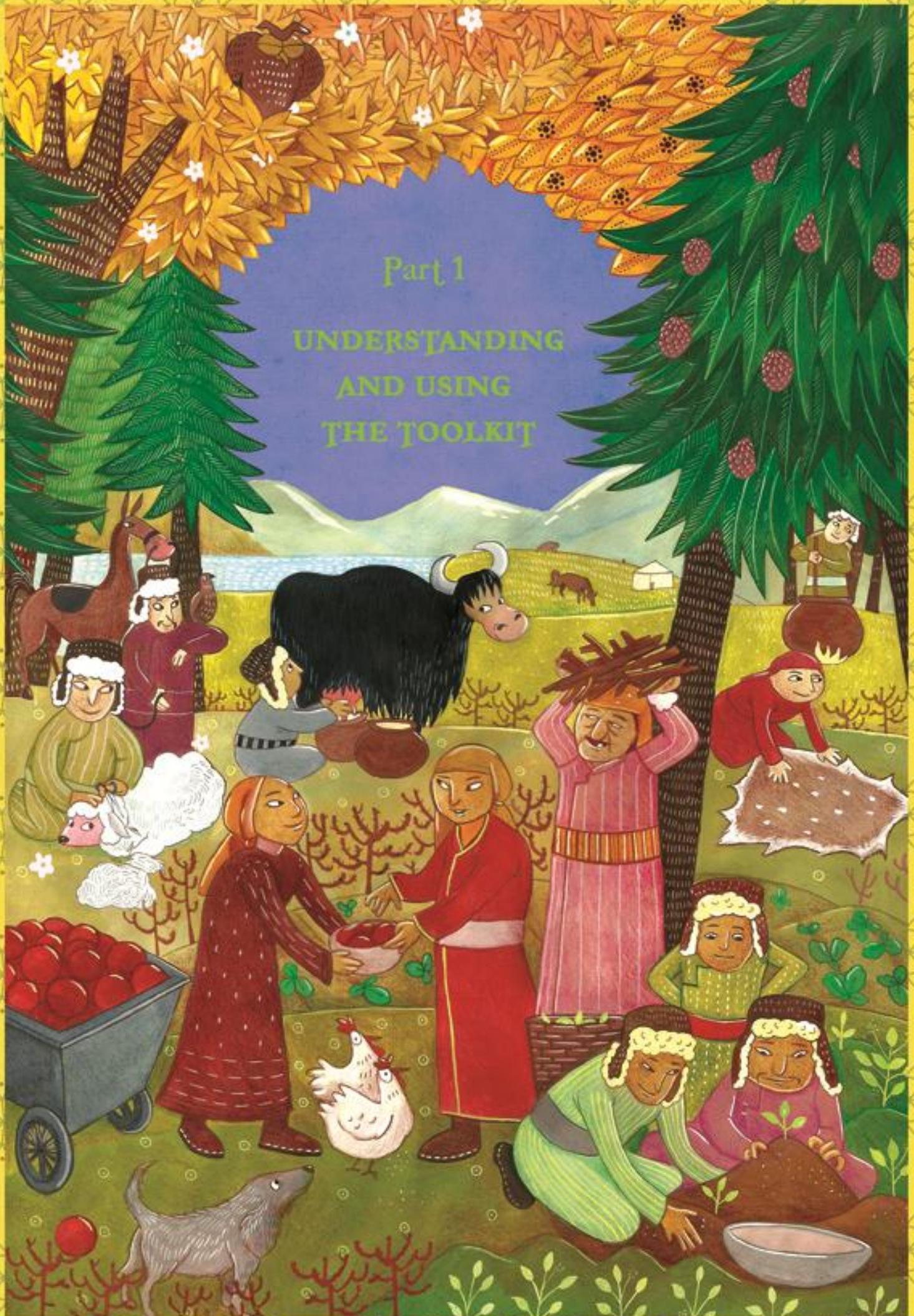
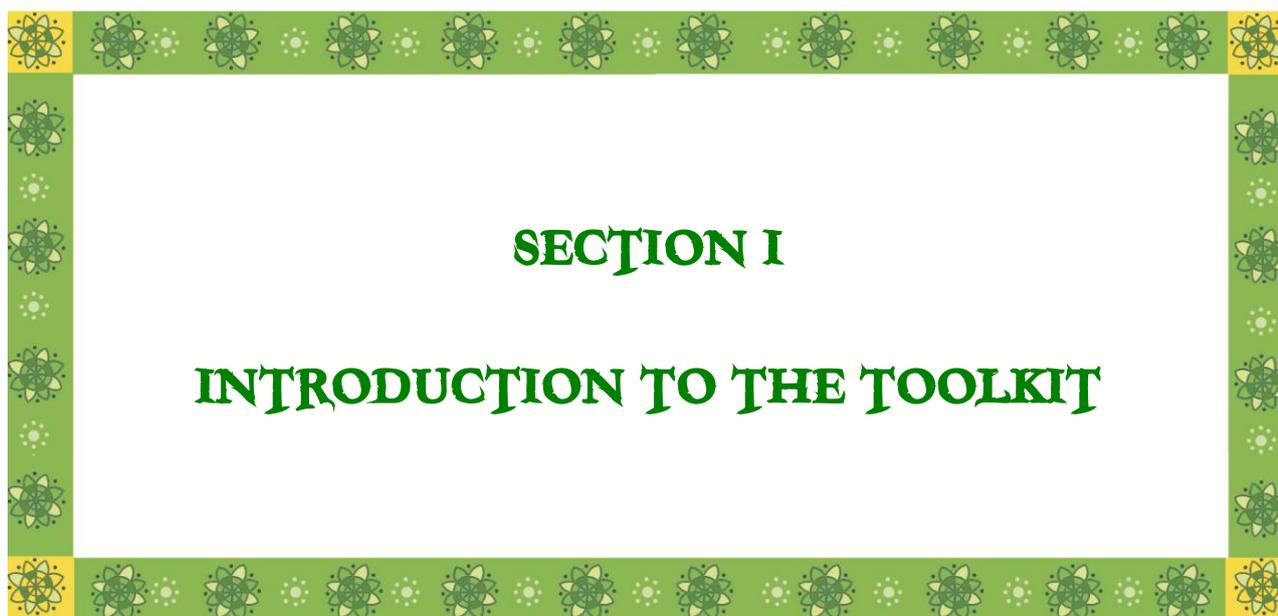


Part 1

UNDERSTANDING
AND USING
THE TOOLKIT





Indigenous peoples and many local communities have unique protocols, procedures, rules, and regulations (referred to as ‘protocols’) that regulate their interactions within and between communities and with the territories and areas upon which they depend. Protocols provide clarity to community members about rights, responsibilities, and appropriate behaviour. Respecting and acting according to community protocols helps ensure social cohesion and reinforces customary laws, values, and decision-making processes.

Indigenous peoples and local communities are increasingly engaging with external actors such as government agencies, researchers, companies, and non-governmental organizations (NGOs). However, external actors often do not understand customary protocols and governance systems because they are codified in ways specific to each community, culture, and location. Failing to respect community protocols, whether intentional or not, can lead to conflict, deterioration of otherwise constructive relations, and negative impacts on the environment.

To address this issue, Indigenous peoples and local communities have begun to document and develop their protocols into forms that can also be understood by others. They are using them to ensure that external actors respect their customary laws, values, and decision-making processes, particularly those concerning stewardship of their territories and areas. They are actively seeking recognition of customary systems of governance and management, including traditional knowledge and practices, and their roles in the conservation and sustainable use of biological diversity and ecosystem adaptation. Many are referring to these instruments as ‘biocultural community protocols’.¹

A. OVERVIEW OF THE TOOLKIT

Biocultural Community Protocols: A Toolkit for Community Facilitators (the Toolkit) is for Indigenous peoples, local and mobile communities, and supporting community-based and non-governmental organizations (CBOs and NGOs). It is intended to support communities to secure their rights and responsibilities and strengthen customary ways of life and stewardship of their territories and areas. **It is directed primarily towards facilitators from the communities themselves or from supporting organizations with whom they have long-standing and positive relationships.**

¹ Note: This Toolkit uses the terms ‘biocultural community protocol’, ‘community protocol’, and ‘protocol’ interchangeably. See **Part I: Section II/F** for a discussion about guiding principles.

The Toolkit consists of four parts:

- **Part I** is intended to help community facilitators understand and effectively use the Toolkit. It introduces the Toolkit and what biocultural community protocols are and how they are being used around the world. It provides guidance on using the Toolkit, including considerations of understanding the community and the role of the facilitator. It also provides an overview of a number of key methods and tools to choose and adapt as appropriate in each local context.
- **Part II** provides guidance on documenting and developing a biocultural community protocol. It references key methods and tools from Part I and suggests guiding questions for the appropriate documentation of aspects of the community's ways of life, consolidation of a protocol, and development of strategies to put the protocol into practice.
- **Part III** provides guidance on using a biocultural community protocol. It suggests a number of ways to engage with external actors, raise awareness with communities and the broader public, engage in key decision-making processes, negotiate with external actors, and prevent and resolve conflict.
- **Part IV** provides guidance on reflecting on processes and changes to date, reporting back to the community and to external actors, and revisiting and revising the protocol and associated strategies and plans.

The Toolkit is intended for use in conjunction with the dedicated website www.community-protocols.org. The website contains a wide range of supplementary multimedia resources that will be added and updated over time, including:

- Short films, photo stories, and slideshows;
- Articles, books, magazines, and journals;
- Information about key methods and tools relating to endogenous development, participatory documentation and communication, legal empowerment, social mobilization, advocacy, and monitoring and evaluation;
- Legal resources such as e-learning modules on key legal frameworks that relate to Indigenous peoples, local communities, and their territories and areas;
- Networking opportunities; and
- Links to existing community protocols from Africa, Asia-Pacific, and the Americas.

Overall, the Toolkit aims to strike a balance between underscoring important principles and providing practical guidance, retaining some degree of structure without being overly prescriptive. It is intended to empower communities to make informed decisions about participatory and legal empowerment methods and tools that can help secure their rights and responsibilities and strengthen customary ways of life and stewardship of their territories and areas.

B. BACKGROUND TO THE TOOLKIT

This is the first edition of the Biocultural Community Protocols Toolkit, developed as part of the Regional Initiatives on Biocultural Community Protocols.² Protocols are being developed by a number of Indigenous peoples and local and mobile communities and their supporting organizations around the world (see Table 1).

² For more information on the African and Asian Initiatives on Biocultural Community Protocols, see: <http://naturaljustice.org/our-work/regional-initiatives/biocultural-community-protocol>.

Table 1: Communities and supporting organizations that have developed or are developing and using biocultural community protocols

Communities	Supporting Organizations
AFRICA	
Traditional health practitioners in Mpumalanga, South Africa	Kakula Traditional Health Practitioners Association
Tanchara community and communities in the Nadowli District of northern Ghana	Centre for Indigenous Knowledge and Organizational Development
Pastoral communities on the Waso Rangeland in northern Kenya	Kivulini Trust
Karima community in the central highlands of Kenya	Porini Association
Samburu pastoralists in the Samburu District, Kenya	LIFE Network Kenya
Maasai Communities of Ilkesumeti in the Kajiado District, Kenya	Mainyoito Pastoralist Integrated Development Organization
Indigenous communities in Lamu, Kenya	Save Lamu
Traditional residents of the Sheka Forest, Ethiopia	MELCA-Ethiopia
ASIA	
Jaisalmer camel breeders and Raika livestock keepers in Rajasthan, India	Jaisalmer Camel Breeders Association and Lokhit Pashu-Palak Sansthan
Maldhari livestock keepers in Kachchh, Gujarat, India	Banni Breeders Association and Sahjeevan
Lingayat livestock keepers in the Bargur Forest Range of Tamil Nadu, India	Sustainable Agriculture and Environment Voluntary Action
Traditional healers and medicinal plants conservation farmers in Rajasthan, India	Jagran Jan Vikas Samiti
Vaidyas (traditional healers) of the Malayali tribes in the Vellore District of Tamil Nadu, India	Association of Tamil Nadu Traditional Siddha Healers
Farmers in Nagapattinam District, Tamil Nadu, India	Sirkhazi Organic Farmers Association and Centre for Indian Knowledge Systems
Organic farmers across Sri Lanka	Future in Our Hands
Indigenous Dusun communities in Sabah, Malaysia	Global Diversity Foundation and Partnership of Community Organizations (PACOS)
Livestock keepers in Balochistan and Cholistan, Pakistan	Society of Animal, Veterinary and Environmental Scientists (SAVES)
Indigenous nomadic pastoralist tribes in Iran	Centre for Sustainable Development (CENESTA)
SOUTH AND CENTRAL AMERICA	
Alto San Juan community in Chocó, Colombia	ASOCASAN Community Council and Instituto de Investigaciones Ambientales del Pacífico
Quechua communities in Peru	Asociación ANDES
Chipaya and Tapacari communities in Bolivia	AGRUCO
Mapuche communities in Lafkence, Chile	Kume Felen
Kuna Yala communities in Panama	Fundación para la Promoción del Conocimiento Indígena
Mayan communities in Guatemala	Oxlajuj Ajpop

In addition, the toolkit builds on ongoing interactions with non-governmental organizations, networks, and initiatives that have explored biocultural community protocols and related issues, including (among others):

- African Biodiversity Network
- COMPAS Network for Endogenous Development
- ICCA Consortium
- League for Pastoral Peoples and Endogenous Livestock Development (LPP)
- Local Livestock for Empowerment (the LIFE Network)
- Sacred Natural Sites Initiative
- Sociedad Peruana de Derecho Ambiental (Peru)

Several institutions and international and intergovernmental organizations have also contributed to the development of the theories and methods behind biocultural community protocols, including (among others):

- ABS Capacity Development Initiative
- Institute of Ayurveda and Integrative Medicine and Foundation for Revitalisation of Local Health Traditions (India)
- International Institute for Environment and Development (IIED)
- Union for Ethical BioTrade
- United Nations University Institute of Advanced Studies (UNU-IAS)

C. ACKNOWLEDGEMENTS

For their financial support of various aspects of our work on biocultural community protocols and legal empowerment, Natural Justice extends sincere appreciation to the following organizations and institutions (in alphabetical order):

- Access and Benefit Sharing Capacity Development Initiative
- The Christensen Fund
- CDT Foundation
- Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)
- Heinrich Böll Foundation for Southern Africa
- International Development Law Organization
- International Development Research Centre through the Open AIR Initiative
- International Union for Conservation of Nature Environmental Law Centre
- Open Society Initiative for Southern Africa
- Personnel Cooperation in Developing Countries (PSO, The Netherlands)
- Shuttleworth Foundation
- Swedish International Biodiversity Programme
- United Nations Educational, Scientific and Cultural Organization (UNESCO)
- United Nations Environment Programme (UNEP)
- United Nations University Institute of Advanced Studies (UNU-IAS)

In addition to the many communities, organizations, and networks noted in **Part I: Section B** above, a number of people have contributed directly to the development of this toolkit. Natural Justice thanks the following individuals for their invaluable guidance, input, and feedback: Julian Sturgeon (Resource Africa), Wim Hiemstra (COMPAS Network), Ilse Köhler-Rollefson (League for Pastoral Peoples), K. A. Kahandawa (Future in Our Hands, Sri Lanka), Bern Guri (Centre for Indigenous Knowledge and Organization Development, Ghana), Sabyasachi Das and Ramesh Bhatti (Sahjeevan, India), Abdul Raziq Kakar (SAVES, Pakistan), Million Belay and Befekadu Refera (MELCA, Ethiopia), Hadija Ernst (Save Lamu, Kenya), Bas Verschuuren and Robert Wild (Sacred Natural Sites Initiative), Taghi Farvar (CENESTA), Govindaswamy Hariramamurthi (Institute of Ayurveda and Integrative Medicine, India), Suneetha Subramanian (UNU-IAS), Peter Croal (Canadian International Development Agency and Southern African Institute for

Environmental Assessment, SAIEA), Hjalmar Jorge Joffre-Eichhorn (Afghanistan Human Rights and Democracy Organization), Liz Rihoy and Njenga Kairo (Zeitz Foundation), Alejandro Argumedo (Asociación ANDES, Peru), Krystyna Swiderska (International Institute for Environment and Development, IIED), Kid James (South Central Peoples Development Association, Guyana), and Maurizio Farhan Ferrari (Forest Peoples Programme).

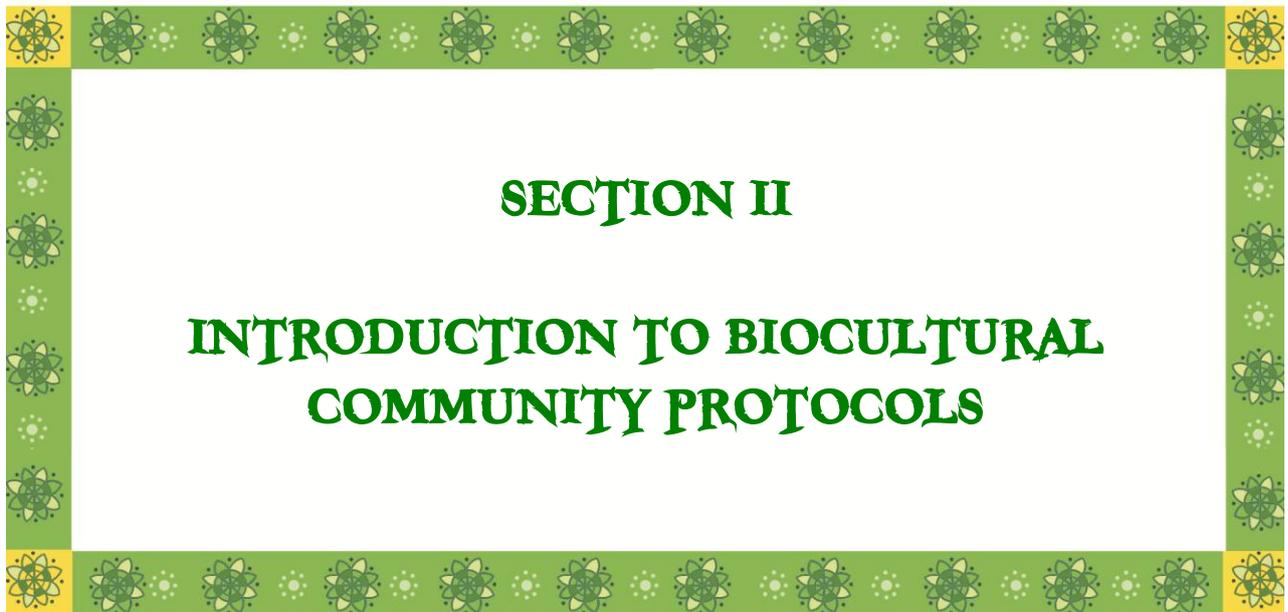
We also thank Priya Kuriyan for the beautiful illustrations and Silver Banana in Cape Town for the printing. Any errors or omissions in the toolkit are the responsibility of Natural Justice and the editors alone.

D. PROVIDING FEEDBACK

This Toolkit is intended to provide information and guidance to communities and supporting organizations interested in developing and using biocultural community protocols in support of their local initiatives and campaigns. It is also intended to foster dialogue and sharing of experiences and lessons amongst a broad cross-section of actors about the theories, methods, and applications of biocultural community protocols.

We welcome your feedback on content, ideas for further development, and specific inputs on community experiences and participatory tools. Please contact the editors at: Holly Shrumm (holly@naturaljustice.org) and Harry Jonas (harry@naturaljustice.org).

A second edition of the Toolkit is planned for late 2012. Please check www.community-protocols.org for notifications of additions or updates in the meantime.



A. WHAT IS A BIOCULTURAL COMMUNITY PROTOCOL?

Indigenous peoples and many local communities have close connections with specific territories or areas, which are the foundations of their identities, cultures, languages, and ways of life. This is sometimes referred to as collective biocultural heritage (see Box 1). Systems of self-governance and self-management have been developed over many generations, underpinned by customary laws, values, and beliefs. These decision-making systems enable communities to sustain their livelihoods and provide for future generations within the natural limits of their territories and areas.

Collective biocultural heritage is the knowledge, innovations, and practices of Indigenous peoples and local and mobile communities that are collectively held and inextricably linked to traditional resources and territories, local economies, the diversity of genes, varieties, species and ecosystems, cultural and spiritual values, and customary laws shaped within the socio-ecological context of communities.

Box 1: Definition of collective biocultural heritage (Developed at a 2005 workshop of research and Indigenous partners of the Traditional Knowledge Protection and Customary Law project; Source: Swiderska, 2006)

Many Indigenous peoples and local communities have customary rules and procedures, also known as protocols, to regulate conduct and interactions between themselves and outsiders. Protocols form an important part of customary law and are codified in many different ways such as oral traditions and folklore, dances, carvings, and designs.

Over the past several decades, communities have been increasingly engaging with external actors such as government agencies, researchers, companies, and conservation organizations. Sometimes this engagement occurs according to communities' protocols and locally defined priorities. In many cases, however, the terms of the engagement are initiated and defined by the external actor; communities often have to act defensively in response to imposed plans or threats.

