



# NATURAL RESOURCES, DEVELOPMENT, & CONFLICT IN SHAN AND CHIN STATES

BASELINE FINDINGS FROM THE  
INCLUSIVE NATURAL RESOURCE MANAGEMENT PROGRAM

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## EXECUTIVE SUMMARY

**Launched in May 2013, Mercy Corps' Inclusive Natural Resource Management Program (INRM)** aims to strengthen the capacity of local community, civil society, and government leaders to prevent and resolve natural resource-based conflict. Focused at the subnational level, this two-year program supports the broader transition and decentralization process by building the capacity of township level government actors to address community concerns related to development and natural resources, while also building the capacity of civil society to constructively engage with government around these issues. Key activities include interest-based negotiation training for local leaders, monitoring of dispute resolution processes, and the implementation of civil society- and government-led projects that address resource-related tensions. Implemented in partnership with two local organizations, Ar Yone Oo (AYO) and Karuna Myanmar Social Services (KMSS), the program has a strong emphasis on building local peacebuilding capacity. Geographical areas of focus include northern Chin State (Tonzang and Tedim Townships) and southern Shan State (Taunggyi, Kalaw, and Hopong Townships).

In order to shape program strategy and establish benchmarks, the program team conducted a baseline assessment during the October 2013-January 2014 period. The assessment included 69 key informant interviews with government and civil society representatives and 24 focus group discussions with community leaders. In addition, 112 participants in the negotiation training program filled out pre-training questionnaires.

### KEY FINDINGS

Natural resource conflict is common across southern Shan and northern Chin States, with 94% of civil society representatives reporting natural resource tensions in their community. The most significant tensions are between community and government and tend to be linked to government-sponsored and private sector development investments. Land is the most hotly contested resource, and land confiscation is common, particularly in southern Shan State where 80% of community focus groups and 68% of civil society representatives report land grabs. The private sector plays a dominant role in resource-based conflict, with approximately half of community and civil society leaders highlighting the **private sector's** involvement in local resource-based conflict.

- 94% of civil society representatives report natural resource tensions in their community.
- 92% of negotiation training participants report conflict in the area where they work; 46% of these conflicts are resource-related.

Community and civil society leaders report a high level of concern about natural resource use and development investments. These concerns revolve predominantly around economic issues, notably the loss of livelihoods and resources upon which local communities depend. Civil society leaders also express deep concern with the non-inclusive, non-transparent manner in which resource extraction and development decisions are made. Expectations that government economic development plans or either private sector or government-sponsored development projects will benefit the community are low. Reasons for this include the potential adverse impacts of projects, lack of benefit sharing and job opportunities, and limited transparency and community participation. While community

- 91% of civil society representatives and 67% of focus groups say that community members are very vulnerable to losing access to natural resources.
- 75% of community focus groups, including 100% in Shan State, and 52% of civil society representatives say that their community will not benefit from government plans for promoting economic development.

leaders as well as institutions that bridge the community/government interface play an important role in local natural resource management, community and civil society leaders feel they have little influence over natural resource use and development projects in their area.

Natural resource tensions are higher in southern Shan State, which is also experiencing a higher degree of development investments, than in northern Chin State. In contrast, community members in Chin State are more concerned with issues of environmental degradation than are their counterparts in Shan State.

Local government appears to be largely unaware of or unwilling to acknowledge community and civil society concerns related to natural resource use and development. In contrast to the concerns expressed by community and civil society representatives, 52% of government representatives stated that there was no risk that government economic development plans could cause tension between communities and government. Government representatives also appear to be less cognizant of the role of the private sector in resource-based conflict, with only 4% acknowledging this. The variation in responses given by government on the one hand and by civil society and community representatives on the other may be indicative of either poor information flows between these groups or the political sensitivity of the topic.

- 75% of community focus groups, including 100% in Shan State, and 63% of civil society representatives say that government does not understand their concerns and priorities related to economic development.
- 71% of community focus groups, including 90% in Shan State, say that government does not understand their concerns and priorities related to natural resources.
- 75% of focus groups are dissatisfied with the way that the government is addressing their natural resource concerns.

Whether they are a part of the formal, legal system or not, a wide range of both formal and informal local actors are resolving natural resource disputes. These actors include township administration and line department officials, civil society activists, community leaders, and political party leaders. In spite of the high degree of civil society and community concern around natural resource use and development – and the gap in government awareness of these concerns – the involvement of local actors in natural resource dispute resolution opens a window of opportunity to both address community grievances and prevent the outbreak of further conflict through proactive engagement.

A small majority of both civil society and government representatives report that their organizations and departments are being asked to resolve resource-related conflicts.

Nonetheless, there is significant room for improving local dispute resolution practices. Community satisfaction with the way that government has addressed resource-related conflict is low, with 80% of focus groups in Shan State and 50% of focus groups in Chin State reporting that they are very dissatisfied. Moreover, collaboration between civil society and government in managing natural resources and addressing resource-related disputes is minimal.

Findings from the baseline assessment illustrate a wide gap between the perceptions of local government actors, civil society representatives, and community members, undermining the ability of the government to effectively respond to community concerns and win both trust and legitimacy in the eyes of the people. The findings are also consistent with reports that the pace of the reforms is outstripping the capacity of local government to implement these reforms and turn decentralization into a reality. Encouragingly, the findings also suggest that we can begin to close

this gap through practical actions that strengthen communication, collaboration, and cooperation between community, civil society, and local government. Specific program recommendations include strengthening local capacity to resolve disputes; promoting constructive engagement between local government and civil society; and addressing community and civil society economic concerns.

## ACRONYMS

AYO	Ar Yone Oo
CMM	Office of Conflict Management and Mitigation
FGD	Focus group discussion
INRM	Inclusive Natural Resource Management Program
KII	Key informant interview
KMSS	Karuna Myanmar Social Services
USAID	United States Agency for International Development

## I. PROGRAM DESCRIPTION

Launched in May 2013, Mercy Corps' *Inclusive Natural Resource Management Program* (INRM)<sup>1</sup> aims to strengthen the capacity of local community, civil society, and government leaders to prevent and resolve natural resource-based conflict. Focused at the subnational level, this two-year pilot program supports the broader transition and decentralization process by building the capacity of township level government actors to address community concerns related to development and natural resources, while also building the capacity of civil society to constructively engage with government around these issues. Key activities include interest-based negotiation training for local leaders, monitoring of alternative dispute resolution processes, and the implementation of civil society- and government-led projects that address resource-related tensions. Implemented in partnership with two local organizations, Ar Yone Oo (AYO) and Karuna Myanmar Social Services (KMSS), the program has a strong emphasis on building local peacebuilding capacity. Geographical areas of focus include northern Chin State (Tonzang and Tedim Townships) and southern Shan State (Taunggyi, Kalaw, and Hopong Townships).

## II. METHODOLOGY

### A. PURPOSE

The baseline assessment was designed to achieve three objectives:

1. To collect baseline data in order to set benchmarks for program evaluation;
2. To collect exploratory information about natural resource-related tensions and dispute resolution in order to update understanding of the local context and inform program strategy; and
3. To build program staff knowledge of the local context and relationships with key stakeholders.

The baseline builds upon previous assessment activities conducted as part of program start-up, including a desk study exploring national factors influencing natural resource conflicts in the ethnic states (June-July 2013), and scoping assessments in Chin State (August 2013) and Shan State (September 2013) to explore natural resource conflict and dispute resolution practices.

#### Defining Resource-Based Conflict in Myanmar

Mercy Corps' peacebuilding programs typically measure the intensity of conflict by asking about incidents of violence. However, while demonstrations over the extraction of natural resources have sprung up across the country, many resource-related tensions in Myanmar are invisible. In some cases, community and civil society representatives are anxious about their vulnerabilities to resource loss, while in other cases the expression of tensions is suppressed by the power differential between communities and both the government and private sector. For the purposes of this program, Mercy Corps defines a resource conflict as a situation in which two or more parties are competing over a resource, with a focus on cases where disputes have a negative impact on community members. Because the manifestations of these conflicts may not be visible, an emphasis has been placed on measuring community and civil society concerns, perceptions of vulnerability, and satisfaction with government action.

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<sup>1</sup> Funded by USAID's Office of Conflict Management and Mitigation (CMM). USAID Cooperative Agreement No. AID-486-A-13-00003. The formal program name is *Supporting Peace through Natural Resource Management in Burma's Ethnic Regions* (PNRM).

## B. DATA COLLECTION TOOLS

The baseline assessment included four data collection tools, as outlined below in Table 1. Data collection tools may be found in Annexes A-D. The evaluation used a mixed methods approach, collecting both quantitative and qualitative data. While questions on the Leader Survey were predominantly closed-ended and categorical, the Key Informant Interview (KII) Guides and the Focus Group Discussion (FGD) Guide included qualitative open-ended questions designed to collect exploratory and emergent information as well as quantitative closed-ended questions associated with impact indicators. A number of questions were based on those used commonly across similar Mercy Corps programs around the world.<sup>2</sup> These questions were supplemented by experimental questions developed through an iterative process over the preceding months to target issues specific to the Myanmar context (e.g., legal land confiscation, latent tensions between community members and government).

Table 1. Data collection by tool

N°	Tool & Description	Chin	Shan	Total
1	Leader survey 19-item survey of government, civil society, and community leaders participating in the negotiation training. Key topics included conflict context and dispute resolution experience.	54	58	112
2	Key informant interview – Government 18-item interview guide for government representatives. Key topics included type and prevalence of natural resource tensions and government role in dispute resolution.	14	9	23
3	Key informant interview – Civil society 27-item interview guide for civil society leaders. Key topics included type and prevalence of natural resource tensions, civil society role in dispute resolution, and civil society perceptions of government.	33	13	46
4	Focus group discussion – Community 34-item discussion guide for community leaders. Key topics included type and prevalence of natural resource tensions, decision-making about natural resource use, dispute resolution practices, and community perceptions of government and government development initiatives.	14	10	24

## C. SAMPLING & DEMOGRAPHICS

The evaluation used a longitudinal design, with data collected from the same individuals at baseline and endline. While control data was not collected at baseline,<sup>3</sup> the team expects to do so at endline.

*Leader survey.* Government, civil society, and community leaders participating in the negotiation training program were asked to fill out the Leader Survey at the beginning of the first day of training with instruction from program staff. A total of 112 surveys were collected from among 114 participants. Of these 112 respondents, 62% self-identified as government representatives while 38% self-identified as civil society representatives. Government participants include staff from the township-level General Administration Department (including township administrators), Forestry Department, Department of Agriculture and Irrigation, Settlement and Land Records Department,

<sup>2</sup> See for example Mercy Corps. *Conflict & Economics: Lessons Learned on Measuring Impact*. 2011. <http://www.mercycorps.org/resources/understandingpovertyandconflict>

<sup>3</sup> Collecting control data for a peacebuilding program evaluation requires identifying individuals from a geographic location with conflict dynamics similar to those in the intervention area. These individuals and/or locations must also be unaffected by program interventions, which can be challenging for a program that aims to work at the systemic level. At the beginning of the INRM program, program strategy and activities were in flux and the team was still too unfamiliar with the local context to confidently identify areas and individuals to serve as a control group.

Planning Department, as well as Ward Administrators and Village Tract Administrators. Civil society participants included leaders of civil society organizations focused on environmental issues and/or peace and human rights, representatives from the township Development Support Committees, and village elders. Because the program works with existing leaders, most of whom are men, only 13% of respondents were women. Respondents ranged between 19 and 70 years old.

*Key informant interviews.* A total of 69 KIIs out of 88 planned KIIs were conducted with government and civil society representatives using structured questionnaires. Key informants were purposively selected to include individuals likely to know about resource-related tensions in their area. Nineteen planned KIIs were not conducted due to informants' lack of time or unwillingness to be interviewed by the team, possibly due to the sensitivity of the questions.

Table 2. Number of KIIs Planned and Conducted

Type of Actor	Chin		Shan	
	KIIs Planned	KIIs Conducted	KIIs Planned	KIIs Conducted
Government	18	14	19	9
Civil Society	31	33	20	13
<i>Total</i>	<i>49</i>	<i>47</i>	<i>39</i>	<i>22</i>

Key informant interviews were conducted with 23 government representatives and 46 civil society representatives. Government representatives were predominantly from the General Administration Department (22%), the Agriculture and Irrigation Department (26%), the Settlement and Land Records Department (26%), and the Forestry Department (17%). Civil society representatives were predominantly members of civil society organizations focused on environmental issues and/or peace and human rights (74%) and community leaders (17%). Because the majority of existing government and civil society leaders are men, only 7% of respondents were women. Respondents ranged between 30 and 59 years old.

Table 3. % of key informants at each level

Level of Actor	Chin	Shan	Total
<i>Government</i>			
State	29%	0%	17%
Township	71%	100%	83%
Local (e.g., village tract)	0%	0%	0%
<i>Civil society</i>			
State	9%	23%	13%
Township	55%	54%	54%
Local (e.g., village tract)	36%	23%	33%

Table 4. Data collection by tool and township

Township	Leader Survey	Key informant interview - Government	Key informant interview - Civil society	Focus group discussion - Community
Chin State	54	14	33	14
Falam <sup>4</sup>	0	3	0	0
Hakha <sup>5</sup>	0	3	0	0
Kalay (Sagaing Division)	1	0	6	0
Tedim	44	4	24	9
Tonzang	9	4	3	5
Shan State	58	9	13	10
Kalaw	5	2	5	3
Hopong	9	3	0	0
Hsiseng	2	0	0	0
Pindaya	5	0	0	0
Taunggyi	37	4	8	7
<i>Total</i>	<i>112</i>	<i>23</i>	<i>46</i>	<i>24</i>

<sup>4</sup> Falam District, which includes Tonzang and Tedim Townships, is headquartered in Falam.

<sup>5</sup> Chin state capital

*Focus group discussions.* Twenty-four FGDs<sup>6</sup> of approximately 10 community leaders each were conducted, including 14 in Chin State and 10 in Shan State. Based on the scoping assessments, the team identified communities that were either affected by or vulnerable to natural resource conflict. Community leaders were purposively selected to participate in focus group discussions based on their awareness of resource-based conflicts, as the scoping assessments demonstrated that leaders have greater knowledge of these dynamics than other community members. This also provided an opportunity for program staff to build relationships with future program stakeholders. However, this approach potentially skews the data as it does not include the views of ordinary community members.

Focus group participants included a range of community leaders, with 79% of groups including community members such as village elders, religious leaders, and village heads; 58% including quasi-governmental representatives such as village administrators, village tract administrators, and Development Support Committee members, and 4% including Land Management Committee members. Because community leaders were purposively sampled, focus group participants were predominantly men. Between one and five women participated in 57% of FGDs in Chin State and between three and five women participated in 20% of FGDs in Shan State.

