non-compliance to higher joint governance bodies.

If the Board is not satisfied with the sponsors' response to its recommendations, the Board has the right to refer its decisions to the Provincial Cabinet. If this referral to Cabinet creates a disagreement between the Board and the Cabinet, the hereditary Chiefs of the Nuu-chah-nulth Central Region Tribes can invoke their own overarching right to convene a Central Region Resource Council composed of the Chiefs and Ministers of British Columbia to try to settle the dispute. The Government of B.C. can also refer disputes to the Council. Considering that the Board is composed of a number of the hereditary Chiefs, and/or aspires to act in the Chiefs' interests, the overarching right to convene the Council can also benefit the CRB.

3. Unprecedented access to government information

The Board has unprecedented access to government information. Clause 11 of the second IMA states the policy of the government is to ensure the Board will have access to "sufficient information to make informed decisions."

The rights detailed above set the CRB apart from other Provincial Government-First Nation's-community initiatives, which are essentially advisory in nature.

The Board's first year was rocky. Despite the careful selection of local people to be the five Provincial representatives (people who appeared able and willing to work together), feelings still ran high coming into the first CRB meeting. Its members had little trust in a collaborative process based on negative experiences with similar initiatives in the past. The most apparent tensions existed between some aboriginal and non-aboriginal members, and between environmentalist and those supporting industrial logging. However, the first two CRB co-chairs had experience in co-operative efforts and they commanded significant respect from the membership. The co-chairs were successful in changing the members' attitudes to favour joint problem solving.

With the introduction of the Scientific Panel Recommendations for Sustainable Forest Practices in Clayoquot Sound in July 1995, the Board's policy authority to establish and regulate on-the-ground practices grew. However, Board members quickly found that problems at the operational management level were inextricably linked with broader issues of public policy. Thus, despite its origins as an administrative body, the Board quickly found itself immersed in matters of governance. This, however, led to considerable resistance from the Provincial Government, the major resource corporations and organized labour. As Board operations continued to open up decision-making and policy formation processes to more meaningful public involvement, the trio increasingly perceived the CRB as a threat to their power and influence. Consequently, they erected considerable barriers to the implementation of the Board's mandate and precipitated a struggle to define the nature of the CRB's role.

The Provincial Government initially tried to relegate the role of the CRB to that of a "rubber stamp" by putting the Board at the end of the referral process. In this position, the Board found it difficult to exert its influence: it ended up prolonging reviews even further in the final stages when time and cost pressures were already running high for the applicant. In response, the Board repositioned itself in the referral process. According to interviewees, shortly after the Board began operating it informed the government – principally the Ministry of Forests – that it was to be engaged at different points early in the referral process. This was to ensure that issues of concern to the Board could be raised and responded to in a timely manner. This strategy set the Board apart from other community resource or protected area boards. By inserting itself in the initial assessment stages for proposals, the CRB has been able to more effectively influence outcomes.

To the present, much of the CRB's time and resources has been dedicated to overcoming resistance from these powerful stakeholders, rather than to expanding the benefits of a committed partnership. Despite considerable obstacles, the CRB has made considerable achievements in the following areas:

Provided ideas for resource management policy and practice.

The Board's operations and experiences has provided practical ideas and timely input to policy makers and practitioners to better address complex issues such as preserving ecological integrity, protecting First Nation's aboriginal rights and promoting community economic development. For example, the Board has played a central role in establishing joint policies with three Provincial Ministries to expedite the review process without sacrificing community and ecological values.

The Board has used its mandate to encourage stakeholders to learn from each other and find a balance between traditional values of economic efficiency and investor security with more qualitative values emphasizing resilience, stability, social equity, joint learning and flexible solutions. Specifically, the Board has worked with parties to incorporate these values into a combination of formal property rights and procedural assurances governing changes to those property rights. In this way, the Board has reduced uncertainty for stakeholders by creating a consistent and transparent decision-making process.

The Board's success at organizing and using collaborative forums has allowed it to be a policy broker and policy maker for the government. Its participatory form of governance has provided authorities with a potential model for future regional governance, based on a treaty in the area. This has increased the Board's credibility and influence.

Generated social stability and mutual benefits.

The Board's emphasis on multi-party dialogue and collaboration has yielded many joint benefits in the short term. The mass protests and social upheaval over logging issues that characterized the past has not occurred with the Board process in place. Key to maintaining this peace has been the Board's commitment to steadily improving the complex implementation of the Scientific Panel Recommendations in watershed planning and permit review.

The CRB has also provided the region with a stable institutional presence to resolve differences over land and resource management during the transitional period to a treaty with the Nuu-chah-nulth. This role has strengthened the Board political and policy basis of authority.

Provided local capacity building.

The Board's operations and activities have contributed significantly to local capacity building in three ways. First, they have increased local technical knowledge related to resource management issues. Second, they have strengthened Board and community members' capacity to work collaboratively to resolve problems. This is based on the building of positive social relations and use of effectively structured dialogues. Third, they have fostered leadership qualities and skills among younger aboriginal and non-aboriginal residents. Thus, the CRB's work is having a profound long-term effect: it is helping to create a bank of technical, process and leadership skills, which the community and government can draw upon for future use.