As a result, there is growing recognition of the potential usefulness of articulating communities' protocols in forms that can be understood by others. Doing so can help put external actors on notice about the community's identity and ways of life, customary values and laws, and procedures for engagement. It can also catalyze constructive dialogue and collaboration to support the community's plans and priorities in locally appropriate ways. These new forms of protocols are also called "biocultural community protocols".

The process of developing, and using a biocultural community protocol involves collective reflection and deliberation, participatory documentation and communication, legal empowerment, and social mobilization. It can be a powerful way for communities to determine and communicate their own plans and priorities and advocate for respect and appropriate support for their ways of life. A biocultural community protocol can serve as a platform for asserting rights and affirming responsibilities under customary, national, and international law, particularly in response to opportunities and challenges posed by external actors. It can also contribute to the revitalization of certain cultural practices or norms that affect their interactions with the environment.

Although each is adapted to its local context, a biocultural community protocol *is generally*:

- Determined by a self-defined community with a close connection to a specific territory or area that is the foundation of their identity, culture, language, and ways of life
- Documented, developed, and used in a participatory manner by that community and, where appropriate, with the support of trusted and long-standing organizations
- Intended to promote appropriate recognition of and support for community-specific customary ways of life and stewardship of their territory or area
- Based upon values, standards, procedures, rights, and responsibilities set out in customary, national, and international laws and policies

A biocultural community protocol *is not*:

- Determined or defined by an external actor such as a government official, researcher, businessperson, or consultant
- Documented, developed, or used in a top-down or prescriptive manner or in a way that undermines the community's decision-making processes and right to self-determination
- A guarantee that the community will provide free, prior and informed consent to an external invention or project
- An agreement to enter into any negotiations or contractual arrangements
- A tool that can be used to undermine or hinder values, standards, procedures, rights, and responsibilities set out in customary, national, and international laws and policies.

Key Resources on Biocultural Community Protocols

[Biocultural Community Protocols: A Community Approach to Ensuring the Integrity of Environmental Law and Policy](#) (Bavikatte and Jonas, 2009)

[Biocultural Community Protocols and Conservation Pluralism](#) (Jonas et al., 2010)

[Biocultural Community Protocols for Livestock Keepers](#) (Köhler-Rollefson, 2010)

[Community Biocultural Protocols: Building Mechanisms for Access and Benefit-sharing Among the Communities of the Potato Park Based on Quechua Customary Norms](#) (Asociación ANDES et al., 2011)

Community protocols website: www.community-protocols.org

B. WHY ARE COMMUNITIES DEVELOPING AND USING PROTOCOLS?

B1. External Threats

Communities are documenting, developing, and using protocols primarily in response to external threats and challenges caused by global demand for increasingly scarce natural resources. Many of these resources are in the customary territories and areas of Indigenous peoples and local communities and have been conserved and sustainably used as forests, watersheds, rangelands, mountains, and coral reefs. As a result, communities' territories and areas often become the targets of land and resource acquisition for external gains.

Privatization and nationalization of resources and the use of large-scale, industrial methods of production and consumption (see Box 2) are causing rapid rates of biodiversity loss and ecosystem destruction. Combined with social and political threats such as acculturation and discrimination, these environmental pressures significantly affect Indigenous peoples and local communities who depend upon their territories and areas for livelihoods and wellbeing. As a result, cultural and linguistic diversity are declining at alarming rates as well.

- Clear-cut logging
- Monoculture plantations such as soy and oil palm
- Bottom trawling for fish and crustaceans
- Large-scale aquaculture
- Mining and drilling for minerals, oil, and gas
- Infrastructure such as dams and transportation routes
- Introduction of invasive alien species and genetically-modified plants and animals
- Pollution and industrial waste
- Human-induced natural disasters
- Strictly protected areas such as national parks and nature reserves

Box 2: Examples of external threats to Indigenous peoples' and local communities' territories and areas

Perhaps at the heart of these issues is the nature of law itself. Laws compartmentalize parts of the environment and of communities' lives that are inseparable in reality. Indigenous peoples and local communities tend to view their territories and areas as integrated systems, with each part dependent upon others. In contrast, governments tend to view an area solely as distinct parts. They develop and implement multiple laws that separately address, for example, biodiversity, forests, water, wildlife, agriculture, and Indigenous knowledge. The result is the legal fragmentation of communities' ways of life, which can weaken their claims to self-determination.

For more information about critiques of the nature of law and its impacts on communities, please see www.community-protocols.org/context

Key Resources on External Threats to Communities' Territories and Areas

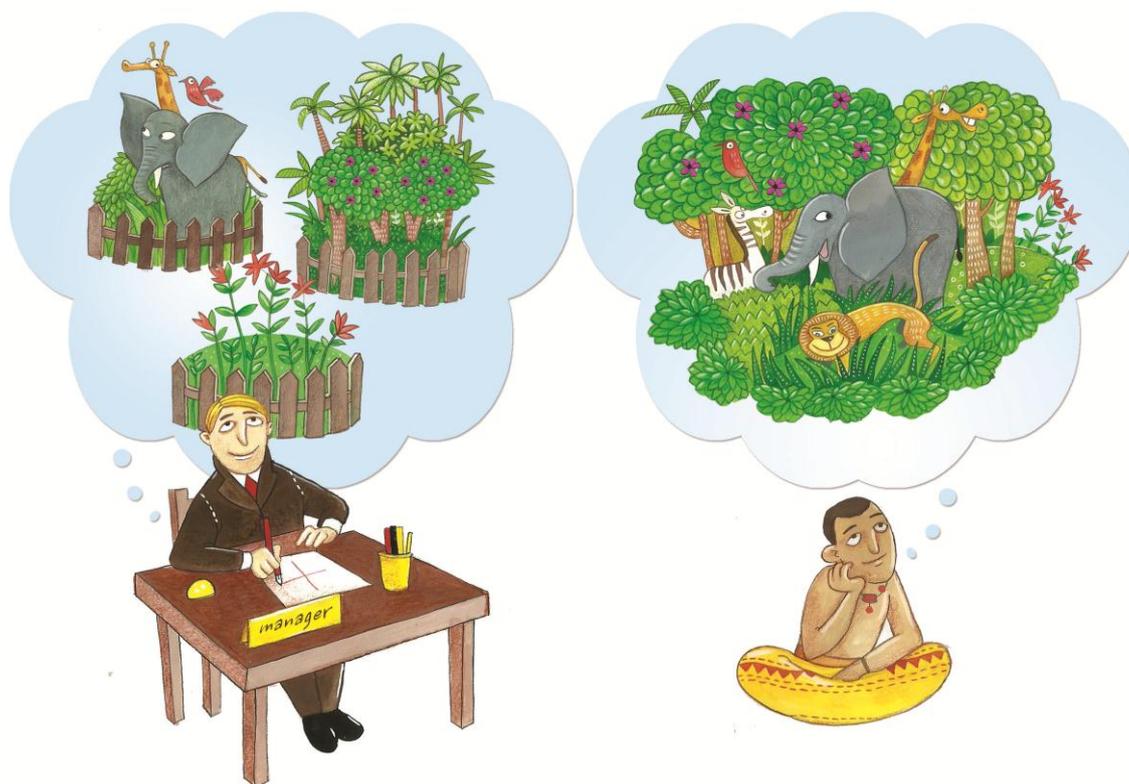
[Global Biodiversity Outlook 3](#) (Secretariat of the Convention on Biological Diversity, 2010)

[Land Rights and the Rush for Land: Findings of the Global Commercial Pressures on Land Research Project](#) (International Land Coalition, 2012)

[Land Deals in Africa: What is in the Contracts?](#) (IIED, 2011)

[Report of the Special Rapporteur on the Rights of Indigenous Peoples: Extractive Industries Operating Within or Near Indigenous Territories](#) (Anaya, 2011)

[Pushback: Local Power, Global Realignment](#) (Rights and Resources Initiative, 2011)



B2. Emerging Opportunities

At the same time as external threats are heightening, there are also new opportunities to engage with laws in positive ways. There is renewed respect for the multiple values of communities' animal breeds, crop varieties, non-timber forest products, and traditional knowledge, as well as the ecosystem connectivity and functions of their territories and areas. On this basis, communities are engaging in a range of legal frameworks such as biodiversity, agriculture, and climate change. Although each framework has its own philosophical and practical challenges, communities are beginning to effectively use them to secure basic rights and responsibilities. Biocultural community protocols are one rights-based approach to not only combat the fragmentary nature of positive law but also to ensure that it supports communities' ways of life.

B3. Community Responses

In response, Indigenous peoples and local communities are advocating for recognition of their customary use and stewardship of their territories and areas and the resources therein. They have pushed for legal reform at the national level in many countries and in select regional court cases. They have made significant achievements in international human rights law, particularly the United Nations Declaration on the Rights of Indigenous Peoples. They are also increasingly gaining recognition in a number of international environmental frameworks for rights related to traditional knowledge, customary use of resources, and governance of territories and areas (see Box 3 and Table 2).

According to the *Nagoya Protocol on Access and Benefit Sharing*, governments must consider customary laws, community protocols, and procedures with respect to traditional knowledge and genetic resources. They must also support the development of and raise awareness about community protocols and procedures. Some governments are now considering recognizing community protocols in their domestic legislation as well.

Box 3: Legal recognition of community protocols under the United Nations Convention on Biological Diversity

Table 2: Indigenous peoples' and local communities' rights in international environmental law and policy

Recognized Right	International Framework
Traditional knowledge, innovations, and practices and other expressions of cultural heritage	<i>United Nations Convention on Biological Diversity</i> <i>World Intellectual Property Organization</i> <i>United Nations Educational, Scientific and Cultural Organization</i>
Customary sustainable use of biological resources	<i>United Nations Convention on Biological Diversity</i> <i>Food and Agriculture Organization of the United Nations</i>
Genetic resources, including for food and agriculture	<i>United Nations Convention on Biological Diversity</i> <i>Food and Agriculture Organization of the United Nations</i>
Indigenous peoples and community conserved areas	<i>United Nations Convention on Biological Diversity</i> <i>International Union for Conservation of Nature</i>
Community-based adaptation to climate change	<i>United Nations Framework Convention on Climate Change</i>
Livelihood-specific rights (farmers, livestock keepers, and fisher folk)	<i>Food and Agriculture Organization of the United Nations</i>
Rights-based approaches to conservation	<i>International Union for Conservation of Nature</i>

Communities are gaining different types of rights (see Box 4). Some laws and policies prohibit external actors from harmful actions by establishing minimum standards of conduct. Other laws and policies mandate affirmative actions such as involving communities in decision-making processes that affect them.

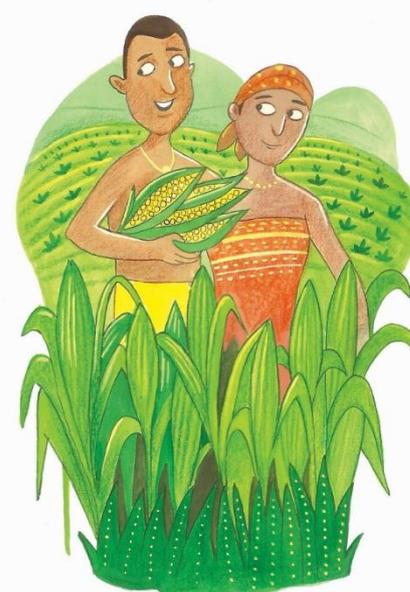
Procedural rights include rights to participate in decision-making, acquire information, and access justice. **Substantive rights** include rights to self-determination, self-governance, freedom from discrimination, freedom to practice culture, personal security, health, and education.

Communities are not just stakeholders whose views may or may not be considered. They are rights-holders and thus have the right to be involved in decisions that affect them and their territories or areas. Governments and other external actors have the legal duty to ensure that those rights are realized.

Box 4: Examples of types of rights

local views or priorities; companies damage ecosystems through unsustainable extraction of natural resources; NGOs impose top-down methods of 'sustainable development'; and researchers take communities' genetic resources and traditional knowledge without sharing benefits.

Indigenous peoples and local communities are thus exploring new ways to secure their ways of life and territories and areas, both proactively and defensively. Biocultural community protocols are one instrument with the potential to improve interactions with external actors towards this aim. Communities can use protocols to proactively clarify their values, priorities, rights, and responsibilities and call upon others to either act in supportive ways or cease harmful practices. Protocols can help catalyze social mobilization, strategic planning, and legal advocacy around specific issues that affect communities' territories and areas. Overall, protocols provide a platform for constructive engagement in accordance with community-defined plans and priorities (see Figure 1 below). They enable communities to begin to take control over the processes that affect their lives, rather than being the passive recipients of ready-made decisions or victims of abuse.



A biocultural community protocol may be developed for a number of different reasons. In general, communities have one or both of the following overarching motivations:

- **Proactive or aspirational:** Communities can invite external actors to contribute to their plans and priorities in constructive ways such as ensuring their participation in decision-making processes that affect them. This may involve seeking outright recognition of their ways of life and relationships with their territories and areas. It may also involve working collaboratively towards a tangible outcome such as a benefit-sharing agreement. Seeking mutual benefits is an important part of this approach.
- **Defensive:** Communities can call on external actors to cease harmful activities that are already occurring or that have the potential to occur if plans progress unchecked. This often involves seeking recognition of procedural and substantive rights and responsibilities to prevent future harms. Communities may also seek redress for past injustices or mediation for conflict resolution.



Figure 1: The foundations of a biocultural community protocol

C. HOW ARE COMMUNITIES DOCUMENTING AND DEVELOPING THEIR PROTOCOLS?

Documenting and developing a biocultural community protocol is an empowering process driven by community members themselves. A number of participatory methods can be used, including group discussions, various types of mapping and illustrations, audio/video interviews, role plays, and locally appropriate monitoring and evaluation. The community members can then prioritize issues, clarify messages to external actors, and consolidate the information into an appropriate format. Depending on whom it is directed towards and for what purpose, the protocol could consist of, for example, a written document, digital or 3-dimensional maps, films, photographs, and theatre performances. Whatever format is used, it should be meaningful to the community and should instill a sense of pride and ownership over the process and outcome.

Each protocol is as unique and diverse as the communities who develop them. However, most community protocols contain certain key themes (see Box 5). Developing a strategy for putting the protocol into practice is a critical next step.

- The community's identity, story of origin, and core values and norms
- Relationships between culture, language, spirituality, customary laws, resource use practices, traditional knowledge, and their territories and areas
- Customary institutions, decision-making processes, and other aspects of self-governance
- Challenges and concerns and how the community would prefer to address them
- Locally defined development plans and priorities
- Specific rights and responsibilities in customary, national, and international law
- Specific calls to external actors

Box 5: Key themes illustrated in biocultural community protocols

D. HOW ARE COMMUNITIES USING THEIR PROTOCOLS?

The process of using a biocultural community protocol can involve a number of tools and stages, including raising awareness amongst different communities and groups, engaging and negotiating with external actors, and engaging in decision-making processes such as impact assessments and national policies. It may also require efforts to prevent and resolve conflict.

Overall, communities are using their protocols to minimize the power asymmetries that often characterize interactions with external actors and to bridge the gaps between different worldviews, values, laws, and decision-making processes. They are using individual protocols in many different ways, including:

- Influencing national and international agricultural laws and policies to recognize livestock keepers' rights and farmers' rights;
- Reclaiming their plant genetic resources from gene banks;
- Regulating external access to their genetic resources and traditional knowledge and ensure equitable sharing of benefits;
- Clarifying terms and conditions for engaging in market-based mechanisms such as payment for ecosystem services, access and benefit sharing, and Reducing Emissions from Deforestation and Forest Degradation (REDD);
- Objecting to infrastructure development and extractive industries without their free, prior and informed consent and full participation in impact assessments;
- Increasing participation in the establishment, governance, and management of protected areas;
- Seeking recognition of customary systems of resource governance and conservation;
- Protecting sacred natural sites and groves against unwanted development;
- Seeking support for customary livelihood practices such as artisanal mining and fishing;
- Encouraging the use of ethical practices in the extraction and trade of biological resources; and
- Regulating the activities of academic researchers according to customary values.

The potential for biocultural community protocols to influence broader political and legal processes may require the aggregation (though not standardization) of several protocols that address similar issues. For example, multiple protocols calling for livestock keepers' rights could serve as the collective voice of a broader social movement, still based on unique local contexts, identities, and priorities. Community protocols are much more likely to influence structural change if they are used to catalyze coordinated social mobilization and challenge the status quo.

See www.community-protocols.org/community-protocols for a collection of protocols from Asia, the Pacific, Africa, and the Americas

E. POTENTIAL LIMITATIONS

Biocultural community protocols are not a panacea. They should be considered one of many different instruments that communities may use to secure their rights, responsibilities, territories, and areas. Potential limitations of the approach include, among others:

- The process of developing and using a protocol could be overly influenced by certain parties both outside and within the community;
- Focusing on customary laws may further entrench existing power asymmetries such as the exclusion of women and youth in community decision-making processes;
- Unrealistic expectations may be raised within the community, particularly if the idea is introduced by an external agency or if the community does not have sufficient agency or institutional capacity;
- If the process is rushed or not sufficiently inclusive, it could cause internal conflict and mistrust;
- Protocols may become another top-down imposition by governments or consultants;
- They may be used by external actors in unintended ways such as coercing communities into agreements;
- Documentation of sensitive information could increase external interest in the location of potentially lucrative resources or knowledge;
- Rich oral histories and traditional knowledge can be diluted by written and digital documentation;
- Actively raising issues of rights may cause conflict with external actors, particularly in politically sensitive or repressive countries; and
- It may be difficult to ensure community-based monitoring and evaluation of the process and outcomes.

Each of these concerns is valid and has the potential to become reality. More detailed guidance is provided in **Part I: Section III** to assist community facilitators to prevent and overcome them.

F. GUIDING PRINCIPLES

Is it possible to judge the quality and integrity of a biocultural community protocol? A document may be referred to as a 'community protocol', but could lack integrity if it was developed under duress or by an unrepresentative group of community members. On the other hand, a community may undertake a fully participatory process yet choose to call the outcome something other than a protocol.

Since there is no definitive answer to this question, it is more useful to consider what constitutes good process. Box 6 outlines a set of non-exhaustive guiding principles for the development and use of biocultural community protocols. They could also be used as guidance for other community instruments that support constructive engagement with external actors. These principles have been developed by the partners in the African and Asian Regional Initiatives on Biocultural Community Protocols and are open for comment and input from others.

The development of a *bona fide* biocultural community protocol (or other community-based instrument for engaging external actors) ...

... is a community endeavour that:

- Is endogenous
- Is empowering
- Is based on communities' values and procedures, while including the fullest and most effective participation of community members
- Promotes intra- and inter community dialogue, and intergenerational discussions
- Fosters consideration of the interlinkages between social, economic and spiritual wellbeing
- Explores the diversity of knowledge and skills in the community
- Draws on the communities' own resources and resilience
- Further develops community collaboration on useful methodologies

... and focuses on and integrates:

- The values and customs relating to their collective biocultural heritage
- Current strengths, challenges and future plans
- Their rights at the international and national levels that support their ways of life and their corresponding duties
- Messages to specific agencies about how they intend to ...

... to produce a protocol that is:

- Value laden
- Presented in a form that is most appropriate for the community while effectively communicating their key points to the relevant authorities / bodies ...

... towards:

- Establishing the community's/ies' rights and duties relating to their stewardship of their collective biocultural heritage
- Respect for and realization of procedural and substantive rights and responsibilities
- Increasing their agency
- Improving access to information, participation and/or justice
- Improving dialogue with other communities or outside agencies
- Further developing flexibility and adaptability
- Promoting local social, environmental and economic equity ...

... and where outsiders assist a community with any aspects of developing a protocol, they should engage the community with:

- Honesty
- Integrity
- Transparency
- Respect
- Social and cultural sensitivity to local processes and time-frames.

Box 6: Guiding principles for the development and use of biocultural community protocols

G. KEY QUESTIONS

Indigenous peoples, local communities, and their supporting organizations in Asia, Africa, and the Americas are exploring a number of interrelated questions. These include:

- How can community protocols draw on customary laws and national and international rights and responsibilities to address local pressures?
- How can endogenous development processes be enhanced through legal empowerment and strategic advocacy? Are community protocols a practical way to do this?
- How can good practice guidelines for community protocols be developed while retaining the level of flexibility required by diverse communities and contexts?
- How can local and national experiences be used to influence international processes? How can gains made in international fora be realized at the local level?
- How can the development and use of community protocols catalyze theorizing and advocacy around a new paradigm of community rights and responsibilities?
- What is the role of community protocols in promoting the multiple ‘values’ of traditional knowledge and natural and genetic resources?
- How can customary laws be documented without misrepresenting or threatening them?
- What is a ‘quality’ community protocol?
- Is the term ‘community protocol’ sufficiently flexible or is a different term more appropriate?

Your feedback and suggestions are more than welcome. Please contact the editors directly (see **Part I: Section D** above) or provide input to the dedicated website www.community-protocols.org.