#### D. DATA COLLECTION & ANALYSIS

*Data collection.* Data was collected during the October 2013-January 2014 period. Leaders participating in the negotiation training in December 2013 and January 2014 filled out the Leader Surveys themselves with instruction from program staff, while program staff conducted the KIIs and FGDs during the October-December 2013 period using structured questionnaires and data collection forms. Program staff – rather than M&E staff or external enumerators – were made responsible for data collection in order to benefit from existing relationships with key stakeholders (enhancing the likelihood that respondents would share sensitive information) and to build relationships with new key stakeholders (laying the groundwork for program implementation and ensuring continuity at endline). However, this approach may result in reduced data quality due to lack of data collection experience among program staff, as well as potential bias. Data collection was slated to finish in November, but the timeline was extended through December in order to address challenges and strengthen staff data collection capacity.

*Training.* The program orientation in September 2013 introduced the team to the INRM monitoring and evaluation plan. Data collection trainings took place in both Shan and Chin States in September and October. Review meetings were conducted in October and November in both Chin and Shan States in order to address challenges, identify both effective and ineffective questions, and highlight

Table 5. Number of FGDs per community

Township	Community	N° of FGDs
Chin State		14
Tedim	Tedim Township Development Support Committee	1
Tedim	Kaptel	1
Tedim	Muizawl	2
Tedim	Thuklai	2
Tedim	Zonaunzang (Mwe Taung)	3
Tonzang	Tonzang Township Development Support Committee	1
Tonzang	Tuikhaing	2
Tonzang	Khumnuai	2
Shan State		10
Kalaw	Baw Sai	3
Taunggyi	Namsee	7

<sup>6</sup> 14 FGDs were originally planned in Chin State, while 15 FGDs were planned in Shan State. Five FGDs in Shan state were not conducted due to difficulty identifying specific vulnerable communities in Hopong and Taunggyi Township.

emerging conclusions. Upon completion of the baseline, Mercy Corps' Yangon-based M&E team provided feedback on the data collection process to each state team.

*Analysis.* Mercy Corps' Yangon-based M&E team analyzed all data. Frequency tables were generated for close-ended questions for both KIIs and FGDs. Open-ended questions were analyzed through a systematic qualitative process including category development, coding of data, and the generation of descriptive statistics through frequency tables (see detailed qualitative analysis methodology in Annex E).

A Note about Data Presentation  
Percentages do not add up to 100% in many tables as respondents were allowed to provide more than one answer or explanation for their response.

#### E. CHALLENGES

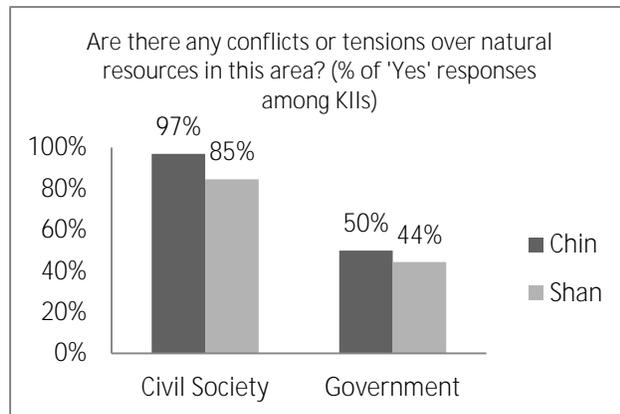
Data collection challenges included:

- Limited awareness of or knowledge about resource-based conflicts among informants, particularly government representatives. Related to this, tensions in many areas are connected to vulnerabilities that may lead to open conflict but have not yet done so.
- Reluctance among government officials to answer some questions.
- Difficulty accessing government officials, especially senior officials.
- Delays in data collection due to logistical and operational constraints.
- Translation amongst multiple languages (e.g., English, Myanmar, Chin dialects).

### III. KEY FINDINGS

#### A. NATURAL RESOURCE CONFLICT

Community and civil society representatives report a high level of tension and conflict related to natural resources, with 94% of civil society representatives interviewed for KIIs reporting tensions related to natural resources in their area. In contrast, only 48% of government representatives interviewed for KIIs report such tensions, suggesting that local government is either unaware of or unwilling to publically acknowledge natural resource conflicts or community concerns about natural resource use and extraction.

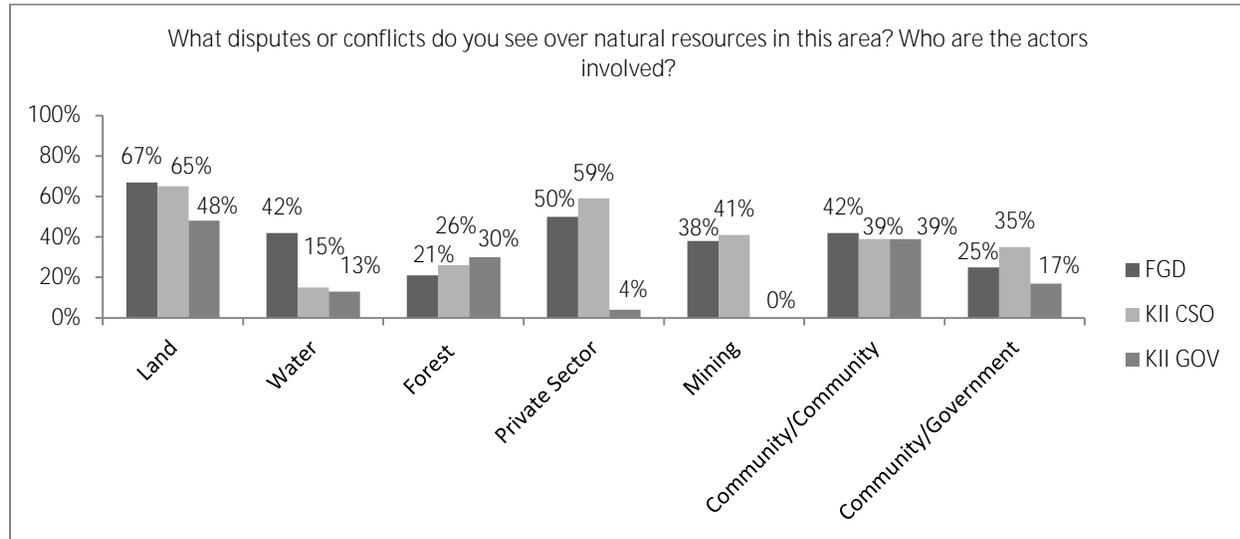


The varied perceptions of the prevalence of natural resource conflict may also illustrate the challenges of collecting this type of data, including political sensitivity, lack of systemic data collection by local actors, different definitions of conflict, and the latent nature of some of these tensions.

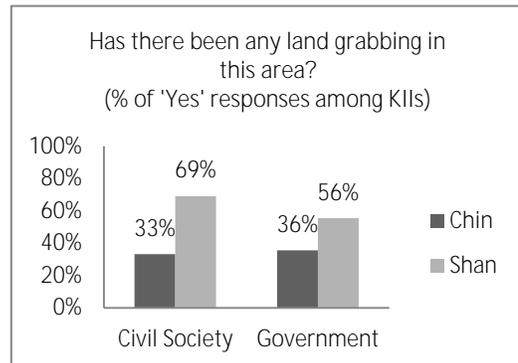
Among participants in the negotiation training program, 92% report tensions or conflicts in the area where they work. Of these, 46% are related to natural resources, 22% to governance issues, 17% to ethnic or religious issues, and 14% to economic issues, with similar frequencies in both Chin and Shan States.

Land is the most hotly contested type of resource, with 67% of focus groups, 65% of civil society representatives, and 48% of government representatives citing land when asked what disputes or conflicts they see over natural resources in their area. Land conflict as a category includes issues of

land registration, land law, boundary issues, and land grabbing. Disputes related to water and forest resources were also mentioned but with less frequency. In addition, a significant percentage of both focus groups (38%) and civil society representatives (41%) cited conflicts related to mining while no government representatives mentioned this.



Land grabbing is common, particularly in southern Shan State. Among community focus groups, 80% in Shan State and 29% in Chin State report land grabbing. Among KII respondents, 69% of civil society representatives and 56% of government representatives in southern Shan State reported land grabs in their area. Interestingly, civil society and government representatives report similar incidence of land grabbing, suggesting that such incidents may be more likely to come to the attention of the government.



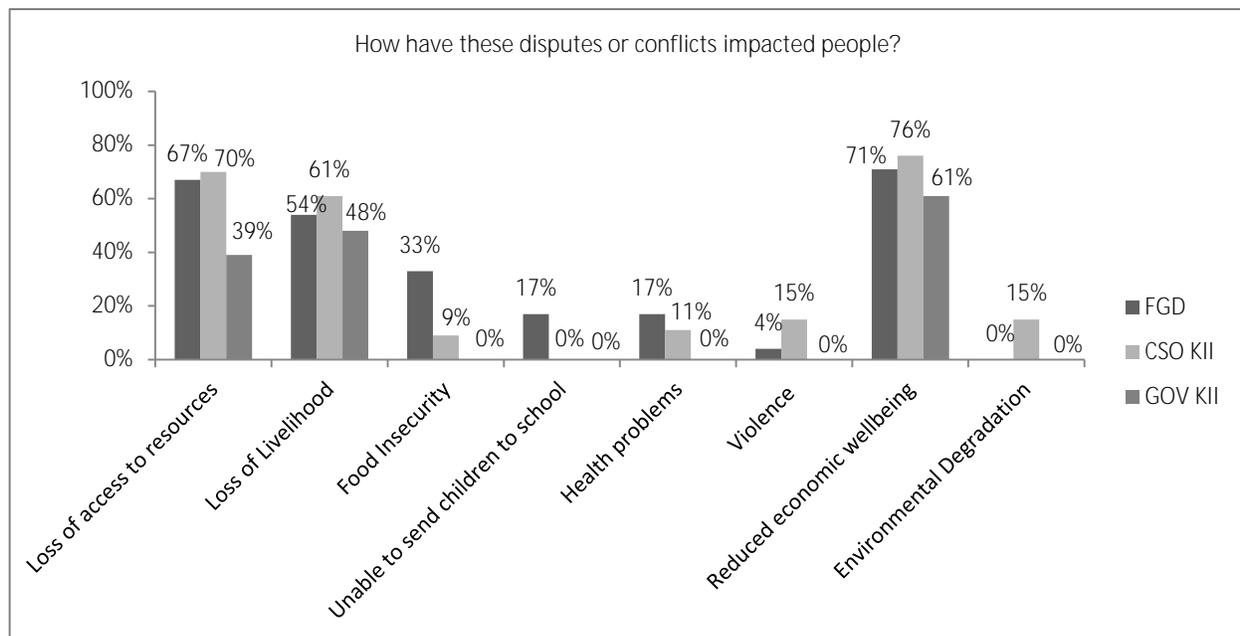
According to community and civil society representatives, the private sector is a key player in many natural resource conflicts, with 50% of focus groups and 59% of civil society representatives reporting this. In contrast, only 4% of government representatives highlight the **private sector's** role. Approximately 40% of both community focus groups and civil society and government representatives report the incidence of community/community conflict over natural resources, while 35% of civil society representatives, 25% of focus groups, and 17% government representatives reported disputes between the community and the government.

The variation in natural resource conflict reported by different groups may be due to variations in access to information, such that different types of actors at different levels see different types of conflict. For example, land grabbing is very visible and recognized by both civil society and government, whereas conflicts over water resources are more likely to be between two villages and thus may not be known by higher level actors.

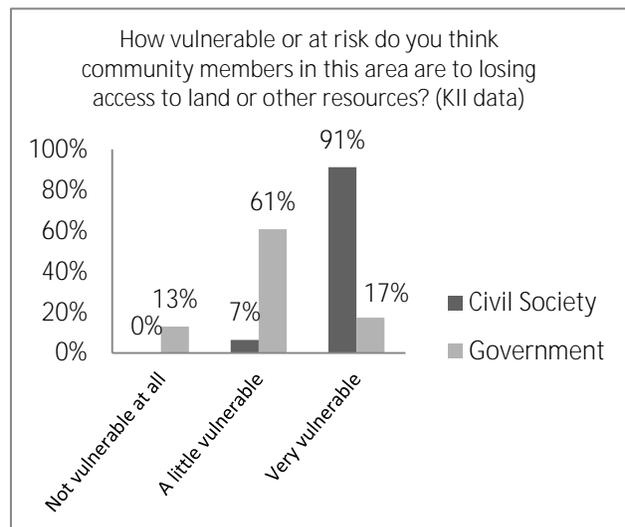
## B. THE IMPACT OF NATURAL RESOURCE CONFLICT ON COMMUNITIES

Natural resource conflict has a significant impact on the economic well-being of affected communities. When asked how natural resource conflict has impacted communities, the most common response by focus groups and both civil society and government representatives was that conflict has reduced community economic well-being. Community and civil society leaders frequently cited concerns related to loss of access to resources and loss of livelihoods. Government representatives also echoed these concerns. Community and civil society representatives also reported other detrimental impacts such as food insecurity, inability to send children to school, health problems, environmental degradation, and violence, while government representatives mentioned none of these.

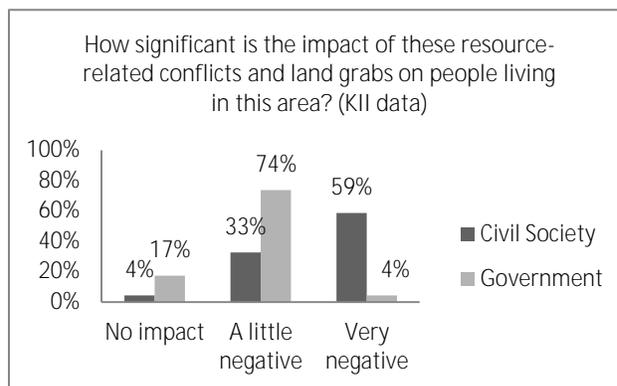
**“The community lost their farmland and so they lost their livelihood. As a result, southern Shan State has become the largest poppy growing area.”**  
– Civil society leader



Community and civil society leaders feel a high level of vulnerability to losing access to land and other resources. Most civil society representatives (91%) say that community members are very vulnerable to losing resource access. Among community focus groups, 67% say they are very vulnerable and 33% a little vulnerable to losing their land or other resources. This sense of vulnerability may be linked to limited land tenure security, limited opportunity to engage with decision-makers, and limited influence over natural resource extraction and development projects in their area.



