



USAID
FROM THE AMERICAN PEOPLE

GUIDELINES FOR LEARNING AND APPLYING THE NATURAL RESOURCE GOVERNANCE TOOL (NRGT) IN LANDSCAPES AND SEASCAPES



June 2015

The authors' views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

Cover: Highland source of vital ecosystem services in Madidi, Bolivia. Photo:WCS



USAID
FROM THE AMERICAN PEOPLE

GUIDELINES FOR LEARNING AND APPLYING THE NATURAL RESOURCE GOVERNANCE TOOL (NRGT) IN LANDSCAPES AND SEASCAPES

June 2015

FOREWORD

During the last decade, the conservation community has made significant progress developing robust methods for monitoring conservation targets (camera trapping, line transects, etc.), threats (ranger patrol/law enforcement monitoring), and livelihoods (modified basic necessities surveys). However, the conservation community has not made as much progress in developing tools for regularly and credibly monitoring and reporting progress on governance systems that ensure sustainable resource use. Effective conservation is founded on effective governance systems that are able to establish and enforce compliance with policies, rules, and regulations that support sustainable use and conservation of natural resources.

To-date there is a lack of simple, low-cost, and replicable ways to measure and understand the strengths and weaknesses of groups with legitimate jurisdiction over the management of natural resources within a given landscape or seascape. Without access to a suitable governance assessment tool, conservation and development practitioners may have no clear sense of the factors most likely to facilitate good governance, and no clear process for identifying how to remediate factors that militate against good governance.

This guide, which has been tested in eleven landscapes, provides one approach to identifying the most important groups with rights to manage natural resources within a landscape or seascape, characterizing a small set of factors believed to be essential elements of good natural resource governance, and assessing the governance strengths and weaknesses of each group. The guide describes an approach and a data collection tool that together constitute a relatively simple, low-cost, expert opinion-based, method for assessing governance strengths and weaknesses and how these change over time.

This guide is offered as a practical approach that is, admittedly, not perfect. User feedback on what works and what does not will help refine the approach.

¹ See for example Mercy Corps <http://www.mercycorps.org/sites/default/files/mcgoodgovernanceguide.pdf> and The World Bank Program on Forests <http://www.profor.info/knowledge/defining-forest-governance-indicators>

ACKNOWLEDGEMENTS

The creation of this guide would not have been possible without the close collaboration and support of multiple organizations and individuals. The USAID, Forestry and Biodiversity Office provided financial and technical support for the creation of the guide as part of the SCAPES program. DAI's CK2C program provided invaluable technical and management support that kept the ball rolling. Dr. Adam Behrendt provided inputs early on in the process that set the stage for the guide's evolution to where it is today. Finally, the nuts and bolts of pulling the guide together, piloting it and presenting it to an international audience was accomplished through a close collaboration between WCS, Pact Inc. and AWF with additional inputs from WWF and FFI. Principal authors include Dr. David Wilkie (WCS) and Paul Cowles (Pact). Appendices and database developers include Dr. David Wilkie, Dr. Michelle Wieland and Diane Detoef of WCS, through the financial support of USAID's CARPE program.

Special thanks to Yale Forestry and Environmental Studies students: Marian Vernon, Melissa Arias, Sarah Tolbert and Hasita Bhammar. Lastly, special thanks to Jennifer Dillard, for her inputs into the guide's design.

Please cite this report as

Wilkie, D., Detoef, D., Wieland, M., and Cowles, P. 2015. Guidelines for Learning and Applying the Natural Resource Governance Tool (NRGT) in Landscapes and Seascapes. Page 55. USAID, Washington, D.C. and WCS, Bronx NY. USA

CONTENTS

FOREWORD	i
ACKNOWLEDGEMENTS	ii
GLOSSARY OF TERMS	v
INTRODUCTION	1
KEY TERMS AND CONCEPTS	3
What Is Natural Resource Governance and How Is It Measured at the Landscape or Seascape Scale?	3
What Is a Governance Group?	4
How Does NR Governance Differ from NRM?	5
Three Core Attributes for Effective Governance	5
Attribute 1: Authority	6
Attribute 2: Capacity	7
Attribute 3: Power	8
THE NATURAL RESOURCE GOVERNANCE TOOL MANUAL	10
Summary	10
Step-by-Step Instructions for Deploying the NRGTool	12
Step 1: Identifying and Mapping Key Governance Groups Within a Landscape or Seascape	12
Step 2: Ranking the Most Influential Governance Groups	13
Step 3: Conducting Governance Strengths and Weaknesses Interviews	14
Step 4: Scoring the Surveys	16

Step 5: Using the NRGD Database,Analysing and Presenting Results	17
Step 6: Developing and Implementing Actions to Improve Governance	20
Updating conceptual models.	20
Identify actions and develop governance results chains	21
Planning, implementing, and learning from actions	21
A CASE STUDY – THE USE OF THE NRGD	22
CONCLUSIONS	23
APPENDICES	25
Guide to the Governance Questionnaires and Scoring Activity	25
Application of the NRGD - Guide for One-on-One Interviews With People Who Work for the Governance Group	26
Application of the NRGD - Guide for One-on-One Interviews With People Regulated by the Governance Group	33
Explanations of the Questionnaire for One-on-One Interviews	34
Governance Assessment Scoring Sheet	38

GLOSSARY OF TERMS

Accountability: is the belief or understanding that a governance group and each individual within the group is a) required to fulfill certain responsibilities and b) is seen to fulfill those responsibilities. Most importantly the governance group must be seen to be accountable for their actions and responsive to the interests of natural resource users and rights holders.

Authority: the perception of natural resource users and rights holders that a governance group genuinely represents their interests and has legal or customary jurisdiction to govern “their” natural resources.

Capacity: the knowledge and skills to decide what to do and the resources to implement those decisions.

Effectiveness (of natural resource governance): when a natural resource governance group makes decisions and enforces rules that ensure the sustainability (i.e., long-term ecological and economic productivity) of the natural resources under their control. Effective long-term sustainable management of natural resources is predicated on governance that is representative and democratic.

Fairness: the belief by natural resource users and rights holders about the degree to which they feel that rules regulating access to and use of natural resources are equitable in terms of who benefits and who incurs the costs, and that the enforcement of these rules is applied equally across all individuals and groups.

Institutions: the formal or customary norms, policies, rules, and

regulations that are available to a governance group to define access to and meter use of natural resources within their jurisdiction.

Knowledge and skills: the basic understanding of a) the biological, economic, historical, sociopolitical, and managerial factors that put in jeopardy the long-term sustainability of natural resource use; b) the policies and practices that would need to be put in place to remedy the situation so that valued resources are conserved and used sustainably; and c) the ways to monitor the effectiveness of conservation actions.

Legitimacy: the governance group is recognized formally (i.e., legal-de jure) or informally (i.e., traditional-de facto) as having jurisdiction over determining what resource or land use practices are permissible, defining who can access certain resources or implement certain land use practices, and establishing what sanctions can and will be imposed for infractions of these rules.

Motivation: the level of willingness of individuals within a group to do their jobs, commit time, struggle with adversity, and advocate for their group’s interests in an effort to implement their group’s plans and achieve their group’s objectives and goals.

Natural resource governance: is about who makes decisions (the governance group) about access to and use of natural resources, and the process by which a governance group decides and defines what is, and what is not acceptable behavior in terms of natural resource use in a given area, and how the group ensures that people comply with the

policies, rules, and regulations for acceptable behavior.

Natural resource management: the implementation of rules and regulations defined by a governance body or group. Natural resource “governors” are those individuals or groups that establish, and are accountable for, the implementation of natural resource access and use policies and norms (institutions). And “managers” are those individuals or groups that are responsible for executing the policies, rules, and regulations (institutions) established by the “governors.”

Participation: the extent different natural resource users and rights holders are able to take part and have their voices heard in establishing policies that restrict access to and use of resources, and in adjudicating sanctions against those that fail to comply with accepted norms.

Power: the ability of a governance group to exert their authority and to do so without being regularly or repeatedly undermined by other more powerful groups

Resources: the physical (office space, cars, boats, camera traps, GPS, computers phones, tents, fuel, etc.), financial, and staffing assets needed for a governance group to be able to put its plans into action within their jurisdiction and monitor and report the outcomes and impacts of their efforts.

Transparency: the openness with which a governance group carries out its work.

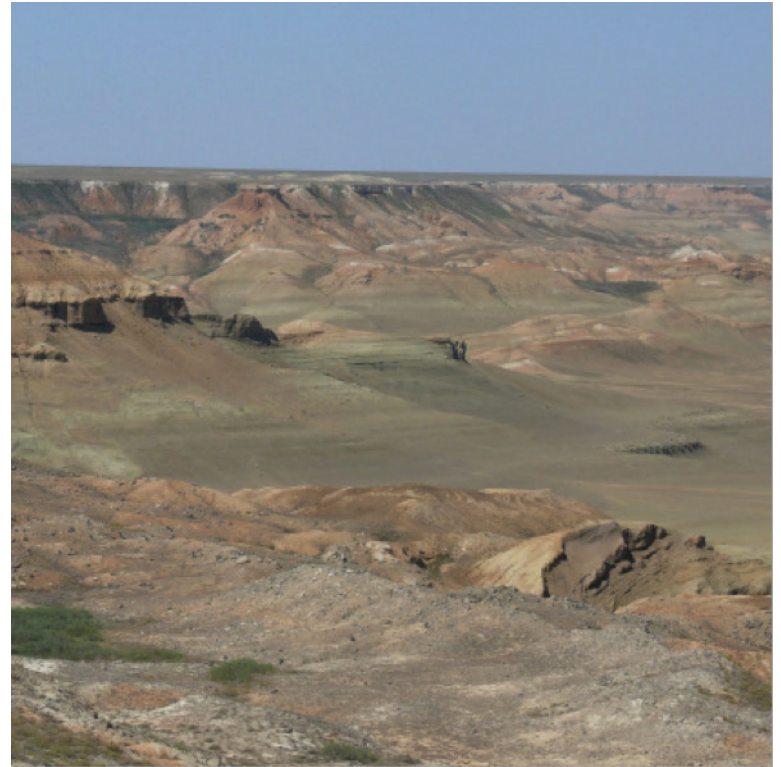
INTRODUCTION

This guide has been developed to provide Sustainable Conservation Approaches in Priority Ecosystems (SCAPES²) partners, the Central Africa Regional Program for the Environment (CARPE³) partners and the U.S. Agency for International Development (USAID) with a set of basic concepts and tools for better understanding, assessing and impacting the governance of natural resources (NRs) in landscapes and seascapes, and instructions to carry out this tool on the ground. The current target audience for the guide is field staff of natural resource management agencies or their partners who wish to conduct a governance mapping and strengths and weaknesses assessment in their respective landscapes. The concepts and tools in the guide can serve as a starting point for applying NR governance assessments in different regions. It is anticipated that these initial applications will then be used to refine this guide, providing a tested and robust methodology and set of tools.