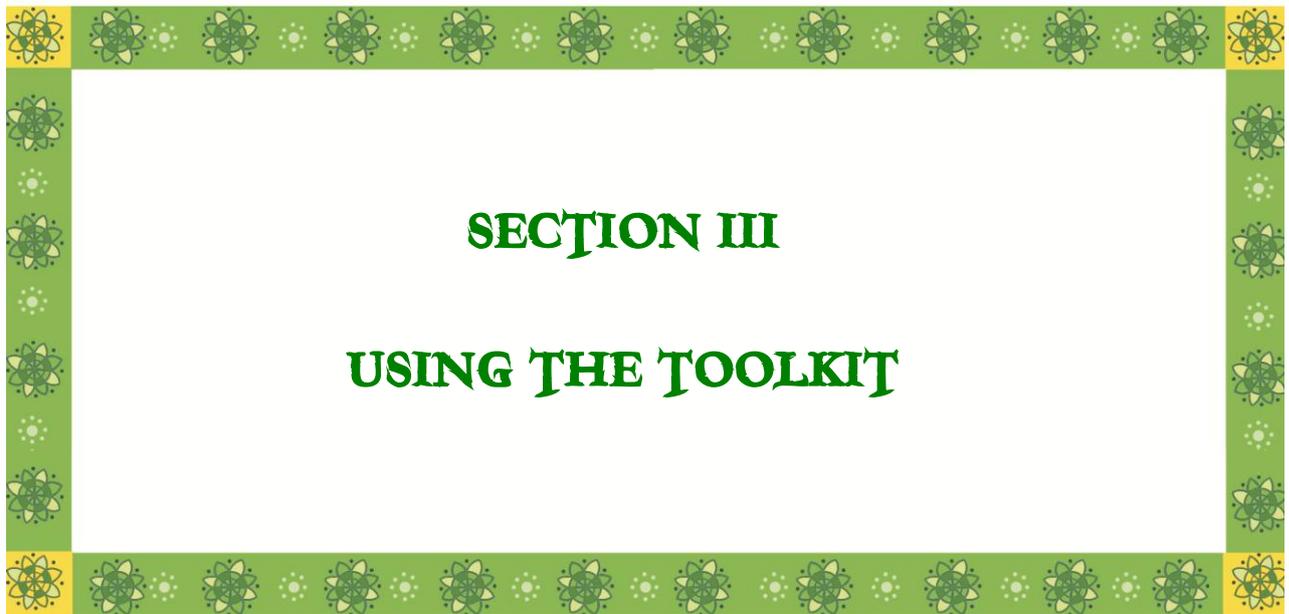
Key Resources on Exploring Biocultural Community Protocols

[Asian Initiative on Biocultural Community Protocols: Inception Meeting Report \(Natural Justice, 2011\)](#)

[African Bio-cultural Community Protocol Initiative Inception Meeting: Working Towards the Legal Recognition of Biocultural Community Protocols within National Policies \(Natural Justice, 2011\)](#)

[Exploring Bio-cultural Community Protocols in the Sri Lankan Context: A Report of an International Consultation and Training-of-Trainers Workshop \(Natural Justice, 2010\)](#)

[Exploring Bio-cultural Community Protocols in the Indian Context: A Report of a Training Workshop \(FRLHT and Natural Justice, 2010\)](#)



This Toolkit is intended to support Indigenous peoples and local communities to secure their rights and responsibilities and strengthen customary ways of life and stewardship of their territories and areas. It is directed primarily towards facilitators from the communities themselves or from supporting organizations with whom they have long-standing and positive relationships. Even if the idea of a biocultural community protocol is introduced by an external actor, the Toolkit should be used by the community.

Section III highlights key considerations to explore before beginning the process of documenting, developing, and using a biocultural community protocol. It includes guidance on understanding how the community defines itself, cultural and internal dynamics, local institutions, and participation and representation. It also provides suggestions of how to facilitate the protocol process, including understanding your role as a facilitator, managing expectations and information, and supporting community catalysts. Finally, it explores the notion of free, prior and informed consent.

These are not hard rules or step-by-step requirements, but could be considered good practice guidelines to adapt to the local context and your skills as a facilitator. They can be explored in a number of different ways, including through workshops, open-ended discussions with certain groups, and focused meetings with community leaders.

A. UNDERSTANDING THE COMMUNITY

A1. Contextualizing 'Community'

A discussion about the community could begin with the questions of who defines it and how it is defined. Outsiders commonly use the term 'community' to refer to people living in a geographically defined space without much consideration of what joins them together or what may separate them. People generally know the boundaries of their own community and where another one begins. This understanding of boundaries is governed by relations between groups that are often historically

Traditional health practitioners in Mpumalanga, South Africa, established an association through which they advocate for greater recognition of their collective medicinal knowledge. They are from two different ethnic and linguistic groups that normally do not consider themselves part of the same 'community'.

Box 7: Changing notions of 'community'

determined. It is fluid and can change over time, particularly in the context of new threats or opportunities (see Box 7 for an example). Individuals can also have multiple roles, identities, and alliances. Outsiders should thus assume that they cannot meaningfully define a community on behalf of others.

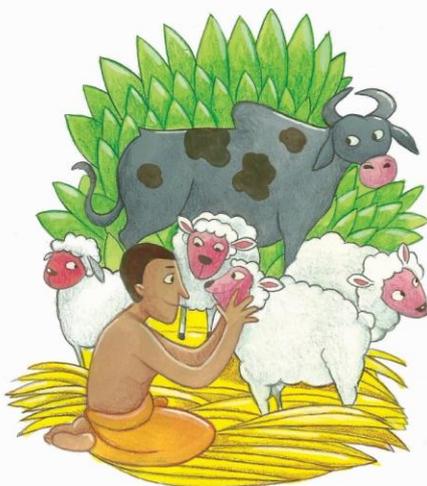
- a) Internal dynamics and values that bind a community together
- b) Procedures for engaging with neighbouring communities, visitors, government officials, and other external actors

Box 8: Two themes that are the foundation of community protocols

Nevertheless, ensuring clarity about who and what comprise the community is integral to the process of documenting, developing, and using a biocultural community protocol (see Box 8). Above all, the community must define itself and determine how to address external issues. As a facilitator, you should guide this process but not engage in defining its content. Any descriptions of internal processes or characteristics must accord with the community's values and perspectives. They should also be framed in a way that external actors can understand. In other words, the protocol must strike a balance between meaningful representation of the community's culture, livelihoods, traditional knowledge, and customary laws, and the need to engage with state legal systems and procedures.

A2. Cultural and Internal Dynamics

Culture will play a critical role in the protocol process. It should also help define the approach and tools that you use as a facilitator. Much like identity, it can only be fully understood and meaningfully conveyed by the community itself. If you are from an outside organization, you should first establish a working knowledge of the culture and internal dynamics, for example, by informally exploring key topics of importance to the community. Topics may include natural resource management practices, customary laws and values, perceptions of ownership and stewardship, traditional authorities and governance systems, gender and family structure, dance, music, folklore, and spiritual beliefs. Many of these will be discussed in more detail when documenting and developing the protocol (see **Part II: Section II**). The aim is not to document them for the sake of it, but to eventually focus on the most foundational and pressing issues that the community would like to address in the protocol.



Every community has unique internal dynamics that are determined by relations between individuals and groups. Pretending that there are no politics or tensions may seem easier at the beginning, but is a short-sighted approach likely to backfire. Try to understand the dynamics enough to work with them without becoming caught up in them yourself. The protocol process should not be used as a tool to create divisions or to advance the political power of certain groups within the community. Above all, it should instill a sense of unity and common vision.

Some degree of conflict is inevitable, especially when livelihood security and wellbeing are at stake. Minute tensions tend to be exacerbated and new ones can flare up seemingly out of nowhere. Expect and acknowledge conflict and approach it as an opportunity for the community to respond creatively and constructively to challenging situations. Sometimes it may be better to address in a small focus group. Overall, capacity to address internal conflict may be a good indication of how the community may respond to conflict with external actors.

A3. Local Institutions and Governance

Another fundamental aspect of a community protocol is how a community makes decisions about its people and environment. This is also known as governance (see Box 9) and is a matter of power, responsibility, human relations, participation, legitimacy, transparency, and equity. Initial guiding questions for informal discussion are set out in Box 10 below to help you gauge the context and better understand which approaches or tools to use. A comprehensive discussion about governance structures

Management asks, “What do we do to conserve X or Y resource?”

Governance asks, “Who decides what shall we do, and how?”

Box 9: Distinguishing between management and governance

should feature strongly in the protocol process itself (see **Part II: Section II/E**). The purpose of these questions is not to build a formal description of the governance structure and its powers, but rather to facilitate an authentic narrative about how community members feel about them and their capacities to respond to certain threats and opportunities. Focus on exploring stories and personal experiences rather than allegations of the validity of decisions.

In some situations, community institutions may not seem equipped to deal with new challenges. In other situations, long-standing community practices may be highly effective at dealing with new threats or opportunities. Assumptions either way should be withheld. Further guidance on understanding and supporting community institutions and capacities is provided in **Part I: Section IV**.

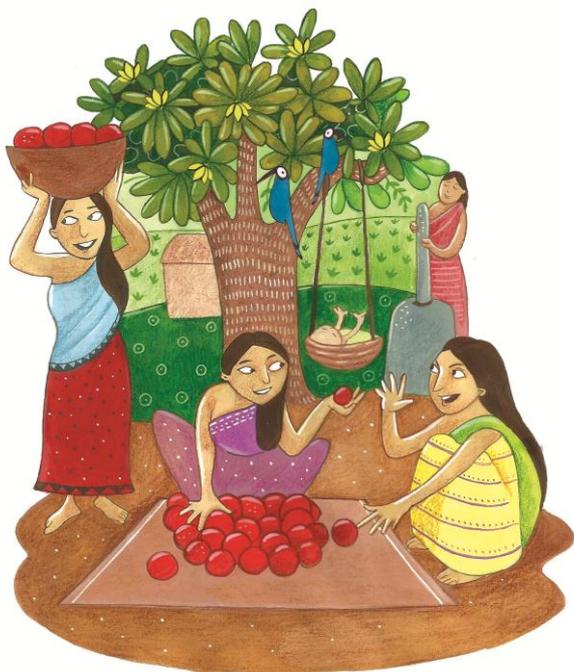
Biocultural community protocols are not intended to introduce radical ideas, foster antagonism, or disrupt traditional decision-making processes. They aim to draw on the strengths of customary laws, which are often based on social norms of honour, pride, and reciprocity. They promote culturally appropriate ways to address conflict and to make decisions that represent the diverse yet collective voice of the community. At the same time, customary laws are not static entities that must be upheld regardless of their implications. Customary laws have evolved over time and will continue to evolve alongside internal and external changes.

- *How are important decisions made in your community?*
- *What are the core values that guide decisions?*
- *Who is involved in making decisions? Who is considered to be the community authorities?*
- *How can or do you participate in the process?*
- *Do you feel you have sufficient opportunities to voice your concerns and opinions?*
- *Would you like to change anything about the existing system or structure?*
- *How do community institutions relate to local government officials?*
- *Could you share an example of a good decision? What were the main factors that led to it?*

Box 10: Guiding questions about community governance

A4. Participation and Representation

Participation and representation are essential to biocultural community protocols. As much as possible within the local culture and situation, the protocol should strive to include the full spectrum of perspectives, especially those of women, youth, the elderly, and others who are often excluded from decision-making processes. Although it is often not possible to include every single person, a participatory approach contributes to building greater consensus and collective learning. It also helps people feel personally invested in the process, which increases potential for effective social mobilization and tangible change.



Conversely, a community protocol that has been developed with little consultation and without using any participatory methods would raise significant concerns about representation and legitimacy. Feelings of exclusion could lead to internal conflict and divisions, particularly if the protocol is used to address an external issue in a way that has not been discussed or agreed upon by the broader community. It could also lead to ‘elite capture’, characterized by a small but influential group of community members that takes advantage of an opportunity to protect or further their interests. They often do this by being the most forthcoming, articulate, and cooperative groups, which can be difficult for a facilitator to turn down. This can be prevented in part by supporting an inclusive consultation process and by inviting neutral observers to provide impartial commentary. Initial guiding questions about participation and representation are set out in Box 11 below.

See Guiding Principles in Part I: Section II/F

- *Who should be involved in the different stages of developing a biocultural community protocol? What roles and responsibilities could they undertake?*
- *What social, cultural, or political barriers affect different members of the community? How might they affect people’s capacity or willingness to participate in activities related to the protocol? How can these be accommodated in attempt to facilitate broad participation and representation in locally appropriate ways?*
- *Are there certain times of the year, month, and/or day that would be more appropriate for different people to be involved? Discussions and activities around the protocol should aim to work around the community’s schedules and routines, rather than vice versa.*
- *People respond differently to certain learning, documentation, and communication styles. For example, some learn better through watching others, looking at text, or listening, and others learn better through physical movement. How can discussions and activities around the protocol be facilitated in culturally appropriate, diverse, and engaging ways?*

Box 11: Guiding questions to enhance participation and representation

Some groups face a range of challenges to fully participating in community activities and decision-making processes. As a community facilitator, you may need to go out of your way to understand certain considerations that each group may face (see Table 3). You can help ensure that they have the opportunity to participate and have their views represented by aiming to accommodate these factors (see Box 12).

The factors listed in Table 3 are not necessarily common to every person in those groups and should not be assumed. More often than not, elders, women,

- ✓ *Remain sensitive and patient*
- ✓ *Avoid acting condescending or patronizing*
- ✓ *Understand that each wants to contribute to community processes*
- ✓ *Have confidence in their abilities and unique contributions*
- ✓ *Ask in advance when they might be able to participate in activities such as workshops or data collection*
- ✓ *Hold separate meetings or workshops for specific people or groups*
- ✓ *Pay close attention to behaviour and levels of participation during community activities and take time to check in one-on-one*

Box 12: Guidance on accommodating different groups within the community

children, and people with disabilities will surprise you with their unique knowledge, wisdom, and enthusiasm. If you are sensitive and attuned to their particular considerations, you will be better able to facilitate the participation of the community as a whole.

Table 3: Considerations for typically under-represented community members

Group	Unique Factors to Consider and Accommodate as a Facilitator
Elders	<ul style="list-style-type: none"> • Physical constraints such as difficulty walking or traveling, hearing in crowds, or seeing great distances • Level of energy and stamina for long processes such as workshops or data collection • Level of literacy
Women	<ul style="list-style-type: none"> • Time and physical demands from domestic responsibilities (including caring for children and parents, gathering and cooking food, cleaning the home) • Physical constraints such as pregnancy • Level of literacy • Communication style and level of confidence, particularly in the presence of men or elders
Children	<ul style="list-style-type: none"> • Time and physical demands from school studies and exams, extra-curricular activities, and domestic responsibilities • Limited understanding of historical context and more complex terminology or issues • Short attention span
People with physical disabilities	<ul style="list-style-type: none"> • Physical constraints such as difficulty traveling or gaining access to community spaces, especially if they have crutches or a wheelchair • Participation in certain activities may be impeded, depending on local geography and weather patterns
People with learning disabilities	<ul style="list-style-type: none"> • Longer timeframes may be required to explain new concepts or tools • May have a preferred way of learning and communicating but may not explicitly say so
People with developmental disabilities	<ul style="list-style-type: none"> • May have difficulty keeping up with community discussions and activities and may become easily frustrated • May require one-on-one attention and care • May be subjected to abuse or neglect due to lack of understanding amongst family or other community members

B. FACILITATING A PROTOCOL PROCESS

There are many ways to facilitate a process of documenting, developing, and using a biocultural community protocol. The overall approach and specific tools should be determined by the fundamental considerations explored above in addition to others specific to the community. Whatever tools are used, they should be presented in formats that are most appropriate for the community. The following subsections provide general guidance about key aspects of facilitating a protocol process. They are meant to be adapted to the local situation and your skills and comfort levels as a facilitator.

Overall, the process of documenting, developing, and using a community protocol should:

- Be defined and controlled by the community
- Be empowering and rooted within the community's values and procedures
- Create a space for trust, respect, sharing, reflection, and learning-by-doing
- Include the full and effective participation of as many community members as possible
- Encourage dialogue and learning between generations, between different groups in the community, and with other communities with shared heritage, resources, or knowledge
- Value and build on the diversity of knowledge, skills, and capacities in the community
- Emphasize the inter-linkages between social-cultural, material, and spiritual wellbeing
- Increase awareness of relevant legal frameworks and clarity of how the community would like to engage with them
- Inspire community mobilization around key issues
- Lead to tangible change in accordance with community plans and priorities

B1. Understanding Your Role as Facilitator

Facilitation can be challenging yet highly rewarding. It requires skill, sensitivity, flexibility, and willingness to learn and adapt to changing conditions. There are a number of key characteristics of a good facilitator that you may wish to adopt (see Box 13).

Although there are many different ways to facilitate a protocol process, workshops and community meetings are most common. Further guidance is provided below to be adapted to the local context.

Facilitating a workshop or meeting

It is the facilitator's job to create the conditions for a productive and impartial process. Before the workshop or meeting, certain arrangements should be made in consultation with the local leadership and whoever is promoting the idea of a community protocol (see Table 4). There are also certain tasks and roles to fulfil during the workshop or meeting (see Table 5).

- ✓ *Be an active listener*
- ✓ *Play a supporting role*
- ✓ *Respect the local culture and traditions*
- ✓ *Maintain an atmosphere of respect and openness*
- ✓ *Foster trust and confidence*
- ✓ *Be consistent and clear*
- ✓ *Remain neutral and level-headed*
- ✓ *Keep up positive momentum*
- ✓ *Take notice of subtle changes in energy and tone*
- ✓ *Develop positive rapport with a range of community members*
- ✓ *Keep the broader objectives in mind and help focus discussion on key issues*

Box 13: Qualities and actions of a good facilitator

Table 4: Arrangements to be made before a workshop or meeting

Task	Details
<i>Draft an agenda</i>	This should be done through consultations in advance. In longer processes, a series of workshops may be necessary, in which case a whole programme can be drafted. This is an important step for creating a realistic understanding of what the workshop intends to accomplish.
<i>Identify key discussion points</i>	This relates to Part I: Section III/A2 above on understanding internal dynamics. Discussions need to be focused and somewhat contained to key issues. It could involve a process of free-listing or brainstorming and prioritization from a comprehensive list of topics and could be done as a precursor to or at the beginning of the workshop. Try to find out if there are some topics that people think are important but are unwilling or unable to discuss openly and explore how they could be considered in another more appropriate way.

<i>Draft a list of participants to be invited</i>	Who should be invited to participate will depend on the objective and agenda of the particular workshop and if you plan to hold additional ones at another time. It should also be done in consultation with all groups in the community to ensure adequate representation.
<i>Secure logistics and materials</i>	This includes considerations such as location, layout of the space or room, availability of space for small groups or breakaway discussions, reliable electricity source and data projection equipment (if required), pens or markers, paper, flip charts, recording equipment, food and refreshments, restroom facilities, and child care.
<i>Arrange for translation</i>	Accommodate languages that participants prefer to speak, including in written materials. If many languages need to be used, participants could work in smaller groups and later report back with translation assistance. Depending on availability of resources, you could use simultaneous translation. Note that translation can take a long time, so consider this when planning timing and length of the workshop.

Table 5: The role of the facilitator during a workshop or meeting

Task	Details
<i>Set the ground rules</i>	This is an essential step that establishes the authority of the facilitator and demonstrates respect for all participants. 'Ground rules' for the workshop or meeting may include, among others: no interruptions while a person is talking; taking only the necessary length of time to speak (if the group is small, you could use a 'talking stick' or conch shell); respect for others' opinions; acceptance of new ideas and suggestions without judgment; facilitator has authority to suspend discussion if there is a deadlock in order to agree on a procedure for resolution.
<i>Create space for trust and sharing</i>	Gaining the trust of participants can be more challenging in a multi-stakeholder setting, for example, with community members, highly educated bureaucrats, and NGO personnel. Try to ensure the dynamic is balanced by inviting the community to set the level of the conversation. 'Ice-breaker' questions or activities could be used to encourage interactions from the beginning.
<i>Be an active listener</i>	This is the most important role of a facilitator. It requires insight into group dynamics. In a particularly heated discussion, it also requires skill and confidence to intervene or shift the focus to build on earlier consensus.
<i>Be creative</i>	Draw from the community's culture and forms of communication and sharing. For example, begin with a traditional song or blessing. Make use of engaging activities, working groups, and breakaway sessions as much as possible. Plenary discussions should be limited to presentations and reporting back sessions. Consider using more than one facilitator, especially in large groups.
<i>Follow the agenda</i>	At the beginning, seek agreement from the participants on the agenda and stick to it. If changes are desired, discuss and agree upon them as a group.
<i>Keep time</i>	Unless the meeting is intended to be completely open-ended and flexible, manage the agenda time slots carefully. Any deviation should be discussed beforehand and practical arrangements made to ensure that all necessary topics are addressed. Community members are busy and their time should not be taken for granted.
<i>Keep a record of discussions</i>	Plenary discussion should be recorded as a series of decisions linked to the agenda rather than verbatim. Working group discussions and outcomes should be captured and circulated or presented during the workshop (for example, using a rapporteur from each group). Workshop reports require considerable effort and skill if they are to capture an authentic record of the creativity and consensus that can emerge, but much depends upon the structure and flow of proceedings.

