Governance of SEPLS
Guidance and Self-Assessment Tool

Barbara Lassen, Natural Justice, San José 25.01.17
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Governance of SEPLS: A Guidance Note and Assessment Tool

Guidance Note

• **Audience**: SGP National Coordinators
• **Goal**: give background on issues of landscape governance, and guidance on how to address them in COMDEKS and other programmes

Self-Assessment Tool

• **Audience**: communities and supporting organizations participating in a landscape programme
• **Goal**: provide methods to conduct a participatory assessment of the governance situation in a landscape
Governance: a definition

The interactions among **structures, processes and traditions** that determine how **power and responsibilities** are exercised, how **decisions** are taken and how citizens or other stakeholders **have their say**. (Graham et al., 2003)
The distinction of...

**Governance**
- who decides what to do? And how?
  - **power**, authority and responsibility
  - formal & informal,
  - relationships among actors
  - “how to go about” all this: participation, equity, accountability, …
  - “good governance”

≠

**Management**
- what do we do?
  - specific **aims** to reach
  - **actions** to carry out
  - available **means** (human, financial…)
  - achieving or not the desired **results**
  - management **effectiveness**
Elements of landscape governance

- **Actors**
  - Government
  - Communities
  - Civil society
  - Businesses
  - ...

- **Levels**
  - Local
  - Ecosystem
  - Landscape
  - Province/region
  - National
  - International

- **Powers**
  - Planning and regulatory
  - Revenue generating and spending
  - Convening and mobilizing
  - Knowledge and know-how

- **Instruments**
  - Rules, laws, policies
  - Agreements
  - Plans: management, land use
  - Social and financial incentives
  - Technical and financial support
  - Information and knowledge
  - Education and training
Governance diversity:
Who holds the *de facto* authority…

… over different areas in the landscape?
... over the most important resources?

<table>
<thead>
<tr>
<th>Government</th>
<th>Indigenous Peoples and Local Communities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Private actors</td>
<td>Shared Governance</td>
</tr>
</tbody>
</table>

*De jure or de facto?*

We use these terms to distinguish between what is prescribed and recognised by the law (*de jure*) and what actually does happen in real life (*de facto*).

The terms mean “in law” and “in practice”, respectively.
Governance systems in a landscape

- Informal systems
- Government systems
- Customary systems

Collaborative governance systems
Governance Quality

Principles of good governance

- Legitimacy and Voice
- Direction
- Performance
- Accountability
- Fairness and rights
Taking Action

- Strengthen **community and informal governance** systems to:
  - Improve own processes to take care of the landscape
  - Successfully participate in formal governance processes

- Improve **formal governance** systems:
  - Support the rights and enable the participation of local communities
  - Integrated planning and implementation across institutions, levels and sectors

- Develop **collaborative** systems
Governance in the COMDEKS process

Community Consultation: baseline assessment
- Assess landscape governance

Planning: landscape strategy
- Define governance objectives
- How can governance support the other three objectives?

Capacity Development
- Action at community level
- Action at landscape level

Facilitating knowledge and learning
- Ex-post assessment
- Identify governance innovations

Up-scaling
- Influence law and policy
Actions at community level

Strengthen community authorities:
- Capacities
- Governance quality
- Inclusion in landscape governance

Develop/strengthen CBOs and groups:
- Capacities
- Fundraising
- Networking
- Registration
<table>
<thead>
<tr>
<th>Community rules and agreements:</th>
<th>Land and resource rights:</th>
</tr>
</thead>
<tbody>
<tr>
<td>➢ Document</td>
<td>➢ Mapping</td>
</tr>
<tr>
<td>➢ Update</td>
<td>➢ Land titling</td>
</tr>
<tr>
<td>➢ Legally register</td>
<td>➢ Conflict resolution</td>
</tr>
<tr>
<td></td>
<td>➢ Legal empowerment</td>
</tr>
</tbody>
</table>
Action at landscape level