The overall purpose of this guide is to:

- Identify key groups governing access to and use of NRs in a given landscape or seascape

² SCAPES is a partnership between USAID and four nongovernmental organizations (AWF, Pact [leader of a consortium that includes FFI, ACIDI-VOCA, and BirdLife International], WCS, and WWF) that aims to conserve globally important biodiversity and provide leadership in developing, documenting, and sharing state-of-the-art conservation practices.



The Ustyurt Plateau is a temperate desert lying between the Caspian and Aral Sea that is shared between Kazakhstan and Uzbekistan. Its sheer vastness presents a major challenge to law enforcement. Photo: Maria Karlstetter, Pact/FFI

³ CARPE is a USAID-funded program implemented by a consortium of non-governmental organizations that aims to conserve forests and wildlife of the Congo basin. See more at carpe.umd.edu

- Assess the key groups' governance strengths and weaknesses that can then help direct investments to improve governance of natural resources within the landscape or seascape

The guide is meant to be straightforward, practical, and easy to apply.

The following text defines key governance terms and concepts and provides step-by-step, guidance on how to apply the Natural Resource Governance Tool – NRGT - in a given landscape.

The aim is that this guide will be appropriate for, and utilized by, a wide range of conservation practitioners and organizations. The guide should be useful as either a start-up tool to help frame governance issues and identify actions at the onset of a project, or as a tool to enhance implementation in a landscape or seascape where a conservation program is already established.

KEY TERMS AND CONCEPTS

What Is Natural Resource Governance and How Is It Measured at the Landscape or Seascape Scale?

Improving management, reducing threats, and meeting conservation objectives over the long term requires good governance. At a landscape or seascape scale, governance of NRs is typically not the responsibility of a single agency or group, but rather is carried out through the actions of more than one group or organization from the public, private, and civil society sectors, with formal or informal authority to govern, and often with overlapping and competing jurisdictions.

Unsustainable resource and land use practices often occur in poorly regulated spaces, when the interests of some individuals and groups trump the interests of broader society. Conserving biodiversity and ensuring sustainable NR use within a landscape is impossible, therefore, in the absence of effective governance. And long-term sustainable management of natural resources is predicated on governance that is representative and democratic. To enhance governance effectiveness at a landscape scale it is necessary to:

- 1) Identify all governance groups in the landscape
- 2) Map their jurisdictions
- 3) Rank-order “governance champions”
- 4) Assess their strengths
- 5) Invest in overcoming their weaknesses

This guide is not designed to evaluate whether or not a governance group has or has not achieved the NR management (NRM) objectives explicit or implicit within its area of responsibility. Rather, the guide is designed to assess whether or not a group has the attributes requisite for effective governance of NRs. Therefore, this guide focuses on a small set of attributes that are strong predictors of the likely “effectiveness” of the different groups to govern access to and meter use of NRs within a landscape or seascape.

Definition of Governance Effectiveness

When a natural resource governance group makes decisions and enforces rules that ensure the sustainability (i.e., long-term ecological and economic productivity) of the natural resources under their control. Effective long-term sustainable management of natural resources is predicated on governance that is representative and democratic.

NRGT versus PA-METT

It is important to note that the NRGT is just one approach to assessing governance. There are others like the Protected Area Management Effectiveness Tracking Tool (PA-METT) developed by WWF and the World Bank (http://assets.panda.org/downloads/mett2_final_version_july_2007.pdf) and used quite extensively by IUCN.

Both the NRGT and PA-METT use expert opinion and questionnaires. What distinguishes these two approaches is that the NRGT focuses exclusively on assessing the degree to which a governance body has the enabling conditions to govern effectively (e.g. does the governance group have the authority, capacity and power to govern). The PA-METT focuses more on a checklist of governance challenges (e.g., threats to biodiversity within the governance group's jurisdiction), legal status of the protected area, status of protected area planning, and achievements to date. While NRGT focuses on governance, PA-METT examines more management effectiveness.

Both are useful. Both answer different questions. And most importantly, implementing one does not mean that you might not consider using the other to gain an even better understanding of the governance gaps within the areas your organization is investing.

What Is a Governance Group?

In this governance guide the focus is not on the “institutions” (i.e., norms, rules, and regulations) that define who has access to NRs within a landscape, and how these NRs can be used. Rather it focuses on the groups, often called authorities, that have jurisdiction over different spaces and NRs within a landscape or seascape, and assesses if they have the key attributes necessary to establish and enforce or perhaps influence institutions (i.e., rules and regulations) designed to ensure sustainable NR use. These groups can be government agencies, civil society or nongovernmental organizations, cooperatives, associations, communities, or private companies. These groups often both define what NR uses are and are not desirable and permissible, and carry out management actions to ensure that local residents and outsiders comply with desired NR rules and regulations. Their ability to govern effectively lies at the core of biodiversity conservation and sustainable NR use within any landscape or seascape. It is likely that effective governance of natural resources at a landscape or seascape scale will require a mix of governance groups interacting and reinforcing or influencing each other's decisions around NRM.

Institutions Versus Organizations

The term institution is often misunderstood. In this guide, institution is used in its legal sense (i.e., the institution of marriage) to mean the norms, rules, regulations, and policies that guide our individual and social behavior and practices. In contrast, governance is manifest by public sector, private sector, and civil society entities, groups, organizations, or agencies that establish and enforce NR rules, norms, and regulations (i.e., institutions). Simply put, institutions are the laws, and organizations are the groups that create the institutions and enforce them.

How Does NR Governance Differ from NRM?

Natural resource governance can be defined as the process by which groups of rights holders decide and define, through a transparent and democratic process that represents the interests of citizens, what is and what is not acceptable behaviour in terms of NR use in a given area, and how the group ensures that people comply with the policies, rules, and regulations for acceptable behaviour.

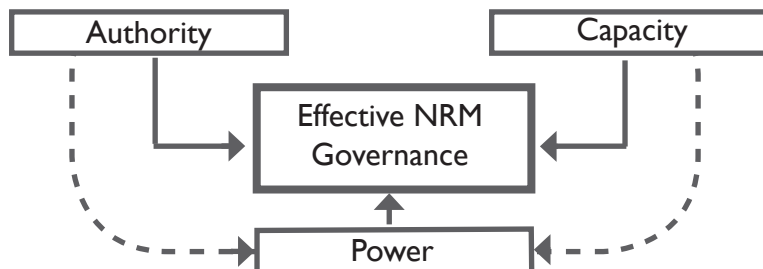
Governance differs from management in that the latter is the implementation of rules and regulations defined by a governance body or group. NR “governors” are those individuals or groups that establish, and are accountable for, the implementation of NR access and use policies and norms (institutions). And “managers” are those individuals or groups that are responsible for executing the policies, rules, and regulations (institutions) established by the “governors.”

Three Core Attributes for Effective Governance

What determines if a group will be able to govern access and use of NRs sustainably, and thus effectively, is much debated. Many factors can play a role in whether or not a governance group is able to govern effectively, and a review of the literature and governance guidelines would generate a huge list of attributes believed to be necessary for good governance. To help identify where investments in strengthening governance should be targeted, and to track and report governance strengths and weaknesses over time, a governance assessment tool needs to focus on the smallest set of attributes that are believed to be most predictive of effectiveness and that can be assessed repeatedly over time at relatively low cost.

Given this, the Natural Resource Governance Tool – NRGT - focuses on three attributes: authority, capacity, and power. If a governance group lacks authority to govern (i.e., people do not trust them to represent and protect their interests), it will fail to be effective over the long term. If a governance group has insufficient capacity to govern (i.e., decide what to do and implement those decisions), then, even if it is perceived to be legitimate in the eyes of key resource users and rights holders, it is unlikely to be able to govern access to and use of NRs. Lastly, even when a governance group is perceived as being the legitimate authority, and even when it has the capacity to plan and to act, if it does not have the political, economic, or policing power to exert its authority, it will be unable to govern effectively. Our model for effective governance (Figure 1) recognizes that aspects of authority (i.e., legitimacy) and capacity (i.e., financial resources or technical capacity) may influence how much power a group possesses.

FIGURE 1: A SIMPLE MODEL OF EFFECTIVE NRM GOVERNANCE



Attribute 1: Authority

Authority is a loaded term that means many things to many people. The term was chosen as a core attribute of effective governance because evidence from years of field experience in a large range of contexts suggests that if a governance group is not perceived by resource users as having the authority to make natural resources decisions and enforce compliance, then their ability to manage natural resources access and use is undermined immediately or over the long term.

Within the context of this guide, authority is defined as the perception of natural resource users and rights holders that a governance group genuinely represents their interests and has legal or customary jurisdiction to govern “their” natural resources. Authority, not surprisingly is a composite attribute that is built on a foundation of core concerns of resource users and rights holders. Exactly what constitutes authority for a given landscape will depend on a mix of complex factors including social and political histories, and level

of exposure to democratic conceptions of governance. Below are examples of components of authority that may be important. The first (legitimacy) is intrinsic to the governance group, whereas the remaining four (accountability, transparency, participation and fairness) are results of the actions of the governance group (i.e., does the group conduct its work accountably, transparently, and fairly, with the meaningful participation of resource users and rights holders). We offer these not as a definitive list but as an example of factors that may be important in understanding the source of a governance group’s authority.