B2. Supporting the Community Catalysts

In addition to your own role as the primary facilitator, you will require the support of other community members who demonstrate certain qualities such as leadership, sense of commitment for the greater good, reliability, self-initiative, ability to well independently and in teams, open-mindedness, flexibility, and willingness to learn. These individuals could be considered ‘community catalysts’ or people who have the potential to inspire and create significant change. Although they may not necessarily serve as official representatives of the community, there are countless different roles that they could play, including facilitating workshops, presenting at local schools, contacting the media, and organizing a delegation to

visit the local government official. They should be comfortable with taking responsibility for a certain part of the process and reporting back to others involved, including yourself and the community leaders.

- *Who is or has the potential to be a community catalyst?*
- *What skills, resources, and assets do they already have?*
- *What skills, resources, and assets would they like to learn or gain?*
- *What role would they most like to play in the protocol process?*
- *How could the broader community support them?*
- *What types of external input could assist?*

Box 14: Key questions for discussion to help identify community catalysts

Many community catalysts will become obvious through discussions and meetings, although they won’t always be the most outspoken or vocal people. Community leaders can also help identify them, including through one-on-one discussions with you (see Box 14). If possible, they should be identified from diverse groups such as women, youth, and elders and not only from the families of local leaders or elites. Some may need guidance or encouragement to realize their potential. Regardless of when they join, openly discuss the process to ensure clarity of roles, responsibilities, and expectations.

B3. Managing Expectations

One of the most important parts of facilitating a protocol process is to manage the expectations of those involved. This includes individuals and groups both within the community and amongst external actors. Establishing a sense of realistic expectations at the beginning and throughout the process can help prevent disappointment and cynicism. It can also provide a mechanism for reflection and evaluation at different stages of the process. Guiding questions that could be explored separately with different groups are outlined in Box 15. Key considerations and caveats that you may wish to explicitly highlight are reiterated in Box 16.

- *What is the purpose of the protocol?*
- *What is our role? What does the process involve?*
- *What are the costs and risks?*
- *What are the benefits?*
- *How would it be useful to our community or group?*
- *How can we plan for and respond appropriately to unexpected opportunities or consequences?*

Box 15: Key questions for discussion with those involved in the protocol process

Further guidance about introducing protocols to the community is outlined in Part II: Section I

- A protocol is not a panacea. There is no guarantee that all of the issues contained in a protocol will be sufficiently addressed or resolved.
- The likelihood of a realizing a community protocol is influenced by a wide range of factors. However, it is often most significantly affected by internal factors such community cohesion, strong leadership and governance structures, and agency and initiative.
- Unexpected opportunities or consequences may arise that may be directly, indirectly, or not at all caused by the protocol process.

Box 16: Key considerations and caveats to help manage expectations

B4. Managing Timeframes

People often ask how long it takes to ‘do’ a biocultural community protocol. The timeframe for the whole process of documenting, developing, using, and reflecting upon a protocol will vary widely depending on the local context. Each part of the process could be affected by a range of factors and unavoidable circumstances, both positive and negative (see Box 17). For many communities, a protocol is seen as an ongoing and evolving process that is part of their long-term plans and strategies. The protocol may thus have no clear ‘beginning’ or ‘ending’.

- Reasons for undertaking a protocol in the first place
- Agency, motivation, and capacity for mobilization
- Internal cohesion and clarity of leadership and decision-making systems
- Available resources (financial, human, time, material)
- Existing experience with key methods and tools
- Existing research or documentation of key issues that will be included in the protocol
- New development project, law, or other external pressure that will significantly affect the community
- Natural disasters
- Illness or family losses
- Elections or changes in political administrations

Box 17: Factors that may affect timeframe of a protocol process

One of the main questions is how far the process of documenting and developing a protocol must be taken in order to remain functional and responsive to external challenges and opportunities, while also retaining value and meaning for the community. There is no set rule or formula. Good practice indicates that it should be reasonably determined by the local situation and by the community’s priorities and capacities. Although practical considerations such as available funds and human resources must be taken into account, timeframes should not be determined primarily by external interests or donor requirements.

B5. Managing Information

Facilitating a protocol process comes with the responsibility of managing a lot of information collected through workshops, meetings, interviews, desktop research, and so on. As it will form the basis of the protocol itself, it should be documented and organized in a way that makes sense and is appropriate in the local context. Some information may be sensitive or confidential and require extra precautions. Being aware of how you could handle this responsibility from the outset may improve the overall process (see Box 18 for overarching guidance).

Documenting the process

In addition to documenting information that will form the basis of the protocol, documenting the process itself is also useful for a number of reasons. For example, it may help you verify certain information to ensure accuracy or provide evidence of a particular outcome or agreement. It may also help you facilitate community validation of the consolidated protocol (see **Part II: Section III** for further information). General guidance on documenting the process itself is provided in Box 19.

- ✓ *Discuss with community leaders or representatives the most appropriate way to record information in different contexts. Some events or topics will be confidential or too sensitive to record.*
- ✓ *At the beginning of an activity that you plan to record in some way, provide an opportunity for participants to comment on and agree to the planned mode of documentation.*
- ✓ *If you are using audio or video equipment to record workshops or interviews, seek permission from participants beforehand. If some people do not want to be photographed or taped, it is their choice and they should not feel obliged to do so.*
- ✓ *Workshops and community meetings do not need to be recorded verbatim, though detailed notes will prove useful. Consider ahead of time how to best organize the notes such as with headings and sub-headings, according to the meeting agenda, or using different colours.*
- ✓ *Seek the assistance of ‘community rapporteurs’ ahead of time to take notes of broad discussions, working groups, and reporting back sessions. Youth in particular may respond well to this sense of responsibility. Make sure they understand that the notes will be transcribed later, so they need to be accurate, clear, and legible. Having more than one rapporteur during key discussions will enable you to cross-reference the notes and fill in any gaps.*
- ✓ *Transcribe small group or workshop notes such as flip charts into a central file. Before leaving the workshop, find out where the community would like to store the original notes. Ensure that they are kept in a safe place that is accessible to other community members involved in the workshop.*
- ✓ *Workshops and other major meetings should have a report produced within a reasonable timeframe and circulated to all participants. The report could focus on key topics and outcomes and include annexes such as the final agenda and list of participants with contact details.*
- ✓ *If you are working only with handwritten files, make at least two sets of photocopies and keep them in separate safe places. Consider potential factors such as floods or roof leaks, fires, and theft.*
- ✓ *If you are working on a computer, give the files descriptive filenames and organize them into labeled folders. Avoid eating or drinking near the computer in case of spills. Back up the files regularly on an external hard drive or a free online storage site such as Dropbox.*

Box 18: Suggestions for managing information

- ✓ *Keep an ongoing overview or timeline of activities relating to the protocol, including workshops, meetings, and interviews. You may wish to use headings or a legend to divide the timeline into clear stages such as “Preliminary discussions”, “Documenting and developing the protocol”, “Using the protocol”, “Reporting back to the community”, and “Revising the protocol”.*
- ✓ *Create a well-organized document such as a spreadsheet with details of each activity, for example, the date, location, contact details, critical points or insights, key outcomes, and issues to follow up on.*
- ✓ *If you have a question or clarification to seek, try to find the answer at an appropriate time during or as soon as possible after the activity. It may be difficult to contact some people afterwards if they live far away or have irregular access to phone or internet.*
- ✓ *If you identify any key outcomes or insights outside of a community meeting (for example, when going through your notes or simply thinking about the process to date), verify its accuracy with community leaders or other representatives before including it as fact in any documentation.*

Box 19: Suggestions for documenting the protocol process

Safeguarding sensitive information

Certain kinds of information that play an important role in a biocultural community protocol may be considered sensitive or restricted to certain people or conditions. Examples include the locations and names of sacred natural sites, places of worship, or key natural resources, insights into internal dynamics and codes of conduct, and cultural heritage or knowledge held by elders or specific people such as traditional healers. There may be different ways of discussing and sharing this information both within the

community and with outsiders. These should be respected at all times. Discussions should be held with community leaders and the appropriate knowledge holders about types of sensitive information and how it should be handled (see Box 20). If the community decides to document or include sensitive information in the protocol, there should be a system such as authorized individuals with keys or passwords to ensure security of written and digital records until the information is consolidated for external use.

- *Before starting the protocol process, what mechanisms should be put in place to ensure sensitive information is retained by the appropriate knowledge holders?*
- *Do the locations, names, or any other information and traditional knowledge about natural and cultural resources need to be kept confidential or have restricted access?*
- *Who should and should not know this information within the community?*
- *Who should and should not know this information outside of the community?*
- *If the community would like to include certain elements of sensitive information in their protocol, how can they be presented in a way that respects customary forms of safeguarding and responds to contemporary challenges? For example, maps could have 'fuzzy' boundaries and exclude certain names or exact locations, visitors could be restricted to public areas, and shared information could be on a 'need to know' basis only.*

Box 20: Key questions to consider about sensitive information

The divulgence of sensitive or restricted information can easily lead to external damage or destruction to natural sites or resources and to the cultural norms and expectations that otherwise protect them. On the other hand, if all information is kept within the community, external decisions about natural resource extraction can be made in ignorance and unintentionally harm sensitive sites or resources. Careful consideration of the community's terms and conditions for sharing sensitive information can play a major role in the community protocol. Clarity of how those terms and conditions can be communicated to and respected by external actors can also lead to positive outcomes.

Key Resources on Safeguarding Sensitive Information

[Sacred Natural Sites: Guidelines for Protected Area Managers \(IUCN and UNESCO, 2008\)](#)

[Maintain & Strengthen Your Culture: Handbook for Working with Indigenous Ecological Knowledge & Intellectual Property \(Northern Territories Natural Resources Management Board, 2009\)](#)

[Guidelines and Protocols for Ethical Research \(North Australian Indigenous Land and Sea Management Alliance, 2007\)](#)

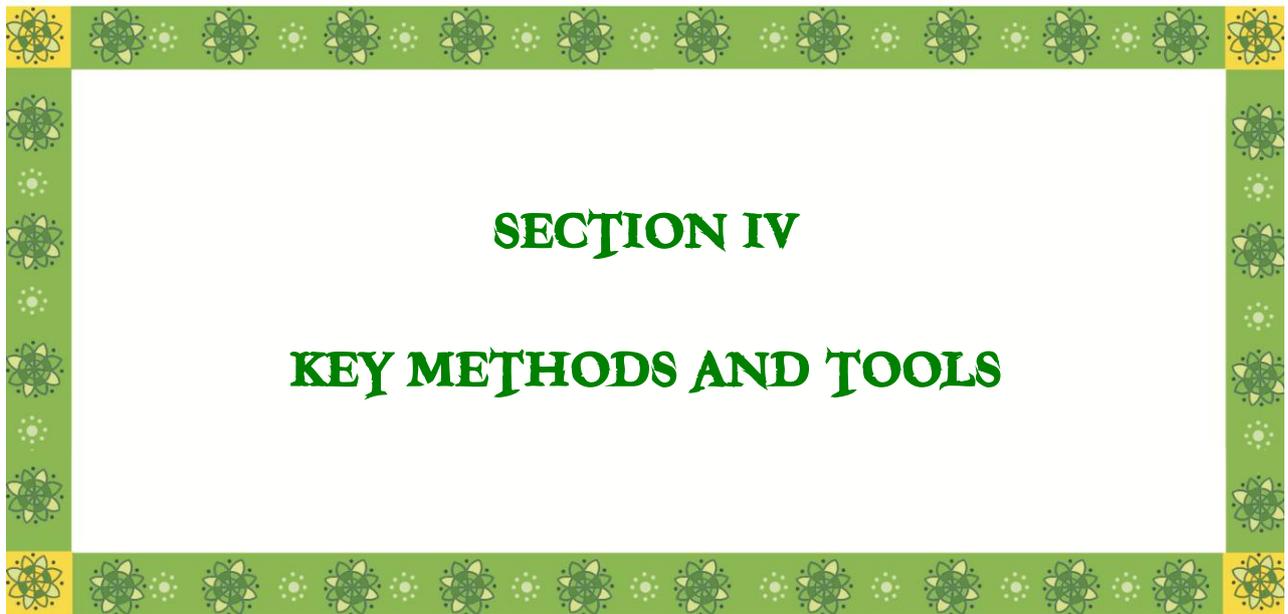
Sacred Natural Sites website: www.sacrednaturalsites.org

C. SEEKING AGREEMENT ABOUT THE PROTOCOL PROCESS

Drawing on the guidance above, ensure that your role and the protocol process are clear to the community at the outset. First, the process should be driven by and for the community, with you as the facilitator. Even if there is a considerable amount of organization and resources being invested, it is still the community's protocol and they need to have ownership over the process. Second, ensure clarity on roles and responsibilities for various tasks, including documenting and consolidating the protocol. If certain community members or catalysts commit to key roles, it will become an initiative of the broader community, distinct from and larger than your role as facilitator. Further considerations are provided in Box 21 below.

- Seek permission from the local government structure or traditional authority to hold consultative meetings.
- Use appropriate media to accommodate the local literacy levels. Use community halls, schools, clinics, and churches or places of worship to distribute information and hold meetings.
- Be consistent with the information you provide. If you don't know an answer, be honest and offer to find out more.
- Consult as widely as possible within the community. This could include holding meetings with specific groups such as married women, youth, and male elders.
- Seek insights from CBOs, NGOs, and any other actors working with the community.
- Work with an initial group to outline and discuss a process for undertaking a protocol and rules of engagement.

Box 21: Suggestions for seeking community agreement about the details of a protocol process



Whilst there is no set formula, the process of documenting, developing, and using a biocultural community protocol involves a number of integrated methods and tools. It is intended to build on existing community experience and ongoing efforts to define local visions, plans, and priorities and to engage with external actors accordingly. This section provides an overview of the following key methods and a number of accompanying tools that can be adapted and used in the protocol process:

- Endogenous development and wellbeing;
- Power and multi-stakeholder partnerships;
- Legal empowerment, social mobilization, and advocacy; and
- Monitoring and evaluation.

The tools are not intended to be used word-for-word or as a mandatory step-by-step check-list. Many have been adapted from other toolkits and innovated upon specifically for community protocols. They are presented as non-exhaustive options that could be further adapted to a wide range of situations. It is up to the community facilitators, catalysts, and leaders to discuss and decide which ones would be most relevant and how to use them appropriately within the local context.

A. ENDOGENOUS DEVELOPMENT AND WELLBEING

Note to community facilitators:

This sub-section introduces a number of key tools related to endogenous development and wellbeing. The tools include:

- Community institutions sketch map
- Community decision-making calendar
- Historical timeline
- Trend line analysis
- Community visioning
- Assessing community capacities
- Assessing key opportunities and threats
- Community wellbeing impact assessment worksheet

Endogenous development, which is present and active in many Indigenous peoples and local communities around the world, provides the foundation for a biocultural community protocol. It is defined as localized change that is initiated, determined, and controlled from within communities, that mobilizes and harnesses local resources and assets, and that retains benefits within the locality. It is based on communities' own criteria of

development and change and takes into account material, social, cultural, and spiritual wellbeing. Endogenous development theory suggests that communities are more likely to remain cohesive and sustain their traditions, cultures, spirituality, and natural resources when they develop their future collectively and base their plans on the resources available within the community.



Figure 2: Elements of endogenous development

Outsiders such as development facilitators or researchers can contribute to the endogenous development process through various interventions, but they cannot be the drivers of it. They must understand their role and respect the community's decision about when and how their input is requested. At the heart of endogenous development is community visioning, appreciation of different worldviews and cultural and spiritual values, respect for customary institutions and decision-making processes, and understanding and strengthening different skills and capacities (see Figure 2).

Key Resources on Endogenous Development Methods and Tools

[Learning Endogenous Development: Building on Bio-cultural Diversity](#) (ETC Foundation and COMPAS, 2007)

[Seeking Strength From Within: The Question for a Methodology of Endogenous Development](#) (COMPAS, 2010)

[Bio-cultural Community Protocols Enforce Biodiversity Benefits: A Selection of Cases and Experiences](#) (COMPAS [Endogenous Development Magazine](#), Issue 6, 2010)

[Power Tools: For Policy Influence in Natural Resource Management](#) (IIED database)

[80 Tools for Participatory Development](#) (Inter-American Institute for Cooperation on Agriculture, 2008)

Community wellbeing refers to the overall welfare of a group of people bound together by a common identity (for example, ethnicity, shared activities, or shared resources and areas). This sense of welfare includes access to and availability of resources, relationships between community members and between local institutions, and development of community capacities and skills. Community wellbeing can be measured through various indicators and parameters. Assessment of these parameters can help communities identify internal weaknesses and opportunities and then undertake targeted planning and strategizing.

Indicators to measure satisfaction of different needs (see Box 22) are currently being developed for community wellbeing in the context of biocultural community protocols. Communities are defining criteria for monitoring and assessing a number of indicators that have important policy implications. Such indicators can help identify specific issues on which communities can focus the use of their protocols to achieve wellbeing aspirations.

- **Basic needs:** food, health, shelter, and energy
- **Safety needs:** tenure security and security from risks, including economic and natural
- **Belonging needs:** presence of social groups and equity in transactions, including gender equity and non-discrimination
- **Self-esteem needs:** autonomy, ability to practice customary beliefs, confidence, and education

Box 22: Different needs for which satisfaction can be measured
(Source: Framework of indicators developed by UNU-IAS in collaboration with UNEP)

Key Resources on Wellbeing Methods and Tools

[Learning from the Practitioners: Benefit Sharing Perspectives from Enterprising Communities](#) (UNU-IAS and UNEP, 2009)

[Workshop papers and Report of Technical Workshop on Indigenous Peoples and Indicators of Wellbeing](#) (2006)

TOOL: Community Institutions Sketch Map

Purpose: This tool can be adapted and used to provide a visual overview of what comprises the community's decision-making system. In its basic form, a community sketch map is used to identify locations of important resources or sites, systems of resource use, and customary or property boundaries. In this particular adaptation, it is intended to identify key institutions, groups, and individuals that make decision that affect those resources and areas.

Resource: Adapted from basic community sketch map such as in [80 Tools for Participatory Development](#) (Inter-American Institute for Cooperation on Agriculture (IICA), 2008)

- Facilitate a discussion about key physical features and resources that the community would like to include in the map. Examples include rivers or lakes, forests, mountains and valleys, cultivation areas, sacred sites, and wildlife populations. Not every feature has to be included, especially if it will make the map too crowded or confusing to be useful.
- Consider developing a legend for different symbols or colours that may be used.
- Using large sheets of paper or a blackboard, begin by marking the location of important reference points such as houses and transportation routes.
- A representative group of about 10 people could continue mapping the location of other key features and resources (see Figure 3 for an example). Often little facilitation is needed.
- Facilitate a discussion about key institutions, groups, and individuals who make decisions that affect the resources on the map. These may include formal systems such as a traditional chief or village association as well as informal systems such as women who cultivate fruit trees. Decisions could range from community-wide management plans to day-to-day collection of resources.
- Continue working with the small group to add these institutions and decision-makers to the relevant locations on the map. This could be done by labeling or using a different colour or pattern to shade in the relevant area.
- Hold a plenary session or broader group discussion to verify the information and gather further inputs or suggestions. Consider facilitating a discussion about what the map shows, for example, overlaps or gaps in decision-making, degree of clarity amongst community members of how decisions are made and by whom, and so on.
- Transcribe the final version of the map and make at least one copy for safe-keeping.

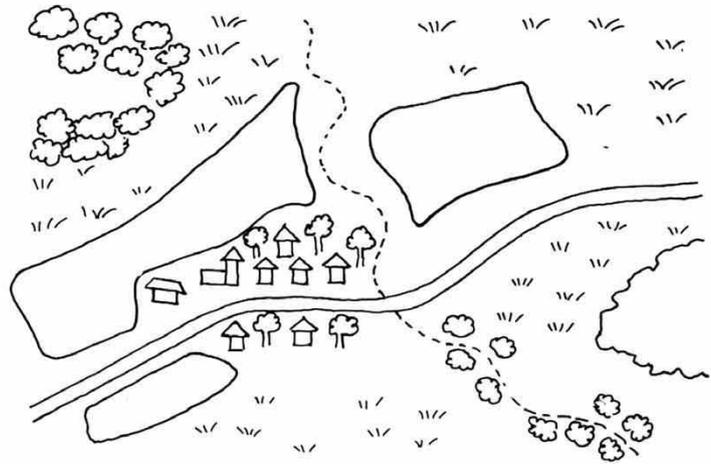


Figure 3: Example of a basic community sketch map (Source: IICA, 2008)

TOOL: Community Decision-making Calendar

Purpose: This tool can be adapted and used to provide clarity about the decision-making processes that occur throughout a community-defined seasonal cycle. It can be used to raise awareness within the community about when important decisions are made and to promote transparency and participation.

