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<b>MODULE 5</b>	<b>PARTICIPATORY PLANNING</b>
<b>OBJECTIVE</b>	To understand the rationale for and benefits of stakeholder involvement in marine protected area planning and management, as well as the requirements for implementing and facilitating effective participatory processes.
<b>THEMES</b>	<ul style="list-style-type: none"><li>5.1 Marine protected areas and sustainable development (1 hour)</li><li>5.2 Overview of participatory planning (2 hours)</li><li>5.3 Effective communication (1 hour)</li><li>5.4 Stakeholder analysis (2 hours)</li><li>5.5 Strategies and mechanisms for stakeholder involvement (2 hours)</li><li>5.6 Conflict management (2 hours)</li><li>5.7 Collaborative management (2 hours)</li></ul>
<b>EQUIPMENT/ MATERIALS</b>	Flip chart and coloured markers Overhead projector Copies of case study
<b>DELIVERY TIME</b>	1.5 days

## TRAINING TOOLS AND TECHNIQUES

### 1. Introduction

In much of the Caribbean region, the coastal zone has sustained intense human use and impacts. Competition for the use of coastal and nearshore resources has increased with the advent of tourism, and the conflicts engendered by this competition are costly to both the resource base and the users. In this context, marine protected areas (MPAs) can play an important role in alleviating conflicts, protecting resources from over-exploitation, and contributing to strategies for sustainable development. Marine protected areas can only play this role effectively, however, if they are planned with the full involvement of those users and other stakeholders who will be affected by their management. Thus *participatory planning* of MPAs is a particularly relevant and useful approach in this region.

### 2. Overview of Module

Section 5 is divided into seven sub-sections, corresponding to one or two hour training sessions. Each sub-section gives the trainer background information on an issue or set of related issues, selected readings that can be assigned to the participants or used as additional background information by the trainer, suggestions for the presentation of the material, and a list of key terms that are important for comprehension of the topic. A glossary of key terms appears at the end of the module, along with a bibliography.

The first theme (5.1) places marine protected areas within the context of sustainable development, and examines how MPAs can contribute to biodiversity conservation as well the enhancement of a range of activities that contribute to integrated coastal development. These include:

- ◆ Traditional uses, including fishing and the harvesting of other marine and coastal resources;
- ◆ Tourism;
- ◆ Recreation; and
- ◆ Education.

Through this understanding of the link between MPAs, conservation, and human development, it is possible to identify the major stakeholders affecting and affected by the establishment and management of MPAs.

The module then examines the participatory planning process, its importance and benefits, and also some of the constraints to its effectiveness (Theme 5.2).

Theme 5.3 exposes trainees to the communication skills and approaches required to effectively facilitate and support participatory planning processes.

The module then reviews approaches to stakeholder identification and analysis (5.4), and strategies and mechanisms for stakeholder involvement (5.5).

Theme 5.6 looks at the causes and impacts of conflicts in MPAs, and methods for conflict management.

Collaborative management, or the formal sharing of management responsibilities between two or more partners, is examined in Theme 5.7.

### **3. Teaching Approach**

The suggested teaching approach for this module is an interactive one, with a minimum of classroom lectures and emphasis on facilitated discussion and small group exercises that allow the trainees to extract lessons, methods, and approaches.

The section is designed to be used in conjunction with one or more case studies that can provide the basis for discussions and exercises and the illustration of concepts. For situations in which no reference case is readily available, Appendix 5.3 provides a brief case study of the Soufriere Marine Management Area in St. Lucia. Throughout the module, suggestions are made for using case studies.

### **4. Exercises for Trainers**

The following exercises are to be carried out by participants in the training-of-trainers workshop to assess their level of understanding of the concepts presented in this section, as well as their ability to convey them to others:

#### **4.1 Case Analysis:** Trainees should:

- ◆ Identify the stakeholders in their MPA;
- ◆ Undertake a preliminary stakeholder analysis;
- ◆ Identify the political, social, and cultural factors to be taken in account in designing an equitable participatory planning process; and
- ◆ Suggest the specific actions (e.g., research, information sharing, awareness building, mobilization) required to prepare stakeholders to participate in a planning process.

Trainees should present their results to the workshop.

**4.2 Panel Discussion:** Trainees should design a two-hour panel discussion on issues addressed in this module, including defining the objective of the discussion and the issues to be addressed, and identifying and preparing terms of reference for four or five panelists who would have a range of perspectives on the subject.

## **5. Sample Exercise for Trainees**

Exercises emphasizing group dynamics are well suited to this module. Problem-solving exercises conducted in small groups or a facilitated plenary can be used to reinforce most of the learning in the module. Role playing exercises are also appropriate to this material. The following is a sample of a role playing exercise:

A problem related to the management of an MPA (either real or hypothetical) is presented to the group for solving using a participatory process. Several members of the group are assigned to the facilitating team, while others are asked to represent the interests of various stakeholders. The facilitating team is then asked to design and conduct a meeting of stakeholders to address the problem. The exercise ends with the stakeholders critiquing the process based on the roles they are playing.

## **6. Evaluation Method to be Used**

The learning in this module can be reinforced through a participatory evaluation process, in which participants as a group define their own learning objectives at the beginning of the module and assess their achievement of these objectives through a group discussion (preferably led by one of the participants) at the end.

<b>MODULE 5</b>	<b>PARTICIPATORY PLANNING</b>
<b>THEME 5.1</b>	MPAs and sustainable development
<b>OBJECTIVE</b>	To understand the process of sustainable development and the ways in which marine protected areas can contribute to it.
<b>SIGNIFICANCE</b>	Sustainable development means maintaining and enhancing the well being of both people and eco-systems. In managing MPAs for sustainable development, economic, social and cultural factors must be taken into account in the planning process. Stakeholder participation is the most effective means of doing this.
<b>MATERIALS/ EQUIPMENT</b>	Flip chart easel, Paper, Markers Overhead projector Transparencies Copies of written case studies
<b>PRESENTATION</b>	Facilitated discussion
<b>TIME</b>	1 Hour

## TUTOR'S NOTES

This session should introduce the interactive mode of training that will continue throughout the section. Given the short time allotted, a one-hour facilitated discussion with many opportunities for participant input is suggested. The instructor can begin the session by offering the Brundtland Commission's definition of sustainable development for consideration. This can lead to a general discussion of the requirements for and characteristics of sustainable development and a group refinement of the definition. The discussion can then proceed to the role that MPAs can play in national sustainable development strategies. Participants can be asked to name resource uses that occur in MPAs, and consider whether these resource uses are or can be sustainable. Finally, participants can be asked to identify the main stakeholders related to each of the uses identified (e.g., for fishing: fishers, fish sellers and processors, Fisheries Department).

### Overview of basic concepts

***SUSTAINABLE DEVELOPMENT*** is most often defined as a form of development that, in the words of the Report of the World Commission on Environment and Development (Brundtland Report), meets the needs of present generations without compromising the ability of future generations to meet their own needs. This definition lacks the element of progress or improvement that the word development implies. A definition incorporating this element of improvement might be "**a process of development that allows for the improvement of the quality of human lives while maintaining and enhancing the resource base upon which life depends**". Such a process is extremely challenging, as it requires simultaneous attention to social, environmental, and economic objectives, which are sometimes incompatible with one another, requiring difficult decisions and trade-offs.

Given that an important purpose of **protected areas** is to maintain the resource base, they **can logically play an important role in strategies for sustainable development**. To do so, however, they must acknowledge and make provision for the social and economic sides of sustainable development.