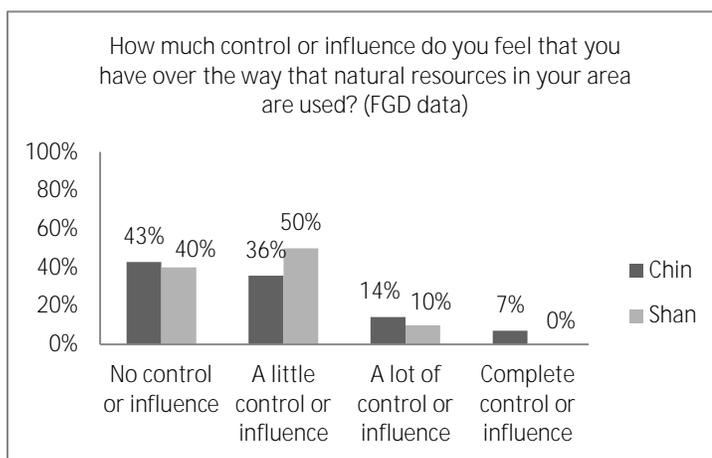
However, **local government doesn't seem to be** aware of or willing to acknowledge the impact of natural resource tensions on local communities or recognize the degree of vulnerability that communities feel to losing access to resources. In spite of the high level of vulnerability reported by community and civil society representatives, a majority of government representatives (61%) say that community members are a little vulnerable to losing resource access. Civil society representatives are also more likely than government representatives to report that natural resource conflict has a negative impact on local communities. While 59% of civil society representatives report that resource-related conflicts and land grabs have a very negative impact on local communities, 74% of government representatives state that the impact is a little negative and 17% state that there is no impact.



### C. NATURAL RESOURCE DECISION-MAKING

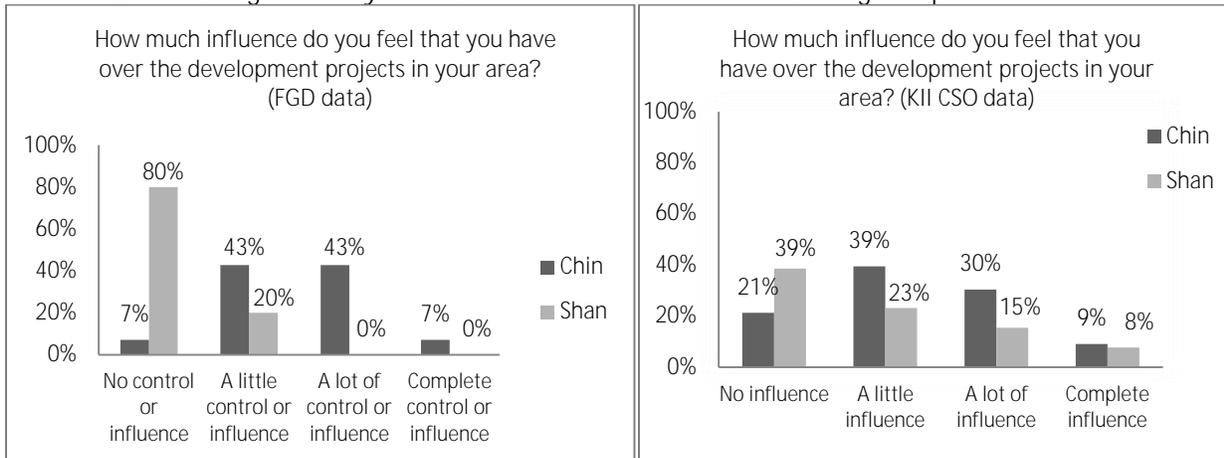
The sense of agency among community and civil society leaders with regard to natural resource use and development projects is low, with both community and civil society leaders reporting limited influence over natural resource use and development projects in their area.

A majority of community and civil society leaders report having little to no influence over the way natural resources in their area are used, with 83% of community groups reporting having little (42%) to no (42%) influence over the way that natural resources in their area are used. Civil society representatives feel a greater sense of agency than community leaders, although this is still low with a majority reporting little to no influence over natural resource use. This is particularly pronounced in Shan State where 62% of civil society representatives say that they have no influence. In contrast, agency varies more widely in Chin state, where 27% claim no influence, 36% claim a little influence, and 27% claim a lot of influence.



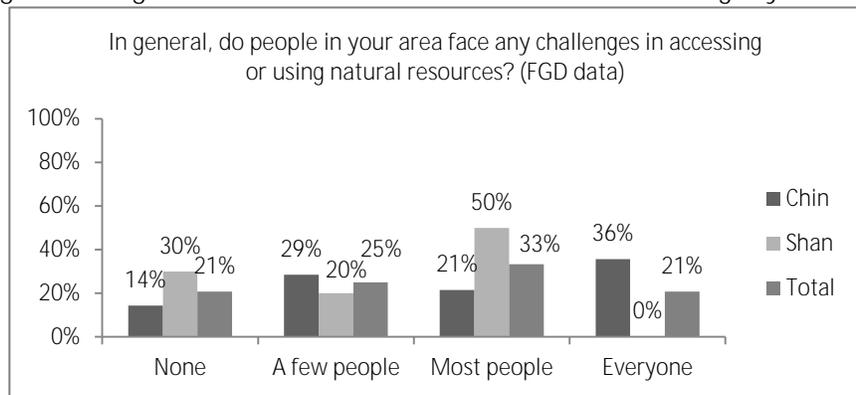
Community and civil society leaders report similarly low levels of influence over development projects in their area. A majority of community focus groups report little (33%) to no (38%) influence over development projects in their area. This is more pronounced in Shan State, where 80% of FGDs report no influence and 20% report a little influence, while in Chin state 7% of groups report no influence, 43% groups report a little influence, 43% report a lot of influence, and 7% report complete influence. A majority of civil society representatives also report having little to no influence over development projects in their area, with 26% stating that they have no influence and

35% stating that they have a little influence. Perceptions of influence vary widely, however, with another 26% stating that they have a lot of influence and 9% claiming complete influence.

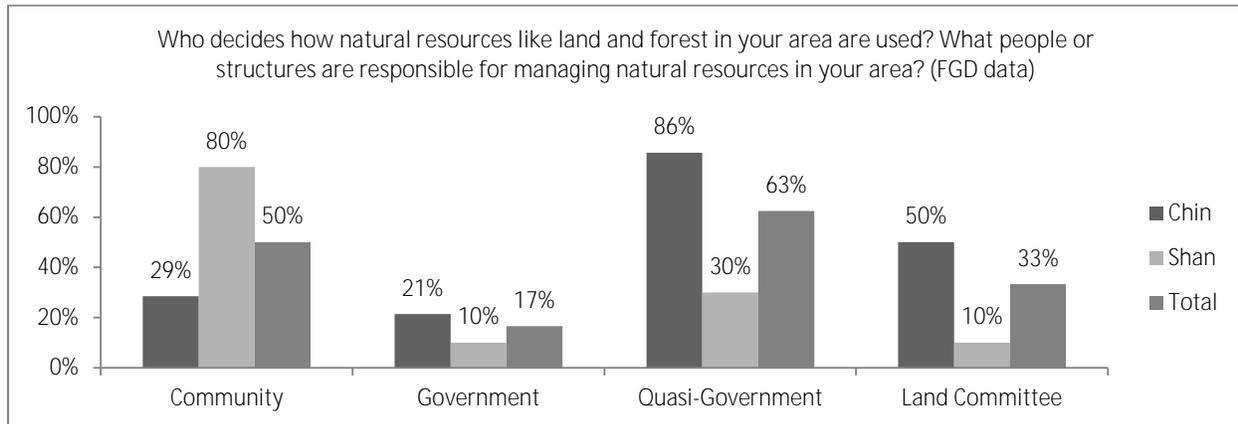


A majority of focus groups report that everyone (21%) or most people (33%) in their area face challenges in accessing or using natural resources. Resource access is slightly more

challenging in Chin State, where 36% of focus groups report that everyone faces challenges, 21% most people, and 29% a few people, while in Shan State no groups report that everyone faces challenges, 50% report that most people face challenges, and 20% report that a few people face challenges.

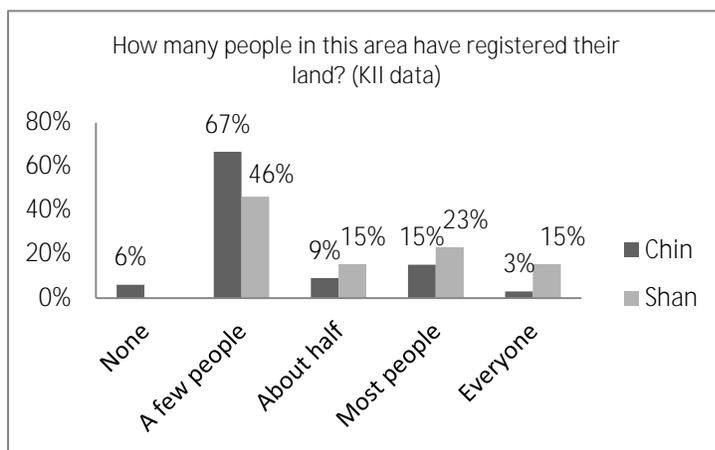


Community leaders as well as institutions that bridge the community/government interface play an important role in local natural resource management. According to focus groups in Chin State, quasi-governmental representatives (such as village administrators and village tract administrators) and the Land Management Committee (which is comprised of both government and community representatives) play the greatest role, while focus groups in southern Shan State, highlighted the role of the community (including CSOs, village heads, religious leaders, and village elders). This data is at odds with the lack of influence over natural resource use and development projects reported by community and civil society leaders, and may reflect a distinction between local natural resource management (which community leaders can influence) and decision-making about large-scale resource extraction and investment (in which community leaders have limited influence).



Community leaders are generally satisfied with the way that actors responsible for local natural resource management manage natural resources. Most focus groups report being very satisfied (46%) or a little satisfied (25%) with the way these groups are managing resources in their area. When asked how satisfied they are with the way that these groups manage resources in their area, 50% of focus groups in Chin State and 40% of focus groups in Shan State said very satisfied while 7% of focus groups in Chin State and 20% of focus groups in Shan State said very dissatisfied. Reasons for satisfaction include community participation in decisions about natural resource use, support for tenure security, ensuring traditional customary laws are followed, and a perception that these actors are fair. The only reason consistently cited for dissatisfaction was the loss of resources as a result of the way that these groups manage resources in the area.

#### D. LAND REGISTRATION

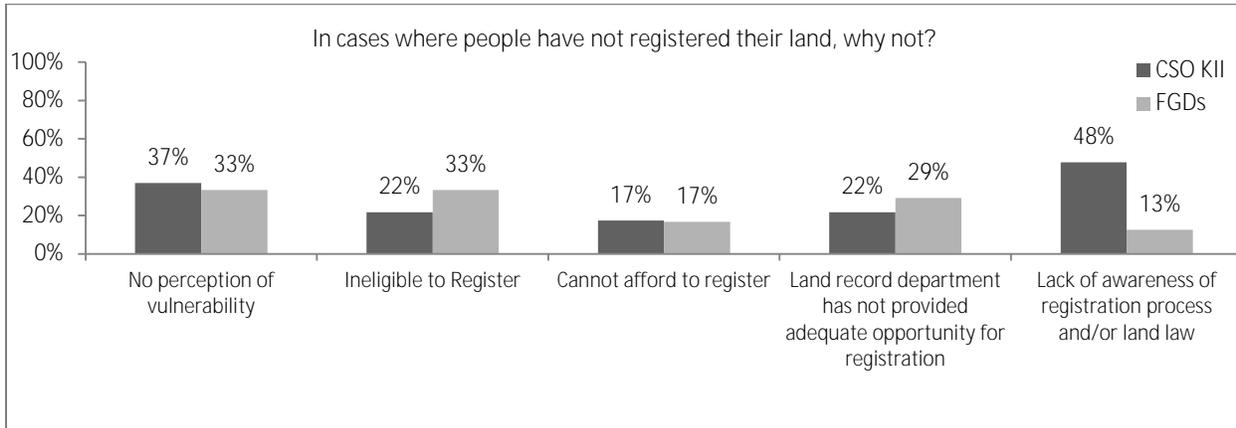


According to civil society and community representatives, most community members have not registered their land. Civil society representatives, including 67% in Chin State and 46% in Shan State, most commonly report that only a few people in their communities have registered their land. Among community focus groups, a majority report that no one (29%, 36% in Chin State, 20% in Shan State) or only a few people (38%, 36% in Chin State and 40% in Shan State) have registered

their land, while 21% of focus groups in Chin State and 30% of focus groups in Shan State report that most people have registered their land. This variation may reflect differing degrees of knowledge as well as differences between communities. This information is also at odds with anecdotal though unverified reports from the SLRD offices in selected townships that the registration process is complete or nearly complete.

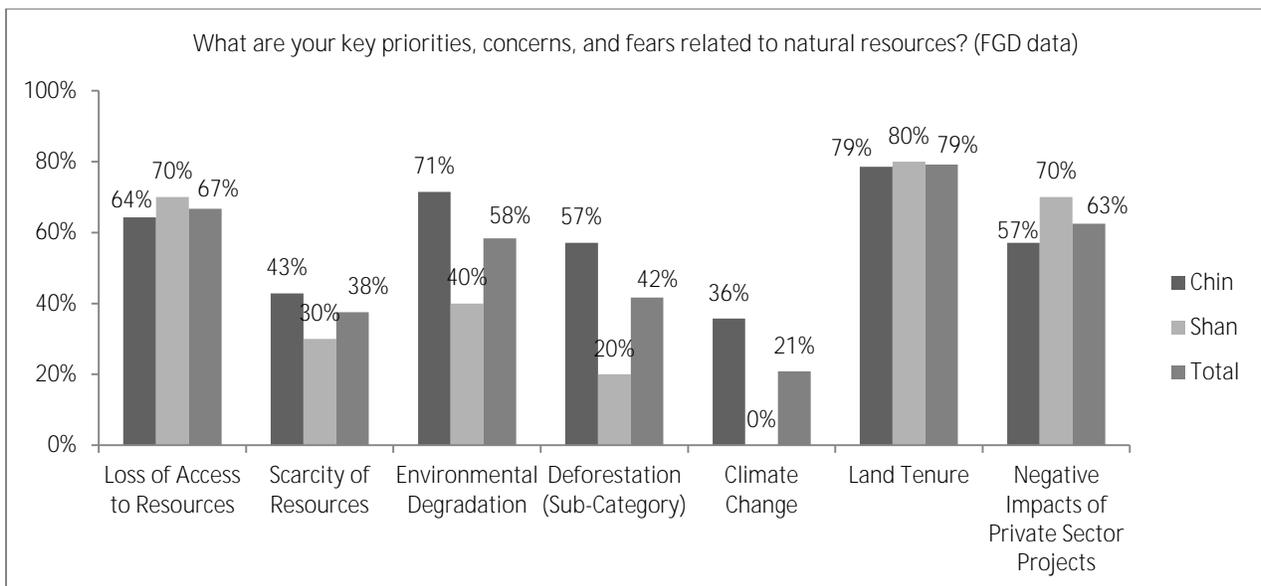
Community and civil society representatives cited a range of reasons why people have not registered their land, including: limited perceptions of vulnerability, either because there have not been land grabs in their area or because they believe that their land is protected by customary law;

ineligibility due to use of shifting cultivation or if land is managed by the Forestry Department; inability to afford registration fees or taxes on registered land; inadequate opportunity to register, due to lack of visits by the Settlement and Land Records Department or because registration requests are ignored; and lack of awareness about the registration process and/or land laws.

