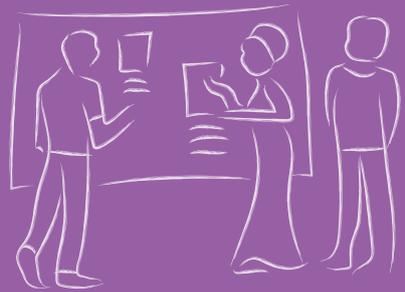# Governance Assessment for Protected and Conserved Areas (GAPA)

Methodology manual for GAPA facilitators

Phase I: Preparing
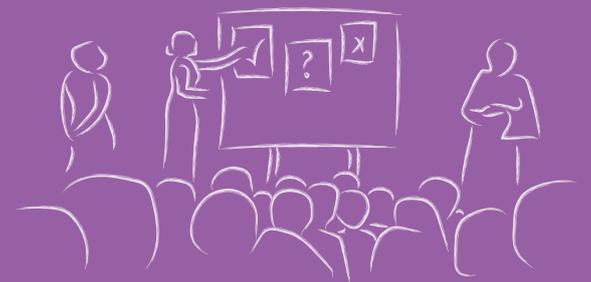
Phase II: Scoping

Phase III: Information gathering

Phase IV: Assessing

Phase V: Taking action

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IUCN PAPACO

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Foreword

The Governance Assessment for Protected Areas and Conserved Areas (GAPA) methodology manual is the product of four years' work. The process formally started in 2015 with an International Institute for Environment and Development (IIED) workshop to review approaches, methodologies and tools for assessing the governance quality of protected areas (PAs) and conserved areas (CAs), attended by Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), International Union for Conservation of Nature (IUCN), University of Southampton and independent governance experts. At this time, we also defined key characteristics of a governance assessment methodology needed for site-level governance quality assessment, including a multi-stakeholder and self-assessment process, as well as a standardised and action-orientated methodology.

Drawing on elements of existing methodologies, we developed this GAPA methodology. In partnership with GIZ, IUCN Kenya and the United Nations Development Program, we field tested the methodology at 11 sites in Bangladesh, the Philippines, Kenya, Uganda and Zambia. This was a great learning process during which we made many adjustments, informed by our site-level partners' reflections.

GAPA uses essentially the same multi-stakeholder process as its sister methodology, Social Assessment of Protected and Conserved Areas (SAPA). One main area of difference is that GAPA contains qualitative information-gathering methods that are better suited to exploring governance issues. GAPA and SAPA both aim to enhance the effectiveness and equity of conservation — in other words, to deliver better ecological outcomes and better and fairer impacts on human wellbeing — but they have different entry points. GAPA focuses on governance issues that shape conservation policies, strategies and plans and their implementation, while SAPA's entry point is the social outcomes that follow from the implementation of policies, strategies and plans.

Governance assessment explores sensitive issues related to the power of different actors to control — or at least influence — decision making, to access information and to hold people accountable for proper implementation of decisions that are made. The manual is written for GAPA facilitators assuming that they have some prior experience of facilitating group discussions and conducting interviews, but they do not need to be governance experts or experienced social researchers. Those who are governance experts may find that this manual contains too much detail, so please note that we suggest applying the methodology flexibly (see Box 4).

GAPA is trying to address a major gap in the toolbox for biodiversity conservation, namely in governance and equity assessment. It is hard for us to keep track of where GAPA is being used; so, we would appreciate your feedback and are happy to provide remote technical support where needed.

Phil Franks, London, September 2019

Contents

Acronyms

CA	conserved area
CBD	Convention on Biological Diversity
FFI	Fauna & Flora International
GAPA	Governance Assessment for Protected and Conserved Areas
GPS	geographical positioning system
IIED	International Institute for Environment and Development
IUCN	International Union for Conservation of Nature
METT	Management Effectiveness Tracking Tool
NGO	non-governmental organisation
ODK	Open Data Kit
PA	protected area
PoWPA	CBD's Programme of work on protected areas
PRA	participatory rural appraisal
RAPPAM	rapid assessment and prioritisation of protected area management methodology
SAPA	Social Assessment for Protected and Conserved Areas
UNEP-WCMC	United Nations Environment Programme World Conservation Monitoring Centre
WCS	Wildlife Conservation Society
WPC	World Parks Congress

List of figures, boxes and tables

Section A: Introducing GAPA

This manual provides detailed guidance for assessing the governance quality of protected areas (PAs) and other conserved areas (CAs) and any related conservation and development activities. The manual describes the relatively low-cost Governance Assessment for Protected and Conserved Areas (GAPA) methodology, which is intended for use at site level.

GAPA can be used with PAs and CAs of any kind. This includes PAs/CAs governed and managed by government agencies, communities and the private sector. GAPA is a multi-stakeholder assessment for use by PA/CA managers, communities living within and around a PA/CA or other stakeholders and rightsholders at local and national levels. The goal of GAPA is to improve the governance of PA/CAs and any related conservation and development activities.

Our assumption in developing the GAPA methodology is that site-level actors will propose and plan the assessment. We have written this methodology manual for these users. In most cases, there will be a need for third-party technical support from a national or state-level organisation with social research expertise — for example, a non-governmental organisation (NGO), university or consultancy — but there should be no need for international consultants.

The GAPA methodology uses a combination of i) key informant interviews and focus group discussions to identify the governance strengths and challenges and ideas for action and ii) stakeholder workshops to discuss and validate the results and review the ideas for action to improve the situation. There is an optional extra: iii) a site-level governance scorecard to provide a quantitative assessment of PA/CA-related governance issues and the diversity of views on these issues within and across communities.

This manual is the central resource for anyone wishing to understand or undertake the GAPA process, but it is written primarily for GAPA convenors and facilitators. We assume that GAPA facilitators will have some experience of facilitating group discussions and conducting interviews. For GAPA convenors and hosts, this manual provides reference material.

Using the GAPA manual

Section A contains background information on governance assessment and an introduction to the key concepts that underpin GAPA. It is important to understand key concepts before you use GAPA.

Go to Section B for step-by-step guidance on how to use the GAPA methodology. There are five phases and 14 main activities in the GAPA methodology (plus one optional activity still under development - the site-level governance scorecard). We use colour-coded tabs throughout Section B to help you locate the five different GAPA phases quickly. Detailed guidance on the site-level governance scorecard is given in Annex 12.

The other annexes contain suggested terms of reference for the GAPA facilitation team, templates for use during particular GAPA activities and sample agendas for meetings and workshops. You can find further templates and supporting resources at www.iied.org/gapa

Phases and main activities of GAPA, and the pages on which you will find guidance

Icons

We use a number of icons throughout Section B.

📖   when referring to a resource that is in the GAPA Manual (usually in the annex)

📄   when referring to something you prepared earlier in the GAPA process (usually during a previous activity)

🖱   when referring to an online resource or online advice

❖   for top tips and reminders

✧   for outputs from the GAPA activities

1. Background

GAPA is a relatively low-cost governance assessment methodology for use by PA/CA stakeholders working together to assess PA/CA governance strengths and challenges and help build stronger and fairer governance.

As global and national conservation policy has evolved to include stronger emphasis on governance issues, there has been growing recognition that the main constraint to progress is no longer policy, but policy implementation. All too often, practice falls far short of the standard set in policy.

IIED has been leading an effort with partners — GIZ and IUCN — to address this gap between policy and practice. One of the key issues constraining progress is the lack of detailed guidance on how to understand and assess governance and equity in PAs and CAs. We have been developing and piloting a methodology for this purpose.

The result of these efforts is the GAPA methodology, outlined in this manual. At the time of publishing, we are still refining and testing the final action phase of the GAPA process, which provides a structured approach to applying results and reviewing progress. We are also testing a site-level scorecard as an optional extra, outlined in Annex 12.

Based on IUCN's framework of principles and considerations for good PA governance[1] you can use GAPA with any kind of PA/CA and any conservation and development activities related to the PA/CA. Examples of related conservation and development activities are sharing certain PA/CA-derived benefits with local communities, or a water scheme that takes water from a source within the PA/CA. Key actors prioritise five of GAPA's 11 good governance principles for in-depth assessment, and then use a combination of key informant interviews, focus group discussions and workshops to gather information, validate results, generate ideas for action and review progress.

For a discussion of how the methodology emerged, including the methods, tools and roles we drew on, our experiences, results and lessons learned, see 'Governance Assessment for Protected and Conserved Areas (GAPA): early experience of a multi-stakeholder methodology for enhancing equity and effectiveness'.[2] This publication details the experience gained and lessons learnt from applying and refining the methodology at six sites in Bangladesh, Kenya, Uganda and the Philippines.

1.1 Policy context: the need for GAPA

The IUCN World Parks Congress in 2003 brought issues of PA governance and equity to the forefront of the global PA conservation policy agenda. This was reflected less than a year later, when parties to the Convention on Biological Diversity (CBD) recognised poor governance as a significant challenge to PA conservation, including Element 2 on PA governance and equity in their Programme of Work on Protected Areas (PoWPA).[3]

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1   Borrini-Feyerabend et al. (2013)

2   Franks and Booker (2018)

3   CBD (2004). See https://www.cbd.int/protected/pow/learnmore/intro/#element2

The years that followed have seen substantial progress in terms of elaborating on the meaning of governance in a PA context, as the concepts of governance and equity have continued to capture attention in international decision making. Key examples are Aichi Target 11 of the CBD's strategic plan, which calls for terrestrial and aquatic habitats to be conserved through "effectively and equitably managed… protected areas and other effective area-based conservation measures,"[4] and the July 2018 CBD Subsidiary Body on Scientific, Technical and Technological Advice's endorsement of a recommendation for submission to CBD COP14 that includes specific guidance on effective and equitable PA governance.[5]

But despite the attention and the development of comprehensive guidance, there has been relatively little progress on the governance elements of CBD's PoWPA. In IUCN's 2014 World Parks Congress, there were calls for more progress on PA governance, rights-based approaches and addressing Aichi Target 11's equitable management dimension.[6]

One of the key issues constraining progress is the lack of detailed step-by-step guidance on how to understand and assess governance and equity in PAs and CAs. GAPA aims to close this gap by offering a relatively low cost methodology that site-level actors can use themselves. In other words, it is a self-assessment methodology.

1.2   IUCN Green List: GAPA's relevance

The IUCN Green List and its supporting implementation programme aims to encourage, achieve and promote effective, equitable and successful PAs/CAs in all partner countries and jurisdictions. Its overarching objective is to increase the number of effectively and equitably managed PAs/CAs delivering good conservation outcomes.

At its heart is the globally applicable Green List Standard. The standard aims to "encourage protected and conserved areas to measure, improve and maintain their performance through globally consistent criteria that benchmark good governance, sound design and planning, effective management, and successful conservation outcomes." Its good governance component has three key criteria, to:

▪ Guarantee legitimacy and voice

▪ Achieve transparency and accountability, and

▪ Enable governance and capacity to respond adaptively.

Working in close collaboration with IUCN and GIZ, we designed GAPA to comprehensively address these criteria and serve as a tool for PA/CA managers and other actors to achieve Green List certification. It also addresses one key criterion under the standard's effective management component: to effectively and fairly enforce laws and regulations. We have piloted the methodology at two Green List candidate sites in Kenya (Mara North Conservancy and Olderkesi Conservancy).

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4   CBD (2010) See www.cbd.int/sp/

5   CBD SBSTTA (2018) See www.cbd.int/doc/c/75d4/07a8/95d2c59b0963a9845fd40d3d/sbstta-22-inf-08-en.pdf

6   WPC (2014) See www.worldparkscongress.org/wpc/about/promise_of_sydney_innovative_approaches

2. Understanding GAPA

This section explains the key concepts and terms that are relevant to GAPA, including governance and equity. It is important that you understand them before facilitating an assessment.[7]

2.1 Protected areas and other conserved areas

According to the CBD, a PA is a "geographically defined area which is designated or regulated and managed to achieve specific conservation objectives".[8] In this manual, we consider 'specific conservation objectives' in the broadest sense as inclusive of conservation objectives of stakeholders and rightsholders from global to local levels. In other words, they range from conserving a globally important species to conserving ecosystem services that make an important contribution to the wellbeing of communities at the local level.

The IUCN system for classifying PAs allows for any combination of seven PA management categories and four PA governance types. This embraces a huge range of possibilities, only limited by the fact that many countries' national policy and legal frameworks restrict the definition of a 'protected area' to areas that have been formally recognised by national conservation authorities. This excludes many areas that, while not formally recognised, are managed with conservation objectives, often alongside other objectives. With growing awareness of the importance of such areas, the CBD has recently given formal recognition to "other effective area-based conservation measures (OECMs)".[9] For the purposes of this manual, we have abbreviated this term to conserved area (CA). GAPA is equally applicable to PAs and CAs, so long as the GAPA feasibility criteria are met.

2.2 Stakeholders, rightsholders and actors

The term 'stakeholders' is often used to refer to anyone with an interest, concern or right defined in statutory law or customary law and tradition, in relation to a particular activity or initiative.

In the context of a PA/CA, stakeholders are individuals and groups who have interests and concerns related to the management and governance of the area and any related conservation and development activities. The term 'rightsholders' refers specifically to individuals and groups who have legal or customary rights to land and/or natural resources within or around the area.

In some contexts, it is important to make a clear distinction between stakeholders and rightsholders, but in many situations, we use the terms together. Where this is the case in this document, we use the shorter term 'actors' to make for easier reading. In other words, stakeholders + rightsholders = actors.

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7   For further explanation, see Franks et al. (2018)

8   See, https://www.cbd.int/protected/pacbd/

9   CBD defines OECMs as "a geographically defined area other than a protected area, which is governed and managed in ways that achieve positive and sustained long-term outcomes for the in situ conservation of biodiversity, with associated ecosystem functions and services and, where applicable, cultural, spiritual, socioeconomic, and other locally relevant values." (CBD SBSTTA 22/L.2)

2.3 Governance in a PA/CA context

Governance is distinct from management. It is about power, relationships and accountability; about who makes decisions, how they make them, how they allocate resources and how actors have their say and hold people in power to account. Management is about how to achieve these objectives and includes defining and allocating lower-level objectives, responsibilities and accountabilities. It is important to ensure that management is accountable to governance through clear governance structures and processes — although the line between management and governance will vary from one situation to another.

In the context of conservation, governance has two key aspects — diversity and quality. Governance diversity concerns the nature and variety of governance types within a system of PAs/CAs and illustrates, at a broad level, how authority and responsibility for conservation is expected to be divided among actors. Governance types include state governance (by government), private governance (by organisations or individuals), community governance (by indigenous peoples and/or local communities) and shared governance (where two or more groups share authority). Figure 1 provides a typology of the diversity of governance types.

Figure 1. IUCN classification of PA governance types

State Governance: by government	Private Governance: by organisations or individuals	Community Governance: by indigenous people and local communities	Shared Governance: where two or more groups share authority
Federal or national ministry or agency in charge Sub-national ministry or agency in charge Government-delegated management (eg to an NGO)	CAs established and run by: Individual landowners Non-profit organisations (eg NGOs, universities) For-profit organisations (eg corporate landowners)	Indigenous peoples' CAs and territories established and run by indigenous peoples Community areas and territories established and run by local communities	Transboundary governance Collaborative governance (various forms of pluralist influence) Joint governance (pluralist governing body)

Source: Based on Borrini-Feyerabend et al. (2013)

Governance quality — the focus of GAPA — concerns how a PA/CA's governance arrangements perform in terms of good governance principles.

Although GAPA focuses on quality rather than diversity, information on the quality of actor participation gives a good indication of the de facto governance type at a site. Where GAPA is conducted at multiple sites, the results can contribute to a wider system-level governance assessment process if care is taken to ensure consistency in the assessment approach across all sites.

2.4   Equity and its relationship with governance

Target 11 of the CBD's strategic plan includes the statement that PAs should be "effectively and equitably managed" by 2020.[10] In plain English, equity simply means fairness. It is closely related to justice, particularly the concept of social justice. In our conservation-related work at IIED, we see the terms as equivalent. People and organisations that frame their conservation work in terms of governance and social impact tend to speak about equity, fairness and inclusion. Those taking a rights-based approach tend to use the term justice. We have opted for equity because this is the terminology used in the CBD and Sustainable Development Goals (SDGs). The SDG targets refer to equity, equality and closely related terms 24 times; they mention justice only once.

Building on research on equity in payments for ecosystem services and environmental justice, we have worked with a broad group of conservation actors at international level to develop a new framework for understanding and assessing equity in PA/CA governance and management. We consider equity to have three dimensions (see Figure 2):

- **Recognition**, which is about acknowledging and respecting rights and the diversity of different actors' identities, knowledge systems, values and institutions.

- **Procedure**, which is about actors' participation in decision making, transparency, accountability and processes for dispute resolution.

- **Distribution**, which is about the allocation of benefits across the set of actors and avoiding or at least reducing negative impacts.
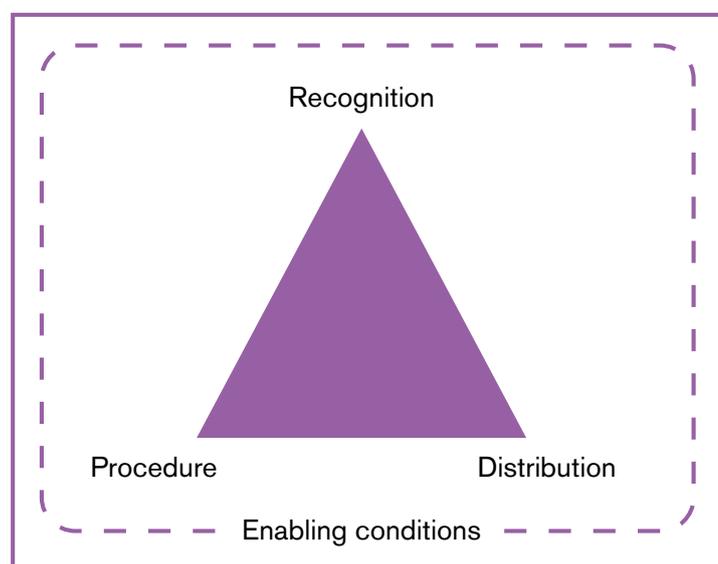
Figure 2: The three dimensions of equity

Historically, conservation has focused mainly on the distribution dimension of equity. Our equity framework places greater emphasis on recognition and procedure. Within each dimension, it identifies a set of priority issues, framed as principles.

In the context of conservation, equity principles are essentially a subset of principles of good governance. Principles 1–9 of our framework of good governance principles (Box 2) are also equity principles. Therefore, we can regard equity assessment for PAs/CAs as a subset of governance assessment.[11]

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10   CBD (2010) See www.cbd.int/sp/

11   For a more detailed mapping of the good governance principles and equity principles see Franks and Booker (2018)

3. GAPA methodology: an overview

There are several reasons for assessing a PA/CA's governance arrangements, including:

- As a **health check**, to determine the strengths and challenges of governance arrangements and identify issues that need attention

- As a **diagnostic**, to understand the underlying causes of existing challenges and identify actions that could improve the situation, or

- For **monitoring** purposes, to establish a baseline against which to measure changes (hopefully improvements) in PA/CA governance over time.

We designed GAPA with these objectives in mind. In its current form, it is most effective as a health check and diagnostic, but our ongoing work to develop a site-level governance scorecard will improve its ability to monitor changes of governance quality over time.

Box 1. Clarifying methodology terms

Methodology: Overall package of an analytical framework, research design, methods and an assessment process that links the methods.

Method: Information/data gathering or analysis activity — for example, focus groups, semi-structured interviews, surveys or participatory rapid appraisal (PRA) methods.

Tool: Specific information/data-gathering or analysis instrument used within a method.

GAPA builds on existing methodologies, methods and tools. We started with an inventory of what exists and a detailed specification of what we thought we were looking for. We reviewed more than 200 methodologies, methods and tools and other relevant guides and resources. In particular, we closely reviewed 11 methodologies designed for site-level PA governance assessment and another four methodologies designed for forest landscapes that have been used in landscapes containing PAs.[12]

Our overall purpose was to inform efforts to strengthen PA/CA governance at site level. At a meeting of our technical advisory group, we developed a list of GAPA's desired characteristics, which originally ran to four pages and included being:

- Focused on improving governance quality

- Focused on site level, but able to contribute to system-level governance assessment

- Universally applicable to PAs of any governance type and management category (more recently, we extended this to CAs that are not officially designated as PAs)

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12   See Franks and Booker 2018, Appendix 2.

- Multi-stakeholder: engaging all key actors determined by stakeholder analysis

- Self-assessed: conducted by stakeholders, not external experts

- Socially differentiated and able to capture different social groups' perspectives

- Action-oriented: generating ideas for action to address identified challenges (in the last year, we extended this to fostering accountability for implementing proposed actions)

- Standardised, yet adaptable: using the same process, good governance principles and methods, yet able to focus on a site's specific priorities, and

- Relatively low cost: costs should be commensurate with the goal of scaling up the methodology to at least 500 sites within five years.

Although none of the methodologies we reviewed met all these criteria, we included elements of several of them in GAPA.

In the next sections, we examine the three main elements of the GAPA methodology: good governance principles, an assessment process and methods and tools.

3.1   Good governance principles

IUCN has developed a framework of good governance principles and considerations for PAs, based on a UNDP framework.[13] This framework has five major governance principles, under which lie 40 considerations.[14] The governance principles we use in GAPA (Box 2) are based on this IUCN framework. Essentially, we consolidated IUCN's 40 considerations into 11 good governance principles for assessing site-level governance quality. Drawing on the experience of governance training and the assessment results from our first six assessments, we then set about unpacking each of these principles into a set of four to eight themes — see Annex 1 for a detailed breakdown of the good governance themes by principle.

Good governance principles outline the issues you should assess, and they define, in broad terms, a desired high level of governance performance. With GAPA we have found that it is simply not realistic to try to work with all 11 principles and therefore we advise site-level actors to prioritise just five good governance principles (Box 2) for in-depth assessment.

The governance frameworks of major multilateral development agencies and banks generally include three core principles: participation, transparency and accountability.[15] Following this approach, we suggest that all site-level actors prioritise the following core principles:

- Participation (principle 3)

- Transparency (principle 4) **or** accountability (principle 5)

- Mitigation of negative impacts (principle 8) **or** benefit sharing (principle 9).

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13   Graham et al. (2003)

14   Borrini-Feyerabend et al. (2013)

15   Moore et al. (2011)

In the scoping phase, site-level actors can select another two principles to prioritise for in-depth assessment according to local perspectives on priority governance issues.

Box 2. GAPA's 11 principles of good PA/CA governance

1. Recognition and respect for the rights of all relevant actors
2. Recognition and respect of all relevant actors and their knowledge, values and institutions
3. Full and effective participation of all relevant actors in decision making
4. Transparency supported by timely access to relevant information in appropriate forms
5. Accountability for fulfilling responsibilities and other actions and inactions
6. Access to justice, including effective dispute resolution processes
7. Effective and fair enforcement of laws and regulations
8. Effective measures to mitigate negative impacts on indigenous peoples and local communities
9. Benefits equitably shared among relevant actors based on one or more agreed targeting options
10. Achievement of conservation and other objectives, and
11. Effective coordination and collaboration between actors, sectors and levels.

3.2   Assessment process

The assessment process describes when to use the various GAPA methods and tools. Table 1 shows the five phases of GAPA: preparing, scoping, information gathering, assessing and taking action. The fieldwork comprises Phases II (scoping) to IV (assessing).

Once Phase I has been completed, it is possible to complete the process from Phase II up to Phase IV in as little as five days for a small PA/CA. However, more typically, it takes eight to ten days full time or three weeks on a part-time basis.

GAPA uses a multi-stakeholder approach to ensure that all key actors are fully engaged in designing the assessment, interpreting and validating the results and developing ideas for action. This multi-stakeholder process is key to its transparency and ownership, the accuracy and credibility of results and to building support for taking action to improve the situation.

Issues of governance can be sensitive and at times quite political. If certain actors resist or try to dominate the process, it can undermine the whole GAPA process. So the team of facilitators must be experienced, independent and able to carefully and sensitively manage the process to develop an atmosphere of shared problem solving while avoiding finger-pointing and conflict.

Table 1: GAPA process: phases and main activities, typical timeframe, and outputs

Phases and main activities	Timeframe*	Outputs
PHASE I – PREPARING		
1.1 Feasibility check	Week 1	» Brief feasibility report and decision to go ahead or not
1.2 Reviewing existing information	Week 1	» Site profile
		» Proposal for the scope of GAPA
1.3 Stakeholder analysis	Weeks 2-3	» Initial stakeholder analysis
1.4 Planning the assessment	Weeks 2-3	» Community group map
		» Draft assessment plan
		» Facilitation team identified
1.5 Training the facilitation team	Week 6	» Facilitation team trained
PHASE II – SCOPING		
2.1 Scoping workshop	Week 7	» Brief workshop report
		» Updated assessment plan
PHASE III – INFORMATION GATHERING		
3.1 Discussing governance in focus groups	Weeks 7-8	» Focus group discussion reports
3.2 Interviewing key informants	Weeks 7-8	» Key informant interview reports
3.3 Analysing information	Week 8	» PowerPoint of non-validated, preliminary results
3.4 Site-level governance scorecard (optional)	Week 8	» Site-level governance scorecard
		» Site-level governance scorecard results
		» Updated Powerpoint of non-validated preliminary results
PHASE IV – ASSESSING		
4.1 Assessment workshop	Week 8	» PowerPoint presentation showing validated results and non-validated results
		» Brief workshop report (optional, for internal use only)
PHASE V – TAKING ACTION		
5.1 Communicating results	Months 3-14 as opportunities arise	» Simple communications strategy
		» PowerPoint presentation of all the validated results: governance strengths and challenges and ideas for action
		» Summary PowerPoint presentation of the most important results
		» Four-page narrative report of all the assessment results, possibly in two versions — one for site-level decision makers and one for higher-level decision makers
		» A number of optional outputs tailored to circumstances (see section 5.1)
5.2 Action planning and workshop	Months 3-14 as opportunities arise	» Governance action plan
		» A brief workshop report (optional)
5.3 Monitoring progress	Months 3 and onwards	» Governance activity and output monitoring plan
		» Updated governance action plan
5.4 Reviewing progress workshop	Months 8-14	» Governance progress review report
		» Updated governance action plan
		» A brief workshop report (optional)

3.3   Methods and tools

GAPA uses a combination of methods and specific tools. You should apply these in the order presented in Table 1, as information gathered from each method informs subsequent methods.

Phase III — information gathering — uses two methods: key informant interviews and focus group discussions. Both use an open-ended questioning approach based on just two questions: What is working well regarding the principle in question? What is not working well? The conversation goes on to explore the underlying causes of why things are not working well and ideas for actions that might improve the situation. Box 3 shows guidance questions for the participation good governance principle.

Box 3. Guiding questions for actors participating in decision making

1. **Which actors are particularly important to consider in decision making?** Probe to get at least three important types of actors. This question is to set the scene.

2. **What is good/working well regarding these actors' participation in decision making?** Ask for one example and check that it is clear to everyone and that most (but not necessarily all) participants agree with it. Then ask for more examples until you have at least three good examples.

3. **What is not good/not working well regarding these actors' participation in decision making?** Ask for one example and check that the example is clear to everyone and that most (but not necessarily all) participants agree with it. Then for this example ask:

   i. **Why is the situation like this?** Keep asking this question until you get to the bottom of the problem or participants become uncomfortable and do not want to discuss more.

   ii. **What ideas do you have to improve the situation?** Probe to get at least three ideas for action. Explore the possible actions of different actors — not just the ones you are talking to.

Repeat the process for two more examples of something that is not working well or is not good.

For guiding questions on all the good governance principles, see Annex 9.

Table 2 presents an overview of GAPA methods and tools. All these methods and tools are fully developed and tested, except the site-level governance scorecard. At the time of publication, we are testing the site-level governance scorecard, which will:

▪ Validate governance challenges with a larger sample of local actors

▪ Establish a baseline and monitor change in governance quality over time, and

▪ Generate numerical data and graphics that will help communicate results.

     See Annex 12 for an example site-level governance scorecard.

Table 2. An overview of GAPA methods and tools

Method	Tools	Objective
Scoping workshop (in Phase II)	Stakeholder analysis template Prioritising the good governance principles	To tailor the design of the assessment to match the needs of key actors at the PA/CA while ensuring that it is manageable in terms of cost and demands on key actors' time.
Key informant interviews (in Phase III)	Key informant interview guide Key informant interview recording template	To identify and understand key governance strengths and challenges at the PA/CA from the perspective of different key individuals and organisations.
Focus group discussions (in Phase III)	Focus group discussion guide Focus group discussion recording template	To identify and understand key governance strengths and challenges at the PA/CA from the perspective of different social groups within the community.
Group data analysis (in Phase III)	PowerPoint template for results	To develop provisional GAPA results in terms of governance strengths and challenges by analysing information from focus group discussions and key informant interviews.
Site-level governance scorecard (under development)	Survey scorecard (example in Annex 12)	To provide a quantitative assessment of PA/CA-related governance issues from the community perspective; and to take a baseline of governance quality at the PA/CA to measure changes in governance quality at site and system level (after two to four years).
Stakeholder workshop (in Phase IV and Phase V)	Template for validating results and ideas for action	To review and validate the assessment results and develop ideas for action to address key governance challenges.

3.4   Roles in the GAPA process

There are four key roles in an effective, multi-stakeholder GAPA process: convenor, host, facilitator and notetaker. A fifth role of trainer can be covered by the lead facilitator if s/he is already experienced in the GAPA process. The convenor should initiate the GAPA process.

Convenor: the organisation that invites people to participate in an activity, event or initiative and sets the agenda with input from other key actors. An organisation's appropriateness to convene a governance assessment — its convening power — will depend on how much other actors respect it. So, it is important to consider whether key actors can trust a potential convenor to oversee a fair and successful process. The convenor must be interested in GAPA's objectives and believe in the value of a multi-stakeholder process. The organisation will typically be well known by all actors and have a good understanding of the PA/CA. It must command the respect and have the motivation and resources to lead all phases of the GAPA process. As well as being prepared to initiate GAPA, check its feasibility, and bring together the facilitation team to conduct the assessment, the GAPA convenor must demonstrate an organisational commitment to supporting at least 12 months of action taking that follows the assessment.

Host: the organisation or individual that formally receives the people who are participating in the assessment, activity or event. There can be several hosts, and the convenor may host some activities — for example, the PA/CA management or local government might host the scoping workshop, while community leaders or the local administration host a focus group discussion. If there are concerns that a host might bias an event or activity, co-hosting is an option.

Facilitator: these engage people in an activity, event or initiative. Facilitators should work as a team, using GAPA methods and tools to achieve the assessment's objectives. An individual's ability to successfully facilitate GAPA will depend on their experience and facilitation skills. Other vital characteristics are trustworthiness and independence — all key actors participating in an assessment should perceive a facilitator as neutral and able to ensure a fair process that is not biased to the interests of any actor. The GAPA process needs a lead facilitator plus one to three other facilitators depending on the size of the PA/CA. The most experienced facilitator should be the lead facilitator. Read Annex 3 for detailed Terms of Reference for facilitators and advice on gender balance in the facilitation team.

Notetaker: these support each facilitator to capture the information gathered in focus groups, interviews and key discussions points at the two workshops. You should have one notetaker for each facilitator. Guidance on selecting notetakers is also available in Annex 3.

Trainer: an experienced GAPA trainer who should deliver the training in the preparation phase. The role of the trainer could be covered by the GAPA lead facilitator if s/he is already an experienced GAPA facilitator from assessments at other sites. If not, contact a national or regional-level GAPA expert for help with undertaking the training. Contact IIED for guidance on suitable national and regional experts.

Section B: Step-by-step guidance

This section contains detailed guidance for each of the main activities across the five phases of the GAPA process, including objective(s), time required, who should facilitate, who should participate, background information, specific tasks for the facilitators and outputs. Remember this is only guidance and we recommend that everyone undertaking GAPA take a flexible approach (see Box 4).

Box 4. A flexible approach to GAPA

Although this section provides detailed, step-by-step guidance on how to use the GAPA methodology, we recommend that users take a flexible approach. Follow the guidance as much as possible but undertake the tasks in a way that makes sense to you and your facilitation team. Be informed by your country's cultural or formal protocols or those of the specific PA/CA site. Think about how you usually conduct such tasks, too — in other words, use your experience and common sense!

Make sure the expertise of key actors involved guides the GAPA process. Remember that GAPA is a multi-stakeholder self-assessment by these actors, and so they should direct it as much as possible.

The order of our guidance suggests the sequence of activities. But sometimes it makes sense to do two activities at the same time. We have provided hints in the manual where you might consider doing this.

Phases and main activities of GAPA, and the pages on which you will find guidance

Table 3: GAPA process: phases and main activities, typical timeframe, and outputs

Note: This table is a replica of Table 1, added to section B for easy reference.

