NATURAL RESOURCE GOVERNANCE FRAMEWORK ASSESSMENT GUIDE

Learning for improved natural resource governance

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Contents

Acronyms

CEDAW	The Convention on the Elimination of all Forms of Discrimination Against Women
CEESP	IUCN Commission on Environmental, Economic and Social Policy
CSO	Civil-Society Organization
EDI	Environmental Democracy Index
EGI	Environmental and Gender Information [platform]
ELC	IUCN Environmental Law Centre
ENPI	European Neighborhood and Partnership Instrument
FAO	Food and Agriculture Organization
FLEG	Forest Law Enforcement and Governance
FPIC	Free, Prior and Informed Consent
FPP	Forest Peoples Programme
GFI	Governance of Forests Initiative
IBC	Instituto del Bien Común
ICCA	General term referring to territories and areas conserved by indigenous peoples and local communities[1]
IIED	International Institute for Environment and Development
ISE	International Society of Ethnobiology
IUCN	International Union for the Conservation of Nature
KBA	Key Biodiversity Area
MEAs	Multilateral Environmental Agreements
NGO	Non-Governmental Organization
NRG	Natural Resource Governance
NRGF	Natural Resource Governance Framework
PA	Protected Area
PGA	Participatory Governance Assessment
PLA	Participatory Learning Action
RBA	Rights-Based Approach
REDD	Reduced Emissions from Deforestation and Forest Degradation
TAI	The Access Initiative
UDHR	Universal Declaration on Human Rights
UNDP	United Nations Development Programme
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
UNEP	United Nations Environmental Programme
WCC	IUCN World Conservation Congress
WCEL	IUCN World Commission on Environmental Law
WCPA	IUCN World Commission on Protected Areas
WRI	World Resources Institute

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This is a working paper intended for further development. Your feedback is welcome!

Disclaimer: The views expressed are those of the author and do not necessarily reflect those of any contributing organization. Any errors are those of the author.

Introduction

The NRGF Assessment Guide aims to support collaborative and learning-focused assessment of the state of natural resource governance and identification of pathways for improvement.[4]

What is Natural Resource Governance Assessment?

*For purposes of this Guide, natural resource governance can be understood as the **norms, institutions, and processes** that determine how **power and responsibilities** over natural resources are exercised, how **decisions are taken**, and how citizens – including women, men, youth, indigenous peoples and local communities – secure access to, participate in, and are impacted by the management of natural resources.*[5]

Governance is widely recognized as a critical determinant of the effectiveness, sustainability, and social equity of natural resources management, use, and conservation. Improving natural resource governance, including securing rights and sharing power and responsibilities, benefits both people and biodiversity, e.g., through improved ecosystem health and human wellbeing. It can help us realize a just world that values and conserves nature.[6] While the concept of 'governance' is used in different ways, it generally deals with questions of how and by whom decisions are made, and with the contested arenas of power, values, and relationships.[7]

The last several decades have seen increased interest in governance and its assessment in a variety of sectors. For purposes of this Guide, 'assessment' can be understood as evaluating or estimating the nature or quality of something.[8] Motivations for and approaches to governance assessment have varied. Wilde (2011) identifies three broad "waves" of assessment approaches:[9]

1. Academics seeking to evaluate progress towards democratization; to
2. Donors seeking instruments to inform development assistance decisions; to
3. Local and national ownership of assessment processes and results and more bottom-up, contextualized, and inclusive processes.

Civil society organizations (CSOs) are increasingly initiating and leading governance assessments, including for self-reflection and to hold governments and other duty-bearers to account. 'Third wave' assessments are also heavily influenced by human rights-based approaches; according to Hydén (2011:14), "The current situation in the governance field may be characterized as one of tension between a rights-based and a results-based approach".[10]

[**For Further Development**: Based on reviewer comments, a Text Box may be added to further illustrate current approaches to governance and its assessment.]

What is the IUCN Natural Resource Governance Framework?

The Natural Resource Governance Framework (NRGF) is an IUCN initiative with the overarching goal of:

> Setting standards and guidance for decision-makers at all levels to make better and more just decisions on the use of natural resources and the distribution of nature's benefits, following good governance principles, such that improved governance will enhance the contributions of ecosystems and biodiversity to equity and sustainability.

The NRGF is comprised of a number of complementary resources. Central to these is a NRG Framework ('the Framework') of "key elements that need to be in place for effective and equitable natural resource governance – emphasizing rights-based approaches, equity and social justice".[11] **The Framework is intended to be used as a basis for assessing the status of natural resource governance in multiple contexts and at multiple levels**. Four inter-related components – values, principles, criteria and indicators – are proposed for the Framework, starting with broad concepts and moving to increasing levels of specificity. The full Framework, including a description of the current working approach to each component and how they relate to one another, is available here.[12] Other NRGF resources include conceptual papers that explore the meaning and implications of NRGF principles in further depth,[13] and scoping work that helps to explore governance issues in specific regions.[14]

Box 1: Proposed NRGF Principles

(Adapted from Natural Resource Governance Framework Design Document – Dec. 2016 Working Paper[15])

1. Inclusive decision-making - especially increasing voice and participation of youth, women, indigenous peoples, and local communities
2. Recognition and respect for legitimate tenure rights – especially customary rights of indigenous peoples and local communities, and women's tenure rights
3. Embracing diverse cultures and knowledge systems
4. Devolution – especially for community-based natural resource governance
5. Strategic vision and direction
6. Empowerment
7. Coordination and coherence
8. Sustainable resources and livelihoods
9. Social and environmental accountability
10. Protection of the vulnerable
11. Rule of law
12. Access to justice on natural resource issues, including to resolve natural resource conflicts

Proposed Values underpinning the Framework include**:** human rights, social equity, legitimacy, and sustaining and valuing nature.

What is the NRGF Assessment Guide?

Purpose: The NRGF Assessment Guide ('the Guide') offers guidance and resources to help design and carry out governance assessments using the Framework. **It is meant to be used in conjunction with the Framework**, rather than as a stand-alone resource.

The NRGF Assessment Guide helps put the Framework into action.

Applicability: The Guide is a general resource. It aims to be adaptable for assessment in diverse circumstances and under different governance considerations including:

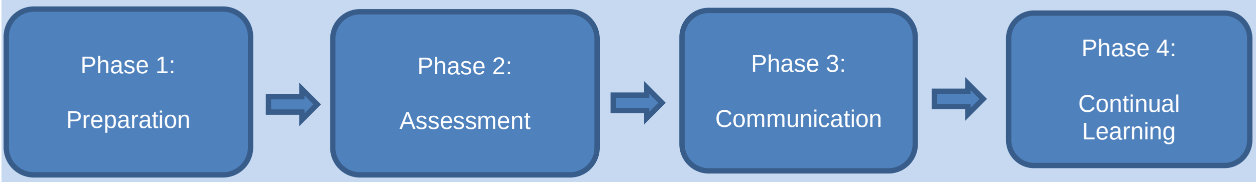
- Contexts / Concerns – conservation of particular resources or ecosystems, practice of extractive industry or large scale development, etc.
- Levels – local, landscape, national, regional/ transboundary, etc.
- Objectives – learning, internal strengthening, advocacy, accountability, etc.
- Types – by communities; by private actors such as NGOs, individual land owners, or businesses; by government agencies; or combinations of these[16]

It is envisioned that further, more specific NRGF guidance will be developed for particular contexts and/or scales.

Users: The Guide aims to be accessible and useful to a wide range of actors involved in and concerned with the governance of natural resources. In keeping with the NRGF aim of supporting rights-based approaches (RBAs), it places particular emphasis on assessments convened by rights-holders, as well as collaborative assessments in which rights-holders are empowered partners. It is envisioned that this will often involve a mix of direct participation and responsive, accountable representation, as allowed by the context. For example, local-level assessments can involve the direct participation of many community members. Assessments at other levels may involve more of a mix of direct participation and accountable representative organizations, or tiered processes.

Structure and Content: The main section of the Guide describes four broad assessment phases (see Figure 1) with boxes that elaborate on specific design considerations and provide illustrative examples. Annexes include (1) examples of information sources for assessments, (2) sources of example indicators and guiding questions and (3) methods to consider for each assessment phase.

Figure 1: Assessment Phases



Why is assessment useful?

Assessment – an evaluation or estimation of the nature or quality of something[17] – is a **way of learning**. Assessment results, and the process itself, can support:

- Better understanding of the state of governance at a point in time and how this changes overtime
- Identifying pathways for its improvement
- Building capacity for governance
- Increasing accountability of powerful actors/ duty-bearers
- Ultimately improving governance systems and outcomes overtime, including as part of adaptive management

Like governance, assessment is itself complex, delving into issues of power and relationships. Assessment also involves value judgments – in process design, operational procedures, methods, and interpretation of results. Normative assumptions, social and political relationships, and power differences can therefore have substantial impacts on the process and results. Assessment can also take substantial time and technical and financial resources. However, especially if well-designed and context-appropriate, assessment can also help to improve some of the most critical aspects of how we understand, care for, use, and conserve natural resources, including in terms of their impacts on people and nature. It can be a **powerful learning tool, including for clarifying values and principles; highlighting strengths, weakness, opportunities, and threats to the system; and identifying potential pathways for iterative improvements and adaptations**.

[For Further Development – box further explaining the importance of pathways for improvement, including alternatives to current practice]

What is the assessment approach?

The NRGF Assessment Guide acknowledges and is informed by many existing frameworks, methodologies[18] and design resources.[19] Its specific focus includes linking directly to the NRG Framework and promoting a process that is in line with the NRGF values, including human rights, social equity, sustaining and valuing nature, and legitimacy. The Guide **encourages a collaborative, learning-focused, and ethical approach to help ensure meaningful and fair assessments**. (See Box 2).

Box 2: Guidelines for Assessment

(These are non-exhaustive and draw on several sources including the NRG Framework[20], International Society of Ethnobiology (ISE) Code of Ethics[21], and Rambaldi et al. 2006.)

Collaborative and Rights-based: The Guide is principally oriented towards assessments by and with rights-holders – including indigenous peoples, local communities, women and youth who are living within, caring for, relying on, or otherwise impacted by the governance and management of natural resource systems. This implies an empowered voice of rights-holders in assessing the state of governance and identifying pathways for its improvement. Where processes are multi-stakeholder, the Guide encourages collaboration based on equitable co-design and co-production, respecting different languages, knowledge, and world-views. It discourages assessment as 'extraction' of information for external uses. This orientation requires that assessment processes and outcomes respect, and wherever possible advance, individual and collective rights, including indigenous peoples' human rights.[22]

Learning-focused and Aspirational: Approached as a learning process, assessment can build understanding, capacity, and relationships through exchange. This can be enhanced by openness and honesty, including being aware of and willing to question assumptions and recognize complexity. The Guide discourages approaching assessment as a technical exercise or a matter of checking the right boxes. Rather, it encourages a learning process that can advance aspirational values, including those that underpin the NRGF.[23]

Full Disclosure and Free, Prior and Informed Consent (FPIC): All participants should have the right to consent to, decline, or withdraw participation based on full disclosure of assessment objectives, methods, expected results, and limitations and risks.[24] Where processes or outputs may impact lands, territories, and other rights of indigenous and local communities, e.g., documentation of territories, customary systems, knowledge, or culture, seek and respect FPIC.[25]

Due Credit and Acknowledgement… With Confidentiality and Respect: Generate, use, and share information (written, oral, images, other) only in ethical ways, including with FPIC, due credit, and respect for intellectual ownership, including those of all rights-holders. At the same time, offer and respect confidentiality of individuals and groups.[26]

Avoid Harm: Ensure to the greatest possible degree that vulnerable people are not harmed. Assessment can be a highly political process. Discussions about and evaluations of governance may have unintended (negative or positive) consequences, including risks to vulnerable people within and across communities. Make the greatest possible effort to be aware of, disclose, and avoid associated risks.[27]

Appropriate and Respectful: Make assessment accessible, appropriate, representative, and respectful. Ensure that processes and outcomes are in forms and languages that are accessible, meaningful, and useful for rights-holders. Give people the time they need to engage meaningfully and fully. Respect that people's time needs may be substantial, e.g., for participatory mapping. At the same time, ensure that people's time is respected; do not request more time than is really needed, and seek to organize assessment activities when it works best for participants. Facilitators should openly and respectfully listen to the diverse views of participants, and help ensure that all voices are heard. Processes should recognize and respect local and customary governance systems, including their institutions and rules. Representation should reflect the diversity of the participating groups, including women and youth to the greatest possible degree. Create space for dissenting voices and marginalized or displaced people who are impacted by governance but may not have a clear pathway for engagement.[28]

Responsive: Commit to responding to what is learned, including with respect to the rights and needs of local people(s) and other right-holders. This will vary by assessment objectives, context, and results. It may involve development and implementation of an internal plan for improving governance. It may be more advocacy or accountability-oriented. The path from assessment to action is also variable. Governance change takes time and will often involve negotiated and iterative processes.[29]

Assessment Phases

Phase 1: Preparation

Clarify Objectives, Scope, and Approach: Plans can evolve throughout the preparation stage, and other times as needed. However, conveners – those organizations, communities, peoples and/or others who are bringing together and leading the process of designing an assessment - should have a clear starting proposal. Developing this proposal may include some initial scoping if the governance context is not already well known – e.g., situation analysis and/or institutions and actors mapping (see Annex 3). Questions that may be helpful to ask in this proposal/ scoping process include:

While described here in phases for simplicity, assessment is an iterative process. Steps and phases may overlap in practice. Assessment partners should adjust the process to best fit their context and be prepared to adapt plans as needed.

