USAID | NIGERIA

FROM THE AMERICAN PEOPLE

COMMUNITY LAND AND NATURAL RESOURCE USE PLANNING HANDBOOK

November 2006

This publication was produced for review by the United States Agency for International Development. It was prepared by ARD, Inc.

Many people deserve recognition for their support and assistance to the community land and natural resource use planning process and for their contributions to the development of this handbook. First and foremost, the authors thank the communities with whom we have worked to pilot and roll out approaches to this planning process. They have been patient and positive throughout.

We also thank our two local implementing partners, Development In Nigeria (DIN) and Grass Roots Development Organization (GRADO), who have been largely responsible for rolling out activities in communities.

Lastly, we thank the following individuals, all of whom provided input into the review and finalization of the handbook: Allen Turner, Chief Bassey Archibong, Alade Adeleke, Odigha Odigha, Kelly Chapman, James Olabi, and Gary Harrison.

USAID BIOFOR Contract No. LAG-I-00-99-00013-00

ARD Principal Contact: Allen Turner, SPACE Project Chief of Party
Zyck Baggett, SPACE Project Manager

Principal Authors: Sylvanu Abua and Ramzy Kanaan

ARD Home Office Address: ARD, Inc.
159 Bank Street, Suite 300
Burlington, VT 05401
Tel: (802) 658-3890
Fax: (802) 658-4247
www.ardinc.com

COVER PHOTO:
Ramzy Kanaan, *Associate and Natural Resources Specialist*
ARD, Inc.

COMMUNITY LAND AND NATURAL RESOURCE USE PLANNING HANDBOOK

NOVEMBER 2006

CONTENTS

ACRONYMS

CLUP	Community land and natural resource use plan
FMC	Forest management committee
M&E	Monitoring and evaluation
NGO	Nongovernmental organization
NTFP	Non-timber forest product
SPACE	Sustainable Practice in Agriculture for Critical Environment

PREFACE

WHY THIS HANDBOOK?

We have prepared this handbook to help communities improve the way they manage their land and natural resources through better planning. The handbook uses a step-by-step process and introduces tools to develop effective **community land and natural resource use plans** (CLUPs). This process and these tools have grown out of community experience in Cross River State, Nigeria, and build on lessons learned from other parts of the world.

We did not develop this handbook as a *rule book*. Rather, it is a general guide that describes a practical way to prepare a CLUP. It presents tools that someone may use who wishes to help others along the path of planning. No two communities are exactly the same, and as a result, no two CLUP efforts will follow exactly the same path. Certainly, all communities are facing changes and are struggling to adapt to these changes. One community may be keenly aware of its aspirations and have a strong agreement to act straightaway, whereas a neighboring community may take months, or even longer, to come to a more common understanding.

Taking this and the many other different situations faced by communities into account, we prepared the handbook to share knowledge and tools that will make the process easier for both the "helper" and the community. The "helper," or *facilitator*, should begin by sharing and discussing the handbook with key members of the community. This includes village leaders and other knowledgeable sons and daughters of the community. This group of community members should come together to develop a shared understanding of the goal, the process, and the local situation. Then, the facilitator and this group should determine the specific sequencing of steps and activities and the tools that would be most effective in this process.

FOR WHOM IS THE HANDBOOK INTENDED?

We have prepared the handbook to help those persons who want to facilitate the CLUP process for improved management of natural resources. The facilitator can be someone from within the community, a representative of a government agency, or perhaps more likely a representative of a nongovernmental organization (NGO) carrying out activities in the area. The facilitator's role is to help the community, throughout the process, to identify and reflect on the opportunities and issues affecting its land and natural resources and to decide the community's best way forward. To be successful, the facilitator must achieve:

- Broad-based participation
- Mutual understanding
- Shared responsibility.

Only by supporting *all* the members of the community to do their best thinking can the facilitator enable the community to search for and identify solutions on the best way to manage its land and natural resources.

The facilitator should have (or should develop) a healthy relationship with the community. This may be easier, and may require less time, for someone from within the community. A facilitator coming from outside the community should expect to spend a longer period of time learning about the community and getting to know its members. To assist in this process, an outside facilitator should work closely with a counterpart from the community—someone who understands how things are done in the community. This is a key step to effectively mobilizing both the community at large and leadership from within the community for this process.

Qualities of a Good Facilitator

At a minimum, a good facilitator must:

- Understand the importance of local traditions
- Be perceived by the community as an impartial actor
- Have some experience with group facilitation methods and consensus-building processes
- Be flexible in dealing with different personalities and styles of behavior.

1.0 INTRODUCTION

1.1 PURPOSE OF THE HANDBOOK

Communities in Cross River State, Nigeria, and elsewhere in the world have a finite area of land under their ownership and control. From this land and the natural resources it contains, individuals and the community as a whole derive a wide variety of economic benefits, including the following:

- **Income Generation.** By growing and selling crops, such as cocoa; harvesting and selling bush mango or timber; or by "taxing" the extraction of timber, bush mango, and other resources, both individuals and the community as a whole generate income.

- **Livelihood Support.** By growing crops and collecting resources for household consumption—as food/dietary supplements, medicines, building material, and others—individuals are provided with many of the basic inputs needed to support their livelihoods.

Individuals and communities alike also derive important non-economic benefits from their land and natural resources. These non-economic benefits—which are often cultural, religious, or social—can form an integral part of how the community defines itself and can often influence how a community or an individual chooses to use land and/or resources.

The way in which a community chooses to use or to develop its land and natural resources—today and in the future—will impact the ability of these assets to provide both economic and non-economic benefits to the community as a whole and to each member of the community. Community land and natural resource use planning, as discussed in this handbook, is a conscious effort to plan the use and development of a community's land and natural resources in a manner that balances the short- and long-term needs of individuals and the community as a whole, while reconciling land uses with the characteristics of the land and the management practices applied. Consider the hypothetical example in the Box 1.

Box 1: Benefits from Community Forests—Balancing Individual and Collective Benefits, in Both the Short and Long Term

Imagine that a community has a 20-ha patch of "black bush" (primary forest) with mature timber, a high concentration of bush mango, and valuable medicinal plants. In its current state, individuals and groups from the community can use this land for:

- Hunting grass-cutter and other sources of bush meat
- Collecting non-timber forest products (such as bush mango and hot leaf) for household consumption and sale
- Collecting building materials
- Generating revenue for the community (e.g., to fund the construction of a new school or community center) by selling permitted timber.

As defined, this patch of forest can provide economic benefits to the community as a whole and to individual members of the community. If managed well, these resources will continue to produce benefits from year to year. However, if the 20-ha plot is cleared by individual farmers and converted to agricultural land, although the benefit to the individual farmer(s) will increase, the overall community benefits will be lost—not just for the year, but into the future as well.

Community land and natural resource use planning is an effort undertaken by a community to collectively plan the best way to develop its land and natural resources to meet the needs of individuals and the community as a whole, over time.

1.2 WHAT IS A COMMUNITY LAND AND NATURAL RESOURCE USE PLAN?

A **community land and natural resource use plan** (CLUP) can be defined as a document that is developed and used by the community to guide both the collective and individual uses of its land and natural resources, for the benefit of present and future generations. A CLUP is not an end in itself; rather, it is a means to an end: improved land and natural resources management.

1.3 WHAT MAKES A GOOD CLUP? WHAT MAKES A BAD CLUP?

An ideal CLUP should be the result of a process that the community owns. Such a plan should address problems related to land and natural resources that members of the community identify as requiring urgent action or response.

CLUPs share certain characteristics, some of which we outline in Table 1 below.

TABLE 1. CHARACTERISTICS OF GOOD AND BAD CLUPS

Good CLUPS Are:	Weak CLUPS Are:
Developed by the community and for the community: they are community owned	Developed by outsiders, without the necessary buy-in to and ownership over the process by the community
Designed specifically to address the key problems that affect the community's land and natural resources and the causes of these problems	Mistakenly designed to address issues not focused on the community's land and natural resources
Practical and easy to implement: they are appropriately developed to the local context, given the skills, capacities, and resources of the community	Often designed in a manner that requires resources (e.g., technical and financial) well beyond the means of the community
Allocated the time necessary for their development	Developed hastily
Time bound	Open ended
Specific: they draw hard lines (zoning) and include the management guidelines and bylaws needed to clearly define management, including monitoring, regulation, and enforcement	Do not provide either the specificity or the clear guidance needed to effectively monitor, regulate, and enforce the sustainable management of the resource of interest

1.4 OVERVIEW OF THE CLUP PROCESS

The Sustainable Practice in Agriculture for Critical Environment (SPACE) Project has developed an approach to CLUP planning that is designed to help communities to not only develop a land and resource use plan but also to build the overall capacity of communities to manage their land and natural resources more effectively. Looking to the future—that is, to implementation—this approach makes a concerted effort to mobilize a community to build both a shared awareness of the trends affecting their land and natural resources and a commitment to address these trends (and their causes) in order to improve the management of their land and natural resources.

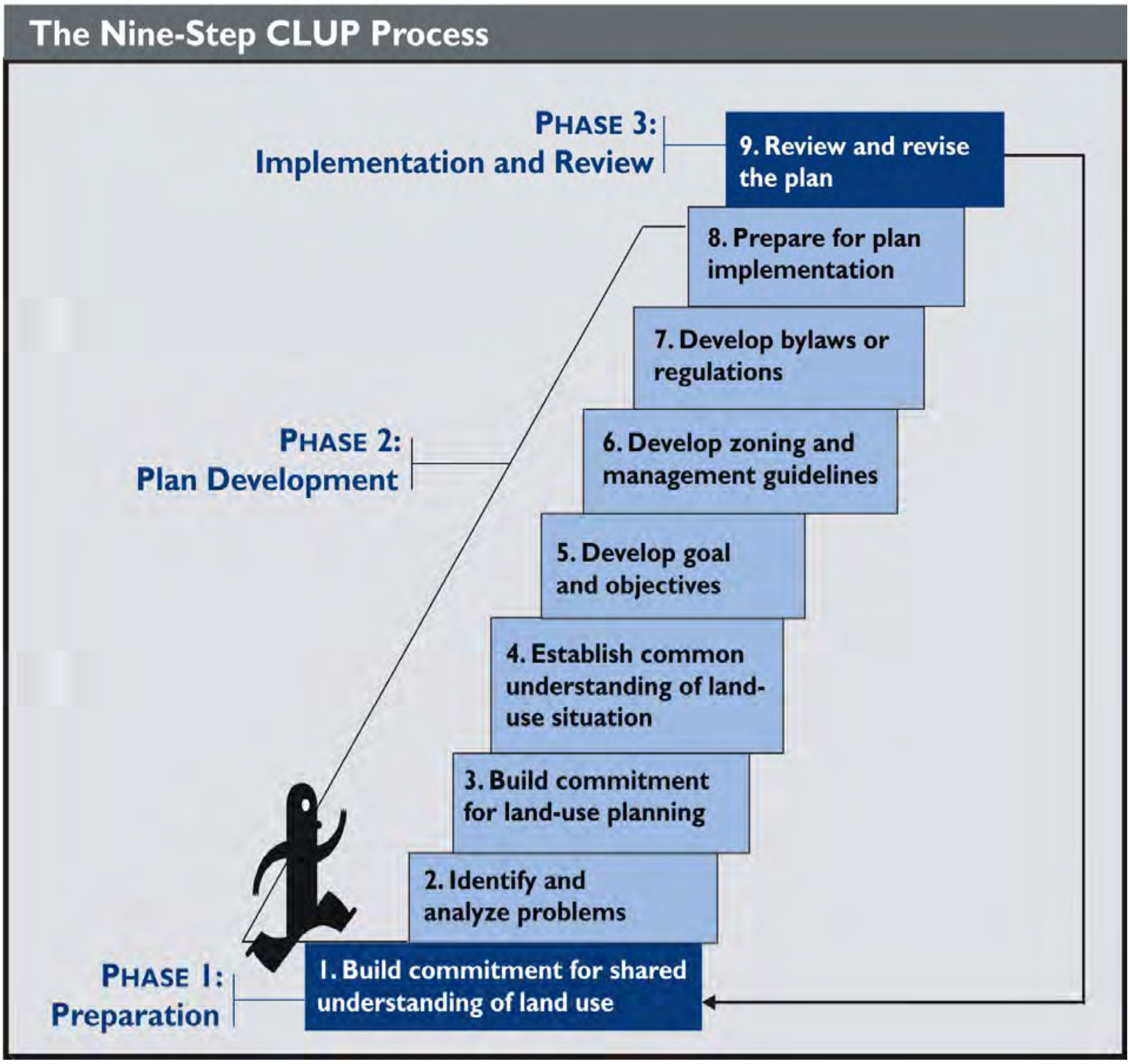
Our approach is "threats-based," meaning it is designed to focus efforts to address the major problems, and their causes, affecting the community's land and natural resources. Our approach consists of three phases:

1. Preparation
2. Plan development
3. Implementation and review.

As shown in Figure 1, each of these three phases is divided into nine steps, which and are described in detail in Sections 2.0, 3.0, and 4.0, respectively, of the handbook.

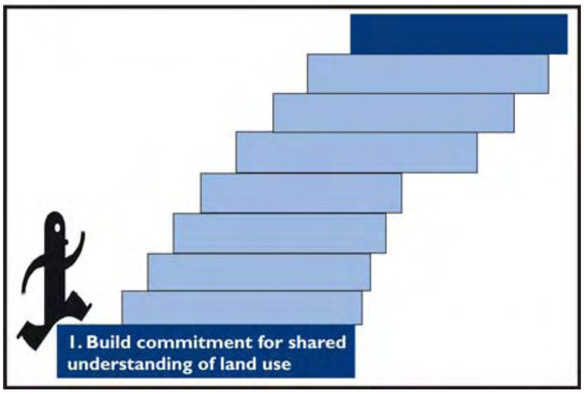
The facilitator and the community should understand that these three phases require not only a commitment to the goal of land-use planning but also an investment of time. For a CLUP to be effective, the perceived benefit of developing and implementing the plan must outweigh the costs associated with these efforts.