Phases and main activities	Timeframe*	Outputs
PHASE I – PREPARING		
1.1 Feasibility check	Week 1	» Brief feasibility report and decision to go ahead or not
1.2 Reviewing existing information	Week 1	» Site profile
		» Proposal for the scope of GAPA
1.3 Stakeholder analysis	Weeks 2-3	» Initial stakeholder analysis
1.4 Planning the assessment	Weeks 2-3	» Community group map
		» Draft assessment plan
		» Facilitation team identified
1.5 Training the facilitation team	Week 6	» Facilitation team trained
PHASE II – SCOPING		
2.1 Scoping workshop	Week 7	» Brief workshop report
		» Updated assessment plan
PHASE III – INFORMATION GATHERING		
3.1 Discussing governance in focus groups	Weeks 7-8	» Focus group discussion reports
3.2 Interviewing key informants	Weeks 7-8	» Key informant interview reports
3.3 Analysing information	Week 8	» PowerPoint of non-validated, preliminary results
3.4 Site-level governance scorecard (optional)	Week 8	» Site-level governance scorecard
		» Site-level governance scorecard results
		» Updated PowerPoint of non-validated preliminary results
PHASE IV – ASSESSING		
4.1 Assessment workshop	Week 8	» PowerPoint presentation showing validated results and non-validated results
		» Brief workshop report (optional, for internal use only)
PHASE V – TAKING ACTION		
5.1 Communicating results	Months 3-14 as opportunities arise	» Simple communications strategy
		» PowerPoint presentation of all the validated results: governance strengths and challenges and ideas for action
		» Summary PowerPoint presentation of the most important results
		» Four-page narrative report of all the assessment results, possibly in two versions — one for site-level decision makers and one for higher-level decision makers
		» A number of optional outputs tailored to circumstances (see section 5.1)
5.2 Action planning and workshop	Months 3-14 as opportunities arise	» Governance action plan
		» A brief workshop report (optional)
5.3 Monitoring progress	Months 3 and onwards	» Governance activity and output monitoring plan
		» Updated governance action plan
5.4 Reviewing progress workshop	Months 8-14	» Governance progress review report
		» Updated governance action plan
		» A brief workshop report (optional)

*Note: the column on timeframe indicates the week in which the activity should take place and not the total amount of time that the activity will take. The following sub-sections of this manual offer guidance on how long activities will take.

1. Phase I: Preparing

1.1 Feasibility check

> Before you start, you must check whether it makes sense to undertake GAPA at the PA/CA. A multi-stakeholder assessment process requires certain conditions to work in a constructive, effective and fair way. For example, we do not advise that you undertake GAPA if there is open conflict at the PA/CA.
>
> **This is an important step and you should not skip it.** If the conclusion of the feasibility assessment is positive, you can continue with the GAPA.

Objective

To determine whether GAPA is an appropriate and feasible methodology for assessing the governance quality of the PA/CA.

Time required

30–60 minutes — longer if you need to consult a range of key actors.

Who facilitates?

The convenor (this is the organisation that invites people to participate in a GAPA activity, event or initiative and sets the agenda with input from other key actors).

Who participates?

You must be sure to consult the PA/CA managers in a feasibility assessment, if they are not the convenors. Doing so will maximise their ownership of the process and the chances of them applying the results.

We also strongly suggest that you consult other key actors, such as community representatives and local government officials.

Background information

The GAPA methodology is designed to be widely applicable to PAs/CAs of any governance type, management category and ecological context, including marine, terrestrial-forest, terrestrial-rangelands and terrestrial-freshwater.

We advise that you only use GAPA with a PA/CA that has existed and had operational governance and management systems for at least two years, regardless of the strength or weakness of these systems. This is to ensure actors have enough awareness and understanding of the PA/CA so they can fully participate in the multi-stakeholder assessment process.

It is also important to understand that the GAPA multi-stakeholder process:

- Can only be viable where there is trust — for example, you should not use GAPA if there is open conflict between PA/CA management and indigenous peoples or communities living in and/or around the PA/CA.

- Requires PA/CA managers and other key site-level actors to meet face-to-face at least once during the assessment process. This may not be practical in very large PAs/CAs, where travel between communities is difficult and costly. In such cases, consider assessing a pre-existing and clearly defined zone or area within and/or around the PA/CA.

The success of GAPA also assumes that:

- There are adequate human and financial resources to conduct GAPA in line with the process laid out in this manual. Based on our experience of piloting GAPA in five countries with different operating costs, the cost of conducting GAPA (excluding staff time) ranges from US$5,000 to US$15,000 depending on the size of the PA and the general costs of operations in the country concerned.

- All actors are committed to taking action (Phase V). PA/CA managers and other key actors must be willing and able to implement some of the ideas for action that emerge from GAPA. The cost of taking specific actions is not included in our cost estimate and the human and financial resources needed will vary by site. Building ideas for action into existing programmes and planning processes in and around the PA/CA could help cover costs.

- The convenor is committed and has the resources — in terms of time, skilled personnel and funding — to coordinate all phases of GAPA. This includes convening, guiding and monitoring progress for taking action (Phase V) up to a year from the end of Phase IV.

Table 4 lists further criteria you should use to determine the feasibility of conducting GAPA.

Feasibility check tasks

Task 1. Work out whether GAPA is feasible

Use the feasibility assessment criteria in Table 4 to understand whether it is appropriate and feasible to conduct GAPA at the PA/CA. If the site passes the feasibility criteria, go on to Task 2.

Task 2. Introduce GAPA to actors at the PA/CA

You need to ensure that these key actors buy in to the GAPA process and are prepared to openly discuss strengths and challenges related to good governance at the PA/CA. Securing buy-in from the outset is crucial for fostering ownership of the results and ideas for action that emerge from GAPA. Note that you may have to review your feasibility assessment based on responses during your introductions.

📖   See Annex 2 for suggestions on what content to include in your introductions.

Output

✧   Brief feasibility report and decision to go ahead or not.

Tools

Table 4: Feasibility assessment template

Feasibility criteria	Yes/No	Comment
PA/CA has been in existence with management and governance systems in place and functioning for at least two years.		If no, do not do GAPA
The risk that conducting GAPA will create conflict between rightsholders and/or stakeholders, or exacerbate existing conflicts, is very small.		If no, do not do GAPA
PA/CA managers and other key actors are willing to work together on the assessment to maximise the accuracy and credibility of results and the likelihood of action.[16]		If no, do not do GAPA
Key actors are committed to addressing governance quality (good governance) issues by taking action (Phase V).		If no, do not do GAPA
It will be logistically possible for representatives of all key actors to have at least one day in a face-to-face meeting.		If no, focus on one zone/area of the PA/CA
The convenor can allocate someone with the necessary skills and time to take on the overall GAPA coordination (10–15 days over four weeks for Phases I–IV).		If no, do not do GAPA
The convenor is willing and able to support the follow-up 'taking action' activities over at least 12 months (a minimum of 10–15 days for Phase V).		If no, do not do GAPA
The convenor can arrange for a third-party facilitation team that PA/CA actors will regard as neutral, trustworthy and credible.		If no, do not do GAPA
The convenor can arrange for a third-party facilitation team that meets all the terms of reference in Annex 3.		If no, do not do GAPA
The convenor can arrange a lead facilitator who has experience facilitating focus group discussions and key informant interviews, a good understanding of governance and meets all the terms of reference in Annex 3.		If no, do not do GAPA
There are adequate financial resources to conduct all five phases of GAPA.		If no, do not do GAPA
The facilitation team will include at least one female facilitator and one female notetaker.		If no, find at least one female facilitator and one female notetaker

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16   By 'accuracy' we mean whether the results are an accurate reflection of the situation on the ground.

1.2 Review existing information

A review of existing information is useful to ensure that GAPA builds on current knowledge about the PA/CA. It is valuable for tailoring GAPA to the PA/CA and its social, cultural and environmental context and for defining both the scope of the GAPA and the priority good governance issues you will discuss.

A key output of this activity is a PA/CA site profile. You will use this during other GAPA activities, including the training of the facilitation team and producing the communications outputs.

Objective

To ensure GAPA takes full advantage of — and builds upon — existing information that is relevant to the design and implementation of the assessment.

Time required

At least 1 day, depending on how much information is available and how thorough you want to be.

Who facilitates?

The convenor or GAPA lead facilitator (if identified).

Who participates?

It is always a good idea to ask key actors for ideas on relevant information and where to find it.

Background information

The review of existing information serves five important functions.

1. To inform the design of the assessment — for example, with respect to:

   - Selecting a sample of communities that will give a representative picture of social, cultural and ecological differences across the area

   - Tailoring methods and tools to the cultural context — for example, cultural norms in some places may prohibit or inhibit one social group to speak in front of another (women speaking in front of men, young people speaking in front of elders/leaders and so on)

   - Planning fieldwork logistics — for example, accessibility of communities, likely weather conditions, and

   - Planning fieldwork to minimise any inconvenience to communities.

2. To identify relevant information and knowledge that will be an input to the assessment. For examples of types of information, see Box 5.

3. To build actor ownership and credibility of the assessment by recognising and respecting their information and knowledge.

4. To minimise political issues that could hamper the GAPA process and/or bias the results.

5. To minimise frustration that may be caused if GAPA is seen to be repeating previous studies.

Box 5. Types of information to look out for during Activity 1.2

- Demographic information from national censuses

- PA/CA management plans

- PA/CA management effectiveness assessments

- Socioeconomic baseline surveys

- Previous social or environmental impact assessments

- Impact evaluations of conservation and development projects related with the PA/CA

- Other social research on governance issues related to the good governance principles — on legal and customary rights, participation in decision making, equity and benefit sharing, transparency and accountability and so on, and

- Maps of PA/CA features and local government/administrative units (in digital form, if possible).

Reviewing existing information tasks

Task 1. Talk to key actors (convenor/GAPA lead facilitator)

Talk to key actors at the PA/CA as they may have relevant information to share that will help you complete the PA/CA site profile template in Annex 4. Key individuals include PA/CA managers, local government officials, community leaders, indigenous people's representatives and NGOs. As this is mainly a factual conversation, a phone call or email may be enough to get the necessary information.

📖 If you are meeting key actors to introduce the governance assessment, use the guidance in Annex 2 to prepare.

Task 2. Obtain and review existing documents (convenor/GAPA lead facilitator)

Step 1. Find out as much as you can about the PA/CA through published and non-published documents and other sources of information (see Box 5).

Step 2. Complete the PA/CA site profile.

📖 Use the PA/CA site profile template (Annex 4).

Task 3. Develop a proposal for the scope of GAPA (convenor/GAPA lead facilitator)

Use the site profile and the information from your discussions with key actor representatives to develop a proposal for the scope of GAPA. Remember to consider what makes sense with the available resources and logistical constraints. You will need to define:

▪ The geographic scope: you may have to focus on one zone/area within a larger PA/CA.

▪ The scope of related conservation and development activities:[17] this means any activity that has been designed to contribute to or affect conservation, such as sharing certain PA/CA-derived benefits or activities that are affected by conservation of the PA/CA, such as a water scheme that takes water from a source within the PA/CA.

▪ The recall period: this is the time period over which you will ask community members and key informants to remember governance-related issues. We suggest using a recall period of five years, and two years as a minimum. You could use a memorable event in local people's memory to help define the time period clearly to community members.

▪ The priority good governance principles: think about the five priority good governance principles for GAPA at the PA/CA. Develop a shortlist of up to eight principles for key actors to consider and further prioritise at the scoping workshop (Activity 2.1).

❖ **Reminder:** your GAPA must include three core principles on: participation in decision making; fair sharing of benefits **or** avoiding/reducing negative social impacts (on people); and transparency **or** accountability. (For more information see Section A, 3.1, on page 14 of this manual.)

❖ **Top tip:** We strongly suggest that sites that are likely to have issues with information sharing select transparency over accountability. It is futile to discuss accountability unless there are basic levels of transparency at the PA/CA. For example, actors cannot hold each other to account unless they have basic information on who is supposed to do — and who is actually doing — what.

Outputs

✧ PA/CA site profile

✧ Proposal for the scope of GAPA including:

▪ Proposal for geographic scope of the assessment

▪ Proposal for scope of associated conservation and development activities

▪ Proposal for recall period of the assessment

▪ List of suggested priority good governance principles.

1.3   Stakeholder analysis

A stakeholder analysis underway in a workshop in Kenya. Credit: IIED/Margret Waumba

Objective

To identify key actors who should be engaged in GAPA and participants for the scoping workshop (Activity 2.1).

Time required

1.5 hours

Who facilitates?

The convenor is responsible for conducting a good stakeholder analysis. If possible, the GAPA lead facilitator should help.

Who participates?

The convenor can undertake the stakeholder analysis in consultation with other staff at the convening organisation and/or the GAPA lead facilitator (if identified). You will do a second stakeholder analysis as a group exercise at the scoping workshop (Activity 2.1). Doing the analysis twice with two sets of people will ensure you do not miss any actor groups.

Background information

We have long used the term 'stakeholder analysis' to describe a method for identifying individuals and groups with interests in and/or influence over an initiative. In this context, the term 'stakeholder' has always included rightsholders. In this manual, we use the term 'actors' when referring to both groups but retain the term 'stakeholder analysis' for this specific method and the workshop tasks.

GAPA relies on engaging all relevant actors to:

- Maximise the accuracy of results

- Ensure the credibility of results, and

- Build commitment to using GAPA information to improve the PA/CA's social and governance performance.

A stakeholder analysis aims to assess both the interest of actor groups in the PA/CA's governance and their ability to bring about changes in governance — their influence over decision making. Note, we include all actors with interests or influence related to the PA/CA regardless of whether their impact on the PA/CA is positive or negative.

By actor group, we mean people who have similar interests and influence. Within the community, we conduct stakeholder analysis at this group level as it is impossible to consider the interests and influence of every individual.

A good stakeholder analysis is key to a good assessment. Even if you have previously completed a stakeholder analysis for PA/CA management planning process or a project related with the PA/CA, you should repeat the exercise. This is because the GAPA stakeholder analysis has specific parameters that a previous stakeholder analysis is unlikely to have fully addressed. Specifically, you are looking for actor groups that have an interest in the governance of the PA/CA. In the context of governance assessment, you could use GAPA's 11 good governance principles to help you identify relevant actor groups (see Box 6).

Box 6. GAPA's 11 principles of good PA/CA governance

Note: This box provides the same information as Box 2, but is replicated here for easy reference.

1. Recognition and respect for the rights of all relevant actors

2. Recognition and respect of all relevant actors and their knowledge, values and institutions

3. Full and effective participation of all relevant actors in decision making

4. Transparency supported by timely access to relevant information in appropriate forms

5. Accountability for fulfilling responsibilities and other actions and inactions

6. Access to justice, including effective dispute resolution processes

7. Effective and fair enforcement of laws and regulations

8. Effective measures to mitigate negative impacts on indigenous peoples and local communities

9. Benefits equitably shared among relevant actors based on one or more agreed targeting options

10. Achievement of conservation and other objectives, and

11. Effective coordination and collaboration between actors, sectors and levels.

The GAPA stakeholder analysis aims to characterise the interest and influence of each actor group on a four-point scale: high, medium, low or zero. Key actors/groups of actors are those that score medium or high for interest in PA/CA-related governance. The success of the GAPA process relies on engaging as many of these actors as possible.

Where possible, stakeholder analysis participants should include representatives of:

- Current PA/CA governance bodies at site level (if there are any): if there is a multi-level governance structure, make sure you include representatives from different levels of committees or boards, who have a good understanding of the theory and practice

- PA/CA management body at site level

- Indigenous peoples and local communities, including women and young people: ensure local governance structures that play a role in conservation such as community committees or user groups are captured, as well as representatives of community-based organisations including farmer and cattle producer groups, forestry or fishers' associations and tourism guiding groups

- Local government departments with key governance and management responsibilities related to conservation and development activities associated with the PA/CA. In Uganda, for example, a governance assessment at Lake Mburo National Park included the Uganda Wildlife Authority, but also public administrators from the local government and mayor offices who are responsible for disbursing funds related to the PA's revenue sharing programme

- Local, national or international NGOs that play an active and important role in conservation and development activities associated with the PA/CA, and

- The private sector — such as tourism, hunting, forestry or fishing businesses — where they have significant interest in issues of PA governance.

Stakeholder analysis tasks

Task 1. Identify interested state actors (convenor/GAPA lead facilitator)

Start by identifying state actors — in other words, state or parastatal organisations (or departments within them) — that have a significant interest in governance of the PA/CA and any related conservation and development activities. State actors could include environmental and conservation authorities, local government departments, universities and research organisations.

📖 Use the stakeholder analysis template (Annex 7) and the 11 good governance principles to guide you (Box 6).

Task 2. Rank their level of interest in GAPA (convenor/GAPA lead facilitator)

1. For each actor group you identify, consider their current level of interest in the governance of the PA/CA and any related conservation and development activities. Rank their interest as high (***), medium (**), low (*) or zero ( ).

2. Next, consider each group's level of power to influence decision-making affecting the governance of the PA/CA and any related conservation and development activities, marking it as high (***), medium (**), low (*) or zero ( ).

Repeat tasks 1–2 for non-state actors that who have a significant interest in governance of the PA/CA and any related conservation and development activities. This broader category may include:

- Communities located within and/or around the PA/CA (which may be represented through existing local leadership arrangements)

- Indigenous people's organisations

- Community-based organisations, such as farmers' cooperatives and women's associations

- Interest groups: social groups within communities that have specific common interests related to membership (eg women's groups, youth groups) and those with resource-based interests, such as fisheries associations, farmers groups.

- Marginalised groups: social groups within communities that tend to be marginalised in decision making, such as some women, ethnic minorities, religious minorities

- NGOs, and

- Private sector organisations — both for and not-for-profit.

Output

✧   Initial stakeholder analysis.

Phase I: Preparing

1.4   Assessment planning

You will need a well-thought-out assessment plan to guide the GAPA process. In this activity, you will create a draft assessment plan that you will revisit and revise during the training of the full facilitation team (Activity 1.5) and at the scoping workshop (Activity 2.1).

As part of this activity, you will also create a map of the PA/CA boundaries, basic physical features and location of communities within and around the PA/CA. This is important for identifying communities that are likely to have an interest in governance of the PA/CA and selecting sample communities for your focus group discussions.

Experienced GAPA facilitators discuss the assessment planning process at a learning workshop in Kenya. Credit: IIED/ Francesca Booker

Objective

To ensure that the assessment is implemented as a high-quality multi-stakeholder process in line with the guidance in this manual and that it is well adapted to the context of the target PA/CA.

Time required

1-2 days including identifying facilitators and notetakers

Who facilitates?

The convenor and the GAPA lead facilitator (if identified).

Who participates?

Planning should be done in consultation with the key actors who will host some of the GAPA meetings.

Background information

A **community map** displaying the different communities within and around the PA/CA is an important input to GAPA, as you can use it to select the communities and/or resource user groups to include.

You will need a map of the PA/CA boundaries that shows basic physical features including roads, rivers, shorelines in the case of marine areas. Overlay this with a 'community map' that shows the location and — if possible — the boundaries of communities within and surrounding the PA/CA. Some of these — especially indigenous communities — will be self-defined; but in most cases, communities are defined by the administrative local government units.

As a minimum, a community map should show the lowest level of local administrative, community or village unit. If possible, it should also show the level above this, together with all the units within it.

Another important input to GAPA is an **assessment plan**. This plan should unpack each main activity into specific tasks (as we have done in this manual). Using a standard work planning approach, the convenor and GAPA lead facilitator should describe the following for each task:

- The lead person, who is responsible for ensuring the task is implemented

- Supporting persons, who will help implement the task (and often do most of the work)

- Outputs of the specific task (though not all activities have a physical output), and

- A timeframe for implementation.

At this point, the convenor of the GAPA process needs to identify the members of the facilitation team. The most experienced facilitator should be the lead facilitator, in charge of the facilitation team. All facilitators should be someone all the key site-level actors consider to be impartial. They may well have an interest in conservation but should not show any bias towards the interests of any of the primary actors, such as specific communities or the PA/CA management.

Notetakers should have a good understanding of the local language and be able to take detailed notes of the governance assessment in the agreed language for reporting. They might include recent graduates, schoolteachers available during school holidays or administrators from the convening organisation or local community. You should avoid selecting notetakers whose presence at key informant interviews or focus group discussions might bias the information-gathering process.

    📖   Use the GAPA facilitation team terms of reference (Annex 3) to remind yourself of the selection criteria for facilitators and notetakers.

We recommend having three pairs in the team, each made up of one facilitator and one notetaker. One pair can concentrate on undertaking key informant interviews; the other two pairs can primarily undertake focus group discussions — and take on some key informant interviews when they have the time. You should have one all-female pair to undertake women's focus group discussions and lead interviews where female key informants do not feel free to talk with male interviewers.

Assessment planning tasks

Task 1. Identify the GAPA lead facilitator (convenor)

The lead facilitator could be someone from the convening organisation or a third party. Wherever they are from, this person should conform with the facilitator profile outlined in Annex 3.

📖   Use the GAPA lead facilitator profile (Annex 3).

Task 2. Read this manual (all relevant convening organisation staff and facilitators)

All staff who will be involved in GAPA — the GAPA lead facilitator, relevant convening organisation staff and other facilitators (when identified) — should read this manual.

Task 3. Create a community map (convenor, anyone with relevant knowledge)

You will use this map to identify where you should hold focus group discussions and who should be involved. One way to create this map is by following the steps listed below.

Step 1. Find a map of the PA/CA boundaries and basic physical features of the area. Simple maps are often available in the PA/CA management plan.

Step 2. Use a projector to display this map onto a piece of white flip chart paper fixed onto a wall. Now, trace the PA/CA map on to the flip chart.

Step 3. Start to draw on the location of communities in and around the PA/CA using dots or small circles.

Step 4. If you can, roughly indicate local administrative unit boundaries.

Step 5. Using your map and the site profile (from Activity 1.2), select the communities you will include in focus group discussions. From our experience so far, we suggest you undertake focus group discussions in:

- four to six communities for a relatively large PA/CA (eg > 500km^2)

- three or four communities for a smaller PA/CA (50-500km^2) and

- just two for a very small PA/CA (eg a PA/CA < 50km^2 may only have a few hundred households interested in it)

Step 6. Draw up a list of communities for focus group discussions. Make sure you capture the diversity of the area and its communities. For example, try to select communities with a range of socioeconomic backgrounds, different agricultural and resource management practices and different distances from the PA/CA. Where there are social groups with important common interests that may not be captured in general community-level discussions, include one or two special interest focus groups.

The list of characteristics to consider is not exhaustive. You should be guided by the site profile and your knowledge of the PA/CA to select a range of communities for focus group discussions as well as your proposed geographic scope for the assessment. Remember also to consider the amount of time you have available and the practicalities of visiting communities, including

challenging terrain or remoteness. It may be that you cannot feasibly reach certain communities within your timeline and budget.

▤   Use your site profile and the proposed geographic scope to guide this task (Activity 1.2 outputs).

▤   To find out more about focus group discussions, read the background information to Activity 3.1 on conducting the focus groups.

Task 4. Draw up an initial list of key informant interviewees (convenor)

Use the initial stakeholder analysis from Activity 1.3 and the information from your community map to draw up this list, selecting a range of actor groups in the following order:

1. Representatives of actor groups with high interest

2. Representatives of actor groups with medium interest

3. Representatives of actor groups with high influence

4. Representatives of actor groups with medium influence

5. If you still have key informant interview slots available, review the actor groups you have not yet included and decide whether it is important to include representatives of any of them.

We recommend planning to undertake 16–20 key informant interviews at a large PA/CA and/or where there is a very diverse range of keys actors; and 12–16 at a smaller PA/CA and/or where there is a less diverse range of key actors. Overall, there should be a minimum of 12 interviews and not more than 25.

▤   Use your stakeholder analysis (Activity 1.3 output) and your community map for this task.

▥   For more information on selection criteria, the Background information to Activity 3.2 on conducting the key informant interviews.

Task 5. Assign key informant numbers (convenor)

Step 1. Now you have an initial list of key informant interviewees, assign a key informant number to each one to preserve their anonymity. This can be a simple number from 1–25.

Step 2. Note this number on the key informant interview reporting templates, so that once completed, the reports do not identify individual respondents.

Step 3. Keep this information safe for future reference — for example, on a password-protected computer in a relevant folder.

Task 6. Select the other facilitators and notetakers who will support GAPA and participate in the training.

▥   Use the terms of reference in Annex 3 to help you with selection criteria.

Task 7. Arrange the logistics of a two-day training course, identifying a suitable trainer if the convenor or GAPA lead facilitator do not have the necessary expertise or experience to lead the training confidently.

Task 8. Develop a draft plan for implementing Phases II–V (lead facilitator and/or convenor)

Base your plan on the main GAPA activities listed in Table 3. Use the template plan in Annex 5 to create an assessment plan for your site or use another approach you are familiar with at your organisation. Make sure you specify your facilitator/notetaker pairs in your plan. We suggest using three facilitator/notetaker pairs:

- One for male focus group discussions and a few key informant interviews

- An all-female pair for female focus group discussions and a few key informant interviews, and,

- Another for key informant interviews only.

📖   Use the GAPA plan template in Annex 5 as a guide.

📖   Use Annex 3, GAPA facilitator's terms of reference as a guide.

Outputs

✧   A map marking the proposed communities and/or resource user groups to be involved in GAPA.

✧   Draft assessment plan for implementing GAPA.

✧   Facilitation team identified.

1.5   Training the facilitation team

The final activity in Phase I is a two-day training course for the facilitators and notetakers who will support the GAPA process. The purpose of this training is to ensure that they are sufficiently well informed, skilled and confident to lead an effective, fair and credible GAPA.

We recommend you undertake the two-day training course immediately before the scoping workshop, focus group discussions and key informant interviews in Phase II and Phase III of the process.. There is a lot of information to take in and people may forget important guidance if you do the training too far in advance. This will also make more efficient use of the facilitators' time, minimising the cost of the assessment.

Training of GAPA facilitator and notetaker team in Zambia. Credit: IIED/Francesca Booker

Objective

To establish a small team that has the knowledge and skills necessary for an effective, fair and credible GAPA process.

Time required

1 day preparation for trainer and 0.5 days for the convenor

2 days for the training workshop

Who facilitates?

An experienced GAPA trainer should deliver the training. This could be the GAPA lead facilitator if s/he is already an experienced GAPA facilitator from assessments at other sites. Otherwise, you could contact a national or regional-level GAPA expert for help with undertaking the training. Contact IIED for guidance on suitable national and regional experts.

Who participates?

All the facilitators and notetakers in the GAPA process. The reason for including notetakers as well as facilitators in the training is to ensure that the whole team understands the assessment methodology. This is essential for taking good quality notes and can be useful if a facilitator is unable to fulfil their role — for example, due to sickness.

Remember, we recommend having three facilitator/notetaker pairs: one to concentrate on key informant interviews and two to concentrate on focus groups (taking on some interviews if they have time). One pair should be all-female and lead women's focus groups and key informant interviews with women who would not be comfortable being interviewed by men.

Background information

GAPA training is important for ensuring that all facilitators and notetakers understand governance, the purpose of GAPA and their role within the GAPA process. It will also help strengthen their practical skills for facilitating group discussions, interviews and using other key methods and tools.

The training will spend a lot of time on the good governance principles to ensure the facilitators and notetakers understand the breadth of the principles and avoid narrowly conceptualising good governance according to their individual experience.

The two-day programme includes a group exercise on getting to know the good governance principles and practice sessions on using GAPA methods and tools. The group exercise will challenge facilitators to consider all the key aspects/themes of the good governance principles. Make sure you do this exercise in full, as the facilitators and notetakers need to understand the principles in full to be able to effectively undertake interviews and focus group discussions.

Training the facilitation team: preparation tasks

To prepare for the training, the convenor and GAPA trainer will need to undertake several tasks in advance of the workshop.

Tasks for the convenor

Task 1. Create slides or handouts on the PA/CA site profile (Activity 1.2), the assessment plan (Activity 1.4) and ethical conduct on consent and confidentiality.

📖 Use the GAPA facilitation team terms of reference (Annex 3).

📑 Use the PA/CA site profile (Activity 1.2 output) and the draft assessment plan for GAPA (Activity 1.4 output).

Tasks for the GAPA trainer

Task 1. Prepare a PowerPoint presentation to introduce governance, GAPA and the GAPA methodology.

🖰 Use the 'Governance assessment – slides for training facilitators' presentation on the IIED website (www.iied.org/gapa).

Task 2. Prepare and gather the following training materials for the group exercise 'Understanding the good governance principles':

- PowerPoint presentation explaining the group exercise

- Printout of the good governance principles and themes (Annex 1) for yourself and the trainees to use for reference during the training

- Eleven cards to stick on the training room wall for the group exercise. Each card should state one of the 11 good governance principles.

- Cards describing examples of governance issues for each of the 66 themes of the 11 good governance principles

🖰 Use the information in Annex 1, and the guidance in Annex 8.

- A4-size card or paper and marker pens for the workshop.

🖰 Use the good governance principles and themes (Annex 1) and the understanding governance exercise (Annex 8).

Task 3. Prepare printouts of the following to give as handouts to participants for practice sessions:

📖 Provide each participant with a copy of the sections of this manual that relate to Phases II, III and IV, Annex 1, Annex 7, Annex 8, and Annex 9.

Training the facilitation team tasks: Workshop Day 1

Task 1. Open the workshop (convenor)

Ask all the facilitators and notetakers to introduce themselves. If necessary, describe some norms (ground rules) for the workshop.

Task 2. Share the workshop objectives (convenor and/or trainer)

Introduce and explain the objectives of the two-day training workshop, which are to:

- Understand governance and the principles of good governance

- Understand the governance assessment process, and

- Practise the governance assessment methods and tools.

Emphasise why you selected the facilitators and notetakers: because they are independent and trusted individuals who will work together as a team to help guide key actors through the GAPA process at [insert name of PA/CA].

Task 3. Introduce the concept of governance (GAPA trainer)

🗐 Use the PowerPoint training slides created as part of the preparation for all these steps.

Step 1. Ask participants what they think governance means, capturing their thoughts on a flip chart.

Step 2. Use your pre-prepared slide to summarise 'What is governance?'

Step 3. Inform participants of the purpose of GAPA, using your pre-prepared slide, 'Why do a governance assessment?'

Step 4. Introduce the good governance principles. At this point, do not explain them; just summarise them. Inform participants that GAPA can only cover five good governance principles due to time and quality of discussions, emphasising that these must include three of the following core good governance principles: participation in decision making; fair sharing of benefits **or** avoiding/reducing negative impacts (on people); and transparency **or** accountability.

Task 4. Run the group exercise 'Understanding the good governance principles' (GAPA trainer)

Explain that the purpose of the exercise is to understand the good governance principles better. Too often, we think of the principles too narrowly; this exercise shows us that each good governance principle has several different aspects (or themes).

An example of task 4, steps 1-6 from training in Zambia . Credit: IIED/Francesca Booker

Step 1. Together, look at the eight good governance principles that were prioritised during the review of existing information (Activity 1.2). Explain that for this exercise, you will spend time understanding all 11 good governance principles, as the priority good governance principles could change at the scoping workshop (Activity 2.1).

⬚   Use the list of priority good governance principles (Activity 1.2 output).

Step 2. Add the 11 pre-prepared good governance principles cards to the wall of the training room. Use your printout of the good governance principles and themes to briefly summarise the different aspects/themes of each principle. Do not hand out Annex 1 to the facilitators or notetakers until after this group exercise. For now, just use Annex 1 as a reference for the trainer only.

⬚   Use the good governance principles and themes printout (Annex 1).

Step 3. Split participants into three pairs, each with a facilitator and a notetaker. The convenor can also join one of the pairs. Number each team, so you have Pair 1, Pair 2 and Pair 3.

Step 4. Distribute the pre-prepared card handouts describing examples of governance issues for each of 66 themes of the 11 principles, giving each pair an equal number of cards. Make sure you have mixed the cards/papers, so that each pair receives one or more example related to each of the 11 of the good governance principles.

Step 5. Tell each of the pairs to number their cards with their number — so, 1, 2 or 3. This will help you gauge which have a good understanding of the principles and which need more guidance.

Step 6. Ask participants to work in their pairs to decide which principle each card corresponds to. Once they have made their decision, they should stick the card on the training room wall under the corresponding good governance principle. If they think a card is relevant to multiple good governance principles, they should add an * to the card and place it under the good governance principle they think it is most relevant to.

Step 7. Now use your printout of the good governance principles and themes (from Annex 1) to help you review the pairs' placement of the cards. Start with one principle — for example, participating in decision making — and, taking each card in turn, check whether they have placed them correctly. If a card does not relate to a principle it has been placed under, ask the pairs to think about where else it might be placed. Where a card has been marked with an *, ask what other good governance principle they thought the card related to and why. Always inform them why a card has been incorrectly placed; this will reaffirm the meaning and breadth of the good governance principle you are discussing.

At first, you may find that you are doing a lot of talking. But as the facilitation team becomes familiar with the principles, they will probably take over, suggesting which principle you should move incorrectly placed cards to. Make sure that you push each pair to take part in this exercise and take over the review process.

Step 8. Next, taking each principle in turn, ask: "What changes might be needed (specific examples) in the next five years to contribute to this principle at [insert the name of the PA/CA where you will apply GAPA]?

Step 9. Ask participants to write down their ideas on pieces of card (one idea per card) and stick these on the wall under the relevant principle. Then hand out the printout of Annex 1 and review their ideas, explaining how they relate to the different themes, or, if they don't fit, discuss adding a new theme to the framework. Are there any themes of the good governance principle for which there are no ideas? If so, ask participants to think of ideas for at least some these missing themes.

Step 10. Once you have at least one idea for each theme, summarise these to the participants. Make sure that they understand all the themes and that the themes convey the breadth of the good governance principle. It may be that some examples do not fit under any of the themes. In this case, we may need to add another theme to our framework or broaden our description of an existing theme. If you think you have identified an additional theme, we would love to hear about it (please get in contact with IIED).

Step 11. Repeat Steps 8-10 for the other ten good governance principles.

Task 5. Run the group exercise: translate the principles into local language(s) (GAPA trainer)

As a team, translate the simple phrasing of the good governance principles (Table 5) into the appropriate local language(s). Make sure the translation is broad enough that it covers as far as possible the full meaning of the principle — remember all the themes you just discussed! For example, 'fair benefit sharing' relates to all sorts of benefits, so do not translate it in a way that means fair sharing of monetary/economic benefits only. You could even get someone to re-translate your principles back to English to check you have covered the full meaning of the principles.

