

Natural Resources Systems Programme

Proceedings of NRSP CPR Workshop — Developing management strategies that can benefit the poor

2-3 October 2001

in collaboration with the Centre for Ecology, Law and Policy, University of York

VENUE

Heslington Campus University of York

Preface

NRSP's research covers all six of the production systems that are included in DFID's natural resources research strategy. For three of these, the forest agriculture interface, the land water interface and the semi-arid system, NRSP has research objectives that specifically address the development and promotion of new approaches for the management of common pool resources (CPRs). In line with DFID's developmental priorities, the main focus is on management strategies that will both sustain the resource and benefit the poor through such means as improved access and assured participation of the poor in the management process.

At the meeting of the NRSP Programme Advisory Committee (PAC) in January 2001, it was proposed that NRSP should hold a workshop on CPRs later in the year. The PAC member from the Centre for Ecology, Law and Policy of the University of York, Dr Jon Lovett, offered to host the workshop, thus providing NRSP with the opportunity to include the experiences of this Centre in the workshop's programme. All these ideas came to fruition as a 2-day workshop on CPRs, held on 2-3 Oct 2001 at the University of York. There were 64 participants (9 participants from York, 11 participants from overseas organisations and 44 participants from UK organisations) of which 54 participants had links to NRSP through collaboration in current and past NRSP-funded research. Sadly, 5 persons from overseas and 4 persons from UK had to withdraw at a late stage owing to unavoidable circumstances.

The intention was that the workshop would be used to share findings from CPR research in different natural resource production systems and develop further research ideas, emphasising the contribution of research to the development of pro-poor CPR management strategies and the ways by which these strategies can be promoted.

The workshop was seen as an opportunity to visit some important cross cutting themes for natural resources management research and CPRs in particular. For example, – the importance of interdisciplinarity and how to achieve it in practice; unpacking the term 'pro-poor' – what does research look like that aims to improve the livelihoods of some of the most marginal people in society; how might some measure of empowerment, including gender considerations, be transacted and sustained; what alternative and/or adapted land tenure systems can be considered; is community-based management feasible; and how can wider concerns for environmental protection and conservation of biodiversity be accommodated?

Participants were provided with a resource document prior to the workshop. This included a review of NRSP's current and past projects on CPRs; details of the posters on CPR research (that of NRSP and others) that would be reviewed on workshop Day 1 and five case studies to assist the development of designs for pro-poor research on CPR management strategies that would be the main task of Day 2.

In order rapidly to make available the record of the workshop and maintain the momentum of some of the contacts and dialogue that it was hoped the workshop would stimulate, NRSP made the commitment to bring out the electronic version of the proceedings shortly after the workshop. It is therefore with pleasure that the proceedings are provided here covering all the workshop sessions. For completeness, the background materials of the workshop are also included. Rapporteurs notes for all sessions are summarised under selected topic headings and, to assist overview and comparison of the case studies, a tabulated summary by main design headings is provided, in addition to the individual case study reports.

Finally, for the interest of all participants and other readers, the logical framework that the NRSP programme management team developed and implemented for the workshop is provided in Annex 2. We admit that we are one working day late on our deadline for issuing these proceedings (see logframe page 2) but nevertheless feel that a good record of the workshop has been assembled in a short time. With respect to the purpose-level indicators (OVIs), we have had some feedback on the workshop that indicates that there was some modest attainment of OVI1, and we hope that the workshop and these Proceedings will contribute towards the attainment of OVIs 2 and 3 during the remaining years of NRPS's 10-year term.

Dr FM Quin NRSP – Programme Manager

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October 2 Day 1	Session 1	 NRSP's CPR Research: F.M. Quin Keynote Address on CPRs: R. Behnke Issues Arising During Buzz Groups
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	Session 4	9. Facilitators' Comments on Case Study Presentations 10. Comments and Questions from the Floor 11. Closing remarks: R. Behnke 12. Comparative table of Case Study Presentations
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	Annex 3	Case studies: ILSA EASA HICA FLOSA
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Session 1 – 2nd October

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- 2. Keynote Address on CPRs: R. Behnke
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1. NRSP's CPR Research: F.M. Quin

Natural Resources Systems Programme WORKSHOP

Common Pool Resources

Developing management strategies that benefit the poor



CONTEXT:

NRSP's purpose:

To deliver new knowledge that enables poor people who are largely dependent on the NR base to improve their livelihoods

Measures for the attainment of this purpose:

By March 2005:

Use of new knowledge by:

- poor people themselves
- · institutions supplying services to the poor
- · employers of the poor
- · policy makers

In at least 2 target countries of 2 production systems

By March 2005:

Partnerships developed that lead to continuing favourable outcomes for poverty-focused research

Outputs from at least 10% of NRSP's projects used in the international RNR system – achieved through effective communication of the new knowledge that NRSP generates

What is the objective that NRSP is contracted to achieve that concerns CPRs?

To develop and promote improved resource management strategies, including pro-poor strategies for the sustainable use and management of CPRs

Main emphasis for CPRs on:

- · semi-arid production system
- · forest agriculture interface
- · land water interface

How to achieve this objective:

- Understanding livelihood systems that are dependent on CPRs
- Understanding current management strategies -- includes identifying the constraints to integrated management and opportunities for new approaches
- Developing and promoting improved sustainable pro-poor CPR management strategies

Progress?

Summary of CPR projects, onwards from April 1995

Four main areas of research

No single project is exclusive to a single

Grouping shows main area of emphasis

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The following spreadsheet shows the groupings of projects by research area (= 'great theme'). Projects within each research area/theme will not be described in detail – <u>several are available as posters</u>. The different colour codes indicate the production system of each project [green = forest agriculture interface (FA); blue = land water interface (LW); yellow = semi-arid (SA); pink = high potential(HP)].

Projects grouped under the great theme of 'Understanding' have covered:

- a) livelihood studies in relation to the use and management of both CPRs and non-CPRs)
- b) studies of the NR base

For point (b), with one exception, <u>projects have not monitored the CPR-NR base over time</u>. Deductions regarding this change have relied on secondary literature sources, with findings evaluated by relevant stakeholders through short term case studies. These variously point up problems such as degradation, encroachment, and further marginalisation of the poor. Interestingly, in the one project where a CPR (water) was monitored, it was found that although the resource was scarce, there were no advantages to be derived from its conservation. Rather it should be used before it was lost by natural causes to the environment.

Relative to the programme's full term, projects on 'understanding' began rather late for SA (especially in India) and for FA (in Ghana and Nepal). The 'understanding' research was not for its own sake – rather it aimed to prioritise CPR issues, identify entry points and propose relevant interventions for further research. On the whole, the rigour applying to each of these elements is at best moderate. In contrast, projects concerning participatory methodologies have been much more rigorous with respect to the same 3 elements.