Figure 1: The Three-Phase, Nine-Step CLUP Process



2.0 PHASE 1: PREPARATION

2.1 STEP 1: BUILD COMMITMENT FOR SHARED COMMUNITY UNDERSTANDING OF ITS LAND USE



Our experience in community land and natural resource use planning shows that the process can be difficult for many reasons:

First, those who talk about land-use planning often begin with the **community land and natural resource use plan** itself—rather than its **implementation**—as the goal. When this happens, facilitators often neglect to prepare the community for taking responsibility to carry out the plan. Unless community members see themselves as owning the process, it is unlikely that they will see themselves as owning the plan. However, even when community members are heavily engaged in the process, history has shown that the resulting plan can be difficult to implement. This can occur for many reasons:

- Many planning efforts rely too heavily on key individuals and do not seek to engage the community as a whole. This can result in a large segment of the community being unaware of the goal, process, and result of the planning effort.
- Often, even when the community is periodically engaged in the planning process, those facilitating the planning effort fail to effectively communicate the overall process and, specifically, what is involved at each step along the way. Experience has shown that understanding the overall process, and each step along the way, is key to developing plans that reflect the actual vision of the community.
- Planning efforts often fail to engage less powerful people (including women, youth, and the landless). The facilitator must remember that virtually everyone in the community uses land and natural resources, and a failure to engage all segments of the community in the planning process will often compromise the results.
- In many cases the resulting plan may fail to take into account the technical and financial abilities of local people who will implement the plan.

The process described below has been developed to help the facilitator, and the community, develop CLUPs that reflect the vision of the community and can be implemented locally.

2.1.1 Goal

To effectively orient the facilitator and the community to the CLUP process.

2.1.2 Desired result of Step 1

A shared understanding of and commitment to the CLUP process.

2.1.3 Suggested sub-steps

- Sub-step 1: Prepare Yourself
- Sub-step 2: Introduce the Community to Community Land and Natural Resource Use Planning
- Sub-step 3: Analyze the Community's Existing Institutional Arrangements for Community Land and Natural Resource Use
- Sub-step 4: Form the CLUP Team
- Sub-step 5: Train and Orient the CLUP Team
- Sub-step 6: Plan and Schedule the CLUP Process.

Sub-step 1: Prepare Yourself

Purpose

To ensure that the facilitator is ready to begin the CLUP process.

Product

A compilation of information that can guide the facilitator during the CLUP process.

Procedure

In preparing for planning, the facilitator should begin by identifying people who can answer these questions:

- Who are the individuals or groups in the community responsible for controlling access to land and natural resources?
- Who are the individuals or groups in the community with some experience in land-use planning?
- What form of learning or training can be most helpful to people who will monitor how they carry out the CLUP?
- What is the best way to encourage people to be fully involved in land-use planning?

The facilitator can use group meetings and interviews to solicit answers to these questions. It is important for the facilitator to make sure that he/she targets the right mix of people to answer these questions.

Sub-step 2: Introduce the Community to Community Land and Natural Resource Use Planning

Purpose

To introduce the CLUP process in order to help the community determine whether it wants to learn more about and possibly to engage in the process.

Product

A determination by the community as to whether it wants to consider the CLUP process further.

Procedure

Usually, this process will involve the following:

- Arranging a meeting with village leaders at which the facilitator explains to the community what land-use planning is and what it will involve. The facilitator should expect to respond to questions from village leaders that may help clarify the goal, process, and product of the planning effort.
- Determining whether village leaders understand the CLUP process.
- Determining whether village leaders are initially supportive of engaging in the CLUP process in their community.
- If village leaders are supportive, the facilitator should organize a general community meeting to introduce the CLUP process to the community as a whole. If possible, the facilitator should try to schedule the meeting to coincide with a regularly scheduled community meeting.
- Introduce the goal, process, and product to the larger community and identify how the CLUP process may help the community address the problems that are affecting its land and natural resources.

Sub-step 3: Analyze the Community's Existing Institutional Arrangements for Community Land and Natural Resource Use

Purpose

To begin understanding how the community is organized and how this organization may affect land and resource use. As part of this process the facilitator and the community can also begin to identify influence that certain interest groups inside and outside the community may have and how this might affect the planning process.

Product

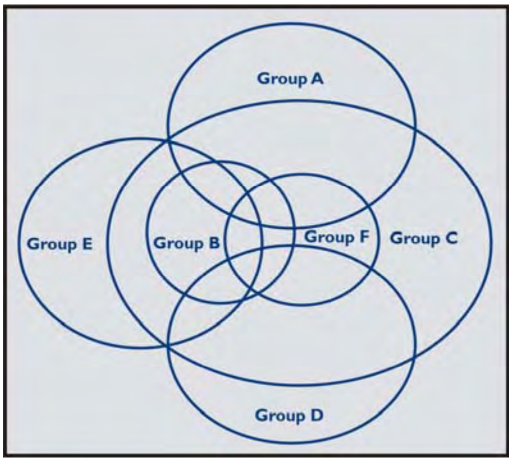
An understanding of the institutional arrangements affecting land and natural resource use, which in most cases will include an institutional diagram (also known as Venn diagram) that shows how important groups within and outside the community interrelate. Annex 1 of the handbook presents useful tools and provides additional information about how to construct this kind of institutional diagram.

Procedure

At this stage, the facilitator should be working with some community volunteers who appear willing to support the planning process. Next, the facilitator and the volunteers should identify interest groups within and outside the community who influence the management of land and natural resources. The facilitator should then guide a discussion among the volunteers on how to get the interest groups to interrelate about decision making.

One way of showing how groups interrelate is to construct an institutional diagram. Usually, such a diagram focuses on power hierarchy: how people may belong to more than one group and how responsibilities may overlap. As a rule, the sizes of the circles show how big community members see the groups. On the other hand, where the circles overlap shows that community members belong to more than one group and/or the groups have similar responsibilities (see Figure 1).

Figure 1. An Institutional Diagram



Sub-step 4: Form the CLUP Team

Purpose

To form a team comprising community members who will facilitate the process of developing the CLUP. We recommend that the CLUP team include interest groups from inside and outside the community. The main responsibility of the team members is to work with the facilitator and the village authorities for two main purposes: (1) they should actively participate in community land and natural resource use planning and (2) they should help draw out other members of the community for their active involvement in the process.

Product

A team of community members whom village leaders have appointed and who have confirmed their commitment to help facilitate the CLUP process. This team should have 8–12 people, and should include men, women, and youth.

Procedure

The village leaders should be responsible for the selection of community members for this team. However, the facilitator should ensure that the village leaders appoint women to the team. This is important, as it will ensure that female members of the community are involved in community mobilization, which will improve women's participation in the process. Experience has shown that it is easier for female mobilizers to approach other women for participation in community development activities.

Sub-step 5: Train and Orient the CLUP Team

Purpose

To acquaint the CLUP team with the process of community land and natural resource use planning and to begin building the skills within the team that will be needed to effectively facilitate the CLUP process.

Product

The team's appreciation of the CLUP process and a firm understanding of individual member's roles in this process.

Procedure

Training and orientation of the community facilitators should cover:

- Review of the entire CLUP process
- Basic skills that encourage people to work well in groups (e.g., focused discussion and action planning methods)
- Basic organization skills (e.g., recordkeeping and debriefing) that are required for participatory community land and natural resource use planning processes.

Sub-step 6: Plan and Schedule the CLUP Process

Purpose

To develop an initial schedule of activities and community meetings as key components of the CLUP process.

Product

An initial schedule of meetings for the next step in the planning process.

Procedure

Experience has shown that the full CLUP process can take six months or more. Therefore, it is ideal to fix incremental dates for subsequent meetings or activities. In scheduling meetings, the facilitator should work with the community leadership and ensure that:

- Some of the meetings that do not require practical work are scheduled, when possible, to coincide with a regularly scheduled community meeting.
- Meeting dates and time suit more people within the community as much as possible.
- In fixing the schedule, the facilitator gives priority to the community.

Watching out for what may go wrong

Members of the community may possibly misunderstand the work that the CLUP team is supposed to do. The community may see the team as a group (or institution) that should replace forest committees or forest management committees (FMCs) that some communities have.

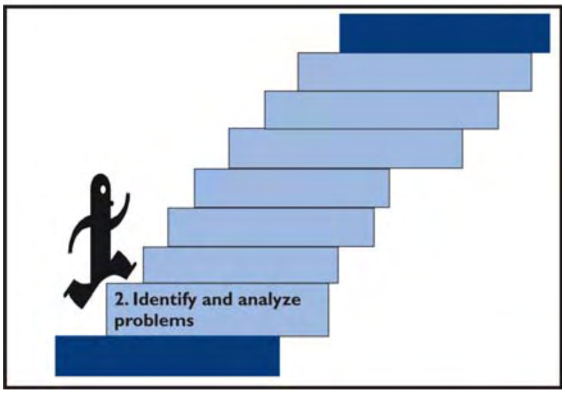
It is necessary to explain right from the beginning that the CLUP team is a working group assigned to participate in the development of the CLUP. However, in a community where there is no local institution responsible for controlling access to land and natural resources, village leaders may wish to empower the CLUP team to do this. In this case, the community can even reorganize the CLUP team for carrying out the plan.

Another problem to watch out for is the way some community members can dominate the discussion. Community members appointed to the CLUP team can sometimes dominate all the discussions and make all the decisions while others merely watch and do not speak up.

There are two main ways to handle this problem, and the facilitator should apply both. The first is to monitor how the community selects the team members. If it selects more of the people who tend to dominate discussions, it is likely that a balanced view of the situation will be difficult. The second way to handle the problem is for the facilitator to try hard to encourage people who hardly speak out to contribute to the discussions. The facilitator should encourage women in particular to express their views boldly during the CLUP planning sessions.

3.0 PHASE 2: PLAN DEVELOPMENT

3.1 STEP 2: IDENTIFY AND ANALYZE PROBLEMS



As noted in the introduction, a good CLUP is developed to address the problems, or threats, that most affect a community's land and natural resources. Identification of the key problems and their cause is a crucial early step in the CLUP process. The problems and their causes identified through this process will then form the CLUP's first building block. The envisioned impact of these problems on the future of the community can also serve as a powerful tool to help mobilize the community and build broad-based support for and commitment to the CLUP planning process (in Step 3).

There are many problems that can affect land and natural resources. Often, these problems reflect a change in the availability or quantity of land or of a specific resource. Problems may also be related to a change in the quality of land or a specific resource (e.g., the size of the Afang leaves being harvested may be smaller than those harvested in the past). While any number of factors may influence a specific problem, the causal factor(s), more often than not, tend to be related to land/resource management practices. In Step 2 the facilitator works with the community to identify the problems, and their causes, that are most affecting a community's land and natural resources. Step 2 is all about understanding what has changed, how it has changed, and why it has changed.

3.1.1 Goal

To support the community's efforts to identify the problems affecting its land and natural resources, their causes, and the effects these changes are having on the community.

3.1.2 Desired result of Step 2

A common understanding of the major problems and their causes that impact the community's land and natural resources.

3.1.3 Suggested sub-steps

- Sub-step 1: Participatory Assessment of Changes in Land and Natural Resources
- Sub-step 2: Review Findings with the Whole Community to Identify Gaps, Inaccuracies, and Likely Mistakes
- Sub-step 3: Fill Gaps and Address Inaccuracies and Inconsistencies

- Sub-step 4: Community Confirms/Verifies Findings.

Sub-step 1: Participatory Assessment of Changes in Land and Natural Resources

Purpose

To work with the community in order to understand how things have changed over time and how the changes affect land and natural resources. This assessment will enable the facilitator to begin to understand the situation fully. In addition, through this assessment, the community can begin to understand the problems that have been affecting its land and natural resources.

Product

A comprehensive body of information, gathered from the community, that characterizes the community's land and natural resource holdings and their use as well as the trends most affecting these resources.

Procedure

This is an intensive process and requires meetings with and collection of information from the full range of people residing in the community—for example, indigenous community members and the migrant population; men, women, and youth; and all forms of resource users (e.g., hunters, fishermen, traditional healers, etc.). Typically, it is easiest to begin this process by working with the community to:

a) Identify the land units (e.g., community forest, swamp, farmland)

b) Identify the different ways land is used (e.g., agriculture, settlement, resource collection)

c) Identify the most important natural resources that are collected and used (e.g., consumed locally, traded, or sold) from the community's territory

d) Identify any changes to land units, land uses, and key resources that have affected or are affecting the community's livelihoods

e) Identify any changes in the institutional arrangements that have been used to manage land and natural resources over time

f) Collect information and identify any changes to the community's population.

In Annex 1, we briefly describe tools that the CLUP team needs at this stage. Some of these tools include:

- Informal discussions
- Focus group discussions
- Semi-structured interviews
- Structured brainstorming
- Trends analysis
- Problem trees analysis or cause-and-effect analysis.

This sub-step will involve the following three activities:

1. With the CLUP team, develop a plan to collect information that best describes problems and changes related to ownership and use of the community's land and natural resources. A typical plan should include a list of information needs, possible sources of information or key informants, and tools that the team might use to collect the required information.
2. Collect relevant information (see a, b, and c above), using informal discussions/focus group discussion, semi-structured interview, or other appropriate tools, with a wide range of interest groups

within the community (e.g., men's groups, women's groups, youth groups; farmers, timber dealers, hunters, fishermen, traditional healers, etc.).