Table 5. Good governance principles: simple phrasing and key words used when translating to local languages

	Good governance principles in full	Simple phrasing and <u>key words</u>
1	Recognition and respect for the rights of all relevant actors	Recognition and respect for <u>rights</u>
2	Recognition and respect of all relevant actors and their knowledge, values and institutions	Recognition of actors and their <u>knowledge, values and institutions</u>
3	Full and effective participation of all relevant actors in decision making	<u>Participation</u> in decision making
4	Transparency supported by timely access to relevant information in appropriate forms	<u>Transparency</u> and information sharing
5	Accountability for fulfilling responsibilities and other actions and inactions	<u>Accountability</u> for actions and inactions
6	Access to justice, including effective dispute resolution processes	<u>Dispute resolution</u> processes
7	Effective and fair enforcement of laws and regulations	<u>Law enforcement</u>
8	Effective measures to mitigate negative impacts on indigenous peoples and local communities	Avoid or <u>reduce negative social impacts</u>
9	Benefits equitably shared among relevant actors based on one or more agreed targeting options	<u>Fair benefit sharing</u>
10	Achievement of conservation and other objectives	<u>Achievement of</u> conservation and other <u>objectives</u>
11	Effective coordination and collaboration between actors, sectors and levels	<u>Coordination and collaboration</u>

Step 1. Keep a record of the translated good governance principles on a PowerPoint slide or an A4 card. The facilitators will need these translations for use during GAPA workshops, key informant interviews and focus group discussions.

❖ **Top tip**: It is important that all facilitators and notetakers use the same language to describe each principle. Doing the translation as a group exercise will ensure the teams use consistent terminology.

Step 2. As a team, discuss and agree on a translation of the terms 'governance', 'good governance', 'assessment', 'what is working well', 'what is not working well' and 'ideas for action' in the appropriate local language(s).

Task 6. Ensure everyone is familiar with the PA/CA (convenor)

Use your pre-prepared presentation or a printout to summarise key information about the PA/CA site profile and study the profile together to ensure everyone in the team understands the PA/CA before starting GAPA. Give participants time to ask questions and share experiences and reflections that are pertinent to the site profile. The convenor (if different to the trainer) should facilitate this task, or the individual who was responsible for completing the site profile.

▣   Use the site profile slides or handout created during the preparation tasks.

Training the facilitation team tasks: Workshop Day 2

Task 1. Give an overview of GAPA (GAPA trainer)

Use your pre-prepared presentation to give an overview of GAPA, summarising the key activities of the GAPA process, including the five phases, the roles of facilitators and notetakers, the multi-stakeholder workshops and the information gathering methods.

▣   Use the GAPA presentation you created in the preparation tasks.

Keep emphasising to workshop participants that GAPA uses a multi-stakeholder, self-assessment process. Their role as facilitators and notetakers is to help local actors make the self-assessment, not to make the assessment or pass judgement. This is important because many of participants will assume that the outsiders are doing the assessment, as this is what they are used to.

Task 2. Give an overview of the scoping workshop (GAPA trainer)

Ask participants to read the guidance on the scoping workshop (Activity 2.1), then summarise the key activities of the scoping workshop and answer any questions.

Task 3. Practise the stakeholder analysis tool (GAPA trainer)

Take time to practise using the stakeholder analysis tool, which you will use during the scoping workshop, following the guidance detailed in Activity 2.1. Make sure that both facilitators who will lead the stakeholder analysis group exercise at the scoping workshop practise. Ask the other facilitator(s) and notetakers to role play as participants at the scoping workshop.

Task 4. Practise information gathering, analysis and assessment methods (GAPA trainer)

Take time to practise focus group discussion and key informant interviews.

▣   Follow the guidance detailed in activities 3.1, 3.2. 3.3 and 4.1 and Annex 9.

Step 1. Split into groups to practise a focus group discussion. Make sure all facilitators take turns to lead the discussion — they could take one good governance principle each. The notetakers and other facilitators can role play as community members.

Step 2. Debrief participants following the practice focus group discussion. Ask them to share their reflections on what did and did not work. Share your tips with them, informed by your experience. If facilitators use closed or leading questions, suggest alternative ways of phrasing the questions or directing the discussion.

Step 3. Split participants into pairs to practise a key informant interview, with notetakers role playing as interviewees.

Step 4. Come back together as one group for debrief. Ask facilitators and role players to share their reflections on what did and didn't work. Share tips with them. Again, make sure to highlight if facilitators used closed or leading questions and suggest alternative ways of phrasing the questions or directing the interview.

Step 5. Make sure the notetakers are clear on their role during the practice discussions and interviews. They should take detailed notes on their notepads, summarising these immediately afterwards (or at least on the same day) using the reporting templates from Annex 9. Explain to the facilitator/notetaker pairs that it is a good idea for facilitators to sit with notetakers to complete the reporting templates after the first few focus group discussions and key informant interviews. After this, tell them to be make sure they at least review all the completed reports — if possible, on the same day the notetakers write them.

Step 6. Ask the facilitators to read the guidance on the group analysis (Activity 3.3), then summarise the key activities of the exercise and answer any questions.

Step 7. Ask the facilitators to read the guidance on the assessment workshop (Activity 4.1), then summarise the key activities of the day and answer any questions.

Task 5. Introduce the GAPA assessment plan (convenor)

Step 1. Present the proposed assessment plan to facilitators and notetakers, and allow time for suggestions to improve the plan.

▤   Use your pre-prepared PowerPoint slide or a printout.

Step 2. Discuss the proposed scope of GAPA including the geographical scale and scope of associated conservation and development activities. Give participants time to ask questions and make any suggested changes.

▤   Use the proposed scope from assessment planning (Activity 1.4).

Step 3. Make sure everyone understands their role during the next parts of the GAPA process, including the scoping workshop (Activity 2.1), information gathering through focus group discussions and key informant interviews (Activities 3.1 and 3.2) and the assessment workshop (Activity 4.1).

Step 4. Ensure that all facilitators and notetakers have the resources they need to undertake GAPA: a copy of this manual (or the relevant sections), phone credit, pens, card and the interview and discussion reporting templates from Annex 9.

Task 6. Outline the principles of ethical conduct (convenor)

It is important that all team members understand best practice for undertaking social research, including GAPA. Although you or the trainer may have already discussed some of the issues we list here during key informant interviews and focus group discussions training, we advise you reemphasise the following points.

- Remind facilitators and notetakers that they should treat all GAPA participants with respect. They should keep information confidential and not share any participants' specific comments with others outside the GAPA facilitation team. Crucially, they should not identify participants to others or attribute specific results to certain individuals or groups of individuals.

- Emphasise to facilitators and notetakers that they should only undertake key informant interviews, focus group discussions and meetings with participants' informed consent. In other words, they must explain the purpose of process, what is involved and what will happen to the information they collect before asking people to agree to take part. Remind facilitators and notetakers that they must not skip this step in the process and that participants have the right to withdraw their consent at any point of the process.

- Decide together who is the key contact point for the assessment. This person will be responsible for listening and responding to any concerns from participants or other site stakeholders during the GAPA process. We suggest that this contact should be someone at the convening organisation or the GAPA lead facilitator. Make sure all facilitators and notetakers know who the key contact point is and ensure that they have their contact details so they can direct participants accordingly.

A facilitator and notetaker practicing a key informant interview in Zambia during training. Credit: IIED/Francesca Booker

2. Phase II: Scoping

2.1 Scoping workshop

The one-day scoping workshop is the first multi-stakeholder workshop of the GAPA process. The workshop is important for making sure key actors have a basic understanding of governance and GAPA, identifying the key actors to involve in GAPA and identifying priority good governance principles to include in GAPA.

You will need to make sure you are well prepared for the scoping workshop. The convenor and facilitators should meet during the day(s) before the workshop to prepare.

Workshop participants discussion key actors around their conservancy. Credit: Laikipia Wildlife Forum (LWF)/ Margret Wambua

Overall objective

To introduce the governance assessment to key actors around the PA/CA and gain their insights to shape the scope of the assessment.

Specific objectives

1. To ensure participants have a basic understanding of governance assessment

2. To review and finalise the choice of priority good governance principles

3. To identify key actors to involve in the governance assessment

4. To review and finalise the plan for focus group discussions, key informant interviews and the second stakeholder workshop

Time required

2–2.5 days

- About 0.5 days for preparation

- 1 full day for the workshop, and

- 1 full day to produce the outputs.

If some of your participants cannot attend the full-day workshop, you may consider holding the workshop over two consecutive mornings or afternoons. For example, at a GAPA site in coastal Kenya, many of the participants fish in the morning, so the workshop was held over two afternoons.

Who facilitates?

When deciding which facilitators should lead the different workshop sessions, consider:

- Previous experience with workshop facilitation and using the group exercise tools

- The gender balance of the team — remember, there should be at least one male and one female facilitator, and

- Ability to speak the appropriate local language.

Make sure the notetakers are well prepared for the workshop and know who they are aiding in group exercises and when you want them to take detailed notes.

Who participates?

You should strive to include 15–25 representatives of the key actors, organisations and groups and sometimes individuals. The total number of participants depends on the size of the PA/CA and the diversity of actors — so, you will have fewer participants in a small PA/CA or in one with little diversity of actors.

You will need to make a list of GAPA participants.

▤   Use the stakeholder analysis (Activity 1.3 output)

Prioritise representatives of actors with high interest in the PA/CA and associated conservation and development activities, regardless of their level of influence over decision making. In other words, their level of interest, rather than their influence, defines them as stakeholders.

When selecting participants, remember that you want individuals who can share the perspectives of the people or organisations that they represent. You also want a range of participants so you get, as far as possible, the perspectives of all the key actors at community level, including men and women, young and old, wealthier and poorer and of different ethnic groups. Consider inviting representatives of:

- Current PA/CA governance bodies at site level (if there are any)

- PA/CA site-level management

- Indigenous peoples and local communities

- Local government departments

- NGOs, and

- The private sector.

Finally, it is important to consider the power dynamics of the first stakeholder workshop. Do not invite people such as senior government officials and politicians, who may make other participants unwilling to speak freely. You should make them aware of GAPA, and invite them to the assessment workshop (Activity 4.1). For participation in the scoping workshop, senior officials should delegate to mid-level staff.

Background information

GAPA scoping is about defining the priority issues and boundaries of the assessment. The scoping workshop is important for making sure key actors at the PA/CA understand the purpose of GAPA and have a chance to tailor it to their needs. This should build ownership and increase the chances of action to improve governance at the PA/CA.

You will need to consider five aspects of GAPA scoping:

1. **Geographic boundaries** of the PA/CA or zone within the PA/CA, where the PA/CA is too large to be covered in one assessment

2. Range of PA-associated **conservation and development activities** to be covered

3. **Recall period** (period of time over which experiences will be gathered)

4. Choice of **good governance principles** against which governance performance will be assessed, and

5. **Actors to be engaged** in GAPA.

You should have discussed the first three in the review of existing information (Activity 1.2). During this scoping workshop, you should present your proposals for these areas, capture feedback and amend as necessary.

For the other two key scoping issues you need to address in this workshop (4 and 5 above), you should ask participants to review the initial shortlist of eight good governance principles (shortlisted in Activity 1.2) and prioritise five for the assessment. This should include the three

core principles — participation, transparency or accountability, and benefit sharing or negative impact mitigation.

We use a group exercise — stakeholder analysis — to define the scope of the actors to be engaged in GAPA. Although the tool is conventionally called stakeholder analysis, we use the term actors in the guidance as the tool should identify people with rights (rightsholders) as well as people with interests (stakeholders), ie actors = stakeholders + rightsholders. Note that with a stakeholder analysis it is important to clearly define the thing that actors may have a stake in. In this case we are identifying actors with interests and/or rights in the PA/CA and its associated conservation and development activities. Remember to pay attention to interests/rights that may be affected by one or more of the five prioritised governance principles.

Scoping workshop preparation tasks

To prepare for the scoping workshop, the GAPA convenor, facilitators and notetakers need to undertake several tasks in advance.

Tasks for the lead facilitator (with help from the convenor where appropriate)

Task 1. Prepare a PowerPoint or flip chart presentation to introduce GAPA, its purpose and methodology. Make sure you clearly communicate and emphasise that:

- GAPA will capture the strengths and challenges of current governance arrangements. Don't forget the strengths! Some actors may get nervous if you only focus on the challenges and you could lose support for GAPA.

- GAPA is a multi-stakeholder process that will include all key actors in and around the PA/CA in making the assessment, ie it is a self-assessment.

- The assessment will take place at a workshop on [insert date of the assessment workshop] (Activity 4.1). Various participants of the GAPA process — including the participants of this workshop happening today — will take part in the self-assessment of governance strengths and challenges at the PA/CA at this workshop.

- GAPA facilitators will not pass any judgement about the current governance arrangements at the PA/CA. Their role is to gather information on the strengths and challenges of current governance arrangements and to help the actors involved in the GAPA process make a final assessment of governance strengths and challenges and propose ideas for action. One of the selection criteria for choosing facilitators is their independence.

☝ Use 'An introduction to governance and GAPA' presentation on the IIED website (www.iied.org/gapa).

Task 2. Prepare a PowerPoint or flip chart presentation to introduce the proposed geographic scope of the assessment and the scope of the conservation and development activities associated with the PA/CA.

☝ Use the 'Proposed scope of GAPA' presentation on the IIED website (www.iied.org/gapa).

📑   Use the proposals for geographic scope of the assessment and for scope of associated conservation and development activities (Activity 1.2 and 1.4 outputs).

Task 3. Get the necessary stationery and prepare the cards for the stakeholder analysis group exercise (see Box 7) and task notetakers to set up the room at the start of the scoping workshop. It is also a good idea to practise this exercise with facilitators to be sure they understand the group exercise before the scoping workshop. It is also a good idea to practise the group exercises with facilitators to be sure they understand them before the scoping workshop.

Task 4. Prepare a PowerPoint or flip chart presentation to introduce the good governance principles, highlighting the three core principles and the others that GAPA might prioritise, as informed by Activity 1.2. Think carefully about how you will facilitate the selection of priority principles. Use an approach that is appropriate to the cultural or formal protocols in your country or at the specific PA/CA site. For example, you might vote in plenary, make decisions via consensus or split into two groups to discuss and make proposals. Think about whether certain actor groups should get preferential treatment — for example, you may favour the priorities of representatives of indigenous peoples and local communities.

🖰   Use the 'Selecting the priority good governance principles' presentation on the IIED website (www.iied.org/gapa).

Task 5. Prepare a PowerPoint or flip chart presentation to introduce the GAPA information gathering methods — including key informant interviews, focus group discussions and the assessment workshop — as well as the process and plan.

🖰   Use the 'Introducing the GAPA methods, process and plan' presentation on the IIED website (www.iied.org/gapa).

Task 6. Prepare a scoping workshop agenda. Workshop participants usually like to see an agenda when they arrive at a workshop.

📖   Adapt the sample scoping workshop agenda in Annex 6.

Scoping workshop tasks

Task 1. Open the meeting (convenor/lead facilitator)

Follow the normal practice in your locality for opening this type of meeting. This may involve asking one of the participants to formally open and chair the meeting. If you can, make sure that this person understands the purpose of the meeting and the governance assessment. Ask all participants to introduce themselves and say who they are representing at the workshop. Make sure all the facilitators and notetakers introduce themselves to the workshop participants before moving on to the next task. If necessary, introduce some norms (ground rules) for the meeting.

Task 2. Explain the objectives (convenor/lead facilitator)

First, explain the overall objective of the assessment, which is to strengthen the governance of [insert name of PA/CA] so that it can better achieve its social and conservation goals.

Box 7. Preparing the stakeholder analysis group exercise

You will need:

- Marker pens
- Three different colours of A4 sheets of paper/card (for example, yellow, pink, blue)
- Sticky tape (one roll per group)

On the workshop day (facilitators and notetakers)

Prepare your stakeholder analysis exercise and set up the room before the scoping workshop begins. For example, while you wait for workshop participants to arrive, you could:

- Find a good space on a wall for each of the three groups to use during the group exercise (Task 6), where people can arrange their seats in a semicircle to view the wall. Try not to place the groups too close together, otherwise people will struggle to hear the discussion.
- Stick three headings on the wall — stakeholder group, interest and influence — each on a separate piece of A4 card.
- Under 'interest' and 'influence', add blank cards for use in the group exercise.

See the graphic below to guide your preparation, and Annex 7 for a simplified completed version.
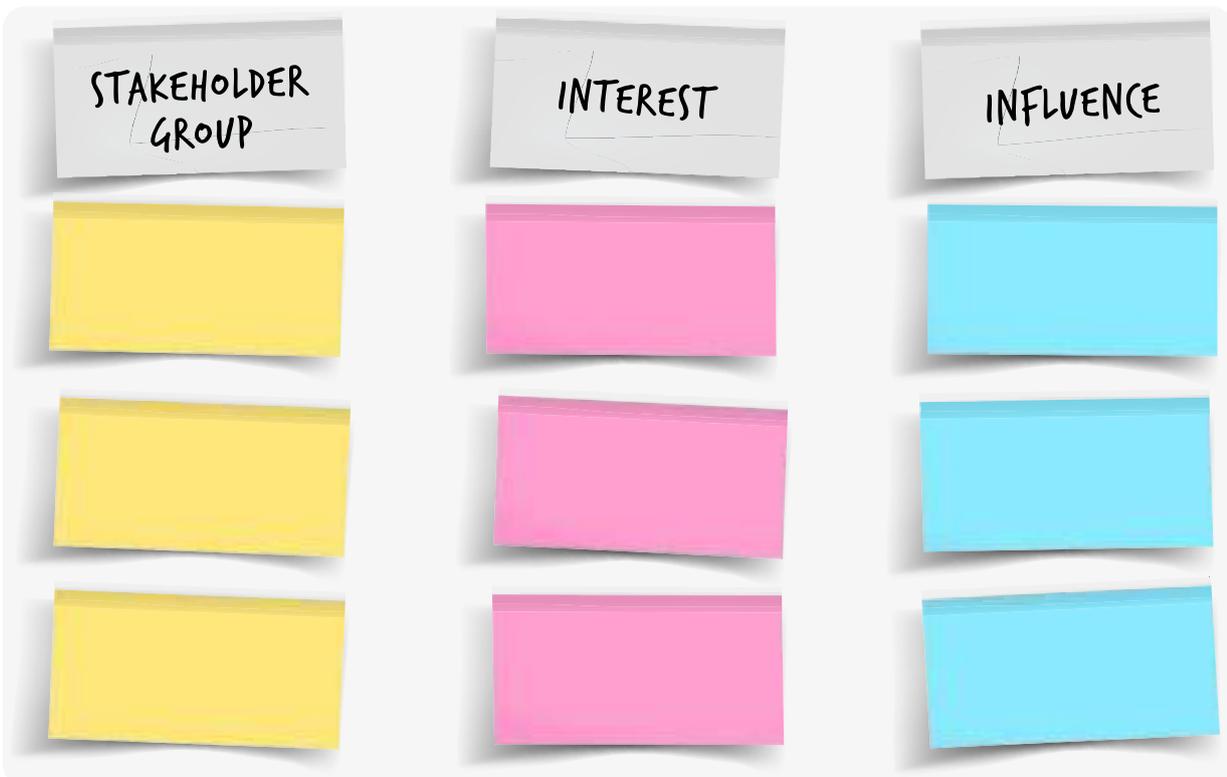
Then, move onto the general objective of today's workshop, which is to tailor GAPA's design so it best meets the needs of key actors at [insert name of PA/CA], while ensuring that it is manageable in terms of cost and demands on the time of key actors.

Make sure you emphasise that participants have been specifically invited to attend the workshop as local experts and representatives of key actors to help scope and tailor GAPA for the [insert name of PA/CA].

At this point, you can ask participants if they have any questions before the meeting proceeds. Note that you will probably answer some of their questions in the next presentation, so it might be best to keep questions to points of clarification.

Task 3. Explain the concept of governance, the good governance principles and GAPA (convenor/lead facilitator)

▤   Use the GAPA PowerPoint or flip chart presentation created during the convenor's preparation tasks. The presentation should cover:

- What is governance?

- What is governance assessment? And why undertake a governance assessment?

❖   **Top tip**: Don't spend too long trying to 'educate' people on the good governance principles. Instead, summarise the principles and allow time at the end of the presentation for questions.

Task 4. Summarise the aspects of scope that have already been discussed and make sure participants understand and agree.

1. **Geographic boundaries** of the PA/CA or zone within the PA/CA

2. Range of PA-associated **conservation and development activities**

3. **Recall period**

4. Choice of **good governance principles**, and

5. **Actors to be engaged** in GAPA.

Give participants time to ask questions and discuss and agree on any suggested changes.

▤   Use the PowerPoint or flip chart presentation created during preparation to introduce the proposed scope of the assessment.

Task 5. Select the five-priority principles for the assessment (convenor/lead facilitator or member of facilitation team)

▤   Use the presentation you prepared on the eight prioritised principles to be included in GAPA.

Step 1. Present the shortlist of eight priority principles. Remember also to highlight which principles you are proposing should not be included in case workshop participants have a different opinion. Explain that GAPA must include three core good governance principles on:

participation in decision making; fair sharing of benefits **or** preventing and reducing negative impacts on people; and transparency **or** accountability. Decide on the three core good governance principles to include in the assessment.

Step 2. Discuss and confirm the choice of two other priority good governance principles to also include in the assessment, so you have five in total.. If participants disagree, you could use voting or continue discussion until there is consensus.

Task 6. The stakeholder analysis group exercise (two members of the facilitation team and notetakers)

Step 1. Introduce the exercise in plenary. Explain that you are doing a stakeholder analysis to ensure that all key actors are included in the GAPA multi-stakeholder process.

Step 2. Split workshop attendees into two groups to undertake the analysis, allocating a facilitator and notetaker to each group. Tell one group they will consider relevant civil society actors, such as community-based organisations, interest groups, NGOs and networks. Tell the other group they will consider relevant state and private sector actors, such as government, parastatal organisations and companies. When dividing participants into groups, consider the actors they are familiar with; place community leaders and NGO representatives in one group and government or private sector representatives in the other.

❖ **Top tip**: Before you begin the group exercise, ensure that everyone is sitting in a semicircle around the wall where you will display the stakeholder analysis. Make sure all participants can contribute and hear each other speak.

Step 3. Remind the groups of the agreed geographical scope, scope of conservation and development interventions and priority principles. Make sure everyone has the same understanding. Emphasise that the focus of the exercise is actors with interests and/or rights in the PA/CA and its associated conservation and development activities.

Step 4. Identify different organisations and groups of individuals (rightsholders or stakeholders) that have an interest in the governance of the [insert name of PA/CA] and its associated conservation and development activities. Remember to think about governance from the perspective of the five good governance principles that you have prioritised. The facilitator or notetaker should write the names of each of these organisations and groups of individuals on separate cards.

Step 5. Organise the cards, merging similar actors onto one card. Use sticky tape to place them in the first column of the table (see Box 7). With the group, review the list to identify any actors that you may have forgotten, paying attention to interest/rights that may be affected by one or more of the five governance principles.

Step 6. Taking each actor/stakeholder card in turn, assess:

- Their level of interest in [insert name of PA/CA] and associated conservation and development activities, and

- Their level of power to influence decision making related to [insert name of PA/CA] and associated conservation and development activities.

Mark high interest/influence with three asterisks (***); medium interest/influence with two (**); low interest/influence with one (*); and no interest/influence with none ( ). Clarify that interest may relate to something they consider a positive impact or a negative impact, but there is no need to distinguish these. Similarly influence may be supportive of conservation (positive) or might be regarded — at least by some actors — as undermining conservation (negative).

❖ **Top tip:** If participants disagree on the level of interest or influence, facilitate a discussion to understand their reasons for different scoring. For example, an organisation may have once had high interest, but it has changed over time. Write down the score that is based on consensus among the group. Remind participants that in this exercise, we are just as interested in the discussion as the final scores. Avoid having participants just shouting scores — try to get them to consider together why they think there is high, medium, low, or no interest.

Step 7. Ask both groups to present their stakeholder analyses in plenary. The group presentations should mention any cases of disagreement over an actor's level of interest and/or influence.

There are several approaches to group presentations and feedback (see Box 8). For this exercise, we suggest you use Approach B, as this is a nice exercise that participants can easily present back to other workshop participants.

Step 8. Finish each feedback presentation by asking the other group for comments. These can be points for clarification, assessments of interest and/or influence that other workshop participants disagree with, and so on.

Step 9. Close the group exercise by explaining that the facilitation team will use the results to refine an initial stakeholder analysis done in GAPA Phase I (Activity 1.3). Note that it may not be possible to include all the actors that participants identified, but that the team will endeavour to include all those that have a high level of interest and/or influence in [insert the name of the PA/CA].

Task 7. Practise key informant interviews (one facilitator and notetaker pair)

While Task 6 is ongoing, one of your facilitator/notetaker pairs could conduct a key informant interview with one of the meeting participants. This is a good idea if you have three facilitators, as you only need two for Task 6. We suggest interviewing a meeting participant who is very busy and is going to be hard to make an appointment with.

Task 8. Explain GAPA approach and methodology (convenor/lead facilitator or member of facilitation team)

🗐 Use the presentation you prepared to explain the GAPA approach and methodology, including the key informant interviews, focus group discussions and workshops.

In brief, describe the process from Phase I to Phase V. Remind participants of the roles of the convenor and the facilitation and notetaking pairs. If useful, use this session to plan times and locations for interviews and focus groups discussions, especially if many of the workshop participants will be key informants or if they can help you arrange focus group discussions in communities. You could also use this session to discuss the potential opportunities for taking up ideas for action in Phase V. For example, you could ask key actors what opportunities they think

there are for taking up GAPA results in their or other actors' current planning processes, projects or new planned work.

Box 8. Approaches to group presentations and feedback

A. Facilitator presentations

The group facilitator presents their group's findings to the participants of other groups in plenary, after discussing briefly with group members the key issues to highlight. This will avoid long presentations and draw attention to pertinent points that wider workshop participants might want to discuss.

B. Group participant presentations

A group participant presents the findings of their group exercise to the participants of other groups in plenary. The facilitator and the presenter should discuss briefly with their group members the key issues to highlight bearing in mind the time available. This will avoid long presentations and draw attention to pertinent points that wider workshop participants might want to discuss.

C. Rotating group presentations

If time is limited, ask the participants of each group to move simultaneously to the other groups' workshop space and review their group exercise findings. Facilitators do not rotate with their group; and should stay with their group's findings and summarise the results to the rotating groups. The facilitator should discuss briefly with their group members the key issues to highlight to the other rotating groups, bearing in mind the time available.

Task 9. Explain next steps and close the workshop (convenor/lead facilitator)

Follow the normal practice in your locality for closing this type of meeting. Thank participants for their time, ensure you have their contact details and that they know they are all invited to the assessment workshop on [insert date]. Give participants the agreed contact details of the key contact point at the convening organisation (as agreed in Activity 1.5), explaining that they can contact this individual if they have any questions or concerns after this workshop.

Task 10. Update your assessment plan. You should build on the draft created in Activity 1.4, Make sure you update the list of key informants and communities selected for focus groups, if necessary, to take account of the results of the stakeholder analysis.

Outputs

✧   Brief workshop report summarising: any changes to the geographic area or scope of interventions to be covered by GAPA; the five priority principles and reasons they were chosen; two tables displaying the stakeholder analysis; and any notes of discussions in plenary.

✧   Updated assessment plan.

3. Phase III: Information gathering

3.1 Focus group discussion

Focus group discussions capture the perspectives of community members on governance strengths and challenges at the PA/CA. Remember that a focus group discussion is not a collective interview, rather it is a facilitated discussion between participants to stimulate broader and deeper reflection on the issues.

Make sure you think about the timing of these discussions, ensuring it is appropriate for both female and male participants. For example, morning times might not be appropriate if women must collect water or if it is the best time of day for men to go fishing. Try your best to pick a time that will not place a burden on participants. Be sure to notify participants that the focus group discussion will take 2–3 hours and let them know if you will provide food or drink.

Women around a PA/CA in Uganda take part in a focus group. Credit: IIED/Francesca Booker

Objective

To identify and understand some key governance strengths and challenges at the PA/CA from the perspectives of different social groups among local people.

Time required

2–3 hours

At first, it will take you 2–3 hours, but as you gain more practice, you will be able to do it in around two hours. If possible, plan to hold focus group discussions in two different communities, resource user groups and/or special interest groups in one day (don't try to do more).

Who facilitates?

Facilitators with support from notetakers.

Who participates?

During the assessment planning (Activity 1.4) you decided which communities, special interest groups or resource user groups will take part in focus group discussions to get a good picture of the variation in governance issues across the area. Now you need to decide who within these communities or groups should attend.

We suggest the following criteria for selecting participants:

- A balance of women and men

- A range of ages — do not forget representatives of young people

- A range of socioeconomic backgrounds — for example, richer and poorer

- Indigenous peoples, peoples from different religions, ethnicities etc.

- A range of representatives of resource users and livelihood types that reflects the balance within that community, eg mostly farmers if the majority are farmers and mostly pastoralists if the majority are pastoralists, and at least some representation of significant minorities.

For community groups invite 15 women and 15 men from each sample community. If your area has a low turnout for such meetings, then invite more people in the hope that at least 15 women and 15 men will turn up. In each community, you should run two focus group discussions in parallel — one for women and one for men — unless the women are used to speaking their minds in front of men, in which case one group with 7–8 men and 7–8 women should be OK.

Be careful to avoid inviting the same people who often attend community meetings. In other words, try to reach out to people who do not normally get invited to such meetings. Often, you will have to depend on a local host — for example, a community representative or PA/CA management representative — as gatekeeper to selecting focus group participants. Make sure this local host is aware of the above selection criteria and why it is important to follow this guidance to minimise risk of bias.

We suggest you undertake community focus group discussions in 5–6 communities for a relatively large PA/CA (eg greater than 500km^2) ; 3–4 communities for a smaller PA/CA, and just two for a very small PA/CA (eg a PA/CA may only have a few hundred households that are interested in it).

Where there are social groups with important common interests that may not be captured in general community focus group discussions, it is important to organise a focus group with resource users (eg people who harvest a certain type of resources from the PA) or special interest groups (eg indigenous peoples when in a situation where they are a minority in the community).

Background information

The focus group method aims to facilitate discussion between group participants. They are not just sources of information; they are very much part of the analytical process. The strength of focus group discussions relies on allowing participants to agree or disagree with each other. This provides insight into how a group thinks about an issue, the range of opinion and ideas, and inconsistencies and variations in terms of beliefs, experiences and practices within a community.[18]

In GAPA, focus group discussions aim to explore community views on the three core principles of good governance. You selected the specific core principles during the scoping workshop (Activity 2.1). They should include:

- Participation in decision making

- Fair sharing of benefits **or** avoiding or reducing negative social impacts (on people), and

- Transparency **or** accountability.

For each principle we use the same approach to questioning (see Annex 9 for the questions in full):

1.	One or two preliminary questions to get people thinking about the subject matter of the principle	Up to 10 minutes in total
2.	Examples of something working well (with respect to this principle)	Up to 15 minutes (eg 5 mins for each of the 3 points you should capture)
3.	An example of something not working well	Up to 30 minutes (eg 10 minutes for each of 3 points you should capture)
4.	Why is the situation like this (ie not working well)	
5.	Ideas for action to improve the situation. Then go back to 3 for a second example.	

Note that the information we want to get from the focus group discussion is from points 2–5. Although, notetakers should record all the discussion for reference.

A successful focus group discussion relies on its facilitator. As a facilitator, you must be mindful of who is talking and who is not, to avoid some members dominating the discussion. When this happens, advise these individuals that it is important to hear from all participants and encourage others to speak up and share their perspective.

Remember that a focus group discussion aims to facilitate discussion between group members to bring out differences in people's interests, concerns, knowledge and experience. Where certain individuals do not agree, seek consensus from the wider group but make sure your notetaker captures the perspectives of the dissenting voice(s). If individuals' perspectives clash, remind everyone in the group that it is quite normal for people to see things differently.

If your focus group discussion draws spectators, politely ask them to leave, directing them to the local host or the agreed key contact for more information about GAPA.

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18   Start and Howland (2004)

❖   **Top tip:** If you are aware that a locally powerful individual is planning to attend the focus group discussion and might disrupt the process, arrange for your key informant interview facilitator to accompany you. They can then interview the powerful individual while other team members lead the focus group discussions without interference or bias from this individual.

Remember to use the agreed translations of governance, good governance and assessment, and the simple translations of the good governance principles throughout the focus group discussion. It is very important that all facilitation team members use the same language.

See Box 9 for additional advice on best practice during the information gathering phase.

Box 9. Best practice for gathering information

Timing

To be more time effective, try to undertake focus group discussions and key informant interviews at the same time rather than in sequence. That is why we recommend having three facilitator/notetaker pairs: one can concentrate on key informant interviews while the other two undertake focus group discussions, doing key informant interviews if and when they have time.

Gender

It is best practice to have one all-female pair for the women's focus group discussions. This pair can also lead key informant interviews if a female informant does not feel free to talk with male interviewers.

Debriefings (convenor or GAPA lead facilitator)

Throughout the information-gathering process, we recommend you organise and lead <u>regular</u> debriefings with all facilitators and notetakers together to:

1. Consider the key governance strengths and challenges emerging from interviews and focus group discussions, and
2. Reflect on using the key informant interviews and focus group discussions as information-gathering tools. Are there any top tips facilitators would like to share with each other?

Debriefing meetings do not need to be long; 10–15 minutes at the end of a busy day of information gathering is usually enough. They also can take place anywhere; you could even debrief in the vehicle on the way back from information gathering!

Debriefing meetings are useful for the team to understand some of the key issues emerging from the GAPA and issues they should be aware of when facilitating focus group discussions and key informant interviews. They can also be valuable for sharing top tips on how to use the key informant interview and focus group discussion tools. So, try to organise regular debriefings during your information gathering timetable.