Resource: Adapted from basic seasonal calendars such as in [80 Tools for Participatory Development](#) (IICA, 2008)

- With a small but representative group, identify what the community perceives as a full cycle of seasons (for example, cultivation or migration cycles). Seek agreement on an appropriate way to depict that cycle such as in a linear graph, sketch map, or otherwise.
- Facilitate a discussion about key decisions made within that timeframe that relate to the community's ways of life. This could include decisions about the timing, location, and methods of certain activities such as planting, weeding, and harvesting, as well as relevant social-cultural practices such as pilgrimages and festivals. It could also include decisions about leadership and authority such as participating in district meetings on behalf of the community.
- Encourage community members to record the information on the illustration of the cycle. If available, include details such as who is involved in the decision-making process, when meetings are held, how others can provide input, and so on.
- Facilitate a discussion about the extent to which the broader community is aware of this information. Expressions of exclusion or resentment could indicate the need to make such information more transparent or accessible.
- Consider exploring locally appropriate ways to enhance participation in decision-making processes, particularly of typically under-represented groups such as women and youth.

TOOL: Historical Timeline

***Purpose:** This tool can be adapted and used to identify significant events and patterns of change related to a particular resource or area upon which the community depends. It can help illustrate the dynamic nature of the environment and the varied impacts and influences of unpredictable events over time. It can also help community members think about responses and plans to potential future changes.*

***Resource:** Adapted from [Assessing Resilience in Social-Ecological Systems: Workbook for Practitioners](#) (Resilience Alliance, 2010)*

- Draw two parallel lines along the length of flipchart papers. Label the top one as 'Social, economic, political, and legal changes' and label the bottom one as 'Environmental changes'. Seek community agreement on the focus of the timeline (usually a particular resource such as water or a general area such as a territorial forest) and the duration (such as from the origin of the community or within living memory up to the present time).
- Ask community members to identify and mark key social, economic, political, and legal eras or events (see Figure 4).

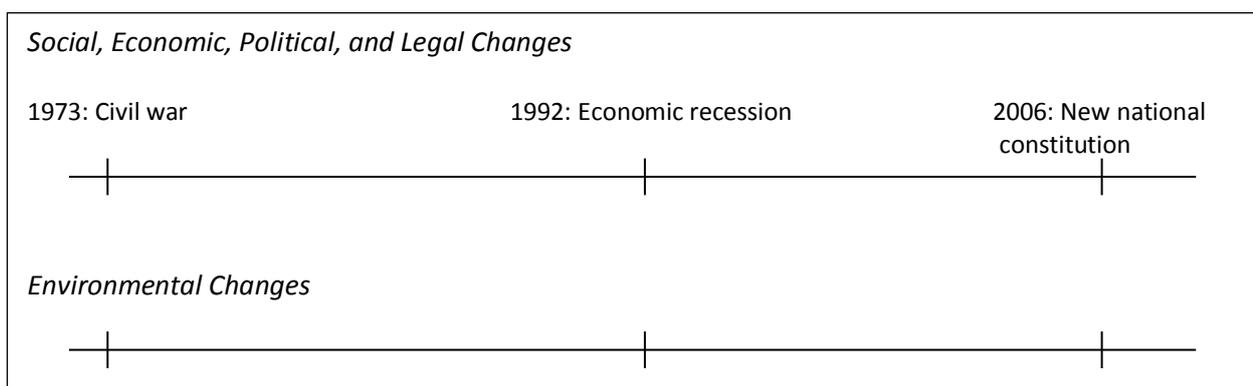


Figure 4: Fictitious example of early stages of a historical timeline

- On the top timeline at each appropriate date, ask community members to describe major phenomena and events related to the resource or area (for example, recognition of certain rights, influx of illegal migrants, construction of basic infrastructure, or conflicts). On the bottom timeline at the corresponding date, mark observations about the relative abundance or quality of the resource or area.

- Facilitate discussion about cyclical patterns, correlations, and other relationships between the different events and changes. Try to identify what drove the changes. This can form the basis of a subsequent discussion of how the community responded to different pressures and levels of resource availability.
- Brainstorm potential or unpredictable changes that may occur in the short- or long-term and what the impacts on the resource or community would be.

TOOL: Trend Line Analysis

***Purpose:** This tool can be adapted and used to provide a visual image of a number of interrelated changes that have affected the community in the past and how the community envisions them in the future. By plotting them on a graph, community members can analyze and discuss trends and correlations between issues. It can also help identify issues that require specific attention to build on existing capacities and potential and to mitigate future risks.*

Resource: Adapted from draft Asset-Based Community Development Facilitator's Handbook (Mountain Societies Development Support Programme, 2008)

- On a large sheet of paper or in a clear area of sand or dirt, outline a basic graph. The X axis (horizontal line) represents time and could be separated into general eras such as past, present, and future. Add a clear mark to indicate the present. The Y axis (vertical) represents relative value.
- Encourage community members to brainstorm key topics that affect their ways of life and wellbeing. The topics should be reasonably related to each other though sufficiently distinct (see Box 23 for examples).
- Ask them to prioritize 3-6 topics to be illustrated on the graph. More than 6 lines may cause the graph to be cluttered and difficult to understand.
- Encourage community members to illustrate each topic by drawing its general trend or rate of change over time. The trend line should illustrate the actual trend up until the present and then the community's vision for the trend in the future. For example, if forest cover has gradually decreased in the community's main watershed, start at a high point on the Y axis and draw a shallow line downwards up until the line that demarcates the present. If the community would like to rapidly increase forest cover in the future, draw a steeper line into that part of the graph (see Figure 5).
- If possible, each trend line should be drawn by a different community member. As each is drawn on the graph, check in with the rest of the group to ensure it is reasonably accurate.
- After all of the trend lines have been plotted, facilitate a discussion about how the trend lines are related and what conditions or factors cause them to influence each other. For example, how was the decrease in forest cover affected by population growth or a major natural disaster? How did the community respond in the past and what impact did this have on other trends? How could the community help reduce negative trends and further strengthen positive trends in the future?

- Population size
- Freshwater supply
- Soil quality
- Forest cover
- Area or quality of rangeland
- Number of youth in traditional occupations
- Natural disasters or conflicts

Box 23: Examples of possible trend line topics

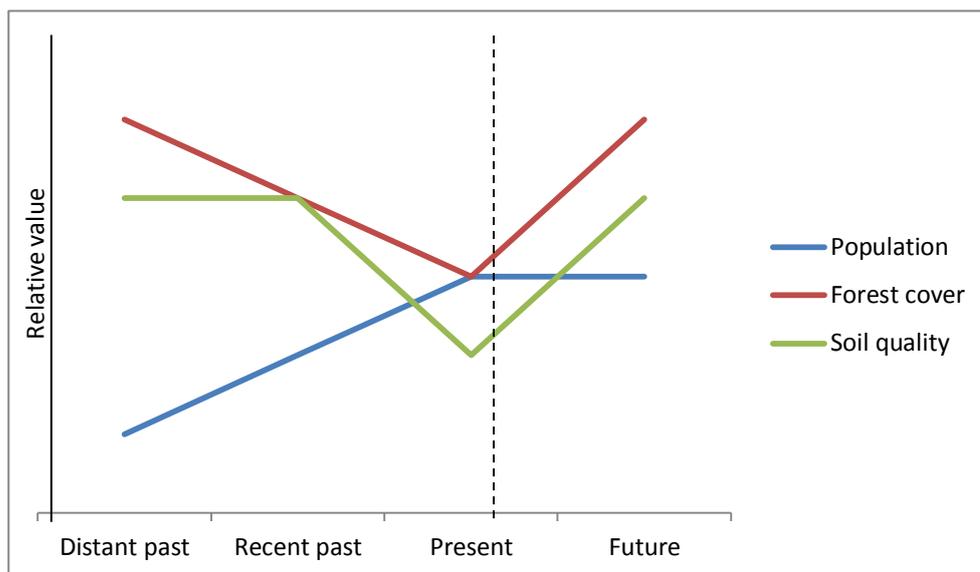


Figure 5: Fictitious example of a trend line graph of population, forest cover, and soil quality over time

TOOL: Community Visioning

Purpose: This tool can be adapted and used to establish a collection community vision based on existing capacities. It can help establish realistic expectations and form the basis of setting specific goals and action plans, monitoring progress, and re-evaluating priorities. It should involve a highly participatory process to ensure representation of various perspectives.

Resource: Adapted from draft Asset-Based Community Development Facilitator's Handbook (Mountain Societies Development Support Programme, 2008) and [Guide to Participatory Tools for Forest Communities](#) (CIFOR, 2006)

- Facilitate an open discussion amongst a broad range of community members using the guiding questions in Box 24. Small groups may help encourage active participation of groups such as women and youth. Be encouraging and non-judgemental; there are no wrong answers. Responses could be provided through acting, as audio narratives or illustrations, or recorded on pieces of cardboard or chart paper.

- What is your most positive image of the community in 5, 10, 20, or 50 years?
- What changes would you most like to see?
- What would you be doing?
- What would your children be doing? What would their children be doing?
- What role would you play in bringing about these changes?
- What accomplishments would you be most proud of?
- What would the village surroundings look like?
- What role will the existing local institutions have played?
- How would the local decision-making system be different?

Box 24: Key questions for discussion

- Review the responses provided and ask for further thoughts. Identify potential clusters or themes.
- Discuss how the topics could be represented in a collective community vision. What format would be most appropriate and meaningful?
- A potential follow-up process could involve discussion of specific plans to achieve the visions. This could be presented as vision statements, targets or goals, and activities.

- Once the vision has been agreed upon, record it and make at least one copy for safe-keeping. The community may wish to format it differently and post it in a visible location.

TOOL: Assessing Community Capacities

Purpose: This tool can be adapted and used as a visual depiction of different stages of strengthening capacities within the community. It can serve as a baseline for comparison with future measurements of capacities. It can also be used as a basis for mobilizing resources and collective action to address key issues and opportunities.

Resource: Adapted from material provided by COMPAS Network for Endogenous Development

- Facilitate a discussion about which capacities are most important to achieving the community's vision. If necessary, prioritize the list into a manageable number.
- Develop a scale to measure the capacities in a visual way. One example provided in Figure 6 depicts a tree growing from seed to fully fruit-bearing, with each of the five stages representing certain characteristics.
- Addressing each prioritized capacity in turn, ask the community members to assign a value according to the agreed upon scale. If this is the first time the assessment is being done, the value will be based on capacities at the present time.
- They could also be assessed in relation to visions of how the community would like the capacities to be in the future.
- Using a similar approach, assess the same capacities after a period of time to illustrate impacts of particular activities.
- Consider consolidating the assessments into a visual graph such as Figure 7 to elicit clear comparisons and trends.
- Facilitate community discussion and reflection of the meaning of the assessments. If some capacities require further attention or support to achieve the visions, the community could consider particular activities or plans. If other capacities have reached the vision or highest level on the scale, the related activities or interventions could possibly be phased out.

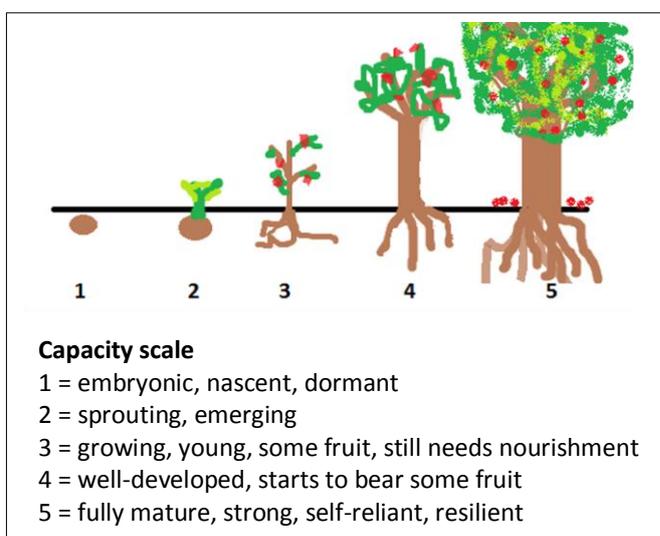


Figure 6: Diagrammatic way to represent community capacity scale (Source: COMPAS, 2010)



Figure 7: COMPAS partners in Africa identified 13 capacity areas as necessary for communities to be effective in undertaking endogenous development. A baseline of these capacity areas was compared to progress after 4 years of supportive programmes and community visions of success in the future (Source: COMPAS, 2010)

TOOL: Assessing Key Opportunities and Threats

Purpose: This tool can be adapted and used to determine how the community would like to respond to certain opportunities and threats. If a large number of opportunities and threats have been identified, the tool can also help prioritize which ones to act upon.

Resource: Adapted from Toolbox for Jirani Na Mazingira and Community Conservancy Local Level Planning in Laikipia Ecosystem (Zeit Foundation, 2010)

- Throughout your interactions with the community, a number of opportunities and threats have likely been identified. If not, facilitate a brainstorming session. Aside from redundancies, all suggestions should be considered potentially important.
- Work with a small group to identify criteria for assessing the opportunities and threats. Such criteria should help the community eventually make a decision about whether or not to address the opportunity or threat in question.
- Create an organized table with the opportunities and threats listed in separate columns across the top and criteria listed in separate rows on the left-hand side. See Table 6 below for an example.
- Encourage the small group to consider each opportunity or threat in turn and assess it according to the criteria.
- After the table is completed, the group will likely have a good idea of the most important opportunities and threats and what may be required to address them.
- Facilitate a process of prioritization. This could be done by identifying the issues that have large magnitude and are easy to address. Those that have a small impact and are easy to address are also reasonable choices.
- Once key opportunities and threats are prioritized, you could facilitate a process of visioning and planning to address them.

Table 6: Sample criteria for assessing opportunities and threats (Source: Zeit Foundation, 2010)

Assessment of Opportunity or Threat	Opportunity or Threat A	Opportunity or Threat B	Opportunity or Threat C	Opportunity or Threat D
MAGNITUDE				
What is the size of the opportunity or				

threat? (huge, big, medium, small, tiny)				
How easy is it to address? (very easy, moderately easy, difficult)				
IMPACTS				
What is the outcome of addressing it?				
What will happen if it is not addressed?				
Who will it affect?				
RESPONSES				
Who can or should address it?				
What is needed in order to address it?				
What capacities already exist within the community to address it?				
How long will it take?				
What are the potential costs?				
What other factors are required?				
Is external support absolutely required? If so, what type of support?				
DECISIONS				
Should we address it?				
If so, what exactly should be done and by whom?				

TOOL: Community Wellbeing Impact Assessment Worksheet

Purpose: This tool can be adapted and used to assess the likely impacts (positive and negative) of a particular proposed activity on community-defined aspects of wellbeing. The activity under assessment may emerge from within the community or from an external proponent.

Resource: Adapted from material provided by the Centre for Indigenous Knowledge and Organizational Development (CIKOD) and the Tanchara community in Ghana, which used the worksheet to assess the impacts of gold mining on wellbeing.

See www.community-protocols.org/toolkit or the accompanying DVD for the full version.

- Encourage the community to seek as much information as possible about the proposed activity. This will improve the accuracy and fullness of the assessment.
- Facilitate a broad community discussion to identify key aspects of material, social, cultural, and spiritual wellbeing. Examples could include food, health, shelter, education, tenure security, presence of social groups, equity, and freedom to practice traditions and beliefs, among others.
- Cluster them into clear themes. Create an organized table of the different aspects of wellbeing arranged under their respective headings. The table should include columns with space to indicate whether the proposed activity is likely to have a positive, negative, or neutral or no impact. It could also include columns to note if more information is needed and to provide any comments (see Table 7 for an example).
- Going through each row in the table, assess the likely impact of the proposed activity on the different aspects of wellbeing. The score could be a simple 'yes' or checkmark. It could also be more descriptive or provide a relative value on a defined scale.
- After the assessment worksheet is complete, facilitate a community discussion about the results. Overall, is the proposed activity likely to have a positive or negative impact on community wellbeing?
- Consider planning specific responses to the proposed activity. If the assessment showed a strong negative impact, the community may wish to take action to resist or prevent the activity from progressing further. If the activity is likely to have positive impacts, they may wish to engage with it proactively to further increase potential opportunities.

Table 7: Excerpt adapted from the Tanchara community wellbeing impact assessment worksheet

1. Good Infrastructure					
<i>Will gold mining have an impact on the following areas:</i>	YES		NO or Neutral	Need More Info	Comments
	Positive	Negative			
Well-maintained and -connected roads and transportation system					
Well-maintained, well-staffed, accessible and affordable schools					
Well-built, secure markets with amenities (e.g. water, toilets)					
Accessible, affordable, well-staffed and equipped health facilities					
Accessible, affordable, regular, and predictable electricity					
Accessible, affordable, and regular telecommunications					
Accessible, affordable, environmentally friendly, and well-planned housing					

The Tanchara community used the same format as Table 7 to assess the potential impact of gold mining on the following aspects of their wellbeing:

- Social amenities, including recreational and sports facilities, tourist sites, and community centers;
- Food security, including cultivated lands and irrigation facilities, variety, quantity and quality of food items produced, and capacity to secure nutritious local consumption year-round and export excess items;
- Social harmony and cohesion, including level of participation in communal and social activities, inter- and intra-community relationships, and low level crime and number of issues settled through arbitration;
- Good governance and leadership, including participation of all in community activities, regular community meetings, self-help initiatives, and good communication between the people and those in governing and power;
- Education, including literacy rates, innovation and creativity in schools, mechanisms for transmitting indigenous knowledge, capacity to secure good livelihoods, high level of self-reliance, and access to continuing education and early childhood education programmes;
- Mechanisms for motivating youth, including presence of youth groups, youth leaders, and good role models, youth-led community activities, orientation and educational programmes such as exchanges, and opportunities to participate in governance structures;
- Working and advancement opportunities, including variety of employable skills and types of jobs available, fair remuneration and good working conditions, number of people in higher quality education, improved lifestyle and family sustainability, and retention of youth;
- Good physical environment, including sanitation facilities, clean air, drinking water, waste management and drainage systems, and accessible natural environment;
- Innovation, including new changes for improved technologies, awards for youth to develop their talents, and existence of community-based research activities;
- Shared moral, cultural, and spiritual values, including freedom of worship and expression of spiritual beliefs, tolerance and respect for beliefs, freedom to learn and communicate in their own and other languages, freedom to dress in traditional code, pride in local dishes and foods, ability to make each other accountable for keeping moral values, cross-participation in other rituals, and promotion of storytelling tradition;
- Sound mind and body, including healthy people and families, reduced incidence of drug and alcohol abuse, balance between meaningful activities, productive work, and rest, and adequate income to satisfy needs.

See Part III: Section III/A for more information about how the Tanchara community used the assessment worksheet

B. POWER AND MULTI-STAKEHOLDER PARTNERSHIPS

Note to community facilitators:

This sub-section introduces a number of key tools related to power and multi-stakeholder partnerships. The tools include:

- ☑ Framework for research and action
- ☑ Identifying key actors
- ☑ Understanding relationships between key actors
- ☑ Forum theatre
- ☑ Image theatre
- ☑ Multi-stakeholder role play

Power is part of every human relationship as a constant interplay between people's potential to influence and control others. It plays a significant role in the interactions within and between communities and external actors such as government officials, researchers, businesses, and non-profit organizations. When these different groups interact in order to meet common objectives (for example, conservation of a particular area or resource), it can also be referred to as a 'multi-stakeholder partnership' (see Box 25). In this context, the terms 'actor' and 'stakeholder' are used interchangeably.

Multi-stakeholder partnerships are integral to the process of documenting, developing, and using a biocultural community protocol. They involve processes of information sharing, dialogue, negotiation, learning, decision-making, and collective action. They aim to identify, understand, and strategically address power dynamics. If power imbalances are not appropriately dealt with, less powerful stakeholders (often communities) may be excluded, overruled, or abused. In a successful partnership, communities' interests, priorities, and needs would be respectfully and sufficiently reflected.

A **multi-stakeholder partnership** seeks a process of interactive learning, empowerment, and collaborative governance in complex and changing environments. It enables stakeholders with common longer-term objectives but different interests to be collectively innovative and resilient when faced with emerging risks, crises, and opportunities.

Box 25: Definition of a multi-stakeholder partnership

Key Resources on Power and Multi-stakeholder Partnerships

[Stakeholder Power Analysis \(IIED, 2005\)](#)

[Power Tools: For Policy Influence in Natural Resource Management \(IIED database\)](#)

[Multi-stakeholder Processes Portal \(Wageningen Centre for Development Innovation\)](#)

[Tools for Analysing Power in Multi-stakeholder Processes: A menu \(Brouwer et al., 2011, unpublished\)](#)

TOOL: Framework for Research and Action

Purpose: This tool can be adapted and used as the basis for exploring key questions to spur community research, action, and reflection about roles and relationships with different actors or stakeholders. The questions can be explored through the use of other tools related to power and multi-stakeholder partnerships.