NRSP's CPR research over time:

Past and current - areas of new knowledge:

UNDERSTANDING

METHODOLOGY

MANAGEMENT OPTIONS

ENABLING POLICY DIALOGUE

Future research focus [& soon]:

PRO-POOR CPR MGT STRATEGIES

PRO-POOR MGT STRATEGIES

- Research will build on what is already achieved
- It will still address the great themes BUT
- We need more coherence between the themes
- We need research that produces effects that demonstrate to key clients how developmental change can be achieved

Strategy = A feasible mode for transacting and sustaining change

Some considerations:

HAVE – A body of knowledge on CPRs NEED – To crystallise out of this the opportunities for genuine net gain

- costs and benefits
- incentives
 - markets
 - reduction in the burden of work

In sum: economic good sense for the main beneficiaries and key institutions

Have to face up to:

Laws, existing policy, and political influences:

- no longer a risk/assumption

Institutional capacity:

- realism. What is the least that is required?

Empowerment:

- working with decentralisation
- transacting acceptance of pro-poor management

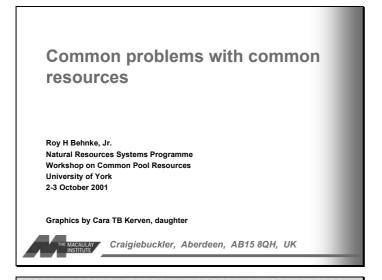
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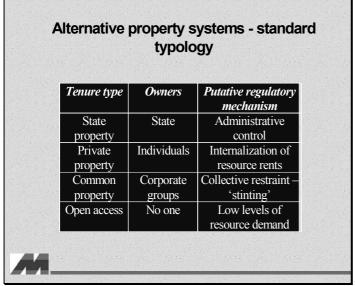
Implications for research design and research team structure

The Challenge:

- ♦ With 3½ years of the programme remaining, research plans must be clearly focused on the CPR-objectives
- ◆ Plans are translated into active research through projects such that –
- Programme objectives largely are achieved through projects

2. Keynote Address on CPRs: R. Behnke





African systems of resource ownership

Tenure type	Owners	Regulatory	Enabling
		mechanism	factors
Open access	No one	Low demand	Low
			population,
			value
State property	Regulators or	Rent seeking or	Weak
	interest groups	unregulated	administration
Indigenous	Shifting	Competitive	State cannot
CPR	claimants	exclusion	secure property
Externally	Corporate	Stinting	Donor
regulated CPR	groups		assistance
Privatization/	Unstable – core	Competitive	Market, state
enclosure	vs. periphery	exclusion	penetration
Private	Individuals	Internalization	Fragmentation
property			profitable



Borana pasture and water control

Resource	Productivity	Labour needed	Access
Pasture	Fleeting resource	None	Open
Riverbed floods, pools	Fleeting resource	None	Open
Natural, improved basins	Temporary	Significant	Restricted; rudimentary management
Deep wells	Permanent	Very high	Regulated, communal management



Source: Helland 1980, 1982

Borana land tenure - 1997-8

- Communal grazing warra 49%
- Communal calf enclosure -
- Communal grazing forra 1%
- · Other -
- 17%
- Total common property 76%
- Private calf enclosure 4%
- Cultivated areas 16%
- Draught animal pastures 4%
- Total private property 24%



Source: Kamara 2000

7 Session 1

African systems of collective resource management

- Mixed systems various degrees of exclusive control over different types of resources
- · Permeable territorial boundaries
- Permeable group boundaries
- Formal management institutions uncommon
- •Erratic internal control of extraction rates
- Internal discipline proportional to external threat



In Africa

externally regulated CPRs : indigenous CPRs

::

formal titling: 'customary' private tenure



Why titling programmes failed:

- More binding constraints
- •Reforms were partial and inconclusive
- •Subject to manipulation
- •Expensive
- •Redundant



Note: The text of the keynote presentation was not available at the time of writing. Dr Behnke has indicated that the presentation represents an intermediate stage of the development of a journal article. NRSP will announce this when it becomes available.

8

3. Issues Arising During Buzz Groups

Following the two plenary session presentations, participants were asked to brainstorm in small groups and to report their responses and comments back to the workshop.

Research Process

- Overall issue in generalising research results, but need typologies to develop strategies. ('Producing positive outcomes out of dismantling orthodoxy')
 - How to use research into success cases ('why does CPR management work?')
 when there is constant change in context?
 - How to balance community action research with theoretical oriented widely applicable findings, and see change in 3 years?
 - Possible solutions?:
 - Systems theory and methods.
 - Research programmes focus on comparing resource specific issues across regions and linking resources systems within region as they may share historical aspects.
- Some conflict in balancing NRSP CPR research in terms of processes of change versus remaining important biophysical questions, quantitative aspects such as the role of pro-poor benefits from CPRs.
- Understanding decline in resources and ensuring increased productivity as an outcome, are these absolute?

CPR Systems

Taking on change (temporal and spatial)***

- Porous boundaries, both of regimes and of groups
- Understanding trajectory of change, both in terms of resources socio-economic and policy: both 'poor' and CPRs are changing
- Presentation on Africa may have some more widely applicable features, some that are not.

Livelihoods and CPRs

- Understanding livelihoods in wider context: taking on board the relationship within-CPRs and non-NR dependency of poor, possible benefits of CPRs, identifying costbenefit issues of redistribution.
- Moving from CPRs to property systems: relationship between CPRs and private property regimes (e.g. the dangers of 'titling').

• Ensuring inclusivity (***): involvement of marginal groups, involvement of elites (key actors). Maybe can be addressed through refinement of stratification methods

Institutions

- Need to internalise political risks and assumptions and deal with them.
- Need to take into account different levels including global ones and those arising from privatisation, in addition much is outside the power of the state.
- Managing change: targeting change agents; managing partnerships; moving from conflict management to situation management
- Transaction costs must be taken into account, especially when CPR management is often donor driven (non-sustainable).

Session 2 - 2nd October

Contents

- 4. Working Group Presentations on Posters
- 5. Comments and Questions on Poster Presentations

4. Working Group Presentations on Posters

Theme 1: Semiarid production system – Understanding the relative dependence of poor communities on wildlife, livestock and crops and their interactions, as a means to identify opportunities for improving livelihood strategies based on the sustainable use of CPRs

CPRs in semiarid India

There are three levels for understanding CPR's:

- 1. Inventory of types of resources
- 2. Identify different user groups and categories of poor people
- 3. Quantify the dependence of different groups on specific CPR resources
- Resources are complex, diverse and dynamic
- Diverse use of resources by different groups depending on spatial and temporal availability of resources
- Quantification of dependency problematic with this complexity: with change in time and in geographical areas
- With this how does one define success and then generalise and apply it elsewhere?