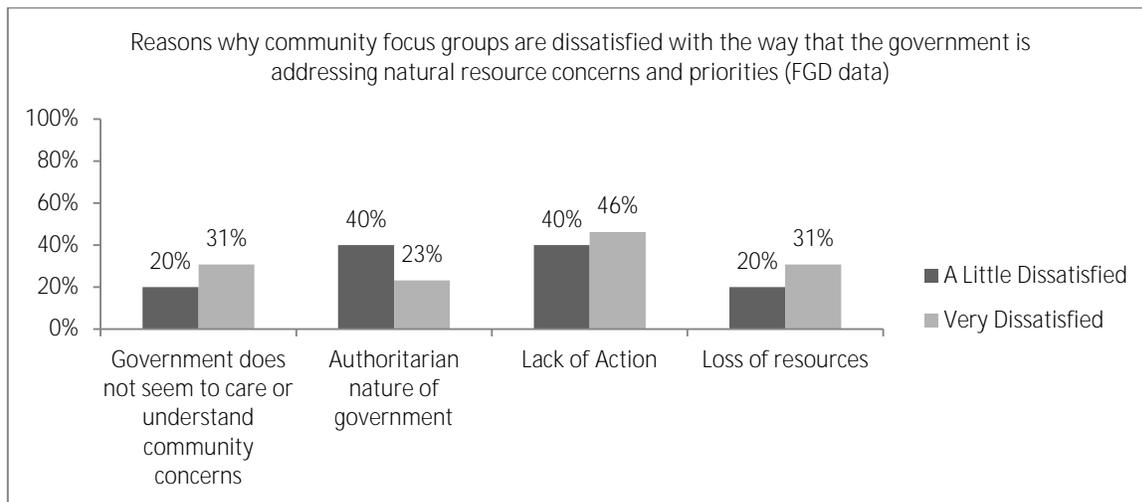
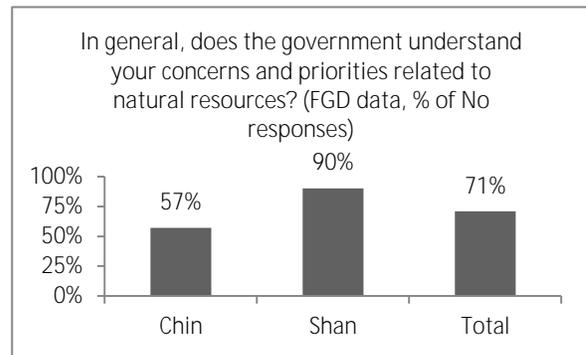


#### E. CONCERNS & PRIORITIES RELATED TO NATURAL RESOURCES

Community concerns about natural resources are focused on issues of land tenure, loss of access to resources, and the negative impact of private sector projects. Land tenure issues encompass problems of land registration, land confiscation, land law, and boundary and trespassing matters. Loss of access to resources relates specifically to land, water, and forest resources. Private sector projects referred to were either development or mining projects. There is some regional variation, with focus groups in Chin State mentioning issues of environmental degradation (often related to deforestation), scarcity of resources, and climate change more often than focus groups in Shan State. For example, while 36% of focus groups in Chin State cited concerns about climate change, no groups in Shan State mentioned this. This may be due to the perceived potential of tourism in Chin State – an area known for its isolated natural beauty – to contribute to economic growth.



**Community leaders don't feel that** government understands their concerns and priorities related to natural resources, with 71% of community focus groups (90% in Shan State, 57% in Chin State) saying that government does not understand their concerns and priorities related to natural resources. This dissatisfaction is higher in Shan State. In contrast, only 39% of civil society representatives think that government does not understand their concerns related to natural resources. Among focus groups reporting that government does not understand their concerns and priorities related to natural resources, 100% commented that the government does not understand their community, 76% that the government takes no action to resolve community concerns, and 24% that the government prioritizes its own benefits by partnering with private companies rather than working with communities to resolve natural resource issues.



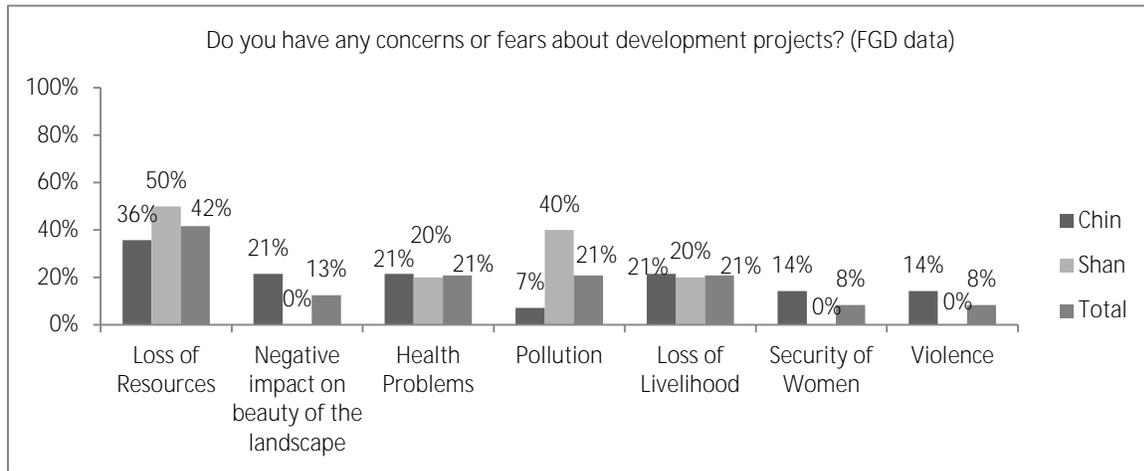
Most community leaders are dissatisfied with the way the government is addressing their concerns and priorities related to natural resources. Over half of the focus groups (54%) reported that they are very dissatisfied with the way the government is addressing their concerns and priorities related to natural resources, including 36% from Chin State and 80% from Shan State, while 21% of focus groups reported that they are a little dissatisfied, including 29% in Chin State and 10% in Shan State. Reasons cited for dissatisfaction include: lack of action or insufficient action by the government; loss of resources due to government misuse and stealing, as well as partnerships formed by the government with the private sector that **facilitate companies' ability to take and use resources**; and an authoritarian manner that prohibits communities input.

**"The government knows our concerns and fears, but they do not take any action. We are not allowed to register our lands for we are near the mining industry."**  
- Focus group in Shan State

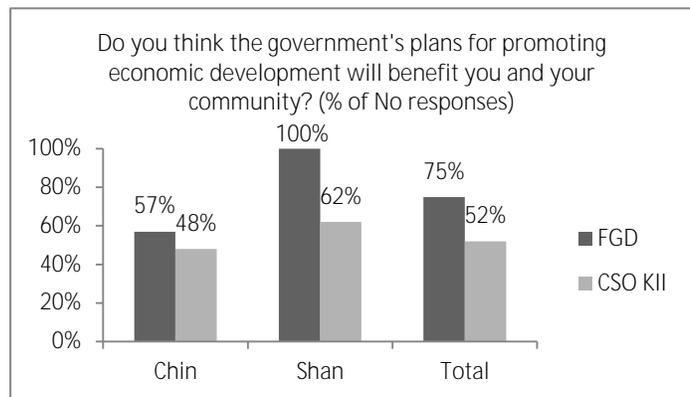
#### F. CONCERNS & PRIORITIES RELATED TO DEVELOPMENT

Community concerns about development projects emphasize loss of access to resources, loss of livelihoods, and health problems. The most common response in both states was a fear of the

loss of resources (including land, water, and/or forest), cited by 36% of Chin State focus groups and 50% of Shan State focus groups. Concerns about health problems and loss of livelihood were both cited by 21% of focus groups, with similar response rates in both states. Regional differences highlight concerns in Shan State around pollution, cited by 40% of focus groups in Shan State, and **concerns in Chin State around the preservation of the state's natural beauty**, cited by 21% of focus groups in Chin State. Additionally, 14% of focus groups in Chin State noted a concern with both decreased security of women and violence as a result of development projects.

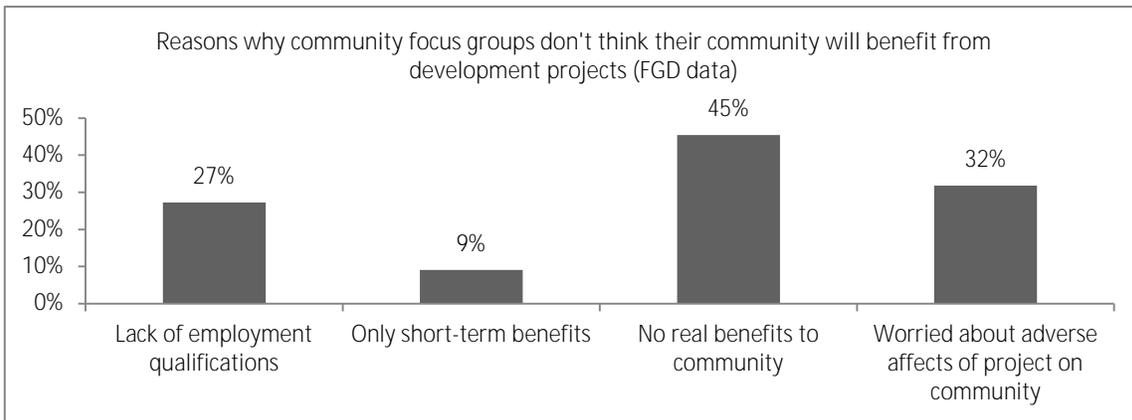


Expectations that government economic development plans will benefit the community are low, with 75% of community focus groups (100% in Shan State, 57% in Chin State) and 52% of civil society representatives saying that their community will not benefit from government plans for promoting economic development. Moreover, a sizable majority of both civil society and **community leaders don't believe that** their community will benefit from private sector or government-sponsored development projects in their area. Of the 63% of focus groups (90% in Shan State, 43% in Chin State) that reported ongoing or planned development projects in their area, 92% (89% in Shan State, 100% in Chin State) believe that their community will not benefit from these projects. In addition, 78% of civil society representatives do not believe that communities will benefit from planned or ongoing development projects.

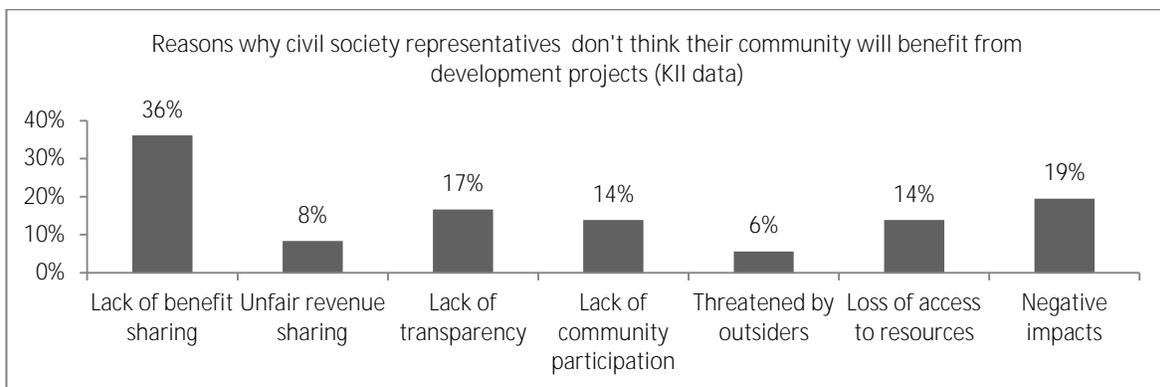


Of the 63% of focus groups (90% in Shan State, 43% in Chin State) that reported ongoing or planned development projects in their area, 92% (89% in Shan State, 100% in Chin State) believe that their community will not benefit from these projects. In addition, 78% of civil society representatives do not believe that communities will benefit from planned or ongoing development projects.

**Community focus groups cited a range of reasons why they don't expect their communities to benefit from development projects**, including the perception that these projects will provide no real benefits to communities, that they may have adverse effects such as environmental degradation and a decrease in security for women, that community members lack the qualifications to secure jobs with these projects, and finally that projects only appear to offer short-term benefits.

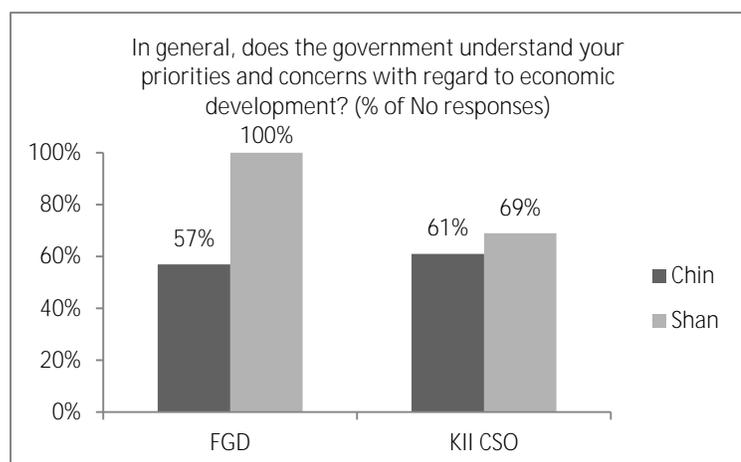


These differed from reasons cited by civil society representatives, who articulated concerns around lack of benefit sharing, transparency, and community participation in addition to fears such as loss of access to resources, general negative impacts of development projects, unfair revenue sharing, and a feeling of being threatened by outsiders.

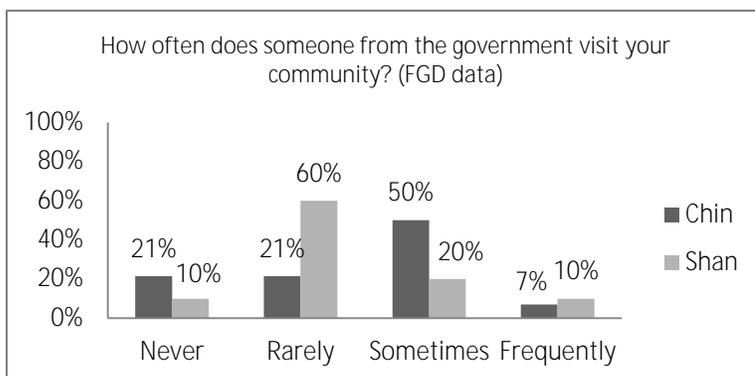


In contrast to the concerns expressed by community and civil society representatives, government representatives are largely unaware of the potential for government economic plans to cause tensions between communities and government, with 0% acknowledging this risk, 52% stating that there is no risk, and 35% stating that there may be some risk.