Focus group discussion tasks

Task 1. Divide participants into groups (facilitators and notetakers)

Invite participants to separate into two groups, one group of 10–15 women and one group of 10–15 men, unless there is strong evidence that this separation is not needed. The female facilitator and notetaker should lead the women's group.

Task 2. Open the discussion (facilitators)

Follow the normal practice in your locality for opening this type of meeting. Introduce yourself and your notetaker. Remember to highlight that you are members of an independent facilitation team helping to support the GAPA methodology that you are about to describe. Notify participants of who is convening GAPA. Ask participants to introduce themselves — you could ask them to give their name, village and say what they do for a living — so that you have a good idea of who they are. If necessary, introduce some norms (ground rules).

Task 3. Introduce GAPA and the objective of the meeting (facilitators)

You can adapt and use the following statement:

"This meeting is part of an assessment to help improve governance in [insert name of PA/CA]. In this meeting, we will discuss strengths and challenges related to three aspects of good governance and your ideas to improve the situation. As part of this assessment process, we are also conducting meetings like this in [insert number] other communities and interviewing [insert number] representatives of important rightsholder and stakeholder groups…"

❖   **Top tip:** If participants do not understand what governance or good governance means, don't try to explain further as this may bias the meeting. Simply say that it will become clear as you proceed with the meeting.

Task 4. Introduce the assessment workshop (facilitators)

Explain that the GAPA process will end with an assessment workshop on [insert date]. Note that at the end of this meeting you will ask participants to propose a representative from the group to attend the workshop. Summarise that the workshop will discuss the GAPA results and ideas for action to improve governance at the [insert name of PA/CA].

Task 5. Explain what will happen at this meeting (facilitators)

Explain that the notetaker will take notes during the meeting to ensure that key points are taken from their discussion to the assessment workshop. Emphasise that all information is confidential; you will not record the names of people who make specific comments, so participants should feel free to share their views.

If you are recording everyone present at the meeting for accountability purposes — for example, for donor reporting — please emphasise that this information will be kept confidential.

Ask participants if they have any questions about this assessment and what you plan to discuss during the meeting. Tell them they are free to leave the meeting at any point should they become

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uncomfortable with the discussion and **ask their permission/consent to proceed with the meeting**. You must also seek their permission if you plan to take photos and use them in any communications materials.

Task 6. Facilitate group discussions (facilitators)

For each of the three core good governance principles, state the principle using the simple translation agreed by the facilitation team and facilitate a group discussion based on the sequence of guiding questions.

📖   Use the guiding questions in Annex 9. If the discussion is difficult, try using the suggested governance themes for probing around the principle.

❖   **Top tip:** Experienced facilitators who have undertaken a governance assessment recommend pausing regularly during the focus group discussion to check that the notetakers are capturing important points in enough detail.

Task 7. Remind participants of the next steps of GAPA (facilitators)

These include the assessment workshop on [insert date] to discuss results from this and other community meetings and key informant interviews along with ideas for action to improve governance at the [insert name of PA/CA].

Explain that participants should now select one person to represent the community/resource user/specific interest group at the assessment. Ask participants to nominate their representative. If more representatives are nominated than places, ask them to discuss and reach consensus on one person. If this fails, then ask them to vote.

❖   **Top tip:** If most participants of the assessment workshop are likely to be men, we recommend inviting each women's focus group to nominate two representatives. This will make it easier for women to contribute their concerns and ideas to the discussions.

Task 8. Collect contact details (notetakers)

If you can, take the contact details of the person(s) selected to attend the assessment workshop, so you can remind them the day before the workshop and provide travel support or guidance. Give participants the key contact point's details, explaining that they can get in touch with this individual if they have any concerns after the focus group discussion.

Task 9. Close the meeting (facilitators)

Thank participants for taking the time to share their views and close the meeting in the normal way.

Task 10. Write up the focus group discussion reports (notetaker)

Record the focus group discussions, immediately after each one where possible — and certainly before the end of that day — so you do not forget key points or get mixed up with other focus group discussions.

📖   Use the reporting template for focus group discussions in Annex 9.

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Task 11. Review the focus group discussion reports (facilitator)

For the first few reports, sit with the notetaker and help them complete the template. After that, make sure you review all completed reports, preferably on the same day.

Outputs

✧ Focus group discussion reports

3.2 Key informant interviews

Key informant interviews provide information from a wide range of individuals who have first-hand knowledge relevant to the issue(s) in question — in this case, on governance strengths and challenges at the PA/CA. The format of a one-to-one interview enables the individual who is being interviewed to say things that they might not be comfortable to say in public.

Try your best to pick a time of the day that will not place a burden on participants. Be sure to notify participants that the interview will take up to 1.5 hours. Try to avoid interviewing key informants in public places where others can hear your interview. As well as being distracting, it may bias your informant's responses — or worse, it could put your informant at risk if they share an unpopular or contentious perspective.

Objective

To understand some of the key governance strengths and challenges at the PA/CA from the perspective of different actors.

Time required

1–2 hours

At first, you will need 1.5–2 hours, but as you gain experience, it will take you 1–1.5 hours. A facilitator/notetaker pair should be able to complete three interviews and write up their notes in one day.

Who facilitates?

Facilitators with support from notetakers.

Who participates?

We suggest the following criteria for selecting key informants:

- A representative of every actor group or organisation ranked as having high interest in the stakeholder analysis, no matter their level of influence

- A representative of every actor group or organisation ranked as having high and medium-to-high influence in the stakeholder analysis

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- A balance of women and men

- A range of ages — do not forget representatives of young people, who may have high interest but little influence

- A range of types of organisations and groups, such as those that are community-based, governmental, parastatal or involve indigenous peoples, traditional authorities, and the private sector, and

- Representatives of a range of resource users and livelihood types, such as agriculturalists, pastoralists, fisherfolk and forest-dependent peoples.

We suggest you conduct 16–25 key informant interviews at a large PA/CA (eg greater than 500km^2) or where there is a very diverse range of keys actors, and 12–16 at a smaller PA/CA or where there is a less diverse range of key actors. We would not recommend doing more than 25 key informant interviews, as this would create an unmanageable amount of data that would be tricky to analyse without the help of an external qualitative data expert and data management software. We suggest a minimum of 12 key informant interviews.

❖ **Top tip:** In our experience, it is quite common for appointments to be cancelled at the last minute. For this reason, we suggest you call each interviewee at the start of the day of their interview to confirm. This way, you can try to find a replacement with a similar perspective if any drop out.

A facilitator leads an interview with a key informant, while the notetaker keeps detailed notes. The photography is from a governance assessment at a conservancy in Kenya. Credit: LWF-Margret Wambua.

Background information

A key informant interview aims to explore the views of one individual selected as a key informant because they are part of an actor group that has relevant knowledge and experience in the PA/CA. You can interview up to two people at once if necessary. This is sometimes unavoidable, but we do not recommend it when interviewing representatives of different actor groups, as it can be hard to capture the perspectives of each representative.

The interviews should cover the five priority good governance principles selected in the scoping workshop (Activity 2.1). This differs from the focus group discussions, which concentrate on your three core governance principles. As the focus group discussions do not gather information on the other two selected principles, we suggest you start the interviews by focusing on these.

A different approach is to use a matrix to prioritise the good governance principles for each key informant interview. See Table 6 for a sample matrix which lists five prioritised good governance principles and key informants. The shaded cells illustrate which principles to prioritise for discussion with each key informant, according to two criteria:

- Interviews should prioritise at least one of the principles not discussed in the focus group discussions, and

- Interviews should prioritise those principles for which the informant is expected to have knowledge and experience.

Use this matrix to inform each interview, so you know what principles to be sure to cover with the key informant.

- ❖ **Top tip:** Even though you will prioritise two principles, still try to cover all five with each key informant, if time allows. A key informant might have more knowledge than you expect on a certain principle and an interesting point of view!

Table 6. Sample matrix for prioritising good governance principles in key informant interviews

Key informant	Good governance principle				
Representative of:	Covered in focus group discussions			Priority key informant interviews	
	Participation	Benefit sharing	Accountability	Conservation objectives	Coordination and collaboration
PA/CA			▓	▓	▓
NGO	▓	▓			▓
Private tourism partner		▓	▓	▓	
Indigenous peoples	▓			▓	▓
[insert more]					

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For each principle we use the same approach to questioning (see Annex 9 for the questions in full):

1.	One or two preliminary questions to get people thinking about the subject matter of the principle	Up to 5 minutes in total
2.	Examples of something working well (with respect to this principle)	Up to 10 minutes in total
3.	An example of something not working well	Up to 20 minutes — in particular make time for discussion challenges related to those principles NOT being discussed by focus groups.
4.	Why is the situation like this (ie not working well)	
5.	Ideas for action to improve the situation. Then go back to 3 for a second example.	

Note that the information we want to get from the focus group discussion is from points 2–5. Although, notetakers should record all the discussion for reference.

Key informant interview tasks

Task 1. Open the interview (facilitator and notetaker)

Follow the normal practice in your locality for opening this type of meeting. Introduce yourself and your notetaker. Remember to highlight that you are members of an independent facilitation team helping to support the assessment that you are about to describe to them. Notify the informant who is convening GAPA.

❖ **Reminder:** use the agreed translations of governance, good governance and assessment, and the simple translations of the good governance principles throughout the interviews. It is very important that all facilitation team members use the same language.

Task 2. Introduce GAPA and the objective of the interview (facilitator)

You can adapt and use the following statement:

"This interview is part of an assessment to help improve governance in [insert name of PA/ CA]. In this interview, we will discuss strengths and challenges related to five areas of good governance and your ideas to improve the situation. As part of this assessment process, we are also interviewing [insert number] other representatives of important rightsholder and stakeholder groups and holding small meetings in [insert number] communities."

❖ **Top tip:** If the interviewee does not understand what governance or good governance means, don't try to explain further at this point, as this may bias the interview. Simply say that it will become clear as you proceed with the interview.

Task 3. Introduce the assessment workshop (facilitator)

Explain that the process will end with an assessment workshop on [insert date]. Note that as a key informant, the interviewee is invited to this workshop. Summarise that the workshop will discuss the GAPA results and ideas for action to improve governance at the [insert name of PA/ CA].

Task 4. Explain what will happen at this meeting (facilitator)

Explain that the notetaker will take notes during the interview to ensure key points are taken from this discussion to the assessment workshop. Emphasise that all information is confidential; you will not record the names of people who make specific comments, so participants should feel free to share their views.

Ask the interviewee if they have any questions about this assessment and what you plan to discuss in this interview. Tell them they are free to end the interview at any point should they become uncomfortable with the discussion and **ask their permission/consent to proceed with the interview**. Seek their permission if you plan to take photos and use them in any communications materials.

Task 5. Conduct the interview (facilitator)

For each of the five good governance principles, state the principle using the simple translation agreed by the facilitation team and facilitate a group discussion based on the sequence of guiding questions.

 📖 Use the guiding questions in Annex 9. If the conversation is difficult, try using the suggested governance themes for probing around the principle.

 ❖ **Top tip:** Experienced facilitators who have undertaken a governance assessment recommend pausing during the interview to check that the notetakers are capturing important points in enough detail.

Task 6. Remind participants of the next steps of GAPA (facilitator)

Remind the interviewee of the next steps of GAPA, including the assessment workshop on [insert date] to discuss the results from this and other key informant interviews and community meetings along with ideas for action to improve governance at the [insert name of PA/CA]. Remind the participant that they are invited to the workshop and that you hope to see them there.

Task 7. Collect contact details (notetaker)

Take the informant's contact details (if possible) so you can remind them the day before the assessment workshop. Give them the agreed key contact point's details, explaining that they can get in contact with this individual should they have any concerns after or about the interview.

Task 8. Close the meeting (facilitator)

Close the meeting in the usual way and thank the informant for taking the time to share their perspective.

Task 9. Write up the key informant interview reports (notetaker)

Record the interviews, immediately after each one where possible — and certainly before the end of that day — so you do not forget key points or get mixed up with other key informant interviews.

 📖 Use the reporting template for key informant interviews in Annex 9.

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Task 10. Review the key informant interview reports (facilitator)

For the first few reports, sit with the notetaker and help them complete the template. After that, make sure you review all completed reports, preferably on the same day.

Outputs

✧ Key informant interview reports

3.3 Analysing data as a group

> We suggest doing data analysis as a group with all of the facilitators and notetakers. This way all team members can work together and discuss the key GAPA results that emerge.
>
> A familiarity with all the key results is also crucial for facilitators, who will lead discussions about the GAPA results at the assessment workshop (Activity 4.1).

Objective

To develop provisional GAPA results in terms of governance strengths and challenges by analysing information from focus group discussions and key informant interviews.

Facilitators work together to analyse the GAPA data in Kenya. Credit: IIED/Francesca Booker

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Time required

0.5–1 day, depending on the number of interviews and focus group discussions you do. You will need a full day if you do the maximum number.

Who facilitates?

The convenor or the GAPA lead facilitator.

Who participates?

All facilitators and notetakers.

Background information

When you have recorded all the information from the key informant interviews and focus group discussions into the reports, all facilitators and notetakers should meet for a group analysis exercise. The reports will provide examples of things that worked well, things that have not worked well and the underlying causes of this, and ideas for actions that could improve the situation. During the group analysis exercise, facilitators and notetakers should share examples from their key informant interview and focus group discussion reports. It is very important that facilitators and notetakers refer to their reports — rather than their memories — when identifying examples to avoid making mistakes.

The analysis process is based on reviewing all the reports for similar issues. The analysis focuses on:

- 'strengths' — a pattern of several (at least two) examples of something working well,

- 'challenges' — a pattern of several (at least two) examples of something not working well, and

- ideas for action.

You will need to check whether an example of a strength or challenge is evidenced by more than one interview and/or focus group discussion. This is called triangulation and is very important for assuring the quality of results.

Note that we do not need to analyse data from the preliminary questions. And, when undertaking the data analysis, discuss each good governance principle in turn as this will avoid confusion and is more time-effective.

When you are ready to start the analysis process, we recommend looking at GAPA results from other sites. This will give you an impression of how to frame the strengths, challenges and ideas for action.

🖰 See presentations on GAPA results from Kenya, Uganda, the Philippines and Bangladesh on IIED's website (www.iied.org/gapa).

<div style="text-align: right">*Phase III: Information gathering*</div>

Analysing data as a group tasks

Task 1. Outline the group analysis process (convenor/lead facilitator)

Ask all the facilitators and notetakers to sit around a table with you for the group analysis. Check that each facilitator/notetaker pair has their completed focus group discussion reports and/or key informant interview reports.

Step 1. Ask them to divide the reports equally between each facilitator/notetaker pair.

Step 2. Explain to them that you will now undertake a group analysis together and that you expect each facilitator and notetaker to share relevant examples of governance strengths and challenges from their reports.

Task 2. Identify strengths (convenor/lead facilitator)

Step 1. Take one good governance principle — for example, participation in decision making — and ask any of the facilitators and notetakers to share an example from their reports of something working well related to this principle. Once you have an example, together consider:

a. Relevance to governance: Is this a governance issue?

If yes, move to (b). If no, discard this example and ask participants to share another example.

b. Relevance to principle: Is it related to the principle you are focusing on?

If yes, move to (c). If no, ask the facilitator or notetaker to raise the example again when you are discussing the relevant good governance principle.

📖   Use the good governance principles and themes table in Annex 1 to help you if you are unsure whether an example relates to a specific principle.

c. Triangulation: Can you triangulate it with evidence from another key informant interview or focus group discussion? Ask facilitators and notetakers whether each example was raised in other interviews or discussions, making sure they check all their focus group discussion and key informant interview reports. A result should have at least two sources — so, it should appear in either two interviews, two focus group discussions or in one of each.

If yes, move to (d). If no, but you consider the result unique or sensitive, move to (d). See Box 10 for examples that might be unique or sensitive. If no, but you do not consider it unique or sensitive, discount this example.

d. Summarise each example clearly in a way that people will understand. Remember to mark any untriangulated examples with an asterisk (*). Write the summarised example on a PowerPoint slide under the relevant principle and the heading 'Strengths'.

🖋   For this task, use the 'Preliminary GAPA Results' PowerPoint template on IIED's website (www.iied.org/gapa).

Step 2. Repeat Steps (a) to (d) until you have all the possible examples of strengths for the principle you are discussing. Try to get at least two examples of strengths.

> **Box 10. A note about unique or sensitive examples**
>
> You may choose to include a specific example that is from only one source. Only do this in cases where the example might be unique or sensitive. By unique, we mean that it might not have come up in another interview or discussion because this actor was under-represented in the GAPA process. By sensitive, we mean that it might not have been raised elsewhere because people are reluctant to talk about it and/or it is contentious.
>
> As an experienced facilitation team, you should use your discretion and expertise when deciding whether to include an example that is from just one source of information. If you all feel that it is an important example — that is either unique or sensitive — then summarise and include the example in your presentation. You must clearly mark such examples with an asterisk (*) to show that you have not triangulated them.

Task 3. Identify challenges (convenor/lead facilitator)

Step 1. Take the same principle you discussed in Task 1 and ask participants to share an example from their reports of something that is not working well related to this principle — that is, a governance challenge. Once you have an example, together consider:

a.   Relevance to governance: Is this a governance issue?

If yes, move to (b). If no, discard this example and ask participants to share another example.

b.   Relevance to principle: Is it related to the principle you are focusing on?

If yes, move to (c). If no, ask the facilitator or notetaker to share the example again when you are discussing the relevant good governance principle.

📖   Use the good governance principles and themes table in Annex 1 to help you if you are unsure whether an example relates to a specific principle.

c.   Triangulation: Can you triangulate it with evidence from another key informant interview or focus group discussion? Ask facilitators and notetakers whether each example was raised in other interviews or discussions, making sure they check all their focus group discussion and key informant interview reports. A result should have at least two sources — so, it should appear in either two interviews, two focus group discussions or in one of each.

If yes, move to (d). If no, but you consider the result unique or sensitive, move to (d). If no, but you do not consider it unique or sensitive, discount this example. See Box 10 for examples that might be unique or sensitive.

d.   Summarise each example clearly in a way that people will understand. Remember to mark any untriangulated examples with an asterisk (*). Write the summarised example on a PowerPoint slide under the relevant principle and the heading 'Challenges'.

🖐   For this task, use the 'Preliminary GAPA Results' PowerPoint template on IIED's website (www.iied.org/gapa).

Phase III: Information gathering

Step 2. Repeat Steps (a) to (d) until you have all the possible examples of challenges for the principle you are discussing. You should get at least two examples of challenges, although experience tells us that this should not be a problem; you will easily identify up to ten challenges for each good governance principle..

❖ **Top tip:** When summarising sensitive examples — such as allegations of wrongdoing — you may need to reword the result. We suggest only doing this where a result might create conflict or cause one of the actors to stop supporting and withdraw from the GAPA process. For example, instead of saying "Rangers take bribes and steal from fishermen when they are fishing illegally" you might say "Some rangers lack integrity when they identify people who are fishing illegally."

Task 4. Summarise ideas for action (convenor/lead facilitator)

Ask facilitators and notetakers to share ideas for action for the principle you just discussed. Summarise any ideas for action on to a PowerPoint slide or flip chart, alongside the associated governance challenge. All ideas should be included even if some are vague except ideas that are inappropriate — eg proposing something illegal, irrelevant, offensive, or something that has the potential to cause conflict. These are filters that a facilitator can legitimately apply.

If you are using IIED's 'Preliminary GAPA Results' template, you can add the ideas for action to the table that summarises governance challenges. As these ideas for action are just suggestions, you do not need to triangulate them.

Task 5. Repeat the analysis for all principles (convenor/lead facilitator)

Repeat Tasks 2–4 for the other good governance principles, until as a group you have analysed for all five good governance principles discussed in the key informant interviews and focus group discussions.

If, throughout this process, facilitators and notetakers identify examples of issues that are working well/not working well that related to other good governance principles that were not prioritised in this assessment, summarise these examples — along with the principle they relate to — on a slide at the end of your PowerPoint document. Make sure you go through the same process of filtering the examples by relevance and triangulation.

Output

✧ PowerPoint presentation of non-validated, preliminary results from GAPA.

3.4   Site-level governance scorecard (optional)

> At the time of publishing, our guidance for designing and using a site-level scorecard is in draft form in Annex 12. Designing and using the scorecard is an optional activity.
>
> The objectives of this survey tool are to (1) provide a quantitative assessment of governance issues from a community perspective and (2) take a baseline of governance quality at the PA/CA.

Ideally, you should design and use the site-level governance scorecard after Activity 3.3 (analysing information as a group) and before Activity 4.1 (assessment workshop). Doing it at this point means you have the relevant information to design site-specific indicators, and you can present the survey results at the assessment workshop as a complement to the results of the in-depth qualitative assessment (ie the results from key informant interviews and focus group discussions). Alternatively, you could do this activity following Activity 4.1 (assessment workshop). This way you can prioritise including scorecard indicators for governance issues that you need more information on, or for which consensus to validate (or not) was not possible. Either way, you must use the output of this exercise to inform your communications and action planning and reviewing activities.

📖   See Annex 12 for the full draft guidance available at the time of publishing.

A key informant interview in Zambia. Credit: IIED/Francesca Booker

Phase III: Information gathering

4. Phase IV: Assessing

4.1 Assessment workshop

The assessment workshop is the second multi-stakeholder workshop of the GAPA process and it takes one day. The workshop allows everyone involved in the GAPA to come together to make a final self-assessment of the findings and suggest ideas for action to improve governance at the PA/CA.

You will need to make sure you are well prepared for the assessment workshop. The convenor and facilitators should meet during the day(s) before the workshop to prepare.

Participants at an assessment workshop in Uganda validate GAPA results. Credit: IIED/Francesca Booker

Overall objective

To review and validate the assessment results and develop ideas for action to address key governance challenges.

Objectives

1. To share and validate results on governance strengths and challenges.

2. To complement the focus group discussions/key informant interviews with additional information.

3. To identify gaps in understanding where further work may be needed.

4. To develop ideas for action to improve governance at the PA/CA.

Time required

2.5 days

- 0.5 day's preparation
- 1 day for the workshop
- 1 day for the outputs

Who facilitates?

Convenor and facilitators, supported by notetakers. Make sure they are well prepared for the workshop and know who they are helping in the group exercises and when you want them to take detailed notes.

Who participates?

Up to 45 people, including all those who were involved the scoping and information-gathering phases, such as:

- Scoping workshop participants

- Key informants, and

- Representatives from each of the focus groups (one or two women and one man from each focus group).

You may also consider inviting:

- More senior staff from key actor groups that are already involved in GAPA. At this stage, you want to engage people who have more influence over decision making in the PA/CA.

- Other actor groups who were not invited to, or did not attend, the scoping workshop because they have low interest, but have a high level of influence over decisions about implementing ideas for actions to improve governance at the PA/CA.

📑   Use your stakeholder analysis (Activity 1.3 output) to identify potential attendees.

Background information

The assessment workshop is important for making sure actors at the PA/CA review the results emerging from GAPA. In groups, participants will review the GAPA results to ensure that they are valid. They can reword results where necessary to ensure they are clear and reflect reality or reject results where they find they are not representative of the PA/CA. They will also identify gaps in understanding where they find it difficult to validate specific results.

The workshop also gives participants the opportunity to review — but not reject — the ideas for action from the focus group discussions and key informant interviews. They can also add their own ideas for action to improve governance at the PA/CA except:

1. Actions that have no relevance to the governance principle where they appear.

2. Actions that propose an illegal activity/response.

3. Actions that may cause offence or conflict.

4. Actions where there is no chance of making some progress in the next 12 months.

Ideas for action must be specific and practical. At this stage, they do not have to specify who should implement the action; key decision makers will discuss this during action planning activities (the next phase of GAPA).

Examples of practical and specific ideas for action include:

▪ Tourism partners should ask women (as well as men) to identify their needs before funding projects.

▪ Communities that have not yet received projects should be prioritised for future development projects.

Bad examples of ideas for action include: "Proper enforcement of the law" and "No bias when sharing resources". These examples are unclear. What do we mean by proper enforcement of the law? What do we mean by bias in resource sharing? What are we supposed to do about it?

Assessment workshop preparation tasks

To prepare for the assessment workshop, the GAPA convenor, facilitators and notetakers need to undertake several tasks in advance.

Task 1. Prepare a PowerPoint presentation on the governance assessment of the [insert name of PA/CA]. You can adapt the presentations you used in the scoping workshop (Activity 2.1). Do not make it too long; just include a brief summary of the GAPA process, the scope and the prioritised principles.

📑 Adapt the presentation you used in Activity 2.1.

Task 2. Get the necessary stationery and prepare cards to validate the GAPA results and task notetakers to set up the room for the group exercise at the start of the workshop (see Box 11). It is also a good idea to practise the group exercises with facilitators to be sure they understand them before the assessment workshop.

Task 3. Start thinking about the next steps after the assessment workshop — including how you will communicate the GAPA results (Activity 5.1). You will need to let people at the assessment workshop know how you will disseminate the GAPA results. Highlight to participants that one of the key next steps in the GAPA process will be action planning activities with key decision makers to identify opportunities to take ideas for action into existing planning processes and projects. Notify participants how you will distribute the results of this workshop.

Task 4. Prepare an assessment workshop agenda. Workshop participants usually like to see an agenda when they arrive at a workshop.

📖 Adapt the sample assessment workshop agenda (Annex 6).

Box 11. Preparing for the group exercise to validate the GAPA findings

You will need:

- Marker pens
- Four different colours of A4 sheets of paper/card (eg yellow, pink, blue, white)
- Sticky tape (one roll per group)

Before the workshop (lead facilitator)

Prepare the (as yet non-validated) results for the group exercises before the assessment workshop. In the days before the workshop, write the governance strengths, challenges and ideas for action for each good governance principle on A4 cards. Be careful not to mix up the results; keep them grouped by good governance principle. Use one piece of A4 card for each result and use different colour card for strengths (yellow) challenges (pink) ideas for action (blue) and white for the principles and any comments. Write each strength or challenge on a separate card in the appropriate language — English and/or the local language. Make sure the writing is large enough for participants to see from where they will be sitting.

On the workshop day (facilitators and notetakers)

Prepare for the group exercises while waiting for participants to arrive.

- Find a good space on a wall for each of the three groups to use during the group exercise (Task 4 below). Try not to place groups too close together, or people will struggle to hear the discussion in their group.
- Arrange seats in a semicircle to view the wall.
- For each group, stick the card with one of the three core good governance principle on the wall.
- Under this card, add your pre-prepared cards on governance strengths, as column one.
- Next, add the governance challenges as column two. Make sure you group governance challenges on the same issue together, so they appear consecutively.
- Leave a space to the right of the challenges (column three) to add ideas for action after you completed Task 4, in preparation for Task 5.

See the graphic below to guide your preparation.

PRINCIPLE TRANSPARENCY & ACCESS TO INFORMATION

Gov'e strengths

Gov'e challenges

Ideas for action

The village leaders hold meetings every year to share information about the work of the rangers.

People don't know who decides which households get bursaries and why.

We receive text message alerts updating us on areas open for grazing.

People don't know the boundaries of the park, and how they were chosen.

Phase IV: Assessing

Assessment workshop tasks

Task 1. Open the workshop (convenor/lead facilitator)

Follow the normal practice in your locality for opening this type of meeting. This may involve asking one of the participants to formally open and chair the meeting. If you can, make sure that this person understands the purpose of the meeting and GAPA. Ask all participants to introduce themselves and who they are representing at the workshop. Make sure all facilitators and notetakers introduce themselves to the workshop participants before moving on to the next part of the workshop. Finally, if necessary, introduce some norms (ground rules) for the meeting.

Task 2. Share the workshop objectives (convenor/lead facilitator)

Explain and introduce the objectives for today's workshop, which are to:

- Share and validate the results from focus group discussions and key informant interviews
- Identify gaps in understanding where further work may be needed, and
- Develop ideas for action to improve governance.

Emphasise to participants that they have been specifically invited to attend the assessment workshop as representatives of their actor group to validate the GAPA results at [insert name of PA/CA].

Task 3. Introduce the governance assessment of the [insert name of PA/CA] (convenor/lead facilitator)

📑 Use the presentation you prepared/adapted from the scoping workshop to introduce the governance assessment of the [insert name of PA/CA], reminding participants of the GAPA process.

Be mindful that you may also be introducing some participants to the GAPA process. If they have not been included in the process to date, allow time for questions.

Task 4. Validate the results related to the core good governance principles (facilitators and notetakers)

Step 1. Split participants into two or three groups, depending on the number of participants. We suggest that each group has a diverse spread of actor representatives. There should be at least eight people in each group and a maximum of 15. Consider the number of women you place in each group — for example, to ensure female community representatives speak up, place at least three or four women in the same group.

Step 2. Each group should take one of the three core good governance principles: participation in decision making; a principle on fair sharing of benefits **or** preventing and reducing negative social impacts; and a principle on transparency **or** accountability. If you only have two groups, take the two principles with the most results to validate.

❖ Remember to ensure that everyone in your group is sat in a semicircle around the wall where you will display the GAPA results. Do not start the group exercise until everyone is sitting where they can contribute and hear each other speak.

Step 3. With your group, begin by reviewing the governance strengths associated with the principle, scoring them as either:

✓   Accepted by consensus

?   No consensus: need more information/discussion or irreconcilable differences of opinion

✗   Not accepted by consensus

Decision making should be by consensus. If there is no consensus, then mark it with (?) and note the reasons why there was no consensus on a white sticky note or white paper/card and attach it to the strength in question. For example, if participants feel they need more information or that there needs to be more investigation or research on the issue, mark it with (?) and note the need for more information, specifying what information they requested.

Likewise, there may be consensus about a basic idea, but some participants may object to the language used to describe it. This can happen with sensitive issues like corruption or alleged offenses by law enforcement officers. In such cases, ask the group to propose language they feel more comfortable with. Often this will include words that imply the real issue but in softer form. Only use this language if all group members understand what it means and agree to the change. If you make any changes to the wording, do this on a new piece of card, place the new card on top of the original wording and add a cross (✗) to the original wording to indicate that the original wording has not been validated. This way, you can keep track of changes and remember to note why they were made. You can add any other comments on extra pieces of white card and attach them to the relevant strength.
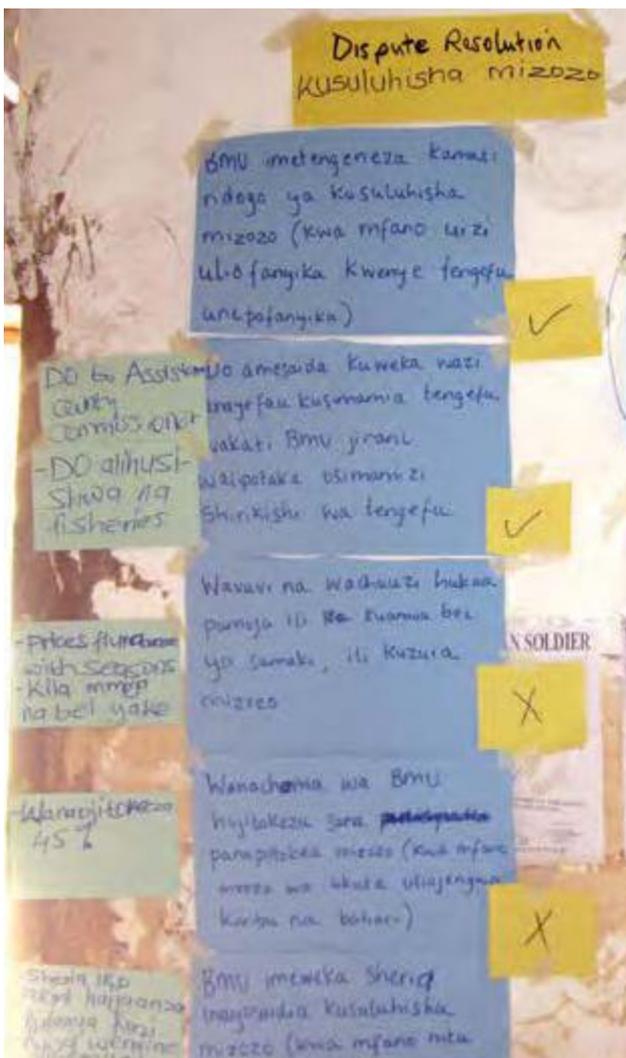
Throughout this process, keep a close eye on the time. As a rule of thumb, do not let debate on one particular strength exceed ten minutes. If there is no consensus by this time, mark it with (?) and move to the next strength. This same guidance applies when you are discussing governance challenges.

❖   **Top tip:** Make sure you systematically stick to the colour coding — yellow for strengths, pink for challenges, blue for ideas for action and white for comments. If not, it becomes very hard to make sense of the results and participants may become frustrated and/or lost.

An example of validated results from a GAPA on the Kenyan coast. Credit: IIED/Francesca Booker

Phase IV: Assessing

Step 4. Now, repeat the previous step (step 3) for governance challenges.

❖   **Top tip:** Make sure you are probing group participants where necessary to ensure that everyone consciously considers the strengths and challenges and you avoid groupthink.[19] For example, if a card reads "Access to conservancy for grazing during drought is denied", ask participants the number of cases they know of in the last year, to understand the scale of this challenge. Come to an agreement with participants as to whether the card accurately describes the governance challenge or whether it needs to be rephrased. Keep reminding the group of the importance of this validation process in ensuring the quality and credibility of the assessment results.

Task 5. Present validated results (facilitators)

Invite each group to present their validated results to the other groups. There are several approaches to group presentations and feedback (see Box 8). For this exercise, we suggest you use Approach C to make the process time efficient. The group presentations should focus on:

- Summarising the governance strengths and challenges

- Highlighting any issues of non-consensus, and

- Asking for comments from the group on non-consensus issues (noted on yellow sticky notes or cards).