CPRs in semiarid Tanzania

- Terminology needs to be clear
- Typologies can still be useful
- Need to capture further the NR-people relationship complexity
- Poor people in Tanzania are dependent on CPRs but quantifying dependence is difficult
- Not enough is known about the differences between user groups and different groups of poor people
- How does one bring down transaction costs, maybe different for different groups? Is the project sustainable after donor support ends?

Post-workshop comment

- Contrast between the posters one was population intensive setting, other population extensive. There were strikingly common points:
- Complexity of the CPRs and diversity of use
- Difficulties in quantifying dependence
- Importance of assessing the success of management regimes, especially their costs and benefits.

Theme 2: Evaluating management options for improving livelihoods that depend on CPRs in specific target sites

Strengthening community capacity (Zimbabwe)

- Wealth and governance issues usefully looked at
- Building social capital, e.g. leadership training. This is good (and addresses transferability) but how to balance with 'witnessing', i.e. the presence of the project adds a new political element to the situation. Also it can create a 'first user advantage'.

1 Session 2

- Attempt at structures for sharing equitably risks and benefits
- Building capacity to plan and use land was move to changing the enabling environment.

Gaps how do you actually approach 'stratification' livelihoods: e.g. by looking at it through gender stratification result may look very different

Improving coastal livelihoods (Caribbean)

- Project steering group with community organisation representatives, but does it include other stakeholders groups e.g. landless.
- Looked at participatory structures and processes, and participatory testing of own identified interventions
- Locally based NGO provides continuity with development processes
- But gaps in sequencing between baseline setting and developing indicators for participatory process outcomes (NR improvement, livelihood gains, instutional change)
- How to develop process indicators and monitoring: maybe needs 2 levels and triangulation
- Need to explore more wider policy links, and influencing links, say NGO to national level
- Sustainability of interventions: have to start factoring in cost recovery

Post-workshop comment

- Projects are an intervention with consequences, and there must be an awareness of this by implementing parties.
- Target group stratification can be specified in varying ways. How do you test the stratification is most representative and appropriate.
- Value of indicators: deciding on them, and their sustained use after project exit.

Theme 3: Enabling pro-poor decision-making for CPR management regimes – ways to achieve effective communication with high-level policy actors

Common framework and simulation modelling

- Recognition that CPRs are linked into higher level policies and decisions
- Decisions impacting on CPRs are made in a number of sectors rather than as crosscutting CPR policy
- There is a historical context to the way policies work
- **Gaps:** But may need to think more carefully why we are needing to deal with higher levels, is it actually a question of communicating research results
- There is not enough on political realities, and what is the role of researchers, technical staff, and local groups: how information is used
- Need to inter-relate management strategy with policy objectives as seen by decision makers

Post-workshop comment

- Sectoral problem with policy processes
- Information flow and the importance of forms of communication
- Importance of linking levels and scales of management strategies with the ultimate policy position

Theme 4: Non-CPR and CPR land management regimes and their interactions in micro-catchments in peri-urban and parkland environments

Peri-urban interface and catchment (Ghana) and impact of land-tenure on catchment (Zimbabwe)

 How can landscape interactions be rationalised: tenurial effect on hydrology and vice versa

- Maybe have to move from 'HOW' to 'CAN landscape management take place? are CPRs worth managing at all?
- We have to look at its worth to whom, where there is a multiplicity of actors at landscape level. With increase in complexity there are increased transaction costs
- Approach (in PUI Ghana) is by creating awareness on effects through politically sensitised and influencing communities, with different support agencies (NGOs, church), centred around water availability and quality
- Disciplinary needs in such a complex situation of causality has to be thought out
- Starting to measure disproportionate cost-benefit effects makes explicit whose values matters, helps in awareness on what can be gained, by whom

Post-workshop comment

- CPR management has to be positioned within livelihoods strategies
- Cost benefits can give insights on different stakeholders

Theme 5: Institutional arrangements for CPR management

Co-management of forests in Mexico

- Small changes to existing institutions more cost-effective than fundamental reform: change should depend on each institution, should be driven locally, outsiders should facilitate change rather than designing change.
- Better not to start from scratch, or try fundamental reform, but to tweak existing systems
- Methodology: game-theory and qualitative analysis useful for understanding incentives for institutions, but need to get methods back into community, Need to unpack 'institutions': local and national.
- Privatisation important in determining outcomes (as part of policy framework).
- Indigenous people are moving towards conservation objectives and this has changed the framework for co-management
- Regional processes, supportive actors such as NGOs are now sitting legislative assemblies, a change scenario is possible

CPRs in Colombia

- Difficult, complex project purpose: to develop a model participatory community-based watershed management with a focus on water and land-degradation
- Looked at community organisations but only those with a focus on water resources and , thus leaving out stakeholders in the watershed as opposed to the water resources in the watershed. Conceptually these are non-compliant stakeholders.
- Very strong coalition of some local organisations, but with remaining issues of power distortion. Result: some grounds for institutional sustainability, but still long term issues
- Coalition created platform for negotiation, but this needs more social capital to ensure greater say by community organisations

Post-workshop comment

Co-management/coalition arrangements being put in place but were not as inclusive as they could be.

5. Comments and Questions on Poster Presentations

Issues of Quantification and Information

- Quantification and measurement are important to bring different stakeholders together, make comparisons between different CPR situations and to influence policy makers. We need to be confident with the accuracy of our measurements in order to influence policy makers- uncertainties are inadequate for policy makers.
- Quantification can have a major impact on policy. For example, bushmeat has recently been shown to be a major economic activity in many African countries various actors have used this to lobby policy makers to recognise the value of CPR's.
- Should CPR's be seen as poor people's coping strategies/emergency assets or should they provide income through value addition? For instance, the recent interest of multinational companies in medicinal herbs in India traditionally used exclusively by local communities. Once the value of CPR increases competition also increases. How can we protect the interests of the poor?
- Group 1 discussed the complexity, diversity and dynamics of CPR use and the
 difficulties of quantifying them, for example through using monetary proxies. We did
 not discuss the insurance value of CPRs (e.g. famine foods) whose ownership and
 right of access in times of need is important to poor people and even harder to
 quantify. Do these methodological difficulties argue for finding an alternative to a
 comprehensive scientific understanding of CPRs as the only platform for identifying a
 strategy, or could modelling, ranking or some other principle have a role to play?
- It is very important to quantify CPR economic benefits from resources such as medicinal herbs when the resource is going to be/or is exploited by a commercial entity. Experience with prunus Africana in Cameroon has shown that putting this value into the local and national debate can really influence policy.