Community members prepare map of landscape in Bateke, Congo. Photo: WCS

- **Legitimacy** is the stakeholder-recognized formal (i.e., legal—*de jure*) or informal (i.e., traditional—*de facto*) right to determine what resource or land use practices are permissible, who can access certain resources or implement certain land use practices, and what sanctions can and will be imposed for infractions of these rules. For example, the national park agency may be perceived by local people to have the legitimate right under the law to decide what is permissible within national protected areas and to impose these rules. And a local community may have legitimate customary rights to determine how their land and resources are used and to enforce these rules through social pressure. In many landscapes and seascapes more than one group may have the legitimate right to manage natural resources in the same place (for example, in Yasuni National Park, the National Park Service of Ecuador, the Ecuador Ministry of Energy and Mining, and the Waorani indigenous people all have the legitimate, legal or customary, right to decide who has access to natural resources within the park).
- **Accountability** is the belief or understanding that a governance group and each individual within the group is a) required to fulfil certain responsibilities and b) is seen to fulfil those responsibilities. Most importantly the governance group must be seen to be downwardly accountable for their actions and responsive to the interests of natural resource users and rights holders.
- **Transparency** generally refers to the openness with which a governance group carries out its work.
- **Participation** refers to the extent different natural resource users and rights holders are able to take part and have their voices heard in establishing policies that restrict access to and

use of resources, and in adjudicating sanctions against those that fail to comply with accepted norms. Whether or not key natural resource users and rights holders perceive that their participation is sought and valued often determines whether or not they feel that the group has the authority to make decisions for them about access and use of “their” resources.

- **Fairness** refers to whether or not natural resource users and rights holders feel that rules regulating access to and use of NRs are equitable in terms of who benefits and who incurs the costs, and that the enforcement of these rules is applied equally across all individuals and groups. Broadly speaking, fairness revolves around concerns over equitable distribution of costs and benefits, equal rights under the law, and equal application of the law.

Attribute 2: Capacity

For governance groups to be effective they will generally have a number of skills, abilities, or resources that allow them to plan and implement conservation and sustainable NR plans and actions. Things like technical knowledge and skills and human and financial resources are often important aspects of capacity. An enabling institutional framework (i.e., norms, rules, and regulations that support, rather than undermine, sustainable NRM) is also a critical component of governance capacity. As with legitimacy, there may be important components of capacity that are more locally defined. For example, motivation may be an important component of capacity in many landscapes but it may not be the case everywhere.

Below we have included some examples of what might be critical components of a group’s governance capacity:

- **Knowledge and skills** together are the basic understanding of
 - a) the factors—biological, economic, historical, socio-political, and managerial—that can jeopardize the long-term sustainability of NR use;
 - b) the policies and practices that would be needed to remedy the situation so that valued resources are conserved and used sustainably;
 - c) ways a group might monitor the effectiveness of the implementation of their conservation plans.
- **Resources** are the physical (office space, cars, boats, camera traps, GPS, computers phones, tents, fuel, etc.), financial, and staffing assets needed for a governance group to be able to put its plans into action at the appropriate spatial scale and monitor and report the outcomes and impacts of their efforts.
- **Institutional framework** is the set of norms, rules, regulations, and policies that either enable or militate against a governance group's ability to sustainably manage NRs. Even if a governance body has the skills, resources, and motivation to take action, if their actions are not founded on a supportive set of rules and regulations that make explicit informal or customary law on who has access to what resources and how these resources may be used, then their actions are unlikely to be effective in the long term.
- **Motivation** refers to the level of willingness of individuals within a group to do their jobs, commit time, struggle with adversity, and advocate for their group's interests in an effort to implement their group's plans and achieve their group's objectives and goals. Motivation is that ineffable essence that encourages work for reasons beyond remuneration, and what makes the seemingly impossible actually happen. Motivation is an abiding personal commitment to doing all that is necessary to get the job done.

Attribute 3: Power

Power is manifest in two ways: 1) the power of a governance group to enact its decisions, and 2) the power of resources users and rights holders to bring a governance group to account.

The first depends in part on a governance group's capacity (attribute 2), but more importantly depends on whether others, outside of the group, have the ability to countermand the group's decisions. The first manifestation of power is therefore a governance spoiler that can, and often does, undermine a governance group's ability to dictate their policies, enforce their rules, and secure redress for infringement of their legitimate authority. Power is the one governance attribute that is not solely held by a single governance group; it is an attribute that is measured against other groups, agencies, actors, and organizations. Understanding the power of a particular governance group is necessary, but not sufficient. For this attribute, there needs to be an understanding of how power is held and used by different groups and individuals in the context of governance of NRs.

For example, though the Ministry of Environment and the National Parks Agency has jurisdiction over governance of the National Park, it is the Ministry of Mines and Petroleum and a private sector oil company, that actually determines who has access to The National Park. So, in this case, even though the National Parks Agency has formal authority over governance of the National Park, a private sector company has the de facto authority over access to the park and repeatedly countermands the Park Service's ability to do their job.

The second manifestation of power relates to whether natural resource users and rights holders whose natural resources are being

governed by a group who supposedly represent their interest, have the power to bring the group to account for their decisions and actions—i.e., hold them accountable. This requires that there is a legal or customary framework in place that ensures public access to information about the workings of a governance group, requires that a governance group respond to requests for information, and specifies mechanism of redress should a group fail to meet its obligations. It also requires that those who wish to bring a group to account have the knowledge, time and financial resources to do so. This aspect of power, though critically important, is largely captured within this governance tool by consideration of accountability, transparency, and the enabling institutional framework that are all elements of the authority attribute (please refer to the sections above).



State rangers of Okhotzooptom and the Territorial Inspection of Kazakhstan discuss their training and resource needs to guide future support. Photo: Alisher Sakhabutdinov, Pact/FFI

THE NATURAL RESOURCE GOVERNANCE TOOL MANUAL

This section of the guide is a manual that contains a brief outline of the NRGTool process, followed by a detailed process of the six steps. The purpose of this exercise is to: a) help identify where targeted investments might help strengthen the ability of different groups with formal or informal jurisdiction to govern the use of natural resources sustainably, and b) assess over time whether these investments are having the desired impact and are demonstrably strengthening sustainable natural resource governance abilities of targeted groups.

The tool asks less about whether a governance group is making good decisions and enforcing them, and more about whether they are able to sustainably govern natural resources, and if not, why they are unable or unwilling to do so. To ensure that the assessment is credible, useful, and inexpensive to undertake, we suggest conducting questionnaire surveys of both representatives of the different governance bodies with jurisdiction over natural resources in your area of interest, and a sample of people whose lives are likely influenced by the decisions made by the different governance bodies.

Step 1 is best completed with a small focus group of people with expert knowledge of the governance groups within the area of interest; and Step 2 using the same focus group. Step 3 interviews are best completed with a group of governance group representatives and people influenced by governance group decisions. If that is not possible then the alternative, less preferred option is to interview the small group of experts involved in Steps 1 and 2.

Summary

Step 1: Identifying and mapping key governance groups within a landscape or seascape. Identify and map the spatial jurisdiction of NR governance groups that either actively exert or potentially could exert their authority over NRs in the given landscape or seascape. Information may be gathered using existing documents, input from experienced staff and key informants, or using a wider participatory process. Once the main NR governance groups have been identified, their specific territorial (e.g., international, regional, national, or local) and natural resource (e.g., land, water, wildlife, minerals, etc.) influence should be noted. Simply said, as each governance group is discussed, one should attempt to map their geographic influence and to list the range of natural resources over which they have formal or customary jurisdiction.

Step 2: Ranking the most influential governance groups. If a large number of governance groups (>5) were identified in Step 1 it is most efficient to conduct the governance assessment on those groups that have the greatest influence over the most extensive geography within the landscape, or over the widest range of natural resources within the landscape. Influence can be thought of as a mixture of spatial coverage, the range of resources governed, and whether absence of a particular governance group would seriously undermine conservation effectiveness within the landscape or seascape. A simple way to rank-order the list is to ask each expert to vote for their top three

most influential natural resource governance groups with jurisdiction over the use of natural resources within the landscape or seascape. Once the governance groups identified are ranked by influence, 3 or 4 groups per landscape should be selected to participate in the NRG-T. For each of these groups, it is important to encourage their participation and willingness to strengthen their governance capacity by better understanding where they might need assistance.



Village Fisheries Management Committees receive training in good fishing practices, importance of fisher organizations and monitoring of fishing activities on the Zambezi River, Zambia. Photo:AWF

Step 3: Conducting governance strengths and weaknesses interviews. For each of the 3-4 most influential governance groups to be assessed, a minimum of 8 people should be interviewed – four members of the governance group and another four whose lives are influenced by the group’s decisions. Each of the two sets of interviewees have their own questionnaire (see Appendices 1 and 2) – one for the governance group representatives (*Guide for one-*

on-one interviews with people who work for governance groups) and another for the people whose lives are influenced by the governance group’s decision (*Guide for one-on-one interviews with people regulated by governance groups*). To obtain a range of opinions it is important to select, whenever possible, equal numbers of men and women, and in the case of the governance group people from different positions of responsibility. If the group’s influence covers a large area, don’t interview people who live in the same village, but try to interview people from different places within the group’s jurisdiction. This will likely mean that you will need to interview more than 4 people in this category.

Step 4: Scoring the surveys. Once all the surveys are done, the team should regroup and looking at the answers that people gave to the questions, assign a score for each sub-attribute in the questionnaire. Generating scores helps keep track of governance strengths and weaknesses over time, and allows for evaluation of the impact of targeted investments in governance strengthening.

Step 5: Entering data on the database, analyzing and presenting results. After assigning all the scores of each questionnaire, they need to be entered in the NRG-T database. The database will automatically calculate averages of the three governance attributes per group and per year. Reporting authority, capacity, and power scores using spider or radar diagrams helps to visualize and interpret the results and draw conclusions concerning needed strategies or interventions. The paper questionnaires should be scanned and imported into the database to ensure that the data is not lost. The team will have to do a narrative analysis of the answers and recommendations, evaluating opportunities for strengthening the ability

of specific groups to govern the conservation and sustainable use of natural resources within the landscape or seascape, and drawing up an action plan to implement specific governance strengthening activities.