Provided a relatively low-cost process and policy option.

The money spent directly on the CRB process is minor when compared to funding for other programs or activities in Clayoquot Sound. Moreover, the CRB's operating cost seems reasonable when compared to expenses the government could have incurred using other policy alternatives in Clayoquot Sound, e.g. large, interest-based round tables, continued litigation, prosecution of protesters or the creation of a new park structure.

Provided leadership:

The Board has supported initiatives to create and realize a shared vision for social, ecological and economic sustainability in Clayoquot Sound. For example, it provided significant support to the initiative for having Clayoquot Sound designated as a United Nations Educational Scientific Cultural Organization (UNESCO) Biosphere Reserve. This designation was achieved in January, 2000.

The Board's experience also reveals that ecological and social values can be enhanced as long as decision-making power is exercised at both the operational management, and higher governance level.

The IMA and the Board's mandate were renewed for a second time in March, 2000. The CRB will continue to function until the Nuu-chah-nulth First Nations reach a final treaty agreement with the Governments of British Columbia and Canada. A treaty will usher in new forms of governance for Clayoquot Sound and the region.

Steps taken to improve governance

Legitimacy and Voice

Responsiveness to Power Sharing: The Provincial Government demonstrated resistance to power sharing by attempting to marginalize the CRB in the referral process. The Board responded by repositioning itself at the start of the process to become more influential in re-designing and deciding on proposals. The Board has also used the broader negotiations on treaty rights for the Nuu-chah-nulth to leverage its legitimacy in the eyes of the Province.

Effective Consensus Decisions: In order to gain a share of decision-making power with the Provincial Government, the Board had to forge a unified voice among its disparate members. The CRB's first co-chairs moved swiftly to create a collaborative culture by employing four decisive tactics:

- Create a breathing space.
The co-chairs worked with key government officials to obtain a general agreement to hold off from bringing specific decisions in front of the Board. As a result, CRB members gained a short breathing space of a couple of months during which they began forming a collective vision of the Board's role and they started training in consensus decision-making.
- Foster team building.
The co-chairs moved quickly to build cooperation and trust among CRB members. They organized educational sessions to increase understanding of and appreciation for the consensus decision-making process and First Nation's perspectives. These early sessions were key to breaking down entrenched patterns of isolation and misunderstanding between Clayoquot's aboriginal and non-aboriginal people.
- Establish a "level playing field".
The Board was constituted to make decisions by majority vote. Although a double majority provision (i.e. for a decision to pass it required, not only the majority of the 10 Board members, but also the majority of the First Nation's representatives, at least 3 of the 5) gave the First Nation's an important leverage with the Province, the co-chairs saw the majority voting system as potentially aggravating old, divisive patterns: interests could be excluded from or ignored in final decisions. Thus, the co-chairs worked with CRB members and the Nuu-chah-nulth leadership to adopt consensus as the Board's decision-making rule.
- Build a solid track record.
The co-chairs' focused attention on meeting the 30-day time line for permit review set out in the Board's constitution (the IMA). In so doing, they helped Board members focus their energy on meeting a key performance indicator and gain confidence in working together.

To improve the effectiveness of its consensus decisions, the CRB has also encouraged a culture of experimentation and creativity in its own meetings and in the forums it has sponsored. This has enabled stakeholders to overcome complex and often long-standing problems.

Continuity in Membership of the Governing Body: The First Nation's members of the CRB remained almost entirely constant in the first 4 years, encouraging the provincial representatives to begin maintaining their memberships for longer.

Strong Commitment to Multi-party Processes: The Board used its mandate to create and maintain sustainable land and resource use through cooperative, multi-party initiatives. Thus the Board employed collaborative mechanisms in its review of resource use permits, planning, and information exchange forums.

Support for Building Stakeholder Organizational Capacity: The Board has consistently applied pressure on the Provincial Government and other organizations to continue building First Nation's capacity in Clayoquot Sound. The Board also involves First Nation's community members in their administrative work.

In part, the Board supported the Biosphere designation process in order to have more funds available in Clayoquot Sound to support the growth of local organizational capacity. It is foreseen that the Board will be involved with decisions on the allocation of money from the Biosphere Trust Fund.

Accountability

Public Institutions of Accountability: Since the CRB receives funding from the provincial government, it is subject to all relevant provincial institutions of accountability, including performance standards, financial and administrative audits, etc.

Proper Access to Information: The CRB has taken two steps to improve its access to technical and policy information:

➤ **Information protocol:**

The CRB established a formal agreement on how to collect, process and share technical and general information. Criteria and standards for data quantity and quality, information collection, processing and dissemination were included. This has led to high quality research and decision-making, coordinated actions, efficient use of resources and trust building.

➤ **Established right:**

Early in its existence, the CRB was experiencing difficulties receiving information from the Ministry of Forests, forestry corporations and other government agencies. During the negotiations to extend the CRB's existence and mandate, the Board was successful at including a provision in the new agreement which guaranteed access to government information.

To guarantee transparency of the Board's operations and decision-making process, Board meetings are open to the public, and minutes of meetings are always taken and available to the public.