Resource: Adapted from Tools for Analysing Power in Multi-stakeholder Processes: A Menu (Brouwer et al., 2011, unpublished)

Table 8: Framework for research and action for multi-stakeholder partnerships

Key Research Questions	Key Action Questions
<p>Who are the key actors involved? <i>Understand the different degrees of power amongst the actors, their bases of power, and the manner in which they use their power.</i></p>	<p>Are these the 'right' actors? Do others need to join the partnership?</p>
<p>What are the interests and goals of the different actors? <i>Actors have common longer-term objectives, but likely different interests and interdependencies that may be a source of conflict,</i></p>	<p>How can common interests be strengthened? How can different or conflicting interests be overcome? What</p>

<i>strength, or (in)effectiveness.</i>	other options are available?
How is the problem framed and by whom? <i>Actors exercise power by being in control of setting agendas and terms of engagement. Participatory and empowerment tools can help balance the level of influence of all actors in the partnership.</i>	What is needed to strengthen the influence of the least influential or powerful? How can a genuine process of empowerment be promoted?
What are actors' key resources? <i>How does control over resources affect actors' abilities to exercise influence?</i>	How can interdependence at the level of resource access and control be realized? Which capacities of which actors need to be strengthened?
What are (resource) dependencies between actors? <i>Actors have different types and levels of access to and control over resources (material, immaterial, legal, political, economic, social, and institutional) that determine their influence and capacity to realize their interests.</i>	
What are the rules and process for decision-making? <i>The institutional dimension of the partnership must be understood, including how and by whom the rules are set and how they are enforced, arbitrated, and sanctioned.</i>	What are the constraints in the decision-making process? Can the overall governance structure and decision-making process be changed?
To what extent are different interests reflected in outcomes of decision-making? <i>The decisions taken are an expression of the results of the power dynamics in the partnership.</i>	How can decision-making be organized in order to benefit all actors and their interests?

TOOL: Identifying Key Actors

Purpose: This tool can be adapted and used to identify actors who have influence over a particular resource or the community's overall ways of life.

Resource: Adapted from *Stakeholder Power Analysis* (IIED, 2005)

- Prepare a large bull's eye diagram with several concentric circles (see Figure 8).
- Seek agreement about the focus of the analysis, for example, a particular resource or the community's entire way of life and accompanying territory or area.
- Facilitate a discussion to identify key actors (institutions, groups, or individuals) that affect the resource or area. You could begin with identification of actors within the community and then move to external actors.
- Rank them according to power or degree of influence. This could be done with numbers, icons, or different sizes of paper.
- Label them on the diagram. The ring closest to the center represents the most influence and the outermost ring represents the least influence.
- Consider reflecting on the results by asking questions such as what would happen if the role or influence of one of the key actors changed drastically and how the community would cope with the change.
- As a variation, the same exercise could be done for different timeframes such as the recent past and the future to gain a visual understanding of how key actors and roles have changed over time.

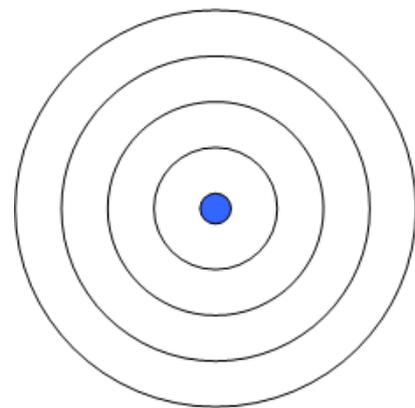


Figure 8: Example of a basic bull's eye diagram

TOOL: Understanding Relationships between Key Actors

Purpose: This tool can be adapted and used to enhance understanding of how key actors relate to and interact with each other. In addition to exploring existing relationships, it also highlights potential partnerships that could contribute to the community's visions and plans.

Resource: Adapted from [Stakeholder Power Analysis](#) (IIED, 2005)

- Facilitate a discussion to identify key actors (institutions, groups, or individuals) that affect the community's ways of life and development aspirations. If this tool is being used by community members, you could begin with identification of actors within the community and then move to external actors. Include discussion of actors that have potential but not yet realized influence or that community members would like to establish a relationship with.
- Begin a large diagram with a circle in the middle representing the community. Additional circles and lines will be added.
- Ask the participants to cut out or draw and label a circle to represent each identified actor and connect it to the community circle with a line. Clearly indicate which ones are 'potential' relationships (for example, with a dotted rather than solid line). The strength or influence of the relationship could be represented either by the size of the circle or the thickness of the line. For example, if the Forest Department is one of the most influential actors, the circle representing it could be one of the largest or the line connecting its circle to the community's circle could be one of the thickest.
- Indicate whether the relationship is positive or negative with an appropriate symbol. Indicate if the influence is exerted by the community on the actor, by the actor on the community, or both with a symbol such as arrows pointing in the relevant direction. See Figure 9 for an example.
- After the diagram is complete, discuss the key interests and dynamics between the actors. Which relationships are most and least important? Which are most effective and why? Which could be further developed? How could negative relationships be improved?

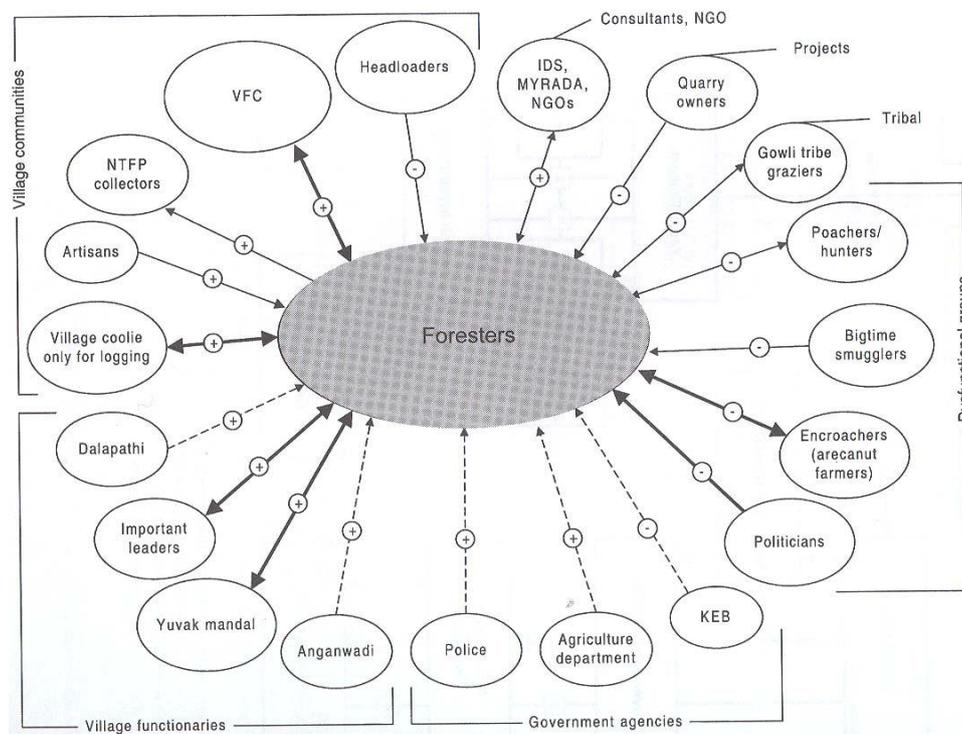


Figure 9: Relationships between actors related to the Karnataka (India) Forest Department
(Source: IIED, 2005)

B1. Participatory Theatre

Participatory theatre, which also goes by a number of other names such as community-based theatre and theatre for development, is a low-cost, community-driven process that can be a very effective way to explore multi-stakeholder partnerships. It uses simple exercises to encourage self-discovery, reflection, interaction, and action amongst the actors and audience alike. It does not require sets, lighting, props, or formal training or experience with acting. Overall, participatory theatre is a social and political tool. It aims to empower ordinary people to become agents of change to address power imbalances, pursue collective visions, and resolve conflicts.

"Theatre is a form of knowledge: It should and can also be a means of transforming society. Theatre can help us build our future, rather than just wait for it." ~ Augusto Boal, creator of "Theatre of the Oppressed"

Participatory theatre is a fun and effective way to help people understand other's perspectives, motivations, and intentions. It can help people transcend social boundaries to express their emotions and opinions more openly. Interactions are less formal and often elicit surprising outcomes that can foster a more collaborative and creative atmosphere for addressing issues of mutual concern.

- Participatory theatre exercises relate strongly to the senses and can be easily used by people who have never thought of themselves as actors.
- They aim to help people find new ways to see, listen, touch, express, and experience to explore opportunities for social change.
- Each person will experience and relate to them differently.
- They should always be adapted to local circumstances and sensitivities.

Box 26: Key points to remember when facilitating participatory theatre exercises

Also see the tool on Legislative Theatre in Part I: Section III/C3

Additional participatory theatre tools, including warm-up exercises and sample role plays, are available on www.community-protocols.org/toolkit

Key Resources on Participatory Theatre

[Participatory Theatre for Conflict Transformation: Training Manual](#) (Search for Common Ground)

[Performance and Participation](#) (IIED Participatory Learning and Action Journal, Issue 29, 1997)

[Act, Learn and Teach: Theatre, HIV and AIDS Toolkit for Youth in Africa](#) (UNESCO and CCIVS, 2006)

TOOL: Forum Theatre

Purpose: *This tool can be adapted and used to explore inter-personal dynamics and people's ideas about how to improve the outcomes of a problematic scenario. It encourages dialogue and constructive action between people with different opinions or approaches to the same issue.*

Resource: Adapted from material provided by Afghanistan Human Rights and Democracy Organization

- Work with a small group of about 3-5 people to prepare a short scenario about a particular problem or conflict that is relevant to the community and involves external actors. An example is provided in Box 27.

A few community members are heatedly discussing their frustrations with the Wildlife Department. They have been accused of poaching an endangered species. They visit the Department's office and attempt to meet with one of the officials. The official acts very rudely and threatens to arrest and fine them if they are caught again. The community members are visibly upset and argue with the official until they are removed by security.

Box 27: Sample conflict scenario

- Arrange for the actors to perform the scenario for others from start to finish.
- Act it out a second time but stop it at key moments where a change in the actors' behaviour or actions would affect the way the story unfolds. At those moments, encourage audience members to step into the scene, replace one of the actors temporarily, and attempt to positively change the outcome. The actors should stick to their roles within reason but improvise in response. Each key moment could be revised more than once to explore different approaches and perspectives.
- Afterwards, facilitate a discussion amongst the audience members and actors about the different responses and outcomes and how this could be applied to a similar real life situation.

TOOL: Image Theatre

Purpose: This tool can be adapted and used to encourage informal and open expression of people's perceptions of key issues

Resource: Adapted from material provided by Afghanistan Human Rights and Democracy Organization

- Prepare a short list of key topics of relevance to the community and external actors (see Box 28 for examples). The topics should be one or two words only and be vague enough for diverse interpretations.
- Working with a small group of at least 4 people, ask everyone to stand in a circle facing outwards with their eyes closed. There should be some space between them to avoid physical contact.
- Announce one of the topics and ask them to create an image using only their own bodies, keeping their eyes closed.
- At your signal, all actors simultaneously turn around to face inwards, showing their image to the rest of the group.
- At this point, you could ask them what they see and facilitate a discussion about different interpretations of the same topic.
- You could also facilitate rounds of simple follow-up actions such as asking them to group themselves into 'families' of similar images without speaking, making a sound and movement contained within their image, and transforming into the opposite image.
- One variation on the circle is to ask actors to present their images to an audience. The audience could then discuss what they see and what they think is the topic of the images.

- Your country
- Self-determination
- Power
- Partnership
- Ownership
- Sustainability

Box 28: Sample topics

TOOL: Multi-stakeholder Role Play

Purpose: This tool can be adapted and used to introduce a range of perspectives that are common to multi-stakeholder partnerships. It stimulates innovative dialogue in a practical and engaging way that is rooted in the local experiences of the participants. It can be used in a variety of settings ranging from community meetings to multi-stakeholder workshops.

- The boxes below outline a sample role play activity about protected area governance. The objective is to building understanding of how governance is manifest in practice in a complex multi-stakeholder scenario.

- Adapt the sample scenario and stakeholder roles provided below so the activity is relevant to the participants' local context. Consider trying some of the following variations: change the names of places, communities, and stakeholder agencies; change the main topic of the role play to something that is important for your community and external actors to understand; change the guiding questions to explore issues of particular relevance in your context; or change the structure of the role play, for example, beginning with several small groups, each of which plays the role of one particular stakeholder.
- Ensure that each participant has a copy of the scenario and one of the stakeholder roles. There should be roughly the same number of people playing each role.
- It often takes longer than expected for participants to read through the scenario, stakeholder roles, and guiding questions. Confirm that they understand everything and clarify as needed before beginning group discussions.

PROCESS

Divide into small groups of 10-12 people. There are 5 stakeholder roles with different agendas and interests to pursue. In your small group, divide yourselves into the 5 stakeholder roles, with 2-3 people to represent each one. Within your stakeholder group, spend 20 minutes discussing your interests and developing a negotiating position and practical ways forwards based on your stakeholder's role. With the other stakeholders in the rest of the small group, spend 40 minutes discussing the issues at hand. Stick to your stakeholder role and negotiating strategy as much as possible, but also try to work towards group consensus about practical ways forwards. One of the representatives of the National Biodiversity Authority role will then present his/her group's decision to the whole workshop group and also discuss the challenges in making this decision.

SCENARIO

The Magge are indigenous peoples in Justikana, an island state near Borneo. They have lived in Justikana's Kinget Forest for many generations and their ways of life are closely linked to the forests' biodiversity. They use many of the unique plants and animals for food, medicine, building materials, and cultural activities. They have a lot of traditional knowledge about the forest and have many beliefs and customs to help ensure that the natural resources are used sustainably. The Magge have always shared traditional knowledge and resources with communities living nearby in the forest.

- A non-governmental organization (NGO) called Diversity is Life is working with members of the Magge community to document their traditional knowledge about the biological and cultural resources of the Kinget Forest. Diversity is Life has a good working relationship with both the community and the government.
- Justikana's Department of Forestry knows that the Kinget Forest is very valuable and believes that the presence of the Magge community is harming the forest. The Department thus wants to establish a forest reserve to protect it for future generations. The proposed forest reserve would overlap with the traditional lands of the Magge and would make it illegal for the communities to enter or use any of the resources within the forest reserve. If established, the forest reserve would be under the control and management of Justikana's National Parks Authority.
- Justikana's National Parks Authority also knows that the Kinget Forest is very valuable and is obliged to work with the Department of Forestry. However, the director of the National Parks Authority is not convinced that the Magge community should be excluded from the forest. Although she is open to discussion with all stakeholders, she currently does not have enough information about the Magge to be certain that the community should be allowed to continue to live in the Kinget Forest. The National Parks Authority is also obliged to work with the National Biodiversity Authority.
- The state of Justikana is party to the United Nations Convention on Biological Diversity (CBD). In order to ratify the CBD, Justikana's National Biodiversity Authority has drafted a federal biodiversity law. The draft law includes a provision for the protection of indigenous peoples' traditional knowledge and customary ways of life that contribute to the conservation and sustainable use of biodiversity. However, this law has not yet been adopted.

Stakeholder A: Director of National Parks Authority

Your job is to protect the beautiful national parks of Justikana, which are collectively considered one of the greatest biodiversity 'hotspots' in the world. In the past, the National Parks Authority has managed the national parks through the "fortress conservation" approach, by making sure the parks are free of human settlements and use. However, you are the new director and have a different perspective. You recently attended an international conference about new approaches to conservation and met people involved in national parks management in other countries. You have learned that sometimes conservation programs actually work better when they involve local communities, rather than excluded them. You are now considering options for working with communities in Justikana such as the Magge. To do so, you need more information about the traditional knowledge and customary ways of life of the Magge to make sure that they are having a positive impact on the Kinget Forest.

Stakeholder B: Head of Department of Forestry

Part of your job is to preserve Justikana's forests and the best way to do this is to keep humans out of them. You believe that the Magge community is over-exploiting the natural resources in the Kinget Forest and causing degradation. In order to protect the Kinget Forest, you want to establish a forest reserve and make it illegal for the Magge community to use it. That way, they will stay out of the forest and not disturb its natural processes. Your job is also to create revenue for the government through economic use of the forests (for example, logging concessions). You believe that your work is for the benefit of the entire population of Justikana and that national development should be the top priority of all government agencies' work.

Stakeholder C: Native Chief of the Magge Community

Your job is to ensure that your community can continue to live in and around the Kinget Forest and to use its natural resources. The Magge's culture and way of life are completely dependent on the forest and you have generations of accumulated traditional knowledge about its resources. Your customary laws and management practices help conserve the forest's biodiversity, which in turn plays a role in your cultural traditions. You have been working with the NGO Diversity is Life to document some of the traditional knowledge and practices that contribute to the conservation and sustainable use of the forest biodiversity. When you learned that the Department of Forestry wanted to establish a forest reserve on your traditional lands, you were very upset and confused. You oppose to establishment of the forest reserve because being banned from the forest would devastate your culture and way of life. You want to work with other stakeholders to prevent this from happening. You want to communicate that your community is helping conserve the forest and is not harming it, but you are not sure how to do this.

Stakeholder D: NGO "Diversity is Life"

Your job is to work with the Magge community to document their traditional knowledge and customary ways of life that help conserve the Kinget Forest. You are helping train community members on scientific research methods such as species identification, data collection and analysis. The Magge people are already very knowledgeable about the forest's biodiversity and they are interested in learning more about how to communicate their knowledge to other stakeholders such as the National Parks Authority. You would like to help the Magge community work with the Parks Authority towards the joint research and co-management of national parks. The Magge people are also interested in knowing how the draft national biodiversity law will impact them, but you do not know much about it either. You would like to find out more about the draft law from the National Biodiversity Authority.

Stakeholder E: National Biodiversity Authority

If the draft national biodiversity law is passed, it will be an important step towards the national implementation of the Convention on Biological Diversity. It will also be the first law relating to the protection of traditional knowledge and customary ways of life in Justikana. Your job is to ensure that the draft law represents the interests of all stakeholders involved in biodiversity conservation and use, including the Magge, the Department of Forestry and the National Parks Authority. However, each stakeholder has their own interests and it is very difficult to make everyone happy. You know that the Magge community will want protection of their traditional knowledge and customary management practices, which would enable them to continue their ways of life within areas of high biodiversity. The Department of Forestry will want strict protection of forest resources and the right to use forests for national economic benefit. The National Parks Authority will want protection of natural resources, but they are open to discussing whether or not this should involve local communities such as the Magge. You are interested in discussing the draft law with all of the stakeholders to find out how it might impact them and what rights they need protected.

C. LEGAL EMPOWERMENT, SOCIAL MOBILIZATION, AND ADVOCACY

Note to community facilitators:

This sub-section introduces a number of key tools related to legal empowerment, social mobilization, and advocacy.

The tools include:

- ☑ Identifying appropriate forms of resource mapping
- ☑ Community biodiversity registers
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews
- ☑ Identifying relevant social media tools
- ☑ E-learning modules on relevant legal frameworks
- ☑ Legislative theatre
- ☑ Principles for public participation in impact assessments

With a foundation of endogenous development and multi-stakeholder partnerships, a biocultural community protocol is brought to life through an integrated process of legal empowerment, social mobilization, and advocacy. Overall, this process aims to empower communities to use legal tools to tackle power asymmetries and take greater control over the decisions and processes that affects their ways of life and territories and areas upon which they depend.

As described in **Part I: Section II/B1**, the law disaggregates the environment into distinct compartments. This directly conflicts with the otherwise interconnected manner in which communities interact with their territories and areas. However, laws and policies can be changed, as exemplified by global movements to realize the rights and responsibilities of farmers, livestock keepers, fish workers, and forest peoples. With innovation and determination, Indigenous peoples and local communities around the world are reimagining and recreating the law in accordance with their worldviews, ways of life, and customary laws. In this sense, they are breaking the regrettable legal tradition of either being ‘spoken at’ or ‘spoken for’. They are also proving that formal training as a lawyer is not necessary to effectively engage with the law.

Legal empowerment is based on the twin principles that law should not remain a monopoly of trained professionals and that alternative forms of dispute resolution (such as dialogues) are often more attuned to local realities than formal legal processes. Ideally, the act of using the law becomes as empowering as the outcome of the process itself. For example, a court victory that sets a legal precedent can be supremely useful. However, a process driven by the community itself through internal organization and strategic action will likely be far more powerful. Thus the potential of a biocultural community protocol to bring about tangible change is dependent upon how the community undertakes processes of learning about the law and how to interpret and use it, mobilizing social movements, and advocating for change.