Step 6: Developing and implementing actions to improve governance. Having completed steps 1-5 the team will now have a good understanding of the governance strengths and weaknesses of key governance groups within their geographic area of interest. With this new knowledge the team is ready to design and implement activities to address weakness and strengthen each group's ability to govern effectively. One approach to completing step 6 is to update the conceptual model for the project and to develop results chains that explicitly show how chosen actions will strengthen attribute of a governance groups that were assessed to be relatively weak when applying the NRGT.

Example definition of natural resource governance

Natural resource governance is about who makes decisions, and how these groups of people decide what is and what is not acceptable behavior in terms of natural resource use in an area, and how these groups ensure that people comply with their rules.

Step-by-Step Instructions for Deploying the NRGT

Step 1: Identifying and Mapping Key Governance Groups Within a Landscape or Seascape

To better assess and understand NR governance and its relationship to improving conservation in landscapes and seascapes, it is necessary to begin by identifying the key governance groups that play a role in deciding how natural resources are managed within the physical landscape or seascape.

Participants: *The development of a NR governance group map needs a team of experts (e.g. project manager, staff members who have been working in the area for a long time, etc.) who know the area well and have a keen understanding of the governance groups that are active in the landscape or seascape.*

Suggested duration: 1–2 hours

Facilitator checklist of steps to follow for the NR governance group mapping process:

- ✓ *Begin by using or drawing a map that depicts the full territory of the landscape or seascape.*
- ✓ *Briefly discuss the principal types of NRs within the territory.*
- ✓ *Briefly discuss the main conservation threats in the landscape or seascape.*
- ✓ *Identify via a brainstorming session the NR governance groups in the landscape or seascape, thinking first of those groups that are actually*

present physically within the territory; map their jurisdictions (i.e., the spatial extent and geographic configuration of the land or water over which they have jurisdiction to establish and enforce NR access and use institutions).

- ✓ *Consider the following questions:*
 - *What groups are actually governing NRs at this moment?*
 - *Which state or government agencies are most visible and engaged?*
 - *Have we considered different kinds of organizations such as: local government, local communities, indigenous organizations, producer groups, private sector companies?*
- ✓ *During the process it is helpful to distinguish between community, local, regional, national, and international groups that actually conduct activities or have influence within the landscape or seascape.*
- ✓ *When drawing the jurisdiction map, different colored markers can be used to differentiate between local, and other actors and to identify overlapping jurisdictions.*
- ✓ *Ensure that no key groups have been left out.*

Someone needs to explain to your team that “governance groups” may have jurisdiction over different spaces and NRs within a landscape or seascape, and that these groups can be government agencies, civil society or nongovernmental organizations, cooperatives, associations, communities, or private companies. These groups often both define what NR uses are and are not desirable and permissible, and carry out management actions to ensure that local residents and outsiders comply with NR rules and regulations. Their ability to govern effectively lies at the core of biodiversity conservation and sustainable NR use within any landscape or seascape.

The team needs to arrive at a common understanding of what is meant by NR governance. One approach is to use the example definition below (Box 1). The facilitator should, however, not allow the team to stray too far from the basic meaning of governance as a system of making and enforcing rules.

Definition of good or effective NR governance

It is when a natural resource governance group makes decisions and enforces rules that ensure the sustainability (i.e., long-term ecological and economic productivity) of the natural resources under their control. Effective long-term sustainable management of natural resources is predicated on governance that is representative and democratic.

Step 2: Ranking the Most Influential Governance Groups

If a large number of governance groups (>5) were identified in Step 1 it is most efficient to conduct the governance assessment with only those groups that have the greatest influence over the most extensive geography within the landscape, or over the widest range of natural resources within the landscape. Influence can be thought of as a mixture of spatial coverage, the range of resources governed, and whether absence of a particular governance group would seriously undermine conservation effectiveness within the landscape or seascape. A simple way to rank-order the list is to ask each expert to vote for their top three most influential governance groups with jurisdiction over the use of natural resources within the landscape or seascape. Once the governance groups identified are ranked by influence, 3 or 4 groups per landscape should be selected

to participate in the NRG. For each of these groups, it is important to encourage their participation and willingness to strengthen their governance capacity by better understanding where they might need assistance.

Participants: *The same group that carried out Step 1.*

Suggested duration: *0.5 hour*

Facilitator checklist of steps to follow for prioritization of NR governance groups:

- ✓ *Facilitator should review the groups identified and mapped in the previous exercise and then move to a discussion of the criteria to help select the most influential groups.*
- ✓ *An easy way to identify the most influential groups is to give each team member three votes and ask them to cast one vote for each of their top three candidates.*

After discussing what criteria might best characterize those governance groups that have the most and least influence over natural resource access and use within the landscape or seascape, the simplest way to rank-order the groups is to vote.

Step 3: Conducting Governance Strengths and Weaknesses Interviews

For each of the 3-4 most influential governance groups to be assessed, a minimum of 8 people should be interviewed – four members of the governance group and another four whose lives are influenced by the group's decisions.

Participants: *Members/representatives of governance groups, and people influenced by the decisions of governance groups.*

Suggested duration: *0.5 hour per interview*

Facilitator checklist of steps to follow:

Each of the two sets of interviewees have their own questionnaire (see Appendices 1 and 2), one for the governance group members (*Guide for one-on-one interviews with people who work for governance groups*) and another for the people whose lives are influenced by the governance group's decision (*Guide for one-on-one interviews with people regulated by governance groups*). To obtain a large range of opinions it is important to select, whenever possible, equal numbers of men and women, and in the case of the governance group people from different positions of responsibility. If the group's influence covers a large area, don't interview people who live in the same village, but try to interview people from different places within the group's jurisdiction. This will likely mean that you will need to interview more than 4 people in this category.

- ✓ *Each survey should take about 30 minutes.*
- ✓ *The interviewer should speak in the local language to make it easier for local people to understand the questions and the concepts of governance. Before going to the field, the team needs to work together to translate the questionnaire to the local language and ensure all interviewers present the questions in the same way.*
- ✓ *The interviewer and the interviewee should complete the questionnaire in private, no one else should be listening to the questions and answers.*

- ✓ If possible it is better that a woman do the interviews with women.
- ✓ Questionnaire surveys work best when: 1) the interviewee understands clearly why the assessment is being undertaken and what their answers will be used for; 2) the interviewee knows and trusts the interviewer and; 3) the interviewee feels confident that their answers will remain private.
- ✓ The introduction is the most important part of a survey. Some questions can be delicate to ask, so it is very important that people feel comfortable enough to be completely honest with the interviewer. To achieve that, a good introduction is needed, explaining the purpose of the survey, and how this will help them to improve natural resource governance. Each participant should be ensured that neither names nor answers would be revealed public. They must understand that the information they are giving will not be used to do harm.
- ✓ It is important that the answers be as precise as possible, including details that will help the team later to score the sub-attributes.

Who to interview

When choosing group members or villagers that are influenced by the governance group, it is more valuable to have thoughtful respondents who can thoroughly answer the questionnaire; who will not only provide “yes/no” answers but go deeper into discussion. These discussions will give you a better view of the group’s issues and insights into improving their governance.

Inform people

Before going to the field, it is important to let people know you are going to do interviews and why. Explain to each partner whose governance is going to be evaluated, the purpose of the study, how the tool works and show them it aims to help them improve their NR governance. Do not show the questionnaires before the interviews; rather, create and distribute a “NRGT factsheet” that explains the tool and why it is useful. Below is an example of one developed in Central Africa:



Fig. 1 : L'USAID et ses différents partenaires ont développé un outil de diagnostic pour investir dans une meilleure gouvernance à l'échelle du paysage

INTRODUCTION

Botswana

Cameroun

République Centrafricaine

République du Congo

République

L'USAID à travers CARPE (programme pour l'environnement de l'Afrique Centrale) s'est engagé à conserver à long terme les forêts et la vie sauvage de l'Afrique centrale. Pour y arriver, les partenaires de CAPEC, qui agit pour la conservation des forêts d'Afrique Centrale, et leurs homologues nationaux doivent aider à mettre en place un cadre réglementaire approprié, un support de prévention des crimes et efforts de détection, et à renforcer la capacité des organismes gouvernementaux, des groupes communautaires et de la société civile pour régir l'accès et l'utilisation des ressources naturelles au sein de leurs juridictions.

Jusqu'à présent, la communauté de la conservation n'a pas eu un moyen fiable pour évaluer les forces et faiblesses des organismes gouvernementaux et des groupes communautaires chargés de la conservation et de l'utilisation durable des ressources naturelles. C'est pourquoi un outil d'évaluation

Definitions for the three key attributes of effective governance

Authority the perception of natural resource users and rights holders that a governance group genuinely represents their interests and has legal or customary jurisdiction to govern “their” natural resources.

Capacity refers to the skills, abilities, or other resources that allow a group to govern natural resources effectively.

Power is the ability to influence behaviors or decisions. Aspects of authority (like legitimacy) and capacity (financial resources) can enhance a group’s power.

Step 4: Scoring the Surveys

Once all the surveys are done the team should come together to examine the answers that interviewees gave to the questions. Give a score for each sub-attribute in the questionnaire, from -2 (weak) to +2 (strong). Generating scores helps keep track of governance strengths and weaknesses over time, and allows for evaluation of the impact of targeted investments in governance strengthening. There are many ways that the team could generate a numeric ranking for key attributes of governance based on the information generated during interviews. To help score the attributes the team can use the “Governance Assessment Scoring Sheet” in the Appendices.

Participants: *The same group that carried out Step 1*

Suggested duration: *0.5 hour per survey*



An isolated community in the highlands of Bolivia in the Madidi-Tambopata Landscape.
Photo: Humberto Gomez, WCS

Step 5: Using the NRGT Database, Analyzing and Presenting Results

Once the questionnaires are scored, the data needs to be entered into the NRGT database. A homepage will automatically open, and you just need to follow the steps to enter and analyze the NRGT data.