Effective Civil Society and the Media: Resident and international environmental groups have continued to monitor resource use in Clayoquot Sound, and criticize the government, corporations and, when justified, the CRB. The Board has given access to these groups and the media to its meetings and records.

Performance

Cost Effectiveness and Efficiency: To cope with its capacity limitations and improve its effectiveness, the Board has been creating guidelines to streamline its referral process. The guidelines are elaborated as working protocols to improve coordination and cooperation among the relevant parties when proposals are submitted to the Board. The Board secretariat has also been preparing and distributing documents in advance of meetings (e.g. summaries, interpretations of technical data, proposals), and bringing in required technical support to improve the effectiveness and efficiency of CRB meetings.

Through good practice and ideas for innovation, the Board's secretariat has convinced the Province to devolve greater financial responsibilities. This has increased the efficiency of the Board's operations.

Effective Advocacy and Education: The Board has continually identified and used "champions" within provincial and First Nation's power structures to leverage its ideas and gain support. It has also successfully lobbied to have itself recognized as a vital institutional bridge to a permanent treaty between the Governments of British Columbia and Canada, and the Nuu-chah-nulth First Nations. This has strengthened its political basis of existence.

Balanced and Responsive Program Design: As the Board's technical knowledge improved with experience, it began to put more emphasis on long-range strategic planning; The Board brought in outside expertise in this area.

Policy Learning: The Board's secretariat has ensured that lessons learned from the Board's experiences have been recorded and used in the preparation of documents for subsequent meetings. This has been particularly important for deepening the comprehension and speed of understanding of technical issues.

Effective Coordination: Through concentrated, continual efforts, the CRB have been successful at coordinating many inter-sectoral initiatives (e.g. watershed restoration and protection). The Board has used its mandate to promote sustainable development to convince many government departments, businesses and resource user groups that a broad ecosystem approach is required to resolve long-standing disputes and launch progressive initiatives.

Robustness: The Board successfully established itself as an essential institutional bridge to a new form of regional governance based on a future treaty in Clayoquot Sound. This has strengthened the CRB's political and policy base of authority.

The Board also carried out a strategic planning process that identified areas requiring improvement, sources of threats to its operations and ideas for overcoming these. Most of the responses to threats focused on strengthening local alliances and collaborative initiatives.

Direction

Effective Leadership: The CRB's co-chairs have provided strong leadership in the following ways:

➤ **Dedication:**

A strong commitment to the on-going communication demands in leading a collaborative process is essential. A good deal of the CRB's success has, to a large degree, been attributable to the dedication of at least one of the co-chairs to stay on top of CRB affairs and foster positive working relationships both internally and externally. Given that leaders are frequently engaged in other processes, there is the danger of a breakdown in communication and/or work burn-out. Coordination demands and the often rapid unfolding of events has meant that, over the years, the co-chairs have had to devote a major portion of their working days to ensuring that Board issues have been adequately dealt with.

➤ **Style:**

The co-chairs leadership styles have matched where the CRB has been in terms of its evolution. For example, the consensus-building skills of the first co-chairs were crucial to the building of trust and positive working relations amongst new CRB members. In later years, a new provincial and Nuu-chah-nulth co-chair brought skills that helped the Board move more rapidly through its agenda and to complete special projects, e.g. skills to focus discussions, create efficient topic closure, delegate and follow up on tasks, etc.

➤ Substantive Knowledge:

The co-chairs' understanding of the issues and policy environment has been critical. It has given the co-chairs the ability to provide informed perspectives to help guide and focus CRB deliberations. It has also allowed the co-chairs to better represent the CRB in discussions with the Provincial and First Nation's governments.

The Board also provided significant leadership by supporting the process that designated Clayoquot Sound as a UNESCO Biosphere Reserve.

Clear Values: The Board ensures that First Nations and local values are brought to bear in its decisions and operations. When considering issues, the CRB purposefully applies values based on the Nuu-chah-nulth's concept of Hishuk ish ts'awalk, or "everything is one".

- **Inspiring Vision:** In response to poor understanding of the Board's role and activities on the part of the Board's constituencies, the CRB undertook a strategic planning exercise to clarify its values, roles and responsibilities, and to formulate a vision for its role in the evolution of Clayoquot Sound.

Adapted from Abrams (2000) and Clayoquot Sound Central Region Board (2002)

Soufriere Marine Management Area

Background

The Soufriere Marine Management Area (SMMA) was established as a participatory institution for the management of the coastal and marine resources of the Soufriere region, on the southwest coast of St. Lucia.

In the late 1980s and early 1990s, Soufriere, on the west coast of St. Lucia, faced multiple, complex environmental problems. Negative impacts and intense conflicts were resulting from a multiplicity of uses and a growing demand for scarce and fragile resources. Most of the conflicts flared up among users of the resources, e.g. commercial dive operators and fishers over use and impact on coral reefs, local community and hoteliers over the access to beaches, fishers and hoteliers over the use of the beaches for fishing or tourism/recreation activities.

In 1992, in the face of escalating conflicts and resource degradation, community groups, national authorities, conservation interests and international funders agreed to launch a participatory planning and conflict resolution process. A negotiation framework was established, the mapping of marine resource use and locations of conflict was carried out, and the easier issues were initially addressed. Thornier issues were approached through consultations conducted outside of the formal meetings with particular groups who were involved in areas of intense conflict.