Stakeholders and transaction costs

- Need to consider transaction costs in our programmes which are very high. There is a
 need for an exit policy and withdrawal mechanisms to sustain CPR management in
 the long term. There is also a need to quantify environmental benefits to justify high
 transaction costs. It is also necessary to place more emphasis on opportunities and
 constraints for landless people. CPR's are community-owned and there is hardly any
 banking policy on group financing.
- The issue of stakeholders is complex. There is a tendency to emphasise
 environmental goods and therefore local stakeholders but ecological services are also
 relevant to remote urban stakeholders. Internet environmental lobby groups, tourists,
 entrepreneurs' etc are powerful stakeholders and this dynamic can not be avoided.
 There is further need to differentiate between 'primary' and 'secondary' stakeholders.
- How are 'non-complaint' and 'complaint stakeholders defined'? Is this not a political
 definition in that 'greener' resource management often turns out to be not so 'green'
 and degradation is often politically defined by crisis narratives which allocate blame to
 environmental transgressors?
- A stakeholder is anyone whose co-operation (or compliance) is needed for a management plan to be successful. Thus, a management plan that is of no interest to one or more stakeholders is unlikely to succeed because if they do not comply the project will fail.

Policy and policy makers

- When building models for policy makers we need to try to meet their needs. However, policy-makers have to take account of issues beyond the information/models we may be providing them with. Equally, the needs of policy-makers are dynamic and may change quite rapidly.
- Many CPRs are multiple-use resources and cross different sectors but policy-making remains limited to single sectors. We witness a lack of vertical and horizontal integration in policy processes and so policy does not support or reflect CPR management. One example of this is coastal resources in the Caribbean.
- There is a question of how much information on the dependence of people on CPRs do policy makers need in order to take a decision.
- Need to understand that 'pro-poor' means reducing 'poverty' For example, people
 who are denied access to CPR's in a national park may benefit from opportunities in
 the tourism industry.
- CPR research should focus on reducing poverty and CPR management strategies should focus on this.
- Policy decisions should be process-based consisting of transparency, contributions, sharing, accountability and sustainability in a bottom-up approach.
- Complexity can be analysed using a two-way classification system. Different CPRs could form the columns and different stakeholders the rows.
- Can public participation in policy-making be promoted? Negotiating rights: are not fixed, but are contested. The role of science and scientific information and the role of public participation also need to be considered.
- Not all resources (land, water, forest, common land) are CPRs. Certain forms of these
 resources are CPRs. Policies do exist for these resources as resources' which are
 indirectly limited to the extent of the CPR available. Favourable policy for CPR would
 improve their quality which is lacking at present. The present different policies cause
 the damage.
- High-level policy can have different meanings. For example, to deal with corruption at the national level you might need to move to the donor-level to drive change.
- In practice, policy makers still make decisions on the basis of the information that they have. Good simple arguments and presentations can have an impact.
- There an issue in raising expectations and how to resolve this: raising awareness can raise expectations, how to build in exit clauses and linking into policy structures. Perhaps involvement of NGOs with long-term presence can address expectations.

Post- workshop comments

Sustainability of project outcomes and exit strategies; risks

- Raising expectations
- Transaction costs after withdrawal of external support
- Ensuring inclusiveness of stakeholders: supportive actors

Policy

• Is it just about forms of research information and mechanisms of information flow, or is research needed on how to improve policy processes?

- Sectoral structures remain the norm in many governments, while the notion CPR necessitates cross-sectoral thinking and approaches
- Quantification can have benefits for policy-making but needs to recognise the complexity and diversity of CPR use.

6 Session 2

Session 3 - 3rd October

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6. Presentations on Case Studies: CPRs in Semi-Arid Areas

During Session 3 interdisciplinary working groups were requested to **develop indicative designs for research** on CPR management strategies for given CPRs. Two contrasting semi-arid areas were selected for study at the workshop, one in South Asia and another in Fastern Africa.

A condensed brief was provided for each group for both areas. CPRs in ILSA, an **Indian Landlocked Semi-Arid State** were examined by two groups while one group considered CPR management strategies for EASA, an **Eastern African Semi-Arid Area**.

The working groups had three hours to prepare their presentations and were requested to summarise their findings and views on 5 slides under the headings of: **background**, **specific objective(s)** and a **research design** covering partnerships, methodological approach and the achievements of the research.

6. Presentations on Case Studies: CPRs in Semi-Arid Areas

Indian Landlocked Semi-Arid
State: Group 1
(Working Group 1)

	Grou	ıps of I	Users a	nd Mag	nitude	of Use	
	Tribals ST	Dalits SC	Other Castes	Landless Labourers	Share- croppers Tenants Small Farmers	Medium Large Farmers	Livestock Specialists
Forest Village	:	:	•	:	•		•
Reserved Forest	• subsistence	•	♦Timber	•	•	•	:
Common Grazing Land		:	♦ Livestock ♦	♦ livestock	*		:
Other grazing lands, (post harvest fields etc)		:	:	♦ livestock	•		•
Trad tanks/Wht		•	:	•	•	:	wateringanimals
Streams and Springs	:	•	*				watering animals
Bore wells		•	:		*	♦ irrigation	
Open wells and hand pumps	◆ drinking			♦ drinking ♦		♦ drinking	
Agricultural land	•	:	1	◆ wages	:	÷	

Focus: water

Rationale:

- All groups have a stake in it
 - Branches out to other NR sectors (forest, agricultural land)
 - Not more research to explain/explore complexity of linkages, but action-research to explore ways of strengthening regulatory system.
- · Problems:
 - No permit needed to dig wells
 - Electricity subsidy and flat rate
 - No limitations on amount of water to be pumped
 - Spacing rules concerning wells ineffective
 - Limited access of poor to water
 - Sectoral approach in India/WSM does not include forestry and ground water.

Research objectives

Action-research to explore:

- Ways of strengthening the regulatory system for NRM
- With a focus on (ground) water, beyond WSM approach
- Demand regulation rather than supply
- Based on a through understanding of interlinkages between NR in the area
- Based on a coalition of interests between stakeholder groups
- To prevent the further erosion of the position of poor people
- To identify ways of increasing access of the poor to water resources

Target organisations

Primary (to be directly involved in research):

• District level line departments, DRDA, DPAP/DDP

Secondary (to be influenced by the research):

- State government departments (forestry, agriculture, minor irrigation, groundwater, PR, rural development, livestock
- NGOs involved in policy advocacy and NRM
- Donors supporting NRM programmes

Collaborators:

 To be identified among NGOs and research institutes, private consultants. Problem is competition for researchers/collaborators

Methods

- Convince state government of rationale of research
- · Select districts
- · Select communities for pilot study
- Work with communities to develop by-laws, test.