3. In similar groups, identify changes (or trends) affecting the community's land and natural resources (see d, e, and f above).

Sub-step 2: Review Findings with the Whole Community to Identify Gaps, Inaccuracies, and Likely Mistakes

Purpose

To present the "draft findings" to the community and to solicit its feedback and assistance in identifying inaccuracies and/or inconsistencies in the characterization of their land and natural resource holdings and the trends impacting this land and these resources.

Product

A list of gaps, inaccuracies, and inconsistencies in the draft findings and the identification of people within the community with whom the CLUP can follow up to address these issues.

Procedure

1. The facilitator and the CLUP team should organize a general community meeting. If possible, the team should schedule the meeting to coincide with a community meeting that takes place from time to time.
2. At the meeting, members of the CLUP team should present the draft findings from the assessment exercise to the community. The team can then ask for comments on the findings.
3. By regularly asking the community whether specific findings are correct, the facilitator and the CLUP team may be able to help the community identify any gaps or faults in the draft findings. Each time the facilitator/CLUP team identify a gap or fault, they should ask the community to identify "whom" they should follow up with in order to close the gap or make corrections as necessary.

Sub-step 3: Fill Gaps and Address Inaccuracies and Inconsistencies

Purpose

To address any gaps, inaccuracies, or inconsistencies identified through the community review of the draft findings.

Product

The revised findings, which have addressed the gaps, inaccuracies, and inconsistencies identified by the community in Sub-step 2.

Procedure

Using the response given by the community, the facilitator and CLUP team should meet, as needed, with individuals and groups to clarify and close the gaps as necessary. This will likely involve meeting with individuals and groups, and may involve using some of the same tools used in Sub-step 1.

Sub-step 4: Community Confirms/Verifies Findings

Purpose

To present the revised findings to the community and ask it to confirm/verify the findings.

Product

Consensus on the problems and their causes most affecting the community's land and natural resources.

Procedure

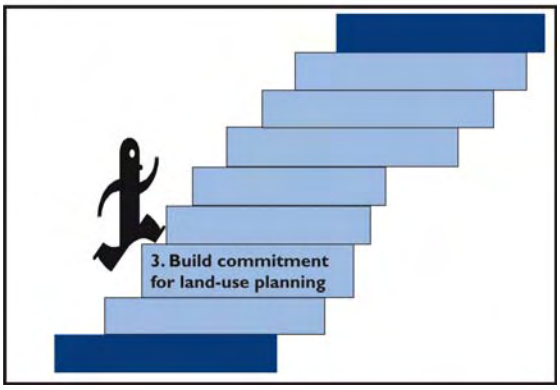
1. The facilitator and the CLUP team should organize a general community meeting. If possible, they should schedule the meeting to coincide with a regularly scheduled community meeting.
2. At the meeting, members of the CLUP team should present to the community the revised findings from the assessment exercise and show the changes in the revised draft. If the community brings up additional problems with the information, the facilitator and the CLUP team should follow the same procedure and make corrections. If no additional problems arise, the facilitator/CLUP team should ask the community to confirm the findings before moving to the next step.

Watching out for what may go wrong

One thing that can go wrong at this stage is that opinions about the situation may differ from group to group. It is very likely that some people will not see anything wrong with the land-use situation. Normally, just a few people will see the urgent need to address problems related to land use. It can be difficult to get a smaller group's viewpoint when another, more vocal group believes differently.

People's opinions are more likely to be changed by those from inside their community than by those from outside. Hearing members of the community—and perhaps even from the individual's own family—discuss their opinions using evidence to show how things have changed will help. Spending more time training local people to help facilitate the process pays off greatly when faced with such a situation.

3.2 STEP 3: BUILD COMMITMENT FOR LAND-USE PLANNING



CLUP planning requires broad-based community participation in, and community ownership of, the process. Men, women, and youth from all walks of community life must be engaged in this process. There are even groups that most often are not considered to be from a community (e.g., those who come to fish, or those who come to buy) that affect or are affected by the community's environment. These groups also need to be engaged, at some level, in the CLUP process. If the community as a whole does not buy in to the concept, process, and goal, the plan will not be successful—that is, it will not be implemented successfully.

In Step 3 the facilitator and the CLUP team should:

- Formally introduce land-use planning to the community and identify some of the likely costs and benefits associated with the CLUP.
- Help the community identify "how" the CLUP process could be used to address the problems and their causes as identified in Step 2.
- Help the community determine whether it wants to pursue CLUP.

3.2.1 Goal

To solicit support for community land-use planning.

3.2.2 Desired result of Step 3

The community agrees (or not) to invest time and other resources in land-use planning.

3.2.3 Suggested sub-steps

- Sub-step 1: Introduce the Community to the CLUP Process and Support the Community in Deciding Whether or Not to Invest in Community Land and Natural Resource Use Planning

Sub-step 1: Introduce the Community to the CLUP Process and Support the Community in Deciding Whether or Not to Invest in Community Land and Natural Resource Use Planning

Purpose

- To formally introduce CLUP to the community, including its associated costs and benefits.
- To help the community determine whether to use land-use planning to address the problems (and their causes) that were identified in Step 2.

Product

- Common understanding by community leaders and the whole community of what land-use planning will involve and how they stand to benefit from the process.
- The community's decision to pursue (or not) land-use planning.

Procedure

The facilitator and the CLUP team should organize a meeting with the village leaders. In this meeting, the facilitator should:

- Review the findings from Step 2 (i.e., the major problems/causes) and discuss how land-use planning may be used to address these problems and their causes.
- Review what land-use planning aims to achieve in general.
- Make sure that the costs and benefits associated with the CLUP process are communicated to village leaders.

The facilitator and the CLUP team should then organize a general community meeting to introduce the whole community to the CLUP. In this meeting, the facilitator and CLUP team should repeat the process above.

The time it takes for a community to determine whether it wants to pursue land-use planning depends on how united and cooperative its members are and how quickly they want to act. Regardless, it is proper to begin this discussion during the general community meeting as indicated above. After this initial meeting, some additional follow-up meetings may be required.

Once the community understands the CLUP process, the facilitator should ask the community to decide whether it would like to "invest" in CLUP. If the community's commitment at this point is not clear, the facilitator and CLUP team can continue (through other meetings) to try to raise awareness and build commitment for CLUP. As noted above, this may take some time. Without a clear commitment from the community, the land-use planning effort should not advance to the next step (Step 4).

Watching out for what may go wrong

A number of things may likely go wrong at this stage:

- The difficulty of promoting support for land-use planning when the pressure—such as annual expansion of farm plots—is internal to the community. It has proven easier in Cross River State to gain support for land-use planning when the pressure/source of the change has come from outside the community (e.g., foreign logging interests).

  Agreement about restricting access to land and other natural resources is required as much as possible. It is important that land-use planning should involve negotiation by members of the community on what changes they would like to promote. As carrying out land-use plans involves internal discipline, the community should get a chance to make informed decisions about what it is willing and not willing to do.

- It is very common to see more people who think of themselves first than they do their immediate and extended family and, lastly, the community as a whole. If this is the case, it might be difficult to get the community to act.

  In many instances, the most pressing component of an effective CLUP will be the need to balance individual and community needs and benefits. In discussing benefits to the community, the facilitator should work with the community to identify short- and long-term benefits (economic and non-economic) that accrue from land held in common and those that accrue from land held in private ownership. Table 2 presents an example of a format to guide the discussion on balancing individual and collective benefits.

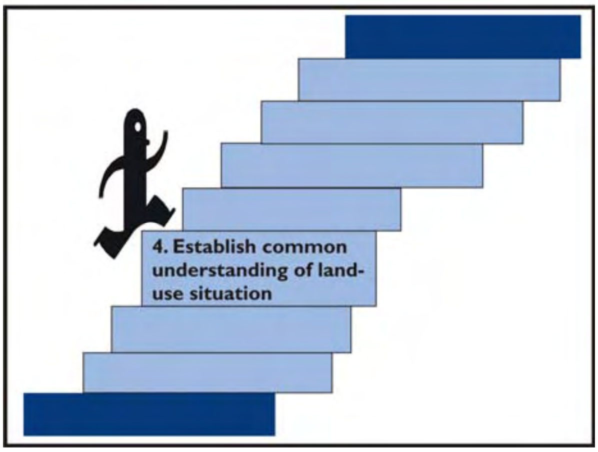
TABLE 2. BALANCING INDIVIDUAL AND COLLECTIVE BENEFITS

Type of Benefit	Illustrative Individual Benefits	Illustrative Collective Benefits
Short term	Harvesting of annual crops from a farm plot	Access fees generated every season
Long term	Security of land ownership once cleared	The cool breeze from the forest, or even the protection of streams from drying up

The result of Table 2 should guide the discussion on benefits to individuals and the community. For a CLUP to be effective, community leaders should encourage people to support long-term collective benefits that individual community members may not otherwise likely consider.

3.3 STEP 4: ESTABLISH COMMON UNDERSTANDING OF THE CURRENT SITUATION OF LAND AND NATURAL RESOURCE HOLDINGS AND THEIR USES

Once a community has achieved consensus on the decision to pursue CLUP planning as a mechanism to help it address the problems identified through Step 2, the next important step will be to map and describe the current land and natural resource holdings, and their use, found within the community territory. In addition to providing the basis for discussions on future land use (proposed zoning and management guidelines, Step 6), this will also provide the community with much of the necessary baseline from which they will be able to monitor changes to their land and natural resources over time.



3.3.1 Goal

To establish a shared understanding of the community's current land and natural resources and how people have been using/managing these resources.

3.3.2 Desired result of Step 4

Both a map and a description of the community's current land and natural resources and their uses.

3.3.3 Suggested sub-steps

- Sub-step 1: Map and Describe the Community's Current Land and Natural Resources and Their Use
- Sub-step 2: Review the Map and Description with Larger Community to Identify Gaps, Inconsistencies, and Possible Mistakes
- Sub-step 3: Revise Map and/or the Description, if Necessary
- Sub-step 4: Community Confirms/Verifies Findings.

Sub-step 1: Map and Describe the Community's Current Land and Natural Resources and Their Use

Purpose

To describe, pictorially and in text, the land and natural resources that the community owns, and their uses. The map should document "where" land and natural resources are located, and the text should indicate how the land and natural resources are used (including a description of problems associated with current use practices).

Products

1. A draft map of the land and natural resources that the community currently owns
2. A draft overlay map showing current community land and natural resource use (e.g., "where" and "what")
3. A draft description of the community's land and natural resources and their use.

Procedure

There is a range of tools covered in the handbook that might be useful during the discussion on land and natural resources use (see (Annex 1). The major tools that are relevant at this stage as described in the annex are:

- Community mapping
- Focus group discussions.

Once the facilitator and the CLUP team have selected the tools:

1. The facilitator should explain to the team the purpose of making a map of current land use and then describe the way the resources are used. In the explanation, he/she should describe the mapping process and even the expected output of the mapping exercise. The facilitator should be prepared to answer any questions the group may have.
2. The CLUP team should select a location with enough room for large map sheets to be placed on the ground. Some communities may prefer meeting in their town hall or school halls. In some cases, particularly in the dry season, some people will prefer to hold the mapping session under tree shade, if the ground is level.
3. The facilitator should ask volunteers to help draw the base map, on large transparent plastic sheets, for example. Whilst there are other surfaces such as cardboard sheets, flipcharts, and the ground itself, we recommend the use of transparent plastic sheets, as this will enable the team to place subsequent maps on one another and still see through each one easily.
4. Whatever surface or material the CLUP team selects for the mapping, it is generally easiest to begin mapping larger, permanent structures (e.g., roads, rivers, settlements, mountains, rock out-cropping, etc.). With these permanent structures, it is easier for the group to recall the things that lie inside or adjacent to them. The facilitator should then encourage the group to include smaller features, such as trails, footpaths, and minor streams. Box 2 lists the features that a base map might include.
5. Once the CLUP team has drawn the base map, the facilitator should ask the team to begin indicating major categories of land and natural resources on another plastic sheet, placed on the base map. These would typically include categories such as human settlement, farmland, fallow land, and primary forest. The CLUP team should allow considerable time for local participants to debate and agree on the location of the main items on the maps.
6. Next, the facilitator should ask the team to document who uses specific lands and natural resources, and how these are used. At this stage it is important the facilitator and CLUP team make sure to document any important aspects related to seasonality

Box 2: What a Base Map Might Include

The team should make a list of the items they want to include in the map. The items can include some or all of the following:

- Streams/rivers
- Water sources
- Roads
- Trails/footpaths
- Forests
- Farm land
- Forests (virgin, secondary, disputed forest, shared community forest, etc.)
- Swamps
- Settlement (houses, churches, other buildings)
- Landmarks
- Hunting areas
- Fishing areas
- Protected areas (conservation)
- Protected areas (spiritual/ritual/ekpe/religious)—*sacred areas*
- Location of key resources, including:
  - Afang
  - Bush mango
  - Fire wood
  - Bamboo
  - Poles
  - Timber
  - Hot leaf
  - Bitter leaf
  - Medicinal plants

of use. The facilitator should write down key points of the discussion on a flipchart placed on the wall (if available) for everyone to see.

7. The facilitator should then ask the group to document any rule, whether enforced or not, that guides the way people own and use the resources identified. As part of this process, the team should also indicate "who" (e.g., the individual or the institution) is responsible for both creating and enforcing these rules, and whether the rules are working or not.

Sub-step 2: Review the Map and Description with Larger Community to Identify Gaps, Inconsistencies, and Possible Mistakes

Purpose

To review the draft map and the descriptive information about land use developed by the team (in Sub-step 1, above) with the larger community. While reviewing the draft map and the description with the community, the facilitator should note any gaps, inconsistencies, and possible mistakes. The facilitator and the CLUP team should fill any gaps identified and make necessary corrections.