In March 1993, the Department of Fisheries presented a multi-party forum with draft recommendations on zoning and regulations. These were discussed, modified and approved. At the conclusion of the meeting, a small working group was mandated to examine in greater detail outstanding matters, to conduct negotiation with all concerned parties, and to formulate recommendations that would be contained in an agreement. The draft agreement was to be submitted to all participants for final review.

The final agreement that emerged from this participatory processes contained details of a proposed Zoning Agreement, legal provisions needed to manage individual activities such as fishing and diving, demarcation requirements, materials for user information, and training needs. Details of the proposed implementation process were also outlined (including institutional

arrangements, legal instruments, infrastructure, financing, staffing, and avenues for community participation).

The proposed area was called the Soufriere Marine Management Area (SMMA), to be managed by the Soufriere Foundation (a community-based non-governmental organization involved with facilitating development activities in Soufriere). Technical support would come from the Department of Fisheries, under the guidance of a 13 member Technical Advisory Committee (TAC) comprising key management authorities and user groups: Department of Fisheries, Soufriere Foundation, Air and Sea Ports Authority, fishermen's representatives, Ministries of Planning and Tourism, Parks and Beaches Commission, St. Lucia Tourist Board, Marine Police Unit, yachting representative, Customs Department, dive association, and water taxi association. The Soufriere Foundation (which had been involved since the first participatory process) was selected to serve as secretary to the TAC and the Department of Fisheries was designated as the TAC's Chair. The agreement was submitted to the St. Lucian Cabinet and approved in early 1994.

The first meeting of the TAC prioritized the creation of detailed operational mechanisms for the Agreement to ensure effective implementation and operation of the SMMA. A Technical Working group (TWG) was created, composed of the SMMA Manager, the Department of Fisheries, a technical officer from the Caribbean Natural Resources Institute (CANARI, a local non-governmental organization), with other technical experts used as necessary.

The TWG generated workplans and budgetary information for the approval of the TAC, and monitored the implementation process. Based on the recommendation of the TWG, a three-day, multi-stakeholder meeting took place in September 1994 to create a management plan for the SMMA.

The management plan produced clearly defined the institutional arrangements and responsibilities, revenue sources (including specific fees to be charged for various categories of users, systems of fee payment and collection), job responsibilities and skills required for four wardens and the SMMA manager, specifics of infrastructure needed (demarcation and mooring buoys, zoning signs), systems for monitoring the resource base and levels of resource use, surveillance, maintenance, and public awareness needs.

Various funding agencies and conservation associations provided resources to the SMAA based on the management plan. It was believed that this initial inflow of external funding would allow the SMMA to establish a firm foundation upon which user fees, purchase of souvenirs, and other donations would make it self-sustaining.

The SMMA was officially launched in June of 1995. The event took place in Soufriere and highlighted the objectives and operations within the SMMA.

Since 1995, the TAC has met regularly each quarter and has grown from its original 13 to 19 when more stakeholders from the tourism sector were added.

A September 1995 assessment of communication within the SMMA and a July 1996 survey of perceptions of the SMMA revealed that poor information flows were contributing to a lack of compliance with the Area's regulations and to a mistrust of authorities and their motives by members of the wider Soufriere and St. Lucia communities. In particular there existed:

- a lack of understanding of the SMMA and its purpose and goals;
- a lack of understanding of the need for and significance of boundaries within the SMMA;
- poor information flows between the management of the SMMA and the surrounding communities;
- insufficient flow of scientific and research data;

In response, a communication plan was developed for the SMMA. The plan recommended steps and approaches (target audiences, messages, media and/or actions) to address the identified communication gaps. Unfortunately, financial constraints have prevented the full implementation of the plan and key sectors remain unsupportive of the objectives of the SMMA and are not in full compliance with its rules and regulations. These include some user groups, relevant government agencies (customs, immigration, district and marine police) and the general public.

In 1997 and early 1998, the SMMA went through a period of relative instability. Some provisions of the original agreement were being questioned, and the parties involved were expressing conflicting needs and demands. To a large extent, these problems confirmed that the institutional arrangements originally put in place were not fully adequate. In response the TAC asked CANARI to facilitate an institutional review.

The review discovered the following problems:

- neither the original agreement nor the 1994 management plan defined the purpose and goals of the SMMA. Further, it appeared that there has never been any clear consensus on the matter. This lack of common understanding and vision is likely to have contributed substantially to the disagreements and misunderstandings that have occurred among the different stakeholders;
- the Fisheries Act and Cabinet conclusions did not provide an adequate legislative basis for management and regulation;
- the agreement was meant to address conflicts through the zoning of uses. However, the agreement is not a formal contract and therefore not binding upon the parties involved;
- a lack of established structures to review and revise the agreement have invited ad hoc proposals and adjustments;
- gaps in the policy framework have led stakeholder groups to increasingly turn to the political directorate for assistance in resolving conflicts;
- the management plan of the SMMA, although approved in principle by Cabinet in 1995, was never regularly used as a management tool, and not all members of the TAC were fully familiar with its contents;
- The TAC has evolved into a body that is too large to function effectively in the role it was originally given. It has also proven to be an ineffective forum to equitable stakeholder representation, as indicated by the many negotiations that have taken place among various parties outside of it;
- The internal changes of the Soufriere Foundation have upset the balance between government and the community in the management of the SMMA, and there is some uncertainty about roles of both the Department of Fisheries and the Soufriere Foundation;
- The SMMA has affected a number of user groups, both negatively and positively, to differing extents, but there is no process to weigh and balance these against environmental impacts in order to make creative management decisions.

