

NATURAL RESOURCES SYSTEMS PROGRAMME
FINAL TECHNICAL REPORT¹

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Project Title

Common Pool Resources Synthesis Study

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Organisation

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NRSP Production System

Cross-cutting

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ANNEXES

Annex A – Technical Report

Annex B – Communication Products including:

- *Preventing Conflicts: Research into Management of Common Pool Resources. Summary briefing document for DFID*
- *Response to DFID’s Science and Technology Strategy consultation.*
- *Response to DFID’s White Paper consultation.*
- *Two Cultures and Tragedy of the Commons. Accepted by African Journal of Ecology*
- *Common Pool Resources: A gateway to insights from DFID’s RNRRS*
- *CPRs and International Development – Select Committee-style parliamentary briefing paper.*

Abbreviations and Acronyms

AFGRP	Aquaculture and Fish Genetics Research Programme
CAPRi	CGIAR Systemwide Program on Collective Action and Property Rights
CELP	Centre for Ecology, Law and Policy
CGIAR	Consultative Group on International Agriculture
CPR	Common Pool Resource
DFID	Department for International Development
FAI	Forest-Agriculture Interface
FMSP	Fisheries Management Science Programme
FRP	Forestry Research Programme
IFPRI	International Food Policy Research Institute
LWI	Land-Water Interface
LPP	Livestock Production Programme
MDG	Millennium Development Goal
NFTP	Non-Timber Forest Product
NR	Natural Resource
NRM	Natural Resource Management
NRSP	Natural Resources Systems Programme
PPR	Private Property Resource
PRS	Poverty Reduction Strategy
PRSP	Poverty Reduction Strategy Paper
PUI	Peri-Urban Interface
RNRR	Renewable Natural Resources Research
RNRRS	Renewable Natural Resources Research Strategy
SA	Semi-Arid
UN	United Nations

1 Executive Summary

A

The purpose of the project is to enable DFID (and other relevant agencies) to identify and address gaps in their knowledge on Common Pool Resources (CPRs) and poverty reduction, and to incorporate relevant lessons learned from the NRSP/ RNRRS into their development of policy and projects. CPRs are important for both poverty alleviation and mitigation, and have a central role in maintaining environmental sustainability. CPRs are found in a wide range of production systems on both land and water. They are a key topic for future DFID research in the themes of climate change, water and agriculture. Through the Renewable Natural Resources Research Strategy (RNRRS) research programmes, DFID has made a substantial investment in CPR research. This project (R8501) summarises this research and presents it in a form that will assist policy makers, researchers and practitioners in delivering new knowledge to enable poor people who are largely dependent on the NR base to improve their livelihoods.

Output 1. Conceptual framework and assessment of fit with DFID CPR strengths and weaknesses established. This output was achieved by consultation with researchers, policy makers, practitioners and project leaders. **OVI.** The framework for analysis used in the study was developed during the inception phase following consultation. It contains three levels: Millennium Development Goals, DFID Funding Streams, and Important Project Features.

Output 2. NRSP / RNRRS new knowledge / lessons learnt on CPRs and poverty reduction synthesised. The NRSP/ RNRRS database of projects was interrogated and summaries made of projects dealing with CPRs using the framework developed in Output 1. **OVI.** Summaries were made of 43 projects. Further project outputs were developed from these summaries combined with information obtained in the consultation.

Output 3. Products formulated to achieve effective uptake of Output 1 in context of Output 2. The style and format of the output products was based on the initial consultation carried out for Output 1. The outputs are a combination of responses to DFID consultations on future policy, reports for policy makers, a short manual for practitioners and an academic review for researchers. **OVI.** Summary briefing paper for DFID. Response to DFID's science and innovation strategy consultation. Select Committee style report aimed at Westminster policy makers. Academic review paper. A short 'Gateway' to RNRRS CPR best practice

Output 4. Uptake promoted. The outputs from Output 3 were promoted by distribution to their target audience. In the case of outputs for the policy makers, this was done by direct distribution. Outputs for researchers were promoted through publication in academic journals and for practitioners through the publication of a short pamphlet. Additional promotion was obtained through engagement with the media and a seminar. **OVI.** Distribution of outputs to target audience.

2 Background

The DFID Renewable Natural Resources Research Strategy (RNRRS) programmes are reaching full term so the opportunity exists to synthesise some cross-cutting issues that were tackled under different programmes and in a range of production systems. The demand for the synthesis projects was identified by DFID as part of its planning exercise for developing future research programmes. This project (R8501) deals with Common Pool Resources (CPRs). Common Pool Resources are natural or man-made resources available to more than one person, which can be subject to degradation from overuse. They can be managed under a variety of property rights regimes, from open access, to communal, state and private systems. Research into management of natural resource CPRs was an integral part of the Natural Resources Systems Programme (NRSP) logframe in the following production systems: Land Water Interface, Semi-arid and Forest Agriculture Interface. We also looked for CPR management issues in Peri-urban Interface projects. CPR research was also conducted under other DFID renewable natural resource research programmes and we drew on examples from the Forestry Research Programme (FRP), Fisheries Management Science Programme (FMSP), Aquaculture and Fish Genetics Research Programme (AFGRP), and Livestock Production Programme (LPP).

The project goal was to contribute to realising improved integrated natural resource management strategies for specific groups of the poor identified, tested and promoted with target institutions that are stakeholders in the various projects in the RNRRS project portfolio. The research builds on previous work carried out under the RNRRS and draws on the wide body of academic literature on CPRs. A wide-ranging consultation with policy makers, researchers and practitioners enabled us to highlight key areas for future research on CPRs and identify gaps in knowledge.