This correlates with perceptions that government understanding of community and civil society priorities and concerns related to economic development is low, with 75% of community focus groups (100% in Shan State, 57% in Chin State) and 63% of civil society representatives stating that government does not understand these concerns and priorities.

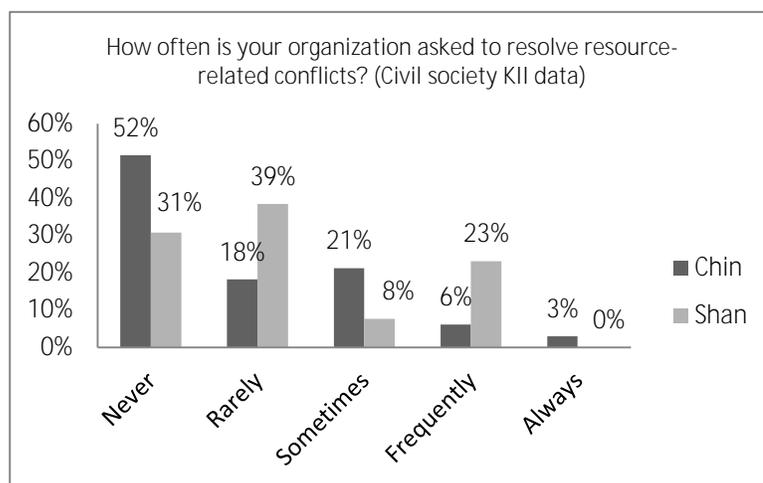


Limited government awareness of community concerns may be explained in part by infrequent government visits to the community, particularly in Shan State where 70% of focus groups indicated that government representatives never or rarely visit their community.

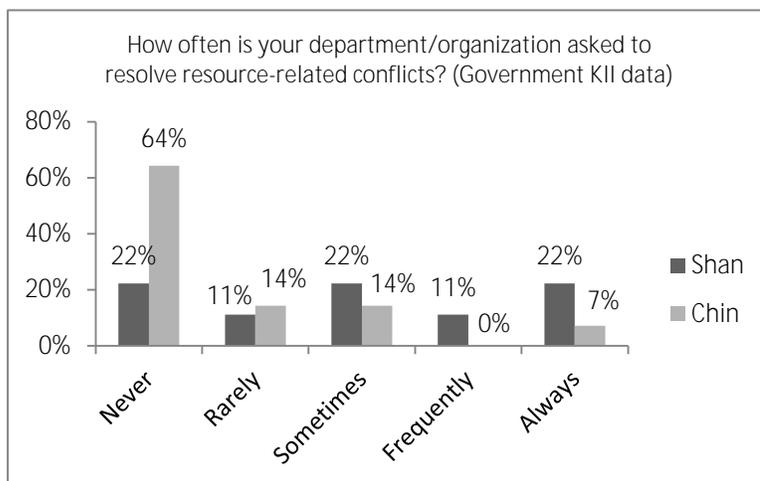


### G. DISPUTE RESOLUTION PRACTICES

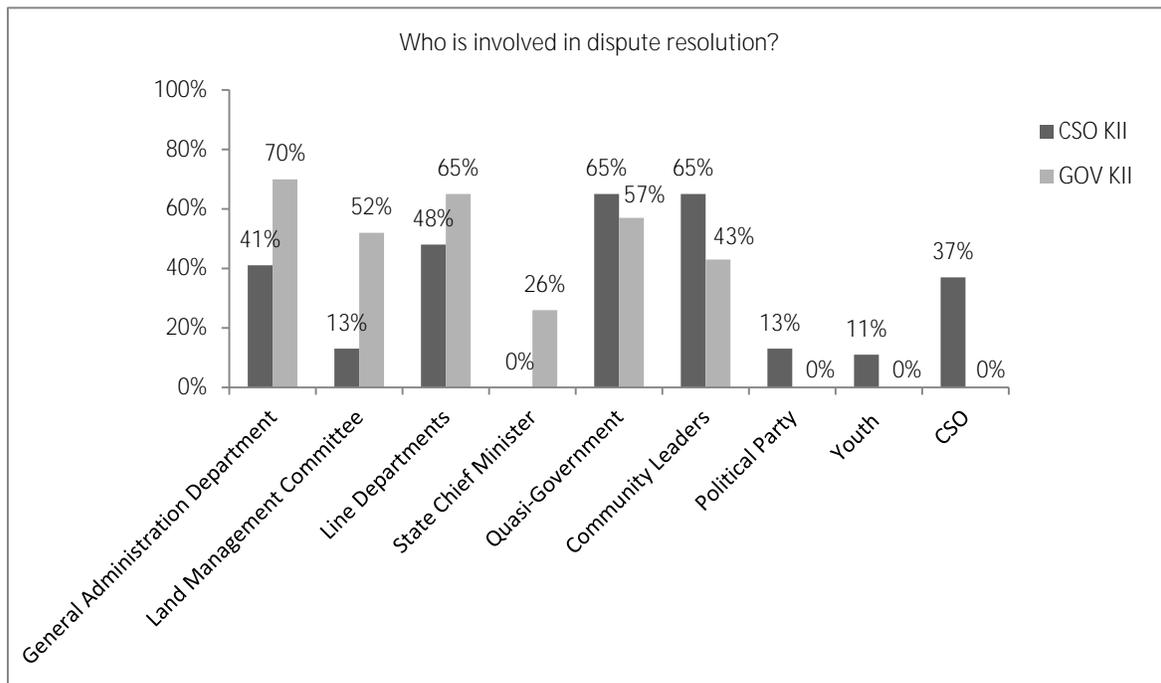
As found in the scoping assessments conducted in August 2014 (Chin State) and September 2014 (Shan State), local actors are being asked to resolve natural resource disputes, whether or not they are a part of the formal justice system. While a small majority of local government and civil society leaders interviewed for the KIIs are being asked to resolve resource-related disputes, 87% of participants selected to participate in the negotiation training program report involvement in dispute resolution efforts.



A slight majority of civil society representatives report that their CSOs are being asked to resolve resource-related conflicts, with 11% stating that they are asked frequently, 17% sometimes, 24% rarely, and 46% never. CSOs in Shan State play a greater role in resource-related dispute resolution than those in Chin State. In Shan State, 23% of CSOs are frequently asked to resolve such conflicts, 8% are sometimes asked, 39% are rarely asked, and 31% are never asked. In Chin State, 6% of CSOs are frequently asked to resolve resource-related conflicts, 21% are sometimes asked, 18% are rarely asked, and 52% are never asked.

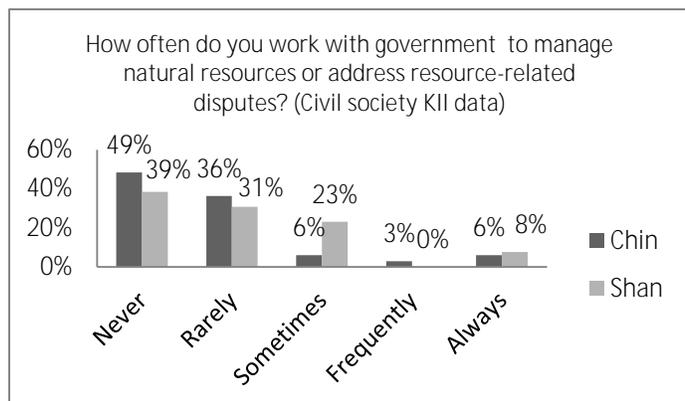


Requests for government involvement in resource-related dispute resolution are similar, with government representatives in Shan State reporting a higher frequency of requests. A small majority of government representatives report that their department is being asked to resolve resource-related conflicts, with 13% reporting that they are asked always, 4% frequently, 17% sometimes, 13% rarely, and 48% never. While 64% of government representatives in Chin State report that their departments are never asked to resolve resource-related disputes, only 22% of Shan State government representatives report that they are never asked, with another 22% reporting that they are always asked. The departments that report being asked to resolve resource-related disputes most frequently include the General Administration Department and the Agriculture & Irrigation Department/Settlement & Land Records Department.

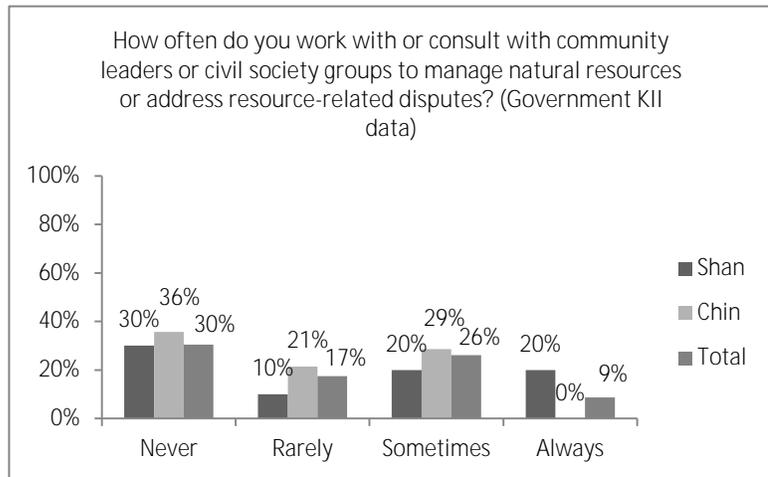


When asked who is involved in resource-related dispute resolution, government and civil society gave a varied range of responses. Government representatives tended to highlight the role of government actors, including the Gender Administration Department (70%), the Line Departments (65%), quasi-governmental representatives such as village and village tract administrators (57%), and the Land Management Committees (52%). Civil society representatives also highlighted the role of quasi-governmental representatives (65%), as well as community leaders (65%).

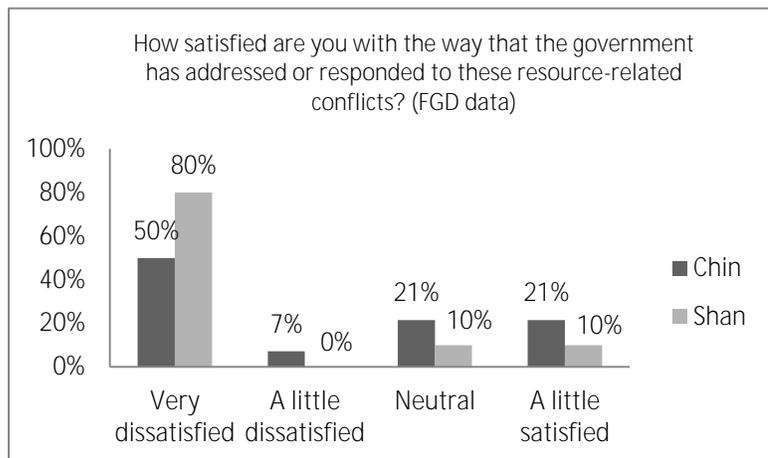
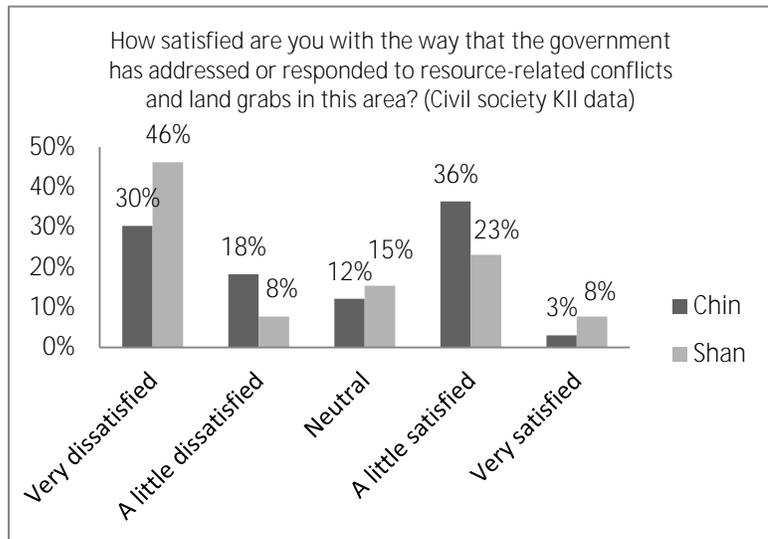
Collaboration between civil society and government in managing natural resources and addressing resource-related disputes is minimal. Most civil society representatives report never (46%) or rarely (35%) working with government to manage natural resources or address



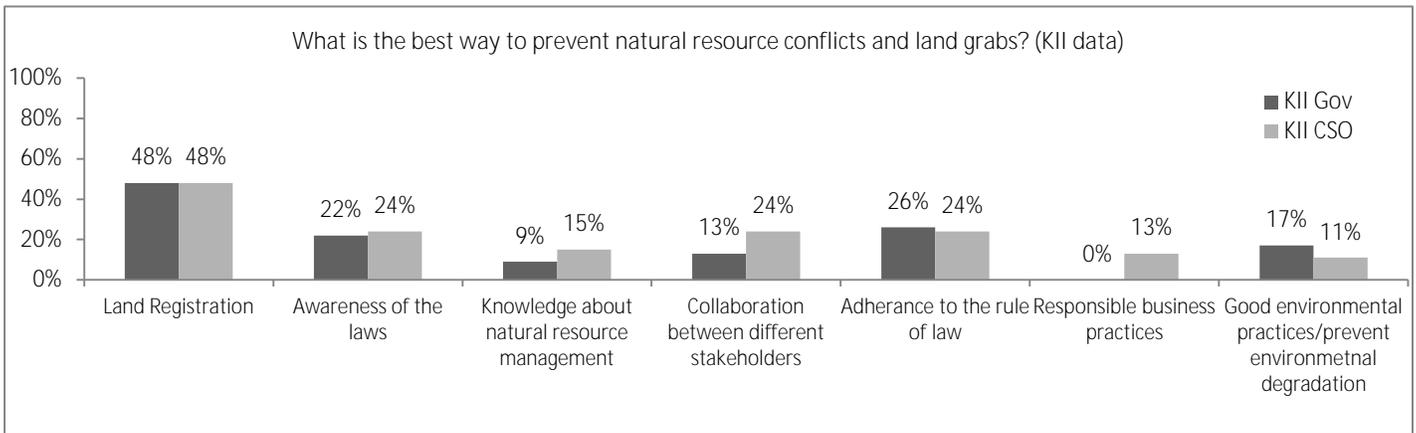
resource-related disputes, while most government representatives report never (30%), rarely (17%), or sometimes (26%) working with or consulting civil society on these issues. This suggests that the collaboration that does occur does so on an ad hoc, informal basis rather than through formal mechanisms. The General Administration Department reports the most collaboration with civil society. Civil society-government cooperation around natural resource management and dispute resolution appears to be slightly higher in Shan State. Collaboration between government departments is more common, with a majority of government representatives reporting that they always (35%), frequently (22%) or sometimes (22%) work with other departments to manage resources or address resource-related disputes.