- **Who** is initiating or convening the assessment? Who else will be involved? Who are the key (internal and external) actors? Who will benefit and who might be at risk?

- **Why** is assessment being undertaken? What are the learning and action objectives (and whose objectives are they)? What type and scope of results are expected? Assessment is unlikely to be initiated without clear motivation or objectives. Those objectives might include, for example, learning about the state of governance to identify possible improvements, helping to inform a pending governance change, or advocating for increased rights recognition and/or accountability of powerful actors.

  Comparison across contexts would only be meaningful where the scope, scale, and methods are comparable, and the same indicators are used. As these will vary in most cases, the use of assessment results for direct comparison will be limited. Meaningful exchange, however, might be possible across contexts - e.g., comparing experiences with governance and lessons learned.

- **What** will be assessed? What is/are the core governance system(s)? At what level(s) do they operate? What geographical areas, territories, ecosystems are included? What (internal and external) institutions will be considered? Defining the scope will often require a balance between comprehensiveness and practicality. Governance is complex and myriad internal and external historical, cultural, social, economic, political factors may be at play. At the same time, the scope of assessment must be manageable. It may be worth noting potentially relevant issues that are *not* being considered, to help clarify the scope and point to areas for future consideration.[30]

- **When** will assessment be done? What times and places will make the process most accessible for all participants?[31] Will the assessment be one-off, or periodic? How long is the assessment process estimated to take? In many cases, while the evaluation phase may be relatively short, preparation and information gathering may take substantial time (e.g., several months) especially where participatory mapping or similar activities are undertaken.[32]

- **How** will assessment be approached, broadly speaking? Box 2 outlines guidelines for an ethical and learning-approach. What are the barriers to this? How can these be addressed? Consider power and voice differentials, representation, time and resource availability, levels of trust and/or conflict, accessibility for diverse actors, and other relevant issues in your context. The guidelines in Box 2 are not meant to be exhaustive. Convenors/ partners may also have their own norms or processes.

Example – Objectives, Scope, and Approach

[**For Future Development** - Here and at various points, as indicated, the Guide will include an illustrative evolving example, based on a hypothetical scenario. This box will introduce the example, describing who is convening the hypothetical assessment and why, as well as the assessment scope and approach.]

Secure Sufficient Resources: Conveners should have a clear plan for having the (time, information, financial, technical) resources needed for a complete and inclusive assessment, including preparation and follow-up. Plans, and thus time and costs, may not be fully clear at the outset and may change over time. However, resource needs should be analyzed upfront to the extent possible, taking note of what is unknown or likely to change. When communicating plans to potential participants, be clear about what is definitely planned for and what is subject to securing additional resources. **Key factors to consider include time and funding for full and effective participation** (see below). Travel and translation costs should also be accounted for. Time and cost needs will vary by the context and scope of the assessment.

Enable a Collaborative Process: As discussed above, assessments can be convened and/or facilitated by a variety of groups, but should in all cases be based on the leadership of and empowered collaboration with rights-holders directly concerned with the governance system. Conveners can reach out directly to other rights-holders and stakeholders to invite participation via contextually appropriate representative bodies and based on FPIC where relevant (see Box 2). Information about the assessment, including opportunities to participate, can also be widely shared – e.g., via email lists, radio, TV, social media, information tables at markets and other gathering places, or other means that work in your context.

Reflection Questions: *Whose story will be told? Who will (and will not) participate? Who is represented and how? Whose questions are (and are not) asked? Whose answers are (and are not) considered? Who decides this?*[33]

Empowered collaboration means more than a 'seat at the table'. It requires that assessment process/ methods recognize and respect diverse languages, cultures, and ways of knowing. **Time, resources, and self-determined approaches** may be needed to support the full and effective participation of rights-holders – e.g., meetings of sub-groups before a multi-stakeholder process and/or participatory documentation/ mapping of areas, territories, resources, and governance systems. Where relevant, **preparatory steps should also include co-translation**. This involves translation of assessment documents into accessible languages (all phases) as well as exchange / co-translation of terminology where needed. For example, what do 'governance' and the NRGF principles mean to each participant group? Are there more contextually appropriate terms that can be used to ensure mutual understanding?

Example – Planning for a Collaborative Process

[**For Future Development** - Building on the same hypothetical, this box will briefly describe methods used to support a collaborative process.]

Develop or Select Context Appropriate Indicators and Guiding Questions:

Indicators provide "specific information on the state or condition of something".[34] *They can enable measurement or assessment of a specific criterion - asking 'to what extent', 'in what ways', 'how often', 'how many', etc.*

In addition to set principles and criteria[35], the NRG Framework includes three categories of indicators:[36]

- "Legal/policy Frameworks …assess the extent

to which laws/policies/rules/norms establish requirements and mechanisms for fulfillment of that governance principle.
- Implementation: Institutions and processes … assesses the extent to which institutions and processes are in place to realize that governance principle.
- Outcomes … assesses the extent to which the governance principle and criteria are realized in practice."

The Framework also includes generic indicators within each category that serve as examples and a basis for the development of more context specific indicators. Using these categories and examples as a guide, assessment partners can develop or select indicators for each criterion. Indicators should be appropriate for the assessment objectives and scope, as well as the (social, ecological) context.

In some cases, the NRG Framework indicator categories or generic indicators may themselves be specific enough. Where more specific information is needed, **partners may develop new indicators, and/or adapt existing ones** in collaborative ways.[37] Formulating new, tailored indicators can help ensure a nuanced assessment. There are also many sources of existing indicators that could be used or adapted. In all cases, indicators should be examined and tested for potential flaws as well as for context-relevance.[38] For example, a simple focus group could be organized to see whether indicators will be interpreted in the intended way and result in the kinds of information anticipated. Indicators may require further amendment/ adjustment during the information gathering phase, e.g., if it is found that insufficient information is available.

In some cases, it **may be useful to frame indicators as questions**. For example, the indicator 'extent to which legal requirements for participation are implemented' and the question 'To what extent are laws requiring public participation implemented in practice?' are seeking the same information. However, the indicator may be more accessible phrased as a question. In other cases, open-ended guiding questions can complement more discrete/ measurable indicators, to encourage dialogue on a particular aspect of governance.[39] A mix of more discrete indicators and open-ended questions may enable both specific results and rich discussion and exploration of 'why'.

An example of context-based indicators is below. Further considerations for indicator development and selection are explored in Box 3 and some examples of existing indicators and guiding questions are in Annex 2.

Example – Context-Relevant Indicators		
[**For Future Development** – This table will include indicators for the example assessment, based on the proposed principle of inclusive decision making and related criteria. This iteration is based on the December 2016 Initial Design Document for an NRG Framework (Working Paper).[40]]		
Principle: Inclusive decision-making - especially increasing the voice and participation of women, youth, indigenous peoples and local communities		
Framework Categories of Indicators	**Criterion 1:** Full and effective participation in decision-making concerning natural resources	**Criterion 2:** Empowered participation in NR management
	Context Specific Indicators	**Context Specific Indicators**
Extent to which relevant laws/policies/rules mandate full and effective participation in decision-making	[Example indicators to be added, based on hypothetical example]	
Extent to which institutions and processes ensure full and effective participation of relevant rights-holders and stakeholders		
Extent to which decision-making is inclusive in practice		

Box 3: Considerations for Indicator Development and Selection

(Drawing on various sources, including UNDP 2009 and Williams 2011)

[For Future Development: It is noted that indicators development is both a critical and particularly difficult step in assessment. Based on reviewer comments, this Box may be included as an Annex with extended and more step-wise guidance on indicators development/ adaptation. This will include additional guidance on how generic indicators in the Framework could be adapted for use in more specific natural resource contexts.]

Including a Mix of Indicator Types: There are many ways of differentiating and classifying indicators. One common distinction is made between indicators that are qualitative (something you can describe) and quantitative (something you can count). Both qualitative and quantitative indicators can be designed to be measured/ answered using a variety of information/data types, including:[41]

- ‘Objective’ – ‘neutral’ or impartial sources of information, like whether a certain kind of law or policy exists, who or how many people are present at meetings, what court decisions say, what financial records indicate, etc.
- ‘Subjective’ or perception-based – information based on people’s perceptions of how things actually are or should be, like whether one’s ability to be heard and impact decisions is, in practice, low, moderate, or high.

Generally, NRG Framework law and policy indicators are more likely to be based on ‘objective’ information, while outcomes indicators are more likely to be perceptions-based. Process / implementation indicators are likely to be a mix – e.g., whether there are process for implementation formally in place (objective) and whether they are thought to be effective (subjective). However, in practice the lines between objective and subjective data are sometimes blurry, e.g., where ‘impartial’ data requires substantive interpretation.

Building Reliable and Useful Indicators: The assessment context and objectives will inform the kind of indicators needed. Some questions to ask in evaluating indicator quality include:[42]

- Can you measure or answer it with available information?
- Will it allow comparison over time?
- Is it responsive - i.e., will the measure or answer change in the expected direction and degree when there are changes in what it actually aims to assess?
- Is it specific?
- Is it clear and valid? Will it be understood in the same way by different respondents?
- Is it meaningful for the context?
- Taken together, is the set of indicators comprehensive, including consideration of policy, practice, and outcomes?
- Will the resulting information be actionable?
- Can the resulting information be disaggregated, including to identify different rights-holder group perspectives?

Indicators for governance can be challenging - though quite possible - to develop and no set will be perfect. Therefore, it is also important to be aware of their limitations and be careful in their interpretation – including recognizing uncertainty and complexity.[44]

“*Not everything that can be counted counts, and not everything that counts can be counted.*”[43]

Create a Flexible Plan: A detailed but flexible plan should be developed early in the process with potential participants, with openness to its evolution over time. Plans do not need to be ‘set in stone’, particularly early in the process; they should stay responsive to what is meaningful for the participants and context.[45] However, discussing and developing this plan with potential participants can help ensure transparency during the preparation phase and facilitate the establishment of mutually-agreed terms and conditions, including regarding methods and representation.[46] Development of the plan should be done collaboratively. This might include, for example, a meeting of representatives to discuss indicators, methods, and means of expression, as well as to review/ refine the overall assessment objectives if needed. A written plan might include: steps and timeline, participants, budget, methods, and indicators or indicators-based guiding questions. The plan can help define or reinforce the assessment orientation – e.g., being collaborative, rights-based, and learning-focused.

Phase 2: Assessment

Gather Background Information: To inform and enable collaborative evaluation, some background information will typically need to be gathered in advance. This may include relevant information pertaining to each indicator, as well as more general material about the governance context and history. Information can come from a mix of sources. Annex 1 includes example information sources, though the most meaningful and appropriate sources will depend on your context.