3 Project Purpose

This study aims to assemble RNRRS research findings on CPRs and poverty reduction into a synthesis that generates more effectively communicable and overarching findings than RNRRS component projects.

Its purpose is to enable DFID (and other relevant agencies) to identify and address gaps in their knowledge on CPRs and poverty reduction and to incorporate relevant lessons learned from the RNRRS into their development of policy and projects.

4 Outputs

Output 1. Conceptual framework and assessment of fit with DFID CPR strengths and weaknesses established. This output was achieved by consultation with researchers, policy makers, practitioners and project leaders. **OVI**s. The framework for analysis used in the study was developed during the inception phase following consultation. It contains three levels: Millennium Development Goals, DFID Funding Streams, and Important Project Features.

Framework for analysis

The following framework has been developed following initial consultation and will form the basis for the synthesis study's analysis. The framework will operate at three levels, from high level Millennium Development Goals, through DFID future spending channels, to details of individual projects.

Level 1. Millennium Development Goals

The relevant goals are 1 and 7.

Goal 1. Eradicate extreme poverty and hunger. Reduce by half the proportion of people living on less than a dollar a day. Reduce by half the proportion of people who suffer from hunger. We are looking for information on the role that CPRs play in poverty alleviation and mitigation.

Goal 7. Ensure environmental sustainability. Integrate the principles of sustainable development into country policies and programmes; reverse loss of environmental resources. Reduce by half the proportion of people without sustainable access to safe drinking water. Achieve significant improvement in the lives of at least 100 million slum dwellers, by 2020. Many projects have addressed CPR management and so can be used to develop sustainable management of CPRs. This is key to environmental sustainability. Water is an important CPR and appropriate management can improve sustainable access to water resources. Urban CPRs are an under-researched area, but they are likely to be important resources for rapidly expanding urban populations.

Level 2. Future DFID spending channels

The new DFID proposed strategy for research on sustainable agriculture suggests that funding will go down four channels:

1. Blue skies research administered by the research councils. Our report will contain a section that details areas of CPR research where continued support is needed and identify gaps for future new research areas.
2. Follow-up to existing DFID RNRRS projects. The study will highlight the most successful and promising avenues for CPR research that can go forward for validation.
3. Research relevant to the regional centres. The study will highlight CPR research relevant to the four proposed regional centres of Eastern Africa, Western Africa, Southern Africa and South Asia. This will be research carried out in the regions and research in other areas which can be transferred to the regions.
4. International agricultural research centres. CGIAR centres have a strong interest in management of CPRs, for example the Collective Action and Property Rights (CAPRI) programme at IFPRI. The study will provide information on DFID NR research on CPRs for the relevant CGIAR programmes as well as highlight promising areas of future research.

Level 3. Projects

Projects used within the analysis will provide examples of evidence-based outputs of research on CPRs. Both positive and negative lessons learnt will be sought and these will be tested against contemporary issues in CPR theory. It is also important to include in the synthesis examples of projects that include capacity building and development of science in host countries.

Output 2. NRSP / RNRRS new knowledge / lessons learnt on CPRs and poverty reduction synthesised. The NRSP/ RNRRS database of projects was interrogated and summaries made of projects dealing with CPRs using the framework developed in Output 1. **OVI**s. Summaries were made of 43 projects. Further project outputs were developed from these summaries combined with information obtained in the consultation.

Projects Summarised

Table 1 presents a list of projects summarised and the RNR program that supported and administered the work. The majority of the projects were under the NRSP, though there were interesting and rather different projects in the other programmes, adding to the diversity of CPR topics covered. The project summaries are presented in Appendix 1 of Annex A (Final Technical Report).

Table1 Projects reviewed

RNRRS Programme	Node Suite	Production System	Project code	Title
AFGRP N/A	N/A	R7917		Self-recruiting species in aquaculture, their role in rural livelihoods
FRP N/A	TMF	R5590		Sustainability of economic activities based on non-timber forest products
FRP N/A	H 2	R6320		Sustainable community forest management and carbon sequestration in indigenous communities in Chiapas, Mexico
FRP N/A	FAI	R6511		Enhancing the role of non wood tree products (NWTP) in livelihood strategies of smallholders in Semi-arid Kenya
FRP N/A	FAI	R6914		The economic analysis of stakeholder participation in participatory forest management (PFM)
FRP N/A	FAI	R7374		Rural livelihoods and carbon management
FRP N/A	N/A	ZF0165		Strategic researchable constraints for participatory forest management (linked to R8101)
FMSP N/A	N/A	R6436		The performance of customary marine tenure in the management of community fishery resources in Melanesia
FMSP N/A	N/A	R7334		The management of conflict in tropical fisheries
FMSP N/A	N/A	R8467		Incorporating common pool resource (CPR) issues into fisheries management policy in developing countries
LPP N/A	SA	R7432		Participatory development of community-based management plans for livestock feed resources in the semi-arid areas of Zimbabwe