Product

The community's feedback on the draft outputs of Sub-step 1, including suggested revisions to these outputs.

Procedure

The facilitator, with the CLUP team and community leadership, should organize a general community meeting to review and discuss the draft map and the descriptive information produced by the team in Sub-step 1. The CLUP team should display the map and key information on the wall. In this process of review:

- A team member should explain the process used to generate the map and the descriptive information.

- The facilitator should then facilitate a discussion of the draft results and should ask for comments from the community. A team member should document on a flipchart the comments for the review.

Sub-step 3: Revise Map and/or the Description, if Necessary

Purpose

To use the community's response to revise the map of current land use and the descriptive information.

Product

- Revised map of current land and natural resource use
- Current land units and descriptions of land and natural resources that include the feedback and suggestion of the larger community. On the basis of common understanding and agreement, the CLUP team and the community should revise the map and the set of descriptive information.

Procedure

The facilitator should ask the team to review the response from the general community and to revise the results as appropriate.

Sub-step 4: Community Confirms/Verifies Findings

Purpose

To confirm (1) the map of the community's current land use and natural resources, (2) the map of current land units, and (3) the narrative description of the community's land and natural resources and their use.

Product

A community-approved (1) map of land and natural resource units, (2) map of land and natural resource use, and (3) description of the community's current land and natural resources and their use.

Procedure

The facilitator, with the team and the local authority, should organize a general community meeting to review the revised products. The facilitator should present the results to the community, and then ask the community to approve these products.

Watching out for what may go wrong

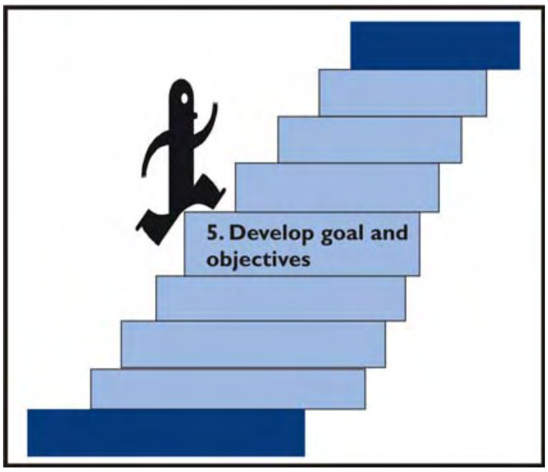
Fixing hard boundaries between neighboring communities on the map can be very difficult—and in many cases impossible. Trying to do so can lead to misunderstandings between the facilitator and the neighboring communities. Because the CLUP covers specific communities and, in some situations, mapping natural resources may be a pilot activity in the area, mapping the boundaries of community territories can be challenging.

The neighboring community might see the facilitator as taking sides with the community developing the land-use plan. Such a problem may not exist in a community where there are natural boundary markers such as rivers, hills, and mountains that the communities have recognized over the years.

The facilitator should study existing maps, when available, prior to beginning initiating the mapping process (please see **preparatory step**) in order to better understand the situation. By reviewing existing information, the facilitator can understand how sensitive it is to produce land-use maps with exact boundaries. It is ideal to indicate boundaries in areas where there is a common understanding between neighboring communities only. And the facilitator should be aware that it is possible to make maps of places for the purpose of land-use planning without fixing boundaries.

In addition, neighboring communities may share joint ownership of a block of forest, but the facilitator may be helping only one of the communities to develop a land-use plan. In cases where there is joint ownership of forest between two communities, it is common that the two communities will have a joint arrangement for managing the forest together under formal agreements. If so, the CLUP team should map forests owned jointly with neighboring communities and indicate that this is the case.

3.4 STEP 5: DEVELOP THE GOAL AND OBJECTIVES FOR COMMUNITY LAND-USE PLANNING AND MANAGEMENT



As noted earlier, a good CLUP should be developed to address specific problems and their root causes that, if not overcome, can keep the community from realizing their aspirations for improving the use of its land and natural resources. In Step 5 the facilitator works with the CLUP team, as representatives of the community, to develop and articulate the objectives—and from these, the goal—of the CLUP. The objectives and the goal should be developed to ensure that the subsequent steps (Zoning & Development of Management Guidelines, Development of Bylaws, and subsequently Implementation) and activities are identified and developed in a manner that directly addresses the causes of the problems impacting the community's land and natural resources.

3.4.1 Goal

To work with the community to develop the goal and objectives needed to guide both the planning process and implementation of the plan.

3.4.2 Desired result of Step 5

A well-articulated goal and a list of CLUP objectives that are clear and achievable.

3.4.3 Suggested sub-steps

- Sub-step 1: Review Problems Identified in Step 2
- Sub-step 2: Develop Draft Objectives
- Sub-step 3: Develop Draft Goal
- Sub-step 4: Review and Revise Draft Goal and Objectives with the Larger Community.

Sub-step 1: Review Problems Identified in Step 2

Purpose

To review the problems and their causes identified in Step 2.

Product

A detailed review of the major problems affecting the community's land and natural resources.

Procedure

Again, there are a number of tools that the facilitator and CLUP team can use in this step, including problem tree, Delphi's technique for categorizing items, pair-wise ranking, and other appropriate ranking matrices (see Annex 1 for brief descriptions of these tools). The problem tree, in particular, is a useful tool for visualizing how problems identified can affect the community's livelihoods, land, and natural resources.

Usually, reviewing the problems identified in Step 1 will involve:

- Reviewing and confirming the list of problems (with their causes) initially identified in Step 2.
- Using Delphi's technique or other appropriate tools to categorize the main problems, bearing in mind the focus of the CLUP.
- Identifying and assessing the problems that the CLUP can address. In doing so, it is necessary to consider the limit of local capacity.

Sub-step 2: Develop Draft Objectives

Purpose

To develop specific objectives that address the problems (and their causes) identified in Step 2. These objectives will then guide the remaining steps in the planning process.

Product

A set of CLUP objectives that directly address the problems and their causes (identified in Step 2) and meet the following criteria:

- **S**pecific (is it specific to what you want to address?)
- **M**easurable (will it be easy to check whether the plan is working over time?)
- **A**chievable (can the objective be achieved within the available timeframe?)
- **R**ealistic (given the information, knowledge, and resources, can this be done?)
- **T**ime Bound (can we allot time for carrying out the plan?)
- **G**ender Sensitive (do the objectives consider how men and women can benefit from carrying out the plan?).

Procedure

To develop the objectives, we recommend that the CLUP team begin by revisiting the problem tree (developed in Step 2), following the procedure below:

- Review the problem tree and the clusters of problems with the team. For each problem cluster, one or possibly more objectives are required.
- Encourage the team to identify the main ways to address the problems. Using the problem tree, this can be done by simply replacing the problem (or the negative situation) statement with an objective statement that describes a positive situation. For example, in a situation where there is a high incidence of chemical poisoning of fish, which impacts the availability of safe drinking water and human health, the objective could be stated as follows:
  - "To eliminate chemical poisoning, as a means of fishing in Community X, by 2010."
  - Ensure that each objective meets the (SMART-G) criteria identified above.
  - Ensure that there is active participation by every member of the group in drafting the objectives.

Sub-step 3: Develop Draft Goal

Purpose

To state the community's desire or vision for using land and natural resources wisely for the benefits of present and future generations.

Product

A draft goal, clearly stated and judged by the CLUP team to be possible to achieve and realistic.

Procedure

The CLUP team should develop the draft goal during a structured brainstorming session. To get everyone involved, we suggest the team break into small groups for this exercise. In this process, the facilitator should:

- Encourage each small group to develop a goal or a vision, which reflects the newly developed objectives (clearly posted). The draft goal can be developed either orally or can be written on cards.
- Next, the CLUP team should reassemble to share and discuss the draft goals developed in smaller groups group. The team should analyze each draft goal, discussing and noting any strengths and weaknesses. The team should note the strengths and weaknesses of the draft goals from each of the groups and use these to agree on a common goal for the larger group.

Sub-step 4: Review and Revise Draft Goal and Objectives with the Larger Community

Purpose

To develop consensus, within the community, with regard to both the draft objectives and the draft goal. This is a crucial step that will help ensure that the community as a whole remains supportive of the direction of the CLUP.

Product

A revision of the objectives and the goal of the CLUP that reflects the suggestions of the community.

Procedure

The facilitator and the CLUP team should organize a general community meeting. In this meeting:

- They should present draft objectives and goal of the CLUP on large flipcharts and describe how these were developed.
- In discussing the draft objectives and goal with the community, a member of the team should note the comments and suggestions from the group on another flipchart.
- Using the community's suggestions and comments, the team should then meet to revise the objectives and the goal, as necessary.
- The facilitator or a member of the community should write out the revised goal and objectives, and should check to see if there is consensus. If there is not consensus the facilitator and the CLUP team should work with the community to identify any issues and to try and revise the goal and objectives in a manner that addresses any remaining issues.

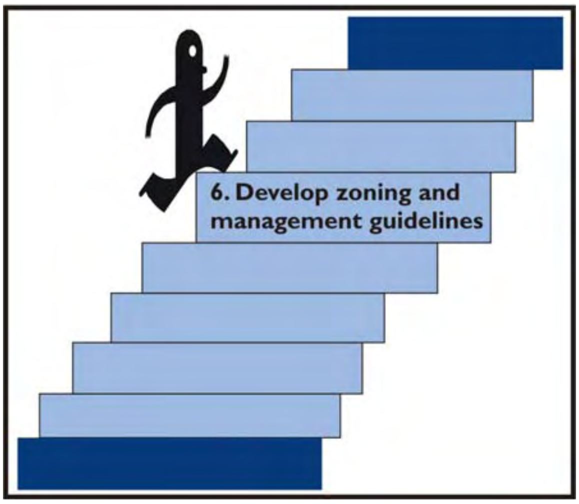
Watching out for what may go wrong

At this stage, a few people (mostly those who can write better) are likely to dominate the drafting of the CLUP's goal and objectives. Setting the goal and objectives can also provide an opportunity for some groups within the community to pursue their own agenda. If either of these issues occur, the goal and objectives of the plan may not reflect the popular opinion of the community.

The facilitator and the CLUP team can encourage everyone to actively participate in drafting and agreeing on the goal/objectives of the plan by:

- Suggesting that people form three separate groups for men, women, and youth. Each small group should then state its aspirations, which it will thereafter present and discuss with the larger team.
- Encouraging people to talk in their local language and/or *pidgin* English. This can encourage more people to contribute ideas during discussion.

3.5 STEP 6: DEVELOP ZONING AND MANAGEMENT GUIDELINES



As noted in the introduction, a community can only own a finite amount of land. An individual from the community can either clear a piece of forest to farm, **or** the community can harvest resources from this parcel of land (or derive royalties from resources harvested from this parcel of land). The community can not have both, as the land uses conflict. Zoning is essentially an effort to balance different needs and different land uses within a long-term vision.

To be successful, zoning should also try to reconcile the proposed land use with the characteristics of the land and the management practices that would be applied (e.g., if an objective of a community's CLUP is to "ban logging and farming," thus protecting rivers and streams that are important to the community). In this case it would not make sense to zone the area desired for watershed protection as a timber harvesting zone, as this would likely lead to erosion and may adversely affect the community's water sources. In addition, it may be important to remind the community that land units held as State Forest Reserves and National Parks are protected areas, and placing these protected areas under some other use can lead to conflict between government and the community.

Management guidelines are designed to dictate how various land-use zones should be managed within the larger vision of the CLUP. Zoning and the development of management guidelines (Step 5) follow directly from the objectives developed in Step 5, and must strive to balance the short- and long-term needs and benefits of individuals and the community as a whole.

3.5.1 Goal

- To create and map the land use zones.
- To develop management guidelines for each land-use zone and for each natural resource of particular importance.

3.5.2 Desired result of Step 6

- A zoning map that matches land use with the characteristics of the land, and management practices required/promoted.
- Management guidelines developed for each land-use zone and for natural resources of particular importance.

3.5.3 Suggested sub-steps

- Sub-step 1: Develop Draft Zoning Map
- Sub-step 2: Develop Draft Management Guidelines
- Sub-step 3: Review and Revise Draft Zoning and Management Guidelines with the Whole Community.

Sub-step 1: Develop Draft Zoning Map

Purpose

To develop a draft map of proposed land-use zones that takes into consideration the needs of the community, while reconciling proposed land uses with the nature of the land.

Product

A draft map of proposed land-use zones that clearly draws lines between proposed land-use zones.

Procedure

In preparation for the zoning exercise, the facilitator and the CLUP team will need the various maps produced in Step 4. Usually, these maps include the base map, the map of current land and natural resource use, and any map that describes the nature of the land units, such as a soil map, if appropriate. The team also needs new plastic sheets for use in developing the zoning map.

The facilitator and the team can then proceed as follows:

- The team should review the objectives and goal identified in Step 5 in order to focus the team on the priorities of the plan. As a rule, it is necessary to return to the objectives frequently to ensure that land-use zoning is in line with the CLUP's objectives.
- Using structured brainstorming or other appropriate tools, the team should begin by identifying the land-use zones that are essential for future use. These may include the following:
  - Area for settlement expansion
  - Farm expansion zone
  - Non-timber forest product (NTFP) development zone
  - Timber harvesting zone
  - Area for natural regeneration
  - Tree planting or plantation zone
  - Hunting and NTFP collection zone.