Background information can be collected and organized in a number of ways. For some indicators, particularly objective ones, desktop research may be sufficient. For others, there may be little documented information. In these cases, primary (first-hand) information may be based on, e.g., key informant interviews, small group discussions, or mapping of existing governance systems, tenure arrangements, etc. **Some methods take substantial time,** and may overlap with preparation and/or evaluation stages. Some example methods are described in Annex 3, though there may also be contextually/ locally defined methods.

To the extent possible, **collection of background information should be done collaboratively**. For example, for desktop research, a team can be formed from the core participant groups. Information should also be compiled and summarized in a way that makes it useful for all the participants, in accessible formats and languages. The 'best' formats will depend on your context. One option is to create a simple table of information relevant to each indicator or criterion, with clear references.

Example – Background Information

[**For Future Development** - Building on the same hypothetical, this box will briefly describe types and sources of information to inform the collaborative assessment.]

Participatory Evaluation: Reflecting on what was learned from preparation, background information, and their personal experience, participants can collaboratively evaluate the degree to and ways in which the governance system adheres (or not) to Framework principles and criteria. **Evaluation can be based on responses to each indicator, as well as broader discussion, e.g., in relation to the principles and underlying values**.

Effective and acceptable facilitation will be important, but the evaluative work should be done collaboratively, meaning that participants should themselves discuss and evaluate governance. Each indicator can be discussed, though indicators for which background information was not available may require more time, e.g., people's perception of how things are working in practice. **Discussion can also remain open to issues, relationships, and complexities that were not foreseen by indicators**. Indicators should guide and structure, rather than unduly limit or 'box in', a governance learning process.[47]

Where points of view diverge – which may be likely, depending on the assessment context and approach – discussion may help reach consensus, or at least mutual understanding of the different viewpoints. However, **consensus should not be forced**. One option is for different group responses to be maintained rather than being 'averaged out'. For example, if there are different viewpoints between men and women, or between community and government representatives, assessment can be an opportunity for dialogue without coerced consensus.[48] Different views can then be clearly indicated in assessment results.

The collaborative evaluation can be organized in a number of ways, depending on what best fits your context. Options include holding one or several workshops in which all participants are present; facilitating a number of smaller discussions, mapping exercises, transect walks, etc. with sub-groups; a combination of these; or other context-appropriate approaches. For example, there may be existing forums, committees, or gatherings during which a discussion on natural resource governance could be appropriate. When deciding where and how to hold the assessment, consider, among others:

- Cultural and language diversity - Will everyone be able to fully and effectively participate?
- Power differentials – Will all participants have equal voice? If not, why? What can be done to help ensure the most equitable space/ process possible in this context?
- Access - Is it practical (time and cost effective, including for participants) to meet in one location? Is a tiered process appropriate? Are times and places contextually appropriate and convenient for the participants? Is it the rainy season? Harvest season?

The process should **ensure that rights-holder and stakeholder groups have the opportunity, if they want it, to assess governance amongst themselves** before results are aggregated (e.g., in small groups). Annex 3 includes some example participatory evaluation methods, including mapping, facilitated group discussions, and prioritization exercises. However, there may be other methods preferred by or more meaningful for participants in your context.

Example – Collaborative Evaluation

[**For Future Development** - Building on the same hypothetical, this box will briefly describe methods and outcomes of a collaborative evaluation.]

Box 4: Options for the Expression of Evaluation Results

Apart from methods, another important consideration is **how the evaluation indicators/ questions/ considerations and results will be expressed**. The most appropriate approach will vary by context, and should in all cases be agreed upon by and useful to participants. Options include the following, which are not mutually exclusive:

- **Narrative** of ways in which/ extent to which the governing system does (or does not) reflect the principle/ indicator/ guiding question.[49] This is a highly flexible approach, and can help communicate nuanced and detailed reflections and broader discussion. **It is recommended that documentation always include some kind of narrative**. However, depending on the assessment objectives, relying solely on narrative can make it more challenging to identify concise conclusions and to monitor change over time.

- **Qualitative value based on a continuum or 'Likert' scale** – i.e., an expression of the level or degree to which participants' feel a certain governance attribute is present**,** e.g., from 'very weak' to 'very strong'.[50] The example tool below provides one template along these lines, coupled with a narrative description. **Consider what will work best your context**. For example, rather than the 'very weak' to 'very strong' continuum, consider using a visual continuum or easily understood symbols.[51] The red to green color code in the example below may not be meaningful in all places and may not be easily replicable, e.g., where photocopies are being used or where the table is being replicated by hand. Likewise, where participants are not able to read or write in a common language (or any language) using small objects, colored stickers, written symbols, etc. may be more meaningful.

- **Numeric score** – This can involve simply converting a continuum or scale to numerical 'points', e.g., 1 to 5 for low to high respectively, which can then be averaged for an overall 'score' per Principle. This can also involve more complex approaches – e.g., calculating a total score on a set scale, e.g., 0 to 100, from low to high, with weighting for relative importance of different indicators or factors. There are special considerations where a numerical scale is used. Numbers have the advantage of being simple to aggregate (and disaggregate). However, numerical expressions can also be interpreted as being more precise than they actually are – e.g., a "score" of 4 is not necessarily twice as good as a score of 2. **Numerical scores should be used and communicated with appropriate caution**.

- **Other context appropriate approaches**. For example, where assessment is based on dialogue and the collective production of a map, the map itself may be the basis for participants to tell the story and relay the conclusions they reached. Or perhaps assessment 'results' might be in the form of a case study and related communications that are useful to the participants.

In all cases, the meaning of the approach should be clearly understood and agreed upon, including limitations. If indicators are not 'weighted' – i.e., if each answer or measure is given equal value – important points can be obscured. For example, participants may feel that, in practice, having policies in place is less important than their effective implementation. This can be countered by identifying which issues participants feel are most critical (e.g., 'flagging' important issues[52]) and by including detailed narrative.

Example – Tool for Documenting Evaluation by Indicator (As noted in Box 4, this is meant only to illustrate one approach. It may or may not be appropriate for your context. Content is based on proposed principles, criteria, and categories of indicators in the December 2016 Initial Design Document for an NRG Framework - Working Paper).[53]							
Principle 1: Inclusive decision-making – Especially increasing the voice and participation of women, youth, indigenous peoples and local communities							
NRGF Categories of Indicators:	Indicators or questions developed for assessment (number will vary):	Very weak	Weak	Moderate	Strong	Very Strong	Narrative (e.g., why a given response was given and how important this issue/ indicator is.)
Criterion: Full and effective participation in decision-making concerning natural resources							
Extent to which a meaningful right to participation is recognized in law or policy (including statutory law, customary law, bylaws, organizational policy where appropriate)	Indicator 1						
	Indicator 2						
Extent to which effective and accessible structures and processes for participation are in	Indicator 3						

place and functioning.	Indicator 4						
Extent to which diverse rights-holders and stakeholders, including vulnerable people, feel that they are able to participate in and impact decisions.	Indicator 5						
	Indicator 6						
[Repeat for each criterion]							
Additional discussion questions, e.g.,: • What are the main strengths and weaknesses of the governance system with regard to this Principle? • What are the opportunities and threats? • How does this principle appear to relate to human rights and social equity in this context? To sustainability? To the legitimacy of the governance system?							
[Repeat for Each Principle]							

Collaborative Analysis: Participants can now analyze what evaluation reveals at a broader level – i.e., go from a detailed analysis by principle toward key points for learning and action. **Context-relevant questions can be developed to guide this process**. Some general example questions are:

- What are the overall strengths of the governance system? (For whom are these strengths/ benefits? For whom might these be weaknesses/ costs/ concerns?)
- What are the overall weaknesses of governance system? (For whom are these weaknesses/ costs/ concerns? For whom might these be strengths/ benefits?)
- What has been learned from successes? Mistakes?
- What are facilitating factors or opportunities for improving governance? (For who would these be improvements? Who might 'lose out'?) Are they internal or external?
- What are threats or obstacles to improving governance? (For whom are these threats/ obstacles? For whom might they be benefits?) Are they internal or external?
- What are alternatives/ innovations to current practice that we could learn from/ build on/ encourage?[54]
- Other observations?

Collaborative Planning for Improvements: Finally, participants can identify and plan pathways for improvements, to the extent possible, including considerations of alternatives/ innovations to current practice. **Context-relevant questions can be developed**. Some general example questions are:

- What are the short and long-term priorities for improving governance? Whose priories are these?
- What changes can be made directly? How and by whom?
- What changes can be influenced? How and by whom?
- What commitments and resources need to be in place?
- What are recommended or desired next steps?

In practice, participants may be limited in how much planning can be done immediately. Governance change is technically and politically challenging and may be resource and time intensive. It may involve more iterative negotiation than simple 'fixes'. Nonetheless, to the extent possible, participants can describe the next-steps and changes they believe should be pursued based on what was learned during assessment.

Analysis and planning can be undertaken during the evaluation process(es), or in separate gatherings, as appropriate for your context. In all cases, analysis should be collaborative, with the opportunity for sub-groups (or individuals) to work on their own before results are consolidated, if they wish to. In such cases, disaggregated results should be available. Annex 3 includes some example methods, but there may be preferred context-specific approaches.

[**For Further Development** – It was noted that more information and/or a separate, dedicated resource may be needed to further unpack and provide guidance on the potentially complex process of identifying and pursuing pathways for change. This section may thus be expanded or be used to help inform a more detailed resource.]

***Reflection Questions**: Whose knowledge, understandings, or ideas are included? Whose are not and why? Who decides what is and is not included?*[55]

Prioritization and Summation: To move from rich discussion and evaluation of a full set of indicators to concrete plans for a way forward, summation and prioritization may be required at one or several points, including: following evaluation (summing or 'averaging' values per principle), during analysis (summarizing what was learned) or in identifying pathways for improvement (prioritizing options). Summation poses a challenge in balancing nuance with simplicity, including to ensure different perspectives are not obscured. The appropriate approaches will depend on the context, including who is participating and whether assessment is done in one large group or in several smaller group exercises that are then aggregated or woven together. In all cases, prioritization should be consensus oriented while also ensuring that voices and concerns of potentially more vulnerable actors are given weight. Disaggregation of responses by sub-groups of participants should also be possible – e.g., by community, gender, age-set, livelihood group, sector, etc., depending on the context

.

Example methods are included in Annex 3, though assessment partners may have their own preferred methods. Summaries can often be done in simple tables. For more complex or in-depth assessments, participants can consider a variety of qualitative analysis support tools, such as Nvivo.[56]

Example – Collaborative Analysis and Planning

[**For Future Development** - Building on the same hypothetical, this box will briefly describe the methods and some example outcomes of the analysis and planning exercises.]

Phase 3: Communication

***Reflection Questions:** How do assessment partners want to communicate results internally? How and with whom (if at all) do they want to communicate them externally? Who decides what to make public (and not)? Who will be able to use this information (and how)? Who will benefit? Who might be put at risk?*[57]

Assessment results should be shared among participants and communicated to any external audiences they may wish to. Communication forms and approaches will vary by context. It may take the form of an assessment report, including for example:

- What was done, why (objectives), how (process) and with whom (participants, respecting confidentially)
- What was learned
- Limitations and points of divergence in results/ perceptions
- What will/ should happen as a result, or what the next steps/ questions are, noting that these responses may also develop over time

Other context-appropriate means of communicating results can also be used. For example, if assessment was centered around the participatory development of a map or other shared resource, it may be that these are the final 'outputs'. In other cases, participants may wish to communicate results using public meetings, community radio, theatre, or other methods. **A mix of communication formats or approaches may be needed to meet different assessment objectives**. For example, participants may wish to communicate certain conclusions to policy makers or others for advocacy purposes.

In all cases, **there should be a clear process for reaching agreement among participants on the ways that results are expressed and communicated.**[58]This may involve maintaining anonymity, noting where views differed, and other context-specific responses. If appropriate,[59] participants may also wish to share results and ask for inputs from their constituencies and /or other rights-holders and stakeholders who may not have been able to participate directly.[60]

Example –Communication

[**For Future Development** - Building on the same hypothetical, this box will briefly describe how assessment outcomes are verified and shared.]