Key Resources on Legal Empowerment

[Biocultural Community Protocols and Conservation Pluralism](#) (Jonas et al., 2010)

[Making the Law Work for Everyone, Volume I: Report of the Commission on Legal Empowerment of the Poor and Volume II: Technical Reports](#) (UNDP, 2008)

[Legal Empowerment Working Papers and Legal Empowerment: Practitioners’ Perspectives](#) (IDLO, 2010)

[Traditional Justice: Practitioners’ Perspectives](#) (IDLO site)

[Legal Empowerment in Practice: Using Legal Tools to Secure Land Rights in Africa](#) (Cotula and Mathieu (Eds.), 2008)

[Between Law and Society: Paralegals and the Provision of Justice Services in Sierra Leone and Worldwide](#) (Maru, 2006)

[Indigenous Peoples and Traditional Resource Rights: A Basis for Equitable Relationships?](#) (Posey, 1995)

[Democratic Dialogue: A Handbook for Practitioners](#) (Pruitt and Thomas, 2007)

[Haki Network and Namati Network: Innovations in Legal Empowerment](#)

[Legal Empowerment of the Poor: International Applied Research Learning Network on Poverty and Human Rights](#)

C1. Participatory Resource Mapping

Maps are very important tools for defining rights and responsibilities. For many generations during colonial eras and still to this day, maps have been used to dispossess communities of their lands and territories to make way for national parks, resource extraction, and large-scale development and agriculture projects. Over the past 20 years, communities have begun to redress this power imbalance by developing and testing participatory approaches to mapping in many different contexts, including:

- Identifying customary territories and areas of resource use, including overlaps with national parks;
- Resolving conflict over boundaries between communities;
- Recording and safeguarding locations of cultural and sacred sites; and
- Clarifying jurisdictions of local institutions over particular resources.

Participatory mapping enables communities to visualize spatial information about their territories and areas, cultural heritage, and resource management systems. It also enables the combination of traditional and local knowledge with geo-referenced and scaled data. Many communities find mapping an empowering process that helps assert their identities and builds community cohesion, self-esteem, and sharing of information.

See Part I: Section III/B5 for further guidance about managing sensitive information

Key Resources on Participatory Resource Mapping

[Training Kit on Participatory Spatial Information Management and Communication](#) (Technical Centre for Rural Cooperation and Agriculture and International Fund for Agricultural Development (IFAD), 2011)

[Participatory Mapping Toolbox](#) (Integrated Approaches to Participatory Development, IAPAD)

[Manual on Participatory 3-Dimensional Modeling for Natural Resource Management](#) (Philippines National Integrated Protected Areas Programme, 2000)

[The IFAD Adaptive Approach to Participatory Mapping: Design and Delivery of Participatory Mapping Projects](#) (IFAD, 2010)

[Participatory Mapping as a Tool for Empowerment: Experiences and Lessons Learned from the International Land Coalition Network](#) (International Land Coalition, 2008)

[The I-Tracker Report: A Review of the I-Tracker Data Collection and Management Program Across North Australia](#) (North Australian Indigenous Land & Sea Management Alliance, 2009)

[Guyana: Empowerment of Indigenous Peoples through Participatory Mapping](#) (World Rainforest Movement, 2002)

TOOL: Identifying Appropriate Forms of Resource Mapping

Purpose: This tool can be adapted and used as the basis for community discussions about different forms of participatory resource mapping in order to identify which (if any) may be particularly useful in your local context.

Resource: Adapted from [Participatory Mapping Toolbox](#) (IAPAD)

See Part II: Section II/D for a community experience with participatory mapping in Ethiopia

- Facilitate a discussion about what the community would like to achieve with maps and what degree of specificity or technicality may be required. Discuss different perspectives and motivations, expectations, and any concerns.
- Facilitate discussions about how each tool in Table 9 could potentially be used in your local context. Criteria for selection may include existing skills and capacities within the community and long-standing support organizations, available and potentially available resources (finances, time, equipment, and technical capacity), opportunities to involve youth, personal concerns such as lack of confidence with new technology, basic utilities such as electricity and storage space, and so on.

- Work towards agreement of which ones would be most relevant and how to overcome their potential drawbacks.
- Develop a plan for using the identified tools, including roles and responsibilities of those involved, timelines, budgets, and monitoring.
- When using the tools, encourage broad participation and opportunities for gaining new skills, particularly amongst youth.
- Ensure sufficient opportunities for the wider community to provide input to the maps and verify the information before finalization. Depending on the sensitivity of the information, the maps should be kept in safe places and perhaps under the care of an authorized person.

Table 9: Participatory resource mapping tools and their potential uses (Source: IAPAD)

Participatory Mapping Tool	Description	Benefits and Drawbacks
Transect diagram	Depicts the location and distribution of resources, geographic features of the landscape or seascape, main land uses and zones, and constraints and opportunities along a specific path or route known as a 'transect'.	Simple, low-cost, no expertise needed, easily adapted for community use. Provides broad-level information. Not useful when accuracy is required.
Sketch map	Informal way to plot information on the occurrence, distribution, access, and use of resources within a community's territory or area. Useful alongside other tools such as transect diagrams. Facilitator should understand the social structure and have good rapport.	Simple, low-cost, no expertise needed, easily adapted for use in all ecosystems and different levels of detail. Spatially confined and biased to the domain of whoever develops it. May not be taken seriously by officials for formal management purposes.
Sketch map overlaid on topographic or satellite map	Transposes information from a sketch map onto an existing conventional topographic map to generate a relatively precise scaled output. Illustrate local change over time (topographic base map remains the same). Serves as basis for dialogue and joint planning with external actors.	Enables recognition of locally important resources (names, location, extent, etc.). Computerized format more likely to be officially recognized. Topographical maps may not be easily available, accessible, or fully representative of local realities.
CyberTracker	Free software for handheld GPS-enabled computers, used to record observations with customized icons. Used for monitoring natural resources and recording locations of culturally important sites.	Easy to customize freeware, paperless data collection reduces errors and waste, immediate mapping and easy export for analysis. Handheld computers may be prohibitive cost.
Global Positioning Systems (GPS) and Geographic Information Systems (GIS)	Identify coordinates of boundaries, perimeters, or locations. Data is recording with handheld GPS devices, stored in digital format, and used to produce maps with geo-referenced information.	Provides accurate data with high potential for official recognition. Often interests youth. Equipment may be prohibitive cost. Requires external technical input and training to use equipment.
3-dimensional modeling	Combines people's knowledge of land uses, boundaries, and important sites with elevation contours (GPS and GIS technology) to produce a scaled 3-D model. Diverse applications, including recognition of customary rights and territories, education, participatory planning and research, monitoring and evaluation, and conflict resolution.	Builds community identity, pride, and shared vision. Adaptable for many purposes. High potential for tangible outcomes if used effectively. Requires time, effort, and participation to construct.

TOOL: Community Biodiversity Registers

***Purpose:** This tool can be adapted and used to document biological resources that the community depends upon. It can be used as the basis for resource monitoring and management. It can also document traditional names and uses in order to assert community rights over the resources and associated knowledge and intellectual property.*

Resource: Adapted from [Learning Endogenous Development: Building on Bio-cultural Diversity](#) (ETC Foundation and COMPAS, 2007) and from material provided by the Centre for Sustainable Development (CENESTA)

See Part II: Section II/B for a community experience with biodiversity registers in Iran

- Consider using this tool in conjunction with a community sketch map (see Table 9).
- Facilitate a discussion about objectives and motivations for developing a community biodiversity register.
- Community biodiversity registers generally involve the documentation of various biological resources used by and/or are found in the community's territory or area (see Box 29 for examples). Basic registers could include each resource's name and a general description. More detailed registers could also include the location, relative quantity or abundance, relative health, common or traditional uses, methods for management and conservation, threats, and so on.
- This information could be documented in a number of different ways, for example, physical collection and drying of plant specimen, well-organized charts with written information, photographs or drawings, and audio recordings. Facilitate a discussion and agreement about how the register will eventually 'look' and how it will be used.
- Facilitate a discussion and agreement about types of information that would be appropriate to document and in what forms. Although it may be useful in some situations to record locations or traditional names of resources, doing so could also raise concerns about sensitive and valuable information. Refer to **Part I: Section III/B5** for further guidance about managing information. Seek explicit agreement about how to retain community control and security of the register.
- Discuss how the community would like to organize the documentation process. One approach is to work with representatives of groups that use specific resources for different purposes (such as traditional medicine, household consumption, handicrafts, and building materials). This may require a committee or group to coordinate the overall process. They may wish to seek external advice on specific techniques such as collection of specimen or construction of secure databases.
- Discuss the timeframe and scope of documentation. The community may decide to document only certain resources of particular importance, especially if they know and use hundreds of different species. Take into consideration how resources are found in different habitats and how they change over the seasons. For example, nomadic pastoralists may decide to record every plant species encountered during each seasonal migration over a period of two or more years.
- Undertake the agreed upon process, including opportunities for broad participation and some form of consolidation and verification.
- Conclude with a community endorsement of the register and plans for using it.

- Wild plants (grasses, shrubs, trees, ferns)
- Cultivated plants (fruits, vegetables, grains, legumes, herbs)
- Wildlife (mammals, birds, fish, insects, reptiles, amphibians)
- Domestic animals (livestock, horses, herders such as dogs)

Box 29: Examples of biological resources that could be documented in a register

C2. Information and Communication Technologies

Communities are increasingly gaining access to technology such as computers, the internet, mobile phones, cameras, and recording devices. They are actively using them to increase the voices of the

marginalized, mobilize social action, and advocate for change. Information and communication technologies can be used in just about any context and instantly shared through global networks thanks to the rise of social media such as blogs, Facebook, and YouTube.

Participatory video, photography, and audio in particular have become popular and effective methods for telling community's stories from their own perspectives. They are empowering processes that can help convey concerns and local development priorities in the words, sounds, and images of communities themselves rather than of an outside journalist or development worker. Films, photographs, and audio interviews can be used as the basis of establishing dialogue with external actors, raising awareness, and catalyzing strategic advocacy efforts. The following tools provide initial guidance and links to key resources that contain more detailed information.

TOOL: Participatory Video

Purpose: This tool can be adapted and used to produce and share videos about and in support of the community protocol. It could be used for documentation, awareness-raising and advocacy campaigns, engaging with external actors, and reporting and evaluation.

Resource: Adapted from [Video Advocacy Planning Toolkit](#) (Witness)

See Part III: Section I for a community experience with participatory video in Eastern Canada

Video can quickly mobilize local support around the community protocol. It tends to generate a lot of interest among youth and is a great way to get children and adolescents involved in community storytelling and learning about their culture and environment. Since video is a powerful way to bridge gaps in understanding and worldviews, it can also be used to present elements of the community protocol to external actors and the broader public.

- Draw on Table 10 to brainstorm how video could be used in the protocol process and different ideas for topics, interviewees, and questions.
- The *Key Resources* below provide more detailed guidance and technical background based on years of community experiences from around the world. Witness' open source [Video Advocacy Planning Toolkit](#) is particularly helpful, providing information on determining audiences and objectives, developing storyboards and style, using new software and equipment, editing, sharing the results with others, and evaluating impacts of advocacy campaigns.

Table 10: Basic tips and guidance for shooting a video

Before Filming	Equipment
<ul style="list-style-type: none"> ● Identify the objectives and audience ● Determine the structure and style ● Prepare a storyboard (scene-by-scene plan of the story and what will be included in the accompanying visuals and audio) ● Draft a script for narration ● Prepare a list and schedule of locations, interviewees, scenery, close-ups, and sound bites to seek ● Seek permission before filming or interviewing people and be clear about how it will be used 	<ul style="list-style-type: none"> ● Video camera (formats include cassette, mini-disc, High Definition, memory card, etc.) ● Extra film or storage space and batteries ● Tripod ● Computer and editing software ● DVD burner or internet connection ● Microphone ● Headphones ● Relevant cables ● Notebook and pens
Technical Tips	Filming Tips
<ul style="list-style-type: none"> ● Familiarize yourself with the equipment and work out any glitches beforehand ● Do a test run before beginning filming ● Label tapes and files ● Record with headphones ● Record everything, including small or background 	<ul style="list-style-type: none"> ● Learn how to do different shots such as close-ups, wide-angle, zooms, and pans ● For interviews, choose a quiet location and make the space comfortable and non-intrusive ● Record normal activities and events and try to make people feel at ease

<p>sounds and long pauses</p> <ul style="list-style-type: none"> • Take written notes while filming • Be detail-oriented at all stages – even small ‘mistakes’ will be very noticeable to viewers 	<ul style="list-style-type: none"> • Keep microphones and other equipment out of the visible frame • Keep the video camera steady and in focus • Avoid making sounds when recording • Re-shoot a scene or sequence if you’re not happy with the first or second take • Be patient with the process and those involved
---	--

Key Resources on Participatory Video

[Video for Change: A Guide for Advocacy and Activism](#) (Witness, 2005)

[Video Advocacy Planning Toolkit](#) (Witness)

[Insights into Participatory Video: A Handbook for the Field](#) (InsightShare, 2003)

[Conversations with the Earth](#) (non-profit organization and network)

[Sacred Land Film Project](#)

TOOL: Photo Stories

Purpose: This tool can be adapted and used to display a slideshow of photographs about and in support of the community protocol. It could be used for documentation, awareness-raising and advocacy campaigns, engaging with external actors, and reporting and evaluation. Other ways to use photographs include in exhibitions, brochures, posters, and reports.

Resource: Adapted from [Photo Story 10-Step How To Guide](#) (Adaptation Learning Mechanism, 2010)

Search www.youtube.com or the accompanying DVD for a photo story of the *Maldhari Biocultural Community Protocol*

- Compiling a photo story (also known as a photo slideshow) is one of the easiest ways to effectively display and share digital photographs. It involves selecting compelling photos, arranging them into a meaningful order, adding special effects and audio, personalizing it with titles and captions, and publishing it to a DVD or online video-sharing platform. See Box 30 for basic tips.

- Download and familiarize yourself with the software.
- Prepare an outline for your story (for example, general information about the community and area, main issues and challenges, community projects or initiatives, lessons learned, and next steps).
- Collect 10-20 relevant photographs using a variety of shots and angles (for example, close-ups, mid-range and long shots, and staged and action shots).
- Open the software and begin a new project.
- Import the photos and arrange them into the desired order on the filmstrip.
- Consider using the editing tools such as rotation, crop, red-eye, and colour adjustments. Editing could also be done before importing the photos into the project.
- Add a title page at the beginning, captions for the photos, and credits at the end. Adjust the font, style, size, and position of the text.
- Add animation effects such as fades, pans, or zooms between each photo.
- Add narration or background music.
- Save the story for playback on your computer.
- Share it with others by transferring the file to other computers, burning it onto a DVD, or uploading it to a social media platform such as Facebook or a video-sharing site such as YouTube.

Box 30: Tips for creating an effective photo story

- You need a certain kind of software to create a photo story. Recent Windows and Macintosh operating systems include their own versions such as Windows Movie Maker and iMovie. Others such as Microsoft Photo Story 3 and Prezi are available online for free download.

- Think ahead about how you will use the photo story and therefore which software may be required. Some operating systems and online platforms are only compatible with certain formats. A quick Google search will elicit this information.

Key Resources on Participatory Photography

[See It Our Way: Participatory Photography as a Tool for Advocacy \(PhotoVoice\)](#)

[Photovoice: Social Change Through Photography \(John Humphrey Centre for Peace and Human Rights, 2010\)](#)

[Social Documentary: Using the Power of Photography to Promote Global Awareness \(website\)](#)

[Photo Story 10-Step How To Guide \(Adaptation Learning Mechanism, 2010\)](#)

TOOL: Audio Interviews

Purpose: This tool can be adapted and used to interview key actors in various stages of the protocol process, including documentation and communication, reporting back to the community or external actors, and reflection on processes and changes.

Resource: Adapted from [Teen Reporter Handbook: How to Make Your Own Radio Diary \(Radio Diaries, 2000\)](#)

- Draw on Table 11 to brainstorm how audio interviews could be used in the protocol process and different ideas for topics, interviewees, and questions.
- Audio interviews can be used for many purposes such as Most Significant Change stories (see **Part I: Section IV/D**), podcasts, and radio programmes, or as audio clips for films and photo stories.
- Depending on interest, time, and resources, you may wish to establish a community radio station. Radio is a cost-effective and impactful way to connect communities about issues of importance to their daily lives. It has particularly been used by small-scale farmers to share knowledge and experiences in support of locally appropriate farm systems, innovations, and food and nutrition security. The *Key Resources* below provide guidance on years of community experiences from Africa, Asia, and the Americas.

Table 11: Basic principles and tips for conducting audio interviews

Basic Principles	Equipment
<ul style="list-style-type: none"> ● Be curious and creative ● Be prepared and organized, including with equipment, questions, and location ● Be respectful and attentive ● Use small details to tell a big story ● Seek permission from the interviewee for recording, editing, and intended uses of the final interview or programme 	<ul style="list-style-type: none"> ● Recording device (formats include cassette, mini-disc, MP3, laptop, etc.) ● Microphone ● Headphones ● Relevant cables and software ● Spare batteries ● Notebook and pens
Technical Tips	Interviewing Tips
<ul style="list-style-type: none"> ● Familiarize yourself with the equipment and work out any glitches beforehand ● Do a test run before beginning the interview ● Label tapes and files ● Record with headphones ● Keep the microphone close to the subject (5-6 inches below the chin) ● Record everything, including small or background sounds and long pauses ● Take written notes after the interview 	<ul style="list-style-type: none"> ● Choose a quiet location and make the interviewing space comfortable ● Put people at ease and begin recording a few minutes before starting the questions ● Ask interviewees to identify themselves ● Maintain eye contact and aim to have a normal conversation with the interviewee ● Get them to 'do' things such as show you around an important place ● Avoid making verbal responses (such as 'uh huh') while the interviewee is speaking ● Avoid simple 'yes' or 'no' questions

Key Resources on Participatory Audio and Radio

- [Community Radio Start-Up Information Guide](#) (Farm Radio International, 2008)
- [Manual for Participatory Radio Campaigns](#) (Farm Radio International, 2010)
- [Community Radio Handbook](#) (UNESCO, 2001)
- [Creating Participatory Radio with Children: A Facilitator's Guide](#) (Community Media for Development)
- [Teen Reporter Handbook: How to Make Your Own Radio Diary](#) (Radio Diaries, 2000)
- [Creating a Podcasting Show on Windows](#) (Hemel, no date)
- [Legislation on Community Radio Broadcasting: Comparative Study of the Legislation of 13 Countries](#) (UNESCO, 2003)
- [Az Dekhon ba Dekhon \(Farmer to Farmer\): A Participatory Radio Series for Private Farmers in Tajikistan](#) (FAO, 2002)
- [World Association of Community Radio Broadcasters](#)

TOOL: Identifying Relevant Social Media Tools

Purpose: This tool can be adapted and used as the basis for community discussions about different forms of social media in order to identify which (if any) may be particularly useful in your local context.

Resource: See Table 12 below

Table 12 highlights a number of free online social media tools that could be used to support activities and campaigns related to the biocultural community protocol, create global networks, and share experiences and resources with others working on similar issues. It is not intended as an official endorsement of any particular website, but as a selection of the most popular and easy-to-use tools to be adapted to your local context and priorities.

Each social media tool has unique phrases and ways of sharing information, which are explored further in the hyperlinked guides below. They can be used on computers or internet-enabled mobile phones and can be linked to each other to establish an integrated social media platform. Before setting up new accounts or posting information online, be sure to read the fine print and discuss with the rest of the community any concerns about privacy or local procedures for sharing certain information in the public domain.

Table 12: Overview of key social media tools

Tool	Description	Getting Started
Blogger	Blog service for sharing updates, substantive information, and opinions. Readers can post comments.	<ul style="list-style-type: none"> • Create an account at: www.blogger.com • See How to Use Blogger • Seek 'followers' to subscribe to your feed
Twitter	Micro-blogging service for posting short messages of up to 140 characters. Readers can respond to and forward ('re-tweet') messages.	<ul style="list-style-type: none"> • Create an account at: www.twitter.com • See DigiActive Guide to Twitter for Activism • Add hyperlinks with a URL-shortening service such as www.bitly.com • Seek 'followers' to subscribe to your feed
Facebook	Social networking site for sharing messages, links, photos, and more. Readers can comment on and forward content.	<ul style="list-style-type: none"> • Create an account at: www.facebook.com • Set up a page for an organization or cause • See Facebook Pages: The Insider's Guide • Seek people to 'like' your page
YouTube	Video-sharing site for posting files in formats such as .AVI, .MOV, .WMV, and .MPEG4. Viewers can comment on, vote for, and share videos with others.	<ul style="list-style-type: none"> • Create an account at: www.youtube.com • See How to YouTube: Top 5 Tips • Seek people to subscribe to your channel or view and comment on specific videos
Change.org	Hosts online petitions that can be used to target specific people, companies, or organizations with a focused message and request for action.	<ul style="list-style-type: none"> • Create an account at: www.change.org • See How to Start an Online Petition • Seek people to sign your petition

Key Resources on Social Media and Information and Communication Technologies

[Change at Hand: Web 2.0 for Development](#) (IIED, 2009)

[Web 2.0 Tools for NGOs](#) (GlobaLab)

[How NGOs Can Use Social Media](#) (UN Department of Social and External Affairs, 2010)

[The Social Media Guide](#) (website)

[Closer Than Ever: A Guide for Social Change Organizations Who Want to Start Working Online](#) (Association for Progressive Communications, 2011)

[African Indigenous Peoples' Workshop on Effective Use of Information Communication Technology \(ICTs\) in Environmental Advocacy](#) (IPACC, 2009)

[Unbounded Possibilities: Observations on Sustaining Rural ICTs in Africa](#) (Association for Progressive Communications, 2008)

[Global Voices Advocacy](#), [Witness](#), and [Eldis Communities Learning Networks](#) (websites)

C3. Legal Awareness and Action

There are innumerable ways for communities to learn about and engage with the law. In the context of developing and using a biocultural community protocol, the community and supporting organizations should generally strive to:

- Understand national, regional, and international laws and policies and how they relate to the community and their territories and areas;
- Understand the community's rights and responsibilities as well as those of relevant external actors such as governments and companies;
- Plan how to engage with and influence them in accordance with the community's customary laws and endogenous development priorities; and
- Ensure access to recourse and redress mechanisms, including formal legal support and alternative dispute resolution, in cases of conflict or rights violations.