  The community may wish to use the same zone for more than one use type—assuming the uses do not conflict. For example, a community may choose to use the same area for NTFP collection/development and hunting. In identifying zones for future land use, the team should clearly post the existing maps, the objectives, and goal.
- The team should then identify land qualities that best match the zones that the community recommended for future use. For timber harvesting zone, for example, it is important to ensure that the area is accessible and not very hilly.
- Using plastic map sheets placed on top of each other, the team can then begin to identify the most suitable areas for each of the zones. The team should map the areas accordingly.
- At the end of the exercise, the team should agree on the draft land-use zones that they have identified and mapped.

Sub-step 2: Develop Draft Management Guidelines

Purpose

To develop guidelines for managing each of the proposed land uses as well as priority natural resources found in particular zones.

Product

A set of management guidelines that recommends management practices for the community to apply to the proposed land-use zones and specific natural resources of particular interest/value.

Procedure

In drafting management guidelines, it is essential to match management practices with the needs of the people. Bearing the local needs in mind, the team can then:

- Identify permissible activities or management practices, and those they want to stop, in each of the zones.
- Identify and reconcile potential conflicts that may arise in trying to meet local needs. As noted in the introduction to Step 6, some land uses are more sensitive than others. For example, a zone for watershed protection is more sensitive than a farmland expansion zone.
- Identify specific activities that the community can carry out in both the short and long term that directly address the set of issues that the plan is responding to. Note that, while carrying out most of the activities can be specific to the particular land-use zones (e.g., domestication of NTFPs on the NTFP development zone), some activities that are related to overall management of land and natural resources cannot be tied to specific zones.

Sub-step 3: Review and Revise Draft Zoning and Management Guidelines with the Whole Community

Purpose

To review and revise the proposed land-use zones and management guidelines.

Product

The community's agreement on the land-use zones and management guidelines.

Procedure

The facilitator and the CLUP team should organize a general community meeting. At the meeting they should present the map of proposed land-use zones and the set of management practices recommended to the community for discussion and possible adoption. In carrying out this task:

- The team should have one of its members present the map of proposed land-use zones to the community. During the presentation, the team members should explain the reasons for identifying each of the land-use zones and each of the particular uses, as the team deems necessary.
- Another team member should record on a flipchart the comments and suggestions raised by the community.
- The facilitator can guide the discussion of the problems raised and identify suggestions that the whole community supports.
- Using the suggestions, the team can amend the proposed land-use zones and the management practices as necessary.
- The team should then ask the community to agree on the amended land-use zones and management practices.

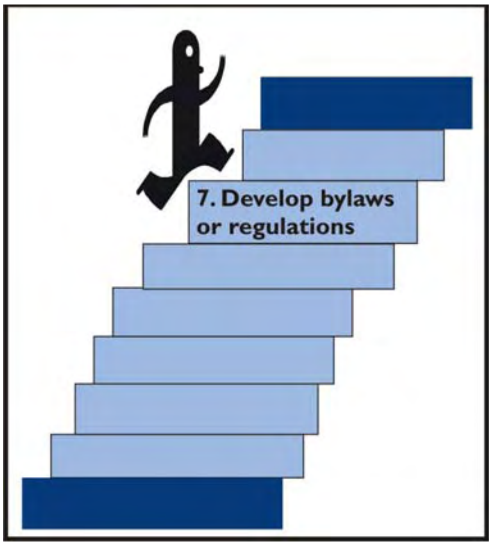
Watching out for what may go wrong

Conflict can likely arise because of zoning for future land use by the community. The point to remember is that balancing long- and short-term benefits that individuals and groups derive can be difficult. This can be particularly difficult where every piece of land belongs to individuals or family groups. Searching for a piece of land to keep for future use can be a problem. In addition, even where there is sufficient land owned by the community, there could be some misunderstanding about leaving a forest block for future use.

Community land-use planning involves negotiation in order to reach agreement over balancing long- and short-term benefits to individuals and groups. The facilitator should ensure that the CLUP team identifies and discusses all potential conflicts during land-use planning. It is also necessary to set up or strengthen an existing system for preventing and reducing the impact of conflict in the future.

Lastly, carrying out land-use planning successfully requires a sense of discipline and sacrifice on the part of individuals and groups within the community. This is an important message that the facilitator should keep bringing up from time to time during land-use planning.

3.6 STEP 7: DEVELOP THE BYLAWS REQUIRED TO SUPPORT IMPLEMENTATION OF THE COMMUNITY LAND-USE PLAN



As earlier indicated in Step 6, every management arrangement requires "rules" to effectively govern and regulate the use of any particular resource that is owned in common. In the case of CLUPs, the "rules and regulations" are most often in the form of bylaws. Bylaws are developed by the community to regulate land and natural resource ownership, use, and access. These bylaws should be specifically developed to address the issues identified in Step 2, and should help to achieve the desired objectives developed in Step 5. While thinking about developing bylaws, facilitators and communities alike should remember that "rules do not apply themselves." As a result, it is imperative that both facilitators and communities consider each rule not for its strength on paper, but rather for its likelihood of being successfully enforced given the technical, administrative, and financial capacities of the community.

There are many ways to regulate access and or use of any resource. A community can regulate:

- "Who" can harvest (community members or outsiders?)
- "When" harvesting can be undertaken (seasonally)
- "How" harvesting is done (the acceptable methods)
- "How much" can be harvested (the amount that can be harvested over a period of time—e.g., daily, seasonally, annually, etc.).

Bylaws must also include sanctions. A sanction should define what happens when a specific bylaw is broken. Sanctions should be specific to the offense, and should contribute to improved management.

3.6.1 Goal

To develop the bylaws and sanctions needed to guide how people manage land and natural resource use.

3.6.2 Desired result of Step 7

A set of bylaws and sanctions needed to support carrying out the CLUP.

3.6.3 Suggested sub-steps

- Sub-step 1: Develop Draft Bylaws and Sanctions
- Sub-step 2: Review Draft Bylaws and Sanctions with the Larger Community
- Sub-step 3: Revise Bylaws and Sanctions, if Necessary.

Sub-step 1: Develop Draft Bylaws and Sanctions

Purpose

To develop draft bylaws and sanctions for review/discussion by the whole community.

Product

A set of bylaws and sanctions that can regulate access to and use of community land and natural resources.

Procedure

To ensure that members of the community support and enforce bylaws and sanctions once developed, we suggest that appropriate local institutions (e.g., the town council and/or the council of chiefs and elders) be actively involved in this process. In some cases, such local institutions may choose to constitute a committee for drafting bylaws while they retain the power of enforcing the bylaws developed. Some communities chose to appoint a number of individuals to join the community natural resource management team for this process. Whichever approach the team takes, it is important that the facilitator explain, with examples, what are bylaws and sanctions and identify the role and responsibilities of the people involved in drafting bylaws.

Once the community leadership has decided whom it would like to appoint to join the CLUP team for the development of bylaws and sanctions, the facilitator and the CLUP team should:

- In a large group, explain how community bylaws or regulations fit with the state forest law. It is necessary to show that there will be some situations where the state forest law will prevail over community bylaws.
- In a large group, review the zoning and management guidelines to identify the zones and the specific natural resources that will require some form of regulation.
- Next, the facilitator should break the expanded team into small groups and assign each group a zone or a specific resource (from the list developed above). The facilitator should be sure to give each group a copy of the management guidelines for the zone/resource on which they are working. Each group should then think through management practices that the community could address in the bylaws. The groups should pay attention to the management practices that are specific to the zone/resource that they are working on. The groups should write down on flipcharts the main points that they thought through.
- Continuing in small groups, each group should draft bylaws for the zone/resource. The groups should use the management guidelines and the management practices that they want to change.
- Once each group has completed drafting its bylaws, it should then draft sanctions. As noted earlier, a sanction defines what happens when a specific bylaw is broken. Sanctions should be specific to the offence, and should contribute to improved management. There should be one, or possibly more, sanctions for each bylaw.
- Back to the larger group, a representative from each of the small groups should present the draft bylaws and sanctions developed by its group. As part of this process, the presenter should also explain the reason why his/her group suggested the bylaws and the sanctions. The facilitator should encourage other participants to comment and even suggest revisions. The larger groups should then discuss the suggestions and use them to revise the draft bylaws and sanctions.

Sub-step 2: Review Draft Bylaws and Sanctions with the Larger Community

Purpose

To present to the community the draft bylaws and sanctions for discussion/review.

Product

The community's comments and suggestions for revising the draft bylaws and sanctions.

Procedure

It is a good practice to arrange a meeting to coincide with any existing forum for public hearings. In some communities in Cross River State, for example, the General Assembly meets once a week. Such a public forum allows people to actively review the draft bylaws and sanctions.

Working closely with appropriate local institutions such as the town council, the facilitator and the CLUP team can proceed as follows:

- In preparation for the community meeting, the facilitator should reorganize the bylaws and sanctions under the specific resources and land-use zones. This will make it easier for the team to give a set of bylaws addressing similar problems to one group.
- Ahead of the meeting, the facilitator and the CLUP team should make more copies of the draft bylaws and give them to each of the village or family heads for their review. Giving the leaders a copy to read through before the meeting can bring about more active participation. On no more than two flip-charts, the facilitator and the CLUP team should display the main points of the draft bylaws and sanctions on the wall throughout the meeting.
- In addition, ahead of the meeting, the CLUP team should give copies of the bylaws for review to any producer groups within the community that the bylaws can affect.
- Next, present a brief review of the land-use zones and management guidelines agreed to by the community in Step 6 that require bylaws. In this way, the community can gain a shared understanding of how the bylaws fit within the land-use plan as a whole.
- The town council or other appropriate local institutions should then present the draft bylaws and sanctions to the entire community. During the presentation, the town council could refer to the main points of the bylaws displayed on the wall.
- The team should form 5–8 groups to review the bylaws. Each group should identify what aspects of the bylaws and sanctions it would like to keep and what it would like to alter or even remove completely. In each group, one of the participants should record the comments, suggestions, and reasons.
- The small groups should make a presentation within the large-group setting. The facilitator or any volunteer should take comments from the entire team. The team should discuss the comments and make some decisions on what changes they should make.

Sub-step 3: Revise Bylaws and Sanctions, if Necessary

Purpose

To revise the bylaws and sanctions with the whole community.

Product

Approval/adoption of the set of draft bylaws and sanctions by the whole community.

Procedure

Using the comments and suggestions noted during the public forum, the bylaws drafting committee should work with appropriate local institutions and amend the bylaws and sanctions accordingly. After the amendment, the CLUP team should organize a meeting to present the amended bylaws and sanctions to the whole community.

Watching out for what may go wrong

Three things may likely go wrong while drafting and discussing bylaws. First, those appointed to draft bylaws and sanctions may fear that they can be blamed when things go wrong with enforcement of by-laws. Second, if not guided by the town council, a committee set up to draft bylaws on behalf of the community may use the opportunity to promote its own agenda. Third, the committee members may even transcribe bylaws existing elsewhere without making changes as necessary.

The above three problems can generally be avoided by having the facilitator and the CLUP team educate the community on the process of drafting bylaws. Through this form of education, the facilitator and the team can minimize the incidence of these problems. In addition, the facilitator should encourage the town council to explain, from the outset, that individuals appointed to draft bylaws and sanctions have been delegated to do so by the town council and the entire village leadership.

3.7 STEP 8: PREPARE FOR IMPLEMENTATION OF THE COMMUNITY LAND-USE PLAN

Once a community has finalized its CLUP, the next task is to begin implementation of the plan. For the implementation to be effective there must be a clearly articulated system of check and balances that allows the community to assess whether the plan is working, from time to time.

While much of the *planning phase*, described in Section 2, was designed to build community commitment, this section of the CLUP handbook has been developed to highlight a few activities that can help enhance *implementation*. Much of this focuses on making information about the plan publicly accessible to the community as a whole. In addition to ensuring that the community is aware of and understands the CLUP, in this step the community should spend some time thinking about how it will know whether the plan is working, and should prioritize activities to begin the initial stage of implementation.

3.7.1 Goal

To prepare the community to begin carrying out the newly developed CLUP.

3.7.2 Desired result of Step 8

- A high level of community awareness about the CLUP, its contents, and what this means for the future.
- A plan for monitoring and evaluating how the CLUP will be carried out over the period specified.
- A list of priority activities that the community will begin with straightaway.

3.7.3 Suggested sub-steps

- Sub-step 1: Hold a Public Hearing on CLUP
- Sub-step 2: Develop a Monitoring and Evaluation Plan
- Sub-step 3: Prioritize Activities for Initial Implementation.

Sub-step 1: Hold a Public Hearing on CLUP

Purpose

To provide a forum to inform everyone in the community about the CLUP. The whole community can confirm its support for the CLUP through such a forum.

Product

The community that is fully aware of the CLUP and understands the implications for future land and natural resource use.

Procedure

The CLUP team and the facilitator should work with village leadership to organize a public meeting to review the CLUP (the process that was undertaken, the contents of the resulting plan, and implications on future use).

To prepare for this public meeting, the team should summarize the CLUP on flipcharts posted on the wall for everyone to see and read through. The summary should include key problems the plan addresses, goal/objectives of the plan, land-use zones and restrictions, and management guidelines. The team should make sure that the summary on the flipcharts is in plain English and the letters/words are large enough for people to read and understand.

During the public meeting the facilitator and the CLUP team should consider the following:

- The CLUP team can begin the meeting with a statement of why the plan was developed. A member of the community should state the reasons for the CLUP. In presenting the reasons for the CLUP development, the facilitator and the CLUP team should pay attention to the key problems the plan addresses. While presenting the reasons, the community volunteer should refer to the flipcharts on the wall.
- If appropriate, another community volunteer should present the CLUP team's view about benefits the community will derive from carrying out the plan.
- The CLUP team should also point out some of the sacrifices and adjustments that the community will make in carrying out the plan—for example, adopting the necessary discipline to ensure that the plan works.
- Next, the CLUP team should present the summary of the plan as highlighted on the flipcharts. The CLUP team and the facilitator should be prepared to answer questions.
- The facilitator should then lead a discussion on the CLUP as identified above. The facilitator should note well the topics brought up during the discussion. Such topics usually confirm the community's determination to carry out the CLUP.