**In the Caribbean coastal zone, non-sustainable forms of development have long been the norm**. The impacts have included the collapse of near-shore fisheries; coastal erosion; pollution; loss of critical habitats including coral reefs, mangroves, and seagrass beds; population congestion; conflicts of use, etc.

**Marine and coastal protected areas** are often established in response to an existing crisis or potential threat to the coastal zone, and they therefore must **address issues related to intense human use and competition for access to resources**.

Exploitation of resources within MPAs by local people is often longstanding. Such **TRADITIONAL USES** include artisanal fishing; the harvesting of marine life including seaweed, sea urchin, and coral; and the cutting of mangroves for charcoal, fuelwood, or tannin.

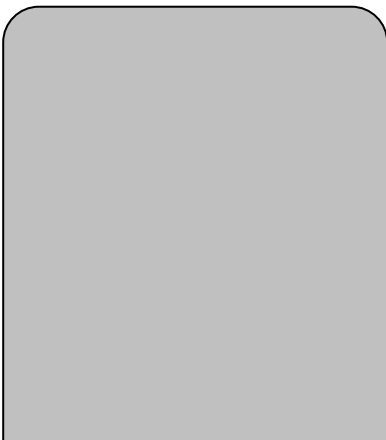
**Traditional users often come into conflict with the interests of the tourism industry**, which in some parts of the Caribbean has entirely transformed large areas of the coastal zone. Competition between trap fishers and the dive tourism industry has been particularly bitter in many countries of the region, and the advent of tourism has often closed access to resources traditionally exploited by local people. **By establishing objectives of financial self-sufficiency, MPA management is often skewed towards catering to the interests and needs of the tourism sector**, which can provide revenue through a range of fees, at the expense of those of other sectors, including traditional users.

It is clear that MPAs can be an engine for tourism, but they can also support traditional uses, recreation, education, biodiversity conservation, integrated coastal development, and regional collaboration. In planning many of the region's MPAs, particularly in recent years, there has been an emphasis on environmental and economic sustainability, with far less attention paid to the social aspects of sustainable development.

**In the context of sustainable development, effective MPA management is management that protects the resource base while allowing and supporting a range of human uses that can contribute to the quality of life**, particularly of local people who may have few alternatives for their livelihood. Effective management must also take into account ownership and tenure rights that overlap or impact on the MPA.

The individuals, groups and organizations that are involved in, or may be affected by, a change in the conditions governing the management and use of a resource, area, or sector are its **STAKEHOLDERS**. Each interest would have its own group of sometimes overlapping stakeholders. It can be argued that the relation between a protected area and its stakeholders is the major factor affecting the effectiveness of management, either positively or negatively.

In order for MPAs to contribute to sustainable development, the interests of stakeholders must be taken into account. There are a number of ways in which the planning process can do this. **Because overexploitation and competition of use within Caribbean coastal zones often require complex negotiations and trade-offs, processes that include the full participation of stakeholders tend to have the best and most enduring results.** Participatory planning can thus be seen as essential in achieving the multiple objectives of sustainable development.



<b>MODULE 5</b>	<b>PARTICIPATORY PLANNING</b>
<b>THEME 5.2</b>	Overview of participatory planning
<b>OBJECTIVE</b>	To understand the benefits and constraints of participatory planning and the steps involved in the process.
<b>SIGNIFICANCE</b>	Participatory planning processes can result in more effective management than traditional planning methods, but they also present a number of obstacles and challenges.
<b>PRESENTATION</b>	Introduction and discussion: What is participation? Case study presentation Group analysis: steps in the participatory planning process
<b>TIME</b>	2 Hours

## TUTOR'S NOTES

The instructor should begin this session with a brief introduction to the concept of participation and the rationale for participation in planning the use of natural resources. The instructor can then present the typology (Pretty 1995), followed by a discussion, either in plenary or small groups, during which participants identify and analyse examples of each of the types from their own experience. This allows for the introduction of case studies that can be used throughout the section and relates the material being presented with the participants' own experiences.

Once the various forms of participation are understood, the instructor or one of the participants can present a case study of a participatory planning process involving an MPA, in order to illustrate the steps in a participatory planning process, as well as some of the mis-steps that can occur. The brief case study of the Soufriere Marine Management Area (SMMA) included with this module, as well as other referenced documents on the SMMA, can be used for this purpose. Alternatively, another case familiar to the instructor or the trainees can be substituted. The case study presentation should provide a good introduction to a discussion and group analysis on the participatory planning process, during which participants identify the different steps that have occurred.

## OVERVIEW OF BASIC CONCEPTS

While it is generally acknowledged that stakeholder *PARTICIPATION* is an essential component of effective management of natural resources, perceptions of what participation entails vary widely. In the context of MPA planning and management, **participation can be defined as a process that facilitates dialogue among all actors, mobilizes and validates popular knowledge and skills, supports communities and their institutions to manage and control resources, and seeks to achieve sustainability, economic equity, and social justice while maintaining cultural integrity.** Participation is relevant to all aspects of development and environmental management. The challenge for policy-makers, planners and managers is to define the form of participation which is the most appropriate to a given situation.

### Benefits of Participation

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The arguments in favour of **participation** in planning and managing MPAs include the following:

- ◆ It **contributes to improved management by incorporating popular knowledge and practices;**
- ◆ It **increases the likelihood of stakeholder compliance and support** through participation in decision-making;
- ◆ It **incorporates a wide range of perspectives and ideas**, resulting in improved management decisions and actions;
- ◆ It **provides a forum for identifying conflicts between users and negotiating solutions** to them;
- ◆ It **can contribute to community empowerment and local institutional development**, especially when the sharing of management responsibility is involved.

### **Forms of Participation**

Typologies have been developed to describe the most common forms of participation. A widely used typology (Pretty 1995) is reproduced in OH 1 (Appendix 5.1).

### **Steps in the Participatory Planning Process**

The participatory planning process is, in many respects, very similar to the more conventional approach to **PLANNING**, which typically includes the following elements:

- ◆ Problem identification and determination of priorities;
- ◆ Definition of goals and objectives;
- ◆ Determination of the approach and assessment of feasibility;
- ◆ Formulation of management instruments, including:
  - management plans,
  - zoning,
  - operational plans,
  - regulations,
  - monitoring programmes,
  - user fees and revenue generation strategies;
- ◆ Definition of monitoring and evaluation mechanisms.

**Planning processes can be described as participatory when they also include:**

- ◆ The **identification and involvement of all stakeholders**, early in the process;

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- ◆ The **incorporation of the diverse views and opinions** of the individuals within these groups;
  - ◆ The **sensitization of stakeholders** to the issues being addressed;
  - ◆ **Provision of information needed to shape opinions and make decisions**, in forms that are accessible to all participants;
  - ◆ The **recognition of and accommodation for the inequities** among stakeholder groups and among individuals, in order to assure that those that are more powerful do not dominate or manipulate processes;
  - ◆ **Respect for the process and the decisions that are reached**: participatory planning cannot manipulate participation to arrive at a predetermined conclusion or even to start from a predetermined point.

Ideally, participation in the context of MPAs will start at the earliest planning stages for the protected area. However, any stakeholder (management agency, non-governmental organization, community, researcher, external agency) can take the initiative for a participatory planning exercise. The initiative can come from the manifestation of a conflict or a crisis resulting from resource utilization, or from the realization by the initiator that there are management issues requiring attention. It is at this early stage that the initiator must decide that the planning process will be participatory and make arrangements for the facilitation of the process.