Phase 4: Continual Learning

Governance is complex and dynamic. Improvements will take time, and new governance challenges and opportunities will arise as the social and ecological landscape continues to change. **Establishing processes for continued learning and improvement can help ensure progress over time and responsiveness to change**. Are there existing processes/ mechanisms that ongoing governance learning can be incorporated into? Methods for continual learning and improvement might include learning networks, citizen report cards, incorporating governance into existing monitoring mechanisms, and periodic re-assessment.[62] Annex 3 includes these and other examples, and there may also be preferred local/ context specific approaches.

Reflection Questions: *What has changed? What has not? Who has benefited from these changes, and how? Who has 'lost out', and how? What new opportunities or challenges have arisen? How can learning and change be continued?*[61]

Example – Continual Learning and Improvement

[**For Future Development** - Building on the same hypothetical, this box will briefly describe how continued learning and improvement could be institutionalized]

[**For Further Development** – It was noted that more information may be needed to elaborate and clarify how ongoing learning processes can result from and relate to assessment.]

Annexes

[**For Further Development:** Additional resources may be added, particularly to highlight more resources from local / grassroots organizations and platforms.]

Some of the resources and methods in these Annexes may be useful for your assessment, depending on your context. [63] However, they are non-exhaustive examples and relevance will vary. There may also be context-specific resources and methods that are not included here, but that should be prioritized for your purposes. The meaning, methods and limitations of existing sources and methods should also be understood before they are used in any particular assessment. (Where relevant, lists are in alphabetical order by resource name.)

Annex 1: Example Information Sources

Existing Resources ↓ **Related NRGF Principles →** (Indicative only – Relevance will vary by context and indicator. Analysis is based on prominent/ focal principles. Absence of check-mark therefore does not necessarily indicate that issue/ principle is not addressed in resource. Likewise, check-mark does not denote extent to or manner in which issue/ principle is addressed.)	Inclusive decision-making	Tenure rights	Diverse culture & knowledge	Devolution	Vision & Direction	Empowerment	Coordination & Coherence	Resources & Livelihoods	Accountability …	Protection of vulnerable	Rule of law	Access to Justice
General Information Sources												
Statutory and customary laws, policies, norms pertaining to environment and natural resources; land, water and resource tenure (ownership, access and use); participation; benefit sharing; human rights, including FPIC and self-determination; arrangements for decentralized and coordinated governance; rule of law and grievance; mechanisms; etc.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Policies of relevant private actors, CSOs, and funders, including any pertaining to public participation, engagement with indigenous peoples and local communities, gender, human rights including FPIC and self-determination, grievance mechanisms, etc.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Voluntary environmental or social **guidelines, standards,** or **safeguards** that have been adopted/ applied in the context.	✓	✓	✓			✓		✓	✓	✓	✓	✓
Reports on the implementation and enforcement of laws, policies, rules, agreements, such as local records of natural resource related fines, reports on Multilateral Environmental Agreements (MEAs) and human rights instruments, project monitoring reports and any related grievances, court cases, etc.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

Existing Resources ↓ **Related NRGF Principles →** (Indicative only – Relevance will vary by context and indicator. Analysis is based on prominent/ focal principles. Absence of check-mark therefore does not necessarily indicate that issue/ principle is not addressed in resource. Likewise, check-mark does not denote extent to or manner in which issue/ principle is addressed.)	Inclusive decision-making	Tenure rights	Diverse culture & knowledge	Devolution	Vision & Direction	Empowerment	Coordination & Coherence	Resources & Livelihoods	Accountability …	Protection of vulnerable	Rule of law	Access to Justice
Documentation and records of the **policies, rules, composition, and financing of the natural resource governance and management institutions –** i.e., the formal and informal mechanisms through which decisions are made, implemented, and enforced.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Studies and documents pertaining to the **resources, rights, and responsibilities** of the main actors in the governance system. Consider social, economic, and cultural resources.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Studies and documents pertaining to the **governance system** and its **historical and political context**, as well as interviews with relevant researchers where possible. This can include history of the associated land/territory and interactions with other sectors.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Studies and other documents describing the **geographical and ecological context,** including political, customary, and natural boundaries and key resources, eco-systems, and species, as relevant. Several other IUCN Knowledge Products may be useful, including: "1) The IUCN Red List of Threatened Species which assesses risk of species extinction. 2) The IUCN Red List of Ecosystems which assesses risk of ecosystem collapse. 3) Key Biodiversity Areas which assesses sites contributing significantly to the global persistence of biodiversity."[64] For information on PAs, including information on the location, status, and governance of specific PAs, you can also consult the Protected Planet database - managed by the United Nations Environment Programme's World Conservation Monitoring Centre (UNEP-WCMC) with support from IUCN and WCPA – including the World Database on Protected Areas (WDPA)".		✓			✓					✓		
Existing Governance Information Sources												
The Access Initiative[65] (TAI) (coordinated by the World Resources Institute - WRI) is a network of over 250 CSOs in 60 countries. Country-level chapters "promote environmental democracy at the national level and undertake evidence-based research, advocacy and engagement"[66] focusing on "access rights" – "a right to know", "a right to be heard", and "a right to access justice". Research, case studies, guidance, and other resources developed by the Network are available in a database searchable by resource type, country, year, associated rights, and sector. These include an Indicator Framework (see Annex 2), the Environmental Democracy Index (see below), and "Information Memorandum on Access to Information	✓					✓		✓	✓	✓	✓	✓

Existing Resources ↓ **Related NRGF Principles →** (Indicative only – Relevance will vary by context and indicator. Analysis is based on prominent/ focal principles. Absence of check-mark therefore does not necessarily indicate that issue/ principle is not addressed in resource. Likewise, check-mark does not denote extent to or manner in which issue/ principle is addressed.)	Inclusive decision-making	Tenure rights	Diverse culture & knowledge	Devolution	Vision & Direction	Empowerment	Coordination & Coherence	Resources & Livelihoods	Accountability …	Protection of vulnerable	Rule of law	Access to Justice
Laws Especially Dealing with Access to Environmental Information”.[67]												
The Corruption Perceptions Index[68] (Transparency International) “measures the perceived levels of public sector corruption worldwide” [69] in a given year. It currently (CPI 2015) covers over 160 countries and territories and has existed for over 20 years.									✓		✓	
Country-led Governance Assessments[70] (supported by UNDP) are “nationally owned assessment projects”. The website includes project documents for each country assessment. Most assessment projects were carried out or initiated between 2009 and 2010. Topics and approach vary between countries, though generally consider accountability, participation, transparency, and legitimacy, among others. Projects include work in Angola, Barbados, Bhutan, Burkina Faso, Chile, China, Djibouti, Egypt, El Salvador, Ghana, Indonesia, Kazakhstan, Liberia, Macedonia, Malawi, Mexico, Mongolia, Montenegro, Morocco, Nicaragua, Nigeria, Paraguay, Senegal, and Viet Nam.	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓
The Environmental Democracy Index (EDI), developed by TAI, WRI, and partners “measures the degree to which countries have enacted legally binding rules that provide for environmental information collection and disclosure, public participation across a range of environmental decisions, and fair, affordable, and independent avenues for seeking justice and challenging decisions that impact the environment”. It includes a legal index,[71] as well as separate indicators on environmental democracy in practice. In 2014, the EDI evaluated 70 countries across 75 legal indicators.[72]	✓					✓			✓		✓	✓
The Environment and Gender Information (EGI) platform, developed by IUCN Global Gender Office and partners, is a “source for …revealing progress and challenges in meeting commitments to women's empowerment and gender equality in environmental spheres”.[73] It includes various analysis and reports, such as: • Environmental Governance Index, a 2013 pilot composite index based on quantitative measures of government performance incorporating international law mandates on gender and environment into national policy and planning.[74] • National Reporting to the Ramsar Convention and the World Heritage Convention • Gender Focal Points and Policies in National Environmental Ministries • Women in Environmental Decision Making in the Philippines, Ecuador and Liberia	✓					✓	✓		✓	✓	✓	
The European Neighborhood and Partnership Instrument (ENPI) East Countries Forest Law Enforcement and Governance (FLEG) programme undertook an assessment of the governance of local forests in	✓	✓		✓	✓	✓	✓	✓	✓	✓[76]	✓	✓

Existing Resources ↓ **Related NRGF Principles →** (Indicative only – Relevance will vary by context and indicator. Analysis is based on prominent/ focal principles. Absence of check-mark therefore does not necessarily indicate that issue/ principle is not addressed in resource. Likewise, check-mark does not denote extent to or manner in which issue/ principle is addressed.)	Inclusive decision-making	Tenure rights	Diverse culture & knowledge	Devolution	Vision & Direction	Empowerment	Coordination & Coherence	Resources & Livelihoods	Accountability …	Protection of vulnerable	Rule of law	Access to Justice
Armenia, Azerbaijan, Belarus, Georgia, Moldova, Russia and Ukraine (2016).[75] The objectives were, inter alia, to: "document patterns of governance of local forests… provide a comparison of the existing administrative and social systems, legal background and institutional structures… help define and clarify the effectiveness of governance and participation…. [and] identify common trends and national differences…". Country assessments consider policy, legal, institutional and regularly frameworks; planning and decision making processes; and implementation, enforcement, and compliance.												
The PROFOR Framework for Assessing and Monitoring Forest Governance and an accompanying Diagnostic Tool help identify "areas of governance needing reform. It can also identify priorities, encourage discussion of specific steps to be taken, and help build consensus for reform".[77] It is built around "key features" of good forest governance – accountability, effectiveness, efficiency, fairness/ equity, participation, and transparency. Indicators and the protocol were tested in Uganda and Burkina Faso[78], and assessments Kenya[79], Russia[80], and Liberia[81] (some based on earlier versions).	✓	✓		✓	✓	✓	✓	✓	✓	✓ [82]	✓	✓
Forest Defender[83] (CIEL) is an online, searchable legal database of international laws and rights relevant for forest governance. It is designed to be "easily accessible to and usable by lawyers, activists and community members". In particular, it can provide information on "a specific country's involvement in REDD+…international obligations your country has to its people or extraterritorially…" and information on specific rights and their related legal instruments.	✓	✓		✓					✓	✓	✓	✓
The Global Integrity Report[84] (Global Integrity) is a "guide to anti-corruption institutions and mechanisms around the world, intended to help policymakers, advocates, journalists and citizens identify and anticipate the areas where corruption is more likely to occur within the public sector. The Report evaluates both anti-corruption legal frameworks and the practical implementation and enforcement of those frameworks, and takes a close look at whether citizen can effectively access and use anti-corruption safeguards." Reports exist for 2006 to 2013.									✓		✓	
The Governance of Forests Initiative[85] (WRI) provides a conceptual framework for understanding forest governance across developing country contexts, focusing on transparency, participation, accountability, coordination, and capacity. The framework looks at three main areas of forest governance – actors, rules and practices. An earlier version of the GFI framework was used for pilot assessments in Brazil, Cameroon, and Indonesia between 2009 and 2011. The 2013 version reflects updates based on this pilot experience.[86]	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

Existing Resources ↓ **Related NRGF Principles →** (Indicative only – Relevance will vary by context and indicator. Analysis is based on prominent/ focal principles. Absence of check-mark therefore does not necessarily indicate that issue/ principle is not addressed in resource. Likewise, check-mark does not denote extent to or manner in which issue/ principle is addressed.)	Inclusive decision-making	Tenure rights	Diverse culture & knowledge	Devolution	Vision & Direction	Empowerment	Coordination & Coherence	Resources & Livelihoods	Accountability …	Protection of vulnerable	Rule of law	Access to Justice
Among other resources on ICCAs (areas and territories conserved by indigenous peoples and local communities) around the world, the ICCA Consortium and partners have developed reports on: • International policies concerning ICCAs[87] • National policies concerning ICCAs[88] including law and recognition case studies[89] and analysis[90] • ICCA Regional Reviews[91] • Grassroots Discussions on "values, benefits and appropriate forms of recognition of ICCAs".[92]	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
ICCA Registry[93] is a "secure, offline database with online case studies" about ICCAs. Participation is voluntary and based on FPIC. While most of the information is offline, communities can opt to add information, including photos and videos, on the case study pages.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
IUCN Green List[94] Standard and programme aim to "encourage, achieve, and promote effective, equitable and successful protected areas" with the "overarching objective …to increase the number of protected and conserved areas that are effectively and equitably managed and deliver conservation outcomes". Protected areas on the Green List have been evaluated against the Standard[95], which includes components, criteria, and generic indicators on, among others, good governance (legitimacy and voice, accountability and transparency, vitality and capacity to respond adaptively), sound planning and design, effective management, and successful conservation outcomes.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
LandMark[96] is an online mapping platform comprised of information about "the collective land and natural resource rights of Indigenous Peoples and local communities around the world". It includes an interactive map of both formally recognized and unrecognized indigenous and community lands, noting that it is an evolving resource and that the absence of a map does not imply the absence of indigenous or community land. The website outlines a variety of potential uses for difference actors, many of which are relevant to governance assessment.[97] It is developed and governed by a multi-partner steering group and operational group, including Liz Alden Wily, Instituto del Bien Común (IBC), and WRI.		✓								✓	✓	
The Landscape-Level Ecosystem-Based Management Framework[98] aims to "guide assessments of governance systems that are in place for landscape-level ecosystem-based management (LLEBM)….".The assessment aims to result in a "summary of key issues for the landscape ecosystem, of various stakeholders' values and interests that pertain to those issues, and of the structures and processes of governance that mediate diverse values and interests, affect social learning and collaboration, and shape decisions on the issues".[99] The assessment addresses, among others, the	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