Achievements

- Identify the key features of an improved self-sustained regulatory system that leads to better access to water for the poor
- Pilot this system in X panchayats if feasible
- Influence state policies through appropriate promotion pathways
- Develop monitoring criteria for performance of regulatory system, together with partners, to be used by district level agencies.

Indian Landlocked Semi-Arid State: Group 2 (Working Group 2)

Background

- Water is the key resource but is difficult to research
- Semi-arid forests was the key resource that we identified could be investigated
- Role of forests:
- Fuelwood
- Minor forest products
- Grasses for livestock
- Not resource of last resource
- (less poor use kerosene, so wood not sold)
- Forest useful prior to 1970, hence clear that improvements can be made.
- Study to be conjoint and not segmented to include relationships with other CPRs and PPRs

Objectives of proposed research

To improve livelihoods of those who depend substantially on forest products

- a). Biophysical
- Address degradation of forests
- b). Management
- Develop/strengthen locally appropriate management strategies
- c). Institutional
- Create/strengthen the institutions to empower local communities

Approach Start Project Design Key informants Stakeholder meetings

Partnerships

Many: ranging from

- International, e.g. WWF, World Bank
- National, e.g. Ministry of Environment and Forests, IFFDC (Indian Farmers' Forest Development Co-op).
- Local, e.g. local-level government (panchayats), community-based organisations, universities and research institutions, Banks, NGOs, Forest User groups
- Take care on partners: Sometimes primary stakeholders get marginalised,
- Partners for:
 - Building social capital
 - Institutional and organisational development
 - Building national and physical capital
 - Project design
 - Project Implementation and Management

Measure

- Change in biophysical (e.g. remote sensing)
- Change in management
- Change in institutions
- Develop indicators for the reversal of degradation of forest resources access to resources etc.
- Units of study
 - Community/village
 - Competing poor within village
 - Family/household
 - Watershed/'forest unit'
- No ideal units- leave to researchers.

Type of data

More primary data on ways to change

C

Case studies of good practice (exist?) and data on possible replication of these methodologies

Something else

Achievements

- 1. Substantially enhanced livelihood opportunities for:
- Tribal communities
- Women collecting firewood and women collecting other forest products
- Other disadvantaged groups
- 2. Management techniques for the forest resources
- 3. Institutional structures to sustain the improvements

East African Semi Arid Area (Working Group 3)

Background

- Most important: grazing, water
- Changing strategies: legal change, conservation/parks, enclosure/conversion
- Key groups: poor women? youth? Or poor groups who are affected by the processes of 'conversion'.
- Research opportunity: conversion
- Processes
- Those affected
- Composite resource

Statement

 Conversion is the greatest threat to CPR-linked livelihoods. This is NOT well understood. Research can usefully inform policy.'

Research Design

- Entry points
 - Legal framework
 - 'Demand for law'
 - Places conversion
 - Conflict
- Questions
 - Driving factors
 - Impact of conversion (on poor)
 - How does it happen?

Benefits

- Costs and benefits: CPR, individual management
- Distribution

Objectives

- \bullet To identify the best way for the poor to gain access to
- To ensure that access is achieved under most appropriate tenure/management regime
- To facilitate negotiations over changes in resource use, and to ensure that the interests of the poor are protected.

Methodology

- 1. Partners:
 - District councils
 - Zonal A.R.I.
 - Farmers/pastoralists associations
- 2. Time and place
- 2 years, 4 cases studies
 3. Data
- Review

 - Historical study
 - Social history, economicLivelihoods, mapping
- 4. Structure
 - Stakeholders (2+ levels) They must share conclusions.
- 5. Communication
 - District councils
 - DFID
 - Research community
 - NGOs

Output

Output

Decision support criteria for the management of changes in the resource use

What will it achieve?

District Councils managing changes in resource use to ensure most sustainable and most equitable outcome.

Session 3 - 3rd October

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7. Presentations on Case Studies: CPRs in the Land Water Interface

During Session 3 interdisciplinary working groups were requested to develop indicative designs for research on CPR management strategies for given CPRs.

CPRs were considered in two different land water interface environments. Two groups looked at FLOSA, a **Floodplain South Asian Area**, and one group examined HICA, a **High Island Caribbean Area**.

The working groups had three hours to prepare their presentations and were requested to summarise their findings and views on 5 slides under the headings of: **background**, **specific objective(s)** and a **research design** covering partnerships, methodological approach and the achievements of the research.

7. Presentations on Case Studies: CPRs in the Land Water Interface

Floodplain South Asia Group 1 (Working Group 4)

Rationale

Wetlands

- Very important to livelihoods of an identified group of the poor
- Government policies/plans, with donor support, have lead to increased marginalisation of this group

Key livelihoods features

- Reliance on fishing
- Strong seasonality but uncertainty of access
- Therefore livelihood style may be characterised as opportunistic
- There is a pressing need to make key players at a range of levels more aware of the impacts of past interventions on this target group and to internalise the lessons learnt. Form this, a means must be developed that will build flexibility into planning and funding decisions that takes on a more pro-poor focus.

Objectives

- To enable a range of actors in development 'organisations' (communities, NGOs, donor agencies, government agencies) to asses the systemic consequences of a proposed intervention, thereby
- To inform the design of future developmental approaches, enabling greater flexibility and responsiveness to particular social, economic and environmental contexts
- To support the empowerment of target groups to be able to influence, manage and be responsive to CPR interventions

Partnership

- · Initial 'pilot mode'
- Community representative (winners and losers)
 - NGO coalition
 - Donor group coalition
 - Government- Planning Commission
- The pilot stage is adaptive, flexible and opportunistic. The findings feed into extension to other groups and are produced as an interim tangible output.
- Research team skills
 - Communication and advocacy
 - Social science
 - Developmental science
 - Facilitation
 - Economics

Methodological approach

- Communication and advocacy
- Consensus building across all policy strata to produce a framework of questions to guide assessment criteria for project impacts
- Review of projects using documentary material, supplemented by some primary data collection
- Continued structured communication between all partners to allow incorporation of feedback from all organisational levels
- Produce 'rules' for robust and relatively quick understanding and assessment of likely impacts of CPR management change on wetland stakeholders
- Development of appropriate prototype communication products for diverse dissemination.

Outputs

- Identification of the characteristics of projects that make them succeed or fail for different groups of people
- Enhanced understanding of all players of how to minimalise the marginalisation of the poorest groups while improving the management of wetland CPRs
- Better capacity within partner organisations to engage in deliberative processes and constructive debate

Floodplain South Asia Group 2 (Working Group 5)

Background

- Floodplain systems are complex!
- Seasonal and dynamic floodplain creates conflicts at local and government level
- Cannot easily be related to a specific CPR
- There is social, institutional and political complexity of resource management in the country
- We have assumed that a large body of relevant knowledge together with long-term in-country initiatives exist with strong links to, and potential to change the social, institutional and policy context... Our strategy will link with and add value to these.