These should be seen as ongoing processes of learning and reflection with some inevitable challenges along the way. Engaging with the law can be a long and frustrating process; even experienced lawyers find laws and policies complex and difficult to understand. Extra patience and encouragement from community facilitators are thus important to keeping up energy and momentum. Depending on existing capacities and resources within the community, some external support from NGOs and pro bono lawyers may be required, particularly regarding specific legal provisions. Overall, the process of understanding and engaging with the law will be much more effective if the community is well-organized and has clear visions and plans for what they'd like to accomplish through the law.

TOOL: E-learning Modules on Relevant Legal Frameworks

***Purpose:** This tool can be adapted and used to gain greater understanding of key legal frameworks and how they relate to the community. It also provides guiding questions for the community to consider how they could engage with the frameworks to fulfill the aims and objectives of their protocol.*

Resource: Available online at www.community-protocols.org/toolkit and in the accompanying DVD (developed by Natural Justice, 2012)

A number of e-learning modules are being developed specifically to support the legal aspects of biocultural community protocols. The modules can be used as the basis for community discussions, workshops, and action planning about key legal frameworks that affect Indigenous peoples and local communities and their territories and areas. They can also be used in conjunction with in-person legal advice and support from pro bono lawyers and human rights advocates in your country or region.

As of March 2012, e-learning modules on the following international frameworks are available online and in the accompanying DVD:

- United Nations Declaration on the Rights of Indigenous Peoples
- Traditional Knowledge and Customary Sustainable Use of Biodiversity
- Access and Benefit Sharing
- Reducing Emissions from Deforestation and Forest Degradation

In the coming months, several additional modules will be developed on other key international frameworks as well as national laws and policies in select countries in Africa, Asia, and the Americas. They will be posted on www.community-protocols.org/toolkit as they become available. As they are first versions, all of the modules are open to comment, further input, and feedback on local experiences.

TOOL: Legislative Theatre

***Purpose:** This tool can be adapted and used to submit legal reports to key decision-makers such as parliament based on community suggestions for legislative change.*

***Resource:** Adapted from material provided by Afghanistan Human Rights and Democracy Organization*

See Part I: Section IV/B1 for a description of Participatory Theatre and two additional theatre tools

- Use the Forum Theatre tool to prepare and perform plays that relate to the community and issues contained in the protocol.
- Invite a trusted pro bono lawyer to observe and take notes of suggestions for change arising from the play and audience responses.
- Work with the lawyer to compile a legal report that can be presented to your city, state, or national parliament or other key decision-makers such as directors of government departments.
- Follow up with the process as appropriate.

In the early 1990s, Augusto Boal (the founder of Forum Theatre) was voted a member of the city parliament of Rio de Janeiro, Brazil. After realizing how little contact there was between elected officials and their constituencies, he decided to combine Forum Theatre with the power of law as a tool for social change. Through a process dubbed as Legislative Theatre, legal reports based on the plays were presented to parliament and resulted in 13 related laws being passed in only 2 years.

Box 31: The emergence and early influence of Legislative Theatre in Rio de Janeiro

TOOL: Principles for Public Participation in Impact Assessments

***Purpose:** This tool can be adapted and used to help evaluate the process of community participation in an external or independent impact assessment. It can also be used as the basis for proactively developing a participation process for a community-driven impact assessment.*

***Resource:** Adapted from “Model of Best Practice for Public Participation in Environmental Assessment” and “Public Participation Review Template” in [A One-Stop Participation Guide: A Handbook for Public Participation in Environmental Assessment in Southern Africa](#) (SAIEA, 2004)*

External or independent impact assessments include a public participation process in order to ensure various stakeholders’ views and concerns are sufficiently addressed. If your community has been or has the opportunity to be involved in such a process or to develop your own, this generic tool can be used to help evaluate its quality and integrity.

Table 13 below outlines principles and guiding questions based on the SAIEA model of best practice and public participation review template. The assessment of each question could be done based on the

following suggested categories: complete or well done; adequate; not well done; unknown. Additional comments could provide further details or rationale and suggestions for improvement or next steps.

Table 13: Good practice principles and guiding questions to evaluate community participation in impact assessments (Source: SAIEA, 2004)

Guiding Questions	Assessment	Comments
Principle: Appropriately Design the Process		
Is the design flexible and creative? Does it take into account a range of approaches and participatory methods? Is it custom-designed for each situation?		
Does it strive to redress social inequity and justice?		
Are legislation and regulations fully complied with? Are they used as minimum requirements and built upon further?		
Principle: Understand Stakeholders and their Interests		
Are social, political, and economic factors appropriately taken into account? Examples include traditional authorities, government agencies, cultural and gender considerations, literacy levels and language, etc.		
Is the approach based on a thorough understanding and appreciation of stakeholder values, needs, and priorities, particularly those with lesser power?		
Are all stakeholders included in the process in fair and locally appropriate ways?		
Are marginalized groups sufficiently accommodated, with opportunities to fully participate in the process?		
Are all stakeholders treated with equality, respect, and sensitivity?		
Do those involved in the assessment act with integrity and commitment?		
Is conflict anticipated? Does it include a process or plan for conflict management?		
Principle: Use Available Resources and Facilitators with Appropriate Skills		
Is there sufficient budget for a full and successful participation process?		
Is there sufficient time provided for stakeholders to meaningfully engage with the process?		
Do all stakeholders have sufficient material support? Examples include transportation, access to information, timing of events, length of comment periods, etc.		
Are the facilitators independent and sufficiently skilled? Are they unbiased and free of vested interests in the process and outcomes?		
Principle: Ensure Effective and Efficient Communication		
Is there a central and continuous emphasis on communication with stakeholders throughout all stages of the process, including design, implementation, and outcomes of the assessment?		
Is all information accessible and does it promote participation? Considerations include use of plain language, translation into local languages, accommodation of differing levels of literacy and education, and use of print and electronic media.		
Do the findings address the views, concerns, and issues raised?		
Is the participation process adequately documented?		
Principle: Expect and Address Conflict Proactively and Constructively		
Is there 'true' dialogue between stakeholders, with sufficient consideration of all concerns, values, traditions, perceptions, and knowledge systems?		
Is the process free of political influence and interference?		
Is conflict appropriately managed and resolved, using both informal and formal mechanisms? Is it viewed as a potential opportunity for innovation and creative response?		

D. MONITORING AND EVALUATION

Note to community facilitators:

This sub-section introduces a number of key tools related to monitoring and evaluation, including. The tools include:

- ☑ Activity monitoring table
- ☑ Basic forms of measurement and illustration
- ☑ Most Significant Change stories

The process of reflecting on change over time is also referred to as 'monitoring and evaluation' (see Box 32). This process can help the community understand the impacts and effectiveness of what has occurred in the past in order to plan and respond accordingly in the future. It is an important part of adapting the protocol and strategy as priorities change.

Monitoring involves collecting information about different aspects of the process of developing and using your community protocol. It is a continuous process of self-assessment that focuses on inputs and outputs and can alert community facilitators, catalysts, and leaders of important gaps or opportunities. **Evaluation** assesses what that information means in relation to your community's goals and plans, or when compared to information collected previously. It occurs periodically or at important milestones and involves in-depth analysis of activities and progress up until that point. It focuses on outcomes and impacts and can provide community facilitators, catalysts, and leaders with options for revised strategies.

Box 32: Distinguishing between monitoring and evaluation

Overall, monitoring and evaluation tools can help address the following general questions:

- What progress have we made? What have we achieved so far?
- What lessons have we learned (both positive and negative)?
- What has worked well? What has not worked well? Why?
- What impacts have we had within the community, on the environment, and with external actors?
- What is our overall level of satisfaction or wellbeing?
- How could we adapt our activities and decision-making processes in order to further improve?

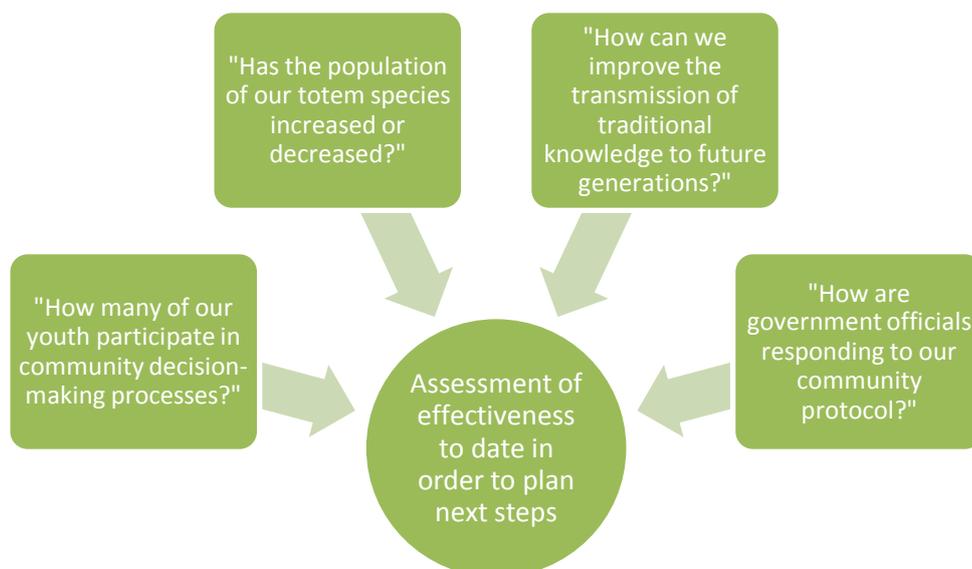


Figure 10: Sample questions that could be monitored and evaluated throughout the protocol process

Monitoring and evaluation is about individual and collective self-reflection on relationships and roles, and assessment of trends in social, cultural, environmental, political, and economic indicators over time. It helps communities and organizations focus on useful information and specific issues of importance such

as changes in power dynamics, resource use, participation and representation, and policy reform. It also provides a degree of accountability and opportunities to understand different stakeholders' perspectives. Information could be:

- A combination of qualitative and quantitative (see Table 14),
- Used to reflect upon what has happened in reference to a previously established baseline or goal and to adapt plans and activities to improve achievement of these goals in the future,
- Used to increase accountability of various stakeholders by serving as checks and balances,
- Used to increase community's or organization's capacity to drive development processes according to their own terms and priorities,
- Used to increase communication of results/changes, as well as a realistic picture of local realities to decision-makers in order to influence policy change, and
- Used to involve different approaches used at different times/stages of a project or process: assessment and establishment of baseline data or goals at the beginning; assessment, monitoring and evaluation throughout; and evaluation at the end.

Table 14: Definitions and examples of different types of information

Type of Information	Definition	Examples
Qualitative information	Focuses on the 'quality' of something and is usually descriptive and somewhat subjective.	<ul style="list-style-type: none"> • Changes in behaviour or attitude • Changes in cultural values • Changes in personal motivations or preferences
Quantitative information	Focuses on the 'quantity' of something and is usually measured in terms of numbers or rates of change.	<ul style="list-style-type: none"> • Number of people in attendance at a workshop • Annual crop production • Number of plants used daily in traditional medicines
Baseline information	Initial measurements and observations made before a project or process begins. Measuring the same kinds of information partway through or at the end of the process will help show the progress or changes that have occurred since it began.	<ul style="list-style-type: none"> • Understanding of relevant laws • Capacity to engage with external actors • Retention of youth ages 18-35 in the community

The community may already have a system for collecting and assessing information about different resources or cultural practices. This could be built upon as a culturally appropriate approach to reflecting on different aspects of the protocol process. See Box 33 for guiding questions to explore with the community to identify any existing forms of monitoring and evaluation.

- *What types of activities or processes are monitored in the community? By who?*
- *How do you monitor and measure change? How do you communicate changes and results?*
- *What changes in activities or processes influenced by the community's protocol would you measure? Things to consider "measuring" may include specific challenges such as declining fish stocks or degradation of pastures, broader social changes such as inter-generational transmission of traditional knowledge or access to traditional territories, or other priorities identified.*
- *How would you measure these changes? What would be the indicators of change? Consider low-cost participatory methods such as local monitoring of wildlife populations and distribution, observations of changes in the health or population of certain resources, and group discussions about changes in social perceptions and quality of life.*
- *What other internal and external resources would you like to further support this?*

Box 33: Key questions for discussion

Key Resources on Monitoring and Evaluation

[Participatory Monitoring and Evaluation for Natural Resource Management and Research](#) (Natural Resources Institute, 1999)

[80 Tools for Participatory Development](#) (IICA, 2008)

[The Community's Toolbox: The Ideas, Methods, and Tools for Participatory Assessment, Monitoring and Evaluation in Community Forestry](#) (FAO, 1990)

[The 'Most Significant Change' Technique: A Guide to its Use](#) (Davies and Dart, 2005)

[Performance Story Evaluation Methodology](#) (NAISMA, 2009)

[Power Tools: For Policy Influence in Natural Resource Management](#) (IIED database)

[Participatory Monitoring and Evaluation: Field Experiences](#) (Intercooperation-Hyderabad, 2005)

[Principles, Criteria and Indicators Monitoring Framework](#) (The Learning Institute)

[Comprehensive Participatory Planning Evaluation](#) (IFAD/Belgian Survival Fund, 2001)

[Assessment Tools Resource Base](#) (MercyCorps website)

TOOL: Activity Monitoring Table

Purpose: This tool can be adapted and used to monitor activities related to the community protocol, including documentation and development, use, and reflection and revision. It can help community facilitators keep track of progress and lessons learned to date and encourage accountability.

Resource: Adapted from [Sleeping on Our Own Mats: An Introductory Guide to Community-based Monitoring and Evaluation](#) (World Bank Rural Development, 2002)

When you plan activities within different parts of the protocol process, think ahead about what needs to happen in order to fulfill a certain objective or complete an activity. Visualize the end product or objective and work backwards to think through each step that would be required. Decide who will be responsible for each task and by when it should be accomplished. As activities take place or as goals are accomplished, fill in the appropriate information (see Table 15). Post a hard copy in a location that is safe but visible to many people or circulate an electronic copy over email or as a Google Document. This will help remind those responsible to update the table over time and remain accountable to promised tasks.

Table 15: Activity monitoring table

Overall Objective or Activity: Overall timeframe:						
Task & Person Responsible	Timeframe		Results		Lessons Learned (positive & negative)	Changes & New Plans
	Planned	Actual	Planned	Actual		

TOOL: Basic Forms of Measurement and Illustration

Purpose: This tool can be adapted and used to measure and illustrate key questions in a basic quantitative manner. The questions can address qualitative information as well. It is useful for depicting change and patterns in a clear visual way that can also be meaningful for external actors. It can also help identify further questions or factors that could be explored.

Consider a specific question such as “How did women’s age affect their level of participation?” It could be measured or illustrated in different ways such as comparisons over time (“more or less than before?”) or on a scale (“from 1 to 5” or “from ‘not at all’ to ‘very much so’”). For example, you could first identify

specific age groups that would elicit clear differences such as school-age, between the ages of 25-45, and over the age of 45. For each part of the protocol process, score the level of participation on a scale from one to five. The number one could represent no participation and the number five could represent participation in every aspect. The information could be recorded in an organized table (see Table 16 as an example).

Table 16: Example of how to measure effect of women's age on participation in different parts of the protocol process (scaled from one to five; one = no participation, five = participation in every aspect)

Age of Women	Part of the Protocol Process			
	Deciding to Develop a Protocol	Mapping Community Resources	Engaging with External Actors	Raising Awareness within the Community
Under 20 years	1	2.5	1	4
20-45 years	2	4	3	3
Over 45 years	3	4	2	2

You could then illustrate the information in a graph with distinct colours or labels to differentiate between the age groups. The bar graph in Figure 11 below provides just one example of how you could illustrate the participation of different ages of women throughout the protocol process.

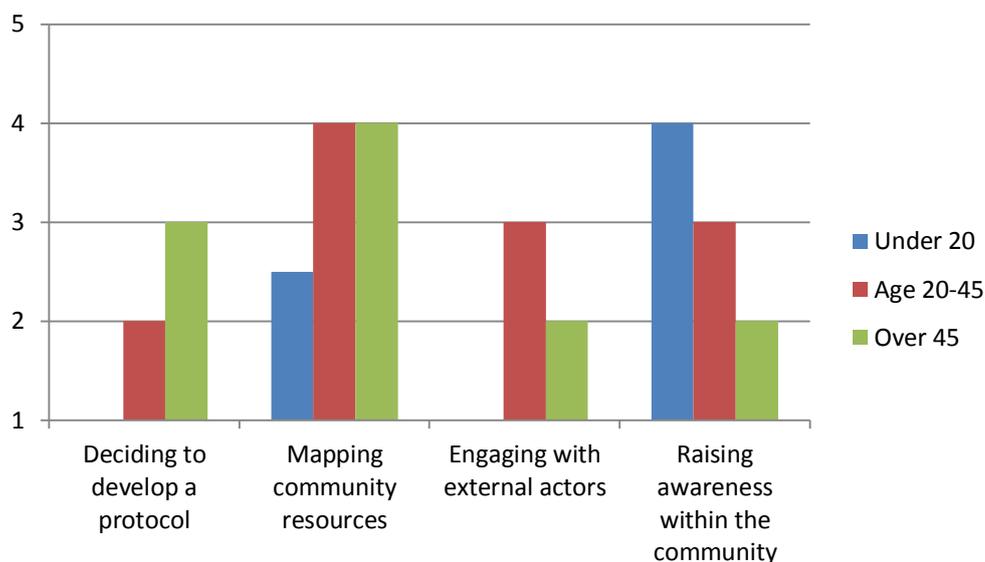


Figure 11: The participation of different ages of women in the protocol process (measured according to a scale from one = no participation to five = participation in every aspect)

When measurements are depicted in a visual illustration such as a graph, it can be easier to notice patterns or unusual occurrences. In the fictitious example above, women under the age of 20 were not involved at all in the decision to develop a protocol or in engagement with external actors, but they participated actively in raising awareness within the community about the protocol. Further reflection and questioning about why this occurred could elicit interesting insights. For example, young women may not have been interested in the protocol at first if it involved lengthy discussions or may not have been allowed to participate in the decision-making process; however, they interest could have piqued when the opportunity arose to prepare skits or short films to share the protocol with other youth. Similarly, women over the age of 45 were more involved in the decision to develop a protocol in the first place and in mapping community resources, but did not engage as much with external actors as women between the ages of 20 and 45. This may be due to social-cultural factors such as levels of literacy and education.

TOOL: Most Significant Change Stories

Purpose: This tool can be adapted and used to explore primarily qualitative information about people's experiences and perceptions of significant change that has arisen through the protocol process.

Resource: Adapted from [The 'Most Significant Change' Technique: A Guide to its Use](#) (Davies and Dart, 2005) and material provided by Future In Our Hands, Sri Lanka

See Part IV: Section I for a community experience with using Most Significant Change stories in Sri Lanka

A popular tool known as “Most Significant Change” was developed through experiences with documenting organizational change in Bangladesh and Australia. It focuses on collecting and analyzing stories of significant change to gain information about how and why change occurs. In contrast with quantitative data, this tool values each story as a unique social experience that contains important lessons and insights.

Stories of change generally focus on the storyteller exploring a number of basic questions (see Box 34). They can be documented in a variety of ways such as drawings, photographs, and audio or video interviews, depending on literacy and availability of technical equipment and capacities.

Encourage community members, including women and youth, to get involved in documenting each other's stories. You might like to gather a small team of people to assist with analyzing the stories of change and brainstorming ways to share the stories with the broader community and other key stakeholders such as donors and supporting organizations.

- *What was the change that occurred?*
- *Why is it significant to you and others involved?*
- *Where did the story of change take place?*
- *When did the change occur?*
- *Who was involved in the significant change?*
- *How did the change occur?*

Box 34: Guiding questions for Most Significant Change stories.