Sub-step 2: Develop a Monitoring and Evaluation Plan

Purpose

To develop a monitoring and evaluation (M&E) plan for the CLUP.

Product

An M&E framework[1] that will allow the community to track progress in carrying out the CLUP. Key elements of the M&E framework should be:

- Statement of evidence of progress in carrying out the plan—also called *indicators of progress*. From time to time, success indicators will help the community know whether or not the plan is working.
- Information that describes the situation before the plan is carried out—called *baseline*.
- Giving individual or collective responsibility to people for collecting and interpreting information for monitoring purposes.
- Giving individual and collective responsibility to people for assessing how well the plan is carried out over time.

---

[1] A sample M&E Framework is provided in Annex 2.

- Information on how often the community will carry out monitoring and performance review of the CLUP.

Procedure

In developing the M&E plan for, the CLUP team should proceed as follows:

- Return to the statement of objectives—one of the products of Step 5—and write down what conditions the team has in mind if the community achieves the objectives. For an objective such as reduction in the annual rate of bush fire outbreak, for example, the indicator can be a decrease in the number of bush fire outbreak on an annual basis. The CLUP team can call these desired conditions "indicators of progress" in carrying out the CLUP.
- The CLUP team should go through every objective, and for each, identify indicators of progress. Note that the team may need to write down more than one indicator of progress for some objectives.
- Identify the information (baseline) needed that best describes the present condition—that is, before carrying out the plan. In the above example on bush fire, an important baseline needed is the number of bush fires that broke out within the year before the community starts carrying out the plan. With this (baseline) information, the community can compare the situation in the future with that of the past and then know whether it is making progress with the plan.
- The community should assign responsibility for collecting required baseline to individuals and groups within the community.
- Identify likely sources of information to update information for monitoring the implementation process.
- Assign responsibility to individuals and/or groups within the community for collecting and analyzing monitoring information.
- Decide with the whole team how often the required information should be collected and analyzed. The team should also decide how it would use the information in the future to assess how well the community carries out the plan.
- The plan should also indicate when and how the community would use the set of information collected to judge how well the community carries out the plan.

Sub-step 3: Prioritize Activities for Initial Implementation

Purpose

To identify priority activities that the community can begin with straightaway.

Product

A list of activities organized in the order of priority that the community is ready to start carrying out straightaway.

Procedure

The facilitator and the CLUP team should:

- Review the full list of activities that the CLUP team linked to the objectives.
- Identify criteria that the community usually applies to selecting activities in a situation where the budget and schedule are very tight.
- Use the criteria identified to select priority activities that the community is willing to begin implementing straightway.
- Present the list of priority activities to the group to confirm their priorities.

Watching out for what may go wrong

As with most steps described in the handbook, completing this step may require more than one meeting. However, too many meetings may result in the community losing interest in the process. Bearing this in mind, it is important for that the facilitator and the CLUP team have planned adequately and are well prepared for all meetings. And as we have repeated in several sections of the handbook, we strongly suggested that the CLUP team arrange meetings to coincide with regular meetings held in the village, to the extent that this is possible. This will reduce the number of times people are expected to meet, and as a result should increase participation.

4.0 PHASE 3: IMPLEMENTATION AND REVIEW

4.1 STEP 9: PERIODICALLY REVIEW AND REVISE THE CLUP AS NECESSARY

In Step 8, the CLUP team, and the larger community, developed a system for monitoring and evaluating implementation of the CLUP. Step 9 is designed to ensure that the information gathered through M&E efforts is used to assess implementation, and as needed, to revise the CLUP to improve future implementation.

While M&E is an ongoing process, the community should plan to review implementation once or twice per year, depending in part on the duration of the CLUP. For example, in a case where the community chose to carry out the plan over a 10-year period, an annual review is ideal. In a case where the period for initial implementation is as short as 5 years, the community should consider holding review meetings twice a year.

Review and revision of the plan are two tasks that help to define the CLUP process as cyclical. Reviewing implementation of the CLUP may require going through some of the steps described earlier in Section 2 of the handbook. While doing this, the CLUP team should work with the community to review implementation and to identify what, if anything, they would like to alter in order to make the plan work better. If revising the CLUP becomes necessary, some of the steps identified in the latter half of Section 2 of the handbook will likely need to be repeated.

4.1.1 Goal

To review and improve the process of carrying out the plan.

4.1.2 Desired result of Step 9

An up-to-date understanding of the process of carrying out the plan. Where a plan has been working well, review of the plan may not necessarily require revision. If the plan does need to be revised, the desired product includes a revised plan by the community.

4.1.3 Suggested sub-steps

- Sub-step 1: Update Monitoring Information
- Sub-step 2: Identify Achievements and Difficulties
- Sub-step 3: Prepare a Draft of the Revised Plan (if Applicable)

- Sub-step 4: Communicate the Revised Plan with the Whole Community.

Sub-step 1: Update Monitoring Information

Purpose

To update everyone on progress in carrying out the CLUP within the period under review.

Product

Information on the results of carrying out the plan within the period defined for the review.

Procedure

As this will be happening after the community has completed its CLUP, the community should have assigned monitoring responsibility to a group. As indicated above, an external facilitator such as an NGO or a donor-funded project can even organize a review meeting with the community. Whatever the case, the first step should be part of any meeting that the community holds regularly. If necessary, subsequent meetings can be held with individuals and smaller groups to complete the review process.

During the review meeting, the leader of the group should:

- Update everyone on progress in carrying out the plan to date. This group leader can draw from the monitoring information that the group has been keeping over the period.
- Review performance during the period with the group.

Sub-step 2: Identify Achievements and Difficulties

Purpose

To identify things that have been successfully completed, as well as things that have been difficult to carry out, within the period defined by the group.

Product

A record of achievements and difficulties for the period under review.

Procedure

The review team should:

- Use the monitoring information to identify achievements and difficulties for discussion during the meeting.
- Give the group a chance to point out additional achievements and difficulties that the monitoring team must have missed.
- Discuss the achievements and difficulties, drawing out lessons to note for the future.
- Identify the things that brought about success in carrying out some of the activities. The review team should pay attention to how more people can be encouraged to continue doing the good work.
- Identify how some activities and objectives were difficult to meet. The focus here should be on how to avoid these in the future.
- Note what aspects and contents of the plan the community would like to alter or even change completely to make things work better. To guide those who will revise the plan, it is necessary to state the reason why the community should modify the particular aspects of contents of the plan.

Sub-step 3: Prepare a Draft of the Revised Plan (if Applicable)

Purpose

To use the result of the review meetings to revise the CLUP.

Product

A revised CLUP that takes into account the reasons for success and constraints from the review meetings.

Procedure

In this sub-step, the local institution responsible for guiding the community in carrying out the plan should use the responses from the meetings to revise the plan. Those revising the plan should pay attention to things that the community wants changed as a way of improving the way the community carries out the plan.

Sub-step 4: Communicate the Revised Plan with the Whole Community

Purpose

To provide a forum for telling everyone in the community about the revised plan.

Product

Knowledge within the community about what has been changed in the plan.

Procedure

The group responsible for leading the revision of the CLUP should organize a general community meeting to review the overall CLUP, highlighting those aspects of the plan that been changed in the review process. The organizers of the meeting should ensure that participants are able to express their opinions about the changes openly during the meeting. Before ending the meeting, the organizers should try to solicit consensus for the revised plan. If this is not the case, then the community needs to be further engaged, and the CLUP further revised, before it can be accepted by the community.

ANNEX 1: CLUP TOOLS

1. COMMUNITY MAPPING

Map and Document the Community's Land and Natural Resources and Their Use

Learning Objective

- To increase community awareness of their current land and natural resource holdings
- To increase community awareness of the current uses of these lands and natural resources.

Description

Community mapping can be a very empowering tool that can be used to engage communities. As a process, community mapping should involve broad-based participation from the community. Remember that different segments of the population may use different resources—or may use the same resources in a different manner or for a different purpose. For the map to most accurately reflect the situation on the ground, it will need to involve individuals from every walk of society—old and young, men and women, natives and visitors. In this process it is important that:

- The community directs the process
- The process and product benefit the community
- The community controls use of the map.

A map can serve as a tool to initiate discussion within the community, to help people in the community to share their common experiences, to discuss the changes happening on their land, and to create a vision for the future.

In this third step in the community land and natural resource use plan (CLUP) process, the facilitator is tasked with mobilizing the community to map and document/describe their current land and natural resource holdings.

Given the diversity of resources, and the large percentage of people within the community who use these resources, the facilitator will need to ensure that the trends analysis involves a broad cross-section of the community.

Materials

- Clear plastic sheets—roughly 1.5 m^2 (2)
- White canvas (to place underneath the map)
- Markers
- Methylated spirits/nail polish remover
- Cotton wool
- Tape
- Flipcharts.

Procedure

Phase 1: Describe/Explain the Mapping Process to the Community

The facilitator should explain the scope and goal of the mapping exercise—this is important, as some communities may misunderstand the reason the map is being developed. The facilitator should also note that the map will form part of the CLUP, which will belong to the community.

Phase 2: Community Selects Members to Participate on the Mapping Team

On the basis of the scope and goals of the mapping exercise, the community is then asked to select members (up to 20) to participate in the mapping team. Given the different ways in which men, women, and minority and disadvantaged groups use land and natural resources, the community should be encouraged to ensure that all interests—including women and minority and disadvantaged groups—are adequately represented on the mapping team. It is equally important to ensure that the team include individuals who harvest key resources. The facilitator should prepare a flipchart prior to this session on which he/she lists the various groups/interests (men, women, minority and disadvantaged groups, etc.). The facilitator should then ask the group to ensure that as they choose community members to participate on the mapping team, they refer back to the list to be sure that they are not leaving out any key groups or interests.

Phase 3: Selecting Features to Map

Next, the facilitator will work with the mapping team to identify features that will be included in the map. It is important for the facilitator to note that certain features may be important to include—either for content or to help orient people. Features that the facilitator may wish to suggest, should they not come from the group, include:

- Rivers and streams
- Salt ponds
- Roads
- Trails and footpaths
- Settlements
- Landmarks
- Virgin/primary forest (Black Bush)
- Community forest
- Hunting areas
- Fishing areas
- Sacred forests
- Swamps
- Farmland.

In addition, within forested areas it also helpful for the mapping team to include any areas where specific resources may be found, including:

- Important species of timber (e.g., Iroko, Eboni, etc.)
- Important non-timber forest products (NTFPs) (e.g., Afang, Bush Mango, etc.). Instead of developing a new list of important NTFPs, the facilitator may wish to simply refer back to the list prepared in Exercise 1.

The facilitator should keep a list of the features to be mapped as they are identified by community members. For each feature that will be mapped, ask the group to agree on a symbol to represent this feature (e.g., using different colors, striping, or check patterns), then develop the key based on this input. This can be done on the same flipchart on which the list of features is generated.

Key Features to Show on Map	Symbol
❖ ❖ ❖ ❖ ❖ ❖	

Phase 4: Map Development—Land and Natural Resource Holdings

Given the number of features, it may be advisable to encourage the mapping team to begin by first mapping large/long permanent features, such as roads, rivers, and streams. This may help to orient some members of the team and may also help it determine how to best represent their land and natural resources on the limited space available. The team may wish to select one individual to begin mapping, but the facilitator should do his/her best to ensure that all members of the mapping team participate in this process. **Make sure one person doesn't dominate!**

Phase 5: Revision of Map, as Necessary

Once the map has been drawn, ask the mapping team if the map reflects reality. If the team thinks that a feature is in the wrong place, out of alignment, or not to scale (in relation to other features on the map), the group should make the necessary corrections to the map.

Phase 6: Map Development—Land and Natural Resource Use

Once the draft map of community land and natural resource holdings is complete, the mapping team should begin developing an "overlay" of land and natural resource use. To do this the facilitator should place another plastic sheet directly on top of the map developed in Phases 4 and 5. He/she should then help the mapping team identify the location of key resource use areas—areas where a specific resource can be found and is harvested/collected.

Phase 7: Presentation of the Land and Natural Resource Holdings Map and the Land-Use Map to the Larger Community for Feedback

The facilitator—or better yet, a member of the mapping team—should begin by reviewing the purpose and explaining the process used in developing these maps. The presentation should first focus on the Land and Natural Resource Holdings Map. After orienting the larger group to the map, the individual should solicit input from the larger community group. Are there any errors that should be corrected? Using consensus input, the map should be revised, as needed. Once this is complete, the facilitator should overlay the land-use map. He/she should then begin soliciting input on the land-use map from the larger community group. Is there anything missing? Is anything improperly located? The facilitator should then build consensus on the revisions that need to be made to reflect the reality on the ground, in the eyes of the community.

The result of Phase 7 will be the community's map of their current land and natural resource holdings and their land-use map.

Preference or Pair-Wise Ranking[2]

Pair-wise ranking is a method that helps people set priorities (i.e., problems, needs, actions, etc.). Ranking can be undertaken by informants who represent a good mix of interests. Alternatively, and often more appropriately, it can also be conducted separately according to gender to determine different preferences between men and women.