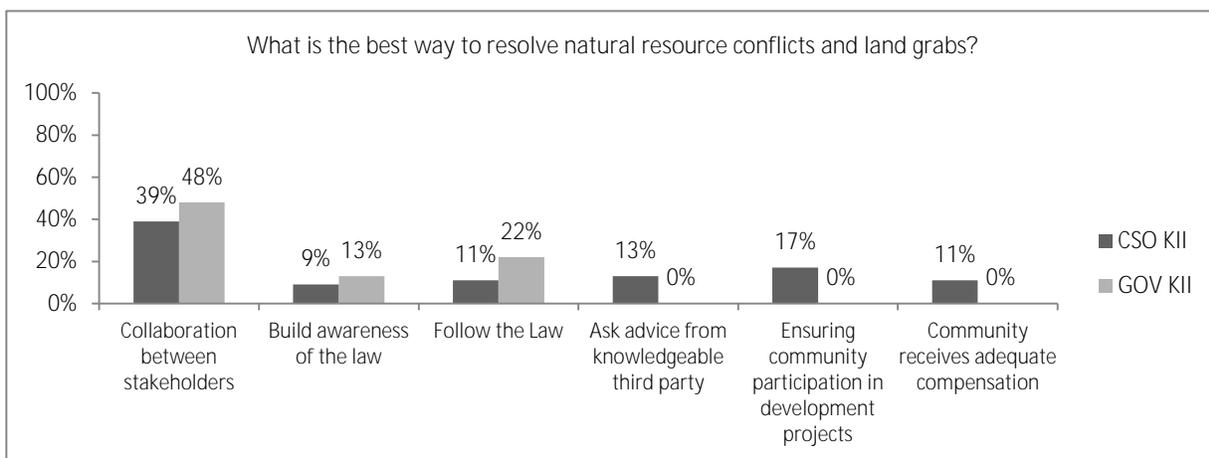
Community satisfaction with the way that government has addressed resource-related conflict is low, with 80% of focus groups in Shan State and 50% of focus groups in Chin State reporting that they are very dissatisfied. Satisfaction is a bit higher among civil society representatives, who report varying degrees of satisfaction with the way that government has addressed or responded to natural resource conflict in their area. Fifty percent of civil society representatives report that they are very dissatisfied (35%) or a little dissatisfied (15%), while a small minority report that they are very satisfied (4%) or a little satisfied (33%). Reasons for dissatisfaction cited by civil society representatives included lack of transparency, government bias, a failure to provide space for community participation and address community concerns, as well as top-down nature of the **government's structure**.



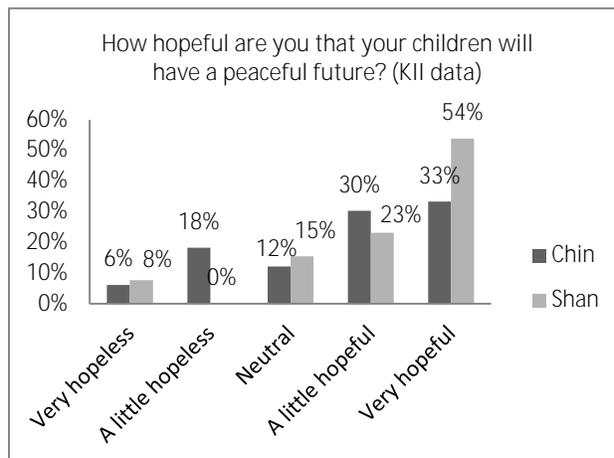
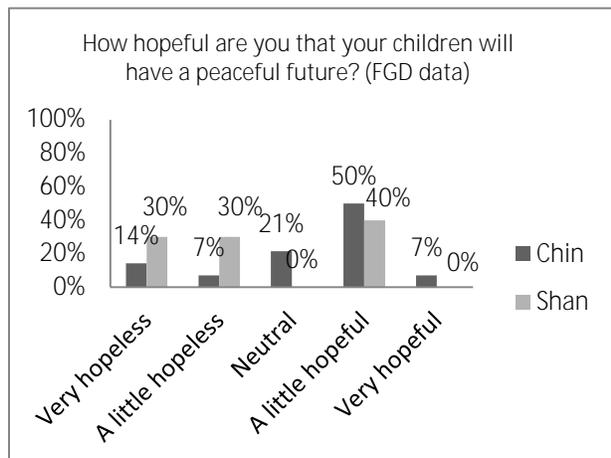
Land registration was the most frequently recommended means of preventing land conflict, cited by 48% of both government and civil society representatives. Other suggestions included ensuring adherence to land laws, building awareness of the law, collaboration between different stakeholders, prevention of environmental degradation, and spreading knowledge about natural resource management. Civil society representatives also mentioned responsible business practices as a way of preventing natural resource conflicts, though this was not cited by any government representatives.



The importance of collaboration between stakeholders to resolving natural resource conflict was emphasized by both government and civil society representatives, with 48% of civil society representatives and 39% of government representatives mentioning this when asked about the best way to resolve natural resource conflict. Government representatives also highlighted following the law (22%) and building awareness of the law (13%), while civil society representatives also cited the importance of ensuring community participation in development projects (17%), seeking advice from a third party (13%), ensuring that communities receive adequate compensation (11%), following the law (11%), and building awareness of the law (9%).



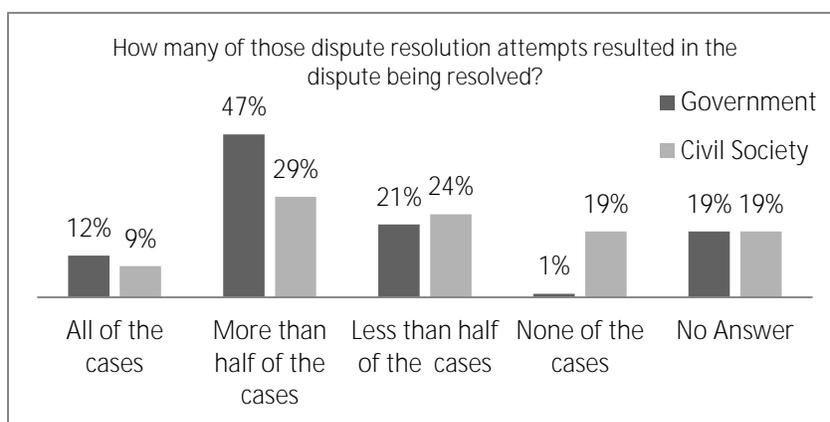
Most civil society representatives report a high degree of optimism, with 39% reporting that they are very hopeful and 28% that they are a little hopeful that their children will have a peaceful future. Among negotiation training program participants, hope is high with 46% reporting that they



are very hopeful and 38% reporting that they are a little hopeful. In contrast, community leaders are less optimistic, notably in Shan State. While 1 of 24 focus groups (in Chin State) reported feeling very hopeful and 46% (50% in Chin State, 40% in Shan State) reported feeling a little hopeful, 21% (14% in Chin State, 30% in Shan State) reported feeling very hopeless and 17% (7% in Chin State, 30% in Shan State) reported feeling a little hopeless.

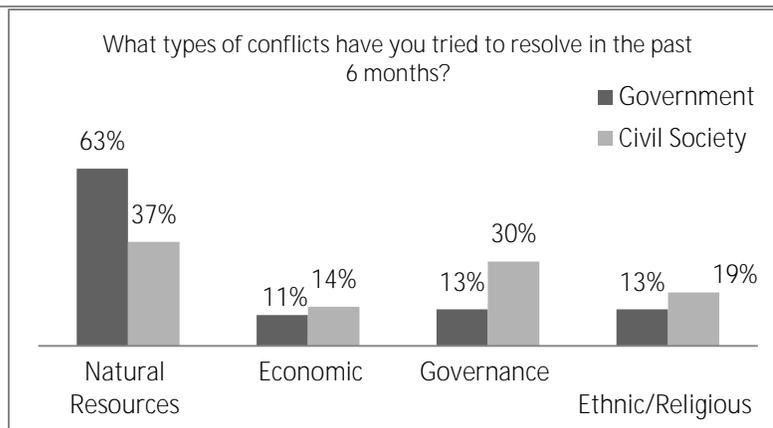
#### H. DISPUTE RESOLUTION EXPERIENCE OF NEGOTIATION TRAINING PARTICIPANTS

Most negotiation training participants are involved in dispute resolution. Among 112 participants in the negotiation training program, 87% have attempted to resolve tensions or conflicts in the area where they work and live. In the previous 6 months, 29% have been involved in dispute resolution attempts 3 or more times, 24% 2 times, and 17% 1 time. Of these attempts, 11% report that all of the cases were resolved, 40% report that more than half the cases were resolved, 22% report that less than half of the cases were

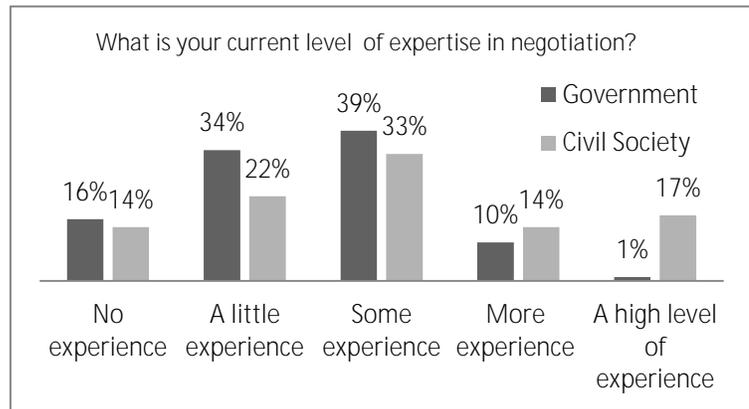


resolved, and 8% that none of the cases were resolved. When asked how effective the dispute resolution process was, 6% reported that the process was highly effective, 55% somewhat effective, and 20% a little effective.

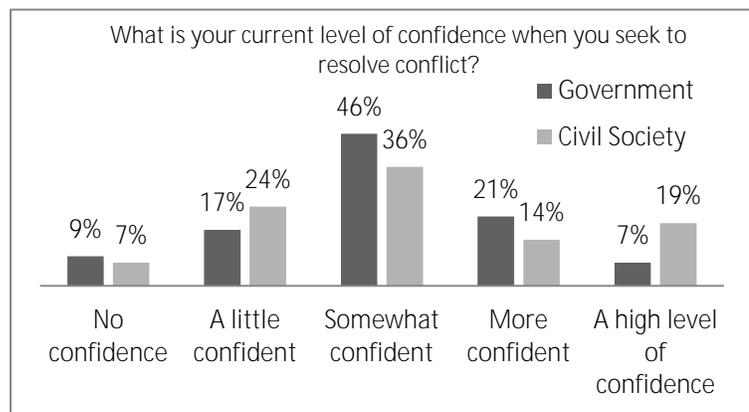
Half of the disputes dealt with by negotiation training participants concern natural resources. Of the disputes participants were involved



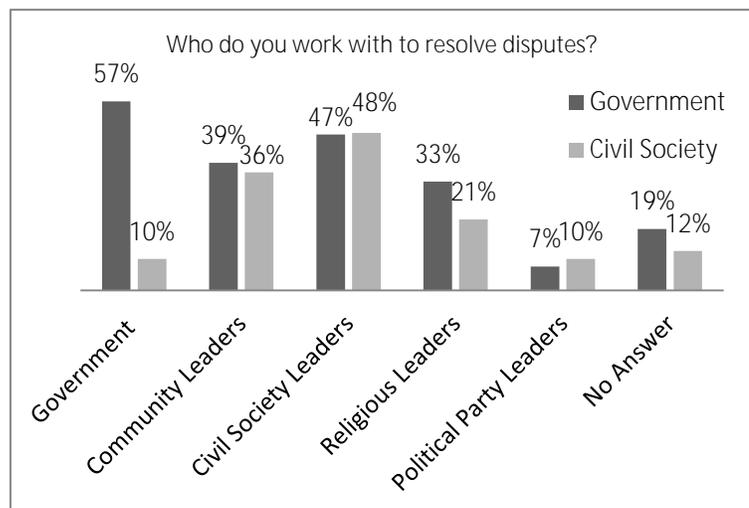
in addressing over the previous 6 months, 50% concerned natural resources, 21% governance issues, 16% ethnic or religious issues, and 13% economic issues. Government actors report greater involvement in addressing natural resource conflicts (63%) than do civil society actors (37%), while civil society actors report greater involvement in addressing the other types of conflict.



Participants from both government and civil society sectors report moderate levels of expertise and confidence in negotiation and dispute resolution. Most participants have had dispute resolution experience, with 7% reporting a high level of experience, 12% more experience, 37% some experience, 29% a little experience, and 15% no experience. Across both groups, 42% report feeling somewhat confident when resolving disputes, while 20% report feeling a little confident, 19% more confident, 11% a high level of confidence, and 8% no confidence.



Most participants report working with other actors to resolve disputes, highlighting the critical role of collaboration. Across both groups, 27% report working with other actors in all cases, 36% in more than half of the cases, and 16% in less than half of cases, with similar response rates among both government and civil society participants. Civil society participants are most likely to work with other civil society leaders (48%) and community leaders (36%) while only 10% report working with government. In contrast, government representatives most commonly report working with other government actors (57%) as well as with civil society leaders (47%), community leaders (39%), and religious leaders (33%).



#### IV. CONCLUSIONS

Tensions over natural resources are high across both northern Chin and southern Shan States. Community and civil society leaders report a high level of natural resource conflict, vulnerability to loss of access to resources, and fears related to resource use and development. The most significant tensions are between community and government and tend to be linked to government-sponsored and private sector development investments. Community and civil society concerns revolve around the potential negative economic impact of these initiatives, notably the loss of livelihoods and resources upon which local communities depend, as well as the non-inclusive, non-transparent manner in which resource extraction and development decisions are made. Where there are development projects ongoing or planned, communities do not believe that they will benefit from them. These findings are indicative of persistent mistrust of government among both civil society **and community leaders and suggest that real change that positively impacts community members' daily lives needs to be felt in order to instill confidence in both the government and the reform process.**

Local government appears to be largely unaware of or unwilling to acknowledge community and civil society concerns related to natural resource use and development. For example, only 48% of government representatives report natural resource tensions in the areas where they work, and government representatives perceive community members as less vulnerable to resource loss than do community and civil society leaders. Government representatives also appear to be less cognizant of the potential risks posed by development initiatives, with just over half indicating that there is no risk that development projects will cause tensions and with only 4% acknowledging the role of the private sector in natural resource conflicts in their areas.

Engagement – communication, collaboration, and cooperation – between communities and civil society on the one hand and government on the other is low. While the variation in responses given by government and by civil society and community representatives may be indicative of the sensitivity of the topic, it may simply be due to poor information flows between these groups. The findings also indicate that collaboration between civil society and government in managing natural resources and addressing resource-related disputes is minimal. Given the importance of multi-stakeholder bodies in sustainably resolving conflict, improving communication and collaboration between government, civil society, and communities is a first step toward strengthening local resiliencies to conflict.