NRSP	TC 3 - CPRs	FAI	R6386 & PD066	Review of common property rights, tenure and access rights in relation to land use management and planning at the Forest Agriculture Interface
NRSP	Ba	SEM	R6744	Indigenous knowledge and natural resources research: Bangladesh floodplains
NRSP	Ba 1	LWI	R6756	Investigation of livelihood strategies and resource use patterns in floodplain production systems based on rice and fish in Bangladesh
NRSP	Ba 1	LWI	R7562	Methods for consensus building for management of common property resources
NRSP	Ba 1	LWI	R8223	A learning and communications programme for the PAPD method
NRSP	Ba 1	LWI	PD131	The effectiveness of the PAPD method: a comparison of community organisation experience in the CBFM-2 project
NRSP	Ba 1	LWI	R8103	Consensus for a holistic approach to improve rural-livelihoods in riverine-islands of Bangladesh (CHAR)
NRSP	Ba 1 & 3	LWI	R8195	Integrated floodplain management - institutional environments and participatory methods
NRSP	Ba 3	LWI	R8306	Better options for integrated floodplain management - uptake promotion
NRSP	Ne 1	FAI	R6778	Community forestry in Nepal: sustainability and impacts on common and private property resource management
NRSP	Ne 1	FAI	R7975	Social structure, livelihoods and the management of CPRs in Nepal
NRSP	Ca 1	LWI	R6919	Evaluating the trade-offs between users of marine protected areas in the Caribbean
NRSP	Ca 1	LWI	R7408	Building consensus amongst stakeholders for management of natural resources at the Land Water Interface
NRSP	Ca 1	LWI	R8317	Pro-poor policies and institutional arrangements for coastal management in the Caribbean
NRSP	EA 2	H	R7856	Strengthening social capital for improving policies and decision-making in NRM
NRSP	EA 3	SA	R7857	Review of common pool resource management in Tanzania
NRSP	EA 3	SA	R7150	A synthesis of two case studies where wildlife, tourism and pastoralism interact in Kenya
NRSP	EA 3	SA	R7304	Zimbabwe: micro-catchment management and common property resources
NRSP	EA 3	SA	R7973	Policy implications of common property resource (CPR) knowledge in India, Zimbabwe and Tanzania
NRSP	In 3	SA	R8280	Incorporating stakeholder perceptions in participatory forest management in India
NRSP	EA 3	SA	R8116	Improving management of common pool resources in rainwater harvesting systems
NRSP	EA 2	Cross-cutting	R8400	Advancing the use of the products of NRSP's past and current research projects in Eastern Africa
NRSP	Gh 1	FAI	R7577	Environmental policies and livelihoods in the forest margins of Brazil and Ghana
NRSP	Gh 1	FAI	R7957	Poverty dimensions of public governance and forest management in Ghana

NRSP	Gh 1	FAI	R8258	Informing the policy process: decentralisation and environmental democracy in Ghana
NRSP	PUI 2	PUI	R7867	Filling gaps in knowledge about the peri-urban interface around Hubli-Dharwad
NRSP	PUI 2	PUI	R7872	Renewable natural resource use in livelihoods at the Calcutta peri-urban interface
NRSP	In 3	SA	R7877	Common pool resources (CPRs) in semi-arid India – dynamics, management and livelihood contributions
NRSP	In 3	SA	R7974	Human and social capital aspects of soil nutrient management, semi-arid India
NRSP	In 3	SA	R8192	Enabling rural poor for better livelihoods through improved natural resource management in SAT India
NRSP	In 1	HP	R8100	Investigating improved policy on aquaculture service provision to poor people
NRSP	In 1	HP	R8334	Promoting the pro-poor policy lessons of R8100 with key policy actors in India

Output 3. Products formulated to achieve effective uptake of Output 1 in context of Output 2. The style and format of the output products was based on the initial consultation carried out for Output 1. The outputs are a combination of inputs into DFID policy consultations, reports for policy makers, a gateway to best practice for practitioners and an academic review for researchers. **OVI**s. Summary briefing paper for DFID. Response to DFID’s Science and Technology Strategy consultation. Response to DFID’s White Paper on International Development consultation. Select Committee style report aimed at Westminster policy makers. Academic review paper published in the Journal of African Ecology. A ‘Gateway to RNRRS Best Practice’.

Key issues included in the output products, derived from both RNRRS projects and consultation.

The complete documents produced as OVI from Output 3 are presented in the technical annexes. Products were promoted directly to their target audiences as given in Table 2. In addition, products were placed as resource material on the International Land Coalition D-groups forum on CPRs.

Table 2. Output 3 OVI and corresponding target audience

Output 3 OVI	Target Audience
Summary briefing paper for DFID	Policy makers in DFID.
Response to DFID’s Science and Technology Strategy consultation in the DFID science consultation process.	Policy makers in
Response to DFID’s White Paper on International Development consultation.	Policy makers in DFID.
Select Committee style report aimed at Westminster policy makers Westminster, specifically members of the international development select committee and	Policy makers in

MPs with an interest in international development.

Academic review papers **Researchers** through publication in academic journals. E.g. 'Policy Piece' on CPRs accepted for the African Journal of Ecology.

Gateway to RNRRS best practice mailing list. **Practitioners** identified through the NRSP

The list below summarises some key issues that were identified in the project review process and during the consultation. They therefore serve to highlight both where RNRRS projects have contributed and where further research and policy action is required. While most issues of relevance to CPRs are crosscutting by nature, for the purposes of clarity the issues have been organised around nine broad themes.

1. CPRs and achieving the MDGs

Sustainable and equitable management of CPRs is essential in order to realise MDGs 1 (eradicate extreme poverty and hunger) and 7 (ensure environmental sustainability). The livelihoods of many people in developing countries are inextricably linked with CPRs. For example, a survey in six countries in eastern and southern Africa by **FRP R5590** showed that south of the Sahara an estimated 15 million people could be engaged in forest product harvesting. As well as providing an essential subsistence base for the poorest and most marginalised social groups, CPRs have also often been observed to support access to new market opportunities among these groups. For example, **NRSP R7974** identified the role of CPRs in providing the landless and marginalised poor with access to emerging markets for organic fertilisers in semi-arid India as a result of government policies that have led to increased cattle ownership amongst these groups. Maintaining these livelihood contributions is usually dependent on the CPR being managed sustainably. Sustainable CPR management thus contributes to both poverty reduction and environmental sustainability.