Avoid reopening the discussion on whether groups should have validated a strength or challenge unless you can see that some people have significant objections. Ensure that participants discuss any such objections as you cannot have validated results where some participants disagree as this would discredit the whole process. If there is no agreement, change a (✓) to a (?). Do not leave any results as validated if there is not genuine consensus.

Task 6. Validate results related to the other priority good governance principles (facilitators and notetakers)

Repeat Task 4 for the remaining good governance principles. If you have three groups and only two principles, you could reallocate the third group to the other two groups. Having a larger group is less of a problem as this stage when people understand the exercise and the facilitator has a feel for the group dynamics.

Task 7. Present validated results (facilitators)

Repeat Task 5 for the other good governance principles.

Task 8. Consider ideas for action to improve governance at the PA/CA (facilitators and notetakers)

This short session will give participants an overview of the ideas for action that have come from focus group discussions and key informant interviews. During this task, participants will:

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19   The process in which group members make bad decisions because they do not want to express opinions, suggest new ideas and so on that others may disagree with (Cambridge English Dictionary).

- Explore possible solutions to the different governance challenges

- Add more ideas for action if they have any, and

- Understand that there are simple things that can be done to improve governance.

This will end the workshop on a positive note.

If the workshop is running late, you can skip Steps 6 and 7, which are optional. However, do not skip the whole exercise, as it is important that people leave the workshop with a sense of empowerment that they can take small and relatively simple actions to improve governance at the PA/CA.

Step 1. Explain that you are going to undertake a group exercise to consider ideas for action to tackle the governance challenges at the PA/CA, highlighting that:

- This is simply a brainstorming exercise to capture some good ideas for action planning

- An idea for action does not indicate agreement that it is a good idea

- Nobody needs to commit to implementing any idea at this stage, and

- Although other participants can add notes with their opinions of the ideas, ideas for action are not subject to validation so you will not try to get consensus on each idea.

Step 2. Split participants into the same two or three groups they were in for the last two tasks. Explain that you are looking for specific and practical ideas for action. It should be possible for site-level actors to start to implement ideas for action within six months and there should be clearly recognisable signs of success within 12 months. Do not specify who should implement the actions; key decision makers will discuss this during action planning activities (Activity 5.2).

Step 3. Take each governance challenge in turn. Start by reading out the ideas for action that came from focus groups and key informant interviews. Do not let the discussion get into strengths or weaknesses of ideas for action. This can be discussed during action planning activities.

Step 4. Now ask the group members for more ideas for action related to the governance challenges and write these on new pieces of card. Keep inviting participants to add more ideas. Since this is just a brainstorming session, participants should not challenge someone else's ideas for action unless they have serious objections to it. Actions that should not be added include:

1. Actions that have no relevance to the governance principle where they appear.

2. Actions that propose an illegal activity/response

3. Actions that may cause offence or conflict

4. Actions where there is no chance of making some progress in the next 12 months.

Step 5. (Optional) If there is time, ask participants to rotate groups. Facilitators should stay with the principle they were helping participants discuss and not move with their group. Instead, they should summarise the ideas for action to the new group and ask the new participants to suggest

more ideas for action to tackle each specific governance challenge. They should then add these ideas for action to the wall on separate pieces of blue paper/card as they are suggested. Remember, only add actions that are specific, practical and feasible in the next 6–12 months.

Step 6. (Optional) If you still have time, repeat Steps 1–6 for the other good governance principles included in GAPA.

Task 9. Explain next steps and close the workshop (convenor)

Wrap up by noting some of the ideas for action on the walls of the room. Try to select simple and low-cost ideas and suggest to participants that there is a lot that they can do by working together. Follow the normal practice in your locality for closing this type of meeting. Thank participants for their time, ensure you have their contact details and let them know how you will share the GAPA results with them.

Explain that the next steps of GAPA include communicating the results and action planning — where some of today's participants will work with decision makers from the key actor groups to identify opportunities to implement some of the ideas for action through existing or future work planning processes and projects. Finally, give participants the details of the agreed key contact point (as agreed in Activity 1.5), explaining that they can contact this individual should they have any questions or concerns after this workshop.

Task 10. Record the workshop (all facilitators and notetakers)

Before leaving the workshop, make sure you have detailed notes of the group exercises from your notetakers. Take good quality photographs of the cards on the wall, so that you can use the information to create the assessment workshop outputs.

Task 11. Create a PowerPoint of validated results and non-validated results. Remember to include in the notes section any comments on specific results that were not validated — including reasons why — and any requests for more information. Make sure you add the ideas for action into the presentation alongside the relevant governance challenge.

🖰   For examples of PowerPoint presentations, see the IIED website (www.iied.org/gapa).

Outputs

The following outputs are to record all the information from the workshop and, in the case of strengths and challenges — whether they were validated or not:

✧   PowerPoint presentation of validated results (results where there was consensus) and non-validated results (either rejected or where there was no consensus)

✧   (Optional) A brief workshop report (for internal use only) compiled from the notetakers' detailed notes and photographs of the output of the group exercises.

5.   Phase V: Taking action

All too often, there is little or no action in response to an assessment. This should not be the case for GAPA and Phase V is designed to guide you on how to use the GAPA results to facilitate actors to take action.

Before you start Phase V, make sure you have finalised the following outputs from the Phase IV:

1.   Validated governance strengths and challenges, by good governance principles.

2.   Practical ideas for action from key informant interviews, focus group discussions and the assessment workshop

3.   (Optional) Findings from a governance and equity scorecard survey (see Annex 12)

Action starts by communicating the GAPA results to people who can make use of them. This includes site-level actors such as the PA/CA management, local communities and indigenous peoples' leaders, national government representatives, local government authorities and any other relevant site actors such as NGOs or private sector businesses. It also includes national-level actors such as senior PA/CA managers, local government leaders and senior private sector and donor agency staff.

Phase V also covers action planning, monitoring and reviewing progress. If budgets are tight, make sure you at least get as far as implementing the action planning phase (Activity 5.2). This is where the whole GAPA process has been leading to: local actors implementing ideas for action to improve governance at the PA/CA.

GAPA should end with the results being mainstreamed within key actors' planning processes and projects. Phase V is where this mainstreaming takes place. After the end of the GAPA process, we expect key site-level actors to continue monitoring progress, learning from the experience and feeding this information into annual planning and PA/CA management planning as part of its normal planning process. To reach this point will take at least 12 months from the start of Phase V (ie one full annual planning cycle). At this point one cycle of the GAPA process comes to an end. We suggest a full repeat of GAPA at least every five years, aligned with the PA/CA management planning cycle.

Phase V: Taking action

5.1   Communicating the GAPA results

Communicating the GAPA results is an important first step of Phase V, because actors need to know what the key governance strengths and challenges are before they can take any action to improve governance at the PA/CA. It is key to maintaining actor engagement in the GAPA process and promoting accountability for action and to ensuring that the GAPA team act transparently and comply with ethical research standards.

A GAPA facilitator presents results from the Philippines. Credit: IIED/Francesca Booker

Objective

To communicate GAPA results to key actors and encourage the implementation of the ideas for action generated by the assessment.

Time required

5–6 days

You should communicate the GAPA results in the eight weeks after the end of Phase IV. It should take two to three days to prepare the communications outputs and several more days to organise sharing them through, for example, presentations at meetings. The convenor or GAPA lead facilitator can do this on a part-time basis, around their other duties.

Who facilitates?

The convenor or GAPA lead facilitator should coordinate these communication activities, but a range of people can implement them, according to the skills required.

Phase V: Taking action

Who participates?

There are three broad audiences for GAPA results. You will have identified many of the specific actors that make up your audience during the stakeholder analysis in Phase I and many of them should have attended the assessment workshop in Phase IV.

In this section, we summarise the three key audiences and the communication methods you could use to share the GAPA results with them. You do not need to restrict yourself to the methods we list below; feel free to use other methods, particularly if they are more innovative and creative. But always try to use the most appropriate communication method for your target audience.

A. **Key site/local-level actors with influence in relevant planning processes,** including the PA/CA management planning processes and planning by other key local-level actors — such as local government, NGOs and/or tourism operators — that is relevant to the PA/CA and related conservation and development activities. For this audience we recommend:

- A full PowerPoint presentation in the national language based on the presentation produced immediately after the workshop, but with <u>validated results only</u>. This presentation serves as the complete, formal record of the GAPA results.

- A short report of no more than four pages in the national language. Planners/decision makers rarely read anything longer than a few pages — again, <u>validated results only</u>.

B. **Higher-level decision makers who influence financial and political support for action.** These include senior PA/CA managers, national government leaders and senior private sector and donor agency staff who are unlikely to have attended the second stakeholder workshop or to have the time to sit through a full presentation of the assessment results. For this audience we recommend:

- A short PowerPoint presentation in the national language. This should be a maximum of ten slides highlighting key points and ideas for action. For the presentation to share technical information and convince the audience of the credibility and importance of the results, it must have clear messages, nice formatting, and some photos of key activities to break up the text.

- A brief report in the national language: essentially the same report as in 'A.' above, but adjusted for the higher-level audience.

C. **Wider audience of actors at site/local level.** To define this wider target audience, you will need to refer to the stakeholder analysis.

🗐   Use the stakeholder analysis (done as part of Activities 1.3 and 2.1).

Pay attention to actors with a medium to high level of interest in PA/CA-related social impacts. Reaching all will be impossible; even reaching a substantial proportion can be challenging and costly. So, you will need to think creatively to achieve the best coverage with the available resources. For this wider audience, we suggest three possible communication methods/tools:

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- A brief report in the local language based on the report written for site/local-level actors. For this wider audience, you will need to carefully manage expectations, explaining that ideas for action are only suggestions and not yet commitments.

- Community meetings where you verbally present a summary of GAPA results to communities beyond those who were involved in the assessment. To minimise costs, you could combine this presentation with another community meeting. Even so, the cost of visiting many communities to make these presentations may be prohibitive.

- Radio and web-based media: For many years in developing and developed countries, agriculture and other sectors have used radio programmes to disseminate important information. More recently, web-based information platforms and social media are increasingly performing this role and you could use them to share GAPA results.

Background information

There are several reasons why you should communicate GAPA results to a wide audience and these include:

Actor engagement: GAPA generates and shares information with local and national actors to foster actor engagement in tackling key governance challenges.

Transparency: Whatever the specific issues raised by the assessment, openly sharing the results is important for building trust, which is integral to the GAPA process. A lack of information sharing can lead to rumours and suspicion, disrupting conservation and causing conflict.

Research ethics: Sharing GAPA results with the people who contributed to them is a key element of the ethical code of conduct of researchers and donors who fund assessments.

Try not to focus on just one audience type at the expense of others because you think they are less influential. The degree to which local-level actors can influence PA-related decision making will depend on the PA/CA governance type (state, shared, private or community). But, there are many other ways to engage site-level actors in PA/CA-related activities — for example, local people might be willing to get involved in monitoring and reporting human-wildlife conflict, illegal activities, misconduct of officials or the receipt of benefits such as legalised harvesting of forest products.

Communicating the GAPA results tasks

Task 1. Create a simple communications strategy (convenor)

Your strategy should outline the intended audiences, outputs and methods for communication.

  Use the sample Communications strategy in Annex 10 or a template you are familiar with from your organisation.

Task 2. Finalise the full PowerPoint presentation (convenor)

This should be a complete version of the validated GAPA results and ideas for action. Edit the validated governance strengths or challenges to make sure they are clear and easily understandable and if necessary, tone down the wording of some statements to avoid counter-productive reactions.

☝ Use the sample PowerPoint presentations from the IIED website (www.iied.org/gapa).

Task 3. Create a shorter version of the GAPA results (convenor)

This should have a maximum of ten slides and focus on the key governance strengths and challenges. Keep the number of words on each slide to the minimum needed for the audience to understand the point. Put extra information in the notes section, which a presenter can read if necessary.

Task 4. Prepare a brief report (convenor)

This should be no longer than four A4 pages (2,000 words). This report will contain less information than the full PowerPoint presentation and should focus on what you consider to be the more important issues. You may want to create two to three versions of this report – one for site-level decisions makers, one for the wider community (which will likely need translation), and one for higher-level, national decision makers. The latter version of the report should highlight systemic governance challenges that require attention from national policy makers, NGOs and funders.

▤ See examples of short reports on the IIED website (www.iied.org/gapa).

> Note, for all the outputs you produce, make sure you clearly add the name of the convenor and the **key contact point** — including their email address and/or phone number — so that interested parties can find out more information.

Task 5. Share drafts for comment (convenor)

Before finalising the PowerPoint(s) and short report, share drafts for comment with the facilitation team, at least one person in the convening organisation and an appropriate person in the host organisation(s). Edit all products to address any comments.

Remember to avoid making any substantive changes to the validated GAPA results as participants may view this as tampering with the results, which will damage GAPA's credibility. Focus instead on summarising the validated governance strengths or challenges in a clear and easily understandable way and avoid using inflammatory language.

Task 6. Share the outputs (convenor)

Guided by your communications strategy, share the outputs you have created with your target audiences in an appropriate way. Where possible, arrange meetings to present and discuss the results and provide the report as a handout at the end.

Outputs

Essential

✧ Simple communications strategy

✧ PowerPoint presentation of all the validated results: strengths and challenges and ideas for action

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✧ Shorter PowerPoint of the key results

✧ Brief four-page narrative report of the assessment results, possibly in two versions — one for site-level decision makers and one for higher-level decision makers

Optional

✧ A report for a wider community at the site level in the appropriate local language, based on the four-page narrative report

✧ Radio programme

✧ Web-based information, including a social media presence.

You may have also identified other communications outputs as part of your communications strategy. You should decide whether these outputs are essential or options.

5.2   Action planning

Action planning involves identifying specific ideas for action that local and national-level actors can take up in their planning processes and day-to-day work to improve governance at the PA/CA. All the hard work and efforts of the actors involved in the multi-stakeholder GAPA process have been building to this point. It is a crucial activity to make sure the GAPA brings about change.

Participants at an action planning workshop in Kenya discuss their ideas for action. Credit: IIED/Francesca Booker

Objectives

1. To enable key actors to identify appropriate actions that will contribute to improving governance at the PA/CA.

2. To generate an action plan that specifies time-bound commitments for implementation and serves as the basis for monitoring action and promoting accountability for action.

Time required

Up to 4 days

Action planning should build on the momentum of the previous phases of GAPA, so do not wait too long to get this activity started. Start the process in the four to eight weeks after the assessment workshop and continue for up to 12 months after the end of Phase IV as opportunities arise in key organisations' normal planning processes.

For action planning, you will need:

- 1 day for preparation

- 1 day for an action planning workshop

- 2 days to create the outputs

Who facilitates?

If the GAPA lead facilitator and members of the facilitation team are still available, they could help with this action planning activity. Otherwise, staff from the convenor organisation and/or host(s) should lead this activity.

Who participates?

For a dedicated action planning workshop, you should invite participants with key roles in decision making at the PA/CA. Preferably, they should have already been involved in the GAPA process — in the scoping or assessment workshops — so you are not introducing GAPA from the beginning. Planning is difficult to do in a large meeting, so you should aim for no more than 15–20 participants.

Try to get three to five individuals from each relevant actor group including the following possible groups:

1. PA/CA management

2. Local government

3. Community representatives and community based organisations/groups

4. Indigenous peoples' representatives

5. NGOs and/or

6. The private sector

Remember to invite both women and men.

Participants should include people with key decision-making powers. You may need to invite higher-level managers or representatives, rather than junior-level staff, if they are the only individuals who can commit their organisations/groups to take action.

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Background information

The final output of the assessment workshop was a set of validated results and non-validated results on the governance strengths and challenges at the PA/CA. If you had time to work on ideas for action at the assessment workshop, you will have a complete set of ideas for action. If you did not manage to cover ideas for action at the assessment workshop — for example, if you ran out of time as a result of a late start — you should at least have the ideas for action proposed by focus groups and key informants. In the communications activity you will have then produced a more polished presentation of just the validated results and the ideas for action that you have.

The ideas for action will probably be vague and there may be no clear indication of which actors might lead or support their implementation, so you will need to refine them during action planning activities. There also could be some gaps and you may ask the workshop participants to identify additional ideas for action. Remember that these must be specific and practical.

There are two approaches to action planning: mainstreaming and a workshop. Both aim to get the key actors to make specific commitments to taking action on priority issues.

Mainstreaming within key actors' normal planning processes. This approach focuses on ensuring that existing PA/CA management and other key actors' planning processes and projects take on board some of the ideas for action and integrate them into their annual planning processes. There may also be some simple, low/no-cost actions that could be included in PA/CA staff's monthly work plans. Some actors may invite input from GAPA on their own initiative; but more often, you will need to actively seek an invitation to share the GAPA results at relevant planning events to identify ideas for action and promote uptake.

Where GAPA participants are looking for a stronger and faster response to the results, you should organise a dedicated **action planning workshop** to develop a specific governance action plan. This approach will enable a more systematic, transparent process for building a governance action plan detailing how different actors will take action to improve governance at the PA/CA in the next 12 months.

Action planning tasks: identifying opportunities

Task 1. Select action planning activities (convenor)

To identify action planning opportunities, organise a small, informal meeting with the GAPA lead facilitator (if still available), convenor, host and representatives of the most important key actors in terms of implementing key actions. At this meeting, you should:

▪ Identify relevant local site-level and national-level actors' annual planning and other events where you can discuss the GAPA results and plan actions

▪ Decide who could support each event and seek who will make a presentation at the event

▪ Review the arguments for and against organising a dedicated action planning workshop, and

▪ If there is a consensus in favour and funding, plan the event and develop the invitation list.

Action planning tasks: mainstreaming action

Task 1. Encourage groups to mainstream action (convenor)

Step 1. Attend the targeted annual planning meeting(s) to present the GAPA results and encourage organisations/groups take up relevant actions in their current planning processes and projects/programmes.

≡   Use your short PowerPoint presentation of the key GAPA results (Activity 5.1 output).

Step 2. Confirm with the organisation/ group during the meeting - and then again after the meeting (in writing via an email or letter) - the specific actions they will take up in their current planning process and projects/programmes.

Also make sure you have a brief discussion on the information the organisation/group will collect in the coming year to show whether and how the specific activities associated with an action have been implemented and outputs delivered (ie a discussion on activity and output monitoring).

Step 3: Confirm with the organisation/ group after the meeting the specific actions they will take up in their current planning process and projects/programmes, as well as the actions they will take to monitor progress. We suggest doing this in writing via an email or letter. If appropriate, you can ask to see the where the commitments are stated within the organisation/group's annual work plan or project/programme plan.

📖   Adapt and use the governance action plan template (Annex 11) to confirm and keep a record of commitments if you attend multiple meetings of different organisations/groups.

Action planning workshop preparation tasks

To prepare for an action planning workshop, the convenor or whoever is going to run the workshop will need to undertake several tasks in advance.

Task 1. If you need to, prepare a briefing note for participants who have not participated in the GAPA process to date. One option is to summarise the process in an email invitation and attach the four-page narrative report you produced in Activity 5.1.

Task 2. Ensure you have the necessary stationery for the action planning group exercise (see Box 12) and that you set up the room for this exercise at the start of the workshop.

Task 3. Prepare an action planning workshop agenda. Workshop participants usually like to see an agenda when they arrive.

📖   Adapt the sample action planning workshop agenda (Annex 6).

Task 4. Decide who will take notes in advance of the workshop. On the day, make sure a notetaker records all the information from this task.

📖   They should use the governance action planning template (Annex 11).

Task 5. Be prepared to introduce GAPA at the start of the workshop using the slides you created to introduce the GAPA methodology during the preparation tasks for scoping workshop (Activity 2.1).

📖   Adapt the slides you created to introduce the GAPA methodology at the scoping workshop (Activity 2.1).

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Box 12. Preparing for group exercises at the action planning workshop

You will need:

- Marker pens
- Two different colours of A4 sheets of paper/card (eg pink and blue)
- Sticky tape (one roll per group)

Before the workshop (convenor and facilitators)

In the days before the workshop, prepare your findings for the group exercises by writing the governance challenges and ideas for action from the key informant interviews, focus group discussions and the assessment workshop for each of the five good governance principles on A4 cards. Be careful not to mix up the findings; keep them grouped by good governance principle. Use one piece of A4 card for each finding and use different colours for challenges (pink) and ideas for action (blue). Write in the appropriate language — English and/or the local language.

On the workshop day (workshop facilitators)

Prepare the room for the group exercises while waiting for participants to arrive.

- Find a good space on the wall for each of the two groups to use during the group exercise. Try not to place the groups too close together, or people will struggle to hear the discussion.
- Arrange seats in a semicircle to view the wall, making sure all participants will be able to join the group discussion.
- Stick a card on the wall with the heading of one of the good governance principles.
- Under the heading, add the pre-prepared cards on governance challenges as column one.
- In the next column add the ideas for action (from focus group discussions, key informant interviews and the assessment workshop). Make sure you stick them next to the governance challenge. If you have multiple ideas for action present them horizontally, across the wall.
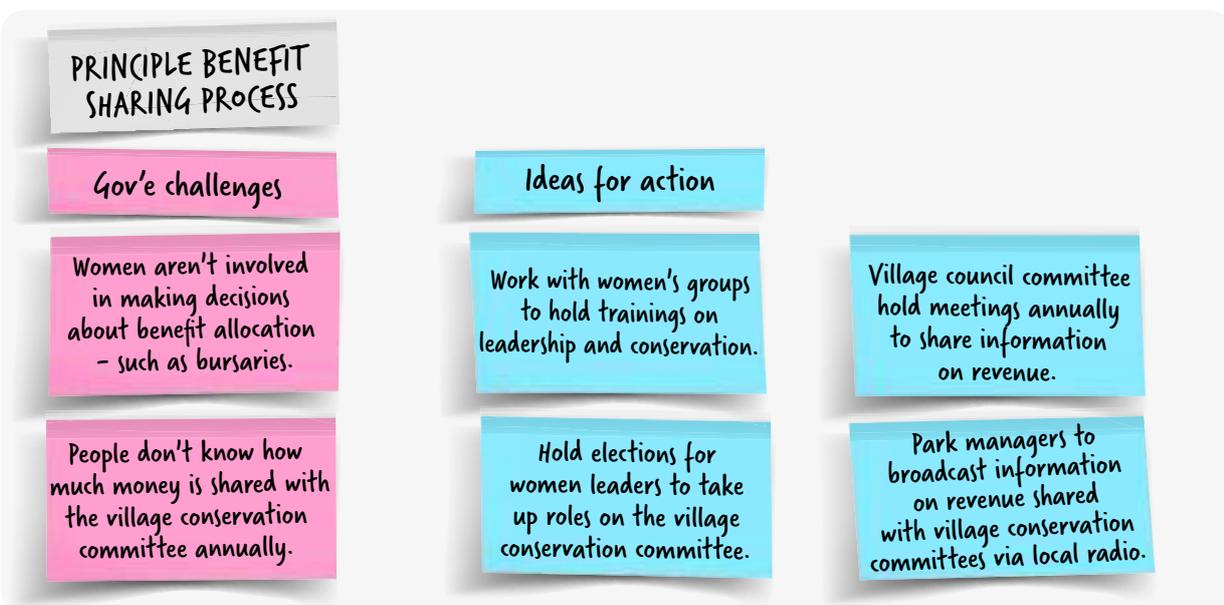
Action planning workshop tasks

Task 1. Open the workshop

Follow the normal practice in your locality for opening this type of meeting. This may involve asking one of the participants to formally open and chair the meeting. If you can, make sure that this person understands the purpose of the meeting and GAPA. Where participants do not know each other, ask all participants to introduce themselves and who they are representing at the workshop. Make sure all facilitators and notetakers introduce themselves to the workshop participants before moving on to the next step. If necessary, introduce some norms (ground rules) for the meeting.

Task 2. Present the workshop objectives

Explain the objectives for today's workshop to the workshop participants:

▪ To finalise a list of ideas for action for improving governance in the next 12 months, and

▪ To develop a basic action plan that specifies the contribution and responsibilities of different actors and approximate timing for implementing actions.

Task 3. Introduce governance and GAPA

Using your pre-prepared PowerPoint presentation adapted from the scoping workshop (Activity 2.1) remind participants of the GAPA process and methodology. Allow time for clarification questions.

Task 4. Identify ideas for action

Step 1. Split participants into two groups. Make sure each group includes representatives of all the key actor groups present at the workshop. Ask the groups to move to the areas of the room where you have prepared the group exercise on the wall (see Box 11).

Step 2. Ask each group to focus on one of the core good governance principles. So, Group 1 might focus on participation in decision making, while Group 2 focuses on benefit sharing. In each group, the group facilitator should use the pre-prepared cards on the wall to summarise the governance challenges and the ideas for action from the key informant interviews, focus group discussions and the assessment workshop. Emphasise that, while the strengths and challenges have been approved (validated), ideas for action are from a brainstorming session, so are not definitive.

As you summarise, work with the group to refine ideas for action, making them specific, practical and feasible. If you cannot refine them in this way, remove the ideas for action. Remember you should not add ideas for action that are:

1. Actions that have no relevance to the governance principle where they appear.

2. Actions that propose an illegal activity/response.

3. Actions that may cause offence or conflict.

4. Actions where there is no chance of making some progress in the next 12 months.

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Step 3. Go through the specific governance challenges, asking participants to suggest more ideas for actions to tackle them, adding these ideas to the wall on new pieces of white card/paper. Remember to only add actions that are specific, practical and feasible in the next 12 months.

Examples of good and bad ideas for action

Specific and practical ideas for action include:

> A study on how women can access firewood sustainably in the conservancy 😊

> Involving human rights activists to educate the game rangers about human rights 😊

Bad examples of ideas for action include:

> There should be equitable benefit sharing ☹

> Local people should be provided with information about revenue sharing ☹
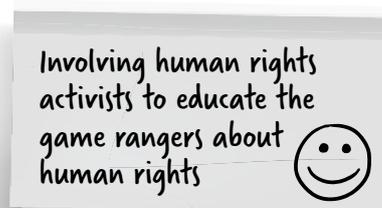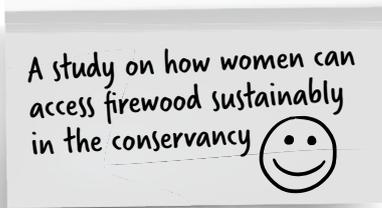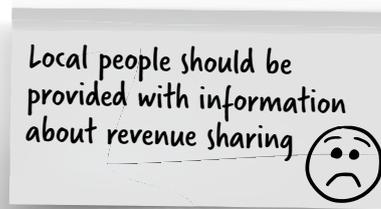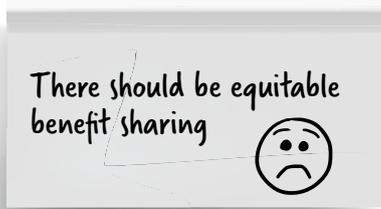
These are vague and unacceptable. What do actors consider to be equitable benefit sharing? Should it target the most needy, those who are vulnerable to human-wildlife conflict or those who contribute to conservation? How do local people want to get this information? What exactly do people want to know about revenue sharing?

Task 5. Rotate groups

Ask participants to rotate groups and group facilitators: stay with the principle they were helping participants discuss.

Group facilitators: do not move with your group. Summarise the governance challenges and ideas for action for your principle to the new group and ask the new participants to suggest any more ideas for action to tackle each specific governance challenge. Add these ideas for action to the wall on separate pieces of white paper/card as they are suggested. Remember, only add actions that are specific, practical and feasible in the next 6–12 months.

Task 6. Review the other principles

Repeat Tasks 4 and 5 for the three other good governance principles prioritised in GAPA, allocating the principle with most challenges to one group and the other two principles to the other group.

IMPORTANT NOTE: If you are working in a PA/CA where the managers will not feel free to talk openly about possible commitments and actions, you should consider doing tasks 7 and 8 with the PA/CA managers only. In this case there will be no need to do task 9 because you will be working with only one group (the managers). If you choose to do tasks 7 and 8 with just the PA/CA managers, before closing the workshop for all the other participants, you could ask them what general areas/ideas for actions they would be willing to help managers take forward. Make sure you take a note of their suggestions. Also, please do task 10 (explain the next steps) before the other participants leave the workshop.

Task 7. Making commitments

Step 1. To make commitments to take ideas for action forwards, split participants into actor groups; so, put community leaders and representatives in one group, PA/CA management in another, NGOs in another and so on.

Step 2. Ask groups to reflect on the ideas for action on the meeting room wall for all five good governance principles, then ask them to identify between two and ten ideas for action that they think their organisations/groups could take up in their existing planning processes, projects, strategies and so on. While the main emphasis is on integrating ideas for action into annual planning processes, there may also be some simple low/no-cost actions that actors could include in their monthly work plans.

Step 3. Underline to participants that their priority ideas for action should:

- Require little or no additional funding, so they should be able to include them in their current work plans/commitments, and

- Provide quick and visible wins for improving governance at the PA/CA.

❖   **Top tip:** One group facilitator should work with the group of community leaders/ representatives to undertake this activity, as they may need help reading the cards. The other facilitator could move between the other groups helping where necessary.

Task 8. Elaborate on specific actions

Once the groups have identified between two and ten ideas for action, ask them to elaborate on the specific activities they will undertake to implement each of the actions and which organisation/group should lead and be responsible for each of these activities.

❖   **Top tip:** Again, facilitators should help with this elaboration process. One can work with the community leaders/representatives and the other can rotate between the other groups, offering assistance where needed.

Task 9. Feedback in plenary

Ask each group to feed back in plenary the actions that they commit to take forwards in the next 6–12 months and the specific activities for each, subject to agreement from line managers or obtaining organisational/group consent. Allow the other groups to ask questions for clarification,

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suggest specific activities and highlight any possible areas for joint working (coordination or collaboration).

Task 10. Explain next steps and close the workshop

Follow the normal practice in your locality for closing this type of meeting. Thank participants for their time, ensure you have their contact details and inform them of next steps. Tell them that you will follow up with a draft governance action plan summarising the ideas for action and organisations/groups that will lead or contribute to undertaking specific activities. Ask participants to follow up within their organisation/group on how they can take up the activities they identified within current plans or programming, and/or future plans or programming and to assign specific activities to members of their organisation/group. This includes assigning monitoring and reporting actions to the convenor, who should be committed to continue in this role for the next 12 months.

Task 11. Record the workshop (see Who facilitates? above)

Before leaving the workshop, make sure you have detailed notes of the group exercises from your notetakers. Take good quality photographs of the cards on the wall, so you can use this information to create a simple governance action plan.

Action planning tasks: after the action planning workshop

Task 1. Produce a simple governance action plan (convenor)

Liaise with participants as necessary to clarify any questions or fill any gaps; then produce a simple governance action plan that summarises the ideas for action different actor organisations/ groups who are committing to taking action.

📖 You can use the simple governance action plan template in Annex 11, or a template you are familiar with and is used by your organisation.

Task 2. Share the draft plan (convenor)

Two or three days after the workshop, share this governance action plan via email or in person.

Ask actor organisations/groups to respond within four weeks, confirming their commitments to specific activities for each of the ideas for action that they will lead on or contribute to implementing. Remember to capture information on who will report back to the convenor on actions that are implemented and any impacts (ie clarify who will be responsible for monitoring and the indicators they will use to monitor progress).

Task 3. Finalise the plan (convenor)

Once you have heard from every actor group — hopefully within two weeks after the workshop — finalise the governance action plan and share it via email or in person with all the actor groups that participated in the workshop. This will ensure that all actors are clear on what activities each actor group will be leading. Highlight any activities that are complementary, where actor groups might work together.

Task 4. Capture progress (convenor)

Regularly (every 8–12 weeks) check in with the actors who committed to take action as part of their annual work plans, project/programme plans and/or as part of the specific governance action plan. Ask them questions like:

- How is action progressing?

- Are there any comments on the early impacts of actions?

- Are there are opportunities or challenges related to implementing action(s)?

Add notes to the monitoring section of the governance action plan and offer help or advice if they need it or suggest an organisation/group they could seek advice from.

Outputs

✧ Governance action plan, comprising a 12-month plan for ideas for action with clearly defined responsibilities and timeframes.

✧ (Optional) A brief workshop report compiled from the notetakers' detailed notes and photographs of the cards from group exercises.

5.3   Monitoring progress

We have started to think about monitoring progress in Activity 5.2. This section gives you information on the types of monitoring you can do. We monitor progress because we want to know what progress is being made and have information to hold actors to their commitments.

Objective

To prepare a monitoring plan and enable key actors to collect and analyse the information they need to monitor progress in responding to the key GAPA results.

Time required

Two weeks over the course of the year.

Who facilitates?

The convenor or GAPA lead facilitator can facilitate the development of the monitoring plan. Thereafter, because monitoring must continue well beyond the timeframe of GAPA, it is better that one or more of the key actors take on overall responsibility for monitoring.

Who participates?

Monitoring relies on information from several sources. The people who have — or control — access to this information should be considered participants in the monitoring system.

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Background information

Monitoring is collecting and analysing qualitative and/or quantitative data about change over time with reference to an initial situation (a baseline). There are four basic types of monitoring for reviewing progress:

- Activity monitoring: monitors the extent to which a project/programme's planned activities have been implemented and the quality of implementation.

- Output monitoring: monitors the quantity and quality of the direct outputs of a project/programme's planned activities. Often called deliverables, outputs are results that are fully under the control of the project/programme.

- Outcome monitoring: monitors the actions of people and organisations/groups that are significantly influenced by one or more of the project/programme's activities/outputs.

- Impact monitoring: monitors changes in wellbeing and/or biodiversity and ecosystem health that are expected — at least partially — to be caused by one or more project/programme outcomes. Impact monitoring is not included in this manual.

The level of complexity of the monitoring plan will vary according to the available capacity and resources but keep in mind that a plan that is so laborious it is largely ignored is of no value. In other words, keep monitoring as simple as possible, especially in the first year.