Existing Resources ↓ **Related NRGF Principles →** (Indicative only – Relevance will vary by context and indicator. Analysis is based on prominent/ focal principles. Absence of check-mark therefore does not necessarily indicate that issue/ principle is not addressed in resource. Likewise, check-mark does not denote extent to or manner in which issue/ principle is addressed.)	Inclusive decision-making	Tenure rights	Diverse culture & knowledge	Devolution	Vision & Direction	Empowerment	Coordination & Coherence	Resources & Livelihoods	Accountability …	Protection of vulnerable	Rule of law	Access to Justice
governance context, system, processes, capacities, and outcomes. Case studies[100] are available from pilot use of the framework in Tanzania, Kenya, and British Columbia.												
The 'Law for Sustainability' project[101] (IUCN Environmental Law Centre (ELC), World Commission on Environmental Law (WCEL) and IUCN Academy of Environmental Law) developed a framework for the "evaluation of the effectiveness of legal principles relevant to natural resources governance". It supports evaluation of the implementation of specific governance principles at four levels: "(1) the translation of the principle into laws of the state; (2) the creation of necessary institutional and administrative arrangements; (3) appropriate behavior by people and organizations; and (4) social and ecological outcomes".[102] Case studies on the participation principle [103] have been completed in Brazil, Pakistan, China, South Africa, and Australia. Case studies on the precautionary principle[104] have been completed in Pakistan (combined with participation principle), Brazil (two), Australia, and New Zealand.	✓				✓				✓	✓	✓	✓
Life Mosaic "produces and co-ordinates the distribution of educational resources for indigenous peoples. Resources are primarily based on community testimonies; they present complex issues in an accessible and engaging way; and support indigenous peoples right to free, prior and informed consent."[105] Their resources include Territories of Life - a "video toolkit for indigenous peoples about land and rights". It includes ten stories from communities defending their land rights in Indonesia, Philippines, Guatemala, Ecuador, Colombia, Paraguay, Tanzania and Cameroon. They also provide reports on land, climate change and indigenous peoples and links to other groups and platforms.	✓	✓	✓	✓		✓			✓	✓	✓	✓
Namati[106] is seeking to build "a global movement of grassroots legal advocates who help put the power of law in the hands of people". In addition to helping members and partners access legal advice and support, Namati partners have produced a number of reports and videos with legal information and considerations in particular countries, including on community land rights[107] and environmental justice.[108]	✓	✓	✓	✓		✓			✓	✓	✓	✓
The Open Budget Survey (OBS) (International Budget Partnership) examines: **"Budget transparency**: the amount, level of detail, and timeliness of budget information governments are making publically available. Each country is given a score between 0 and 100 that determines its ranking on the Open Budget Index."; **"Budget participation**: the opportunities governments are providing to civil society and the general public to engage in decisions about how public resources are raised and spent."; and **"Budget oversight**: the capacity and authority of formal institutions (such as legislatures and supreme audit institutions) to understand and influence how public resources are being raised and spent." The survey is conducted every two years. The last survey was completed in 2015 and included 102 countries.									✓			

Existing Resources ↓ **Related NRGF Principles →** (Indicative only – Relevance will vary by context and indicator. Analysis is based on prominent/ focal principles. Absence of check-mark therefore does not necessarily indicate that issue/ principle is not addressed in resource. Likewise, check-mark does not denote extent to or manner in which issue/ principle is addressed.)	Inclusive decision-making	Tenure rights	Diverse culture & knowledge	Devolution	Vision & Direction	Empowerment	Coordination & Coherence	Resources & Livelihoods	Accountability …	Protection of vulnerable	Rule of law	Access to Justice
The Participatory Governance Assessment (PGA) for REDD (UN-REDD) aims to "produce robust and credible governance information as a first step in addressing governance weaknesses and eventually as a basis for policy reform."[109] PGAs have been conducted in several countries, including Ecuador, Indonesia, Nigeria, and Vietnam**.** The main outputs include "analysis of the state of governance relevant for a country's REDD+ process in particular and forest governance in general; robust information on selected governance issues at national and subnational levels; [and] recommendations on how to address key governance shortcomings...".[110] The main principles considered include transparency, participation, accountability, fairness and capacity.	✓	✓			✓	✓	✓	✓	✓	✓	✓	✓
The Rights and Resources Initiative (RRI) is a global coalition with the mission "to support local communities' and Indigenous Peoples' struggles against poverty and marginalization by promoting greater global commitment and action towards policy, market and legal reforms that secure their rights to own, control and benefit from natural resources, especially land and forests".[111] RRI's work includes, among other things, extensive research and dissemination of qualitative and quantitative data, reports, guidance, etc. on natural resource governance, including indigenous peoples' and local communities' forest, land and resource rights and tenure. RRI's Tenure Data Tool, for example, "lets you compare changes in statutory forest tenure from 2002 to 2013 in 52 of the world's most highly-forested countries".[112] Focal regions are Africa, Asia, and Latin America.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Whakatane Mechanism aims to "assess the situation in different protected areas around the world and, where people are negatively affected, to propose solutions and implement them. It also celebrates and supports successful partnerships between peoples and protected areas."[113] The Mechanism was initiated and is coordinated by the IUCN Commission on Environmental, Economic, and Social Policy (CEESP) and the Forest Peoples Programme (FPP). To date, the Mechanism has been piloted in three places (at Mount Elgon in Western Kenya, in Ob Luang National Park in northern Thailand, and in Kahuzi Biega National Park in the Democratic Republic of Congo).[114]	✓	✓	✓	✓		✓	✓	✓	✓	✓	✓	✓

Annex 2: Example Indicators, Guidelines, and Questions

Resources ↓ **Related NRGF Principles →** (Indicative only – Relevance will vary by context and indicator. Analysis is based on prominent/ focal principles. Absence of check-mark therefore does not necessarily indicate that issue/ principle is not addressed in resource. Likewise, check-mark does not denote extent to or manner in which issue/ principle is addressed.)	Inclusive decision-making	Tenure rights	Devolution	Diverse culture & knowledge	Vision & Direction	Empowerment	Coordination & Coherence	Resources & Livelihoods	Accountability …	Protection of vulnerable	Rule of law	Access to Justice
The Access Initiative (see Annex 1) Indicator Framework (2.0) [115] includes over 100 indicators/ research questions.	✓					✓		✓	✓	✓	✓	✓
The 2010 UNEP 'Bali Guidelines' - Guidelines for the Development of National Legislation on Access to Information, Public Participation and Access to Justice in Environmental Matters – are voluntary guidelines addressing Principle 10 of the 1992 Rio Declaration on Environment and Development.[116] The 26 total guidelines include seven on access to information, seven on public participation, and 12 on access to justice. The Environmental Democracy Index (see Annex 1) is built on law and practice indicators that correspond to these guidelines.	✓					✓			✓		✓	✓
Draft Conservation Standards (IIED and Natural Justice) and focusing on indigenous peoples and questions of "how indigenous peoples' rights are enshrined in international law, how conservation interventions can infringe these rights …and conservation actors' responsibilities in upholding these rights".[117]	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
The PROFOR Framework for Assessing and Monitoring Forest Governance and Diagnostic Tool (see Annex 1) includes a set of 130 indicators with guidance on scoring.[118]	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
UNDP framework for selecting and generating pro-poor and gender sensitive indicators aims to "provide a framework for generating pro-poor gender sensitive indicators to assist policy-makers monitor and evaluate democratic governance at the country level".[119] The document includes definitions and illustrative examples of pro-poor and gender sensitive indicators and further guidance on their development. It is primarily relevant at the national level, but may be more generally useful in indicators development.	✓			✓		✓			✓	✓[120]	✓	✓
The Governance of Forests Initiative (GFI) Framework and Guidance (see Annex 1) includes a set of 122 indicators under six thematic areas and further subthemes.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

Resources ↓ **Related NRGF Principles →** (Indicative only – Relevance will vary by context and indicator. Analysis is based on prominent/ focal principles. Absence of check-mark therefore does not necessarily indicate that issue/ principle is not addressed in resource. Likewise, check-mark does not denote extent to or manner in which issue/ principle is addressed.)	Inclusive decision-making	Tenure rights	Devolution	Diverse culture & knowledge	Vision & Direction	Empowerment	Coordination & Coherence	Resources & Livelihoods	Accountability …	Protection of vulnerable	Rule of law	Access to Justice
"Governance of Protected Areas: From understanding to action", WCPA Best Practice Series No. 20,[121] aims to support assessment of protected areas governance type and quality at the PA system and site levels. The conceptual framework for assessing governance quality is built around 5 principles (legitimacy and voice, direction, performance, accountability, and fairness and rights) and 40 related considerations, many of which could be adapted into question or indicator form. The guide is also supplemented by separately available Annexes,[122] including (source Annex 2) "a group exercise to examine and discuss governance quality for protected areas" with relevant example responses for each governance principle and (source Annex 3) a list of example indicators for each principle.[123]	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
IUCN Green List[124] Standard[125] (see Annex 1) includes components, criteria and generic indicators on, among others, good governance (legitimacy and voice, accountability and transparency, vitality and capacity to respond adaptively), sound planning and design, effective management, and successful conservation outcomes.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
UN OHCHR guide to measurement and implementation of human rights indicators[126] "aims to assist in developing quantitative and qualitative indicators to measure progress in the implementation of international human rights norms and principles. ….It provides concrete examples of indicators identified for a number of human rights—all originating from the Universal Declaration of Human Rights—and other practical tools and illustrations, to support the realization of human rights at all levels."[127]	✓	✓		✓		✓		✓	✓	✓	✓	✓
International Society for Ethnobiology (ISE) Code of Ethics[128] has as its underlying value "the concept of mindfulness – a continual willingness to evaluate one's own understandings, actions, and responsibilities to others." Components of the code, while not in indicators format, are relevant to understanding and possibly developing indicators for several principles.	✓	✓	✓	✓		✓		✓	✓	✓		✓
The Landscape-Level Ecosystem-Based Management Framework (see Annex 1) is built around 8 broad questions and 16 indicators addressing, among others, the governance context, system, processes, capacities, and outcomes.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
The Responsive Forest Governance Initiative (RFGI) Handbook[129] "defines basic democratic concepts and explains how democratic governance works… lays out responsive forest governance principles to	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