2. CPRs and responding to global uncertainties

A vital area for future research is the investigation of what pressing global challenges mean for local CPR management. These include challenges such as climate change (**FRP R6320** and **R7374** make a relevant contribution here), HIV/AIDS, and major resource variability, which is likely to worsen under future climate change scenarios. Questions highlighted in the consultation stage of this study included: How are people adapting? Who's gaining / losing? How are people building resilience? And what are the ingredients of a successful response? Such research will provide policy makers with essential tools and insights into approaches to dealing with these global challenges, and has significant pre-emptive value.

3. Pressures, challenges and threats to CPRs

CPRs are subject to a range of pressures, challenges and threats. For example, the increasing emphasis on and incentives for intensive farming practices are often observed to drive privatisation of natural resources and exclusion of vulnerable groups from previously communal land. The penetration of market relations into areas previously regulated by traditional institutions may present its own unique challenges to CPR management. There may also be conflicts between achieving livelihood and environment objectives. For example, **NRSP R7150** highlighted a situation where community wildlife conservation is dependent on high income generation potential, capacity building and accountability in local

institutions, accompanied by dialogue and strong links between communities and local/national government structures. Without these conditions wildlife conservation is likely to have a negative impact on food security and incomes. Understanding these pressures, challenges and threats is integral to developing pro-poor policy that properly recognises and builds upon the role of CPRs in achieving the MDGs.

4. CPR management approaches

Effective policy responses that utilise the potential contribution of CPRs to achieve the MDGs are reliant on a proper understanding of the issues that determine sustainable CPR management. A wide range of relevant issues emerged during this study, some of which have been addressed, either directly or indirectly, by RNRRS projects, and others which require further research/policy attention. The issues can be broadly summarised as:

- Tenure security (**FRP R6386** and **NRSP PD066** are of relevance here)
- Negotiating rights of access to CPRs (**NRSP R6744**, **NRSP R6756**, **NRSP R7562**, **NRSP R6919** and **NRSP R7408** make contributions here)
- Understanding the effectiveness of CPR management in the face of commercialisation (**FRP R6320** and **FRP R7374** make contributions here)
- Indigenous knowledge of CPRs (**NRSP R7973** is of relevance here)
- Maintaining/re-establishing cooperation
- Achieving community participation (**FRP R6914**, **LPP R7432**, **NRSP R6756**, **NRSP R6744**, **NRSP R8103** and **R8306** make contributions here)
- Common Pool vs. Common Property – understanding the difference
- Sustainability of new CPR uses
- Defining capacity limits
- Impact of new participatory mechanisms for NRM (**FRP ZF0118**, **FRP ZF0165**, **NRSP R8103**, **NRSP R8306**, **NRSP PD131**, **NRSP R7856** and **NRSP R8400** are of relevance here)
- Understanding lessons from the use of traditional technology in NRM in the context of new technology

5. Impacts of external intervention in CPR management

A key issue to take on board with regard to external intervention in CPR management is the fact that there are no ‘one size fits all’ approaches. In recognition of this, the RNRRS has funded a number of projects that have developed evidence-based frameworks for assisting policy makers and researchers in decision-making and responding to CPR management opportunities. For example, **NRSP R7973** developed a framework for the analysis and understanding of the choices involved in formulating policy for managing multiple-use CPRs in semi-arid regions of Africa and India. This framework provides the basis for a methodology developed in **NRSP R8280** which facilitates the evidence-based resolution of CPR management policy conflicts to the benefit of the poor.

A related issue is the limitations of sectorally focused approaches which fail to capture the complex interrelationships between different natural resource systems. Again, there are contributions from the RNRRS here. For example, **NRSP R6756** developed an integrated

biophysical and socioeconomic systems framework that could explicitly demonstrate the potential trade-offs, side-effects and points of tension resulting from single sector or narrowly focused policy interventions. In association with **NRSP R6744**, a methodology was also developed for the local interpretation of natural resources management and decision-making by different producer groups.

6. Peri-urban CPRs

Despite the valuable work that the RNRRS has focused on peri-urban production systems, this study has highlighted a lack of specific knowledge within the broader CPR management field as to the dynamics and contributions of peri-urban CPRs. Urban areas tend to have the highest land values, and hence highest pressure on the commons, often resulting in privatisation. Many of the slums/informal settlements are on land that was set-aside for commons. This is of increasing relevance due to current exponential rates of urbanisation. Three important questions to be addressed here are:

1. How important are peri-urban CPRs in terms of the role they play in peri-urban livelihoods?
2. If peri-urban CPRs are inevitably being transformed to private property resources, can this transition be managed so that it is equitable and inclusive of the poor, and if so, how?
3. What are the specific characteristics of peri-urban CPRs, and is the influence of urbanisation on them positive or negative (e.g. increasing competition for land and water, opportunities due to demand from urban markets and constraints such as pollution and natural resource degradation)?