Objectives

- To create an enabling environment for stakeholders (1) dependent on floodplain systems to improve their livelihoods. Through:
 - Application and further development of existing methodologies (consensus building, livelihoods methods etc.).
 - Use of relevant information by stakeholders (household-policy).

(1)all target groups of poor identified by case study apply.

Build Partnerships

- partnerships, not new partnerships.
- In-country projects (e.g. CBFM and PETRRA) are key partners
- Methodologies and outputs from other projects need to be drawn in
- NGO and government local and national institutions
- ... but emphasising cross-sectoral linkages

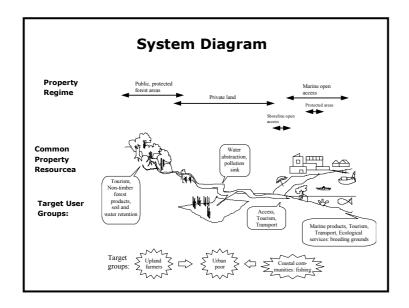
Research plan

- Assessment of utility of existing research products to target institutions
- An attempt to understand the constraints .. including institutional constraints .. to uptake and application of this knowledge and products
- A communication and dissemination strategy
- Expose these methodologies to relevant groups in different contexts within existing programmes

Attainments- uptakes

- Attainments- uptakes
 - Pilots within (e.g. CBFM and PETRRA) demonstrate positive livelihood outcomes
- How do we know?
- Monitoring
 - Uptake and use of methods by target institutions
 - Individuals' view of their situation (PME and TI monitoring).

High Island Caribbean (Working Group 6)



Background

- Complex, interconnected system
- CPR/non-CPR linkages
- Rapid transfer through system
- Specific vulnerabilities of coastal settlements
- Vulnerable groups:
- Upland land users
- Coastal, especially fishing based
- Interconnected urban groups
- Therefore needs holistic approach

Specific objectives

- To improve the livelihoods of vulnerable coastal communities and linked upland communities without creating additional burdens elsewhere –
- Through structured change in the management of the whole system, by:
- Better understanding of cost benefits in linked environmental, social, economic changes.
- Understanding of political relationships (for better democratisation of the policy process)
- To identify policy mechanisms and incentives for change to reduce detrimental effects on system and livelihoods and to encourage opportunities.

Research design plan

Steering committee guides project

Flexible; evolving; incorporates key stakeholders

- Aids participation
- Communication mechanisms
- Encourages flexibility in approach and application
- Encourages capacity building
- Supports partnership and dissemination

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Methodological considerations

Steering committee central to research process

- Develop understanding
- Through existing information
- Through analogy
- Through research into political ecology gap
- Through interdisciplinary systems research

Stakeholder involvement through

- -Action research in pilot projects (building on past successes)
- -Analysis of political dynamics
- -Stratified economic evaluation of resource uses

Achievements

- Better appreciation of the dynamics of the system and cost/benefits of changing the system, followed by
- · Greater democratisation of the policy process
- New policies and incentives put in place, that are pro-poor to reduce vulnerability and enhance sustainability (no further systems degradation) and enhanced range of livelihood opportunities.
- Impact measured through:
- Post-project evaluation of community perceptions re livelihood and resources trajectories of change.
- No further degradation of resources measured through key indicators.
- The above would measured using existing monitoring systems and surveys, and strengthening these.

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8. Presentations on Case Studies: CPRs in the Forest Agriculture Zone

During Session 4 interdisciplinary working groups were requested to **develop indicative designs for research** on CPR management strategies for given CPRs.

CPRs in **WAFAZ**, a **West African Forest Interface Zone** were considered by two groups.

The working groups had three hours to prepare their presentations and were requested to summarise their findings and views on 5 slides under the headings of: **background**, **specific objective(s)** and a **research design** covering partnerships, methodological approach and the achievements of the research.

8. Presentations on Case Studies: CPRs in the Forest Agriculture Zone

West African Forest Interface Zone: Group 1 (Working Group 7)

Background

The main CPRs

- Standing mixed forest adjacent to farmland, in the 'community' area (which is 20% of total national land)
- Forest land in remaining 80% of land area: comprising logged areas, standing high-value forest (subject to logging under concessions) plantations, some incidence of shifting cultivation

Links of poor to CPR

- Forest product collectors (bushmeat, medicinal herbs, fuelwood, construction timber and poles, etc.
- Cultivators (obliged through land shortage to farm cleared areas and reduce fallow periods *taungay*)
- Potential recipients of logging revenues to reduce pressure on CPR

Research statement

- To improve the livelihoods of the poor dependent on forested and recently-cleared forest areas, demonstrating the potential for change through outputs 1-4:
- Evaluating existing options (farmed-developed, NGO, taungay, etc.) for managing recently logged and degraded areas
- Investigating opportunities for adding value and marketing CPR-derived products important to the poor
- Developing effective mechanisms for channelling tax revenues from the logging sector to people dependent on the forest CPR
- Stakeholder review of forest management practices to consider issues such as use of fallows in land use planning

Assumptions

- Commercial (permanent) forest estate not available for smallholder agriculture
- Statements in the description provided as to causes of biodiversity loss and deforestation are valid
- Supportive policy-oriented donor/government programme already in place
- Action-research approach is necessary if outcomes form learning are to be policy relevant
- Multi-disciplinary research team is needed: social development, economics, biophysical, communications

Partnerships

- Selected local government authorities, and local communities and local governments
- Local NGOs
- Commercial logging enterprises
- In-country donor offices
- Local applied research institute(s)
- Overseas researchers

Mechanisms for collaboration

- Scoping workshop to identify and involve stakeholders
- Regular planning and reflection meetings ('learning groups') at national, regional and local level, with coalitions of communities and other stakeholders
- Sub-contract demand-driven research projects from learning groups

Methodology

- •Review of literature/ past experiences
- •Survey representative sample of existing management practices and innovations at forest agriculture interface, by:
 - Identifying selection criteria (ecological/soci-economic)
 - Evaluate farmer perceptions of environmental and economic impacts
 - Evaluate distributive impacts, both positive and negative
 - Evaluate constraints to implementing innovations
 - Feed back results to 'learning groups'
 - Communications strategy: radio (local and regional), project website, extension materials.

What will the research achieve?