Steps taken to improve governance

Based on the conclusions of the institutional review process, the SMMA stakeholders developed a consensus on how the SMMA should be structured and should operate. These decisions, and other steps the stakeholders have taken to improve their governance of the SMMA are incorporated in the following list.

Legitimacy and voice

Effective Consensus Decisions: The SMMA has employed the following methods to promote effective consensus decision making and conflict management:

- Focused agendas.
- High level of transparency.
- Use of skilled facilitators and technical expertise.

Strong Commitment to Multi-party Processes:

- Key to the SMMA's success in managing conflicts on an on-going basis is the very close contact which exists among user groups, and between them and SMMA management. The SMMA plays the role of a facilitating link between the user groups, not an enforcement agency.
- The SMMA is recommending that active collaboration with relevant institutions and provisions for ongoing stakeholder consultation in decision making be continued. Thus, new institutional arrangements will establish a Stakeholder Committee, a broad-based advisory body which will provide a forum for all stakeholders to express their needs, views and concerns. This Committee will meet at least once per quarter.

Support for Building Stakeholder Organizational Capacity:

- The SMMA has assisted groups in formalizing or vocalizing its concerns. However, the SMMA has prioritized further support to strengthen local, self-regulating institutions (e.g. fishing co-ops and sport associations). The SMMA also recognizes it must maintain transparency and good communication to ensure it is perceived as fair when provided targeted support.

Effective Representation of Stakeholder Interests: The SMMA has taken the following steps to ensure effective representation of stakeholder interests:

- It has maintained broad-based participatory processes during its creation and subsequent operations.
- Dialogue is based on the direct participation of resource users, since community institutions do not always provide adequate representation and because interests are often different for each individual.
- There is direct communication among stakeholder groups, e.g. divers directly addressing conflicting interests to fishers.

Strong Participation of Stakeholders:

- The SMAA has established a high level of transparency and focused agenda. This is believed to be the reason that most of the stakeholder meetings are very well attended. There are, however, some problems with continuity by some members, causing misrepresentation of relevant sectors at times (e.g. the reef fishermen).

Accountability

Sufficient Clarity:

- Initially the SMMA was designed too much around certain leadership personalities and thus failed to clearly define the management responsibilities of the relevant institutions, which resulted in a "responsibility vacuum". However, the SMMA has created a new agreement, negotiated among the members of the TAC, which defines the vision, mission, objectives, regulations, zoning, programs and institutional arrangements of the SMMA.

- The SMMA is recommending that government agencies retain their statutory authority and responsibilities when operating within or providing support to the SMMA.
- Since enforcement of regulations within the SMMA remains an important concern, more detailed discussions will soon be held on this issue between the major parties involved to determine a structure for law enforcement that addresses the current problems, specifies respective roles and authorities, and identifies additional resources that may be required to build sufficient capacity.

Strong Public Institutions of Accountability:

- The SMMA has brought in external evaluators to assess how well they are communicating with stakeholders and the larger public.
- The SMMA has brought in external support to conduct an institutional review.

Proper Access to Information:

- The SMMA has made significant progress in improving communication between stakeholders, community groups and other involved parties. They have done this by balancing enforcement of rules and regulations with public relations, establishing a newsletter, internet web-site, etc. However, the implementation of the communications plan and sensitization by enforcement staff for user groups remain high priorities for the SMMA.
- The SMMA has maintained high transparency at its meetings.

Performance

Cost Effectiveness and Efficiency: The SMMA has made extensive use of working groups to increase the effectiveness and efficiency of its meetings and carrying out its responsibilities, e.g. the TAC and TWG. However, the SMMA is beginning to reduce the amount of working groups since it has created too much demand on members and the secretariat.

Further, in order to increase the efficiency, effectiveness and quality of their management, the SMMA has developed a Research and Monitoring Framework. The framework provides guidance on what the design and conduct of research and monitoring programs and activities should be. The framework is to be used by interested parties submitting proposals to work within the SMMA.

- **Sufficient Capacity:** the SMMA has elaborated detailed funding and revenue-generating strategies that aim to increase its self-sufficiency.

Policy Learning: the SMMA has exhibited extensive policy learning by using the results of the institutional review and communications assessment to conduct major changes to the governance system and operations.

Responsiveness: The SMMA has a strong ability to respond to constructive criticism as demonstrated by the changes it is making based on the results of the institutional review and communications evaluation.

Internal Evaluations: The SMMA brought in external evaluators to assess their institutional situation and the strength of their communication operations.