Monitoring progress tasks

Task 1. Activity and output monitoring (convenor/GAPA lead facilitator)

When you present GAPA results and proposed actions at planning meetings, you should facilitate a brief discussion on the information these actors could collect in the coming year to show whether and how the specific activities associated with an action have been implemented and outputs delivered. The discussion should also determine who will collect and analyse the data.

📖 Show actors how they can use a simple table or the governance action plan (Annex 11) to document this basic activity monitoring.

When it comes to periodically reviewing progress against your action plan — for example, by hosting a progress review workshop (Activity 5.4) — we suggest you use a simple governance progress review report. But if your organisation/group monitors activities and outputs using other methods, use the methods you are most familiar with, that are easy to integrate into your work schedule.

Task 2. Outcome monitoring (optional activity by the convenor)

At the time of publishing, IIED is working on including long-term outcome monitoring as part of GAPA using the site-level governance scorecard that we are piloting. If you designed a site-level scorecard as part of the optional Activity 3.4, you should be able to use it as a baseline against which you monitor change.

📖   See the guidance on the site-level governance scorecard in Annex 12.

Outputs

✧   Governance activity and output monitoring plan

✧   Updated governance action plan

5.4   Progress review workshop

> The final stage of GAPA is to review progress and find out: What happened next? How have local actors progressed on implementing ideas for action at the PA/CA? It is a point of reflection to see whether local actors are on track to achieving action to improve governance at the PA/CA following GAPA.

Objectives

1. To review the progress on taking action, understand how to address any constraints and identify activities and targets for completing action, and

2. To identify additional actions for implementation in the coming year and targets for completing these actions.

Time required

Up to 2.5 days

- 0.5 days preparation

- 1 day for the workshop

- 1 day to create the outputs

Who facilitates?

The convenor should facilitate this workshop or ask for support from the GAPA lead facilitator or other facilitation team members, if available.

Who participates?

Up to 20 participants of the action planning workshop (Activity 5.2). Another representative of an organisation may attend if they are aware of the GAPA action plan and progress on related activities.

Background information

Resources permitting, Phase V should include a one-day workshop of key actors to review progress. Ideally, this should take place halfway through Phase V, six months after the assessment workshop (Activity 4.1) and at least four months after the action planning workshop (Activity 5.2).

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This workshop aims to review, in broad terms, progress and constraints in implementing the ideas for action that actors committed to, without going into details of specific activities. The workshop adopts an 'appreciative' approach, asking participants to make a self-assessment of progress on a four-point scale (fully, mostly or partially achieved, or no progress).

This approach makes for efficient use of limited time. Although it runs the risk that participants exaggerate progress, it tries to ensure that they do not judge an action as concluded until it is genuinely successfully completed.

Progress review workshop preparation tasks

To prepare for the progress review workshop, the convenor will need to undertake several tasks.

Task 1. Adapt and update the PowerPoint presentation you used in the action planning workshop (Activity 5.2). No longer than ten slides, the presentation should serve as a reminder of the GAPA process and methodology, including who was involved — multiple local actors, the convenor, the hosts and the facilitation team — what the process looked like — workshops, key informant interviews and focus group discussions and what stage in the process you have reached.

    📄   Adapt the presentation you prepared for Activity 5.2.

Task 2. Adapt the full presentation on governance assessment results including challenges, ideas for action (Activity 5.1). Add a slide or two on the governance action plan (Activity 5.2).

    📄   Adapt the final PowerPoint presentation(s) of the GAPA results (Activity 5.1 output) and combine with governance action plan (Activity 5.2 output).

Task 3. Print copies of the governance action plan you created in Activity 5.2. Give these to workshop participants as a handout so they can refer to the plan throughout the workshop.

Task 4. Create a handout of the governance assessment challenges and ideas for action suggested during Activity 5.2 (including those actions that were not prioritised). This is good reference material for Task 5, Review of GAPA implementation.

Task 5. Get the necessary stationery, prepare the cards and set up the room for the progress review group exercise (see Box 13). It is also a good idea to practise the exercise with facilitator(s) to make sure they understand it before the workshop begins.

Task 6. Prepare a review workshop agenda. Participants usually like to see an agenda when they arrive at a workshop.

    📖   Adapt the sample progress review workshop agenda in Annex 6.

Box 13. Preparing for progress review group exercises

You will need:

- Marker pens
- Five different colours of A4 sheets of paper/card (pink, blue, yellow, green, white)
- Sticky tape (one roll per group)

Before the workshop (convenor and facilitators)

In the days before the workshop, summarise the governance action plan onto cards so you can display it on the wall of the meeting room for a participative progress review exercise. For each good governance principle, write the governance challenges, ideas for action, and actor(s) responsible for action on to separate A4 cards. Use different coloured card for each: pink for governance challenges, blue for ideas for action, yellow for the actors responsible and so on. Be careful not to mix up the findings; keep them grouped by the relevant good governance principle. Write in the appropriate language — English and/or the local language.

On the workshop day (facilitators and notetakers)

Prepare for the exercise while waiting for representatives of organisations/groups to arrive.

- Find a good space on the wall to display each of the good governance principles you will discuss in Task 5, 'Review of GAPA implementation'.
- In each space, stick a piece of card containing one good governance principle on the wall.
- Under this heading, add the pre-prepared cards on governance challenges in one column, then add ideas for action in the next column. Make sure you place the ideas for action next to the relevant governance challenge.
- Add a third column for the actors responsible for implementing the ideas for action, and progress to date. You will complete this column in the workshop.
- Add a fourth column for activities remaining to be implemented. You will complete this column in the workshop.
- ❖ **Top tip:** To make reporting as easy as possible, fully align this table with the governance progress review report template (Annex 11).

See the graphic below to guide your preparation.

PRINCIPLE PARTICIPATION IN DECISION MAKING			
Gov'e challenges	Ideas for action	Actor responsible Progress & evidence	Next steps — activities yet to implement
. . .	. . .	✓ Achieved . . .	Need to . . .
. . .	. . .	In progress . . .	Need to . . .
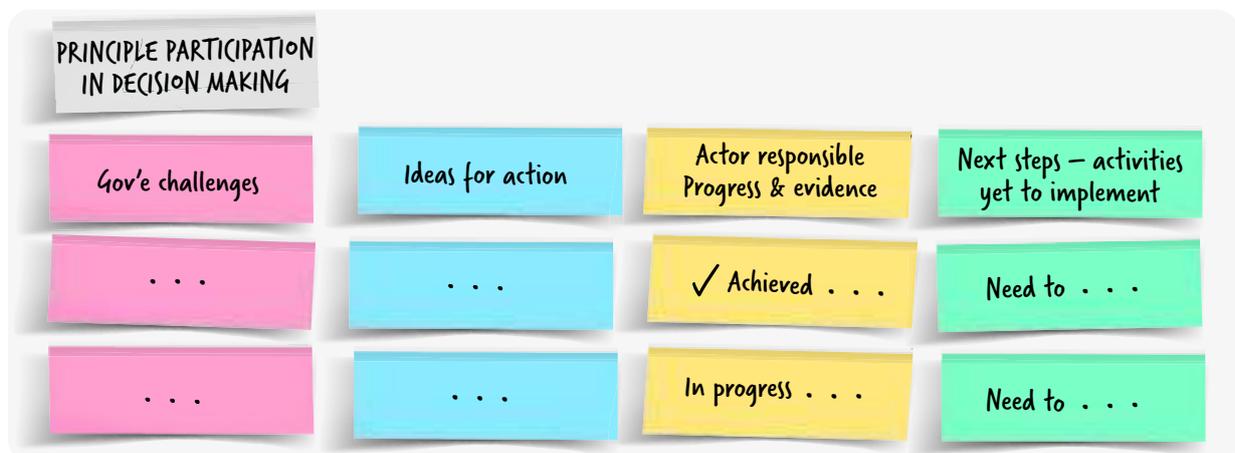
Progress review workshop tasks

Task 1. Open the meeting (convenor or a member of facilitation team — if available)

Follow the normal practice in your locality for opening this type of meeting. This may involve asking one of the participants to formally open and chair the meeting. If you can, make sure that this person understands the purpose of the meeting and GAPA. Where participants do not know each other, ask all participants to introduce themselves and whom they are representing at the workshop. Make sure all facilitators and notetakers introduce themselves to the workshop participants before moving on to the next part of the workshop. If necessary, introduce some norms (ground rules) for the meeting.

Task 2. Introduce the workshop objectives (convenor or a member of facilitation team — if available)

Introduce and explain the objectives for today's workshop, which are to:

- Review the progress on implementation of agreed actions, understand how to address any constraints and identify activities and targets for completing the action, and

- Identify other actions for implementation in the coming year, and targets for completing these actions.

Task 3. Introduce the governance assessment of the [insert name of PA/CA] (convenor or a member of facilitation team – if available)

📑 Use the presentation you prepared to remind people of the GAPA process and methodology. Allow time for questions and clarification from workshop participants.

Task 4. Provide an overview of GAPA to date (convenor or a member of facilitation team — if available)

📑 Use the presentation you prepared to give an overview of the GAPA results and the governance action plan.

Task 5. Review GAPA implementation to date (convenor or a member of facilitation team — if available)

Step 1. Make sure you have already set up for this exercise (see Box 13). Give participants the handout reference material you have prepared to refer to throughout this exercise (preparation tasks 3 and 4 from this phase). Ask participants to sit in a semicircle around the wall where one of the good governance principles is displayed. It is a good idea to start with a principle where you think there has been some achievement of the ideas for action (start positive!).

Step 2. Together, take each idea for action in turn and review reported progress to date. Read out the idea for action as written on the card, and ask participants:

- What evidence is there of progress on this action?

- Next, ask participants to mark the action card as follows, based on this evidence:

✓ = fully achieved

🙂 = mostly achieved

😐 = partially achieved, some work still to be done

🙁 = not yet addressed, but remains relevant for the coming year

✗ = to be dropped as the action is no longer relevant or is not practical.

Where actions are not yet addressed, or only partially achieved, ask:

- Are there any significant barriers to progress?

- How might actors overcome these barriers?

It is very important in this exercise to encourage different actors to contribute their views on progress to date, and barriers to progress as there is a tendency for leaders to dominate the discussion, overstating the progress and keeping quiet about barriers.

Make notes of all responses on pieces of card or Post-its and add them to the wall around the card.

Step 3. Focusing on the same principle, ask participants if they have any other ideas for action for implementation in the coming year. Participants can use the reference material handouts you gave them on the governance action plan and the governance assessment challenges and ideas for action (preparation tasks 3 and 4 from this phase). Add any additional ideas for action to the wall. Only add new ideas if at least one of the actors present commits to lead on, or contribute to, the action.

Limit the discussion to just one or two additional ideas; focus on ideas that require little/no additional funding, so actors can do them within their current work plans/commitments, and provide quick, visible and practical wins for improving governance at the PA/CA.

Step 4. Repeat Steps 2 and 3 for the other good governance principles, moving around the room to where they are displayed on the wall.

Task 6. Explain next steps and close the workshop (convenor)

Before closing the workshop, in plenary:

- Identify actions that are yet to be achieved

- Discuss how to encourage continued implementation and keep up to date on progress

- Summarise any additional actions that participants have identified for the coming six months, and

- If you have time, consider how to share the governance action plan more widely with actors around the PA/CA.

Phase V: Taking action

Follow the normal practice in your locality for closing this type of meeting. Thank the participants for their time, ensure you have their contact details and let them know how you will share the review of GAPA implementation with them.

Task 7. Record the workshop (notetakers)

Before leaving the workshop, make sure you have detailed notes of the group exercises from your notetakers. Take good quality photographs of the cards on the wall, so that you can use this information to create the output associated with the progress review workshop.

Progress review workshop tasks: after the workshop

Task 1. Produce a draft governance progress review report (convenor)

Immediately after the workshop, update your governance action plan and governance progress review report with all the information you captured in the group review of GAPA implementation (Task 5 above). Include any extra ideas for action for the next year and commitments made by each organisation/group.

   📖   Use the governance progress review report template (Annex 11).

Task 2. Share the draft plan (convenor)

Two or three days after the workshop, share all updated versions of the governance action plan and the governance progress review report via email or in person. Ask each organisation/group to respond within four weeks, specifying any changes they would like to make to the governance progress review report and adding any necessary updates to the governance action plan.

Task 3. Finalise the plan and report (convenor)

Once you have heard from every organisation/group — hopefully within four weeks from the date of the workshop — finalise the governance action plan and the progress review report. Share these documents via email or in person with all organisations/groups that participated in the workshop.

Task 4. Capture progress (convenor)

Check in regularly (every 8–12 weeks) with the actors who committed to take action as part of their annual work plans, project/programme plans and/or as part of a specific governance action plan. Ask them questions like:

- How is action progressing?

- Are there any comments on the early impacts of actions?

- Are there are opportunities or challenges related to implementing action(s)?

Add notes to the governance progress review report and offer help or advice if they need it or suggest and organisation/group they could seek advice from.

Task 5. Share an updated governance action plan (convenor)

Share the plan among all participants of the progress review workshop and those who participated in the assessment workshop. This shows participants how local PA/CA actors are following up the GAPA process and taking specific actions to improve governance. Before you share the governance action plan, remove the columns relating to monitoring as these are not relevant to a wider audience.

Outputs

✧ Governance progress review report

✧ Updated governance action plan

✧ (Optional) A brief workshop report compiled from notetakers' detailed notes and photographs of the cards from group exercises.

Phase V: Taking action

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Annex 1. Good governance principles and themes

Good governance principles and themes for protected and conserved areas and associated initiatives		Explanatory notes
1. Recognition and respect for the rights of all relevant actors	1.1 Rightsholders' awareness and understanding of their rights 1.2 Skills and resources needed for rightsholders to claim their rights 1.3 Acknowledging rights and non-interference/violation (rights recognition and respect) 1.4 Stopping any rights interference/violations by other actors (rights protection) 1.5 Positive actions to enable people to exercise/enjoy a right (rights fulfilment) 1.6 Obtaining free, prior and informed consent, where applicable 1.7 Verification, reporting and documentation of any rights interference/violation 1.8 Remedies to obtain redress for a rights violation	These 8 themes cover: awareness of rights, skills and resources (ie capacity) to claim rights, the extent to which relevant duty-bearers recognise/respect/protect/fulfil rights, reporting of interference with/violations of rights, and actions in response to any violations. The scope of rights includes all human rights covered by global and regional treaties and conventions, rights defined in a country's legal framework, statutory and customary rights to own or use resources, and the rights of indigenous peoples, including free, prior and informed consent (FPIC). Duty-bearers are the actors that have legal responsibility to recognise/respect/protect the right. Primary duties to respect and protect rights are held by the state, while the duty to respect rights may also be held by private sector and civil society actors.
2. Recognition and respect of all relevant actors and their knowledge, values and institutions	2.1 Acknowledging interests and concerns of different actors (recognition of actors) 2.2 Acknowledging knowledge, values, and institutions of different actors (recognition of knowledge) 2.3 Actors' opinions of other actors (respect for actors) 2.4 Actors' opinions of other actors' knowledge, values, and institutions (respect for knowledge)	These 4 themes cover: the extent to which actors acknowledge the legitimacy of other actors and their knowledge value and institutions (KVI), and their opinion of other actors and their KVI. Under this principle 'respect' is defined in the common English sense of having a positive opinion/attitude rather than in the legal sense used when referring to rights. Relevant actors include all actors who have interests in the PA and related conservation and development activities, whether or not they have influence. Institution means an established statutory or customary law or norm as well as an organisation.
3. Full and effective participation of all relevant actors in decision making	3.1 Platforms and processes for relevant actors' to participate in decision making 3.2 Decision-making method (dialogue and consensus-based or otherwise) 3.3 Skills and resources for actors to participate in decision making 3.4 Quality of processes for selecting of actors' representatives 3.5 Communication between representatives and the actors they represent (two-way) 3.6 Inputs – verbal or written, direct or via representatives – into decision making 3.7 Influence that these inputs have on decisions that are made	These 7 themes cover: platforms and processes for decision making including both formal and informal arrangements/events, method of decision making, skills and resources actors need to effectively participate in decision making, the selection and performance of representatives, the inputs provided by actors or their representatives, and lastly whether these inputs actually have any influence. 'Full' indicates participation is respectful of community customs, inclusive and iterative. 'Effective' means that participants have influence on decision making but not necessarily in all cases. Participation includes meaningful consultation – a two-way exchange of views but where the lead actor can decide whether an input will be taken into account.

Good governance principles and themes for protected and conserved areas and associated initiatives		Explanatory notes
4. Transparency supported by timely access to relevant information in appropriate forms	4.1 Information gathering and analysis: processes, activities, technology and capacity 4.2 Information sharing: processes, activities, technology, materials and capacity 4.3 Access to specific information that actors want or have a right to have 4.4 Relevance, accuracy and timeliness of information that is made accessible/shared 4.5 Knowledge and learning derived from information that is made accessible/shared	The 5 themes cover: how information is gathered, how information is made accessible/shared, examples of information that should be shared, relevance/accuracy/timeliness of information, and lastly the knowledge and learning that actors should get from the information shared (the desired outcome of transparency) which will depend on how it is communicated. This theme covers all kinds of information needed for good PA management and governance. Sharing may be proactive or in response to a request. Where accountability is too sensitive to be assessed directly, then add 5.1 and 5.2 to transparency between 4.3 and 4.4, and if this principle is not used then the scope of 1.2 and 3.3 should be extended to include knowledge.
5. Accountability for fulfilling responsibilities, and other actions and inactions	5.1 Awareness of the responsibilities/duties of other actors 5.2 Actors' performance versus their responsibilities 5.3 Actors' performance versus financial policies and regulations 5.4 Skills and resources needed to hold responsible actors to account 5.5 Platforms and processes for holding actors to account 5.6 Specific accountability issues that have been or should be assessed 5.7 Response to accountability issues, including capacity building, rewards and sanctions	Accountability is the requirement that an actor – organisation or individual – be answerable for their general conduct and specific actions, including, but not limited to, their designated responsibilities. Accountability may be upward to higher levels, downward, and/or horizontal, and also applies to inaction in a situation when action should have been taken. These 7 themes cover actors' awareness of who is supposed to do what, whether actors have the necessary information on performance of other actors that they would need to hold them accountable, the skills and resources needed to hold people to account, the platforms and processes (formal and informal) for doing so, examples of accountability issues that have (or should be) identified, and the response of those in authority to these accountability issues.
6. Access to justice including effective dispute resolution processes	6.1. Structures and processes (statutory and customary) that exist for dispute resolution 6.2. Awareness of, and the ability to access, dispute resolution processes 6.3. Skills and resources for dispute resolution processes to operate effectively 6.4. Access to the courts where dispute resolution mechanisms do not succeed 6.5. Dispute resolution outcomes, including the fairness of settlement and any redress	These 5 themes focus on dispute resolution outside the formal court system: structures and processes for dispute resolution, actors' awareness of them, the skills and resources needed for them to work, access to the courts if needed and the outcomes – successful or otherwise – of dispute resolution. Access to justice/dispute resolution may involve state and/or non-state mechanisms (eg customary arrangements). The scope of PA-related disputes may include the on-going impacts of historical injustice going back many years as well as more recent events.
7. Effective and fair law enforcement	7.1. Awareness of relevant laws and regulations, and codes of conduct 7.2. Respect and protection for law enforcement agents and other actors who assist them 7.3. Conduct of enforcement agents and other actors when doing law enforcement 7.4. Coordination between actors contributing to law enforcement 7.5. Procedures and sanctions for prosecution of offenders 7.6. Law enforcement outcomes – reduction in illegal activities.	Law enforcement is both a management and governance issue. Management relates to planning, implementing and monitoring LE activities. Governance relates to respect, behaviour, and overall system performance in relation to the law and codes of conduct. These 6 themes cover awareness, respect for LE agents, the conduct of these agents, prosecution of offenders, and outcomes. Though focused on illegal activities in relation to PA conservation, this principle may also be interpreted more broadly as 'rule of law' – that all people and institutions are subject to, and accountable to, law that is fairly applied and enforced.

Good governance principles and themes for protected and conserved areas and associated initiatives		Explanatory notes
8. Effective measures to mitigate negative impacts on Indigenous peoples and local communities	8.1. Assessment of existing negative social impacts, their effect on wellbeing, and needs 8.2. Impact mitigation strategy and the process used for its development 8.3. Allocation of responsibilities for impact mitigation - who is supposed to do what 8.4. Monitoring negative impacts as they occur and reporting to the responsible actors 8.5. Whether and how the responsible actors respond to avoid/reduce negative impacts 8.6. Impact mitigation outcomes– negative impacts avoided/reduced, and for whom	These 6 themes cover assessment of negative impacts, what the strategy says, responsibilities for impact mitigation, reporting of negative impacts when they occur, how responsible actors respond and actual outcomes – successful or otherwise. Negative social impacts may affect any aspect of wellbeing, whether or not there is a monetary value, including opportunity costs such as loss of access to resources. Mitigation of negative impacts is based on a combination of measures to avoid negative impacts (as far as possible), to minimise any remaining impacts, and to remedy any residue of impacts (eg through compensation, restitution, and restoration).
9. Benefits equitably shared among relevant actors based on one or more agreed targeting options	9.1. Assessment of existing benefits, their effect on wellbeing, and needs 9.2. Benefit sharing strategy and the process for its development and agreement 9.3. How, and by whom, benefit sharing decisions are made 9.4. Access to information on benefit sharing strategy, decisions and implementation 9.5. Integrity of benefit sharing, including avoiding elite capture, nepotism, corruption 9.6. Benefit sharing outcomes – benefits (quantity and quality) received (or not) by whom 9.7. Timeliness of receiving benefits	These 7 themes cover: assessment of benefits and needs, what the benefit sharing (BS) strategy says and how it was agreed, who makes BS decisions, information access, improper bias, the actual outcomes (who gets what) and timeliness. From a governance perspective BS focuses on certain types of benefit where sharing can be controlled so that some people are included and some excluded ie BS governance does not apply to benefits that everyone freely enjoys. The scope of benefits may include both those derived directly from PA resources and indirect benefits generated by other PA- related initiative (eg employment). A benefit sharing strategy should include a clear strategy for targeting of benefits which is usually based on one, or a combination of, five targeting options: sharing according to a) the actors' contribution to conservation, b) the costs they incur, c) their needs and/or d) their rights; or e) sharing equally.
10. Achievement of conservation and other objectives	10.1. Strategies, and plans to deliver objectives 10.2. Process used for developing, reviewing and updating strategies and plans 10.3. Using different sources of knowledge – scientific, experiential, local, traditional 10.4. Achievement of objectives and their specific targets (effectiveness) 10.5. Adaptive management to improve effectiveness informed by relevant learning.	This concerns achieving objectives over which actors have influence and some responsibility to deliver. Themes cover issues related to strategies and plans, processes to develop strategies/plans, sources of knowledge, extent of achievement, and adaptive management. Objectives relate to ecological, social and intermediate outcomes (eg change in policies, institutions, processes, plans and implementation). Learning may be generated internally (eg from M&E and assessments) or may come from external sources (other PAs, communities of practice).
11. Effective coordination and collaboration between actors, sectors and levels	11.1. Platforms and processes for coordination and collaboration 11.2. Roles and responsibilities of different actors 11.3. Sharing of relevant information between actors 11.4. Alignment of related policies and plans of different actors 11.5. Working together in a planned, organised way (coordination) 11.6. Working together in a planned, organised way with shared objectives (collaboration)	These 6 themes cover platforms and processes used for coordination (including formal and informal arrangements), roles and responsibilities, information sharing, and policy alignment. The last 2 themes define the difference between collaboration where actors work towards one or more shared objectives, and coordination where actors work together but with different objectives. Partnership is a strong form of collaboration where actors share not only common objectives but also decision-making authority. A shared governance arrangement in conservation is 'partnership' by definition (although may prove not to be so in reality).

Annex 2. Introducing the governance assessment at your PA/CA

It is very important that key actors at a PA/CA make an informed decision about undertaking GAPA. This is particularly important because governance deals with tricky issues.

Make time to introduce GAPA to key rightsholders and/or stakeholders (including important decision makers) at your PA/CA. You need to ensure that these key actors buy in to the GAPA process and are prepared to openly discuss strengths and challenges related to good governance at the PA/CA. Securing buy-in from the outset is also crucial for fostering ownership of the results and ideas for action that emerge from GAPA.

As the convenor, you will know what actors you should take time to introduce to GAPA. At previous sites, convenors have introduced GAPA to government officials from the PA/CA or local government, local community bodies, representatives of indigenous peoples and private investors (such as tourism operators).

> ✓ **Do:** introduce GAPA to those actors that have formal authority over the PA/CA, and/or customary claims related to the PA/CA.
>
> ✗ **Don't:** spend time individually introducing all actors to GAPA. The scoping workshop (Activity 2.1) will serve the purpose of introducing key actors to GAPA.

You have a lot of flexibility over how to undertake introductions. For example, you might visit a certain representative(s) of actors at their offices and do a short presentation on the proposed GAPA, or you might visit them in their community and discuss GAPA. When you decide how to approach this activity, be informed by the cultural or formal protocols in your country or at the specific PA/CA site and the way you usually conduct such business.

No matter how you introduce GAPA, be sure to highlight the following points:

- GAPA is a multi-stakeholder self-assessment, undertaken by actors at the PA/CA through a series of workshops, focus group discussions and key informant interviews.

- GAPA is led by independent and trusted facilitators with prior knowledge and experience related to conservation and training on good governance. This ensures that different actors feel free to share their perspective.

- GAPA will focus on five good governance principles. You should introduce the principles and note that participants will select the five priority principles at the scoping workshop.

> **Note:** If the individual(s) you are talking to will not attend the scoping workshop (Activity 2.1), ask them for their perspective on priority principles for GAPA. Make notes and present these at the scoping workshop.

- The GAPA process focuses on strengths and challenges related to the prioritised good governance principles — for example, what are the strengths/challenges related to participation in decision making at the PA/CA?

- All actors should be prepared for results that show important strengths, but also challenges related to good governance. They should be open to discussing both the strengths and challenges in a workshop setting. This is a very important point; discuss any concerns an individual(s) may have before beginning GAPA.

> **Note:** If certain actors have serious concerns, you may have to revisit the feasibility check (Activity 1.1). Specifically, you may not be able to answer 'Yes' to the criterion 'Key actors are committed to discussing and addressing issues of good governance'.

- GAPA will produce ideas for action suggested by actors on what can be done to improve governance at the PA/CA. GAPA will support key decision makers to come together and use the results and ideas for action to inform existing planning processes related to the PA/CA.

- The GAPA process at this PA/CA is convened by [insert convening organisation's name] with technical support from [insert the name of the supporting organisation, if relevant] and funding from [insert the name of the funding organisation, if relevant].

Annex 3. GAPA facilitators' terms of reference

GAPA facilitation team

All team members must participate in the two-day training workshop (Activity 1.5) during Phase I of the GAPA process. Their role is to facilitate an assessment of the governance quality of the target PA/CA and its associated conservation and development activities.

Who is on the team? The team will normally have three to six members drawn from at least two of the following:

- Staff of local and/or national NGOs

- Staff of community-based organisations – particularly community facilitators who have experience leading community meetings and encouraging communities to speak up, and

- University staff.

Selection criteria

Every member should:

- Be perceived as **independent** by actors at the PA/CA. They should not be seen as having a stake in influencing the outcomes of the assessment.

- Be perceived as **trustworthy** by actors at the PA/CA. They should command the confidence of all the actors to treat their perspectives with respect and well represent their views in the GAPA process.

- Have some **understanding** of — and if possible, experience in — assisting or conducting social science research. They should understand the value of capturing different perspectives through social science methodologies including key informant interviews, focus groups discussions and stakeholder meetings.

- Have the **confidence** to undertake semi-structured key informant interviews, focus group discussions and stakeholder meetings. Note that the GAPA process is much more demanding than undertaking a structured survey or questionnaire. If you are considering team members that only have survey experience, you should ensure they have the confidence — and the attributes, such as good listening skills — to engage in qualitative methods and iterative processes.

- Be willing and able to devote the necessary time (minimum of 7–15 days over a 2–3-week period).

- Be able to speak and read the language in which team meetings will be conducted, so there is no need for interpretation within the team.

The team as a whole should:

- Have at least one man and one woman with strong skills in facilitating key informant interviews, focus group discussions, community meetings and/or wider stakeholder meetings.

- Have at least one member with good knowledge of PA/CA management objectives and conservation strategies.

- Have at least one member with a good knowledge of community activities linked to the PA/CA.

- Be fluent or near-fluent in the relevant local languages.

- Have enough women to be sure that focus group discussions can be separated into groups of women and men, with the women's group facilitated by a female team member.

GAPA lead facilitator profile

One of the team members should be designated the overall GAPA lead facilitator with responsibility for the efficient organisation of the process and quality of the assessment.

This person should fulfil the following additional criteria:

- Be available for 10–15 days to support GAPA from the preparatory phase to the assessment phase.

- Have a good understanding of governance issues related to PAs/CAs.

- Have the authority and experience to be taken seriously/respected by all actors involved in the GAPA process.

Ideally the lead facilitator will have been a member of a GAPA facilitation team at one or more other sites, but not necessarily the team leader. If the lead facilitator does have prior GAPA experience, they can lead the two-day facilitator training. If not, then the convenor will need to arrange for an experienced GAPA trainer to conduct this training.

Notetakers

You will need to select notetakers that are capable of understanding and following a discussion on the good governance principles. They will need to keep detailed notes during key informant interviews and focus groups discussions, which they will later summarise concisely into the reporting templates (Annex 9).

- ❖ **Top tip:** Do not underestimate the importance of notetakers to the GAPA process. One of the lessons we have learned at the site level is that if the reporting templates are not good quality, this can really challenge the data analysis process and frustrate the hardworking facilitators.

In GAPA field testing, we have worked with a range of notetakers. Good suggestions for notetakers have typically included recent university graduates, young people undertaking further study or local community members with administrative experience. Ideally, one or more of your notetakers should have some experience undertaking interviews so that they can take on aspects of facilitation if needed (ie if a team member becomes sick).

Notetakers should be willing and able to devote the necessary time to GAPA — a minimum of the two-day training workshop, the focus group discussions and key informant interviews and data analysis (about six to ten days over a two to three-week period). You might also find it useful to have the notetakers at the scoping workshop and the assessment workshop.

Annex 4. Site profile template for governance assessment

Name of the PA/CA or group of contiguous PA/CAs to be assessed	
Year of establishment for each PA: ▪ Legally ▪ On the ground	
History of the PA/CA. Consider: ▪ The origins of the PA/CA and how was it established ▪ The main actors in establishing and managing the PA/CA ▪ Important issues or events for local communities since the PA/CA was established, with reasons why they were important	
Culture of the PA/CA. Consider: ▪ The characteristics, cultural traits and values that have played a role in conserving nature and developing the PA/CA ▪ Connections between certain natural features and local identity recognised and supported by the PA/CA ▪ Cultural traits or values highlighted by recognition of individual sites at the PA/CA ▪ Customary institutions, local knowledge and skills, stories, language and local names respected and upheld by the PA/CA	
Designation of each PA/CA: park, reserve, conservancy, sanctuary, etc	
Area of each PA/CA in km^2	
Owner(s) of each PA/CA	

Manager(s) of each PA/CA	
IUCN governance type of each PA/CA	
Main threats to conservation	
Underlying causes of main threats to conservation	
PA management plan(s): ▪ Timeframe of the current plan ▪ Start of the next planning cycle	
People living in PA/CA (if any): ▪ Number of people or communities ▪ Their main sources of livelihood	
People bordering the PA/CA: ▪ Number of people or communities ▪ Number and names of local government/admin units ▪ Their main sources of livelihood	
Permanent structures/forums for stakeholder participation in PA/CA-related planning/decision making (if any)	
Statutory or customary rights to land or resources associated with the PA/CA (if any)	
Benefits associated with the PA/CA for people living in or around it	
Significant **measures to avoid or reduce negative impacts** of the PA/CA on people (if any)	
Important **governance issues** at the PA/CA (related to the good governance principles)	

Annex 5. Assessment plan

Table 7. Example GAPA plan template for activities 1.5 to 5.4

Activity	Key tasks	Lead/ support	Outputs	Timeframe (by day for 1.5–4.1), by month for 5.1–5.4)														
				M	T	W	T	F	M	T	W	T	F	M	T	W	T	F
1.5. Facilitation team training																		
2.1. Scoping workshop																		
3.1. Focus group discussions																		
3.2. Key informant interviews																		
3.3. Analysing information																		
3.4 Site-level governance scorecard (optional)																		
4.1 Assessment workshop																		

Activity	Key tasks	Lead/ support	Outputs	J	F	M	A	M	J	J	A	S	O	N	D	J	F
5.1 Communicating results																	
5.2 Action planning and workshop																	
5.3 Monitoring progress																	
5.4 Reviewing progress workshop																	

Annex 6. Workshop agendas

Note: In contexts where people typically arrive late to workshops, we suggest your invitations propose a 9am start. If you start much later than planned, reduce the time dedicated to presentations in the earlier sessions. Try to keep time for group exercises, as these include key tasks that are important for the GAPA process.

(This guidance does not apply to the two-day training workshop, which should start on time).