- Developing/supporting informal networks
- Building governance bodies
  - Which mandate?
  - What is there already?
  - Links to the local level?
  - How formal, which role for the government?
Influencing law and policy

- Legal analysis
- **Dissemination** of information on laws to local communities
- Bring *lessons learned* to the attention of policy makers
- Provide input to policy and legal *reform processes*
- Help communities to *advocate* for their interests and rights
WETO PLATFORM
A governance system of Weto Socio-ecological Production Landscape

By GEORGE ORTSIN
NC GHANA
Weto Socio-ecological production landscape

- Mountainous mosaic landscape with diverse habitats and landuses measuring 59,297 ha

- Landscape spans 11 traditional paramountcy, 3 political administrative districts with 126 local communities.

- Had 2 governance system – traditional & Government at program inception.

- Both systems were ineffective
Perception for new governance system

- **APPRECIATED** the need to harmonize traditional knowledge and management systems with experiences from different government organizations and the private sector.
- **AWARENESS** of the need for civil society to complement Government efforts in resource management.
- **CONCERNED** that CSOs needed a VOICE to promote secured, equitable and sustainable use of natural resources.
- **CONCEDED** that WETO stakeholders needed to engage government and private sector in the decisions governing the management of natural resources.

*New governance = Joint (decision making + management)
**Governance Setting**

**Official system by government institutions**
- National policies
- Local byelaws

**Customary/traditional system**
- Traditional Leadership
- Traditional rules and belief
- Spiritual values
Context & Principles of Weto Platform

**Context:**
A Civil society platform:
- to address increasing degradation of the landscape.
- to harmonize formal and informal governance system.
- to join efforts in reducing entrenched poverty within the landscape.

**Principles**
- Landscape stewardship was a joint responsibility
- Stewardship requires improvement in the management from both conservation and spiritual perspectives.
- Interdependence between the living and the sacred resources.
- Religion and spirituality support sustainable development, biodiversity conservation and increased responsibility in management.
Governance Vision & Mission

**Vision:** A healthy Weto landscape providing services and products for sustainable development

**Mission:** To ensure an effective decision making process that promotes sustainable development of the Weto landscape through collaboration of all key players in management activities.

**Goal:** To have a strong and dynamic civil society network able to connect skills, capacities, policies and practices and investments for sustainable resources management within the Weto landscape.
GOVERNANCE OBJECTIVES

To facilitate institutional collaboration and coordination of development activities.

To mobilize all stakeholders to actively participate in restoring the Ueto landscape.

To promote environmentally friendly production, processing and marketing of Ueto landscape products and as an eco-tourism destination.

Engage in policy advocacy and dialogue for sustainable development.
Governance Structure

Weto Platform organs

General Assembly
- Traditional Leaders
- Religious leaders
- Landowners
- Directors of govt. Agencies
- CSO representatives

Steering Committee
- Chairman of TA
- DCE
- Chairman of CSO

Standing Committees
- Land
- Water
- Forest
- Wildlife
- Livelihoods
- Conflict Resolution

Secretariat
- Chairman
- Secretary
- Treasurer

Working/Expert Committees
- Land management
- Organic Agric
- Apiculture Dev’t.
- Sustainable forest management
- Ecotourism & Biodiversity
Governance - ACTORS

- Traditional Authorities
  - Landowners
  - Community groups (cocoa planting, beekeepers, livestock or small ruminant rearing, micro-credit)
  - Civil society organizations
  - Private businesses
  - Government institutions

SGP - The GEF Small Grants Programme
Elements of Governance – Powers

- Planning for landscape development
- Policy dialogue with government and other development partners
- Mobilize revenue for development
- Maintain ecological integrity of the landscape
- Knowledge and know-how
Instrument of management

- Constitution/Operational Guidelines
  - Rules, laws, policies, membership
  - Renewal of traditional beliefs and norms

- Agreements with government and donor agencies

- Management Plans (land and forest)