Natural resource tensions are higher in southern Shan State, which is also experiencing a higher degree of development investments. In contrast, community members in Chin State are more concerned with issues of environmental degradation.

Whether they are a part of the formal, legal system or not, a wide range of both formal and informal local actors are resolving natural resource disputes. These actors include township administration and line department officials, civil society activists, community leaders, and political party leaders. In spite of the high degree of civil society and community concern around natural resource use and development – and the gap in government awareness of these concerns – the involvement of local actors in natural resource dispute resolution opens a window of opportunity to both address community grievances and prevent the outbreak of further conflict through proactive engagement.

Findings from the baseline assessment illustrate a wide gap between the perceptions of local government actors, civil society representatives, and community members, undermining the ability

of the government to effectively respond to community concerns and win both trust and legitimacy in the eyes of the people. The findings are also consistent with reports that the pace of the reforms are outstripping the capacity of local government to implement these reforms and turn decentralization into a reality. Encouragingly, the findings also suggest that we can begin to close this gap through practical actions that strengthen communication, collaboration, and cooperation between community, civil society, and local government.

## V. RECOMMENDATIONS

Several recommendations have emerged from this assessment. First, the findings validate the **program's focus on** strengthening local capacity to resolve disputes. Particular focus should be placed on actors at the interface between the government and the community, including the township administration and line departments, civil society leaders, and both formal and informal leaders at the village and village tract level. These actors are well-positioned to identify and raise local concerns as well as to prevent incidents from escalating.

Second, the findings reinforce the importance of promoting constructive engagement between local government and civil society. This includes both building local government capacity to govern in a participatory, consultative, and responsive manner, and building civil society capacity to engage constructively with government.

Finally, and beyond the life of this program, findings from this assessment highlight the importance of addressing community and civil society economic concerns, including through benefit sharing from private sector investment and resource extraction. While relevant in their own right, community and civil society economic grievances are significant for the ongoing peace process as well. Uneven development, economic marginalization, and resource competition have contributed to decades of conflict between ethnic minorities and the government, while control over resources and the benefits generated by resource extraction are emerging as critical issues in the ceasefire negotiations. The economic concerns of communities and civil society are a stark reminder that equitable and inclusive economic development is a key part of addressing the structural drives of conflict in Myanmar and securing sustainable peace.

## VI. ANNEXES

### A. LEADER SURVEY

A. INTERVIEW INFORMATION	
1. Date (DD/MM/YY)	__/__/__
B. DEMOGRAPHIC INFORMATION	
2. Position:  Please check (√) all that apply.	<input type="checkbox"/> Government – State <input type="checkbox"/> Government – Township <input type="checkbox"/> Government – Local (e.g., village tract) <input type="checkbox"/> Business leader <input type="checkbox"/> Civil society representative <input type="checkbox"/> Community leader <input type="checkbox"/> Youth leader <input type="checkbox"/> Ethnic leader <input type="checkbox"/> Political party leader <input type="checkbox"/> Other:
3. Gender:	<input type="checkbox"/> Male <input type="checkbox"/> Female
4. Age (in years):	_____
5. Respondent home location:	State: _____ Township: _____ City/Village: _____
C. CONFLICT MANAGEMENT KNOWLEDGE AND CAPACITY	
6. Please circle your current level of expertise in negotiation, (1 being no expertise and 10 being a high level of expertise.) (I#17)	1   2   3   4   5   6   7   8   9   10
7. Please circle your current level of confidence when you seek to resolve conflict (with 1 being no confidence and 10 being a high level of confidence) (I#13)	1   2   3   4   5   6   7   8   9   10
D. GENERAL CONFLICT CONTEXT	
8. Are there tensions or conflicts in the area where you work and live? (I#1, I#11)	<input type="checkbox"/> Yes <input type="checkbox"/> No
9. If there are tensions/conflicts in the area where you work and live, what are they related to? (I#1, I#11)  Please check (√) all that apply.	<input type="checkbox"/> Natural Resources (e.g. land, water) <input type="checkbox"/> Economic (e.g. jobs, employment) <input type="checkbox"/> Governance (e.g. services, schools, hospitals) <input type="checkbox"/> Ethnic/Religious (e.g. tribal, sectarian, ethnic) <input type="checkbox"/> Other: _____
10. Over the last 6 months, have the number of tensions or conflicts in the area where you work and live ...	<input type="checkbox"/> Decreased significantly <input type="checkbox"/> Decreased <input type="checkbox"/> Stayed the same <input type="checkbox"/> Increased <input type="checkbox"/> Increased significantly

E. CONFLICT MANAGEMENT EXPERIENCE	
11. Have you ever been involved in attempting to resolve tensions/conflicts in the area where you work and live?	<input type="checkbox"/> Yes <input type="checkbox"/> No
12. What types of tensions/conflicts have you tried to resolve in the past 6 months?  Please check (√) all that apply.	<input type="checkbox"/> Natural Resources (e.g. land, water) <input type="checkbox"/> Economic (e.g. jobs, employment) <input type="checkbox"/> Governance (e.g. services, schools, hospitals) <input type="checkbox"/> Ethnic/Religious (e.g. tribal, sectarian, ethnic) <input type="checkbox"/> Other: _____
13. Approximately how many times have you been involved in conflict resolution attempts during the past 6 months?	_____
14. How many of those attempts resulted in the dispute being resolved?	<input type="checkbox"/> All of the cases <input type="checkbox"/> More than half of the cases <input type="checkbox"/> Less than half of the cases <input type="checkbox"/> None of the cases <input type="checkbox"/> N/A
15. When you consider the conflict resolution efforts you have been involved with in the past 6 months, do you feel that the process you used to resolve the dispute was effective?	<input type="checkbox"/> Yes, highly <input type="checkbox"/> Yes, somewhat <input type="checkbox"/> Only a little <input type="checkbox"/> Not at all <input type="checkbox"/> N/A
16. Do you work with other actors to resolve disputes? (I#6)	<input type="checkbox"/> All of the cases <input type="checkbox"/> More than half of the cases <input type="checkbox"/> Less than half of the cases <input type="checkbox"/> None of the cases <input type="checkbox"/> N/A
17. If you work with other actors to resolve disputes, who do you work with? (I#6)  Please check (√) all that apply	<input type="checkbox"/> Government representatives <input type="checkbox"/> Community leaders <input type="checkbox"/> Civil society representatives/activists <input type="checkbox"/> Religious leaders <input type="checkbox"/> Political party leaders <input type="checkbox"/> Other: _____ <input type="checkbox"/> N/A
18. In general, how would you describe the relationship between civil society and the government in your area?	<input type="checkbox"/> Very bad <input type="checkbox"/> Bad <input type="checkbox"/> Neither good nor bad – neutral <input type="checkbox"/> Good <input type="checkbox"/> Very good
19. How hopeful are you that your children will have a peaceful future? (I#28)	<input type="checkbox"/> Very hopeless <input type="checkbox"/> A little hopeless <input type="checkbox"/> Neutral <input type="checkbox"/> A little hopeful <input type="checkbox"/> Very hopeful

B. KEY INFORMANT INTERVIEW GUIDE – GOVERNMENT

Chin State  Shan State

KII #: \_\_\_\_\_

Inclusive Natural Resource Management Program  
Key Informant Interview Guide - GOVERNMENT

INRM Staff Name: \_\_\_\_\_ Date: \_\_\_\_\_

Informant Name: \_\_\_\_\_

Organization: \_\_\_\_\_ Position: \_\_\_\_\_

Location (township, village): \_\_\_\_\_

Type of actor: *Check*

Government – State

Government – Township

Government – Local (e.g., village tract)

Other: \_\_\_\_\_

Level of actor:  State

Township

Local (e.g., village)

Introduction

*Thank the person for meeting with you. Introduce Mercy Corps, the partner, and the INRM program. Explain that you want to learn about how natural resources, especially land, are used and managed in their area, and what kind of tensions there might be related to land and other resources. Explain that all responses will be kept anonymous.*

1. Are there any conflicts or tensions over natural resources in this area? (I#1)  
 Yes  No

2. What disputes or conflicts over natural resources do you see in this area? Who are the actors involved? *Probe for conflicts between individuals, between groups, and between community and government. Probe for conflicts over boundaries, land ownership, access to forest, land grabs, etc. Ask for specific examples, including location.* (I#1)

3. Has there been any land grabbing in this area? (I#1)  
 Yes  No

If yes, who has grabbed the land and why? Comments:

4. How have these disputes or conflicts impacted people? *Probe for violence, loss of land, loss of livelihoods, etc.*

5. How significant is the impact of these resource-related conflicts and land grabs on people living in this area? (I#1)  
 No impact.  
 The impact is a little bit negative.  
 The impact is very negative.

6. How vulnerable or at risk do you think community members in this area are to losing access to land or other resources? (I#11)
  - Not vulnerable at all
  - A little vulnerable
  - Very vulnerable
  
7. **Do you think there's a risk that government plans for economic development in the state could cause tensions between communities and government?** (I#30)
  - No
  - Maybe/sometimes
  - Yes
  - I don't know**
  
8. Are people in this area aware of good natural resource management and environmental conservation practices? (I#22)
  - None
  - A few people
  - About half
  - Most people
  - Everyone
  
9. Who is involved in dispute resolution in the government? In the community? If there is a dispute or conflict over natural resources, who do people go to in order to resolve that dispute? Who do people go to for help if there is a land grab?
  
10. Who are the most influential and respected leaders in the community/government department/CSO? *Probe for 'Official' vs. 'Real' power. Who would you go to if you want to get something done?*
  
11. How often is your department/organization asked to resolve resource-related conflicts (e.g., land grabs, forest encroachment, water disputes)?
  - Never
  - Rarely
  - Sometimes
  - Frequently
  
12. How often do you work with other government departments to manage natural resources or address resource-related disputes? (I#6)
  - Never
  - Rarely
  - Sometimes
  - Frequently
  - Always

13. How often do you work with or consult with community leaders or civil society groups to manage natural resources or address resource-related disputes? (I#6)
- Never
  - Rarely
  - Sometimes
  - Frequently
  - Always
14. Are there any civil society organizations (NGOs, CSOs, or CBOs) working on peace or conflict issues in your area? Are there any civil society organizations (NGOs, CSOs, or CBOs) working on natural resources or the environment in your area? *List any organizations working on peace or conflict issues or on natural resource management, environmental awareness, conservation, etc.*
15. What is your opinion of these organizations? Do you trust these organizations? Why or why not?
16. What is the best way to prevent natural resource conflicts and land grabs?
17. What is the best way to resolve natural resource conflicts and land grabs?

Negotiation nomination & application

18. Who are leaders that you would like to nominate for the negotiation training? Please provide names. Please also indicate if you would like to apply for the training yourself. *Provide application forms.*

C. KEY INFORMANT INTERVIEW GUIDE – CIVIL SOCIETY

Chin State  Shan State

KII #: \_\_\_\_\_

Inclusive Natural Resource Management Program  
Key Informant Interview Guide – CIVIL SOCIETY

INRM Staff Name: \_\_\_\_\_ Date: \_\_\_\_\_

Informant Name: \_\_\_\_\_

Organization: \_\_\_\_\_ Position: \_\_\_\_\_

Location (township, village): \_\_\_\_\_

Type of actor: *Check all that apply*

- Business leader
- Civil society representative
- Community leader
- Youth leader
- Ethnic leader
- Political party leader
- Other: \_\_\_\_\_

Level of actor:  State  Township  Local (e.g., village)

Introduction

*Thank the person for meeting with you. Introduce Mercy Corps, the partner, and the INRM program. Explain that you want to learn about how natural resources, especially land, are used and managed in their area, and what kind of tensions there might be related to land and other resources. Explain that all responses will be kept anonymous.*

1. Are there any conflicts or tensions over natural resources in this area? (I#1)  
 Yes  No
2. What disputes or conflicts over natural resources do you see in this area? Who are the actors involved? Probe for conflicts between individuals, between groups, and between community and government. Probe for conflicts over boundaries, land ownership, access to forest, land grabs, etc. Ask for specific examples, including location. (I#1)
3. Has there been any land grabbing in this area? (I#1)  
 Yes  No

If yes, who has grabbed the land and why? Comments:

4. How have these disputes or conflicts impacted people? Probe for violence, loss of land, loss of livelihoods, etc.

5. How significant is the impact of these resource-related conflicts and land grabs on people living in this area? (I#1)
  - No impact.
  - The impact is a little bit negative.
  - The impact is very negative.
  
6. How many people in this area have registered their land? (I#22)
  - None
  - A few people
  - About half
  - Most people
  - Everyone
  
7. In cases where people have not registered their land, why not? *List the different reasons. Ask the group to identify the most important reasons.* (I#22)
  
8. How vulnerable or at risk do you think community members in this area are to losing access to land or other resources? (I#11)
  - Not vulnerable at all
  - A little vulnerable
  - Very vulnerable
  
9. Are people in this area aware of good natural resource management and environmental conservation practices? (I#22)
  - None
  - A few people
  - About half
  - Most people
  - Everyone
  
10. Who is involved in dispute resolution in the government? In the community? If there is a dispute or conflict over natural resources, who do people go to in order to resolve that dispute? Who do people go to for help if there is a land grab?
  
11. Who are the most influential and respected leaders in the community/government /CSO? ***Probe for 'Official' vs. 'Real' power. Who would you go to if you want to get something done?***
  
12. How satisfied are you with the way that the government has addressed or responded to resource-related conflicts and land grabs in this area? (I#15)
  - Very dissatisfied
  - A little dissatisfied
  - Neither satisfied nor dissatisfied – neutral
  - A little satisfied
  - Very satisfied

Comments:

13. In general, does the government understand civil society concerns and priorities related to natural resources?  
(I#25)

- Yes             No

Comments:

14. How often is your organization asked to resolve resource-related conflicts (e.g., land grabs, forest encroachment, water disputes)?

- Never  
 Rarely  
 Sometimes  
 Frequently

15. How often do you work with government to manage natural resources or address resource-related disputes?  
(I#6)

- Never  
 Rarely  
 Sometimes  
 Frequently  
 Always

16. How much control or influence do you feel that you have over the way that natural resources in your area are used? (I#26)

- No control or influence  
 A little control or influence  
 A lot of control or influence  
 Complete control or influence

17. Do you think that your community will benefit from development projects (especially private sector or government development projects) ongoing or planned in your area, such as mining or timber extraction?? (I#2)

- Yes             No

Comments:

18. In general, does the government understand civil society priorities and concerns with regard to economic development? (I#25)

- Yes             No

19. **Do you think the government's plans for promoting economic development will benefit you and your community?** (I#2)

- Yes             No

20. How much influence do you feel that you have over the development projects in your area? (I#32)

- No control or influence  
 A little control or influence  
 A lot of control or influence  
 Complete control or influence

21. In general, how would you describe the relationship between civil society and the government in your area?
- Very bad
  - Bad
  - Neither good nor bad – neutral
  - Good
  - Very good
22. How hopeful are you that your children will have a peaceful future? (I#28)
- Very hopeless
  - A little hopeless
  - Neutral
  - A little hopeful
  - Very hopeful
23. Are there any civil society organizations (NGOs, CSOs, or CBOs) working on peace or conflict issues in your area? Are there any civil society organizations (NGOs, CSOs, or CBOs) working on natural resources or the environment in your area? *List any organizations working on peace or conflict issues or on natural resource management, environmental awareness, conservation, etc.*
24. What is your opinion of these organizations? Do you trust these organizations? Why or why not?
25. What is the best way to prevent natural resource conflicts and land grabs?
26. What is the best way to resolve natural resource conflicts and land grabs?