The **next steps in a participatory planning process** involve the following:

- ◆ **Identification of the groups, sectors, communities, and individuals who have a stake in the resource or issue** which is the object of the planning initiative. This activity is generally not participatory, as its purpose is to identify those who should participate in the process;
- ◆ **Analysis of the expectations, rights and responsibilities of these various stakeholders.** This step is ideally conducted in a participatory manner, and can be an excellent mechanism for conflict management, because it provides a forum for each party to hear and understand the perspectives of others, and to make its own perspectives heard and understood;
- ◆ **Analysis of needs, issues, causes and options.** This is the first main step in a classical planning process. In a participatory process, these analyses follow the identification and analysis of stakeholders, and must therefore involve all these stakeholders. A wide range of tools is available and used to conduct such analyses, including those described in the literature as participatory rural appraisal and rapid rural appraisal techniques, as well as scientific methods such as biological and socio-economic surveys, impact assessment studies, and literature reviews;

- ◆ **The identification of options.** This is a critical step in a participatory process, as this is where all participants use the results of the various analyses to define priorities and to identify the various options available to them, with an appreciation of the costs and benefits associated with each.

One of the added benefits of these **participatory appraisals and assessments** is that they **build the confidence and ability of all participants, notably the powerless**, to become involved in decision-making and management. On the basis of information gathered, partners in the planning process must be in a position to define objectives, formulate action and management plans, design monitoring and evaluation procedures, and begin implementation.

Because **the purpose of a participatory planning process is change** (in perceptions, relations, practices and outcomes), it is not linear, but creates change at every step along the way. Inherent in the concept of participatory planning, therefore, is the idea that change is constant and that action can take place at any stage in the process. Participatory planning processes do not require the completion of a plan to witness changes on the ground. Their purpose is to change conditions, and thus to provoke action. In the participatory approach to planning, implementation does not follow planning. It is a part of the planning process.

### **Constraints and Obstacles**

A major constraint to participatory planning processes is **the general lack of enabling policies and the prevalence of centralized systems of management**. While there are a few countries in the region where participatory planning is encouraged through policy, legislation, or institutional cultures (e.g. Jamaica and St. Lucia), this is far from the norm.

**Participatory approaches require radical changes within the culture of organizations**, notably those of the state. From a culture of enforcement and control, they need to move to the new attitudes that are required of facilitators and supporters.

A great challenge to participatory planning is **making the process legitimate to those who have the power to influence decisions through other means**. These stakeholders may feel they have little to gain from their involvement in a participatory planning process and may seek to coopt or circumvent it. The issue is further complicated by **the inherently political nature of participatory processes** and the high likelihood of political interference.

**Involving all the agencies that have jurisdiction or responsibility over the area and its surroundings can be extremely difficult**, but if any are not included, it may prove impossible to implement the decisions that are reached.

Effective participation requires that participants all have a good grounding in the issues being addressed. **The process of awareness-building** that is required to assure this **can be time-consuming and expensive**.

Facilitation is key to effective participation, and facilitators must be skilled and appear to be impartial, while assuring that stakeholder participation is fair and equitable. **Many participatory planning processes are spoiled by poor or biased facilitation**.

Finally, **participatory planning requires high investments of time as well as human and financial resources**. There are no cheap and easy shortcuts.

<b>MODULE 5</b>	<b>PARTICIPATORY PLANNING</b>
<b>THEME 5.3</b>	Effective communication
<b>OBJECTIVE</b>	To understand the role of communication in participatory planning processes.
<b>SIGNIFICANCE</b>	Participatory planning processes are premised on the transfer and sharing of knowledge and information between and among stakeholders and management partners. Communication is the mechanism for this transfer, and effective facilitation of participatory processes requires a range of communication skills and techniques.
<b>PRESENTATION</b>	Facilitated discussion with lead-in exercise
<b>TIME</b>	1 hour

## TUTOR'S NOTES

The instructor can begin the session with an exercise to demonstrate the importance of shared meaning. The instructor can ask participants to write down a word or phrase that they associate with each of three or four pre-selected words. Each participant should share her/his list with the group. The instructor should lead the group in an examination of the extent to which meaning is shared within the group and the potential pitfalls of the absence of shared meaning. This discussion can be used to lead into a discussion on the importance of and requirements for effective communication. The discussion should also focus on techniques and mechanisms for building effective communication into projects and the identification of the media available for use during the participatory planning process.

## OVERVIEW OF BASIC CONCEPTS

Effective *COMMUNICATION* underpins the participatory planning process. **Participatory planning processes are premised on the transfer and sharing of knowledge and information between and among stakeholders and management partners.** Each party brings a different knowledge base (scientific, popular/traditional) to the intervention and each requires specific information to effectively fulfill its role. The planning phase of project development serves several purposes, these include identifying and negotiating project objectives and anticipated outcomes, building consensus and support for the intervention, and gathering data about the resource and its uses and users. At the centre of all of these activities is an exchange of knowledge and information. It is the role of the facilitator to assure the effectiveness of this exchange.

### Rationale for Effective Communication

Communication is the sending and receiving of information or messages between individuals or groups, to transfer meaning. Within the context of participatory approaches to MPA management, **effective communication can:**

- ◆ **Encourage participation**, by demonstrating the value of playing a part in the planning and management process, and illustrating the benefits that can be gained. This is particularly critical because the Caribbean does not have strong traditions of participation, and because communities are often pessimistic, if not cynical, about the outcomes of consultative and participatory processes, especially those initiated by government agencies. Communication thus contributes to effective mobilization.

- ◆ **Provide a mechanism for the articulation of concerns** held by various stakeholders. This allows stakeholders to express concerns about issues affecting them, which they consider important. It also enhances the process of empowerment by building on information available within the community. The articulation of concerns can also highlight gaps in existing knowledge and consequently point to information requirements.
- ◆ **Help integrate communities into management** by presenting and gathering information relating to the effective and sustainable use of the natural resource and on specific techniques that can be employed in natural resource management, and by channeling existing local and traditional knowledge into management.
- ◆ **Play a critical role in identifying issues** that need to be addressed and ensure that management decisions respond to changing needs and contexts, as well as offer approaches to problem solving and conflict management.
- ◆ **Establish credibility and build widespread support for specific initiatives** by providing a base of information that increases local understanding among general populations, not just among principal stakeholder groups.
- ◆ **Focus attention on a participatory process**, and thus create a greater demand for its outcome.
- ◆ **Make data and information accessible** in an equitable manner.

### Requirements of Effective Communication

Communication occurs at several different levels and can employ a range of media. **Effective communication requires ensuring that all voices can be heard and are valued, and all messages understood.** From the perspective of a facilitator of a participatory planning process, communication should:

- ◆ Be targeted at specific audiences;
- ◆ Use language and symbols that are commonly understood and accepted;
- ◆ Use media appropriate to the target audience, and which relate to their ability to decode (level of education, literacy etc.);

- ◆ Use media appropriate to different messages. Different media rely on different senses. For example, a visually strong message presented using aural communication will not be as effective as one presented using a visual medium;
- ◆ Be inclusive, rather than exclusive. This can refer, for example, to something as basic as convening meetings in settings where none of the actors feel intimidated and conducting them a style and idiom that foster a dialogue among all participants;
- ◆ Be sensitive to gender. Language and images, for example, should reflect the needs, concerns, and even presence of female and male actors and stakeholders;
- ◆ Facilitate an exchange of information between sender and receiver and provide space for the expression of different points of view;
- ◆ Be intentional, in other words, it should be planned and built into processes rather than tacked on as an afterthought or conceived of in narrow terms as public relations or community mobilization.