Two-day training workshop agenda (Phase I, Activity 1.5)

	Time	Session	Responsible
		DAY ONE	
1	09.00–09.15	Welcoming remarks Participant self-introductions (brief) Training introduction and objectives	Convenor and trainer
2	09.15–10.15	Presentation: Introducing governance ▪ Ask notetakers what they think governance means? Capture their thoughts on a flip chart. Then, summarise 'What is governance?' using your pre-prepared slide. ▪ Inform facilitators and notetakers of the purpose of GAPA using your pre-prepared slides 'Why do a governance assessment?' ▪ Introduce the good governance principles using your pre-prepared slides.	Trainer
3	10.15–12.30	Group exercise: Understanding the good governance principles ▪ Briefly summarise the 8 shortlisted priority principles (10 minutes) ▪ Split into pairs (1 facilitator and 1 notetaker). Give each pair cards detailing governance issues and ask them to place them on the wall underneath the relevant good governance principle (45 minutes)	Trainer
		Take a 15-minute break here if needed	
		▪ Review placement of the cards on the wall, moving incorrectly placed cards so that they appear underneath the appropriate good governance principle (60 minutes)	
		Lunch	

	Time	Session	Responsible
4	13.30–15.30	Group exercise: Understanding the good governance principles (continued) Taking each principle in turn, ask: "What changes might be needed in the next five years to contribute to [insert principle name] at [insert the name of the PA/CA]?" Ask pairs to give specific examples, using one card per example. (10 minutes per principle)	Trainer
	Break		
5	16.00–16:45	Group exercise: Translate the good governance principles and key GAPA terms, including 'governance', 'good governance' and 'assessment'	Trainer
	Break		
6	17.00–17.30	Presentation: Site profile of the PA/CA	Convenor
	DAY TWO		
7	09.00–09.30	Presentation: Overview of GAPA	Trainer
8	09.30–10.00	Review the scoping workshop guidance	Trainer
9	10.00–10.45	Practise the stakeholder analysis	Trainer
	Break		
10	11.00–13.00	Review and practise key informant interviews and focus group discussions	Trainer
	Lunch		
11	14.00–14.30	Review the group analysis guidance	Trainer
12	14.30–15.15	Review the assessment workshop guidance	Trainer
	Break		
13	15.30–16.10	Site implementation plan	Convenor
14	16.10–17.00	Ethical practice	Convenor

Scoping workshop agenda (Phase II, Activity 2.1)

	Time	Session
1	09.30–10.00	Welcoming remarks Participant self-introductions (brief) Workshop introduction and objectives
2	10.00–10.30	Presentation: Introducing governance and GAPA followed by Q&A (15 minutes presentation and 15 minutes feedback)
3	10.30–10.45	Presentation: Geographic and project scope as well as recall period (15 minutes presentation and 15 minutes feedback)
Break		
4	11.00–12.00	Introduction to governance principles and prioritisation ▪ Present all the good governance principles (20 minutes) ▪ Present the proposed principles. Explain the 3 core principles must include participation in decision making; fair sharing of benefits or preventing and reducing negative social impacts (on people); and transparency or accountability (20 minutes) ▪ Discuss and confirm the choice of the other 2 other good governance principles, using voting if necessary (20 minutes)
Lunch		
5	13.00–15.00	Stakeholder analysis group exercise ▪ Introduce the exercise in plenary (10 minutes) ▪ Group exercise (1 hour) ▪ Group presentations and feedback (20 minutes) ▪ (Optional): Get 1 facilitator and notetaker to practise a key informant interview while the group exercise is ongoing.
6	15.00–15.50	Presentation: Introducing the GAPA methods, process and plan for key informant interviews and focus group discussions (20 minutes presentation and up to 30 minutes getting inputs and making arrangements with participants).
7	16.00	Closing

Assessment workshop agenda (Phase IV, Activity 4.1)

This agenda is based on our experience from 12 GAPA assessments (as of June 2019). The timings represent how long it has taken to do an exercise in one of the more challenging contexts – ie where there are many differences of opinion of the validity of assessment results. In a situation where the workshop starts at 09:00am, and there is generally consensus, the validation process may be completed by lunch and the whole workshop completed by 15:30.

	Time	Session
1	09.30–09.50	Welcoming remarks Participant self-introductions (brief) Workshop introduction and objectives
2	09.50–10.30	Presentation: Introduction to governance and governance assessment (20 minutes and 10 minutes for questions of clarification)
3	10.30–12.30	Validation of results, part I ▪ Split the room into 2 or 3 groups (5 mins) ▪ Validation exercise in groups: 　▪ Participants review governance strengths (25 minutes) 　▪ Review governance challenges (60 minutes) ▪ Group presentation and feedback (30 minutes)
		Lunch
4	13.30–15.30	Validation of results, part II ▪ Reorganise the groups or continue in the same groups (this is the simplest) ▪ Validation exercise in groups: 　▪ Participants review governance strengths (25 minutes) 　▪ Review governance challenges (60 minutes) ▪ Group presentation and feedback (30 minutes)
		Afternoon break During the break, facilitators and notetakers should add the ideas for action to the relevant good governance principle and the specific governance challenge on the wall displays.
5	16.00–17.15	Ideas for action ▪ Explain the exercise in plenary (5 minutes) ▪ Select the good governance principles to discuss in plenary (5 minutes) ▪ Split into groups (5 minutes) ▪ Highlight in your groups the need for specific and practical ideas for action (5 minutes) ▪ Summarise the ideas for action from key informant interviews and focus group discussions (15 minutes) ▪ Ask participants to suggest more ideas for action (25 minutes) ▪ (Optional): Repeat the exercise for the other good governance principles included in the governance assessment
6	17.15–17.30	Next steps and closing (15 minutes) Ensure that you have the contact details of the participants, and that they are aware of the next steps, including: ▪ Communicating the GAPA results ▪ Action planning workshop ▪ Providing participants with the agreed contact details of the key contact at the convening organisation.

Action planning workshop agenda (Phase V, Activity 5.2)

	Time	Session
1	9.30–10.00	Welcoming remarks Participant self-introductions (brief) Workshop introduction and objectives
2	10.00–10.30	Presentation: Introducing governance and GAPA followed by Q&A (15 minutes presentation and 15 minutes feedback)
3	10.30–13.00	Group exercise: Identifying ideas for action ▪ Split participants into 2 groups. Each group should focus on 1 good governance principle (5 minutes) ▪ Summarise the ideas for action from key informant interviews, focus group discussions and the assessment workshop. Ask participants to refine ideas for action where necessary so that they are specific, practical and feasible. If you cannot refine in this way, remove the idea for action (15 minutes) ▪ Ask participants to suggest more ideas for action to tackle each of the specific governance challenges (40 minutes) ▪ Rotate groups. The facilitator should stay with the principle that they were helping participants to discuss and should not move with their group (15 minutes) ▪ Repeat for the remaining 3 good governance principles prioritised in the governance assessment. You should be able to group 2 of the good governance principles with fewer challenges for 1 group to tackle in the group exercise
		Lunch
4	14.00–16.30 (take a 20-minute break where appropriate)	Group exercise: Making commitments to take ideas for action forwards ▪ Split into actor groups – community leaders/representatives in 1 group, PA/CA management in another group, NGOs in another group, etc (5 minutes) ▪ Ask groups to reflect on the ideas for action on the meeting room wall for all the 5 good governance principles. Tell participants to identify 2–10 actions that they think could be taken up in their existing planning processes, projects, strategies, etc (25 minutes) ▪ Once the groups have identified 2–10 actions, ask them to elaborate on specific tasks that they will undertake to implement each of the actions. (60 minutes) ▪ Ask each group to feed back in plenary the 2–10 actions they will commit to take forwards in the next 6–12 months (subject to agreement from line managers or obtaining organisational consent) (30 minutes)

	Time	Session
5	16.30–17.00	Next steps: Inform the participants that you will follow up with a draft governance action plan that summarises the ideas for action and organisations that will lead or contribute to undertaking specific tasks. Ask participants to: ▪ Follow up within their organisation on how they can take up the 2–10 ideas for action that they identified within current plans or programming, and/or future plans or programming ▪ Revisit their list of specific tasks for each of the 2–10 ideas for action identified ▪ Assign specific tasks to staff members within the organisation, including monitoring action and reporting action to the convenor
6	17.00	Closing

Progress review workshop agenda (Phase V, Activity 5.4)

	Time	Session
1	09.30–10.00	Welcoming remarks Participant self-introductions (brief) Workshop introduction and objectives
2	10.00–10.15	Presentation: Governance assessment of the [insert name of PA/CA] followed by Q&A (10 minutes presentation and 5 minutes for clarifications)
3	10.15–10.30	Presentation: Governance assessment challenges, ideas for action and the governance action plan (10 minutes presentation and 5 minutes for clarifications)
4	10.30–13.00 (including break)	Group exercise: Review of GAPA implementation Review progress to date, barriers and any needs for additional actions, taking 1 principle at a time (around 45 minutes per principle),
		Lunch
5	14.00–15.30	Group exercise: Review of GAPA implementation (continued)
6	15:30–16.00	Next steps: Before completing the workshop, discuss the following issues in plenary. ▪ How to encourage continued implementation of ideas for actions and keep up to date on progress ▪ Summarise any extra ideas for action that participants have identified for the coming year ▪ How to share the governance action plan more widely with actors around the PA/CA.
7	16.00	Closing

Annex 7. Stakeholder analysis

Stakeholder analysis template

Add more rows to the table to complete a comprehensive stakeholder analysis.

Stakeholder group	Likely interest in PA/CA-related social impacts	Likely influence over PA/CA-related social impacts
State actors	High *** medium ** low * or zero	High *** medium ** low * or zero
Non-state actors	High *** medium ** low * or zero	High *** medium ** low * or zero

Example of a stakeholder analysis (undertaken in a group exercise)

STAKEHOLDER GROUP	INTEREST	INFLUENCE
wildlife authority	***	**
community-based organisation	**	*
church	**	***
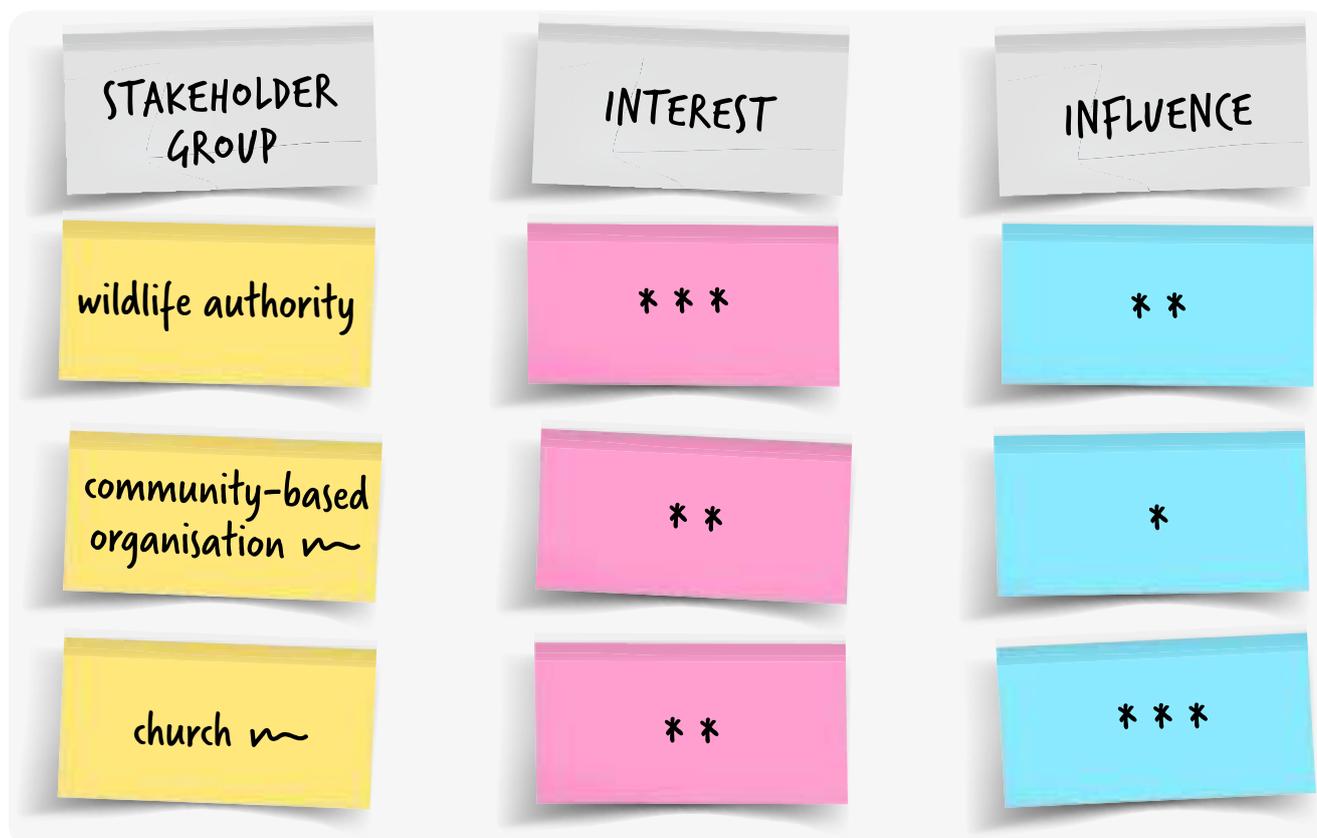
Notes: Yellow cards indicate the name of the stakeholder group.

Pink cards illustrate level of interest.

Blue cards indicate level of influence.

Annex 8. Understanding governance exercise

The following guidance applies to Activity 1.5: Training the facilitation team.

In Task 4 (day 1), you will need to prepare a set of cards that provide examples of governance issues related to all the good governance principles and themes. This exercise covers all the good governance principles even though the assessment will only focus on five of the 11 principles. This is because, at the training stage we don't know exactly which principles will be selected and it is important that facilitators have a comprehensive understanding of governance in the context of PAs/CAs.

The examples for each of the themes of the good governance principles should respond to the question: "What changes might be needed (specific examples) in the next five years to contribute this principle at [insert the name of the PA/CA]?" You can use the examples in Table 8 to help you think of suitable examples for your PA/CA. The examples can be hypothetical but should be grounded in reality. They should make sense to the national context and the current policies and practice that govern the PA/CA. In other words, the examples are ideas of changes that participants think are realistic based on context and might be successful.

Write out or print your examples, so that each example is on one piece of card/paper. You should have a total of 66 cards/papers corresponding to all the themes of the 11 good governance principles.

Table 8. Examples of governance issues related to the good governance principles and themes, suggested during training exercises in Zambia and the Philippines

Principle	Theme	Examples from a training exercise in Zambia	Examples from a training exercise in the Philippines
Recognition and respect of the rights of all relevant actors	Rightsholders' awareness and understanding of their rights	People living in the game management area (GMA) know their user rights related to natural resources (including fish, forests, and other wildlife)	All people living within the protected area (PA) have information on the different types of land rights that might apply to them
	Skills and resources needed for rightsholders to claim their rights	Community Resource Boards (CRBs) have the skills to organise and claim their rights to 50% of the hunting revenue on behalf of communities	Community members who have the right to secure land tenure within the PA have the knowledge and skills to claim their tenure
	Acknowledging rights and non-interference/ violation (rights recognition and respect)	Officials from the Department for National Parks and Wildlife, Zambia (DNPW) recognise people's right to fish within the GMA with a fishing license, and do not seek to prevent such practices	People living in the PA respect the rights to water of people outside the PA by stopping activities that negatively affect rivers
	Stopping any rights interference/violations by other actors (rights protection)	Officials from the DNPW help to protect GMA communities from land grabbers (eg large-scale farmers and miners)	The Department of Environment and Natural Resources, Philippines (DENR) helps indigenous peoples (IPs) to defend their rights to free prior and informed consent for any actions by other actors that affect their land
	Positive actions to enable people to exercise/enjoy a right (rights fulfilment)	Wildlife protection officers inform suspected offenders of their rights upon arrest for alleged illegal activity (such as poaching)	The Department of Environment and Natural Resources effectively controls illegal fishing methods that damage fishing for those who have fishing rights
	Obtaining free, prior and informed consent, where applicable	Not applicable currently in Zambia (ie there is no policy requiring FPIC for conservation work in Zambia)	A proper free prior and informed consent process is conducted for all developments that affect IPs to lands (ancestral domains)
	Verification, reporting and documentation of any rights interference/ violation	The DNPW seeks to confirm, evidence and record any wrongdoing by wildlife protection officers, or private game protection forces	The National Council for Indigenous Peoples documents and reports to local government authorities any violations of IPs' rights
	Remedies to obtain redress for a rights violation	A formal apology issued from the responsible authority when wildlife protection officers or community game guards violate a suspected offender's rights	Actors who violate IPs' rights are successfully prosecuted
Recognition and respect of all relevant actors and their knowledge, values and institutions	Acknowledging interests and concerns of different actors (recognition of actors)	The DNPW recognises the role of CRBs in safeguarding the wildlife of the GMA	The DENR acknowledges the concerns of local communities about the PA
	Acknowledging knowledge, values, and institutions of different actors (recognition of knowledge)	The DNPW acknowledge the role of traditional leaders in promoting community ownership all lands in the GMA	The DENR and local government acknowledge the legitimacy of IPs' customary law as per the provisions of the IPRA Act
	Actors' opinions of other actors (respect for actors)	Non-government organisations respect the authority of the CRB's and village action groups' (VAGs') roles in identifying community needs	The DENR considers local communities who have a right to reside in the PA to be more allies in than enemies of conservation
	Actors' opinion of other actors' knowledge, values, institutions (respect for knowledge)	The DNPW respects traditional leaders' indigenous and cultural knowledge regarding community-based natural resources management	The DENR respects/values the traditional knowledge of the forest of IPs to and local communities

Principle	Theme	Examples from a training exercise in Zambia	Examples from a training exercise in the Philippines
Full and effective participation of all relevant actors in decision making	Platforms and processes for relevant actors to participate in decision making	Defunct CRBs are supported by the Department of National Parks and Wildlife to re-establish and sustain themselves	The Protected Area Management Board (PAMB) meets on a regular basis with enough participants to make decisions (ie with a quorum)
	Decision-making method (dialogue and consensus based or otherwise)	The DNPW works with the CRB to make joint decisions on which hunting outfitters can operate in the GMA	Decision making by PAMB is based on discussion and where possible consensus, ie is not bulldozed by dominant members
	Skills and resources for actors to participate in decision making	A wider diversity of community members (eg young and old, women and men) have the information and confidence to stand for election to CRBs	Barangay Captains and indigenous peoples leaders - who represent their communities - have the knowledge and skills to do this job properly
	Quality of processes for selecting of actors' representatives	There are fair elections to select representatives to sit on CRBs and VAGs	There are fair elections to select Barangay Captains
	Communication between representatives and the actors they represent (two-way)	The VAG in all communities of the GMA share information with communities about the selection process for community development projects	Barangay Captains consult with their communities to understand their PA-related concerns
	Inputs – verbal or written, direct or via representatives – into decision making	The DNPW works with CRBs to collate views when the management plan is up for review	The priority of Barangay Captains at Protected Area Management Board meetings is to present and argue for the interests and rights of their communities
	Influence that these inputs have on decisions that are made	Women and men can equally influence decision making relating to which projects are selected for funding by the VAGs	IPs' leaders (OR women) have a real influence on decisions of the PAMB that affect them
Transparency supported by timely access to relevant information in appropriate forms	Information gathering and analysis: processes, activities, technology and capacity	The DNPW gathers information about whether community projects are implemented according to plan	Barangay Captains gather and file information on who has been awarded resource use permits within their community
	Information sharing: processes, activities, technology, materials and capacity	Community members inform community game scouts about incidences of illegal activities in the GMA	Community members inform the DENR (via Barangay Captains) when they see incidences of illegal activities
	Specific information that has been made accessible/shared with actors who want it	CRBs inform community members on how they have used hunting revenue on an annual basis via notice boards in public gathering areas and annual general meetings	The DENR shares information with communities on the objectives, main strategies and regulations of the PA
	Relevance, accuracy and timeliness of information that is made accessible/shared	DNPW announces the amount of hunting revenue they receive and how this is calculated – including the number and type of animals killed by hunting outfitters	Minutes of PAMB meetings are received by Barangay Captains and indigenous people's leaders within one month after the PAMB meeting
	Knowledge and learning derived from information that is made accessible/shared	Most community members know how much hunting revenue has been allocated to their CRB and how this money has been spent	Community and indigenous peoples are made aware of PAMB decisions that may affect their livelihoods [add a specific example]

Principle	Theme	Examples from a training exercise in Zambia	Examples from a training exercise in the Philippines
Accountability for fulfilling responsibilities, and other actions and inactions	Awareness of the responsibilities/duties of other actors	Community members fully understand the roles of the leaders they elect to take positions of CRBs	The responsibilities for PA conservation by all relevant actors are clearly defined and these actors are aware of their responsibilities
	Actors' performance versus their responsibilities	The DNPW reports annually how long it took their officials to respond to incidences of crop damage or human death/injury due to wild animals, and how this compares to their targets	Annual progress reports on all PA-related activities – planned and unplanned – are published within 3 months of the end of the year
	Actors' performance versus financial policies and regulations	CRBs publish their financial accounts yearly, so that community members can see how they have used their revenues	Accounts of all PA-related financial transactions of the DENR and PAMB are made publicly available on an annual basis
	Skills and resources needed to hold responsible actors to account	CRBs have the leadership skills and confidence to hold Community game scouts to account where they are underperforming	The PAMB members have the skills and resources to hold key actors accountable for their PA-related actions or inactions
	Platforms and processes for holding actors to account	There is an Annual General Meeting where community members can question the actions/performance of leaders in VAGs and CRBs	The PAMB holds a meeting within X months [insert the generally expected time] of the progress report being published where progress is reviewed, and relevant actors asked to explain any shortfalls in performance
	Specific accountability issues that have been or should be identified and assessed	The DNPW regularly reviews the efforts of wildlife protection officers and identifies issues related to inaction, inappropriate behaviour or corruption	An audit of PA-related income and expenditure is conducted at least once every X year(s) [insert the generally expected time]
	Response to accountability issues, including capacity building, rewards and sanctions	The DNPW sanctions officials that do not fulfil their roles and responsibilities by demoting or removing the officials from the workforce	Where government officials issue land titles in contravention of policies protecting the environment and community rights, those involved are required to meet and rectify the problem
Access to justice, including effective dispute resolution	Structures and processes (statutory and customary) that exist for dispute resolution	The chief and village elders intervene when there are conflicts over law enforcement in the GMA	Dispute resolution processes exist and are being routinely used to resolve PA-related boundary disputes
	Awareness of, and the ability to access, dispute resolution processes	Community members are aware of formal processes of conflict resolution to address issues of inappropriate law enforcement by guards employed by tourism operators	Community members are aware of, and are able to make use of, the dispute resolution processes
	Skills and resources for dispute resolution processes to operate effectively	Officials of the DNPW with responsibility for resolving conflicts related to law enforcement have the expertise to help support local communities to seek a resolution	Officials and community members who facilitate dispute resolution have the skills necessary to do the job well
	Access to the courts where dispute resolution mechanisms do not succeed	Community members can seek legal counsel when land use issues related to encroachment of the conservation zone are not dealt with effectively, and they need legal redress	Community members and other actors can take a complaint to court where an out-of-court settlement of the disputes is not possible
	Dispute resolution outcomes, including the fairness of settlement and any redress	The formal legal system has the power to resolve land conflicts and issues of encroachment in the GMA without political interference	There are fair outcomes of disputes that have been referred to the [insert name of the dispute resolution mechanism] in the last X years [insert the generally expected time]

Principle	Theme	Examples from a training exercise in Zambia	Examples from a training exercise in the Philippines
Effective and fair law enforcement of laws and regulations	Awareness of relevant laws and regulations, and codes of conduct	Community members – in particular women – are informed of the penalties for illegally harvesting charcoal in the GMA	PA boundaries, including boundaries with Ancestral Domains and legitimate land titles within the PA, are clearly defined in consultation with the relevant actors, and are well signed
	Respect and protection for law enforcement agents and other actors who assist them	Community members enjoy a good relationship with community game scouts – informing them of any wrongdoing	Community law enforcement volunteers (Bantay Gubat) are well respected by the Department of Environment and Natural Resources
	Conduct of enforcement agents and other actors when doing law enforcement	Community game scouts act appropriately when dealing with law enforcement issues related to poaching in the GMA	Law enforcement staff of government agencies who are involved in PA protection conduct themselves properly when dealing with local communities and IPs
	Coordination between actors contributing to law enforcement	Wildlife police officers and community game scouts effectively coordinate their activities in and around the GMA	There is good coordination on law enforcement matters between the DENR and community law enforcement volunteers (Bantay Gubat)
	Procedures and sanctions for prosecution of offenders	Community game scouts apply the law fairly (without bias) to all community members (eg friends and relatives are not above the law)	People who are alleged to have broken laws/regulations of the PA are given a fair hearing and if guilty the appropriate sanctions are applied and fairly enforced
	Law enforcement outcomes – reduction in number of illegal activities	The DNPW with support from the Judiciary are able to remove encroachers from the conservation zone of the GMA	The number of illegal activities is reducing (or being maintained at a low level if already low)
Effective measures to mitigate negative impacts on IPs and local communities	Assessment of existing negative social impacts, their effect on wellbeing, and needs	The DNPW assess how communities are affected by human-wildlife conflict, the types of animal and the types of costs, eg human death/injury, livestock death/injury, crop damage	A study is conducted of how the PA positively and negatively affects the wellbeing of people who legitimately live within the PA and results are summarised in the PA management plan
	Impact mitigation strategy and the process used for its development	The GMA's management plan includes a strategy for reducing human-wildlife conflict	The PA management plan includes mitigation measures to reduce the negative impacts of the PA on the wellbeing of people who legitimately live within the PA
	Allocation of responsibilities for impact mitigation – who is supposed to do what	There is clear allocation of responsibilities on who should respond (ie which government departments) to incidences of human injury or death by wild animals	The allocation of responsibilities between different stakeholders for reducing human-wildlife conflict is clearly defined and explained to the relevant stakeholders
	Monitoring negative impacts as they occur and reporting to the responsible actors	Community game scouts establish a process for monitoring and reporting incidences of human-wildlife conflict with support from the DNPW	Incidences of human-wildlife conflict are recorded and reported to the PA superintendent
	Whether and how the responsible actors respond to avoid/ reduce negative impacts	The DNPW respond to incidences of human-wildlife conflict within X hours [insert the generally expected time]	The responsible actors take the necessary action to respond to report of human-wildlife conflict within 48 hours of the report reaching them
	Impact mitigation outcomes – negative impacts avoided/ reduced, and for whom	Communities that are most affected by elephant disturbance are those who benefit from projects such as chilli fencing, and fireworks	Actions taken to avoid/reduce human-wildlife conflict are effective in reducing its impact on the wellbeing of those affected

Principle	Theme	Examples from a training exercise in Zambia	Examples from a training exercise in the Philippines
Benefits equitable shared among relevant actors based on one or more agreed targeting options	Assessment of existing benefits, their effect on wellbeing, and needs	CRBs keep a record of the beneficiaries of community projects and whether they have been successful or failed	The DENR/PAMB keeps records of who has been allocated secure tenure within the PA, and who has been denied secure tenure
	Benefit-sharing strategy and the process for its development and agreement	The CRBs allocate community projects fairly, according to agreed criteria – to be determined by the CRBs	There are clear criteria for how resource use permits are supposed to be allocated
	How, and by whom, benefit-sharing decisions are made	CRBs consult VAGs on the types of community development projects that need support in their communities	Decisions on allocation of resource use permits are made in a proper way in accordance with the law, and the agreed criteria and decision-making process
	Access to information on benefit-sharing strategy, decisions and implementation	CRBs share information with their communities on the criteria they use to allocate hunting revenue to community development projects	Information on who has been given resource use permits is provided to community leaders who then make it available to their communities (eg by notice board)
	Integrity of benefit sharing, including avoiding elite capture, nepotism, corruption	There are few incidences of bias (elite capture, nepotism) in the way community projects are allocated within communities	There is no corruption in the process of allocating resource use permits to community members
	Benefit-sharing outcomes – benefits (quantity and quality) received (or not) by whom	CRBs invest in projects that improve the wellbeing of some of the communities' most vulnerable households	Resource use permits are fairly allocated between communities (ie allocation is shared in practice following agreed criteria)
	Timeliness of receiving benefits	Hunting revenue is received by CRBs three times a year	Resource use permits, if approved, are issued within X months [insert the generally expected time] of the application date
Achievement of conservation and other objectives	Content of strategies, and plans to deliver objectives	There is an up to date (current) management plan that states the conservation and development strategies of the GMA	There is a management plan for the PA which is reviewed on a regular basis as per national policy
	Process used for developing, reviewing and updating strategies and plans	CRBs play an active role in defining the conservation targets of the GMA's management plan	Key actors, including IPs and local communities, are effectively consulted in the process of developing and revising the management plan
	Using different sources of knowledge – scientific, experiential, local, traditional	Community members are consulted about the types of natural resources they use for medicinal purposes from within the GMA to ensure their continued access.	Knowledge of IPs and local communities is recognised and used in the management plan
	Achievement of objectives and their specific targets (effectiveness)	There is success in achieving targets of the GMA's management plan – for example, reducing incidences of human-wildlife conflict by 30%.	There is progress towards agreeing and clearly marking the boundaries of the PA
	Adaptive management to improve effectiveness informed by relevant learning.	The DNPW monitors and evaluates the targets of the management plan and adjusts its activities from learning about strengths, weaknesses, opportunities and challenges.	Annual plans of the DENR for activities supporting PA management contain some activities that have been adapted/ modified in response to learning from the previous year

Principle	Theme	Examples from a training exercise in Zambia	Examples from a training exercise in the Philippines
Effective coordination and collaboration between actors, sectors and levels	Platforms and processes for coordination and collaboration	A local network is established for coordination of all NGO activities within the GMA on conservation and development	The PAMB meetings enable PA-related plans of different agencies of local and national government to be coordinated
	Clarity of roles and responsibilities of different actors	There is clarity over responsibilities over natural resource use within the GMA between the Department of National Parks and Wildlife, the Forestry Department, and the Department of Fisheries	The roles and responsibilities of different agencies of government at national and local levels are clearly defined and understood by the different agencies
	Sharing of relevant information between actors	NGOs share information on community development investments with CRBs and the Department of National Parks and Wildlife to avoid duplication of efforts	Researchers who conduct PA-related research share their results with the relevant actors including any communities who have been involved in the research
	Alignment of related policies and plans of different actors	The Department of Land and Planning align their plans for development with the management plan for the GMA	The management plan, plans for Ancestral Domains and plans of local government are well aligned
	Working together in a planned, organised way (coordination)	The DNPW and the Department of Fisheries work together on law enforcement patrols within the GMA	The activities of the DENR and the development sectors of local government agencies that take place within the PA are well coordinated
	Working together in a planned, organised way with shared objectives (collaboration)	The Department for National Parks and CRBs work together to remove encroachers from the GMA's conservation zone	The DENR, IPs and local communities are working well together to reduce illegal activities within the PA

Annex 9. Tools for information gathering and reporting

This annex contains guiding questions for each good governance principle that you can use during key informant interviews, focus group discussions and workshop activities. There is also a list of dos and don'ts and other things to bear in mind. At the end of the annex you will also find the reporting templates for key informant interviews and focus group discussions.

Dos and don'ts

✓ **Do use open questions**

Be very careful to ask all questions as 'open questions' to minimise the possibility of you biasing the discussion or of participants manipulating the discussion according to their interests. An open question is a question that allows people to respond in a way they want to, with the information they want to provide. This is how the GAPA questions are designed.

✓ **Do use the agreed translations**

Make sure you use the agreed translations of the key terms and principles. This is very important as all facilitators need to be asking the questions using the same language!

✗ **Don't use closed questions**

Be careful not to get sidetracked into asking specific, closed questions. Closed questions elicit a 'yes' or 'no' response and are not useful in the GAPA information-gathering approach.

✗ **Don't use leading questions**

Remember, we want participants to tell us the governance strengths and challenges that are important to them. So, don't ask leading questions. For example, asking "Is there a problem with elite capture of benefits?" directs the respondent to a specific governance issue — elite capture. Our questioning approach is purposively open. We assume respondents will bring up burning issues that are important to them. So – in short – stick to the questions we provide!

Other things to be aware of

Prompting

In this annex, we have included the headline themes for each of the good governance principles. You can use these themes to probe around the good governance principles when the conversation is stilted. But remember not to ask leading questions.

For example, for the theme on content of a benefit-sharing strategy for the good governance principle on fair benefit sharing, you could prompt: "Tell us about the content of any benefit-sharing strategy. What works well related to the strategy? What doesn't work well?"

Themes

Try to make sure your discussions cover at least two or three of the themes of each priority good governance principle. If helpful, you could tick off a theme as you are discussing it.

Question 1

Question 1 for all the good governance principles is designed as an initial question to contextualise the discussion in the relevant subject matter. Use the examples given by the respondent when following up with Questions 2 and 3.

Probing aspects of good governance in focus groups and key informant interviews

Agreeing translations

You should keep a record of the translations you agreed on during training in a version of the following table and refer to the translations when undertaking focus group discussion and key informant interviews.

English term	Agreed translation
Governance	
Good governance	
Assessment	
What is working well?	
What is not working well?	
Recognition and respect of rights	
Recognition of actors and their knowledge, values and institutions	
Participation in decision making	
Transparency and information sharing	
Accountability for actions and inactions	
Processes for resolving disputes	
Law enforcement	
Avoid or reduce negative social impacts	
Fair sharing of benefits	
Conservation and other objectives	
Coordination and collaboration	

Recognition and respect of rights

"Now, we are going to talk about recognition and respect for rights … "

1. What are the most important rights of community members, including any IPs related to [insert name of PA/CA]? What are the most important rights of other actors that are related to [insert name of PA/CA]? Probe to get at least two rights for each group.

2. Can you give examples of something good/working well about recognising and respecting rights related to [insert name of PA/CA]? Ask for one example and check that it is clear. Then ask for more examples until you have at least two clear examples.