Example of the NRGT database for Ituri Landscape, Central Africa

Step 5, Part 1: Enter group information and scores

To enter information about the governance groups that you are evaluating, you first need to choose your landscape from the drop down menu and then enter the group information: name, type of jurisdiction, area of influence and its primary objective.

Each time you complete the survey with the group, you need to enter information about the number of members in the group and the percentage of women at that time.

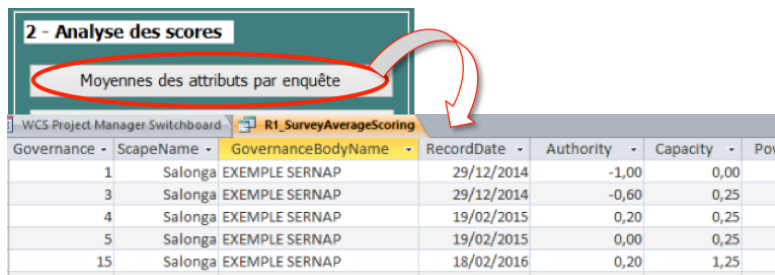
Next, enter the sub-attributes scores for each group. After selecting the landscape and the group, you need to enter the date, the survey code, the gender of the person who answered the questions, and the score between -2 and +2 for each sub-attribute. The survey code is a unique identification composed of the initials of the landscape, the initial of the group and the number of the survey. For example, in the Kahuzi-Biega Landscape, DRC, the codes for the first through the eight governance surveys of the Community Conservation Committee are KBCCCI to KBCCC8.

To keep a record of all answers contained in the questionnaires, rather than typing everything into the database, it is simpler to scan all paper versions of the questionnaires with the same “survey code” into a PDF and import it into the database. To do that, use the right-click in the window that is to the right of the scores as shown in the database on the previous page.

Step 5, Part 2: Automatic analysis

Once you have entered all the scores for each survey, the database will automatically calculate averages of the governance attributes and sub-attributes per group and per year, by just clicking on 3 buttons:

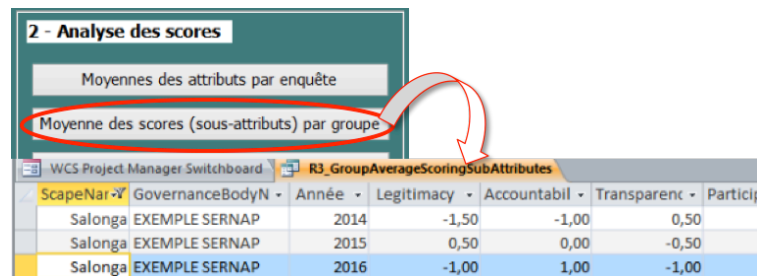
“**Average of attributes per survey**” calculates the authority, capacity and power score for each questionnaire by averaging the values of the corresponding sub-attributes, as shown in the graphic below.



The screenshot shows the '2 - Analyse des scores' window. The button 'Moyennes des attributs par enquête' is highlighted with a red circle. An arrow points from this button to the 'R1_SurveyAverageScoring' table in the WCS Project Manager Switchboard.

Governance	ScapeName	GovernanceBodyName	RecordDate	Authority	Capacity	Pov
1	Salonga	EXEMPLE SERNAP	29/12/2014	-1,00	0,00	
3	Salonga	EXEMPLE SERNAP	29/12/2014	-0,60	0,25	
4	Salonga	EXEMPLE SERNAP	19/02/2015	0,20	0,25	
5	Salonga	EXEMPLE SERNAP	19/02/2015	0,00	0,25	
15	Salonga	EXEMPLE SERNAP	18/02/2016	0,20	1,25	

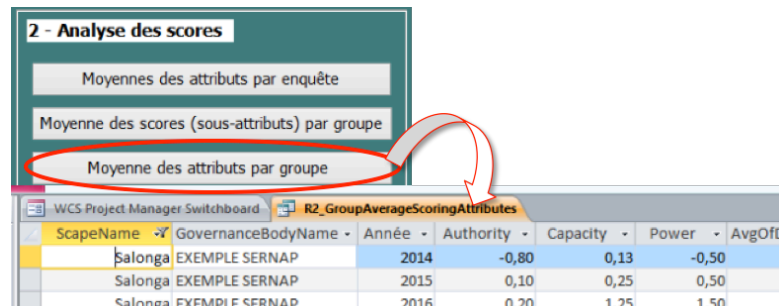
“**Average of sub-attributes per group**” calculates the average of each sub-attribute across all questionnaires for one governance group (i.e. where the first part of the survey code, landscape initials and group initials, are the same).



The screenshot shows the '2 - Analyse des scores' window. The button 'Moyenne des scores (sous-attributs) par groupe' is highlighted with a red circle. An arrow points from this button to the 'R3_GroupAverageScoringSubAttributes' table in the WCS Project Manager Switchboard.

ScapeName	GovernanceBodyName	Année	Legitimacy	Accountabil	Transparenc	Particip
Salonga	EXEMPLE SERNAP	2014	-1,50	-1,00	0,50	
Salonga	EXEMPLE SERNAP	2015	0,50	0,00	-0,50	
Salonga	EXEMPLE SERNAP	2016	-1,00	1,00	-1,00	

“**Average of attributes per group**” use the previous results (“Average of attributes per survey”) to calculate the global scores for the three main attributes (authority, capacity, and power) for each governance group.



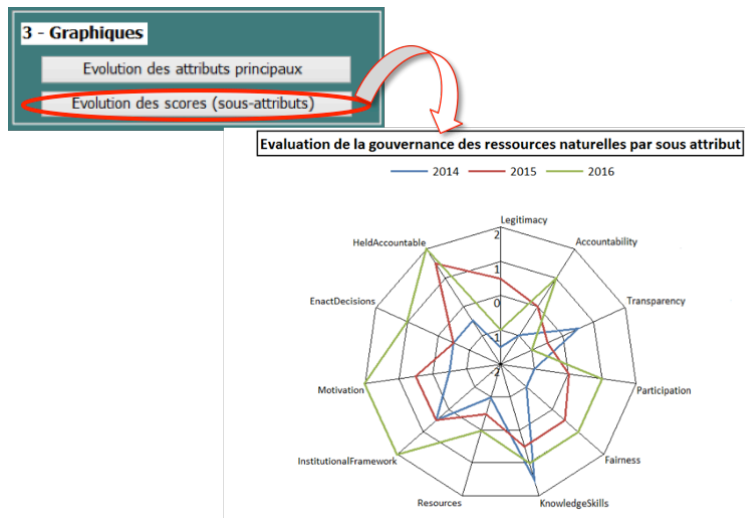
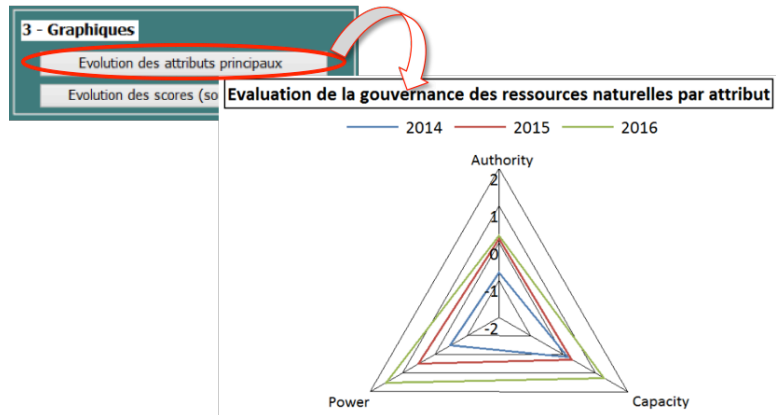
The screenshot shows the '2 - Analyse des scores' window. The button 'Moyenne des attributs par groupe' is highlighted with a red circle. An arrow points from this button to the 'R2_GroupAverageScoringAttributes' table in the WCS Project Manager Switchboard.

ScapeName	GovernanceBodyName	Année	Authority	Capacity	Power	AvgOff
Salonga	EXEMPLE SERNAP	2014	-0,80	0,13	-0,50	
Salonga	EXEMPLE SERNAP	2015	0,10	0,25	0,50	
Salonga	EXEMPLE SERNAP	2016	0,20	1,25	1,50	

Step 5, Part 3: Presenting results visually

One easy to understand way of presenting authority, capacity, and power scores over time, and across different surveys, is by using spider (or radar) diagrams. These help people visualize and interpret the results and draw conclusions concerning needed strategies or interventions. Spider diagrams also show how the governance attributes change over time for a given governance group, of which

governance gets better as triangles/cobwebs gets bigger.



Community members participate in a mapping exercise in the Daurian Steppe, Mongolia, as a first step to community governance of natural resources. Photo: WCS

Step 5, Part 4: Narrative analysis

The ratings of each sub-attribute are based on the subjective but knowledgeable assessment of the team, grounded on information accrued during individual interviews. Given this, it is extremely important that the scores are supported by a narrative analysis, to help explain the ratings for each governance. This allows a more nuanced evaluation of opportunities for strengthening the ability of specific groups to govern the conservation and sustainable use of natural

resources within the landscape or seascape.

The narrative is a summary that your team develops for each sub-attribute based on the collective responses about one governance group.

For example, if the survey team rated the community conservancy as having very limited motivation (-1) to implement or enforce sustainable natural resource use practices and policies, they might explain their rating by noting that, although the group has the skills and resources and a decent regulatory framework to work within, Ministry of Environment staff repeatedly countermand the group's authority by increasing hunting quotas and voiding concession agreements with outfitters favoured by the community. By recording the reasons for a particular rating, the survey team can better identify remedial actions and lay the foundation for evaluating whether such actions resulted in strengthened governance.