- Technical, social and financial incentives/support

- Information, knowledge management, education and training

- Formal registration
Promoting governance

- Formal Registration with national body to ensure
  - Formation of Steering Committee as the policy-making organ of Weto Platform
  - Regular meetings of the Platform
  - Decentralized system of decision making at community levels.
Common steps followed in establishing the landscape governance system

- Supported participatory definition of landscape.
- Assessment of landscape needs and aspirations.
- Stakeholder assessment (power, interest, strength and weakness)
- Reviewed the prevailing governance structure and identified gaps.
- Brokered agreement to establish and strengthen a new governance system.
- Facilitated a governance structure that fits all stakeholders
- Supported the review and enactment of new laws and regulations.
- Formalised the governance structure (registration with state agency)
THANK YOU
Landscape governance
self-assessment tool
Why an assessment?

Before taking action on governance, understand:

• **What is already there?** What values, rules, institutions need to be made more visible, need to be strengthened or improved?

• **What is missing?** What new organisations, rules, agreements should be created?

• Which groups of **actors and institutions** are present in the landscape, which kind of **powers and influence** do they have? **Who should be involved**, and how, in future landscape-level governance?

• Which **laws and policies** need to be improved to create **positive conditions** for collaborative landscape governance?
## Structure of the tool

<table>
<thead>
<tr>
<th>Steps of the assessment</th>
<th>Each step</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phase 1: setting the scene</td>
<td>Goals</td>
</tr>
<tr>
<td>Phase 2: assessment</td>
<td>Participatory methods</td>
</tr>
<tr>
<td>Phase 3: evaluation</td>
<td>➢ Materials needed</td>
</tr>
<tr>
<td>Phase 4: planning for action</td>
<td>➢ Process</td>
</tr>
<tr>
<td></td>
<td>➢ Templates</td>
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</tbody>
</table>

PARTICIPATORY tool
WORKSHOP setting
Generate REFLECTION and DISCUSSION
NOT a method for expert assessment
NOT to generate data, scores etc.
## Phase 1: Setting the Scene

<table>
<thead>
<tr>
<th>Steps</th>
<th>Questions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1. Reviewing the landscape</td>
<td>What are the landscape’s boundaries and its main features and resources?</td>
</tr>
<tr>
<td>1.2. Understanding governance</td>
<td>What is governance and why is it important? Which challenges in the community or in the landscape have to do with governance?</td>
</tr>
</tbody>
</table>
Reviewing the landscape: sketch map
Understanding governance: rich picture
### Phase 2: Assessment

<table>
<thead>
<tr>
<th>Steps</th>
<th>Questions</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1. Landscape benefits</td>
<td>Which ecosystem services does the landscape provide? Who benefits from them?</td>
</tr>
<tr>
<td>2.2. History and culture</td>
<td>What is the history of the landscape, which cultural significance does it have?</td>
</tr>
<tr>
<td>2.3. Actors and institutions</td>
<td>Who are the relevant groups, organizations, decision-making bodies? What are their roles, rights, interests and powers concerning land and resources?</td>
</tr>
<tr>
<td>2.4. Rules and laws</td>
<td>What are some of the community rules concerning access and use of resources? What are the official laws and regulations? Are these rules and laws known, are the being followed, how are they being enforced?</td>
</tr>
<tr>
<td>2.5 Governance diversity</td>
<td>Who has the main authority over different areas and resources in the landscape? Who has rights (tenure, use, access) to land and resources?</td>
</tr>
<tr>
<td>2.6. Decision-making</td>
<td>How are main decisions over the landscape made? Who is involved, at what level and how?</td>
</tr>
<tr>
<td>Service</td>
<td>Communities</td>
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<tr>
<td><strong>Food</strong></td>
<td>Agriculture</td>
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<td>Livestock</td>
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<td>Fishery</td>
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<td>Hunting</td>
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<td>Wild Plants</td>
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<td><strong>Raw Materials</strong></td>
<td>Wood</td>
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<td></td>
<td>Other</td>
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<td><strong>Medicinal plants</strong></td>
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<td><strong>Water</strong></td>
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<td><strong>Regulation</strong></td>
<td>Climate</td>
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<td>Erosion prevention</td>
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<td>Coastal protection</td>
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<td>Flood protection</td>
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<td>Water regulation</td>
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<td>Pollination</td>
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<tr>
<td><strong>Conservation</strong></td>
<td>Conservation of wild species</td>
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<td></td>
<td>Agricultural diversity</td>
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<tr>
<td><strong>Cultural</strong></td>
<td>Historical and cultural value</td>
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<td></td>
<td>Spiritual value</td>
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<td></td>
<td>Recreation and tourism</td>
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</tbody>
</table>
# Actors: diagram and analysis