- More inclusive policy formulation and implementation
- Identify good practice
- Identify and address constraints:
- Local institutions
- Resource constraints
- Policy environment
- Recommend and promote uptake of up-scaling strategies through 'learning groups'

3

West African Forest Interface Zone: Group 2 (Working Group 8)

Background

- Forest resources but:
- flux, dynamism, overlapping regimes
- titling, weakened CPR rights
- shifting cultivators
- marginalised in forest and agricultural policy
- right to integrate farming and forest resource
- better informed policy; changed perceptions towards shifting cultivators.

Towards a research design

- Entry point: policy process (analysis design tools implementation monitoring)

 How can civil society be better and more effectively linked into
 - policy and research processes?
- Questions:
 - What space is there to support shifting cultivation within existing frameworks?
 - How can perceptions re. Shifting cultivation, and respronses to them be changed to support better policy formulation?
 - How can forestry and agricultural policy and institutions be joined up to benefit shifting cultivators?

Research objective

- To improve the livelihoods of shifting cultivators through change in the management of forest resources, through and improved policy environment, by:
- Linking and including them in agricultural and forestry policy processes
- Changed perceptions and better-informed policy process

Partnerships

- Bilateral programme (policy dialogue)
- Beyond agricultural and forestry ministries to economic planing, NARS
- Private sector (loggers, wood industries)
- Shifting cultivators (as actors in the research process)

Methodological approach

- Multi-scale: parallel research streams at different levels
- Policy analyst (forest, agriculture, land tenure) anthropologist, institutions, communications, economist, social psychologist, legal/lawyers, shifting cultivation (up to speed with current research) national research
- Episodes, review and adaptation, action-research
- Engagement of actors in research process

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- 9. Facilitators' Comments on Case Study Presentations
- 10. Comments and Questions From The Floor
- 11. Closing remarks: R. Behnke

9. Facilitators' Comments on Indicative Research Designs

Rationale/Entry Point

Semi Arid

Defining the CPR type and the researchable issue to tackle was undertaken in different ways by each of the working groups.

- In the first there was a matrix approach and a decision on the target CPR based on the number of groups and the degree of poverty of the groups involved
- In the second, the choice of CPR was based on the feasibility of achieving a change to benefit the poor
- In the third case, choice was just an expert judgement on the which CPRs are most important

Clear and justifiable criteria should be developed for deciding which CPR to focus on if research is to be more robust.

Land Water Interface

Interesting contrasts between the FLOSA groups between focus on fisheries and the other on complexity. HICA further extended this to encompassing the system as important scale.

Both FLOSA presentations emphasised that many initiatives are already on going, and that there is a need to learn and add value to these.

Forest Agriculture

Both working groups recognised that the forest agriculture interface is characterised by overlapping CPR regimes and thus it is difficult to specify a specific common pool resource. The FAI is characterised by complexity, flux and dynamism.

Recognising this complexity one group (8) chose to define as their focus a defined a group of poor people, whereas the other group 7 adopted a general definition of CPR 'forest products' and use of logged/cleared areas. Both groups recognised that their research would require a strong Policy dimension and would need to influence the policy process. One group (7) recognised that there is a great deal existing relevant knowledge technical options and institutional arrangements that have been successful (or unsuccessful) in that FAI. Future research should capture these lessons.

Objectives

Land Water Interface

- All three presentations emphasised the need for policy level results.
- Empowerment and democratisation were seen to be objectives in one FLOSA and the HICA presentations.
- All had elements of seeing change in approaches and systems, through some form of demonstration on the ground.

Partners

Land Water Interface

- Both FLOSA groups proposed building on existing coalitions (NGO, donor and academic). The HICA group proposed a steering group with existing groups at many levels, as a channel into policy system.
- New multi-disciplinarities were suggested, including facilitators, political economists.

Forest Agriculture

Both groups recognised the need to build upon existing partnerships rather than developing new partnerships they proposed that CPR research should:

- Build upon existing bi-lateral projects
- Collaborate with other players / projects in the area
- Bring together agriculture and forestry ministries
- Recognise the importance of / include the private sector
- Include those who are traditionally marginalised by existing development and research processes eg. Shifting cultivators

Methodologies

Semi Arid

The research designs and approaches themselves were diverse. The first specified action-research, the second on a more experimental and empirical approach and the third on a pilot testing approach.

Land Water Interface

- Both FLOSA presentations put structured communication and dissemination process at the forefront of the methods
- All included piloting processes linking into the above.

Two presentations emphasised the use and strengthening of local systems of monitoring project results.

Forest Agriculture

Both case studies recognised the importance of seeing the research as a process. Further they recognised the importance of policy outcomes in addition to management strategies. Key element of the process highlighted were:

- The need for engagement of partners (as defined earlier)
- That although the project was likely to be iterative, there was a need to partners to define milestones or indicator that could be used as the basis for review of progress both during and post project.

Facilitators' Round Up Diagram Themes

- Criteria for identifying relevant which CPRs and which people
- Partnership building
 - Local }Government }PolicyDonor }
- Draw on experience
 - Other programmes of research

2

- All partners/actors
- Indicators of change
 - Process
 - Livelihoods

10. Comments and Questions From The Floor During Workshop Session 4

Defining the role of CPRs in the lives of the poor

- Poverty alleviation and livelihoods is a major concern
- Some land owners are also poor and have livelihood concerns
- Quantify the resource economics in order to demonstrate a high internal rate of return and potential benefits.
- How far does the NRSP and the group discussion take into account what 'poverty'
 means (i.e. its different dimensions) for the target groups? How broad do we wish to
 be in our definition of poverty (material, access to NR, access to political process and
 so on)? Do particular 'poor' want a voice, want access to material opportunity or
 what, and how do we address this?
- Shifts to thinking about social conditions and poverty do not necessarily imply a neglect of environmental sustainability. Improving the conditions of 'the poor' can actually enhance the environment in ways that <u>can</u> be sustainable. We need to think about sustainability in both environmental <u>and</u> social terms.

Ensuring complementarity of research undertakings and thinking strategically to deliver developmental change

- We should look at the findings/lessons learnt from previous experiences. So much is going on already (lots of pilots are taking place). We should try to fill the gaps and think about scaling-up, in collaboration with partners in the target countries who understand the situation better than us.
- When we started off yesterday, we discussed the aim of developing pro-poor management strategies. What progress have we made on this? What lessons can we learn from the various projects, considering that the circumstances (location and resource characteristics) are so different? Are there any common guidelines?
- There must be complimentarity with other research and innovations, not replication.
- There are some general themes to CPR research, if not strategies e.g. privatisation or conversion of CPRs. These apply across all the case studies.
- If NRSP wants impact then I would not fund any new case study work. The chief clients for NRSP are DFID. I would (a) review needs of bilateral projects for information on CPRs. Review the vast literature on CPRs and the emerging NRSP results to develop succinct messages on CPRs.
- What is the next step now? How can we document and use the information generated here? Are people interested in an email forum? Will anyone write up the lessons learnt?
- It may still be possible to achieve an overall strategy but it depends on whether the theoretical model on which the CPR approach has been based can be taken forward and improved. If it cannot, then there may not be a way to reduce complexity to manageable dimensions.