4 - Analyse narrative

Analyse narrative des réponses par sous-attribut

Analyse narrative des réponses

Enquête précédente	Groupe de gouvernance:	1	EXEMPLE SERNAP	Année:
Autorité	Légitimité:	5	Comité de Conservation Communautaire (CCC)	
	Responsabilité:	6	Parc National de Kahuzi-Biega (PNKB)	
	Transparence			
	Participation			
	Équité			
Capacité	Connaissances			
	Ressources			
	Cadre institutionnel			

Step 6: Developing and Implementing Actions to Improve Governance

Once the team has completed its analyses and has a good understanding of the critical NR governance weaknesses in the landscape, design and carry out activities to address them. This information should be documented within Section 5 of the database, where the team has space to record recommendations and draw up an action plan to implement specific governance-strengthening activities.

Recommandations

Enquête précédente: Groupe de gouvernance: Année: 2015 Échéance: 2017

Amélioration de l'Autorité: General recommendations to improve Authority, Capacity and Power

Amélioration des Capacités:

Amélioration du Pouvoir:

Actions à réaliser pour améliorer la gouvernance des ressources naturelles

Sous Attribut ciblé	Action	Fait
		<input type="checkbox"/>

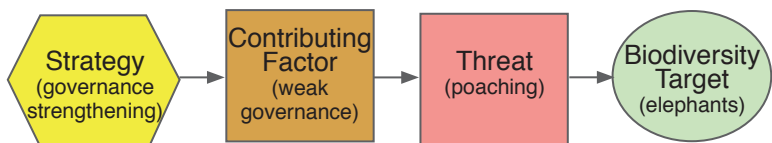
The last and most important page of the NRG database, where the team should enter the identified actions that will improve the group's governance.

The process involves updating the landscape conceptual model, building results chains that show how chosen actions will improve governance, and then planning and implementing these actions, that we will discuss in the next sections.

Updating conceptual models

Conceptual models show how we believe the world works, particularly in relation to the conservation of our landscapes. A good conceptual model shows the relationships between stresses on biodiversity

(habitat loss and degradation, reduced wildlife population size, etc.) and the direct threats that contribute to those stresses (poaching, illegal logging, slash and burn agriculture, etc.). A conceptual model is further developed as it lays out the contributing factors to those direct threats. These are the ultimate factors that lead to the direct threats, sometimes through several levels of factors.



Basic conceptual model of a conservation threat to a biodiversity target

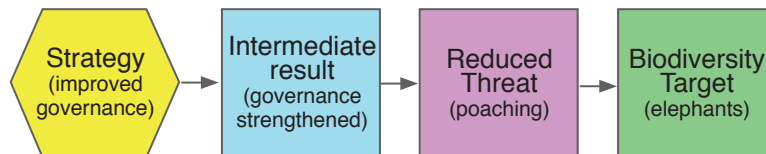
It is important to update your conceptual models based on what you have learned from the governance assessment. How do the weaknesses you identified contribute to the direct threats? It is important to make these relationships explicit in your model so that you can confirm them or revise them as you learn from and adapt implementation of the program. In the conceptual model above we have inserted the governance oriented contributing factors (rectangle) and potential actions/strategies (hexagon). Note how we have identified these as direct factors contributing to poaching.

Identify actions and develop governance results chains

Once the team has a good hypothesis (conceptual model) on how weak governance is related to the direct threats they will need to design actions to improve governance. These actions will form the start of a results chain that shows how their actions will lead to positive changes in the contributing factors and a subsequent reduction in

direct threats on the landscape.

For instance taking the example below, the team's activities will concentrate on two areas: improving ranger pay, and mandating public hearings. Given this the team's results chains for these activities would look like this:



Incorporating strategies and activities to address a conservation threat

This results chain will allow the team to test the validity of their assumptions (i.e. increased pay will increase ranger motivation) and ultimately see if their efforts are having any impact on the level of direct threat. Testing and reviewing their conceptual models and results chains is a basic process of adaptive management, which should allow the team to learn from its actions.

Planning, implementing, and learning from our actions

Once the team has identified the actions it wants to carry out, enter them down in the database, include them in the annual planning process and begin implementation. In general, it is important to conduct the NRGTT approximately every 2 years to evaluate if conservation efforts are improving governance (and conservation) in the way that was hoped. If not then the team should reassess the models, actions and results chains to better reflect what is happening within the landscape.

A CASE STUDY - THE USE OF THE NRG

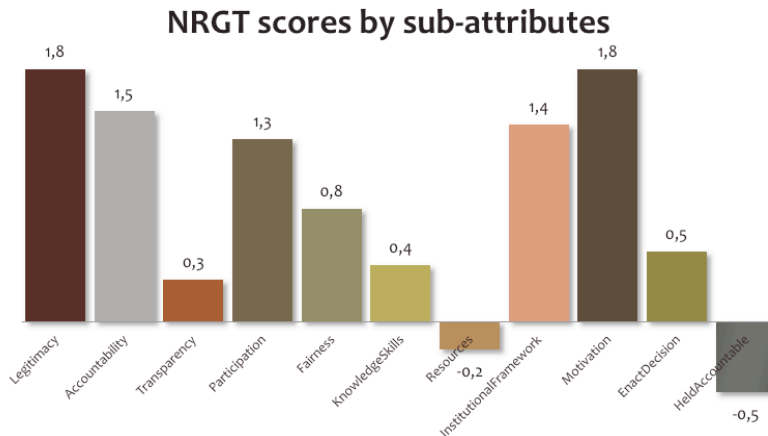
The following is an example from a pilot test of the NRG in Latin America. The governance attribute scores shown below are for a national agency that has jurisdiction over governance of the protected area. People continue to live illegally within the park, and there are several illegal activities that local communities conduct inside the park. Before the NRG was conducted, the team thought that the park might score poorly on the three governance attributes.

Results of the governance assessment were surprisingly positive (see chart below). Given there are people living inside the park, it is questionable that they would see the park authorities as legitimate. Was staff motivation really high, given the level of illegal activities happening within the park boundaries? In trying to understand why

the results were so positive, we realized that all the people (both governed and those who govern) that have been surveyed were living in the same zone near the headquarters, where the situation is well controlled by the managers. Thus, these results are not representative of the entire geography of the area governed.

This is a good example of why it is so important to be careful with the choice of people to be surveyed, and to make sure that you will have a good representation of the group you are evaluating. In this example, people living inside the protected area had not been interviewed, nor had members of the management team who work in the most difficult areas. The results would likely have been very different with their opinions included.

This tool was designed to help point out weaknesses in natural resource governance. It requires teams to think carefully about each of the steps, to ensure good representation across surveys, good respondents, critical thinking during the analysis, and a strong path forward with the governance group. Always keep in mind that the main objective of this tool is to engage in better NR governance.



CONCLUSIONS

The Natural Resource Governance Tool was developed and tested to help practitioners better understand how to strengthen governance groups' ability to regulate access to and use of natural resources within their jurisdiction so that they can better conserve these resources and the human welfare benefits that are derived from them over the long term.

This guide should be useful to any government or civil society group interested in the conservation and sustainable management of natural resources. It should help improve their ability to invest their time and money effectively, whether they are contemplating working in a new area with new groups of resource owners and users, or have been working in a landscape or seascape for a long time.

In piloting parts of this guide in the USA (Adirondacks), Kazakhstan (Ustyurt Plateau), Bolivia (Madidi-Tambopata Landscape), Kenya (Kilimanjaro Landscape), and within several USAID CARPE landscapes in Central Africa, a few key lessons have been noted and to the extent possible adopted into the process. These include:

- To be truly useful anywhere the guide requires flexibility in its use. The ability of local people to participate in the process depends greatly on their perceptions of what good governance is and our ability to listen and respond based on those perceptions. Talking about the importance of participation to people that have no real experience with or concept of “western” democratic participation is not as useful as asking them to describe and assess actual

governance scenarios from their perspective. Once we understand their perspectives we can design interventions to improve not only their governance capacities but also their governance expectations.

- The guide should be viewed as an opportunity to build capacity within a project to better understand and assess NR governance. We see the process as an opportunity to take a “short cut” to being more effective; since, as we mentioned above, most conservation issues are resolved by improving NR governance, this assessment gives us an opportunity to give conservation professionals “hands on” experience in learning and thinking about how resources are governed in the landscape.
- When listing and assessing different governance groups in a landscape it is important to identify all groups that might affect NRM decisions even if they are not involved in NRM. This is particularly important when looking at power and which institutions in a landscape might have unofficial “veto” power over NRM related decisions.
- The NRGT can be used at multiple scales. Once a landscape level assessment has been completed it might be useful to take the tool to more local levels and allow local actors in local organizations to use it to assess and (hopefully) improve local governance. For example, after the pilot in Kenya, the tool was taken and used to assess the governance of Massai Conservancies in the Amboseli area. The local groups were able to make concrete improvements in governance processes based on the assessment.

Though designed initially to meet a need within the natural resource management community, we believe this approach would be useful

for helping to strengthen governance in any situation where groups of people need to make collective decisions about how to establish and enforce rules that help them to live together and achieve common goals.

We hope after reading this guide that you will be encouraged to use this tool in your work and to share your experiences with others.

APPENDICES

Guide to the Governance Questionnaires and Scoring Activity

To conduct the NRG, a standardized questionnaire is used in one-on-one interviews, either 1) with local actors who must interact with, or whose behaviours are regulated in some way, by the Governance Group, or 2) with those who work in the governance group itself. There are two different questionnaires corresponding to each type of interviewee. An important objective of the interviews is to highlight differences in how men and women interact differently with governance groups responsible for overseeing their activities, and how men and women in Governance Groups understand and carry out their jobs differently. Therefore, to the degree possible, an approximately equal number of interviews should be conducted with women and men. Whenever possible it is also important to interview members of minority groups as their well-being can be adversely influenced by poor natural resource governance.

The questions in the survey correspond to the 11 sub-attributes under Authority, Capacity, and Power. Each question helps to guide your team to better understand the strengths and weaknesses of the group. This means that the questions themselves are not what are ultimately important; they are there as guides for you to communicate the ideas to your interviewee and then be able to score the particular attribute. Thus, if/when you need to translate each question, it can be tweaked in the local language, and does not need a direct translation.