7. Idealising the commons

It is important not to idealise the commons. Many CPRs are not effectively managed; or if they are effectively managed, the distribution of benefits may not be equitable. There is high variability. For example, **NRSP R7304** demonstrated that, in the case of micro-catchment CPRs in Zimbabwe, local interventions in natural resource management were unlikely to reduce poverty. There were a number of reasons for this, including:

- Natural resource management is characterised by complex physical and social dynamics that do not always work in accord with one another.
- Local management has greater legitimacy for local communities, but is marginalised by the national governance frameworks. Local management, however, does not necessarily mean better management, since there can be high levels of corruption and rent seeking.
- Huge climate fluctuations can have more important impacts on resources than human use. This variability will often override any local initiatives to improve incomes from natural resources.

NRSP R7975 also highlighted the fact that community management does not necessarily mean equitable access to the resources by poor people. The project demonstrated that a change to community forest management in the Terai region of Nepal has been accompanied by a loss of access by the Tharu, the original inhabitants of the Terai who traditionally used the forests on a seasonal basis.

8. Strategic policy considerations

A number of strategic policy considerations have emerged from both consultation and

analysis of RNRRS projects. In responding to the issues raised above to harness the potential role of CPRs in achieving the MDGs, policy makers should consider the following issues:

- There are no ‘one size fits all’ policies (**NRSP R7973** and **NRSP R8280** make particular contributions here)
- Links between CPRs and broader policy frameworks, e.g. PRSPs (**FRP R6320, FRP R7374** and **NRSP R7150** make contributions here)
- Need for coherent DFID approach to CPR research
- Many respondents to the consultation perceived a broad failure to translate research into policy. Certain projects within the NRSP have, however, led to successful uptake of research into policy. For example, communication work conducted during rainwater harvesting research resulted in a favourable change in policy for water management and conservation. (**NRSP R8115** and **NRSP R8116** provide insights here). Another example is provided by the Indian national policy directive on length of leases relating to use of (CPR) seasonal ponds in eastern India, which led to state-level policy changes (the **NRSP Annual Report 2003-04**, Part I, pages SSxi-xii and **NRSP R8334** are of relevance here). In both examples above it was the high standard of communication with policy-relevant stakeholders that stimulated the policy changes.
- Communicating best practice
- Inadequacies of macro-economic policy solutions
- Need for interdisciplinary approach to CPR research (There are several examples of RNRRS projects that exemplify best practice in interdisciplinary CPR research, e.g. **NRSP R6756, AFGRP R7917, NRSP R8116a, NRSP R6778, FRP R6320 & R7374, FRP R6914, NRSP R7577** and **NRSP R7408**)
- Need for improved, flexible and more long-term monitoring and evaluation
- Need to understand links between policy processes and why certain issues make it into policy

9. Conflict resolution and CPRs

RNRRS projects make strong contributions across a range of areas of contemporary concern with regard to CPRs and poverty alleviation. However, a common theme that arose throughout the consultation undertaken for this study was the need for effective techniques to resolve the tensions and conflicts which surround many of the central issues of contemporary concern with regard to socially equitable and environmentally sustainable CPR management.

The consultation raised three key issues, namely:

1. Concern regarding a perceived narrowing of DFID’s approach to science and technology, and a worry that DFID research might lose the combination of insights from the social and natural sciences necessary to address problems that cannot be solved by technical intervention alone.
2. Concern regarding the impact on poor and marginalised people of the current trend towards privatisation of common resources and the accompanying emphasis on macro-economic approaches to poverty alleviation. This highlights important conflicts between commercial and non-commercial CPR uses.
3. The need to develop effective negotiation techniques to address conflicts relating to CPR tenure regimes.

Clearly, conflict resolution is a central requirement in addressing issues 2 and 3. Consensus building and stakeholder participation are also key to the introduction of technical solutions to poverty alleviation. If DFID is to support research into fields such as biotechnology, then

supporting research is also needed on the more complex, interdisciplinary approaches required to resolve the conflicts around CPRs that accompany introduction of new technology, and which impact on poor and marginalised people.

During the analysis of RNRRS CPR projects it became clear that a strong contribution had been made in developing and testing a range of interdisciplinary, evidence-based techniques and methodologies that were of clear value in conflict resolution around CPRs. This work is explored in more detail in the next section of this report, but included, for example, the work of **NRSP R6756** and **NRSP R6744** that is highlighted above. Other examples include **NRSP R7562**, which developed consensus-building methodologies to enable sustainable management of CPRs together with a typology of methodologies and a decision tree to guide managers of CPRs in their application. **NRSP R6919** and **NRSP R7408** also researched techniques of trade-off analysis and consensus building in the coastal zone.

This synthesis study identified DFID's knowledge gaps on CPRs and poverty reduction and the relevant lessons learnt from the RNRRS. Conflict resolution and consensus building is central to the majority of gaps highlighted by the consultation and literature review. RNRRS CPR projects have made a major contribution to this field, particularly in applying techniques for consensus building and stakeholder participation in natural resource management. These topics therefore formed the basis for the summary briefing document for DFID (Annex B).

Summary findings

The project's summary findings based around the project's overall purpose can be summarised as follows:

DFID's knowledge gaps on CPRs and poverty reduction

DFID's knowledge gaps on CPRs and poverty reduction can be broadly summarised around three key themes, namely:

1. A need for greater understanding of the impact on poor and marginalised people of the current trend towards privatisation of CPRs.
2. A lack of appreciation of the potential ineffectiveness of macro-economic approaches to poverty alleviation in the absence of appropriate CPR management regimes.
3. Developing further understanding of the circumstances that define why some tenure regimes work while others do not.

As highlighted in the main body of this report, these knowledge gaps tend to centre on issues of conflict management including conflicts between competing CPR user groups, conflicts between commercial and non-commercial resource uses, and livelihood / environment conflicts. RNRRS projects have provided important insights in all these areas, and it is important that these are built upon with future DFID research and policy.