Steps

- Identify the issue where preference ranking is required. It could be for any situation where the community or group is struggling to agree on priorities or importance. It is also suitable for issues where different groups (youth, men, and women) have different views and perceptions.
- Explain and agree on the purpose and objectives of the exercise before starting. Brief participants on how to conduct the exercise.
- Ask participants to identify and prepare a list of what is to be ranked.
- Prepare a matrix on a large sheet of paper or blackboard. Indicate the issues on the top and left side of the matrix.
- To get participants' preferences facilitate the comparison of issues with one another. The first issue on the left side of the matrix will be compared with all the issues listed on the top. The group should choose which is the most important or is assigned the higher priority of the two. Repeat the process until all the issues have been covered.
- Note (write down) the number of times each problem was considered the more important of the two compared. This is its score. Make a summary of the preferences and rank them according to highest to lowest score.
- Encourage discussions while the exercise is being conducted to enhance probing and cross checking of information. Ask participants' reasons for their choice and note these reasons.
- Give enough time for discussion—don't rush the exercise.
- At the end of the exercise, briefly discuss, analyze, and summarize the results together with participants.
- Record the details of the exercise in a notebook for future reference.

Preference Voting

In Preference Voting, all participants are given the opportunity to score or rank the importance of a product or problem or any other issue under discussion. It can be used to determine how the group feels about the relative importance of certain resources or products, or to rank certain issues.

In this exercise, participants are asked to indicate their views on a particular subject (resource or any other thing) by placing counters according to how they view or rank each resource. The group identifies the list or options to vote on. Each option presented to the group as a drawing on A4 paper (or similar) by a group member, in his/her own dialect. This helps to ensure all know what the options are. Each person is then given a number of counters (5–10)—these could be stones, leaves, or the like. For further analysis, men, women, and youth can be given different counters. They may choose to put all counters next to the one item, or spread them over a range of items reflecting how important each is to them.

In ranking resources, problems, issues, and so forth, it can be used as an alternative to pair-wise ranking. Unlike pair-wise ranking, however, little discussion is promoted among the group. Rather, individuals are asked to reflect on the importance of subject that they are to rank, and vote accordingly. The advantages

[2] Development In Nigeria (DIN). "Participatory Learning and Action," 2004.

are that all contribute equally to the ranking, and no one individual or vocal group can dominate the ranking procedure as can happen with pair-wise ranking. It is also a faster procedure. It is also more likely that the results will be surprising to village elites and leaders, as the anonymity of the process allows people to vote as they feel. The disadvantage is that valuable discussion does not take place that could lead to community agreement about the importance of resources. However, good facilitation when discussing the results can address this in some capacity.

Steps

- Determine what it is to be ranked or voted on. For example, to determine the most important NTFP, community problems, resource scarcity, or most prevalent illness (almost anything can be voted on).
- Ask the group to generate the options to be voted on—all suggestions should be included and none rejected.
- Using an A4 sheet, write the item, then ask members of the group to draw a picture to symbolize the item—the way all political parties have a logo. Ask the one drawing to stand and present what the symbol means to the group in its own dialect. Make sure everyone understands what the picture means.
- Place all the sheets with the pictures on the ground in the middle of the group and spread them evenly, allowing space for people to move around between them.
- Check the understanding of some of the picture with the group, especially those that you are not sure of and others that are similar to each other.
- Distribute counters to every member of the group. The number will depend on the number of options you are considering, but should be no more than 10; for larger groups, 5. These are the number of votes that each person has to cast.
- Explain to the group that they should use to counters to vote on what is the most important to them, and indicate the importance by giving more or less votes to each option. Try not to use an example so that you do not influence anyone; but if you must, make it very clear the conditions you are setting for the example.

Example 1. Ranking of NTFPs to a community (stones = men, leaves = women)

In this example, Bush Mango (2nd row from top, 2nd from left) received 17 votes and was identified as the most important for women (9 votes) and 2nd most important by men. Men identified palm (bottom row, 3rd from left) as the most important with 10 votes (15 in total).

Matrix Ranking and Scoring

Matrix ranking or scoring is commonly used to study, collect, analyze, and compare information on diverse subjects such as resources use, resources-use conflicts, constraints, opportunities, resources-availability trends, and many others.

It is a very important tool in PLA. It is very flexible and adaptable and can be used for a wide range of topics. Matrix construction generates a lot of discussion by the community in coming up with the variables to be included in the matrix. Details and explanations of these variables generate important information for the team. Matrices are also good tools used to rank problems, opportunities, and preferences.

Matrices are very easy to construct. Simple questions such as "where are the most important collections sites for your important NTFP's can be answered using a matrix. (Using the five most important NTFPs from the preference voting exercise in Ebbaken, the matrix may look something like the one shown here. (*note: scoring done by the author—not the community*)

	Primary Forest	Secondary Forest	Farmlands
Bush Mango	✖✖✖	✖✖✖✖	✖✖✖
Palm		✖✖✖✖	✖✖✖✖✖✖
Eruru	✖✖✖✖	✖✖✖✖	✖✖✖
Bush Meat	✖✖	✖✖	✖✖✖✖✖✖
Firewood	✖✖✖✖	✖✖✖✖	✖✖✖

From this matrix, information relating to the collection areas of main forest products is obtained. The scoring has been done by distributing 10 votes according to the importance of the collection area. The higher the number, the greater the importance.

Steps

- Decide on what is to be studied using matrix ranking (almost anything can be studied).
- Ask the group to generate the options and the criteria.
- Draw the outline of the matrix on the ground. If necessary, use symbols for specific products, NTFPs, crops, and so on. Almost anything can be symbolized so that people can understand; food can be shown as a plate, income by a Naira symbol, or ₦20 bill.
- Check the understanding of the group. Ensure everyone is together.
- If in a large group, divide it according to the number of criteria to be studied (in the above example, this will be 5—one for each NTFP). Assign one to each group; alternatively, each group can score all criteria.
- Distribute counters to each group. The number will depend on the number of options you are considering, but should be no more than 10.
- If working with a small group, simply place the counters next to each option.
- Explain to the group that they should use to counters to indicate the importance by giving more or fewer votes to each option. Try not to use an example so that you do not influence anyone, but if necessary, make it very clear that it is *only* an example.
- Ask the group(s) to rank or score each item (or the one they have been allocated).
- Follow up with a discussion on availability, changing land use, land scarcity, or any other relevant topic.
- If necessary, repeat the exercise with different groups—or separate gender groups in order to get gender-specific information.

- **Alternative scoring:** Each criterion can be ranked in importance up to a maximum set total. (see example 2). In this case, the emphasis is placed on scoring suitability or importance rather than preference. Limiting the counters forces participants to choose, and therefore make a choice according to their priority (they cannot give everything the maximum score).

Other examples of matrix ranking or scoring (score as you think appropriate—total 10)

Example 2. Main uses of NTFPs

	Food	Cash income	Medicinal	Domestic Use	Building
Bush Mango	✖✖	✖✖✖✖✖✖✖	✖		
Palm					
Eruru					

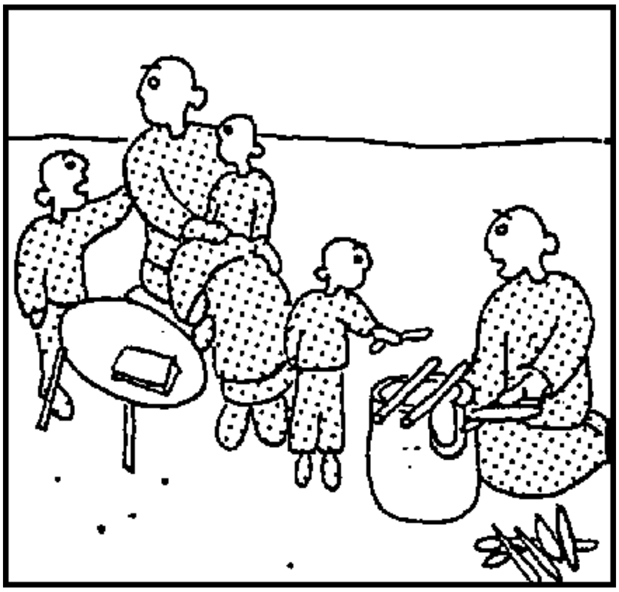
2. TIMELINE

This tool is a record of important events in the community that are relevant to land and natural resources. Constructing a timeline can help the CLUP team understand the history of land and natural resources in the community. In addition, with timelines, the CLUP team can understand how things have changed over a period.

To construct timelines, the facilitator should:

- Organize a group meeting and explain the purpose and context of constructing the timeline
- Ask the elders to identify events that shaped and influenced the community
- Guide a discussion on the key events in relation to the way the community used land and natural resources in the past. It is important to note that the timeline should not be an exercise where people merely recollect events that took place in the past. Rather, the team should use the exercise to stimulate discussion on land-use related problems and past attempts to address them.

Semi-Structured Interview[3]



[3] FAO. "The Community's Toolbox: The ideas, methods, and tools for participatory assessment, monitoring, and evaluation in community forestry." Rome, 1990.

3. TOOL DESCRIPTION

Semi-structured interviews are conducted with a fairly open framework that allow for focused, conversational, two-way communication. They can be used both to give and receive information.

Unlike the questionnaire framework, where detailed questions are formulating ahead of time, semi-structured interviewing starts with more general questions or topics. Relevant topics (such as cook stoves) are initially identified, and the possible relationship between these topics and the issues such as availability, expense, and effectiveness become the basis for more specific questions that do not need to be prepared in advance.

Not all questions are designed and phrased ahead of time. The majority of questions are created during the interview, allowing both the interviewer and the person being interviewed the flexibility to probe for details or discuss issues.

Semi-structured interviewing is guided only in the sense that some form of interview guide, such as the matrix described above, is prepared beforehand and provides a framework for the interview.

4. TRANSECT WALK

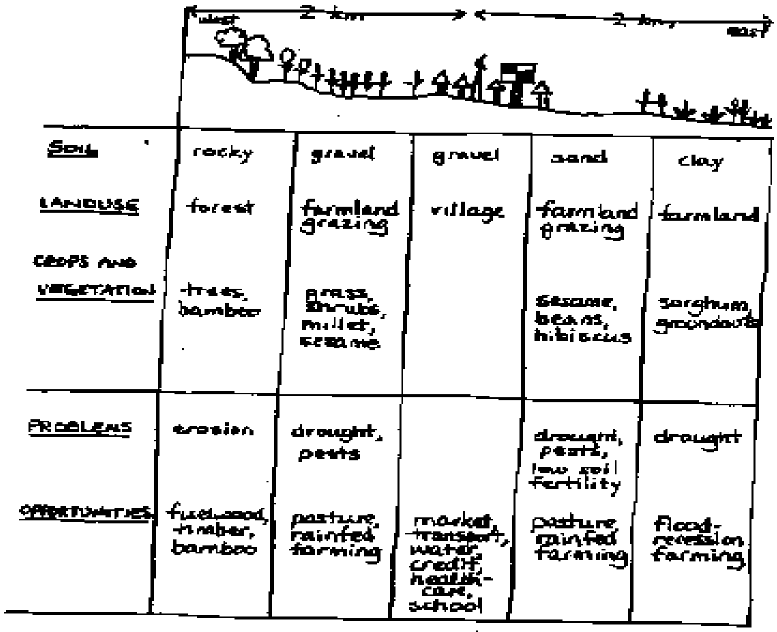
A transect walk is a planned way along a selected path that involves making observation, asking questions, listening, and discussing with the team on what they have seen. It is ideal to break up the larger team into subteams that can focus on subjects of interest. Conducting a plan in this way helps the team verify what it heard during indoor sessions with what it saw on the ground.

To carry out a transect walk, the facilitator should work with the team and choose a path or route reflecting changes in land characteristics such as height and vegetation cover.

Steps

- Find community members who know the subject well and are willing to be involved in the transect.
- Discuss with selected community members the CLUP team's interest in relation to transect walk.
- Take the transect walk.
- Make observations; ask questions and listen to people.
- Identify the main natural and agricultural zones and sketch the features of each zone.
- For each zone, describe land units and natural resources seen.
- Draw the transect as in the example below.
- Cross-check the transect with information collected during indoors sessions.

Example 3. A transect diagram[4]



5. TREND ANALYSIS

Learning Objective

- To understand the trends affecting the community's land and natural resources and the causes of these trends.
- To develop an understanding of the possible/likely impacts of these trends on the future of the community if they go unchecked.

Description

In this first step, the facilitator is tasked with mobilizing the community to gather and analyze information on trends affecting land and natural resources (availability/quantity and quality) and their use as well as the root causes of these trends. As part of this effort, and to begin to understand the processes of change, it is equally important for the facilitators to work with the community to gather information on the economic and socio-political—not only the biophysical—factors affecting land and natural resources, over time.

Given the diversity of resources, and the large percentage of people within the community who use these resources, the facilitator will need to ensure that the trends analysis involves a broad cross-section of the community.

Materials

- Flipchart paper
- Markers
- Tape

[4] Source: de Negri *et al.*, 1998.

Procedure

Phase 1: Brainstorming—Identification of Important Resources (including land)

In a large group, ask participants to identify key resources. The facilitator should capture the input of the group on a flipchart.

Phase 2: Ranking—Ranking of Important Resources

It is quite possible that the large group will identify more than 20 resources that are gathered/collected for household use (e.g., medicine, food, construction supplies, etc.) or for sale. If there is a need to focus on a few number of resources, the facilitator can use preference ranking or pair-wise ranking to have the group identify the 5 or 10 most important resources.

To start this process, the facilitator will facilitate the group in identifying the **prioritization criteria**. The facilitator can have some criteria established, which he/she can put on a list (e.g., resources used by the greatest number of community members, resources of greatest economic value, etc.) to which the group can add, or he/she can simply ask for the group to brainstorm criteria, and then choose five (or so) that they will use to rank the resources of greatest importance.