Robustness: the SMMA is undergoing a major change in its governance. The coordination of management for the SMMA will become the responsibility of a new organization, called the Soufriere Marine Management Association, a not-for-profit company created under the Companies Act. This Association will be comprised of all the agencies which have a demonstrated management function in the SMMA. Its members will initially be five community and non-governmental organizations, five government agencies (the Ministries of

Planning, Fisheries and Tourism, the National Conservation Commission, and the Air and Sea Ports Authority), and one or two individuals nominated by the District Representative and the Cabinet of Ministers.

Unlike the previous governing/management body for the SMMA, the new Soufriere Marine Management Association will have legal standing for its mandate. The Soufriere Marine Management Association will be made a Local Fisheries Management Authority under the provisions of the Fisheries Act.

Direction

- **Collaborative Learning:** The SMMA has used a number of tools to promote the sharing of ideas among stakeholders and the general public (e.g. newsletter, website).

Clear Policy Direction:

- the SMMA has agreed that its management objectives and programs be oriented towards development and promotion.

Inspiring Vision:

- the new Soufriere Marine Management Association has taken steps to ensure it is clearly guided in its operations and decision-making. It has generated a clear mission statement that includes management of marine and coastal resources in the Soufriere area for sustainable use, equitable distribution of benefits, participation of stakeholders, and ongoing management of conflicts:

“The mission of the Soufriere Marine Management Area is to contribute to national and local development, particularly in the fisheries and tourism sectors through management of the Soufriere coastal zone based on the principles of sustainable use, cooperation among resource users, institutional collaboration, active and enlightened participation, and equitable sharing of benefits and responsibilities among stakeholders.”

- **Broad Perspective on Good Governance:** The SMMA is taking steps to improve its communication and sharing of perspectives with its stakeholder and the broader public.

*Adapted from Soufriere Marine Management Association (2002) website:
<http://www.smma.org.lc/tecstuff/tecindex.htm>*

Gwaii Haanas Protected Area

Background

Gwaii Haanas lies in the southern part of Haida Gwaii/Queen Charlotte Islands, 130 kilometres off the coast of British Columbia, Canada and 640 kilometres north of Vancouver. It is a wild and remote area made up of some 138 islands that stretch 90 kilometres from north to south. It has a rich natural and cultural heritage, based on more than ten thousand years of connection between land, sea and the Haida Nation culture.

In 1974, controversy over the future of what would become the Gwaii Haanas protected area began with the advent of plans for the logging of the area, and the “South Moresby Wilderness Proposal” was put forward in an effort to prevent destruction of the area through the exploitation of its natural resources. In 1985, the Haida First Nation designated Gwaii Haanas to be a “Haida Heritage Site.”

Logging continued in the area in the face of legal and political controversy until July of 1987, when Canada and British Columbia signed the South Moresby Memorandum of Understanding. This memorandum led, a year later, to the South Moresby Agreement and the commitment to protect Gwaii Haanas through the designation of a national park reserve. This agreement committed \$106 million to the development of national parks for both the marine and terrestrial areas; the compensation of forestry interests; the creation of a regional economic development fund; and a forest replacement account.

While negotiations between Canada and the Haida Nation progressed, temporary measures were put in place to facilitate co-operative management. In January of 1993, the Gwaii Haanas Agreement was signed. The agreement was innovative in a key aspect: it created an implicit agreement to have dual jurisdiction over the land. It set aside the ownership question pending a negotiated treaty settlement, and established common objectives for the care, protection and use of Gwaii Haanas. The agreement was written on paper as two parallel columns, giving the Haida Nation and the Government of Canada equal standing as claimants to the land and resources. This institutionalized the idea of “agreeing to disagree.”

The agreement recognized the protected area region claimed by the Haida Nation as a Haida Heritage Site and by Canada as a National Park Reserve. In this fashion, the agreement protects the area and respects the interests of both parties. Both parties also agreed that long-term protective measures were essential to safeguard Gwaii Haanas National Park Reserve and Haida Heritage Site as one of the world’s great natural and cultural treasures.

The Gwaii Haanas Agreement took almost six years to negotiate, and is a significant milestone. It stipulates the contents of a management plan, and provides significant detail on a variety of issues, including access, tourism operations, employment opportunities, cultural preservation, and allowable land and resource use by the Haida Nation.

The Agreement also provides the framework for the Haida and Canada to make recommendations both to the Government of Canada and the Council of the Haida Nation on matters such as planning, management and operation. The Gwaii Haanas Archipelago Management Board (AMB) was established to do this. It operates according to a consensus decision-making process, and has two representatives from the Haida and two from Parks Canada. The Haida and Parks Canada select on co-chair each from these 4 members. The Board members are responsible to their respective First Nation/Canadian government agencies to ensure that legislation, policies and agreements are adhered to.

The AMB presents its consensus decisions to the Council of the Haida Nation and the Government of Canada as recommendations for approval. In the event of a clear and final disagreement of AMB members on a matter, related decisions and any actions arising will be postponed, and will be referred to the Council of the Haida Nation and to the Government of Canada to attempt to reach agreement on the matter in good faith. The parties can request the assistance of an agreed neutral third party(ies) in attempting to reach an agreement.