There are also several less central but nevertheless important issues that require attention from DFID. These include research into CPRs at the PUI and in urban areas, development of improved, more flexible monitoring and evaluation systems, and a more reflexive focus on why certain policy solutions, for example biotechnology, gain policy credence at any one time while other, potentially more effective solutions remain at the margins of policy dialogue.

Key policy lessons

1. CPRs are vital for poverty alleviation and environmental sustainability. Research on a wide variety of natural resources has consistently demonstrated that CPRs are an essential part of the livelihoods of poor people.
2. A prerequisite of successful policy intervention geared towards socially equitable and environmentally sustainable CPR management is an understanding of the socioeconomic and institutional conditions governing their current use.
3. Technical innovations cannot be implemented without understanding the institutions under which CPRs are governed.
4. It is necessary to understand and reconcile conflicting stakeholder perspectives and incentives in order to develop effective policy. Simple and effective tools have been developed by DFID RNRRS programmes for evidence-based analysis and resolution of these conflicts.
5. The potential exists for a local / global transfer of benefits to reduce pressure for commercialisation that tends to exclude poor people. For example, the introduction of markets for carbon that reflect the value to the global community of carbon sequestered by forest CPRs in reducing global climate change. This could provide poor people with an economic benefit from communally managed forests, therefore reducing the pressure for commercial timber extraction and preserving the vital services and products that poor people rely on forest CPRs for, such as fuel wood, foraged food and medicinal plants.

Translating lessons into practice

DFID should take on board the lessons learnt from the RNRRS with regard to CPRs and move forward to translate them into practice by building on them within its future work. Some key actions suggested by the analysis in this report include:

1. Ensure that DFID's future strategic direction does not lose sight of the need to combine insights from the social and natural sciences in order to address problems essential to poverty alleviation that have no technical solution. As highlighted by the House of Commons Select Committee on Science and Technology in International Development (p. 35), any perceived gap between the natural and social sciences represents an artificial dichotomy as 'both have key roles to play, alongside governance considerations'. The RNRRS programmes have provided many examples of best practice in interdisciplinary research on CPR management. DFID should build on these examples of best practice in its future work. This includes examples such as work on institutional arrangements for effective rainwater harvesting programmes in semi-arid regions, and finding consensus between commercial and non-commercial uses of ponds in the floodplains of Bangladesh.
2. Explicitly address the need for coordinated research and policy development on CPR management. This should include maintained links with external research organisations such as CGIAR and their Systemwide Program on Property Rights and Collective Action (CAPRi).
3. Reflect on and act to address the gaps identified above in DFID's knowledge on CPRs and poverty reduction.
4. Institute a mechanism within DFID headquarters to translate research, such as that on

CPRs, into development policy and practice. This should be geared towards ensuring effective communication networks so that lessons learnt from RNRSS and other DFID funded work are disseminated to policy makers and practitioners in the field. It should also respond to the point raised in the House of Commons Select Committee on Science and Technology and International Development (p. 32) with regard to poor links between DFID's central research department and its country offices.

5. Facilitate internal debate within DFID and between DFID and external practitioners on the issue of 'two cultures' and the perceived dichotomy between the natural and social sciences which reaches right through to the need for interdisciplinary teaching at schools and universities.

Key messages

The key messages arising from this synthesis study can be summarised as follows:

- Common pool resources (CPRs) are essential to the livelihoods of the poor, but their use by the poor is often contested or restricted. Developing sustainable, pro-poor CPR management regimes is critical to poverty reduction and maintaining environmental quality.
- An understanding of socioeconomic and institutional conditions governing current CPR use is a prerequisite for developing successful policy for CPR management.
- It is necessary to understand conflicting stakeholder perspectives and incentives in order to develop effective policy for CPR management. Simple and effective tools exist for evidence-based analysis and resolution of these conflicts.
- Social solutions are needed alongside technical solutions to help overcome conflict and ensure sustainable and equitable use of natural resources. This approach reduces pressure for commercialisation and privatisation which tend to exclude poor people.
- Design of effective and sustainable CPR management needs to take economic costs and benefits into account. Easily applied models and methods of economic analysis have been developed to help create CPR management regimes which give positive returns.
- Property rights determine access to CPRs. The nature of these property rights affects productivity and levels of exploitation of resources. There is much to be learned from traditional management systems.
- The potential exists for a global–local transfer of benefits through implementation of international agreements such as the Kyoto Protocol and the Clean Development Mechanism, which can provide incentives for better CPR management.
- Local institutions for CPR management need to be strengthened to ensure effective and equitable engagement with national level policy makers, and to ensure implementation of pro-poor policy.

Output 4. Uptake promoted. Promotion of the outputs from Output 3 is being facilitated by distribution to their target audience. In the case of outputs for the policy makers, this has been done by direct distribution of consultation responses and the summary briefing paper. Outputs for researchers are being promoted through publication in academic journals and for practitioners through the distribution of the gateway to best practice document. **OVI**s. Distribution of outputs to target audience. Publication in peer-reviewed journals.

5 Research Activities

research Activities

Research activities for the synthesis study included: 1. An initial consultation. 2. Creation of summaries of RNRR projects dealing with CPRs. 3. Contact with leaders of RNRR projects dealing with CPRs. 4. Input to DFID's science and innovation and innovation strategy. 5. Involvement in the Land Coalition D-groups forum on CPRs. 6. Preparation of academic review papers on CPRs. 7. Preparation of the select committee style review paper. 8. Preparation of the best practice manual.