<b>MODULE 5</b>	<b>PARTICIPATORY PLANNING</b>
<b>THEME 5.4</b>	Stakeholder analysis
<b>OBJECTIVE</b>	To understand the importance of identifying all stakeholders and assessing their interests at the start of the intervention.
<b>SIGNIFICANCE</b>	Identifying and analysing, at the start of the planning process and as conditions change, the interests of all groups affected by the management intervention can help determine who should participate in management and how, and can help identify and manage actual or potential conflicts.
<b>PRESENTATION</b>	Facilitated discussion and case study analysis
<b>TIME</b>	2 hour

## TUTOR'S NOTES

To present the concepts described in this theme, the instructor can engage participants in a discussion to develop a definition of the term stakeholder and provide a rationale for using stakeholder approaches in planning and management. Participants can use an actual case to identify the stakeholders and their interests, establish criteria for ranking these interests and should describe participatory methods that can be used for gathering data and information (e.g., sampling, interviewing and dialogue, visualization and diagramming, group and team dynamics.) See Bass *et al.* 1995, Pages 63 - 67.

## OVERVIEW OF BASIC CONCEPTS

**The success of any participatory process depends, in part, on an adequate identification of all the potential participants in the process.** To determine who should participate in management and how, distinctions must be made among the broad collection of individuals, groups and institutions, i.e., stakeholders, who interact with the natural resource and who will affect or be affected by the management **intervention. The interests or stakes of the various actors or stakeholders differ because of such things as tenure, ownership, history of use, and pattern or type of use.**

### Stakeholder Identification

An effective **STAKEHOLDER IDENTIFICATION** can help resource managers:

- ◆ understand the levels at which people interact with the resource;
- ◆ identify parties that are critical to successful project implementation; and
- ◆ identify current and potential areas of conflict and concern (Krishnarayan 1998).

On the other hand, a participatory process that fails to identify and involve some of the stakeholders is likely to encounter difficulties, as those who have been excluded could easily be opposed to its outcome, and as it will inevitably suffer from the loss of the ideas, resources and support which these stakeholders would have brought into the process.

The more rigorous the stakeholder identification and analysis, the more likely that all relevant actors will be identified and integrated into management as appropriate. This is important because the **failure to integrate all stakeholders into management can ultimately weaken the management arrangement.** In the process of stakeholder identification, a number of important principles must be taken into consideration:

- ◆ **Differences exist among stakeholder groups.** Even when all stakeholders share a common goal, such as the long-term sustainability of a natural resource, objectives, needs and priorities may differ. It is essential to identify, with precision, the often competing interests among stakeholders and ascertain who holds these interests.
- ◆ **Stakeholder groups are not homogenous.** Within a single group, sub-groups with varying perspectives and interests may exist. Similarly, the leadership of the group may not adequately represent the interests of all members.
- ◆ **All stakeholders are not necessarily organized in formal groups.** Stakeholders could, for example, include disparate individuals or households who use the resource for a similar recreational purpose or income generating activity.
- ◆ **Even when stakeholders are organized in a group, they may not have the capacity to effectively articulate and represent their interests.**

The process of determining who should participate in management and how would be incomplete if it were limited to the mere identification of the interested parties. This process also requires an *ANALYSIS* of the stakes they hold, **defined as the sum of the interests, rights and responsibilities which can be attributed to each, in order to determine the most desirable form and extent of their participation in the management process.**

MPA managers and facilitators of participatory processes must therefore consider the form that the identification and analysis of stakeholders should take, and the methods that can be used. In practice, **it is difficult to ensure that all stakeholders are properly identified, because some individuals and groups may not be obvious.** One of the frequent limitations of participatory processes is that they involve the stakeholders who are geographically and physically close to the resource or the issue, but fail to involve those who are less visible. The most effective way to avoid this problem is to begin the identification exercise with a list of all the current and potential functions of the resources and the sectors which are the object of management, and then to identify, for each of these, the individuals, groups and organizations that are now involved in, or may be affected by, a change in the regime governing the use of the resource or the management of the sector. This exercise can be conducted by a facilitator or a single resource management agency; in practice, it is impossible for the exercise of stakeholder identification to be fully participatory, because its purpose is precisely to identify all potential participants.

### **Criteria for Stakeholder Analysis**

For the process of stakeholder analysis, a range of criteria should be used. These include the following:

- ◆ Degree of effort and interest;
- ◆ Degree of social and economic reliance;
- ◆ Historical and cultural relation;
- ◆ Present or potential impact on the resource base;
- ◆ Equity in access to and distribution of benefits;
- ◆ Compatibility with national conservation and development policies; and
- ◆ Current and potential capacity for management.

It is at this analysis stage that the participation of all stakeholders is highly desirable. In practice, effective participatory planning processes depend, to a large extent, on the ability of all partners to appreciate and understand the various stakes involved. Such **processes should therefore aim at creating the conditions for the various participants to express their interests, needs and aspirations, and to confront them with those of others**. It is in this sense that a participatory planning process is largely a conflict resolution and management process, when it allows the various parties to define a collective understanding and evaluation of the stakes of all parties.

Depending on the issues identified and on the methods used for the process of stakeholder analysis, specific information will be needed and research activities will therefore be required. Areas to be covered include an assessment of the economic, social and environmental impacts of various activities and options, as well as an analysis of the current and potential conflicts among users and uses.

<b>MODULE 5</b>	<b>PARTICIPATORY PLANNING</b>
<b>THEME 5.5</b>	Strategies and mechanisms for stakeholder involvement
<b>OBJECTIVE</b>	To develop skills for applying strategies and methods to assure effective involvement of all relevant stakeholders in participatory planning processes
<b>SIGNIFICANCE</b>	Effective participatory processes require the skilled application of appropriate methods and a long-term commitment to sensitization and preparation of stakeholders
<b>PRESENTATION</b>	Facilitated discussion Small group exercises Role playing
<b>TIME</b>	2 hours

### **TUTOR'S NOTES**

The concepts presented in this theme are among the most difficult for participants to grasp, and the use of a case study or other examples is generally quite helpful. The instructor can organize the session around the topics noted above, using examples from case studies to illustrate each

issue and then inviting feedback, additional examples, and further analysis from participants. This session lends itself well to small group exercises in which participants identify, analyse, and critique the steps required to secure the equitable participation of stakeholders in a range of real or hypothetical situations.

## OVERVIEW OF BASIC CONCEPTS

### The Role of the Facilitator

Participatory planning processes are unlikely to occur without leadership and guidance. **Because of the diverse and sometime conflicting stakes involved, unbiased *FACILITATION* is generally required.** One of the institutions involved in the planning process can play the role of facilitator, or an external party or institution can be invited to serve this role. What is most critical is that the facilitator be accepted by all parties involved. The facilitator must be sensitive to the differences among stakeholders and skilled in the use of a range of tools for communication and consensus-building.

### Leveling the Playing Field

In any given situation, not all relevant actors will have the same opportunity and ability to participate. **Social factors such as class, language, gender, race, and education can influence the level and quality of participation.** *EMPOWERMENT* can be defined as the process by which people, particularly the poor and the disadvantaged, gain and retain control over their lives and destinies through information, skills, resources, authority, cooperation and self-esteem. For participation to lead to empowerment, the process has to be one that not only brings affected groups to the table, but also has mechanisms in place that will allow all stakeholders to be equal in the process.

### Provision of Information

**Stakeholders can only participate effectively in planning processes when they have the information needed to develop proposals and make decisions.** Information can come in many forms, and these forms are not equally accessible to all stakeholders. It is the job of the

facilitator to assure that all stakeholders have the information they need to fully participate, in forms that they can use.