<table>
<thead>
<tr>
<th>Actor</th>
<th>Interests</th>
<th>Roles</th>
<th>Powers</th>
<th>Capacities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Actor 1</td>
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<td>Actor 2</td>
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<td>National law on Forestry</td>
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<td>Provincial decree on bush fires</td>
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<td>Traditional rule in community x</td>
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<td>....</td>
<td>By-laws of community forestry association y</td>
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</table>
Governance diversity: mapping

• Start with: ecosystems / land use, administrative boundaries, traditional territories
• Who owns the land and resources? Who has rights to use them?
• Are there customary land and resource rights?
• Who occupies the land, uses the resources in reality?
• Who primarily holds authority/makes decisions?
Decision-making: systems diagram
Summary: what do we have?

• Values and benefits
• Actors and institutions
• Rules and laws
• *De facto* governance and tenure across the landscape
• Decision-making systems
## Phase 3: Evaluation

<table>
<thead>
<tr>
<th>Steps</th>
<th>Questions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>3.1. Governance quality</strong></td>
<td>How does the governance setting perform against good governance criteria: legitimacy and voice; performance; direction; fairness and rights?</td>
</tr>
<tr>
<td><strong>3.2. Governance effectiveness</strong></td>
<td>What are the strengths and weaknesses of the current governance systems in the landscape?</td>
</tr>
<tr>
<td></td>
<td>What works, what needs to be strengthened, what needs to be changed, what needs to be added?</td>
</tr>
</tbody>
</table>
| **Legitimacy and voice** | Participation in decisions: legal basis, process?  
| | Representation of communities (and others) in bodies?  
| | Recognition of community governance and management?  
| **Direction** | Vision for the landscape?  
| | Integration with government strategies and plans?  
| | Coherent policies, coordination between sectors?  
| | Coherence between laws and community rules?  
| **Performance** | Necessary institutional capacities?  
| | Sufficient resources for landscape management?  
| | Support for community efforts?  
| | Monitoring? Learning?  
| **Accountability** | Transparency? (permits, fees, plans)  
| | Access to information?  
| | Environmental and social impact assessments?  
| | Mechanisms for complaints/redress?  
| **Fairness and rights** | Supportive legal framework?  
| | Land and resource rights?  
| | Enforcement of rules and laws?  
| | Fair sharing of costs and benefits?  

## SWOT analysis

<table>
<thead>
<tr>
<th>Strengths</th>
<th>Weaknesses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Which institutions, rules, processes, systems work well in the current landscape governance system?</td>
<td>Which elements could work well, or have worked in the past, but need to be strengthened, or better integrated into the system in order to perform their role?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Opportunities</th>
<th>Threats</th>
</tr>
</thead>
<tbody>
<tr>
<td>What is missing? Which new institutions, rules etc. should be developed?</td>
<td>What is not working, or even standing in the way of good and effective governance of the landscape?</td>
</tr>
<tr>
<td>Which capacities of actors or other positive elements should be used more?</td>
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</tr>
</tbody>
</table>
Phase 4: planning action at...

- policy level
- landscape level
- community level
Questions to you:

• Do you think the assessment tool is useful / feasible / realistic?
• At what point(s) in the landscape process would you use it?
• Would you use an assessment at landscape level, at local level, both?
• What needs to be changed, what is missing?
• What other kind of support do you need to address governance in your target landscapes?