1. Initial inception-phase consultation with a broad range of policy makers, practitioners and researchers. The consultation determined the analytical framework used for abstracting the RNRR projects and the form of the main project products. In particular the products 'Response to DFID's Science and Technology strategy consultation', 'Response to DFID's White Paper on International Development consultation' and 'Select Committee style report' arose from the initial consultation with members of the government International Development Select Committee and Africa All Party Group. This process thus involved policy makers and used their perspectives to modify the proposed research activities.

2. Interrogation of the RNRR programme database of projects to select projects which contained a component of research on CPRs. Project reports were accessed through the web-based archives of the programmes. In particular, the NRSP archives held on Infobridge were comprehensive and easy to access. The projects were then summarised using the framework derived from the initial consultation process. A total of 43 projects were summarised (see Table 1 in Section 4 above).

3. Contact with RNRR project leaders of the projects identified as being relevant for CPRs in order to obtain information on any recent products from their projects (e.g. products which might not have been included in reports available from the programme offices), and to ask their opinion on key issues and gaps in CPR research. A total of 53 project leaders were contacted. Of these, 30 replied with information on reports, papers or other products and comments on CPR management; 11 did not reply; and 12 had out of date contact information. Visits were made to key individuals.

4. Input into the consultation on DFID's Science and Technology Strategy and DFID's White Paper on International Development was made to highlight the importance of research on CPRs and bring the project products to the attention of policy makers in DFID. Examples were drawn from the RNRR programme database using the project summaries to demonstrate the wealth of evidence-based research on CPRs that was generated under the RNRR programmes. The reply to the consultation also suggested key areas of future research and integrated comments obtained from our consultation process.

5. Consultation with Land Coalition Forum on CPRs was carried out through the web-based internet forum organised by the FAO Land Tenure Service, the Collective Action on Property Rights initiative (CAPRi) and the International Land Coalition (ILC). The main goal of this collaborative study was to better understand the latest developments in common property and identify lessons on strengthening common tenure regimes where appropriate. The forum had 80 participants from a wide variety of non-governmental and governmental organisations in many different countries.

6. Preparation of academic review papers on CPRs has commenced with an invitation to prepare a 'Policy Piece' for the African Journal of Ecology. The review papers will primarily

cover material that has been published in academic journals rather than ‘grey literature’, but also direct readers to the Info-bridge resource developed by NRSP. Publication of other academic review papers will depend on the normal peer review process. An invitation has been received to prepare a review paper for a special edition of the journal ‘Conservation and Society’.

7. Preparation of the select committee style review paper is designed to target policy makers in Westminster who are making decisions on international development programmes. This paper refers extensively to the RNRR projects, using examples of evidence-based science to suggest future research directions. In particular, it is designed to build on the findings of a previous select committee paper on science in international development.

8. Preparation of the gateway to best practice aims to provide a simple reference point for land-use managers, researchers and policy makers involved in various aspects of CPR management that highlights examples of best practice and points readers towards relevant, more detailed literature. This will be published as a short pamphlet for distribution to the NRSP mailing list. An external expert on CPR management has reviewed the text to ensure that it is appropriately targeted.

6 Environmental assessment

6.1 What significant environmental impacts resulted from the research activities (both positive and negative)?

No direct environmental impacts resulted from the project activities.

6.2 What will be the potentially significant environmental impacts (both positive and negative) of widespread dissemination and application of research findings?

Management of CPRs can have major environmental impacts. Positive benefits are the potentials for combining biodiversity conservation with economic activity. Negative impacts are the potential for a ‘tragedy of the commons’ through unsustainable utilisation of CPRs. The project emphasises the importance of environmental sustainability in order to overcome the negative impacts.

6.3 Has there been evidence during the project’s life of what is described in Section 6.2, and how were these impacts detected and monitored?

No.

6.4 What follow up action, if any, is recommended?

None.

7 Contribution of Outputs

7.1 NRSP Purpose and Production System Output

By summarising RNRRS research on CPRs, reviewing it in the context of contemporary CPR literature and consultation with relevant individuals and organisations, and finally presenting it in a form useful to the target audience of policy makers, researchers and practitioners, the project outputs have contributed to the NRSP’s purpose by delivering new

knowledge that enables the target audience to assist poor people who are largely dependent on the NR base to improve their livelihoods.

7.2 Impact of outputs

The OVI at the project purpose level is ‘New knowledge generated by CPR synthesis study taken up by DFID and incorporated into policy and planning.’

It is too early to make a robust statement as to the level of uptake within DFID of the new knowledge generated by this synthesis study. A first indication of this will be gained both from the response within DFID to the study’s summary briefing paper, and the extent to which the study’s response to DFID’s consultation is reflected in its Science and Technology Strategy.

7.3 Uptake Promotion

Once the project’s deliverables have been finalised, engagement with target institutions can begin. This will include a potential visit to Westminster to present at a seminar discussing the Select Committee-style briefing paper and follow-up contact with Wren Media.

8 Publications and other communication materials

8.1 Books and book chapters

None

8.2 Journal articles

8.2.1 Peer reviewed and published

None

8.2.2 Pending publication (in press)

Jon C. Lovett, Claire H. Quinn, David G. Ockwell and Robbie Gregorowski 2005 *Two Cultures and Tragedy of the Commons* African Journal of Ecology

8.2.3 Drafted

None

8.3 Institutional Report Series

None

8.4 Symposium, conference and workshop papers and posters

None

8.5 Newsletter articles

None

8.6 Academic theses

None

8.7 Extension leaflets, brochures, policy briefs and posters

Jon C. Lovett, Claire H. Quinn, David G. Ockwell and Robbie Gregorowski 2005 *Response to DFID’s Science and Technology Strategy consultation* Centre for Ecology, Law and Policy, University of York, UK 25 pp.