**The major sources of information required for management are research and monitoring (scientific knowledge) and *POPULAR KNOWLEDGE***, (sometimes referred to as traditional or local knowledge), that derives from the observations and assessments of local persons over time. Popular knowledge and scientific knowledge are two different knowledge systems, which are both significant, even if the data they generate are different.

Information directly related to MPA management issues is naturally required. In many cases, a broader and longer-term process of awareness-building is also needed in order to sensitize stakeholders to the underlying context of conservation and sustainable development in which management occurs.

### **Addressing Social and Cultural Issues**

**An individual's participation in planning processes is affected by a number of personal and cultural factors that have little to do with the actual issues being addressed.** These factors include the following:

- ◆ **Gender:** in many Caribbean societies, women's issues and concerns are less likely to be considered than men's and representatives of stakeholder groups are more likely to be males. In a participatory forum, the balance between men and women and the roles each have been assigned can affect the way in which they participate, both positively and negatively. One general tendency is for women to be less forthcoming in fora that are dominated by men.
- ◆ **Race and ethnicity** are factors that can exacerbate conflicts in the Caribbean region and that can be used to manipulate popular processes. Those of the same race or ethnicity of the persons leading a participatory process may be perceived as having greater power in the process than others. Factors of race and ethnicity are often reinforced by economic factors, with some groups tending to have greater economic power than others.
- ◆ **Language:** many Caribbean societies are bi- or multi-lingual, and the language used in participatory processes gives power to those most fluent in it. The tendency is for the language of the political and economic elite to be used, further weakening the position of those who speak a local language or dialect.
- ◆ **Political or religious affiliation:** In some countries of the region, communities or entire societies tend to be organized based on political or religious affiliation, and animosities

between groups can often be strong. It is likely in such situations that, if the political or religious affiliation of the initiators or facilitators is known, their motives and objectives will be questioned by those who are of a different political party or faith.

**A range of factors including education, social class, and upbringing, define the manner in which people are most comfortable participating in planning processes.** While meetings among stakeholders tend to be the most common format for participatory planning processes, some stakeholders can be reached and contribute more effectively through other means, such as one-on-one or informal small group discussions or written submissions. When larger meetings are employed, there are a number of issues to consider. For example, while one group may be quite happy to meet in an air conditioned conference room, others may find this environment intimidating to a degree that affects their willingness to participate. The times of meetings, their level of formality, the number of people involved, the way in which the room is arranged, even the food that is served, are all factors that will affect, positively or negatively, the level and quality of participation of different groups.

### **Community Mobilization**

**COMMUNITY MOBILIZATION** refers to the activities carried out in order to stimulate a group of people living or working together to address a specific problem or achieve a specific objective. In order to effectively mobilize community involvement, it is first necessary to understand the existing social dynamics of the community: who are the acknowledged leaders, what is the level of credibility of the local organizations and other institutions functioning in the community, what has been the community experience with mobilization and joint action in the past, what activities are occurring now, etc. In many communities in the region, there may be an inherent distrust of government and of outsiders, and **initiatives that present an image of imposing from outside are likely to have difficulty mobilizing interest and involvement.** Working through respected local organizations, which know the dynamics of the community and have their own methods for mobilization in place, is often very effective. It is important to beware, however, that initial perceptions regarding the status of individuals and organizations within the community may on closer inspection be skewed towards those that hold economic or political power.

### **Effective Consultative Processes**

**Effective consultative processes are characterized by the active, informed, and equitable participation of all relevant stakeholders.** There is no single model for an ideal consultative process: the number and range of stakeholders, the time frame, the complexity and controversiality of the issues being addressed, the size of the area being considered, and other factors all need to be considered in designing the process.

**The most effective processes start from the earliest stages of planning,** and involve stakeholders in the identification of problems, the definition of a vision, and the setting of objectives. Where stakeholders are brought in after these steps have been taken, it is difficult to secure or maintain their participation, as the objectives of the process may be ones that are of little interest or even damaging to them.

### **Sustaining Participation**

**Given the constant and often rapid change that occurs in much of the Caribbean marine and coastal zone, planning cannot end with the implementation of decisions, but must be an ongoing process.** Responding to these changes requires flexible structures that involve all actors in management and decision-making. Institutional arrangements that assure stakeholder involvement are therefore needed to sustain participation. **It is also necessary that stakeholders are compensated for their time and effort** in appropriate and equitable ways.

<b>MODULE 5</b>	<b>PARTICIPATORY PLANNING</b>
<b>THEME 5.6</b>	Conflict management
<b>OBJECTIVE</b>	To understand how the proper management of conflicts can contribute positively to a participatory process and introduce
<b>SIGNIFICANCE</b>	Conflict is an inevitable by-product of participatory processes. If properly managed, however, conflicts can help to advance the participatory planning process and contribute to the effectiveness of management.
<b>PRESENTATION</b>	Facilitated discussion Case study analysis
<b>TIME</b>	2 hours

## TUTOR'S NOTES

To present the concepts described in this theme, the instructor can use the Soufriere Marine Management Area, or a case with which all the participants are reasonably familiar, to examine and analyse the causes of conflicts and discuss the methods that were used to address them.

### OVERVIEW OF BASIC CONCEPTS

One of the challenges of participatory processes is that they are premised on the possibility of consensus between participants about needs and aims (Mayoux 1995:241). Arriving at this consensus can be difficult because participants often have different and sometimes conflicting interests and objectives. In many respects, participatory processes are processes of negotiation, which aim at resolving and managing existing and potential conflicts (between and among resource users, between resource uses, or between resource management objectives and strategies).

**CONFLICT** occurs when competing or opposing interests fail to find common ground. In the context of natural resources in the Caribbean, conflict is very often caused by a change in management regimes. **When a management intervention alters the implicit or explicit rules governing natural resource access or use, relations between those with an interest in the resource can also change.** Where this change results in the actual or perceived net loss of benefits, conflict occurs. The establishment of a MPA, for example, can lead to conflict between the management agency and traditional users of the area, such as fishers, if they feel they have lost access to fishing grounds and gained little or nothing in return.

Although we have been socialized to think of conflict as a negative condition, it can have a positive and constructive function in society. When dealt with in an appropriate manner, **conflicts present opportunities for assessment and evaluation and can catalyze change.** In the context of participatory approaches to MPA management, particularly during the planning phase, conflict can help address issues that could stymie management at a later stage in the process. If not managed properly, however, conflict can be counterproductive and can undermine the resource management arrangement.

It is useful to talk about dealing with conflict in terms of management rather than resolution because **the conditions under which the management of a MPA occurs are constantly changing and variables that can give rise to differences are continuously being introduced.** The **MANAGEMENT OF CONFLICT** implies putting mechanisms in place to deal with present and possible future disputes or differences. Such an approach to addressing conflict inherently

acknowledges that conflicts exist and will exist, and plans for it in general terms. The stakeholder identification process is an important element of conflict management because it can help identify where current and potential problem areas exist. **CONFLICT RESOLUTION** is an appropriate construct for dealing with individual disputes as they arise.

Conflict management is one of the unavoidable responsibilities of MPA managers, who will often be required to play a range of different roles in this process, ranging from facilitator to negotiator to decision maker. In instances where the management agency is one of the parties in conflict, it is the responsibility of the MPA manager to identify a method for conflict resolution that will be appropriate and acceptable to all involved. **Effective communication is an essential tool for conflict management.**

### **Characteristics of Protected Area Conflicts**

Lewis (1997) has identified four characteristics of conservation area conflicts, which also apply to conflicts in MPAs. While all of these characteristics may not be relevant to each conflict that a MPA manager might face, they are useful contextual guides.