Over the years, the Haida and non-aboriginal communities have found areas of common interest that have strengthened the legitimacy of the protected area. A defining moment in creating a closer link between the two communities was when the Council of the Haida Nation, before fully agreeing to see the islands’ South Moresby archipelago become a national park reserve, held out for something for the islands’ loggers. It was the establishment of a trust fund that would benefit all islanders, not just the Haida people, and not just recreational users and environmentalists. It was a very important moment when people realized that by working together and staying committed to working together, all would benefit.

The change of alliance on the part of the loggers and their union came about as they became increasingly apparent how severely their employers, a multi-national forestry corporation, were exploiting them. The loggers also witnessed how the provincial government supported the forestry corporation. These factors forced the loggers to challenge their old belief system: whom they could trust, and with whom they could advance their interests. Their minds were opened to considering the Haida as partners.

Steps taken to improve governance

Legitimacy and Voice

Effective Consensus Decisions: The Haida Nation and the Government of Canada almost always approve the AMB's recommendations. Thus, the AMB has a strong incentive to produce strong consensus decisions.

Strong Credibility: The AMB has gained strong credibility in the eyes of stakeholders and the Haida Nation through its participatory decision-making process, and the commitment of the Haida Nation to collaborative problem-solving.

Support for Building Stakeholder Organizational Capacity: Money available for the Reserve are used in part, to develop Haida organizational capacity.

Effective Representation of Stakeholder Interests: The AMB is in close contact with its constituencies, and therefore, able to represent them effectively.

Accountability

Sufficient Clarity: the management plan for Gwaii Haanas provides clarity in roles, responsibilities and accountabilities.

Strong Public Institutions of Accountability: the AMB is directly accountable to the governing bodies of both key stakeholders, the Haida Nation and Canada.

Proper Access to Information: The AMB has a high degree of transparency through the use of newsletters, meetings and websites.

Performance

Sufficient Capacity: the Government of Canada provides funding for the AMB and Gwaii Haanas.

Robustness: the Agreement is an innovative example of how a non-legal policy/political document can provide greater flexibility for accommodating interests than legislation act. The strength of the Agreement is based on the collaborative effort and advocacy that went into its creation, and the fact that First Nations in Canada have constitutionally protected rights to certain aspects of land and resource use. The Agreement has proved durable.

Adapted from Parks Canada (2002)

Muskwa-Kechika Management Area and Advisory Board

Background

The Muskwa-Kechika Management Area is an area of unique wilderness in northeastern British Columbia (B.C.), Canada that is endowed with a globally significant abundance and diversity of wildlife. It is a region of extensive boreal plains, muskeg and mountains. The 6.3 million hectare Muskwa-Kechika Management Area (M-KMA) remains one of North America's last wilderness spots south of the 60th parallel.

During the 1990s, the M-KMA was created out of multi-party participatory land and resource planning tables, where the interests of First Nations, conservation, business, government and local communities were represented. A consensus was reached at these tables on land-use in the M-KMA. It was agreed that the M-KMA was unique and should be managed as a special management area which would allow resource development to continue while recognizing, accommodating and protecting important wildlife and environmental values. The tables also recommended that an advisory board be appointed to advise government on management of the area and that a special trust fund be created to support special projects and planning initiatives within the M-KMA.

The management plan for the M-KMA also emerged from the tables. The plan attempts to balance resource management with conservation. More than one million hectares are protected with the creation of 15 protected areas. These areas are surrounded by more than three million hectares of special management zones and 920,000 Special Wildland Zones where wilderness and wildlife habitat will be maintained while resource development such as logging, mineral exploration and mining, and oil and gas exploration and development will be allowed in a way that should be sensitive to wildlife and environmental values. The long-term maintenance of wilderness characteristics, wildlife and its habitat is critical to the social and cultural well being of First Nations and other people in the area. The integration of management activities, especially related to the planning, development and management of road access within the M-KMA is central to achieving this intent. The long-term objective is to return lands to their natural state as development activities are completed.

To ensure that all activities within the planning area remain consistent with the objectives of the management plan, a multi-stakeholder Muskwa-Kechika Advisory Board was appointed by the Premier of B.C. It is comprised of a broad range of interests, including but not limited to: First Nations, environmental, business, labour, and local government. The Advisory Board conducts semi-annual reviews to evaluate how well plan objectives have been achieved and the degree to which local strategic plans have been implemented. The Board publicly reports annually on the results of its reviews of operational activities.

The Muskwa-Kechika Management Area was formalized in 1998 in the Provincial Government's *Muskwa-Kechika Management Area Act*. The Act provides the legal basis for the Muskwa-Kechika Advisory Board, and the M-KMA management plan.

The Act also has an innovative aspect: A trust fund was established entitled the Muskwa-Kechika Trust Fund. The Act defined its purposes and designated the Minister of Environment as the trustee. The provincial government contributes to the Trust Fund annually. Private sector donations to the Trust Fund are encouraged; this allows a company or interest group to "champion" or support a project. Tax receipts can be issued to donors.

Since 1998, the M-K Advisory Board has received donations from a wide range of individuals and/or organizations. The majority has come from natural resource and energy companies. Donations have also been received from conservation associations, local governments and provincial government ministries. These donations have either been directed towards specific projects, or projects that meet the objectives of the M-KMA Act.