One-on-one interview being conducted in Bateke, Congo. Photo Credit: WCS

This flexibility should avoid certain challenges of cultural differences in understanding and explanations of governance to rural communities and local implementers. What is most important is that the leader of the survey understands each of the sub-attributes. To help out the interviewer, a more detailed explanation of each question is provided on the pages following the questionnaires.

Once you finish the interview, work with your colleagues to score the attributes of the questionnaire. The scoring guide at the end of the appendices can be used to help determine a standard score for each of the 11 sub-attributes. Scores should be developed for each attribute in each of your interviews, and then entered into the database - an average score for your governance group based upon all the interviews is automatically calculated in the database.

APPLICATION OF NATURAL RESOURCE GOVERNANCE TOOL

Questionnaire guide for one-on-one interviews with people who work for governance groups

Date (DDMMYY): _____ Interview # (AA): _____

Governance group: _____

I. INTERVIEWEE BACKGROUND INFORMATION

1. Sex (Circle one): Female Male
2. Position: _____
3. When did the person assume their present position (Month and year)? _____
4. Place of work/location of post: _____
5. Paid position? (circle) Yes No
6. Hours worked per week? _____
7. Did the person have a different position in the Group before assuming this one? Yes No
 - 7a. If yes, what was it? _____
 - 7b. How long in that old position? _____
8. To whom does the person now report? (Who is his/her boss (Name and position))? _____

9. Does the person supervise others? Yes No
 - 9a. How many? _____
 - 9b. If yes, what do these people do? _____

II. Governance Assessment

1. What does the **Group** do? What is its job? _____

2. Does it have the right to do this job? (de facto community authority or de jure governmental authority) **Yes** **No**

2a. If yes, where did the right come from? (from the community, from the State, etc) _____

2b. If no, who does have the right to do this job? Who should be doing it? _____

Legitimacy Score (circle) -2 -1 0 1 2

Formulate attribute scores in team discussion after interviews completed

3. Who does the **Group** answer to? _____

3a. If it makes a mistake, or does not do its job the way that it is supposed to, who can tell the **Group** to change?

Accountability Score (circle) -2 -1 0 1 2

4. Does the Group do a good job of letting people know what it does? (Does the group communicate what it is doing?) Do most people feel like they know what the **Group** is doing? **Yes** **No**

4a. If yes, how does it keep people informed of its activities? What does the Group do to make sure that people know what they are doing?

4b. If no, what are the weaknesses and what should the **Group** be doing to make sure that people are well informed about what it is doing? _____

Transparency Score (circle) -2 -1 0 1 2

5. Are people living around here able to tell the **Group** when they have a suggestion about how it could do its job better, or more fairly? Can people complain if they feel that the **Group** is not doing a good job and expect that someone will pay attention?

Yes **No**

5a. If yes, what does it do to make sure people have a chance to make suggestions and proposals or complain about problems?

5b. If no, what could, or should, it do to make sure that people have a chance to make suggestions, proposals and complaints?

Participation Score (circle) -2 -1 0 1 2

6. Does the **Group** treat everyone in a fair way? Or does it seem to favor some people over others (men, women, pygmy, bantu)?
(circle) **Fair** **Not Fair**

6a. If fair, what is it about how the **Group** works that makes it seem fair to you?

6b. If not fair, what is not fair about how the **Group** works? _____

6b1. What could it do to be more fair in the way it does its job? _____

Fairness Score (circle)	-2	-1	0	1	2
-------------------------	----	----	---	---	---

7. Do people who work for the **Group** know how to do their jobs well? Do they have the technical knowledge to manage resource use or monitor natural resources, for example? Do they know the policies? **Yes** **No**

Examples? _____

Knowledge/ Skills Score (circle)	-2	-1	0	1	2
----------------------------------	----	----	---	---	---

- 8a. Does the **Group** have the equipment it needs to do a good job? **Yes** **No**

Examples? _____

- 8b. Does the **Group** have the personnel it needs to do its job? **Yes** **No**

Examples? _____

8c. Does the **Group** have the finances it needs to do its job? **Yes** **No**

Examples? _____

Resources Score (circle) -2 -1 0 1 2

9. Are there laws, or rules, that are written down so that the people who work for the **Group** and local people all know what it is supposed to be, doing and why? **Yes** **No**

Examples? _____

Institutional Framework Score (circle) -2 -1 0 1 2

10. Do you think the **Group** tries to do a good job? **Yes** **No** What makes you say that? _____

Motivation Score (circle) -2 -1 0 1 2

11. When the **Group** makes a decision to adopt a rule, do authorities (for example, chiefs, mayors, governors, or civil servants) respect the decision? Or do they just do what they want to anyway? (circle) **Respect** **Do what they want anyway**

Why do you think that is? _____

I 1a. Can the group protect, more or less, resources from illegal use (for example, from military poachers, neighboring jurisdictions, or the population themselves)? **Yes** **No** **Explain** _____

Enact Decision Score (circle)	-2	-1	0	1	2
-------------------------------	----	----	---	---	---

I 2. If people whose resource use is managed think that when the **Group** is doing a bad job, is there anything the people themselves can do to make it do better? **Yes** **No**

I 2a. If yes, what can they do? _____

I 2b. If no, what should people be able to do if the **Group** is doing a bad job? _____

Held Accountable Score (circle)	-2	-1	0	1	2
---------------------------------	----	----	---	---	---

I 3. Are women represented equally in the group? **Yes** **No**

I 3a. If Yes, are their ideas listened to and adopted by the **Group**? _____

I 3b. If No, why is this? _____

14. Are minority peoples represented equally in the group **Yes** **No**

I 4a. If Yes, are their ideas listened to and adopted by the **Group**? _____

I 4b. If No, why is this? _____

Diversity Score (circle)

-2

-1

0

1

2

APPLICATION OF NATURAL RESOURCE GOVERNANCE TOOL

Questionnaire guide for one-on-one interviews with people regulated by a governance group

Date (DDMMYY): _____ Interview # (AA): _____

Governance group: _____

I. INTERVIEWEE BACKGROUND INFORMATION

1. Sex (Circle one): Female Male
2. Birth Year: _____
3. Home Location: _____

The questions that follow should be copied from section “II. Governance Assessment” from the Governance Group questionnaire.

EXPLANATIONS OF THE QUESTIONNAIRE FOR ONE-ON-ONE INTERVIEWS

The purpose of this section is to guide the interviewer to clearly understand each question, so he/she can rephrase questions as needed to interviewees who may not clearly understand what is being asked of them. Below are the main interview questions.

Governance Assessment

1. What does the Group do? What is its job?
This question helps you to understand the scope of the work the group should do. Thus, get your interviewee to describe the role of the governance group; what is it meant to do in managing the natural resources under its jurisdiction?
2. Does it have the right to do this job? (de facto community authority or de jure governmental authority)
This question helps you to understand whether this group is authorized by someone or some institution, either the government or the community, to manage the natural resources.
 - 2a. If yes, where did the right come from? (from the community, from the State, etc)
Is this a national institution whose right comes from the State? Or a community institution that was created within some jurisdiction?
 - 2b. If no, who does have the right to do this job? Who should be doing it?
If this group is operating without true legitimacy, who does the interviewee think should be doing it?
3. Who does the Group answer to?
Does the group report to the State? Or, if it is a community institution, who does it report to?
 - 3a. If it makes a mistake, or does not do its job the way that it is supposed to, who can tell the Group to change?
This question helps answer the question of who the group is accountable to—who it reports to. If it is a true community

institution, they should be reporting to the community, who in turn can tell it to modify its actions.

4. Does the Group do a good job of letting people know what it does? (Does the group communicate what it is doing?) Do most people feel like they know what the Group is doing?
This helps you understand to what extent the group communicates with its constituency, and to what extent the community members understand or receive this communication. often there is some disconnect between what a governance group may think it is communicating, and to what extent people understand what the governance group is doing.
Are there particular groups, women, young men, who don't receive information? One point to consider, do people who respond that they don't know, how much have they tried to find out? Understanding these points will help you improve transparency within the governance group.
 - 4a. If yes, how does it keep people informed of its activities? What does the Group do to make sure that people know what they are doing?
 - 4b. If no, what are the weaknesses and what should the Group be doing to make sure that people are well informed about what it is doing?
5. Are people living around here able to tell the Group when they have a suggestion about how it could do its job better, or more fairly? Can people complain if they feel that the Group is not doing a good job and expect that someone will pay attention?
Participation within the Group, or between the Group and the people whose access they manage, is an important part of a group's authority. These questions help you to improve this participation within the Group.
 - 5a. If yes, what does it do to make sure people have a chance to make suggestions and proposals or complain about problems?
 - 5b. If no, what could, or should, it do to make sure that people have a chance to make suggestions, proposals and complaints?
6. Does the Group treat everyone in a fair way? Or does it seem to favor some people over others (Men, women, pygmy, bantu)?
Questions to help you understand in which ways the group may discriminate against certain groups of people—women, minorities, or the elderly

6a. If fair, what is it about how the Group works that makes it seem fair to you?

6b. If not fair, what is not fair about how the Group works?

6b1. What could it do to be more fair in the way it does its job?

7. Do people who work for the Group know how to do their jobs well? Do they have the technical knowledge to manage resource use or monitor natural resources, for example? Do they know the policies?

These next three questions are key—where do weaknesses in the Group’s technical, personnel, and financial capacity exist? Do they have enough people to do what is necessary? Although they probably don’t have lots of money, do they have enough to do the various components of the group’s work (patrols, communicating with the public, monitoring, etc). What skills do they lack? What are they good at? Many of your interventions will focus on this, so it will be an important component to document.

8. Does the Group have the equipment it needs to do a good job?

8a. Does the Group have the personnel it needs to do its job?

8b. Does the Group have the finances it needs to do its job?

9. Are there laws, or rules, that are written down so that the people who work for the Group and local people all know what it is supposed to be, doing and why?

This is a question related to not whether or not people actually know the laws and rules of natural resource use, but if these laws and frameworks exist. Is there a community forestry/wildlife law that allows the Group to enact and enforce the rules?

10. Do you think the Group tries to do a good job? What makes you say that?

A group may have the capacity it needs to function, but if the group’s members do not work, are corrupt, the group will not work well. In order to help a group overcome this weakness, it is important to understand why the members may not be working, or understand the negative incentives you must combat.