3. Can you give examples of something that is not good/ not working well about recognising and respecting rights related to [insert name of PA/CA]? Ask for one example, check that it is clear, and then for this example ask:

   a. Why is the situation like this? Keep asking this question until you get to the core of the problem or participants become uncomfortable and do not want to discuss in any more detail.

   b. What ideas do you have to improve the situation? Probe to get at least three different ideas. Remember to explore the possible actions of different stakeholders.

   c. Repeat the steps 3a and 3b for one or two more examples of something that is not good/ not working well.

> **Probe around the following governance themes:**
>
> - Awareness and understanding of rights
> - Skills and resources to claim rights
> - Rights acknowledgement and non-violation
> - Stopping rights violations by other actors
> - Reporting of rights violations
> - Remedies to obtain redress for violations, and
> - Free, prior and informed consent.

Recognition of actors and their knowledge, values and institutions

"Now, we are going to talk about recognition and respect of actors and their knowledge, values and institutions … "

1. Who are the key actors (rightsholders and stakeholders) that have interests and concerns related to the [insert name of PA/CA]? Probe to get at least three actors.

2. Can you give examples of something good/working well about actors around the [insert name of PA/ CA] being recognised and respected? Ask for one example and check that it is clear. Then ask for more examples until you have at least two clear examples.

3. Can you give examples of something that is not good/not working well about actors around the

> **Probe around the following governance themes:**
>
> - Acknowledgement of different actors
> - Acknowledgement of actors' knowledge and values
> - Good/bad opinion of actors, and
> - Good/bad opinion of actors' knowledge and values.

[insert name of PA/CA] being recognised and respected? Ask for one example, check that it is clear, and then for this example ask:

a. Why is the situation like this? Keep asking this question until you get to the core of the problem or participants become uncomfortable and do not want to discuss in any more detail.

b. What ideas do you have to improve the situation? Probe to get at least three different ideas. Remember to explore the possible actions of different stakeholders.

c. Repeat the steps 3a and 3b for one or two more examples of something that is not good/ not working well.

Participation in decision making

"We are going to talk about participation in decision making … "

1. Which actors (rightsholders and stakeholders) are particularly important to involve in decision making at [insert name of PA/CA]? Probe to get at least three different examples of important actors.

2. Can you give examples of something good/working well about participation of these actors in decision making? Ask for one example and check that it is clear. Then ask for more examples until you have at least two that are clear.

3. Can you give examples of something that is not good/not working well about participation of these actors in decision making? Ask for one example, check that it is clear and then for this example ask:

   a. Why is the situation like this? Keep asking this question until you get to the core of the problem or participants become uncomfortable and do not want to discuss in any more detail.

> **Probe around the following governance themes:**
>
> - Platforms and processes for participation
> - Decision-making methods
> - Skills and resources for participation
> - Selecting representatives
> - Two-way communication with representatives.
> - Inputs into decision making, and
> - Influence on decision making.

b. What ideas do you have to improve the situation? Probe to get at least three different ideas. Remember to explore the possible actions of different actors.

c. Repeat the steps 3a and 3b for one or two more examples of something that is not good/ not working well.

Transparency and information sharing

"Now, we are going to talk about transparency and information sharing … "

1. How do you receive information/news about [insert name of PA/CA]? What types of information/news do you typically receive? Probe to get at least three different types of information.

2. Can you give examples of something good/working well about transparency and information sharing related to [insert name of PA/CA]? Ask for one example and check that it is clear. Then ask for more examples until you have at least three clear examples.

3. Can you give examples of something that is not good/not working well about transparency and information sharing related to [insert name of PA/CA]? Ask for one example, check that it is clear, and then for this example ask:

    a. Why is the situation like this? Keep asking this question until you get to the core of the problem or participants become uncomfortable and do not want to discuss in any more detail.

    b. What ideas do you have to improve the situation? Probe to get at least three different ideas. Remember to explore the possible actions of different stakeholders.

    c. Repeat the steps 3a and 3b for one or two more examples of something that is not good/ not working well.

> **Probe around the following governance themes:**
>
> - Information-gathering process
> - Information-sharing process
> - Specific information shared
> - Information relevance, accuracy and timeliness, and
> - Knowledge derived from information shared.

Accountability for actions and inactions

"Now, we are going to talk about accountability for actions and inactions … "

1. Who are the different actors with responsibilities related to the [insert name of PA/CA], and what are the responsibilities (add "for which they should be held accountable" if people understand the notion of accountability)? Probe to get three examples.

2. Can you give examples of something good/working well about holding an actor accountable for their responsibilities related to [insert name of PA/CA]? Ask for one example and check that it is clear. Then, ask for more examples until you have at least two clear examples.

> **Probe around the following governance themes:**
>
> - Awareness of actor responsibilities
> - Actors' performance versus responsibilities
> - Actors' performance on financial matters
> - Skills and resources to hold actors accountable
> - Processes for holding actors accountable
> - Specific accountability issues, and
> - Response to accountability issues.

3. Can you give examples of something that is not good/not working well about holding an actor accountable for their responsibilities related to [insert name of PA/CA]? Ask for one example, check that it is clear, and then for this example ask:

   a. Why is the situation like this? Keep asking this question until you get to the core of the problem or participants become uncomfortable and do not want to discuss in any more detail.

   b. What ideas do you have to improve the situation? Probe to get at least three different ideas. Remember to explore the possible actions of different stakeholders.

   c. Repeat the steps 3a and 3b for one or two more examples of something that is not good/not working well.

Processes for resolving disputes

"Now, we are going to talk about the process for resolving disputes … "

1. What are the most common types of dispute between actors (rightsholders and stakeholders) at [insert name of PA/CA]? Probe to get examples of at least two different types of dispute.

2. Can you give examples of something good/working well about resolving disputes related to [insert name of PA/CA]? Ask for one example and check that it is clear. Then ask for more examples until you have at least two clear examples.

3. Can you give examples of something that is not good/not working well about resolving disputes related to [insert name of PA/CA]? Ask for one example, check that it is clear, and then for this example ask:

> **Probe around the following governance themes:**
> - Structures and processes for dispute resolution
> - Awareness of dispute resolution processes
> - Knowledge, skills and resource for dispute resolution
> - Access to the courts where necessary, and
> - Outcomes of dispute resolution.

   a. Why is the situation like this? Keep asking this question until you get to the core of the problem or participants become uncomfortable and do not want to discuss in any more detail.

   b. What ideas do you have to improve the situation? Probe to get at least three different ideas. Remember to explore the possible actions of different stakeholders.

   c. Repeat the steps 3a and 3b for one or two more examples of something that is not good/not working well.

Law enforcement

"Now, we are going to talk about law enforcement…"

1. What are the most significant illegal activities related to [insert name of PA/CA]? Probe to get at least three different types of illegal activity.

2. Can you give examples of something good/working well about enforcement of laws and regulations in [insert name of PA/CA]? Ask for one example and check that it is clear. Then ask for more examples until you have at least three clear examples.

3. Can you give examples of something that is not good/not working well about enforcement of laws and regulations in [insert name of PA/CA]? Ask for one example, check that it is clear, and then for this example ask:

   a. Why is the situation like this? Keep asking this question until you get to the core of the problem or participants become uncomfortable and do not want to discuss in any more detail.

   b. What ideas do you have to improve the situation? Probe to get at least three different ideas. Remember to explore the possible actions of different stakeholders.

   c. Repeat the steps 3a and 3b for one or two more examples of something that is not good/ not working well.

> **Probe around the following governance themes:**
>
> - Awareness of laws
> - Respect for law enforcement agents
> - Conduct of law enforcement agents
> - Coordination between enforcement agents
> - Procedures and sanctions for offenders, and
> - Outcomes of law enforcement.

Avoid or reduce negative social impacts

"Now, we are going to talk about avoiding or at least reducing negative social impacts (on people) … "

1. What are the most important negative impacts of the [insert name of PA/CA] on people living in or neighbouring the PA/CA? Probe to get examples of at least two different types of negative impact.

2. Can you give examples of something good/working well about avoiding or reducing negative social impacts of the [insert name of PA/CA] on people living in or neighbouring the PA/CA? Ask for one example and check that it is clear. Then ask for more examples until you have at least two clear examples.

3. Can you give examples of something that is not good/not working well about avoiding or reducing

> **Probe around the following governance themes:**
>
> - Assessment of negative impacts
> - Impact mitigation strategy
> - Responsibilities for mitigation
> - Monitoring and reporting negative impacts
> - How responsible actors respond, and
> - Outcomes of impact mitigation efforts.

negative social impacts of the [insert name of PA/CA] on people living in or neighbouring the PA/CA? Ask for one example, check that it is clear, and then for this example ask:

a. Why is the situation like this? Keep asking this question until you get to the core of the problem or participants become uncomfortable and do not want to discuss in any more detail.

b. What ideas do you have to improve the situation? Probe to get at least three different ideas. Remember to explore the possible actions of different stakeholders.

c. Repeat the steps 3a and 3b for one or two more examples of something that is not good/ not working well.

Fair sharing of benefits

"Next, we are going to talk about fair sharing of benefits … "

1. What are the most important benefits for the local people from [insert name of PA/CA]? Probe to get at least two different types of benefit.

2. Can you give examples of something good/working well about how these benefits are shared with local people? Ask for one example and check that it is clear. Then ask for more examples until you have at least two clear examples.

3. Can you give examples of something that is not good/not working well about how these benefits are shared with local people? Ask for one example, check that it is clear, and then for this example ask:

> **Probe around the following governance themes:**
> - Assessment of benefits
> - Benefit-sharing strategy
> - Benefit-sharing decisions
> - Access to information on benefit sharing
> - Integrity of benefit sharing
> - Outcomes of benefit sharing, and
> - Timeliness of benefits.

a. Why is the situation like this? Keep asking this question until you get to the core of the problem or participants become uncomfortable and do not want to discuss in any more detail.

b. What ideas do you have to improve the situation? Probe to get at least three different ideas. Remember to explore the possible actions of different stakeholders.

c. Repeat the steps 3a and 3b for one or two more examples of something that is not good/ not working well.

Conservation and other objectives

"Now, we are going to talk about conservation and other objectives … "

1. What are the most important objectives of [insert name of PA/CA]? Probe to get examples of conservation objectives, social objectives (relating to the wellbeing of local people), and any other objectives the discussant(s) identify as important.

2. Can you give examples of something good/working well related to achieving the objectives of [insert name of PA/CA]? Ask for one example and check that it is clear. Then ask for more examples until you have at least three clear examples.

3. Can you give an example of something that is not good/not working well related to achieving the objectives of [insert name of PA/CA]? Ask for one example, check that it is clear, and then for this example ask:

   a. Why is the situation like this? Keep asking this question until you get to the core of the problem or participants become uncomfortable and do not want to discuss in any more detail.

   b. What ideas do you have to improve the situation? Probe to get at least three different ideas. Remember to explore the possible actions of different stakeholders.

   c. Repeat the steps 3a and 3b for one or two more examples of something that is not good/ not working well.

> **Probe around the following governance themes:**
> - Content of strategies and plans
> - Process for developing/updating strategies and plans
> - Using different sources of knowledge
> - Achievement of objectives
> - Adaptive management.

Coordination and collaboration

"Now, we are going to talk about coordination and collaboration of actors … "

1. What are the most important government departments and organisations (NGOs, community-based organisations, private companies etc) that have an interest in the [insert name of PA/CA]? Probe to get at least three different departments, and/or organisations (more if possible).

2. Can you give examples of something good/working well related to coordination and collaboration at [insert name of PA/CA]? Ask for one example and check that it is clear. Then ask for more examples until you have at least three clear examples.

> **Probe around the following governance themes:**
> - Platforms and processes for coordination/collaboration
> - Clarity of roles and responsibilities of different actors
> - Information sharing between actors
> - Alignment of actors' policies and plans
> - Coordination – organised working together, and
> - Collaboration – working with common objectives.

3. Can you give an example of something that is not good/not working well related to coordination and collaboration at [insert name of PA/CA]? Ask for one example, check that it is clear, and then for this example ask:

   a. Why is the situation like this? Keep asking this question until you get to the core of the problem, or the participants become uncomfortable and do not want to discuss in any more detail.

   b. What ideas do you have to improve the situation? Probe to get at least three different ideas. Remember to explore the possible actions of different stakeholders.

   c. Repeat the steps 3a and 3b for one or two more examples of something that is not good/ not working well.

Reporting templates for focus group discussions and key informant interviews

Reporting template: focus group discussions

We strongly suggest that you complete reporting templates immediately after each focus group discussion or key informant interview to ensure you do not forget key points or mix them up with other focus group discussions or interviews.

Notetakers should take detailed notes in a notebook during all discussions and interviews, summarising them in the reporting templates provided in this annex immediately afterwards. We do not recommend taking notes directly into the reporting template.

A notetaker should complete the reporting template with guidance from a facilitator. It is helpful for the facilitator to sit with the notetaker the first few times that they summarise their notes into the template, so they can offer guidance and help.

A facilitator should always review each of the notetaker's focus group discussion/key informant interview reports after completion. These reports are crucial for information analysis (Activity 3.3). Facilitators are responsible for ensuring that the reporting templates are of good quality.

❖ **Top tip for notetakers:** Imagine you are telling a story when you fill in the template. Imagine you are explaining the main points to someone who does not know anything about the PA/CA. Be specific about who, where, what, why and when.

Anonymity

Please do not write down individuals' names in your notepad or on the reporting templates. We must ensure that people's responses remain confidential. Note down the key informant interview number (provided by the convenor or GAPA lead facilitator) on the reporting template as a unique identifier of the informant.

Notetakers should return their notepad with notes from the focus group discussions and key informant interviews to the convenors after Activity 3.3.

Below is a template for reporting focus group discussions. To complete a report, you will have to extend the table so that you can report for all three core principles discussed in the focus group discussion. To do this, simply copy and paste all the sections under Principle 1 twice and change the header to Principles 2 and 3. You will also probably need to add some blank spaces into the template's sections to allow sufficient space for notes.

A. Facilitator:	
Name:	Gender:
Notetaker:	Gender:
Date:	Location of discussion:

B.   Respondents:
Name of community:
Number of participants:
Number of women:
Number of men:
Positions (eg if they sit on a community committee) and livelihoods of people attending:

Principle 1 – [insert principle]	
Preliminary information (question 1)	
Working well (question 2)	
Not working well (question 3)	**Ideas for action** (question 3)
▪ ▪ ▪ ▪	▪ ▪ ▪ ▪
Other comments from respondents	

Reporting template: key informant interviews

Below is a template for reporting key informant interviews. To complete a report, you will have to extend the table so that you can report for all five principles discussed in the key informant interviews. To do this, simply copy and paste all the sections under Principle 1 four times and change the header to Principles 2, 3, 4 and 5. You will also likely need to add some blank spaces into the template's sections to allow sufficient space for notes.

A. Facilitator:	
Name:	Gender:
Notetaker:	Gender:
Date:	Location of interview:

A. Interviewee:	
Gender:	
Age:	
Key informant number:	

Principle 1 – [insert principle]	
Preliminary information (question 1)	
Working well (question 2)	

Not working well (question 3)	**Ideas for action** (question 3)
·	·
·	·
·	·
·	·

Other comments from respondents

Annex 10. Communications strategy template

Table 9. Example communications strategy

The text in grey provides examples of how to fill in the table.

Audience	Specific actors	Output	Communication method
Key actors at site/ local level who have influence in relevant planning processes	[Insert names of local site-level actors that rated as high or medium interest in your stakeholder analysis] *The PA/CA management authority*	*Full PowerPoint presentation*	*Arrange a meeting with the PA/CA management authorities to present the GAPA results at their annual planning meetings.* *Present the GAPA results in the local multi-stakeholder forum for NGOs, local government and so on* *Attend other organisations' meetings and offer to present the GAPA results (eg NGO or local government-hosted meetings).*
		Short report	*Print and distribute either in person (eg at meetings) or by email*
Higher-level decision makers who influence financial and political support for action	[Insert names of national site-level actors that rated as high or medium interest in your stakeholder analysis] *National headquarters of the PA/CA management authority*	*Short PowerPoint presentation*	*Arrange a meeting with the relevant national ministry (where appropriate) to present the GAPA results* *Arrange a meeting with the national board of your PA/CA or donor agency to present the results* *Apply to present the results at relevant regional or national meetings/ conferences*
		Short report	*Print and distribute either in person (eg at meetings) or by email* *Blog or share the GAPA results via your or partner organisations' platforms (eg newsletters, social media platforms such as Twitter)*
Wider audience of actors at site/ local level	[Insert names of site-level actors that rated as high or medium interest in your stakeholder analysis] *Local community-based organisations*	*Short report (if possible, in local language)*	*Attend or arrange community meetings* *Share a summary of key GAPA results on radio or web-based platforms that are popular in your area*

Annex 11. Templates for action planning and monitoring progress

Table 10. Governance action plan

The text in grey provides examples of how to fill in the table.

Good governance principle: Transparency and information sharing						
Activity implementation plan					**Activity monitoring plan**	
Governance challenge	**Ideas for action**	**Specific activities**	**Timing**	**Organisation/ individual(s) responsible**	**Activity monitoring indicators (information to be gathered and reported)**	**Organisation/ individual(s) responsible**
Example: Communities do not know how much revenue is shared with them annually	*Create and implement a communications strategy to inform communities of the amount of revenue the PA/CA shares annually*	*Attend annual general meetings (AGMs) to share figure/amount and how it was calculated* *Speak on local radio stations to share figure/amount and how it was calculated* *Put posters up in village hall/ community meeting areas displaying the figure/amount and how it was calculated.*	*Jan– March 2019*	*Community liaison officers*	*Number of male and female participants at AGM and the information that was shared* *Number of radio programmes reporting this information* *Number of posters put up in the number of communities where the posters are displayed*	*Community liaison officers*

Table 11. Governance progress review report

The text in grey provides examples of how to fill in the table.

Good governance principle: Fair benefit sharing				
Challenge	**Idea for action**	**Status and evidence of progress (including progress versus specific activity-monitoring indicators)**	**Activities remaining to be implemented**	**Comments**
Members with sheep cannot graze them in Mara North Conservancy (MNC)	*Maintain ban on sheep grazing in MNC*	***Achieved***		
Unfair sharing of grazing for cattle – some people have many cattle and some have few	*Shares to determine the grazing quota*	***Partially achieved:** This action is just starting and awaiting implementation. Section meetings were already held*	*Shares to determine the grazing quota*	*New grazing policy including quotas should be implemented by June 2019*
Compensation is low, only partially paid, and can take long to disburse	*Compensation should match the real value of the livestock*	***Dropped:** Because it is not viable. Funds provided are for consolation not compensation*		
In some cases, MNC staff are slow to respond to cattle death compensation claims	*Landowners Committee members should approve compensation claims*	***Achieved:** A WhatsApp group was created to communicate claims. This has made verification possible where more than one case is reported the same day in different sections*		
Women and men do not have the opportunity to explain their needs for development projects	*Tourism partners should ask women and men to identify their needs before funding projects*	***Dropped:** Difficult to control or suggest what is to be done by well-wishers who are beyond our control.*	*Tourism partners should be left to define how they spend their funds*	*No change*
Not all landowners are benefiting from development projects (bursaries, schools, water)	*Areas that have not received projects should be prioritised*	***Dropped:** All areas have received projects now*		
	Bursary allocation should be fair	***Achieved:** New criteria specifying allocation to be based on shareholding (ie rights) and this is considered fair*		
	All tourism partner donations should go into one trust rather than having multiple trusts	***Dropped:** Landowners do not have control over this*		
Unequal employment opportunities across MNC	*Need criteria for equal access to employment opportunities*	***Dropped:** This claim (coming from Lemek villages) was considered to have no grounds*		

Annex 12. Site-level governance scorecard

Please note that at the time of publishing our guidance for designing and using a site-level scorecard is in draft form. We are currently piloting the scorecard and our guidance will adapt as we learn from testing. If you are interested in using or testing a scorecard approach at the site level, please get in contact with IIED and we can provide you with further learning and guidance.

Objectives

1. To undertake a quantitative assessment of PA/CA-related governance issues from the community perspective to:
   - Provide a socially differentiated understanding of the diversity of views on governance across social groups within and between communities
   - Generate graphics to better communicate governance assessment results
   - Facilitate aggregation of governance quality information across a portfolio of PAs.

2. To take a baseline of governance quality at the PA/CA to measure changes in governance quality at site and system level (after two to four years).

Time required

Up to 13 days

- 1 day's preparation
- Up to 10 days' data collection (less for a smaller site — see Background information)
- 1–2 days' analysis

Who facilitates?

Designing the scorecard: Depending on the skills at the convening organisation, you may need external technical advice — for example, from a national university or NGO partner.

Using the scorecard: You will need enumerators who can speak the local language(s). A good option is to recruit young people who have just left secondary school, college or university.

Who participates?

You will need to create a sampling plan. See Table 12 for suggested approaches to sampling. Your sampling plan should be informed by logistical limitations.

Experience to date suggests that the sample size should be at least 100 individuals for sites with a population of fewer than 1,000 households and relatively low variability. Where there are larger populations and/or high variability, you will need a sample of up to 350 individuals.

Table 12. Sampling approaches to the site-level governance scorecard

1	**Cluster sampling — random.** Divide the target area into 2–6 zones. Within each zone, randomly select X communities. Then, within each community randomly select 5 households. X will be determined by the number of zones and the total sample size that you want. For example, with 3 zones and a total sample of 180 households (60 households per zone) you would select 12 communities and interview 5 households in each community.	This is the best approach from a statistical perspective, but the method requires lists of all households in the selected communities. If there are no such lists and you have the time and resources, you can ask the leaders of the selected communities to make household lists.
		Since the communities are selected randomly, it is not very practical in places where some communities are extremely inaccessible. If you need to avoid such communities because of logistical constraints, use methods 3 or 4.
2	**Cluster sampling — semi-random.** As #1 above, but if household lists are not available, enumerators must choose the households to be interviewed within the selected communities while they are doing the survey. They must try to ensure a representative sample, especially with respect to household wellbeing — in other words, they should interview a mix of wealthier people with better quality houses and poorer people with poorer quality houses.	This approach will probably be the most widely used since it is relatively easy to obtain lists of all communities within an area, but more difficult to obtain reliable lists of households in each community.
		The major limitation of this approach is the risk of introducing bias when selecting the households to interview within the target villages.
3	**Cluster sampling — non-random.** As #2 above, but the X communities to be surveyed are deliberately selected taking account of ease of access but at the same time trying to avoid bias by ensuring that sampled villages provide a representative picture of the situation in the zone. Within each community, randomly select 5 households if a household list exists. If not, as in #2, enumerators must select households trying to ensure a representative sample.	This approach has even more risk of bias but can still be acceptable providing the target communities are carefully selected to capture, as well as possible, the full range of situations across the area with respect to PA/CA-related social impacts — in other words, taking account of different types of social impact and distance from the PA/CA boundary, which may determine the extent to which people experience these impacts.
4	**Quadrat sampling.** As with ecological sampling, you can randomly place quadrats of a certain size across the communities that are included in the assessment and note the GPS coordinates for the four corners of each quadrat. Enumerators then visit each quadrat and interview every household that is located within the quadrat using a GPS to find the boundaries of the quadrat on the ground. For example, in a similar household survey in Kenya, the team used 800x800m quadrats.	Where there are no household lists, this method can be a very practical alternative but is only suitable on relatively flat land where you know in advance that all communities and households are easily accessible.
		This method requires that you have a good community map showing PA/CA boundaries, the boundaries of any communities within the PA/CA and the boundaries of all communities around the PA/CA that are to be included in the assessment.
5	**100% sample.** In cases where there are fewer than 100 households living within the community/communities that are to be included in the assessment, the survey should aim to include every household.	

Background information

The scorecard's primary purpose is to provide a quantitative assessment of PA/CA-related governance issues from the community perspective. It should tell you how the issues arising in GAPA are perceived by a larger number of people living in and/or around the PA/CA.

Ideally, you will use the site-level governance scorecard after Activity 3.3 (Analysing information as a group) and before Activity 4.1 (Assessment workshop) so you can present the results at the workshop alongside the results of the in-depth qualitative assessment.

So, why do we not start the GAPA process with a site-level governance scorecard? We have found that it is very hard to create meaningful site-specific indicators without first understanding the governance strengths and challenges at a PA/CA from multiple actors' perspectives. We therefore strongly recommend designing and implementing a site-level governance scorecard after key informant interviews and focus group discussions so you can use the preliminary non-validated GAPA results from your group analysis of the interviews and discussions to inform the development of your site-specific scorecard indicators.

Other reasons to undertake a site-level scorecard include:

1. A site-level scorecard can help you create a final narrative report that is rich in qualitative data and complemented by quantitative information and visual graphics. Although GAPA generates rich qualitative data, which is valuable for creating the final narrative report, it is useful to complement it with quantitative data. This is particularly important for getting the attention of government policymakers, who traditionally understand numbers, particularly when presented in graphs or figures.

2. It can provide data that you can disaggregate and analyse by social variables, such as gender, ethnicity and wellbeing status. You cannot do this with the qualitative data captured in the focus groups and interviews.

3. It could also generate baseline information on governance quality at the PA/CA that you can use to monitor change in the future. This could be a useful way to undertake outcome monitoring as part of Activity 5.3 (Monitoring progress).

From our experience, the scorecard can also provide useful quantitative data for Activity 4.1 (Assessment workshop), when it can be hard (depending on the context) for local community members to challenge their leaders on specific governance issues such as a lack of transparency and information sharing. For example, in a workshop environment, leaders from communities, government or NGOs can deny governance issues, stating that they are false. However, having data such as "65% of community members feel that their elected community leaders don't share information on how they spend tourism revenue meant for community projects" can be powerful for getting these actors to admit that there is an issue with transparency and information sharing at the PA/CA.

Site-level governance scorecard tasks

Task 1. Drafting the scorecard (convenor, lead facilitator and external technical advisor, if needed)

Draft the scorecard indicators together, framing them as statements that respondents should agree or disagree with. Currently, we phrase all indicator statements positively (and not negatively), but you could use an approach that has an equal number of positive and negative indicator statements, according to whether local people are more likely to understand a positive or negative statement. The scorecard should have indicator statements for each of the five good governance principles prioritised in GAPA. You should develop indicator statements for at least three themes per principle.

   📖   Use Annex 1 (good governance principles and themes) to inform your scorecard design.

   📃   To determine whether a theme is relevant, use your GAPA non-validated results from Activity 3.3 (analysing information as a group). Using the GAPA non validated results will give you the information you need to create site-specific indicator statements.

Do not include a good governance theme if you cannot design an appropriate site-specific indicator statement using your GAPA non-validated results. You may also include indicator statements for themes of a principle(s) which was not prioritised in GAPA, but was raised as an issue in focus group discussions or key informant interviews.

Table 13 on page 153 shows a site-level scorecard we are testing with partners in Zambia.

Task 2. Draft a household profile

Your household profile should at least include the respondent's gender, age, ethnicity of the respondent. We also suggest including questions on household wellbeing, as this will allow you to disaggregate the scorecard data by gender, age, ethnicity and wellbeing.

Task 3. Translate the governance scorecard

You will need to translate the indicator statements to ensure that all enumerators use the same language when they are undertaking the governance scorecard. You may choose to translate key terms only in the indicator statements where enumerators will better understand the statements in English. This is what our colleagues did in Zambia (see the example below). If you take this approach, you must translate terms like 'fair sharing' or 'timely response' to ensure that enumerators use the same language.

Task 4. Review the scorecard (convenor and/or lead facilitator, with technical assistance if necessary)

Review the scorecard with the facilitation team. Run through every indicator and check that each appropriately reflects the governance issue and that all actors can easily understand them. You may need to reword statements about sensitive issues such as corruption, but make sure that the meaning of the indicator does not change.

Task 5. Train enumerators and test the scorecard (convenor and/or lead facilitator)

Train the enumerators to use the scorecard. It is very important that this training includes each enumerator testing the scorecard with a few local people to give the enumerators practice and to check that the statements are well understood. It is likely that there will be a need to adjust the statements to address issues raised in this testing of the scorecard. These adjustments may be simple tweaks to the translation, or they may require the development of a different statement if you see that respondents are having a real problem understanding and responding to a statement.

Task 6. Use the scorecard (enumerators)

Enumerators should follow the sample plan for using the scorecard, as instructed by the convenor or the GAPA lead facilitator.

Task 7. Analyse the results (convenor, lead facilitator and/or an external technical advisors)

We suggest presenting results in the form of: % of respondents agreeing, disagreeing etc. For every statement, disaggregate the results by gender, location, ethnicity (if appropriate) and wellbeing status as a minimum and by any other variables that are likely to be important at that site. Once you have done the analysis for each statement, you can average the results for all the statements of a particular principle. But do not average to generate an overall score as this risks a situation where a poor score for one principle — for example, on participation or transparency — is masked by a good score for another, thereby leading to the misleading conclusion that everything is OK.

Task 8. Use the results

🗏 Update the PowerPoint presentation of non-validated, preliminary results from GAPA (Activity 3.3 output) with your scorecard results.

Outputs

✧ Site-level governance scorecard

✧ Site-level governance score card results

✧ Updated Powerpoint presentation of non-validated results from GAPA

Table 13. Example site-level governance scorecard from Zambia

Governance Principle and Theme	Statement	Response
Full and effective participation of all relevant actors in decision making		
Platforms and processes for relevant actor to participate in decision making (3.1)	My Village Action Group supports my village to make decisions on our needs for community development projects	Agree Disagree Do not know Rather not say/ no comment
Decision-making method (dialogue and consensus-based or otherwise) (3.2)	The DNPW *cooperates (kusebenza pamozi)* with leaders from my CRB to manage wildlife within the GMA	Agree Disagree Do not know Rather not say/ no comment
Quality of processes for selecting of actors' representatives (3.4)	There are *fair (chilungamo)* elections to select representatives to sit on my CRB	Agree Disagree Do not know Rather not say/ no comment
Influence that these inputs have on decisions that are made (3.7)	Women and men can equally influence decision making relating to which community projects are selected for funding by my Village Action Group	Agree Disagree Do not know Rather not say/ no comment
Transparency supported by timely access to relevant information in appropriate forms		
Information gathering and analysis: processes, activities, technology and capacity (4.1)	CRBs gather information about whether community projects are implemented according to plan in my village	Agree Disagree Do not know Rather not say/ no comment
Information sharing: processes, activities, technology, materials and capacity (4.2)	Community members inform community game scouts about incidences of poaching in the GMA	Agree Disagree Do not know Rather not say/ no comment
Specific information that has been made accessible/shared with actors who want it (4.3)	My Village Action Group shares information about the amount of hunting revenue my CRB receives from the DNPW	Agree Disagree Do not know Rather not say/ no comment
Effective and fair law enforcement		
Awareness of relevant laws and regulations, and codes of conduct (7.1)	A person who is caught hunting or wounding an elephant is acting unlawfully and could be sent to prison for over 5 years	Agree Disagree Do not know Rather not say/ no comment

Governance Principle and Theme	Statement	Response
Respect and protection for law enforcement agents and other actors who assist them (7.2)	Community members in my village have a good relationship with community game scouts	Agree Disagree Do not know Rather not say/ no comment
Conduct of enforcement agents and other actors when doing law enforcement (7.3)	Community game scouts act *appropriately (zoyenera)* when dealing with law enforcement issues related to poaching in the GMA	Agree Disagree Do not know Rather not say/ no comment
Coordination between actors contributing to law enforcement (7.4)	Community game scouts apply the law *fairly (chilungamo)* to all community members	Agree Disagree Do not know Rather not say/ no comment
Effective measures to mitigate negative impacts on IPs and local communities		
Assessment of existing negative social impacts, their effect on wellbeing, and needs (8.1)	The DNPW aware of the *negative impacts (zoipa – bad things)* on local people of injury and death caused by hippos and crocodiles in the GMA	Agree Disagree Do not know Rather not say/ no comment
Monitoring negative impacts as they occur and reporting to the responsible actors (8.4)	Community game scouts monitor and report incidences of human injury by wildlife in my village to the DNPW	Agree Disagree Do not know Rather not say/ no comment
Whether and how the responsible actors respond to avoid/reduce negative impacts (8.5)	The Department for National Parks) and Wildlife are quick to respond *(ie within 24–72 hours)* to incidences of human injury by wild animals	Agree Disagree Do not know Rather not say/ no comment
Benefits equitably shared among relevant actors based on one or more agreed targeting options		
Assessment of existing benefits, their effect on wellbeing, and needs (9.1)	CRBs keep a record of the beneficiaries of community projects in my village	Agree Disagree Do not know Rather not say/ no comment
Integrity of benefit sharing, including avoiding elite capture, nepotism, corruption (9.5)	There are few incidences of *bias (chosalungama)* in the way hunting permits are allocated to households in the GMA	Agree Disagree Do not know Rather not say/ no comment
Benefit-sharing outcomes – benefits (quantity and quality) received (or not) by whom (9.6)	I think that hunting revenue is shared *fairly (chilungamo)* amongst community members, the chief and the government	Agree Disagree Do not know Rather not say/ no comment

Notes

Notes

This manual provides detailed guidance for those who are using or considering using the Governance Assessment for Protected and Conserved Areas (GAPA) methodology. GAPA is a methodology that brings together stakeholders and rightsholders to assess the quality of governance at a specific protected or conserved area. The goal of GAPA is to improve governance over time through the generation and implementation of ideas for action.

GAPA uses a combination of i) key informant interviews and focus group discussions to identify governance strengths and challenges and ideas for action, ii) stakeholder workshops to discuss and validate the results and review the ideas for action, and iii) an optional site-level governance scorecard to provide a quantitative assessment of the governance issues and the diversity of views on these issues within and across communities.

If you are a GAPA facilitator or convenor, this manual is your essential resource. We assume that you already have some experience of running group discussions and conducting interviews, but otherwise it is a comprehensive guide, starting with important background information and definitions of key concepts and taking you through the five phases of the GAPA process step-by-step.

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