The Muskwa-Kechika Advisory Board reviews proposed expenditures from this fund before being recommended to the trustee for approval. The Board established strategic directions and priorities for the funding upon which it would solicit and identify suitable projects. The strategic directions and priorities are:

To support fish, wildlife and wilderness resources of the management area through research and integrated management of natural resource development;

To maintain in perpetuity the diversity and abundance of fish and wildlife species and the ecosystems on which they depend throughout the management area;

To support projects that are incremental to government or third party obligations in the Muskwa-Kechika Management Area;

- To avoid projects that relieve the government from its legislated responsibility to maintain essential programs for the management of resources in the management area.

The Advisory Board also established principles that gave the stakeholders a strong degree of control as to how the funds would be specifically used. To achieve the purposes of the trust, the trustee may make payments out of the trust fund only for one or more of the following in respect of the management area:

- To conserve and enhance biological diversity, fish, fish habitat, wildlife, wildlife habitat and wilderness values;
- To conduct research into wilderness management, fish and wildlife biology and ecology, with emphasis on large predator/prey ecosystems;
- To conduct research into integrated management of wilderness, wildlife, fish, recreation and resource development;
- To support inventories and mapping of wildlife, recreation, range and culture;
- To support planning initiatives regarding wildlife, recreation, parks, access and resource development;
- To involve and train persons from local communities in resource related career opportunities;
- To promote knowledge and awareness of the trust fund, the management area and its wilderness values, by way of promotional, educational or other programs or activities;
- To support enforcement training and activities that serve to ensure compliance with this Act and other relevant enactments;
- To pay reasonable traveling and out of pocket expenses incurred by the advisory board on matters relating to this Act;
- To pay for administration, staffing, services and supplies provided in relation to matters referred to in this section or provided to otherwise manage the trust fund.

It is anticipated that the 2001-2002 budget for the Muskwa-Kechika Trust Fund will be approximately \$2.5 million Canadian dollars.

Steps taken to improve governance

Legitimacy

- **Strong Commitment to Multi-party Processes:** the M-KMA emerged from a multi-party participatory processes supported by the provincial government. This took place over a number of years.
- **Support for Building Stakeholder Organizational Capacity:** The Trust fund will be used to build organizational capacity in First Nations' local institutions and other community groups.
- **Effective Representation of Stakeholder Interests:** The multi-party participatory tables that created the M-KMA represented a broad range of interests. The composition of the Advisory Board also accomplishes this.
- **Strong Participation of Stakeholders:** Decision-making with respect to the spending of the Trust Fund creates a strong incentive for stakeholder to participate in the Advisory Board.

Accountability

- **Sufficient Clarity:** The Act and M-KMA management plan clearly articulate the roles, responsibilities and accountabilities of all stakeholders.
- Strong Public Institutions of Accountability:** Since the M-KMA is established under a provincial Act, all aspects (e.g. the Advisory Board) are subject to provincial institutions of accountability. This includes, courts, financial and administrative audits, ombudsmen, etc.
- Proper Access to Information:** the M-KMA must abide by the provincial governments Access to Information Laws. The Advisory Board can use this law, and its provincial contacts to meet its own information needs.

Performance

- Sufficient Capacity:** The Advisory Board is able to use the Trust Fund to help it carry out operations, projects and maintain its staff.
- Balanced and Responsive Program Design:** the Advisory Board has established strong principles to guide the support it gives to programs through the Trust Fund. It aims to create a balanced, responsive program design by funding these project areas:
- Building an information base
 - Planning
 - Improving management
 - Advancing applied science (research)
 - Promoting knowledge, awareness and involvement
- Robustness:** The M-KMA, its management plan, the Advisory Board and the Trust Fund also stand on a firm legal base as a provincial government Act.

Fairness

- Opportunities:** The Advisory Board is able to use the Trust Fund and its review of land and resource uses to create a variety of opportunities for the interests it represents.

Direction

- **Effective Leadership:** The participatory tables that created the M-KMA demonstrated significant leadership by developing an innovative Trust Fund to be used to further stakeholder interests. The zoning of the area for multiple uses may also prove to be a significant development for accommodating a variety of interests.
- **Clear Policy Direction:** The M-KMA management plan provides clear policy direction, as do the principles guiding the use of the Trust Fund.
- **Clear Values:** The Advisory Board established clear values in its vision statement.

Inspiring Vision: The Advisory Board has created the following vision statement to guide and inspire all parties and the general public:

Vision Statement for the Muskwa-Kechika Advisory Board (Adapted from Muskwa-Kechika Management Area, 2002)

We, the Advisory Board, in partnership with the provincial government, will be stewards of the Muskwa-Kechika Management Area (M-KMA).

We will provide direction and leadership in balancing industrial and other human activity with the sensitive management and protection of a vast and unique natural environment.

We will ensure that the fisheries, wildlife and wilderness values of the M-KMA will be maintained for countless generations. In working toward this vision, the Advisory Board will promote and encourage effective and innovative resource management methods, based on the highest quality of research. Through research and funding activities, we seek world class management, monitoring, and mitigation to minimize the human footprint.

Through educational and promotional activities, the Advisory Board will raise awareness about the M-KMA's globally significant environmental values, aboriginal and non-native inhabitants, and their cultural histories.