11. When the Group makes a decision to adopt a rule, do authorities (for example, chiefs, mayors, governors, or civil servants) respect the decision? Or do they just do what they want to anyway?

This question and that following helps you understand who, or what groups, in the region do not respect the rules made by the Group, and most importantly, who cannot not be effectively stopped or sanctioned by the group. These are probably well known already, however it is good to monitor how you can effectuate change over time.

I 1a. Can the group protect, more or less, resources from illegal use (for example, from military poachers, neighboring jurisdictions, or the population themselves)?

I 2. If people whose resource use is managed think that when the Group is doing a bad job, is there anything the people themselves can do to make it do better?

I 2a. If yes, what can they do?

I 2b. If no, what should people be able to do if the Group is doing a bad job?

These questions help you understand if the governance group can be held accountable for their actions (or inactions), followed by how your interviewee thinks that change can be made.

I 3. Are women represented equally in the group?

I 3a. If Yes, are their ideas listened to and adopted by the Group?

I 3b. If No, why is this?

What can be done to improve gender balance?

I 4. Are minority peoples represented equally in the group?

I 4a. If Yes, are their ideas listened to and adopted by the Group?

I 4b. If No, why is this?

What can be done to improve minority participation and inclusivity?

GOVERNANCE ASSESSMENT SCORING SHEET

Developed by:
African Wildlife Foundation
World Wildlife Fund
Wildlife Conservation Society

Attributes	Criteria	Assessment Score	Comments/ Explanations	Recommendations
AUTHORITY				
<i>Legitimacy</i>	The group has no legal or traditional authority to define rules or the ability to follow through with implementation of plans.	-2		
	The process of legal or traditional recognition of the group to define the rules and implement procedures is underway but not yet completed.	-1		
	The group has a legal or official recognition to participate in the process of creating rules and monitoring procedures to ensure enforcement, but its role is not accepted by all local stakeholders (if customary) or there are disagreements over attribution (in the case of the government).	0		
	The group has legal or traditional recognition only to determine what resource and land use is permitted, to define who has access to certain resources, or can implement certain land use practices. Its legitimacy in relation to enforcement, however, is not recognized.	+1		
	The group is officially recognized by a legal act or traditionally as having jurisdiction to determine what resources or land use is permitted, to determine resource access. It can also decide what penalties will be imposed for violation of these rules.	+2		

Attributes	Criteria	Assesment Score		Comments/ Explanations	Recommendations
<i>Responsibility</i>	The group has no set specifications or clearly defined structure and no action is taken to guide the management of natural resources on behalf of the communities it is supposed to represent.	-2			
	The group has no set specifications, no structure and takes no active responsibility in decision-making (they are just there in name and do not operate in practice,).	-1			
	The group has a clearly defined set of specifications and a clearly defined structure, but its members do not take any initiative in decision-making related to the management.	0			
	The group has a set of specifications and a clearly defined structure and is actively involved in the management, and decision-making, but ignores the interest of the communities they represent.	+1			
	The group has a set of specifications, a clearly defined structure, and is actively involved in management decisions while taking into account the interested of the communities they represent.	+2			
<i>Participation</i>	Indigenous and traditional peoples have no impact on the process of developing policies that limit access and use of resources, or in deciding penalties for those who do fail to meet the standards sets.	-2			
	Indigenous and traditional people have little impact on decisions regarding the management of the area, and play no role in management.	-1			
	The participation of indigenous and traditional people in decision-making and management of the area is random and on an ad hoc basis.	0			
	Indigenous and traditional people directly contribute to some important decisions related to management but their involvement should be improved.	+1			
	Indigenous and traditional people directly participate in all relevant decisions concerning the management and suggestions, proposals and complaints are considered (continuous and constant interaction).	+2			

Attributes	Criteria	Assesment Score		Comments/ Explanations	Recommendations
<i>Transparency</i>	People have no information on the group's activities and decisions. Authorities are using the system for their own interest.	-2			
	People receive information that is filtered, from a small number of sources, and is of little use to different member of the governance group.	-1			
	People receive scattered, irregular, information from the governance group.	0			
	The group shares decisions and informs the population about their activities through regular forums without giving them the opportunity to access all the information. There is less possibility for the authorities to abuse the system for their own interests.	+1			
	The meetings of the governance group are open to the press and the public, budgets can be found easily, and the laws and decisions made are open for discussion.	+2			
<i>Equity</i>	Rules and enforcement standards set by the group do not provide fair management standards in defining rules, their application, and the sharing of benefits arising from the management of natural resources	-2			
	The group blatantly discriminates against stakeholders in defining rules, their application, and the sharing of benefits arising from the management of natural resources	-1			
	Standards of fairness are provided in the rules put in place, but are never enforced or applied to the "client's head".	0			
	Standards of fairness are provided in the rules put in place but are only partially implemented.	+1			
	The rules governing access and use of natural resources are fair in terms of who benefits and who bears the costs and are applied equally to all individuals and groups. ie the costs and benefits are fairly distributed, equal rights under the law and equal application of the law.	+2			

Attributes	Criteria	Assessment Score	Comments/ Explanations	Recommendations
CAPACITY				
<i>Knowledge and Skills</i>	The group has no competence and knowledge of a) factors- biological, economic, historical, sociopolitical and know what could jeopardize long-term viability of the use of natural resources; b) policies and practices that would be needed to remedy the situation so that the resources of value are kept and used in a sustainable manner; and c) means of a group to monitor the effectiveness of the implementation of their conservation plans.	-2		
	The group has low skills and knowledge of a) factors- biological, economic, historical, sociopolitical and know what could jeopardize the long-term viability of the use of natural resources; b) policies and practices that would be needed to remedy the situation so that the resources of value are kept and used in a sustainable manner; and c) a means of monitoring the effectiveness of the implementation of their conservation plans.	-1		
	The group has good skills and knowledge of a) factors- biological, economic, historical, sociopolitical and know what could jeopardize the long-term viability of the use of the natural resources, but not b) policies and practices that would be needed to remedy the situation so that the resources of value are kept and used in a sustainable manner;	0		
	The group has good skills and knowledge of a) factors- biological, economic, historical, sociopolitical and know what could jeopardize the long-term viability of the use of natural resources and b) policies and practices that would be needed to remedy the situation so that the resources of value are kept and used in a sustainable manner; but not c) means a group can monitor the effectiveness of the implementation of their conservation plans.	+1		
	The group has good skills and knowledge of a) factors- biological, economic, historical, sociopolitical and what could jeopardize the long-term viability of the use of natural resources, b) policies and practices that would be needed to remedy the situation so that resources of value are kept so that the resources of value are kept and used and used in a sustainable manner; and c) the means to monitor the effectiveness of the implementation of their conservation plans.	+2		

Attributes	Criteria	Assesment Score		Comments/ Explanations	Recommendations
<i>Resources</i>	There is no material, finical means ant that staff numbers are not sufficient.	-2			
	The budget, material and the staff available are inadequate to meet the needs of the group.	-1			
	The budget and the material are inappropriate but the staff is adequate to respond to the basic needs of the group's mission.	0			
	The budget, the material, and the staff available are acceptable to meet the basic needs of the group's mission, but it is not able to meet all the basic needed.	+1			
	The budget, material and personal available is sufficient to cover all of the needs of the group and to measure the plans that they put into place and to evaluate and communicate the results and the impacts of their efforts.	+2			
<i>Regulatory Framework</i>	There are no laws or traditional customs that define the rules of management.	-2			
	There is a profusion of laws with often-contradictory rules for management	-1			
	There are national laws and regulations or customary principles, which are not adapted to the context managed by the governance group resources	0			
	There are specific rules and management standards, which are not used to drive the management by governance group.	+1			
	The actions of the governance group are based on a set of rules and regulations that explicitly engage the informal or customary law on who has access to what resources and to what these resources are and how these resources can be used, though their actions are unlikely to be effective in the long term.	+2			

Attributes	Criteria	Assesment Score		Comments/ Explanations	Recommendations
Motivation	Members of the group have no initiative and spontaneity. The group exists in name only and even when support is given the expected outcome is not obtained.	-2			
	Members of the group perform their duties sporadically because they do not receive finical, material, and technical assistance. Once they have this support in the future, they will be able to act more efficiently.	-1			
	More than 20% of group members are willing to give their all in the work duties without external input (material, financial, technical).	0			
	More than half of the group members have taken initiatives to give body and soul and engage personally and unwavering commit to do whatever is necessary to accomplish their mission with our without external input (material, finical, or other).	+1			
	With or without external input (material, financial, technical), the group and its members give body and soul and engage personally with unwavering commitment to do whatever is necessary to accomplish their mission.	+2			
POWER					
Implementa- tion of group decisions	The group cannot make and enforce decisions.	-2			
	The group takes management decisions theoretically but never implements them.	-1			
	The group has the power to make decision and implement them on a portion of the species that exist on the resources it governs.	0			
	The group makes management decisions and implements and enforces them in harmony with the users and rights holders.	+1			
	The group makes management decisions, has the authority and autonomy to enforce and apply all the rules in harmony with users and right holders.	+2			

Attributes	Criteria	Assesment Score		Comments/ Explanations	Recommendations
<i>Accountability</i>	Users and rights holders of the resources under control of the governance group do not have access to management have no opportunity to access management information, make requests or demand accountability.	-2			
	A platform for public access to information and formulation of questions to governance groups was planned but was never made operational.	-1			
	A public platform for information and formulation of questions to the governance group exists, but users and resource rights holders do not have the knowledge, time, or finical resource to exploit and vice versa.	0			
	A public platform for information and formulation of questions to the governance groups exists, users and rights holders have the knowledge, time, and financial resources to operate, but are not informed of the opportunity.	+1			
	There is a statutory or customary framework in place to facilitate public access to information about the group's work, to make requests and to get answers in response.	+2			



U.S. Agency for International Development

1300 Pennsylvania Avenue, NW

Washington, DC 20523

Tel. 202 712 0000

Fax. 202 216 3524

www.usaid.gov