Jon C. Lovett, Claire H. Quinn, David G. Ockwell and Robbie Gregorowski 2005 *Response to DFID’s White Paper Eliminating World Poverty consultation* Centre for Ecology, Law and Policy, University of York, UK 21 pp..

Jon C. Lovett, Claire H. Quinn, David G. Ockwell and Robbie Gregorowski 2005 *Common pool resources: management for equitable and sustainable use*. NRSP Brief. Hemel Hempstead, UK: DFID-NRSP 6 pp.

Jon C. Lovett, Claire H. Quinn, David G. Ockwell and Robbie Gregorowski 2005 *Common Pool Resources: A gateway to insights from DFID's RNRRS* Centre for Ecology, Law and Policy, University of York, UK 23 pp.

Jon C. Lovett, Claire H. Quinn, David G. Ockwell and Robbie Gregorowski 2005 *CPRs and International Development. Select Committee-style parliamentary briefing* Centre for Ecology, Law and Policy, University of York, UK 16 pp.

8.8 Manuals and guidelines

None.

8.9 Media presentations (videos, web sites, TV, radio, interviews etc)

None.

8.10 Reports and data records

8.10.1 Project technical reports including project internal workshop papers and proceedings

Jon C. Lovett, Claire H. Quinn, David G. Ockwell and Robbie Gregorowski 2005 *R8501 Common Pool Resources Synthesis Study. Annex A of Final Technical Report for NRSP Project R8501* Centre for Ecology, Law and Policy, University of York, UK 143 pp.

8.10.2 Literature reviews

None.

8.10.3 Scoping studies

None.

8.10.4 Datasets

None.

8.10.5 Project web site, and/or other project related web addresses

None.

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10 Project logframe

Project Number document)	Log frame and Production System reference number (complete from tender document)
R8501	NRSP 2.1.3(a)

Narrative summary verification	Objectively verifiable indicators Important assumptions	Means of
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Goal

Contribute to realising improved integrated NR-management strategies for specific groups of the poor identified, tested and promoted with target institutions that are stakeholders in the various projects in NRSP's portfolio. Options and programmes for improving integrated NR management relevant to the poor in at least two target audiences or institutions enhanced as a result of engagement with study products

Project FTRs and peer-reviewed publications

NRSP Annual Reports

Target institution reports

Purpose

To enable DFID (and other relevant agencies) to identify and address gaps in their knowledge on CPRs and poverty reduction and to incorporate relevant lessons learned from the NRSP into their development of policy and projects.

New knowledge generated by CPR synthesis study taken up by DFID and incorporated into policy and planning.

Target institution policy and planning reports.

Outputs

Use one row for each output and keep OVI's, MoV's and Assumptions for each Output within the same row

1. Conceptual framework and assessment of fit with DFID CPR strengths and weaknesses established

Framework for study analysis

Finalised communication strategy

Project inception report

TIs and PLs available for discussion and engage with synthesis study team

2. NRSP / RNRRS new knowledge / lessons learnt on CPRs and poverty reduction synthesised

Best practice manuals (or alternative products, see Output 3)

DFID-format reports

Draft project report

Final project report

ditto

3. Products formulated to achieve effective uptake of Output 1 in context of Output 2

Best practice manuals or alternative products

Communication strategy

Project inception report

Draft and final project reports

ditto

4. Uptake promoted

Communication strategy

Project inception report

Final project report

ditto

Activities
Activity)

Milestones (and budget if budgeting by

Repeat the relevant Output narrative on a separate line before the listing of the relevant Output's activities

Use one row for each Activity and keep Milestones, budget and Assumptions for each Activity within the same row

See Logframe Guidelines for explanation of numbering milestones

1. Conceptual framework and assessment of fit with DFID CPR strengths and weaknesses

1.1 Establish needs of target institutions MS 1a Complete end June 2005

1.2 Establish framework for analysis MS 1b Complete end July 2005

1.3 Discussion with Project Leaders of key CPR projects MS 1c
Complete end June 2005

1.4 Inception report and feedback MS 1d Complete end July 2005

2. Synthesis of NRSP / RNRRS new knowledge / lessons learnt on CPRs and poverty reduction

2.1 Interrogate project database. MS 2a Complete end June 2005

2.2 Discussion with Project Leaders of key CPR projects MS 2b
Complete end June 2005

2.3 Inception report and feedback MS 2c Complete end July 2005

2.4 Collate and organise relevant project outputs MS 2d Complete end August 2005

2.5 Central analysis MS 2e Complete mid September 2005

2.6 Further discussions with Project Leaders MS 2f Complete end September 2005

2.7 Review analysis in light of final NRSP project reports MS 2g
Complete end October 2005

3. Products formulated to achieve effective uptake of Output 1 in context of Output 2

3.1 Establish needs of target institutions MS 3a Complete end June 2005

3.2 Establish framework for analysis MS 3b Complete end July 2005

3.3 Finalise communication strategy MS 3c Complete end July 2005

3.4 Draft deliverables MS 3d Complete end September 2005

3.5 Finalise deliverables MS 3e Complete end October 2005

4. Uptake promotion

4.1 Finalise communication strategy MS 3f Complete end July 2005

4.2 Finalise uptake promotion MS 3g Complete end October 2005

Pre-condition

11 Keywords

Common Pool Resources; CPRs; conflict management; poverty; institutional dynamics