Resources ↓ **Related NRGF Principles →** (Indicative only – Relevance will vary by context and indicator. Analysis is based on prominent/ focal principles. Absence of check-mark therefore does not necessarily indicate that issue/ principle is not addressed in resource. Likewise, check-mark does not denote extent to or manner in which issue/ principle is addressed.)	Inclusive decision-making	Tenure rights	Devolution	Diverse culture & knowledge	Vision & Direction	Empowerment	Coordination & Coherence	Resources & Livelihoods	Accountability …	Protection of vulnerable	Rule of law	Access to Justice
be used when working with local government, parallel organizations, and citizens… [and] provides two assessment tools, the Preliminary Institutional Landscape Assessment (PILA) and the Local Environmental Governance Assessment (LEGA).” This Handbook may provide useful conceptual background, as well as providing ideas on guiding questions/ indicators about democratic governance and power. The PILA and LEGA tools may also be helpful for your context.												
The Terrestrial PA Governance Quality Assessment Framework[130] provides a framework for "demonstrating performance and identifying where improvement is desirable" in the governance of terrestrial PAs governance. The framework includes seven principles – legitimacy, transparency, accountability, inclusiveness, fairness, connectivity, and resilience. It includes a framework of performance outcomes / indicators.	✓	✓ 131	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓ 132
The FAO Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security “promote secure tenure rights and equitable access to land, fisheries and forests as a means of eradicating hunger and poverty, supporting sustainable development and enhancing the environment”.[133] These Guidelines, together with their more detailed implementation / technical guides[134] can provide inputs / ideas for discussion questions and indicators relevant to a number of principles.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

Annex 3: Example Methods

Methods	Most Relevant Phases (Indicative only. May also be applicable at other phases depending on context)			
	Preparation	**Assessment**	**Communication**	**Continued Learning**
Group Discussions and Interviews - General				
Small Group and Individual Discussions – including: • **Focus groups** - Semi-structured discussions with small groups (generally 5 to 15 people). Discussion can be guided by open-ended questions, with follow-up questions developed during the conversation.[135] • **Discussion circles/ Fishbowls** - Formats vary. In some, an inner group ('Fishbowl') of participants meet in a roundtable format to discuss and decide on something. This 'inner group' can be observed by a larger group of participants who then have the opportunity to add inputs or questions, or to join the roundtable, e.g., in rotation with this in the circle.[136] • **Kitchen table discussion** – Small, informal meetings within a community or organization, usually at someone's home or local gathering spot.[137] • **Natural group interviews** – Fairly causal conversations with groups of people in their day to day lives, such as famers in their fields or shoppers in a market. They are meant to get a broad sense of people's views on an issue or issues.[138] • **Sketch interviews** – These provide a visual component. People are given materials to draw/ sketch their ideas. They can help ensure inclusion of those who would otherwise not speak out or be able to participate in providing written feedback.[139] • **Key Informant Interviews**: These are typically lengthy, one on one interviews with individuals who have relevant expertise on an issue. The interview topic can be broad (a 'casual conversation') or focus in on a more specific issue.[140]	✓ Planning, and/or developing indicators	✓ Information gathering, Collaborative evaluation, Analysis and planning, including envisioning desired future scenarios		✓ Ongoing learning and monitoring
Participatory Photo Stories and Videos: Using (printed or electronic) photos and/or video to facilitate reflection and awareness, collect specific information about a governance context, share information, advocate for change, etc. Local actors take photos or video of positive and negative features of the context (with prior discussion and/or training, as needed) and photos/ videos are compiled in a story. Having diverse photographers (e.g. men, women, youth, famers, pastoralists) help ensure different perspectives are captured. Photos or videos can be shown and discussed at subsequent meetings.[141]	✓ Group preparation	✓ Information gathering, Collaborative evaluation,	✓ To help communicate what was learned	✓ Participatory monitoring
Community Theater and Role Playing - Using theatre or role play to inform people about an issue or allow people to share their perspectives using imagery, music,	✓ To share information about		✓ To help communicate	✓ Ongoing learning and

Methods	Most Relevant Phases (Indicative only. May also be applicable at other phases depending on context)			
	Preparation	**Assessment**	**Communication**	**Continued Learning**
dance, metaphor, and humor. People can be encouraged to take part. Presentations can recorded and made available wider audiences.[142]	assessment		what was learned	monitoring
Community/ Public Meetings – A relatively large and public meeting focused on a specific issue or purpose. Effective facilitation is important for helping to ensure that people can communicate with one another, and that those who wish to speak can. As appropriate, information about or results of the assessment can be shared, including to elicit broader responses and give voice to groups in this larger format (with anonymity respected as necessary).[143]	✓ To share information about assessment		✓ To help communicate what was learned	
Speak-Outs – There are a number of variations on this method. For example, in one variation (developed and described by Sarkission 1997) the emphasis is on creating a meeting/ discussion space where people feel comfortable sharing their views. A venue (or venues, as appropriate) are selected, all who might be interested are invited, and discussion topics/ questions are advertised in advance. The venue can stay open over a period of time (e.g., over several days), rather than just for a specific meeting. People are invited to come and to share their perspectives on set topic(s) (e.g., assessment questions). Input is documented by rapporteurs and compiled and circulated after the fact. (The option of anonymity should be given). This format can help elicit a wide range of views from a large number of people.[144]		✓	✓	
Radio and Social Media – Radio shows, social media, and even text messaging services can be used to communicate information about the assessment broadly, and to receive (limited) information back, e.g., via call-ins.	✓ To share information about assessment		✓ To help communicate what was learned	
Mapping				
Participatory mapping with a variety of focuses, including: • lands and territories • resources, habitats, species • institutions and governance systems • laws and policies • actors (power, roles, rights and relationships) • history / trends over time • problems/ solutions There are a variety of techniques and approaches, typically involving a group of participants creating a visual map to describe some set of relationships, noting that this information may change over seasons or time. The RFGI Handbook[145]	✓ Participant preparation	✓	✓	✓ Mapping and monitoring change

Methods	Most Relevant Phases (Indicative only. May also be applicable at other phases depending on context)			
	Preparation	**Assessment**	**Communication**	**Continued Learning**
Preliminary Institutional Landscape Assessment (PILA) tool is one example to support institutional mapping at the local level. Resource mapping in particular may involve, among others, transect walks, GIS, balloon and kite mapping.[146] Historical mapping typically involves creating a series of maps that show changes in resources, boundaries, settlements, governance systems, etc. at different intervals in its history. For example, the group might create maps for (1) the current situation, (2) the situation one or two decades ago, and (3) a desired future scenario.[147] Problem – solution mapping typically involves participants using a map or aerial photo of an area to mark where (and what) they think problems are and how they think those might be solved.[148] With regard to participatory community mapping, Mayers et al. (2013:99-101) say "[t]he overall principle of any participatory mapping exercise is that authority and control over decision-making are turned over to the community so they can direct the map-making process and the map's use."[149]				
Seasonal calendars – Drawings or symbols illustrating seasonal changes in environment (e.g., rainfall) and/or society (e.g., resource availability). They can highlight variations in the constraints and opportunities that place greater or lesser pressure on resources. Different groups can make their own calendars as experience will vary.[150] This method is primarily useful at the local or landscape level, but with variations can apply at other levels.		✓ Information gathering		
Participatory Analyses				
Participatory action learning/research, to assess the current state of governance, monitor change, and continue learning. There are many approaches and available resources, including the RFGI Handbook II[151] and the Participatory Learning Action (PLA) series (IIED).	✓	✓		✓
Prioritization / Ranking – There are many ranking and prioritization methods. They typically involve visual tools, simple graphs, or tables on which options can be laid out and then 'voted on' or ranked by all participants. This can help a group reach consensus on a particular issue, or agree on priorities among a set of options.[152]	✓ Indicators development	✓		
Problem Tree Analysis - Using a sketch of a tree or simple flow-chart, analyzing a problem or concern by looking at its 'root' causes and contributing factors. It starts with the most direct or significant causes (as the participants see them) and then explores deeper links between causes and effects (different 'roots'). Solutions can then be identified by looking at linkages and seeing where positive change can be made.[153]		✓		

Methods	Most Relevant Phases (Indicative only. May also be applicable at other phases depending on context)			
	Preparation	**Assessment**	**Communication**	**Continued Learning**
SWOT Analysis – Typically done as a group analysis, this approach involves exploring the strengths, weakness, opportunities, and threats facing an organization, governance system ecosystem, etc.		✓		✓
Appreciative Inquiry – An approach to analysis/ problem solving that asks 'what is working?', or 'what is being done well?', and then exploring how the group can build upon that. It focuses explicitly (and often exclusively) on the 'positive' and seeks to understand why those positive results are being seen and how that can be replicated or 'scaled up' within the system.[154]		✓		
Guided Imagery and Scenario Analysis – Participants are guided through envisioning pathways or scenarios to likely and desired future states. For example, Mayers et al. (2013:35) describe scenario analysis as "facilitated brainstorming to identify reform possibilities and analyse likely outcomes... Scenario analysis lets policy-makers 'pre-test' the performance of a policy reform in different plausible situations and make alternative plans; assess the level of ownership for a reform agenda among key stakeholders; and build support. ...."[155] This multi-stage process could be done as a simplified analysis and/or integrated into a more comprehensive assessment process.		✓ Planning for improvements		
Theory of Change Analysis – Typically used for strategic planning, this technique involves starting with a goal or desired future scenario, and then working back to identify the stepping stones (required conditions, interventions,, steps) to achieving it. There are several variations/ approaches, but the analysis typically results in a map or graphic showing specific steps towards achieving an end.[156]		✓ Planning for improvements		✓
Trend analysis – In a small group discussion or key informant interview, undertake an in-depth inquiry on a specific issue, including how it has evolved, how it is likely to change in the future, and what can be done in response.[157]		✓ Planning for improvements		
Ongoing Learning and Monitoring				
Establishing governance learning networks or other processes for exchange. These can be formal or informal networks, and can operate at different levels. Cross-sectoral, multi-level, and inter-generational exchange can facilitate learning				✓

Methods	Most Relevant Phases (Indicative only. May also be applicable at other phases depending on context)			
	Preparation	**Assessment**	**Communication**	**Continued Learning**
Citizen Advisory Panels – These are formalized committees/ councils of selected citizens that perform oversight, advisory, or periodic review of the functions and performance of a governing body. For one example, see Regional Citizens' Advisory Council (RCAC) established in Alaska to oversee oil terminals.[158]				✓ Participatory monitoring
Citizen Juries – This decision-making process typically involves a randomly selected jury of citizens who are provided with detailed background information on a particular issue or decision to be made, and who then provide a decision. The issue they are asked to consider is typically one that is of concern to the community or group as a whole, and where a democratic decision making process is desired.[159]		✓ Planning for improvements		✓ To resolve issues as they arise
Citizen Report Cards – CRCs come in a variety of formats, but are generally simple tools used to monitor the performance of governing bodies at the local level. They often involve citizen surveys administered by a CSO, followed up with meetings between citizens and decision-makers were results are reported and discussed. These tools can be used by communities or other rights-holders and stakeholders to hold decision-makers accountable, particularly with regard to service delivery.[160]				✓
Public Hearings / Audits - Public hearings, citizens' hearings, and public audits can be organized as participatory and transparent processes to raise awareness and help achieve greater accountability of public actors and institutions concerning specific governance concerns. [161]				✓
Periodic re-assessment – Repeating all or part of the assessment at regular intervals to track progress and identify emerging issues. This could be combined with existing monitoring process, or as a separate initiative. Limitations and challenges to comparability of results over time should be noted.				✓
Creating an Information Repository – This involves keeping / storing assessment information in an accessible, public place (e.g., library, government or CSO office, etc.) so that there is a central and well-known venue for record, study, and ongoing access.[162]			✓	✓

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Notes

[1] Evolved from acronym referring to Indigenous and Community Conserved Areas
[2] Springer 2016
[3] See citations in Annexes
[4] We use the term 'improved' to mean governance that is (or is moving towards being) more consistent with the proposed governance values and principles. The underlying assumption is that the state of governance quality varies but, given its complexity, will almost always have room for improvement. If assessment reveals that no improvements are needed, this may constitute an improvement in understanding and perhaps ideas of how it can be sustained. **However, based on reviewer comments, this term is flagged for further discussion**. 'Improved' raises the question of 'improved for who?', and may also imply that the current governance is always problematic. The term 'responsive' was suggested as an alternative, but also raises the question of responsive to what / for whom. 'Strengthened' was also suggested, but raised concern that 'strong' governance does not necessarily mean fair or equitable / just governance. For this iteration, we are retaining 'improved', but will revisit it in future iterations.
[5] Governance is defined in different ways by a variety of actors. This definition is adapted from IUCN WCC-RES 3.012 and the definition in IUCN 2012.
[6] Section adapted in part from IUCN 2012:13,14
[7] cf. review of governance definitions and principles prepared by Campese et al. 2012
[8] Adapted from the Oxford English dictionary definition.
[9] Drawn from framework presented by Wilde 2011
[10] Hyden 2011:14
[11] Adapted from Springer 2016:4
[12] Springer 2016
[13] See www.iucn.org/ceesp/nrgf
[14] Information/ lessons from this scoping work have and will continue to inform this Guide and other NRGF resources. See www.iucn.org/ceesp/nrgf
[15] Springer 2016
[16] Consistent with 'governance types' recognized by IUCN Protected Areas framework, cf. Borrini Feyerabend et al. 2013
[17] Adapted from Oxford English dictionary definition
[18] See, among others, IUCN / WCPA PA governance assessment framework (Borrini Feyerabend et al. 2013), WRI Governance of Forest Initiative (Davis et al. 2013 and Williams et al. 2013), PROFOR Framework for Assessing and Monitoring Forest Governance and Diagnostic Tool (Kishor and Rosebaum 2012, PROFOR and FAO 2011), Terrestrial PA Governance Quality Assessment Framework (Lockwood 2010), Community Forest Governance Dashboard (MJUMITA and TFCG 2014), and The Access Initiative (TAI 2008)
[19] For other guides on designing governance assessments, see, among others:

- PROFOR and FAO (Cowling et al. 2014) guide on Assessing Forest Governance – With a focus on forest governance (various levels) this resource provides step-wise guidance on planning/ designing, implementing, using, and following up on assessment. It also includes case studies; example methods and tools; sample budgets, work plans, and outlines; and guidance on indicator development.
- UNDP (Jacobson et al. 2013) User's Guide on Assessing Water Governance - Aims to enable users to understand how assessments can inform policy-making; select, adapt and develop appropriate assessments for water sector governance assessments; design multi-stakeholder approaches that further dialogue and consensus-building around water sector reform and strengthen accountability; and implement water governance assessments to drive reform. This resource provides guidance and methodological options for designing

and conducting a water sector governance assessment, as well as a source guide with selected tools, cases, reflection questions, and links to resources.

- UNDP (Wilde et al. 2009) Users' Guide to Measuring Local Governance – This resource includes an overview of conceptual issues for assessments of local governance; reflections/ experience regarding choosing an appropriate assessment framework; dealing with complex methodologies; adapting tools to local contexts; managing a multiplicity of purposes; maximizing participation in assessments and dealing with incentives and sustainability; case studies; and a summary matrix and more detailed descriptions of 49 governance assessment methodologies, methods and tools.
- UNDP (2009) guide on Planning a Governance Assessment – This document focuses on national level, country-led governance assessments. It includes, among others, discussions on who participates and conducts assessments, types of governance assessments, types of data and collection methods, and approaches to defining governance and developing frameworks. It examines different types of indicators, sampling strategies, data analysis and presentation, and communication and dissemination of results. It also summarizes and compares four country-led governance assessments, including their costs.

[20] Springer 2016

[21] You can read more about the ISE Code of Ethics (ISE 2006). The complete code includes a preamble, purpose, 17 principles, 12 practical guidelines and a glossary. Principles include: "*Prior Rights and Responsibilities Self-Determination[,] * Inalienability[,] * Traditional Guardianship[,] * Active Participation[,] * Full Disclosure[,] * Educated Prior Informed Consent[,] * Confidentiality[,] * Respect[,] * Active Protection[,] * Precaution[,] * Reciprocity, Mutual Benefit and Equitable Sharing[,] * Supporting Indigenous Research[,] * The Dynamic Interactive Cycle[,] * Remedial Action[,] *Acknowledgment and Due Credit[,] * Diligence" (http://www.ethnobiology.net/what-we-do/core-programs/ise-ethics-program/code-of-ethics/code-in-english/)

[22] Draws on, inter alia, Springer 2016 (cf. principles of inclusive decision-making, recognition and respect for legitimate tenure rights, embracing diverse cultures and knowledge systems, empowerment, accountability, protection of the vulnerable, and access to justice); ISE 2006 (cf. principles of prior rights and responsibilities, self-determination, inalienability, traditional guardianship, active participation, reciprocity, mutual benefit and equitable sharing, and supporting indigenous research); and Rambaldi et al 2006:110,111 (cf. "Focus on local and indigenous technical management and spatial knowledge… …and local expertise, seeking to understand local culture, society, spatial cognition, and livelihoods, local resources, hazards and options, etc…Prioritise the use of local toponomy……(the meaning of geographic names) to ensure understanding, ownership, and to facilitate communication between insiders and outsiders", and "ensure genuine custodianship").

[23] For more in-depth reading on (social) learning, including in relationship to understanding/ assessing complex situations, see, among others: Kilvington 2007, Schusler and Daniel 2003, Taylor et al. 2006

[24] While the process of assessment will likely raise expectations of change, assessment partners should be clear and do as much as possible to make limitations clear and avoid raising expectations beyond what can reasonably be achieved. Cf. Rambali et al. 2006:108 "be open and honest" and "avoid raising false expectations".

[25] Drawing on ISE 2006 (cf. principles of "full disclosure" and "educated prior informed consent") and Rambaldi et al 2006:108 (cf. guidance on "be[ing] open and honest", being clear about what and whose purpose mapping is for, and "obtain[ing] informed consent")

[26] Drawing on ISE 2006 (cf. principles of "acknowledgement and due credit", "confidentiality", "respect") and Rambaldi et al. 2006: 109-111 (cf. "put local values, needs and concerns first", "ensure that the intellectual ownership is recognized", "ensure defensive protection of traditional knowledge (TK) or measures that ensure that IP rights over traditional knowledge are not given to parties other than the customary TK holders", and "acknowledge the informants").

[27] Drawing on ISE 2006 (cf. principles of "active protection" "remedial action" and "precaution") and Rambaldi et al. 2006: 109-111 (cf. "avoid exposing people to danger", "be careful [to] avoid causing tensions or violence in a community", "be ready to deal with new realities which will emerge from the process").

[28] Drawing on ISE 2006 (cf. principle of respect and practical guidelines on "understanding local community institutions, authority and protocols…") and Rambaldi et al. 2006:108, 109 (cf. guidance on being open and honest, respecting people's time and not rushing the process)

[29] Lockwood 2010 includes signposts of innovation as an explicit consideration in governance assessment. See also Rambaldi et al. 2006:110 (cf. "mapmaking and maps are a means and not an end").

[30] cf. Jonas and Yapp 2016 (in development).

[31] This may not be known upfront, and may have to be planned later as more information is gathered and a more responsive process can be planned.

[32] cf. Jonas and Yapp 2016 (in development)

[33] Drawing on Rambaldi et al. 2006:108 (Box 1). See their more comprehensive list of "who and whose" questions for participatory GIS and mapping for other questions relevant for governance assessment.

[34] UNDP 2009:23

[35] Springer 2016 notes that the inclusion of criteria is under consideration based on reviewer comments and may not ultimately be included in the Framework, or may be included in another format.

[36] Springer 2016:12

[37] This could be done as a relatively simple meeting or workshop. For more complex or comprehensive assessments, a broader outreach process might be considered. IGES 2014, for example, describe a process of developing REDD+ governance indicators through a multi-stage, multi-level and multi-stakeholder approach.

[38] UNDP 2009:24,25

[39] On structure and role of guiding questions cf. Traver 1998

[40] Springer 2016

[41] See, among others, UNDP 2009 and Williams 2011 for more examples and detail on these and other indicators categorizations. UNDP (2009:23,24) also describes the separate but not mutually exclusive categories of:

- Reported behaviour or event indicators, which are based on primary or secondary reports of events, e.g., number of people who have been asked to pay a bribe, number fines paid for illegal logging, etc.
- Proxy indicators, which are an indirect measurement of something, e.g., assessing 'wealth' by access to goods where 'income' is difficult to measure or not relevant. (UNDP 2009 note that proxy indicators may be the most vulnerable to invalidity).

[42] List adapted in part from UNDP 2009

[43] Quote generally attributed to Albert Einstein (though in some sources this is contested)
[44] Williams (2011:5-7) outlines some common pitfalls, together with good practice. They are (with the author's adaptation and summation):

- Pitfall: Putting too much trust in the numbers.
- Good practice: Be aware of imprecision, uncertainty, and potential sources of bias.
- Pitfall: Using an indicator in a way that differs from its original purpose or overlooking its limitations.
- Good practice: Be aware of the purpose for which indicators were designed and their limitations.
- Pitfall: Using or citing governance indicators without enough explanation or understanding of what is being measured and how it was measured.
- Good practice: If you are using an existing indicator, be sure you understand what (and how) it really measures. If you are generating / sharing information, be transparent about methods and sources.
- Pitfall: Working from incorrect or inappropriate assumptions.
- Good practice: "Be alert to the normative assumptions behind indicators, and actively question whether they are appropriate to the particular context".
- Pitfall: Placing greater emphasis on what can be clearly counted.
- Good practice: Include subjective indicators "to capture less tangible aspects of governance" and treat qualitative assessment as at least as important as quantitative.
- Pitfall: Paying too much attention to symptoms (current governance conditions) and disregarding or not considering underlying reasons.
- Good practice: Develop or select indicators that "are suited to political economy analysis and relevant to explaining the causes of observed patterns of governance".
- Pitfall: Incorrectly concluding, or assuming, that correlation indicates causation – e.g., assuming that, because two things happened at the same time, one is causing the other.
- Good practice: "Take a modest view of the ability of broad governance indicators to demonstrate causality. Place more emphasis on process indicators."

[45] cf. Rambaldi et al. 2006:109 on importance of flexibility in participatory mapping
[46] For more information on the concept and practice of reaching mutually agreed terms, see, among others, ISE (2006) – Practical Guidelines: Standards for mutually-agreed terms and conditions…
[47] cf. Borrini-Feyerabend et al. forthcoming
[48] There may also not be consensus within groups. In some cases, assessment may be done first by individuals. In all cases, a balance may need to be struck between faciliating consensus and allowing for diveregent viewpoints to be reflected.
[49] cf. Hill et al 2013 combines narrative description with a numeric scale; Michel 2016 relies primarily on narrative description
[50] Where helpful, guidance can be developed to describe what each value (e.g., 'weak' to 'strong') might mean in that context. Hill et al 2013, for example, describe a collaborative assessment that included guidance on what different points / values meant on a scale measuring co-management 'health'; The "Resilience and Security Tool" for ICCAs (ICCA Consortium 2012) provides guidance on qualitative (and some quantitative) measures for assigning a score of 1 to 5, with "power flags" for marking particularly impactful issues.
[51] Child et al 2007 use 'happy' and 'sad' faces in the Community Dashboards for wildlife governance assessment
[52] cf. *The "Resilience and Security Tool" for ICCAs* (ICCA Consortium) 'power flags'
[53] Springer 2016.
[54] See Lockwood 2010 for one example of a governance assessment methodology that explicitly includes question about innovations.
[55] Adapted from Rambaldi et al 2006:108 (Box 1). See source for most complete list of 'who and whose' questions. They are identified as questions for participatory mapping/ GIS but many also have applicability for governance assessment.
[56] For example of a governance assessment that used Nvivo software to compile and express qualitative results, see Hill et al 2013
[57] Adapted in part from Rambaldi et al 2006:108 (Box 1). (See note above about more detailed questions in source).
[58] In some cases, compilation and participant-verification of results can be done as a last step in the assessment – e.g., at the close of a workshop. In other cases it will be necessary to do some compilation separately – e.g., where there is a lot of information to compile or where the process involved inputs from a number of smaller groups that have to be brought together. This compilation should be done by persons or groups acceptable to all participants, e.g., a facilitating organization or committee of participants. Participants should then have a chance to review and confirm/ adjust the results. In some cases, circulation of written documents may be sufficient. In other cases, this may require additional meetings (cf. Child 2007).
[59] For example, if there are no risks to vulnerable groups or risk of results being unduly influenced by more powerful actors
[60] See similar recommendation in Kishor and Rosenbaum 2012
[61] Adapted in part from Rambaldi et al 2006:108 (Box 1)
[62] Re-assessment can be a powerful way of tracking change, but the limitations and complexities in doing so should also be understood. Many complex internal and external factors impact governance and its outcomes, making it difficult to definitively identify causes of (positive or negative) change. Further, as assessment relies in part on participants' judgements, re-assessment with different participants may also produce somewhat different results. Further, the process of assessment itself may increase the demand for improved governance over time. These and other factors can make re-assessment results difficult to strictly interpret. Nonetheless, governance will not change overnight, and will require ongoing learning and action, which can be effectively planned and built into governance systems.
[63] Resources in the Annexes are drawn in part from previous research on governance assessment methods (for IIED in 2015 and IUCN in 2012). Many of the methods in Annex 3 are referred to in existing methods compilations, as cited, including Borrini-Feyerabend et al with Buchan 1997 (V.2), Corrigan and Hay-Edie 2013, Mayers et al 2013, and State of Victoria's Effective Engagement Toolkit http://www.dse.vic.gov.au/effective-engagement/toolkit
[64] https://www.iucn.org/theme/science-and-knowledge/our-work/knowledge-products
The KBA list is still being developed, but the Standard V.1 (IUCN 2016) is now available here: https://portals.iucn.org/library/node/46259
[65] http://www.accessinitiative.org/
[66] http://www.accessinitiative.org/network/who-we-are
[67] Kravchenko 2008
http://www.accessinitiative.org/resources/information-memorandum-access-information-laws-especially-dealing-access-environmental