<b>Table 5.1: Characteristics of Protected Area Conflicts</b>	
<b>They involve several stakeholders.</b>	Conflicts often revolve around the loss of benefits of access or use. One or more stakeholder group is usually perceived as gaining at the expense of other groups.
<b>They are often influenced by factors and conditions external to the management area.</b>	This requires managers to look beyond the physical boundaries of the protected area to fully understand the roots of conflicts and address them effectively. These external factors can be: political, such as a change in government; legislative, such as the introduction of new laws and regulations that affect practices inside or outside of the management area; economic, such as a local recession; or environmental, resulting from the degradation of resources in areas connected to the ecosystem of the management area.
<b>They involve scientific and socio-cultural phenomena.</b>	Scientific data collected over time are not always available to support management decisions, particularly at the start of interventions; there may also be clashes between scientific knowledge and local knowledge, particularly when those who possess the former ignore or undervalue the latter.
<b>The process of identifying solutions to conflicts is often constrained by a lack of financial resources.</b>	The universe of solutions available for addressing conflicts is sometimes limited by financial resources, which can make it difficult to obtain goods and services that might aid in the resolution process.
Adapted from Lewis, 1997.	

### Guidelines for Conflict Management

1. **Understand the nature of the conflict and its underlying causes.** It is important to understand the various manifestations of the conflict (symptoms) and why the problem occurs (causes). This may require research and external contributions and services. A conflict in a MPA may manifest itself in the non-compliance of a user group with area regulations, for example. In such an instance, it would be important to understand such things as whether or not all or some of the group members are non-compliant, if the non-compliant members were a part of the original consultation and negotiation process, if social and economic conditions have changed outside of the area and affected behaviour and decision-making among group members, etc.
2. **Analyse issues (including power dynamics among stakeholders) at the start of the process and clearly define interests.**
3. **Make sure the process for reaching a solution is legitimate and acceptable to all.** Ensure, for example, that all relevant stakeholders are a part of the process and that all positions and stakes are represented by the designated spokespersons. The process used should be culturally, socially, and politically appropriate.
4. **Ensure that the process is transparent**, i.e., all relevant parties are aware of all steps in the process and involved in decision-making as appropriate.
5. **Arrive at consensus on the method of addressing the conflict and define objectives for each stage of negotiation.**
6. **Design negotiation processes in stages** and reach results for each step before advancing the process to the next phase.
7. **Begin with the resolution of simple issues before attempting to resolve more complex issues.** This makes it possible for the negotiating parties to focus on the issues which can be relatively easily resolved and demonstrates that it is actually possible to reach agreements.
8. **Conclude with the formulation of a formal agreement** that clearly stipulates conditions and responsibilities for implementation

### **Approaches for Addressing Conflict**

There are different methods for bringing diverse interests together to reach an agreement. The following four methods can be used in resolving disputes related to the use of marine resources:

***SELF-NEGOTIATION***: This may be formal or informal. The parties in a conflict voluntarily and without a facilitator discuss their differences to reach a mutually acceptable agreement.

***FACILITATION***: Parties in conflict interact and communicate directly and seek solutions themselves, but with the help of one or more facilitator.

***MEDIATION***: Conflicting parties voluntarily allow a neutral party to control and direct a process of reaching agreement. There is generally no direct contact between the parties in conflict

***ARBITRATION***: Stakeholders present their case to an independent party who has the authority to impose a solution. The arbitrator seeks the views of all parties, tests solutions and options, and formulates a solution that is as acceptable as possible to all.

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<b>MODULE 5</b>	<b>PARTICIPATORY PLANNING</b>
<b>THEME 5.7</b>	<b>Collaborative management</b>
<b>OBJECTIVE</b>	To understand how collaborative management differs from other forms of management and the conditions under which it is most appropriate and effective.
<b>SIGNIFICANCE</b>	Formal stakeholder involvement in the management of MPAs can result in improved protection of the resource base and enhanced benefits, locally and nationally, but the development of effective co-management arrangements is a complex undertaking that requires skills and experience.
<b>PRESENTATION</b>	Presentation of main concepts Case study presentation Facilitated discussion
<b>TIME</b>	2 hour

## TUTOR'S NOTES

In order to begin the session by dispensing with the many misunderstandings regarding co-management, the instructor can divide participants into small groups of 3 or 4 to develop definitions of co-management. These can be presented to the group, followed by a brief presentation by the instructor on the subject of management regimes. The complexity of many management situations can be illustrated through a group exercise in which the case study situation is analysed to determine ownership rights, tenure and usage rights, management authority, and management responsibility. The concept of co-management can then be introduced by the instructor, and the initial definitions developed by the participants revisited and critiqued. A real co-management agreement can be useful in presenting the material on preparing co-management agreements. The cases of participatory MPA management presented by this theme can be reviewed by the group to determine whether they represent actual co-management and why. In the brief time available, only this basic overview of co-management is possible.

## OVERVIEW OF BASIC CONCEPTS

### Management Regimes and Options

In the context of MPA management, an ***INSTITUTIONAL ARRANGEMENT*** can be defined as the manner in which rights and responsibilities over the use and management of the resource are distributed, regulated and applied. These rights and responsibilities are many, but they can be grouped according to the following broad categories:

- ◆ The right to sell the resource (conventional ownership right);
- ◆ The right to use the resource and consume or sell the products derived from that use;
- ◆ The right and responsibility to exclude other users;
- ◆ The right and responsibility to define and modify the conditions under which use can take place.

**These rights and responsibilities can be placed under four possible *MANAGEMENT REGIMES*:**

- ◆ **Private:** one or several of the rights and responsibilities described above are held by a private individual or company;
- ◆ **Communal:** they are held by a group of individuals;
- ◆ **State:** they are held by a state agency or by the government on behalf of the public;
- ◆ The rights and responsibilities are not assigned.

It is commonly assumed that the various rights and responsibilities are normally all held by the same entity, and that the most common situations are those where the same management regime applies to all types of rights. The reality is however far more complex, with most situations reflecting a combination of rights among various parties. For example, even in the case of private property, the state retains several rights and responsibilities, through its policies and programmes. Similarly, it is not rare to find public properties where use rights are traditionally held by private individuals or communities.

The goal of participatory natural resource management is to establish institutional arrangements where rights are distributed in the most effective and equitable manner. **Collaborative management, or CO-MANAGEMENT, refers to those arrangements in which management rights and responsibilities are formally shared or divided among two or more partners.**

Co-management cannot be defined as a distinct management regime. Instead, **co-management is the instrument, the agreement that gives legitimacy and formality to the participatory nature of the management regime.** This implies that co-management arrangements can exist in virtually every situation, including those where most of the management authority remains in the hands of the state, as it would still remain necessary to formalize the sharing of a small portion of responsibility with civil society actors.

### **Conditions Favouring Co-management**

**Co-management is based on the premise that resources are sometimes best managed by an alliance of stakeholders.** Co-management is an appropriate option for MPAs when it can result in better protection of the resource base and achievement of MPA objectives than other options. With the growing popularity of the co-management concept, it is important to remember that **there are situations in which co-management may not be the most appropriate option.**

Co-management is however appropriate when the significant and structured participation of two or more stakeholders or management agencies is required to achieve management objectives. Identifying the parties in a potential co-management arrangement requires analysing the tasks that must be carried out to meet management objectives, the institutions that have the responsibility for carrying out these tasks, as well as those that are best placed to do so through their rights to, knowledge of, or propinquity to the resource.