There are numerous methods that can be used rank or prioritize resources (e.g., preference ranking, pair-wise ranking, etc.). Whichever method is selected, it is important make sure that everyone in the group has the opportunity to express his/her voice in the process. Below is one example of a method that the facilitator can use:

1. On a flipchart write-down the name (or use a symbol) to identify each of the resources on the list randomly (order does not matter, it's just to label them with a letter or number or symbol).
2. Give each member of the group/participant five pieces of tape.
3. Have each participant consider the resources, and taking into account the criteria selected, decide which are the resources that they, individually consider the most important.
4. Give the participants five minutes to come to the front of the room to "vote" for the resources that consider the most important—they vote by putting the pieces of tape on the resources they would like to select.
5. The facilitator then tallies up the totals and creates a list of the top 5–10 most important resources.

Phase 3: Land and Natural Resource Trends Analysis

Organize small groups composed of resource user (or allow the participants to self-select themselves into small groups, by resource of greatest interest), for each of the resources identified in Phase 1, or prioritized in Phase 2.

Using a four-box matrix (see example below), ask the small group to identify the following:

- Changes in the availability/quantity or quality of the resource over the past 20 years.
- Changes in the harvesting or use of the resource over the past 20 years.
- Economic factors affecting the trend, over the past 20 years.
- Socio--political factors affecting the trend, over the past 20 years.

The facilitator may want to put in some time limits for each of these steps (i.e., for the four-box matrix you might just put in 20 minutes after you describe the step).

Example 4. Four box matrix

TRENDS ANALYSIS: NAME OF RESOURCE (e.g. Bush Mango)	
CHANGE IN AVAILABILITY/QUANTITY PAST 20 YEARS ❖ ❖ ❖ ❖	CHANGE IN HARVESTING/USE PAST 20 YEARS ✰ ✰ ✰ ✰
ECONOMIC FACTORS AFFECTING TREND OVER PAST 20 YEARS ✓ ✓ ✓ ✓	SOCIO-POLITICAL FACTORS AFFECTING TREND OVER PAST 20 YEARS ❖ ❖ ❖ ❖

Next, ask the group to envision the status of this resource, in their community, 20 years in the future if the trend remains constant. Using a two-box flipchart, capture:

- Their vision of the resource 20 years into the future.
- The impacts that they envision this having on their community.

Phase 4: Root Cause Analysis

In addition to understanding the trends identified in Phase 3 (above), it is also important to understand their cause. To identify the root causes, the facilitator should encourage a discussion around each completed four-box matrix, beginning by asking "Why is this trend occurring?" for each of the trends identified.

Phase 5: Presentation of Trends, Expected Future Impacts, and Causes and Effects to the Larger Community for Feedback

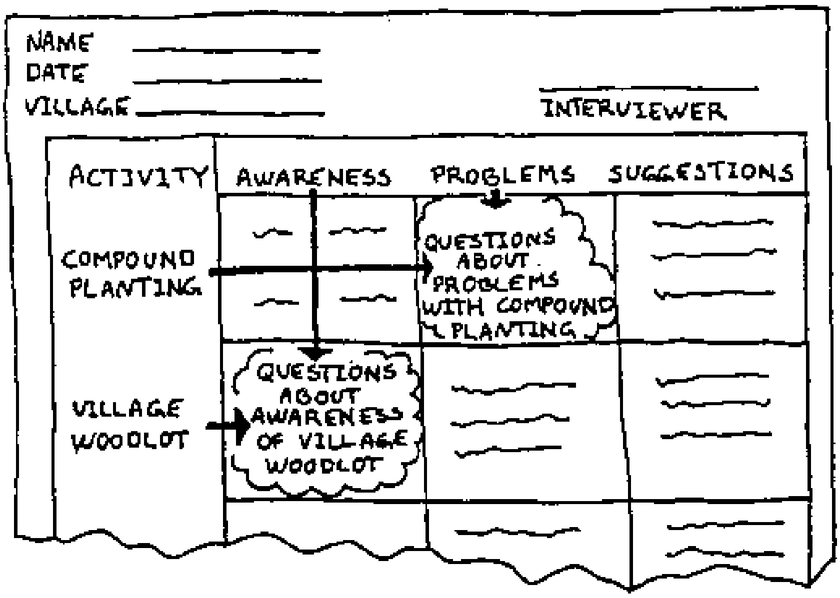
A member of the group should be selected by the group to present the findings to the community. This presentation should be captured on flipcharts, documenting:

- The trends
- Their cause and factors affecting the trend
- The vision of how the trend may affect the resource 20 years in the future
- Likely impacts of the trend on the community 20 years in the future.

Phase 6: Revision of Trends, Expected Future Impacts, and Causes and Effects Based on the Community's

Ask the group to select a member of each of the resource groups to make the presentation to the larger community. After the presentations are complete the facilitator can break the community out into a few groups, in which they can give structured feedback on a flipchart format. The small groups would again be organized around the same resources discussed by the small groups from the workshop (by resource). People would self-select into the groups/resources in which they want to give feedback, and they would discuss and make comments, capturing them on a flipchart format.

Tool description



Purpose of the Tool

- Obtain specific quantitative and qualitative information from a sample of the population
- Obtain general information relevant to specific issues (i.e., to probe for what is not known)
- Gain a range of insights on specific issues.

Major Benefits

- Less intrusive to those being interviewed, the semi-structured interview encourages two-way communication. Those being interviewed can ask questions of the interviewer. In this way it can also function as an extension tool.
- Confirms what is already known but also provides the opportunity for learning. Often the information obtained from semi-structured interviews will provide not just answers but the reasons for the answers.
- When individuals are interviewed they may more easily discuss sensitive issues.
- Help field staff become acquainted with community members. Outsiders may be better at interviewing because they are perceived as more objective.
- Using both individual and group interviews can optimize the strengths of both.

Using the Tool

1. Design (facilitator and/or interview team) an interview framework such as the matrix example. Include topics or questions for discussion.
2. Establish the sample size and method of sampling.
3. Interviewers can conduct a number of practice interviews with each other and/or with a few community members to become familiar with the questions and get feedback on their two-way communication skills.
4. Record only brief notes during the interview. Immediately following the interview, elaborate on the notes.

5. Analyze the information at the end of each day of interviewing. This can be done with the interview team or group.
6. Discuss the overall results of the analysis with community members so that they can challenge the perceptions of the interview team. This can make the process even more participatory.

Precautions in Using the Tool

- A lot of extra information may surface during interviews. Team meetings can help identify similarities in responses.
- Make sure that, in a personal interview, the person being interviewed understands and trusts that the responses will be confidential.
- It may take some practice for the interviewer to find the balance between open-ended and focused interviewing.
- In a semi-structured group interview, people may interrupt one another or "help one another out," or not take turns. They may get off the topic completely.
- Interviewers need some skills. The most common problem with interviewers is asking leading questions. Other problems are the following: failure to listen closely; repeating questions that have already been asked; failure to probe when necessary; failure to judge the answers; and asking vague or insensitive questions.

Focus Group Discussions[5]

A focus group interview is a structured group process used to obtain detailed information about a particular topic. It is particularly useful for exploring attitudes and feelings and to draw out precise issues that may be unknown to the researcher.

A focus group is composed of six to nine participants who are brought together to discuss a clearly defined topic. Typically, focus groups are composed of homogeneous people, all representing a particular segment of the population. A focus group session should last about 1½, hours with two hours being the absolute maximum time. A group facilitator keeps the discussion on track by asking a series of open-ended questions meant to stimulate discussion.

Advantages

- Relatively easy to undertake
- Results can be obtained in a short period of time
- Social interaction in the group produces freer and more complex responses
- The researcher can probe for clarification and solicit greater detail
- Responses have high face validity due to the clarity of the context and detail of the discussion.

Disadvantages

- Requires highly skilled moderator
- Groups are often difficult to assemble
- Individual responses are not independent of one another

5 "Extension to Communities: Focus Group Approach," Iowa State University. Extension. Ames Iowa, March 2001.

- Because the group is hand selected, the results may not be representative of the general population.

Steps in the Focus Group Process

1. **Clearly Define Purpose**
The first step is to identify what issues you would like to understand better, then formulate some objectives relating to the issues. Your objectives should be as specific as possible. Fuzzy thinking at this step could make obtaining useful focus group results difficult.

2. **Prepare Interview Questions**
Develop a set of questions to provide an overall direction for the discussion. The questions should flow from general to specific. Questions should be open-ended, simple, unbiased, and focused on the issue at hand. The purpose of the questions is to stimulate discussion. The questions are merely a guide for the discussion. Undoubtedly the discussion will illicit more questions and bring up issues that the facilitator will want to follow up on.

3. **Identify and Recruit Participants**
Identify the types of people who may be able to provide you with the answers you need. Think about the key population groups that may have an interest in the issues being researched. If you want to form several different, separate groups that represent different viewpoints. The groups can be formed based on several different characteristics: age, income, gender, race, place of work, place of residency, unemployed, single mothers, students, retired, education, and so on.

   Although the groups should have a common background, you should avoid getting people who know each other in the same group. You also want people who will participate in the discussion and freely share their opinions.

   Participants can be sent a letter inviting them to participate in the focus group. The letter should state the purpose of the focus group session, who is sponsoring and conducting the session, and what the results will be used for. It should be made clear that individual comments made during the focus group are strictly confidential. They can return a postcard indicating whether they will participate in the focus group. A telephone call reminding them of the time and place of the meeting is helpful.

4. **Pre-Meeting Preparation**
The meeting room should be quiet, comfortable, and free from outside distractions. Participants should all sit around a table so they can see each other. The chairs should be comfortable. Light refreshments can be served if they do not distract from the discussion.

5. **Conducting the Focus Group Interview**
The facilitator is the key to the focus group discussion. The facilitator must direct the discussion without being a part of it. She/he must have excellent communication skills. The facilitator must be able to create a relaxed, informal atmosphere where people feel free to express their opinions. The facilitator should never express her/his own opinions or judge the opinions of the participants.

The facilitator should ask a series of open-ended questions from general to specific. The questions should not get in the way of the participants expressing their opinions, experiences, and suggestions. The facilitator should allow the discussion to lead in new directions as long as the topics pertain to the subject of the focus group interview.

All members of the group should be encouraged to participate. One person should not be allowed to dominate the discussion. Some focus groups have participants write their ideas down without consulting others before discussion starts. This eliminates bias and brings out many different viewpoints.

The session should be tape recorded and transcribed after the meeting. Some focus group interviews are conducted with someone taking notes during the meeting. This sometimes inhibits the discussion. The facilitator may make some brief notes as long as they do not protrude into the discussion.

6. **Analyzing the Data**

The focus group will generate a lot of information. The task is to code and summarize the data for analysis and discovery.

The tape recording should be transcribed, omitting the names of the speakers. Type the discussion using a computer word processing program. After the discussion has been carefully typed, read the transcript looking for key words and concepts that reoccur. You'll want to count each instance of a key word or concept. Most word processing programs have a "search and find" feature that will find and count specific words and phrases.

The next step is to group the key words and phrases into several categories. Each category should have 3–10 key words or phrases. All comments should fit into at least one category. Some comments may have several key words that fit into different categories. Key words and phrases should be coded for (1) central theme and (2) general sentiment (positive, negative, neutral, suggestion).

After the key words and phases have been grouped into categories, the interpretation step begins. Central themes and issues will emerge. The relative weight of each theme should be accurately reported.

7. **Reporting Findings**

It is usually desirable in community development work to make a public presentation of the findings. Background information should be included in a written report of the findings.

Both quantitative and qualitative results should be reported. Quantitative results are statistical or numerical in nature—the number of people who mentioned *X* and the percent of people who think *Y*. Qualitative results are representative comments from focus group participants. Qualitative results create a vivid picture of the participants' feelings and mood. Comments can usually be directly quoted, making sure that the speaker is not identified. Comments should accurately reflect the views of the focus group with care taken not to bias the findings with unrelated comments.

ANNEX 2: M&E PLAN FOR KANYANG CLUP

Indicators	Baseline	Monitoring Strategy	Responsibility	When to Monitor
Objective: 1: To reduce the incidence of annual bush fire by 60% by the end of 2008				
Incidents of wild fire outbreak	Wild fire outbreak between November 2005 and March 2006	Youth surveillance operation	Natural Resources Management Committee	Dry season
Objective 2: To reduce the rate of forest loss by 30% over the next 5 years				
1. Land area under forest cover annually	Size of the forest in February 2005	Use of remote sensing with support from SPACE Project	External support	July every year
2. Crop yields per unit area	Farm sizes and yield of priority crops in 2005	Farm size measurement & estimation of crop yield using standard units of measure	Farmer Field School	Harvest season
Objective 3:To reduce poverty level among male-headed and female-headed households by 40% over the next 5 years				
1. Per capita cash income	Household cash income in December 2005	Household cash income survey	Development in Nigeria and Natural Resources Management Committee	December every year
2. Means of livelihoods	Livelihood options available by December 2005	Household cash income survey		December every year
Objective 4: To reduce the incidence of illegal exploitation of forest resources from protected area by 50% over the next 5 years				
1. Number of timber permits issued at the Bateriko Charge Office	Number of owners consent by December 2005	Check the Forest Committee's record annually	Natural Resource Management Committee	December 31 every year
Rate of bush meat harvested from protected areas	Volume of bush meat harvested from the Mbe Mountains in the peak period of the harvest season in 2005	Bush meat survey	Development in Nigeria and Natural Resources Management Committee	Peak period in bush meat harvest
Objective 5: Over the next 12months,existing local institutions and rule systems in Kanyang I and Kanyang II communities will be improved and empowered				
By-laws enforced reflected in number of cases handled by Town Council	Current practice as recorded in the plan	Community records	Development in Nigeria	Every six months

U.S. Agency for International Development
1300 Pennsylvania Avenue, NW
Washington, DC 20523
Tel: (202) 712-0000
Fax: (202) 216-3524
www.usaid.gov