#### Negotiation nomination & application

27. Who are leaders that you would like to nominate for the negotiation training? Please provide names. Please also indicate if you would like to apply for the training yourself. *Provide application forms.*

D. FOCUS GROUP DISCUSSION GUIDE

Chin State  Shan State

FGD #: \_\_\_\_\_

Inclusive Natural Resource Management Program  
Community Profiling Focus Group Discussion Guide

*This FGD guide is meant to be used in hotspot communities/clusters in order to collect basic information about resource-based conflict and baseline data.*

Date:			
INRM Staff Name:			
Location:			
Township			
Cluster			
Village(s)			
Total # of Participants		Age Range of Participants	
# of Men		# of Women	
Type of Participant			

Introduction

*Thank the participants for coming. Introduce Mercy Corps, the partner, and the INRM program. Explain that you want to learn about how natural resources, especially land, are used and managed in their community, and what kind of tensions there might be related to land and other resources.*

Demographic information

1. Who lives in this area (community or cluster)? How would you describe the people who live here? (e.g. ethnicity/tribe, religion, language) Ask the group to estimate the percentage of each category. You may be able to fill this information out on your own from individual conversations.

Livelihoods & natural resources

2. What are the key livelihoods of people in this area? You may be able to fill this information out on your own from individual conversations.
  
3. What natural resources do most people in this area rely on for their livelihoods? (e.g., land, forest, water) List the key resources and how they are used. Ask the group to identify the most important resources for people living in the area.

4. What are your key priorities, concerns, and fears related to natural resources? *Probe for priorities, concerns, and fears related to management, control, use, and access to resources like land, forest, and water.*
5. In general, does the government understand your concerns and priorities related to natural resources? (I#25)
- Yes
  - No

Comments:

6. In general, how satisfied are you with the way that the government is addressing your concerns and priorities related to natural resources? (I#15)
- Very dissatisfied
  - A little dissatisfied
  - Neither satisfied nor dissatisfied – neutral
  - A little satisfied
  - Very satisfied

Comments:

7. In general, do people in your area face any challenges in accessing or using natural resources? *Probe for different types of resources – land, forest, water.* (I#2)
- None
  - A few people
  - About half
  - Most people
  - Everyone
8. If yes, what challenges do they face? *List the key challenges.*

9. Who decides how natural resources like land and forest in your area are used? What people or structures are responsible for managing natural resources in your area? (e.g., land management committee, community forest user group) *List the individuals or structures and the type of resource that they manage. Probe for “official” versus “real” authority. Do people seem to know who is responsible for this?*

10. In general, are you satisfied with the way that these groups manage resources in your area? (I#15)
- Very dissatisfied
  - A little dissatisfied
  - Neither satisfied nor dissatisfied – neutral
  - A little satisfied
  - Very satisfied

Comments:

11. How much control or influence do you feel that you have over the way that natural resources in your area are used? (I#26)
- No control or influence
  - A little control or influence
  - A lot of control or influence
  - Complete control or influence
12. Are people in this area aware of good natural resource management and environmental conservation practices? (I#22)
- None
  - A few people
  - About half
  - Most people
  - Everyone

#### Conflict & conflict resolution

13. Who is responsible for resolving disputes in your area? When there is a conflict, who usually steps in to mediate? Are they usually successful? Who is successful?
14. If there is a dispute or conflict over natural resources (e.g., land, forest, water), who do people go to in order to resolve that dispute? Who do you go to for help if there is a land grab?
15. What disputes or conflicts over natural resources do you see in this area? *Probe for conflicts between individuals, between groups, and between community and government. Probe for conflicts over boundaries, land ownership, access to forest, land grabs, etc. Ask for specific examples, including location. (I#1)*
16. Has there been any land grabbing in this area? (I#1)
- Yes
  - No
- If yes, who has grabbed the land and why? Comments:
17. How have these disputes or conflicts impacted people? *Probe for violence, loss of land, loss of livelihoods, etc.*
18. How significant is the impact of these resource-related conflicts and land grabs on people living in this area? (I#1)
- No impact.
  - The impact is a little bit negative.
  - The impact is very negative.

19. How satisfied are you with the way that the government has addressed or responded to these resource-related conflicts? (I#15)
- Very dissatisfied
  - A little dissatisfied
  - Neither satisfied nor dissatisfied – neutral
  - A little satisfied
  - Very satisfied
20. How many people in this area have registered their land? (I#22)
- None
  - A few people
  - About half
  - Most people
  - Everyone
21. In cases where people have not registered their land, why not? *List the different reasons. Ask the group to identify the most important reasons.* (I#22)
22. How vulnerable or at risk do you think you are to losing your land or other resources? (I#1)
- Not vulnerable at all
  - A little vulnerable
  - Very vulnerable

#### Development

23. Are there any development projects (especially private sector or government development projects) ongoing in your area, such as mining or timber extraction? Have you heard about any plans for development projects in your area? (I#1)
- Yes                       No
24. If yes, do you think that your community will benefit from these projects? (I#2)
- Yes                       No

Comments:

25. If yes, do you have any concerns or fears about these projects? *List any concerns or fears.*
26. In general, does the government understand your priorities and concerns with regard to economic development? (I#25)
- Yes                       No
27. **Do you think the government's** plans for promoting economic development will benefit you and your community? (I#2)
- Yes                       No

28. How much influence do you feel that you have over the development projects in your area? (I#32)

- No control or influence
- A little control or influence
- A lot of control or influence
- Complete control or influence

29. How often does someone from the government visit your community?

- Never
- Rarely
- Sometimes
- Frequently
- Always

30. In general, how would you describe the relationship between your community and the government?

- Very bad
- Bad
- Neither good nor bad – neutral
- Good
- Very good

31. How hopeful are you that your children will have a peaceful future? (I#28)

- Very hopeless
- A little hopeless
- Neutral
- A little hopeful
- Very hopeful

32. Are there any civil society organizations (NGOs, CSOs, or CBOs) working on peace or conflict issues in your area? Are there any civil society organizations (NGOs, CSOs, or CBOs) working on natural resources or the environment in your area? *List any organizations working on peace or conflict issues or on natural resource management, environmental awareness, conservation, etc.*

33. What is your opinion of these organizations? Do you trust these organizations? Why or why not?

#### Negotiation Training Nomination

34. Who are leaders in your community that you trust and would like to nominate for the negotiation training? Please provide names. Please also indicate if you would like to apply for the training yourself. *Provide application forms to the participants.*

Other comments & observations

## E. QUALITATIVE ANALYSIS METHODOLOGY

### Qualitative Data Analysis Process for the INRM Program

This document provides a description of the process for qualitative analysis used during the **baseline of Mercy Corps Myanmar's USAID/CMM-funded Inclusive Natural Resource Management (INRM) program**. A Monitoring, Evaluation, and Learning (MEL) Intern with a background in qualitative analysis carried out the process while also working with the Yangon-based MEL team to build capacity for similar analysis in the future. The Conflict Management Program Director supervised each step of the process. A question-by-question analysis was completed to provide targeted information in relation to specific questions, rather a general analysis of the data to identify emerging themes.

Data were gathered via Focus Group Discussions (FGDs) and Key Informant Interviews (KIIs). FGDs included a variety of participants from communities, civil society organizations (CSOs), and government. KIIs were conducted with both CSO and government representatives. Prior to analysis, the program team entered all responses into an Excel database.

#### Step 1: Choosing Relevant Questions for Analysis

The Program Director identified questions of primary importance and relevance to the program. Those questions identified by the Program Director were specifically focused on for the qualitative analysis. The analysis included almost all questions originally asked of FGDs and KIIs.

#### Step 2: Deciding on a Format for Analysis

The INRM qualitative analysis was split into two data sets, one for FGD data and one for KII data. Each data set included an Excel document with the first sheet consisting of the original data and subsequent sheets for specific questions and their analysis.

#### Step 3: Identifying Problems with the Data

A review of question responses was conducted in order to identify any existing problems with the data. For responses that were insufficiently clear or were confusing, the field teams were contacted for further explanation.

#### Step 4: Identifying Emerging Themes

For each question, data were read through thoroughly several times. **Next to the text, an "Emerging Themes" column was created where trends in data were recorded. These trends were identified** without a software program, by reading through the data and noting common ideas articulated by respondents. Ultimately, this column included ideas or concepts emerging from the text that indicated how responses might be broadly grouped in order draw out conclusions later.

#### Step 5: Coding the Data

The team used an inductive method of coding, reviewing the data thoroughly to identify emerging themes and create categories. The data were read through multiple times and emerging themes were noted in a column next to the text (as described in Step 4). The person doing the analysis then

reviewed these emerging themes and created larger categories representing general themes or sentiments present in the data. For each question, categories (ideally 4 to 5) were developed. The categories were meant to encompass all or most of the responses for a given question. For example, for the question “What are your key priorities, concerns, and fears related to natural resources?” the categories developed included “loss of access to resources,” “scarcity of resources,” “environmental degradation,” “climate change,” etc. When possible, identical categories were used for FGD and KII responses to the same question to facilitate comparative analysis later. The Program Director reviewed all categories in order to double-check that they accurately reflected the main themes in the data and made sense given realities on the ground.

Additional columns for each category were created to the right of the “emerging themes” column. For each response, it was indicated whether or not the response fell into a specific category. If the response fell into that category, “yes” was written and, if not, “no.” When a response did not fall into any of the categories, “no” was written in each column as an indication that such a response was an anomaly and did not fit within any of the categories created. See the example below for clarification.

State	What are your key priorities, concerns, and fears related to natural resources?	Q1						
		Emerging Themes	Loss of Access Resources	Scarcity of Resources	Environmental Degradation	Deforestation (Sub Category for Environmental Degradation)	Climate Change	Land Tenure
China	<p>*They have self management on community forest about the production and maintaining sites . If they have no evidence to ownership yet now, so they can lose these areas coming up from outsiders to do something. <b>Fear of land grabbing</b></p> <p>* They depend the shifting cultivation and can able to do this time. But when the population raise up, they have difficult land areas. Currently they have a lot of problem to provide the cultivated land to new separate house. <b>Insufficient land area</b></p> <p>*Deforestation will able after 10 yrs so they will difficult in forest product and bad in environment. <b>Deforestation</b></p> <p>*Reduction of the fertility on their lands, so lower yield and income.</p> <p>*They have a lot of problems about the boundary trespass within the mythan breeder and farmers, so we need develop the pasture development for mythan breeding. <b>Boundary issues</b></p>	Land tenure, negative impacts of rising population - not enough land, deforestation, land fertility (soil quality?), boundary/trespassing issues	Yes	Yes	Yes	Yes	No	Yes
China	<p>Not enough pasture for animal breeding, deforestation and food in security. <b>Insufficient land area, deforestation, food insecurity</b></p>	not enough land, deforestation, food insecurity	No	Yes	Yes	Yes	No	No
China	<p>*Burning of the forest or farm polluted the air and change the climate and if it still continue on going then the village will soon disappear in the future. <b>Deforestation, Climate Change</b></p> <p>*Afraid that in the future some company will buy their land and set up a factory because the orchid that is found in their area can be used for making medicine. <b>Private sector projects</b></p> <p>*Cultivating the opium causes the river to dry. *When collecting the orchid they cut down the tree .</p> <p>* The Government is trying to do forest reserved area starting from Tuikhiang to Karasu which cover about 8400 acres. <b>Forest Reserves</b></p>	Pollution/climate change, private sector encroachment (land grab?), opium production - water resources, deforestation, government implementing forest reserve area	Yes	No	Yes	Yes	Yes	Yes
China	<p>* China Sika industry need 100 acre of land to set up a factory and there is not enough land and the community also did not want to give their land. <b>Insufficient land area, private sector projects</b></p> <p>*Mostly they face drinking water problem in the summer season. <b>Water - what kind of problem? Field team response: water scarcity</b></p>	Private sector buying/ encroaching on community land, water	Yes	Yes	No	No	No	Yes
China	<p>*There was once a conflict between Kaptel and Saangzang village about their territory (Lemrupajard) they fear that in the future there might be a conflict again. <b>Fear of conflict</b></p> <p>*They fear that CNP/Government might build an eco-tourism near the Lemrupa. <b>Private sector projects</b></p> <p>*Because of deforestation they fear that the water resource they take for mini hydro electric supply will be less in the summer season. <b>Deforestation, limited supply of water</b></p> <p>* Mostly they face problem of drinking water in the summer season. <b>Water Field team response: water scarcity</b></p>	boundary problems, government development projects, deforestation, water	No	Yes	Yes	Yes	No	Yes

For each category, a brief definition was developed so that when a passage of text was coded it could be checked against the definition to ensure appropriate coding. Additionally, this facilitated an understanding of the coding system for anyone reviewing the analysis later.

The Program Director reviewed the coding and suggested changes or clarifications for the majority of the questions. Where discrepancies were found in how data should be interpreted, discussions between the Program Director and the person doing the analysis followed to ensure the data were accurately coded.

#### Step 6: Calculating Frequency Tables

Once all of the data were coded, frequency tables were calculated for each question. This was done in an attempt to quantify the qualitative data by measuring the frequency of common types of responses. These tables displayed the percentage of responses from different geographical locations that fell into certain categories. The frequency tables were created directly below the data set and coding in order to facilitate further analysis or the need to reference the original data at a later date. Where appropriate, graphs were also formulated based on frequency table results.

#### Step 7: Analyzing the Data and Drawing Conclusions

This step involved analyzing the frequency tables and graphs from each question, looking at different data points and cross-examining them to see any emergent themes or conclusions. For example, where FGDs and KIIs were asked identical or similar questions, the person analyzing the data compared the responses. In most cases, the data from FGDs and KIIs conducted with CSO leaders were similar while the data from KIIs with government leaders often expressed different opinions. Examples of the types of conclusion statements drawn from the frequency tables and graphs are, **“Community and civil society representatives cited a range of reasons why people have not registered their land, including: limited perceptions of vulnerability....”** And, **“Community concerns about development projects emphasize loss of access to resources, loss of livelihoods, and health problems. The most common response in both states was a fear of the loss of resources (including land, water, and/or forest), cited by 36% of Chin State focus groups and 50% of Shan State focus groups.”**