### **Preparing Co-management Agreements**

**Collaborative management presupposes that a formal and binding agreement exists between the parties involved. The major purpose of this agreement is to clearly define the responsibilities and rights of each party in managing the resource or area in question. Co-management agreements are needed because:**

- ◆ In the absence of formal agreements, management regimes almost inevitably evolve towards a situation where authority is returned to the most powerful partners;
- ◆ Formal agreements provide a guarantee of transparency and fairness in the distribution and assumption of authority;
- ◆ Formal agreements help partners move from a claim of rights to an assumption of responsibility;
- ◆ Agreements help to manage change, as they stipulate the mechanisms that will be employed in order to adapt and respond to change.

In addition to spelling out the responsibilities and rights of each party, **co-management agreements should include the following:**

- ◆ **Rationale:** this is the justification for management, and the statement of the reason why an agreement was considered necessary in the first place.
- ◆ **Identification of partners:** this names the formal partners in the agreement, those who are formally committing themselves to its terms.
- ◆ **Vision:** this expresses the direction in which the agreement is taking its partners, the ultimate goal that it wants to realize.

- ◆ **Objectives:** this defines the specific changes and realizations that are expected to come as a result of the agreement.
- ◆ **Programmes and conditions of resource use:** this defines all the activities (conservation, sustainable resource use, research and monitoring, public awareness and education, etc.) which will be implemented in order to achieve the objectives.
- ◆ **Zoning:** this defines the geographic distribution of resource uses, and the special conditions which may apply to specific areas.
- ◆ **Roles of the partners:** this defines the functions and responsibilities of each partner.
- ◆ **Institutional arrangements:** this stipulates how these functions and responsibilities will be organized and shared, and what linkages will exist among the various partners.
- ◆ **Legal instruments:** this notes the legislation which supports the agreement, and identifies the special instruments which may be needed to establish and implement the agreement.
- ◆ **Financial instruments:** this describes how resources are generated, managed and allocated.
- ◆ **Monitoring and reporting:** this identifies the objectives of monitoring, the indicators to be used, and the channels for reporting and accountability.
- ◆ **Duration and procedures for modification:** this defines the length of the agreement, and the procedure that has to be followed to change some or all of its terms.
- ◆ Signatures

### **Implementing Co-management Agreements**

The success of collaborative management arrangements depends, to a large extent, on four factors:

- ◆ The quality of the process that has led to the design and establishment of the arrangement;
- ◆ The clarity and specificity of the terms of the management agreement;
- ◆ The effective monitoring and control of implementation and effectiveness of management;

- ◆ The capacity of participating individuals, groups and organizations to perform their roles effectively.

***CAPACITY-BUILDING*** must therefore be an essential component of the process of strengthening participatory and collaborative natural resources management, and it involves:

- ◆ Changes in the structures and cultures of participating organizations to facilitate collaboration, power-sharing and devolution of authority;
- ◆ Procurement of skills needed to perform the functions assigned in the management agreements (monitoring, sustainable use, communication, enforcement, etc);
- ◆ Strengthening of organizations, particularly at the community level;
- ◆ Establishment of financing mechanisms for all parties involved.

### **Effective Shared Management**

- ◆ Formal and accepted agreement;
- ◆ Good leadership;
- ◆ Channels for 2-way continuous communication;
- ◆ Local presence of management partners;
- ◆ Formal/accepted involvement of all management partners; and
- ◆ No duplication of effort.

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## Appendix 5.1: Typology of Participation

### How People Participate in Development Programmes and Projects

Type	Characteristics
1. Manipulative Participation	Participation is simply a pretense, with peoples' representatives on official boards but who are unelected and have no power
2. Passive Participation	People participate by being told what has been decided or has already happened. It involves unilateral announcements by an administration or project management without any listening to people's responses. The information being shared belongs only to external professionals.
3. Participation by Consultation	People participate by being consulted or by answering questions. External agents define problems and information gathering processes, and so control analysis. Such a consultative process does not concede any share in decision-making, and professionals are under no obligation to take on board people's views.
4. Participation for Material Incentives	People participate by contributing resources, for example labour, in return for food, cash, or other material incentives. [People] .... are involved in neither experimentation nor the process of learning. It is very common to see this called participation, yet people have no stake in prolonging technologies or practices when the incentives end.
5. Functional Participation	Participation is seen by external agencies as a means to achieve project goals, especially reduced costs. People may participate by forming groups to meet predetermined objectives related to the project. Such involvement may be interactive and involve shared decision-making, but tends to arise only after major decisions have already been made by external agents. At worst, local people may still only be co-opted to serve external goals.
6. Interactive Participation	People participate in joint analysis, development of action plans and formation or strengthening of local institutions. Participation is seen as a right, not just the means to achieve project goals. The process involves interdisciplinary methodologies that seek multiple perspectives and make use of systemic and structured learning processes. As groups take control over local decisions and determine how available resources are used, so they have a stake in maintaining structures and practices.
7. Self-mobilization	People participate by taking initiatives independently of external institutions to change systems. They develop contacts with external institutions for resources and technical advice they need, but retain control over how resources are used. Self-mobilization can spread if governments and NGOs provide an enabling framework of support. Such self-initiated mobilization may or may not challenge existing distributions of wealth and power.

Source: Pretty 1995, in Bass et al. 1995

### Appendix 5.1: Glossary of Terms

<b>Arbitration</b>	The hearing and determination of a case by a person chosen by the parties in conflict or appointed under statutory authority.
<b>Capacity-building</b>	The process of improving the ability of groups and institutions to define and achieve their goals and objectives.
<b>Co-management</b>	A formal agreement on the sharing or dividing of management rights and responsibilities among two or more partners.
<b>Communication</b>	The sending and receiving of information or messages between individuals or groups, to transfer meaning.
<b>Community mobilization</b>	Activities carried out in order to organize a group of people living or working together to address a specific problem or achieve a specific objective.
<b>Conflict</b>	The failure of competing interests to find common ground.
<b>Empowerment</b>	The process by which people, particularly the poor and the disadvantaged, gain and retain control over their lives and destinies through information, skills, resources, authority, cooperation, and self-esteem.
<b>Equity</b>	The fair or just allocation of rights and distribution of benefits.
<b>Facilitation</b>	The process of assisting interested parties to reach consensus on a course of action or to resolve a conflict.
<b>Institutional arrangement</b>	The manner in which rights and responsibilities over the use and management of a resource are distributed, regulated and applied.
<b>Management regime</b>	The conditions and set of rules applied to manage the manner and rate in which a resource is allowed to deplete or regenerates.
<b>Mediation</b>	Negotiated resolution to conflict by a neutral party who serves as the intermediary between the disputing parties.
<b>Participation</b>	Shared involvement of interested parties in decisions and actions related to the management of an area or resource.

<b>Planning</b>	A systematic process of identifying and selecting the most appropriate alternative to achieve a defined objective.
<b>Popular knowledge</b>	Information, skills, and methods related to the status, use, and management of a resource acquired through empirical means by persons or communities with a longstanding interest in the resource. Also called local or traditional knowledge.
<b>Self-negotiation</b>	The voluntary settlement of a conflict by the disputing parties without the assistance of a facilitator.
<b>Stakeholder</b>	An individual, group, or organization that is involved in, or may be affected by, a change in the conditions governing the management and use of a resource, area, or sector.
<b>Stakeholder analysis</b>	The analysis of the interests, rights, and responsibilities which can be attributed to each stakeholder, in order to determine the form and extent of their participation in the management process.
<b>Stakeholder identification</b>	Inventory of the groups, individuals, institutions, and initiatives with an interest in, rights to, or responsibility for the resources to be managed.
<b>Sustainable development</b>	A development process that improves the quality of life at all levels with minimal external support, while preserving or enhancing the resource base.
<b>Traditional uses</b>	Extractive or non-extractive exploitation of a resource that has been carried out for long periods of time, generally by local people for subsistence purposes.