[68] http://www.transparency.org/research/cpi/
[69] http://www.transparency.org/cpi2015
[70] http://www.gaportal.org/undp-supported
[71] EDI indicators were developed using the 2010 'UNEP Bali Guidelines'
[72] Adapted from EDI website: http://www.environmentaldemocracyindex.org/about/background_and_methodology and EDI description at TAI website: http://www.wri.org/our-work/project/access-initiative-tai/commissions
[73] http://genderandenvironment.org/egi/
[74] http://genderandenvironment.org/egi/
[75] Michel 2016
[76] Not a central consideration, but provisions for vulnerable community members mentioned in some country assessments.
[77] Kishor and Rosenbaum 2012:3
[78] See Kishor and Rosenbaum 2012:25
[79] Oksanen et al
[80] Kuzmichev et al 2012
[81] Halton et al. 2013
[82] Referred to in context of formal mechanisms for people impacted by forest policy to influence it
[83] www.forestdefender.org
[84] https://www.globalintegrity.org/research/reports/global-integrity-report/
[85] Davis et al. 2013 and Williams et al. 2013
[86] The GFI website and links within Williams et al. 2013 (GFI Guidance Manual) include details on the pilot assessments.
[87] http://www.iccaconsortium.org/?page_id=35
[88] http://www.iccaconsortium.org/?page_id=170
[89] Kothari et al. 2012 eds.
[90] Jonas et al. 2012
[91] http://www.iccaconsortium.org/?page_id=80
[92] http://www.iccaconsortium.org/?page_id=167
[93] http://www.iccaregistry.org/en/about/icca-registry
[94] https://www.iucn.org/theme/protected-areas/our-work/iucn-green-list
[95] IUCN and WCPA 2016
[96] http://www.landmarkmap.org/
[97] http://www.landmarkmap.org/about/
[98] http://sites.viu.ca/landscapelevel/
[99] Robinson et al. 2012:3
[100] http://sites.viu.ca/landscapelevel/casestudies/
[101] This project forms part of the larger NRGF initiative.
[102] http://www.lawforsustainability.org/content/framework
[103] http://www.lawforsustainability.org/case-studies?f[0]=field_elc_principle%253Atitle%3AParticipation%20Principle
[104] http://www.lawforsustainability.org/case-studies?f[0]=field_elc_principle%253Atitle%3APrecautionary%20Principle
[105] http://www.lifemosaic.net/eng/about/
[106] https://namati.org/
[107] For relevant publications and reports, see https://namati.org/ourwork/communityland/community-land-protection-publications/
[108] For relevant publications, videos, and reports see https://namati.org/ourwork/environment/
[109] UN-REDD 2014:3
See PGA details and case studies here: http://www.unredd.net/index.php?option=com_docman&view=list&slug=participatory-governance-assessments-for-redd-651&Itemid=134
[110] UN-REDD 2014:3
See PGA details and case studies here: http://www.unredd.net/index.php?option=com_docman&view=list&slug=participatory-governance-assessments-for-redd-651&Itemid=134
[111] http://rightsandresources.org/en/
[112] http://rightsandresources.org/en/resources/tenure-data/tenure-data-tool/
[113] Description adapted from: http://whakatane-mechanism.org/ and
http://www.forestpeoples.org/enewsletters/fpp-e-newsletter-october-2014/news/2014/10/3d-mapping-starts-bear-fruit
[114] http://whakatane-mechanism.org/assessments
[115] TAI 2008 http://www.accessinitiative.org/resources/access-initiative-indicator-framework-20
[116] Rio Principle 10: "Environmental issues are best handled with participation of all concerned citizens, at the relevant level. At the national level, each individual shall have appropriate access to information concerning the environment that is held by public authorities, including information on hazardous materials and activities in their communities, and the opportunity to participate in decision-making processes. States shall facilitate and encourage public awareness and participation by making information widely available. Effective access to judicial and administrative proceedings, including redress and remedy, shall be provided."
http://www.unep.org/documents.multilingual/default.asp?documentid=78&articleid=1163
[117] Jonas et al 2016:3
[118] PROFOR and FAO 2011 and Kishor and Rosenbaum 2012
[119] Scott with Wilde 2006:v
[120] This document has cross-cutting applicability for indicators development, insofar as all indicators should be gender sensitive, but would be primarily relevant with regard to ensuring effective assessment of degree to which system is gender equitable and pro-poor.
[121] Borrini-Feyerabend et al. 2013
[122] Annexes available at: http://cmsdata.iucn.org/downloads/annexes_to_governance_of_pa.pdf
[123] Indicators in Borrini-Feyerabend et al 2013 are closely related to the set in Abrams et al 2003

[124] https://www.iucn.org/theme/protected-areas/our-work/iucn-green-list
[125] IUCN and WCPA 2016
[126] OHCHR 2012
[127] Description quoted from GAP: http://www.ohchr.org/Documents/Publications/Human_rights_indicators_en.pdf
[128] http://www.ethnobiology.net/what-we-do/core-programs/ise-ethics-program/code-of-ethics/
[129] Ribot 2015, https://portals.iucn.org/library/node/46164
[130] Lockwood 2010
[131] Not explicitly addressed, but indicators include respect for human rights including indigenous peoples' rights
[132] Not explicitly addressed, but indicators include respect for human rights including indigenous peoples' rights
[133] http://www.fao.org/nr/tenure/voluntary-guidelines/en/
[134] http://www.fao.org/nr/tenure/information-resources/en/
[135] Adapted from Borrini-Feyerabend with Buchan 1997:132. See also Jones et al 2009 and Peterson and Barron 2007
[136] Adapted from Government of Victoria - Effective Engagement Toolkit:
http://www.dse.vic.gov.au/effective-engagement/toolkit/tool-samoan-circles
http://www.dse.vic.gov.au/effective-engagement/toolkit/tool-fishbowl
Based on: Kraybill (2001) and http://www.iap2.org
[137] Adapted from Government of Victoria - Effective Engagement Toolkit: http://www.dse.vic.gov.au/effective-engagement/toolkit/tool-kitchen-table-discussion
Based on: http://www.vcn.bc.ca/citizens-handbook/2_15_discussion_group.html
See Toolkit for more detail, including steps, required resources, strengths and drawbacks
[138] Adapted from Borrini-Feyerabend with Buchan 1997:131
[139] Adapted from Government of Victoria - Effective Engagement Toolkit
http://www.dse.vic.gov.au/effective-engagement/toolkit/tool-sketch-interviews
[140] Adapted from Government of Victoria - Effective Engagement Toolkit ://www.dse.vic.gov.au/effective-engagement/toolkit/tool-key-stakeholder-interviews. See this Toolkit for more detail on how to design and conduct a key informant interview. Others sources include: See also: Borrini-Feyerabend with Buchan 1997:134 ; Department of Transportation 1997 ; Environmental Protection Agency 2002
[141] Adapted from Borrini-Feyerabend with Buchar 1997:135. See source for more detail, including steps, strengths and drawbacks on photo stories/ appraisal. On participatory video, see also: Mayers et al. 2013:70 ; ICCA Photo stories (http://www.iccaconsortium.org/?page_id=66) ; PhotoVoice 2011 ; Lunch and Lunch 2006
[142] Adapted from Borrini-Feyerabend with Buchan (ed.) 1997: 128. See this source for more detail, including steps, strengths, and weaknesses of the method. For other specific examples, see, among others:
Work of Resource Africa (South Africa) http://resourceafrica.org/
Theatre for Africa Community Outreach Programme for Conservation and Sustainable Use of Biological Resources
http://www.worldbank.org/projects/P064888/theatre-africa-community-outreach-programme-conservation-sustainable-use-biological-resources?lang=en
On Role Plays, including steps, required requires, strengths and weaknesses, see Government of Victoria - Effective Engagement Toolkit: http://www.dse.vic.gov.au/effective-engagement/toolkit/tool-role-plays
Based on original source at: http://www.iap2.org
[143] Adapted from Borrini-Feyerabend with Buchan (ed.) 1997:122
[144] Adapted from Government of Victoria - Effective Engagement Toolkit: http://www.dse.vic.gov.au/effective-engagement/toolkit/tool-speakout-version-2. Based on: Sarkission1997
[145] Ribot 2015, https://portals.iucn.org/library/node/46164
[146] Balloon Mapping and Kite Mapping described in Corrigan and Hay-Edie 2013:15
[147] Adapted from Borrini-Feyerabend with Buchan 1997:139.
[148] Adapted from Borrini-Feyerabend with Buchar 1997:147
[149] Mayers et al. 2013:99-101. For further information, Mayers et al (2013) reference IFAD 2009, DiGessa 2008, Galudra 2010, FAO. 2009, Rambaldi et al. 2009 (eds), and Minang and McCall 2006
[150] Adapted from Borrini-Feyerabend with Buchan 1997:140
[151] Barrow et al. 2016 https://portals.iucn.org/library/node/46165
[152] For one example see Government of Victoria - Effective Engagement Toolkit http://www.dse.vic.gov.au/effective-engagement/toolkit/tool-prioritisation-matrix
[153] Adapted from Mayer et al 2013:36
[154] cf. case examples at https://appreciativeinquiry.case.edu/
[155] Adapted from Mayers et al 2013:35, referencing Emery and Purser 1996, Emery 1993, and Weisbord 1992
[156] Adapted from Mayers et al 2013:37
[157] Adapted from Borrini-Feyerabend with Buchan 1997:137
[158] Steiner, Richard. Models of Public Oversight of Government and Industry.
http://cmsdata.iucn.org/downloads/citizens_advisory_councils_rick_steiner.pdf
[159] Adapted from Government of Victoria - Effective Engagement Toolkit http://www.dse.vic.gov.au/effective-engagement/toolkit/tool-citizen-juries
Other key sources:http://www.dse.vic.gov.au/effective-engagement/toolkit/tool-citizen-juries. See also Pimbert and Wakeford 2001, IIED (nd), Pimbert and Wakeford 2002, Jefferson Centre 2004, Coote and Lenaghan 1996
[160] Cf. ACODE citizen report card project
[161] In one example, a CSO in Tanzania convened a citizens' hearing to bring together various Ministry representatives and rural community members in a public forum. People were able to describe how they saw climate change impacting their livelihoods, voice what their concerns were, and ask government officials directly what policy changes might be considered.(Hearings organized by Tanzania Natural Resource Forum (Tanzania) and Climate Change Hearings organized by Forum CC (Tanzania). http://www.tnrf.org/en/climatefilm). See also - Hariyo Ban Program. Internal Governance Tool 1 Public Hearing and Public Auditing (PHPA); Maharjan and Shrestha 2006
[162] Government of Victoria - Effective Engagement Toolkit: http://www.dse.vic.gov.au/effective-engagement/toolkit/tool-information-repository.

Original source: http://www.iap2.org

IUCN is a membership Union composed of both government and civil society organisations. It harnesses the experience, resources and reach of its 1,300 Member organisations and the input of some 15,000 experts. IUCN is the global authority on the status of the natural world and the measures needed to safeguard it.

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