**Appendix 5.3: Reference Case Study for Theme 5.6**

(To be used if a local case study is not available)

**Participatory Planning for the Soufriere Marine Management Area****Background**

Soufriere is located on the southwest coast of St. Lucia. This area is unique and remarkable in many respects, because of the richness and diversity of its natural and cultural resources. Due to its isolation and a rugged topography, the local economy has been depressed for several decades, and tourism is now seen as an opportunity to bring new benefits to the community and to create productive linkages with other sectors, notably agriculture and fishing.

Over the past few decades, there has been a concentration of human activities on the coast, in a small and fragile area. The main sectors involved are fishing (with approximately 100 full-time and 50 part-time fishers), tourism (with two large resorts, and several smaller hotels, guest houses, and restaurants), communication and transport (with the Soufriere harbour and with a large number of yachts visiting the area), recreation (with only two beaches in the immediate vicinity of residential areas), and urban development (with the town of Soufriere and its 4,000 inhabitants).

Net fishing, with gillnets and beach seines, is an important activity, and some fishermen specialize in that type of fishing. Other full-time fishermen are involved in trolling for pelagic species during the December to July period, while they use pots and bottom lines during the rest of the year. Most of the part-time fishermen specialize in pot fishing. There is one fishing cooperative in Soufriere.

The growth of the tourism sector in the past twenty years, coupled with the development of the town and the increase in the various environmental impacts of human settlements, created new pressures on the coastal resources, provoked severe conflicts between the various resource user groups, and had major impacts on fishermen and their activities. The most acute of these conflicts were between divers and fishermen (over reef areas), and between seine fishermen and yachts anchoring in fishing zones. In all instances, fishermen felt that they were being displaced and deprived of their traditional fishing zones.

The initial response of government agencies and other actors involved proved largely inadequate, and served to exacerbate many of the conflicts, much to the detriment of fishermen. For example, Marine Reserves and Fishing Priority Areas were legally established, but without boundaries, leaving much to the interpretation of the various users. In the zones which, in the understanding of fishermen, had been established as Fishing Priority Areas, many other activities were taking place, which restricted traditional uses. New hotel and infrastructural developments also resulted in limited access to some of the beaches which had been important for recreation and seining. Typically, the community of Soufriere, including its fishermen, had little opportunity to participate in the decisions affecting these resources and their uses.

In these conditions, fishermen of Soufriere felt that their interests were not properly represented, and that their rights of access to the resource were being undermined. This situation worsened, in the late 1980s, when a jetty was constructed in an area which fishermen considered important, and which had been established as a Fishing Priority Area by the Ministry of Agriculture and Fisheries.

### **The Negotiation Process**

It is against this background that a participatory planning process was initiated, in July 1992, to attempt to address the many issues affecting users of marine and coastal resources in Soufriere. Placed under the auspices of a local non-governmental organization, the Soufriere Regional Development Foundation, the negotiation process was facilitated jointly by the Caribbean Natural Resources Institute (CANARI) and the Department of Fisheries of the Ministry of Agriculture. It was implemented over a period of eighteen months, with the following activities:

- ◆ The identification of all stakeholders, and the application of criteria to evaluate their respective rights and responsibilities;
- ◆ The sensitization and mobilization of fishermen, before the commencement of the formal negotiation, to ensure their full participation in the process;
- ◆ Conduct of a first one-day meeting, with approximately 60 participants representing all groups and sectors concerned with coastal and marine resources and activities in the Soufriere region, to identify the issues and establish the basis for the negotiation process. During this meeting, participants negotiated a map of resources, problems and issues, on the basis of a field visit on boats;
- ◆ Conduct of a second one-day meeting, with the same group of participants, to confirm the information contained on the map, to identify the causes of the various problems, and to formulate recommendations on the issues on which agreement could be reached easily;
- ◆ Specific negotiations, conducted individually or within small groups, to formulate draft recommendations concerning the areas of more severe conflicts;

- ◆ Conduct of a third one-day meeting, to confirm all decisions already made, and to begin discussions regarding management structures and implementation mechanisms;
- ◆ Distribution to all participants of a draft agreement summarizing all conclusions and recommendations;
- ◆ Conduct of a fourth one-day meeting, with a smaller group, to refine the recommendations concerning institutional and legal instruments;
- ◆ Preparation of a final document, entitled *Agreement on the use and management of marine and coastal resources in Soufriere, St. Lucia*, and submission of this document, for endorsement, to the Cabinet of Ministers;
- ◆ Public presentation of the Agreement, in the presence of representatives of the Government and all concerned institutions at the national and local levels.

Throughout this process, the public was kept informed of activities and progress, through the media.

The Agreement provides for the establishment of a Soufriere Marine Management Area (SMMA), which was officially launched on 1 July 1995. It creates five different management zones and establishes a number of measures which should ensure the rational use of resources through the involvement and collaboration of all relevant stakeholders.

### **The Participation of the Fishing Community in Making Decisions**

The Soufriere process provides a good illustration of the place of information in a process of planning, and one of the methods used is particularly important to note. It is the preparation of a map of marine resources, issues, and conflicts, that was drawn up by the participants, while traveling by boat throughout the area under consideration. This activity proved extremely useful, because it generated valuable information, and because it used and demonstrated the value of the knowledge of the users of the resource (namely the fishermen and the divers). In this way, it created an affinity among those who "knew" (the fishermen, the divers, and one local scientist); it also established their credentials in front of the representatives of government authority.

Another feature of the Soufriere experience is that the facilitators paid attention, at the beginning of the process, to the need to mobilize the fishermen and to ensure that they would participate. This required a series of meetings, facilitated by a resource person from the community, without the involvement of government agencies, to present to the fishermen the opportunities offered by the decision to conduct a negotiation, and to assist them in organizing their representation. This resulted in the fishermen selecting eight delegates among themselves, to represent the various types of fishing, and preparing joint positions before and during meetings. As a result, the

fishermen, who are too often powerless in negotiations with government agencies and more prominent sectors of society, were able to participate fully.

A third lesson from this experience is that there must be incentives for the various stakeholders to participate. Otherwise, parties in a negotiation process can easily drop out if they get a chance. It is indeed important to remember that participants in a process of negotiation always retain the choice between the negotiation and unilateral action. It is critical for facilitators of and participants in the process to be aware of this reality, and to know that those with substantial power will always be tempted to use unilateral action to resolve the dispute and to gain greater benefits from the result. In the case of Soufriere, this happened on at least three occasions, with three prominent interests, over the period of eighteen months.

On the other hand, fishermen remained loyal and committed to the process throughout its duration, and this can be attributed, at least partially, to their social and political status. In effect, they had no other option but to participate; from their perspective, even a small opportunity to influence a decision would be better than no opportunity at all. In the eyes of persons and institutions involved in facilitating participatory planning processes, this can be positive, but there is a danger. Without vigilance, the participation of a powerless group can be taken for granted.

*Adapted from Renard, Y. and S. Koester. 1995. Resolving conflicts for integrated coastal zone management: the case of Soufriere, St. Lucia. Caribbean Park and Protected Area Bulletin 5(2): 5-7.*