Achieving changes in policy to deliver developmental change

- Ultimately research can only have in impact if findings are taken on board by policy makers this is the challenge. Let's not just generate more knowledge.
- In relations to previous presentation and comments over the two days about the policy process and power relations, I would support ideas of 'democtratisation' of the policy process, but who speaks for who? The language of the workshop often refers to 'we' should take findings of research and influence policy, but what about direct representation in policy making e.g. fisherfolk in Tanzania- brought together in a dialogue with policy makers using participatory video. This follows a Paolo Freire type of approach to participation.

Tenure and access issues

• We have to remember the difference between the property regime, where one may have a legal status and de facto regimes where <u>common pool resources</u> are used irrespective of the legal regime, even if it is private.

- Only a certain portion of forests are CPRs. The majority of forests are still controlled by/property of the state. Access to these, as common pool resources is a key question for the poor, if these are considered as CPRs. This distinction is not made in the presentation (on WAFAZ) so livelihoods cannot be addressed in a holistic/comprehensive manner.
- The complimentarities between CPRs and PPRs should be recognised and acted upon. Livelihoods and CPRs are complementary to each other and have great relevance to the poor. CPRs is a concept for understanding a resource.
- Discussion of CPRs is actually more useful as a way of discussing the relationship between tenure and livelihoods.
- Shifting cultivation has two issues: Make shifting cultivators into settled cultivators, or make cultivators interested in the area that has been slashed and burned. In India we ask the cultivator to plant trees in the very first year and the tree will belong to him. This has facilitated quicker regeneration of the burnt spot.

Political and social capital

- In many cases work is undertaken in countries where patronage is long-established –
 we need to recognise problems as projects attempt to democratise decision-making
 processes/relationships.
- The existence of patronage challenges* the wholesale application of participatory approaches as a sustainable way forward. (* ethical question/challenge-? another form of imperialism/values).
- In discussing LWI case study it was clear that issues of political capital' and lack of access to it could translated into a killer assumption re our strategy. Given more time, a project exploring this could have emerged.
- It seems that the concept of 'political capital' may be crucial: the political environment may be the main constraint.

How can we ensure that lessons from the workshop are learned and promoted?

• The proceedings of the workshop will be put onto a website or sent out on a listserver within a week, as was done with the Caribbean workshop. On the subject of what kind of 'strategy' we are thinking of, we need to show that the insight from the understanding achieved this far can be translated into 'the real world. It is necessary that research can show that it can enable developmental change We do not need perfection in technical knowledge in order to move forward but need to demonstrate to DFID and to donors that we are agents positive change

4

11. Closing remarks: R. Behnke

Dr Behnke grouped his concluding observations under two headings. The first heading, what a difference a decade makes concerned the changed in research approach over the last ten years. The second heading of focus vs. breadth introduces a nuance into the concept of a CPR.

What a difference a decade makes.

Two significant changes have come about during the last decade that have a bearing on research on CPRs:

Poverty and livelihoods. We have paid a great deal of attention to the agenda set by DFID. Firstly the social problem of poverty has been put centre-stage, alongside the concept that livelihoods connect all sectors. The group discussing WAFAZ for example dealt with linking the poor into policy-making, dealing with perceptions of different forest user groups and with taxation policy;

Less of a technical focus. Most of the options presented in the research designs at this seminar have been non-technical in nature. There has been a shift away from the natural resources as the focus of concern to social and livelihood issues. Ten years ago, a much more technical approach would have dominated.

These two changes mean that there has been a real shift from technical measures to livelihoods and people. However, with this shift there has been a consequent loss of technical robustness. Specialists no longer speak about their own specialist areas such as fisheries. There is, perhaps, a need to be more rigorous in research and therefore a need to include more technical specialists in research. Re-including technical experts may also add more options. Most of the discussion at the seminar has dealt with creating enabling environments, with regulation and the policy sphere and with democratisation. There has been very little discussion of using improved technology to increase or to change outputs at this seminar.

Focus vs. breadth.

There is a need to ensure our theoretical reflections on CPRs reflect the complexity of systems in space. CPRs exist for two reasons. They are either (a). too difficult to divide, or (b). too marginal in terms of productive capacity to warrant division. Different problems are associated with each category of CPR. The former category deals with the CPRs found in most of the literature, while the latter forms a separate category of CPR. It is necessary to take this conceptual distinction on board in our research on CPRs.

Comments from the floor

- Natural resources are used by people. It is mistaken to see sustainability as separate from issues of people and livelihoods.
- There is a need to balance both biophysical and socio-economic issues. It could be said that there is now too much focus on the socio-economic.
- CPRs are not always best explained by institutional economics literature. The distinction introduced by Roy Behnke is a useful one.
- The relationship between CPRs and other natural resources is one that needs further consideration.

Session 4 - 3rd October

12. Comparative Table of Presentations Under Main Headings

System	Area Name	Rationale/	Objectives	Partners	Methodologies	Achievements/
System	(WG)	Entry point	Objectives	Partiteis	Methodologies	Outputs
Semi Arid	ILSA (1)	Water: all groups have a stake in it: Branches out to other NR sectors (forest, agricultural land) Not more research to explain/explore complexity of linkages, but action-research to explore ways of strengthening regulatory system.	Action-research to explore: Ways of strengthening the regulatory system for natural resource management With a focus on (ground) water, beyond water shed management approach Demand regulation rather than supply Based on a through understanding of interlinkages between NR in the area Based on a coalition of interests between stakeholder groups To prevent the further erosion of the position of poor people To identify ways of increasing access of the poor to water resources.	Primary (involved) District level line departments, DRDA, DPAP/DDP Secondary (researchinfluenced) State government departments NGOs involved in policy advocacy and NRM Donors supporting NRM programmes Collaborators To be identified among NGOs and research institutes, private consultants	Convince state government of rationale of research Select districts Select communities for pilot study Work with communities to develop by-laws, test.	Identify the key features of an improved self-sustained regulatory system that leads to better access to water for the poor Pilot this system in X panchayats if feasible Influence state policies through appropriate promotion pathways Develop monitoring criteria for performance of regulatory system, together with partners, to be used by district level agencies.
Semi Arid	ILSA (2)	Semi-arid forests was the key resource that we identified could be investigated - water difficult to research. Role of forests: Fuelwood Minor forest products Grasses for livestock Not resource of last resource Forest useful prior to 1970, hence clear that improvements can be made. Study to include PPRs	To improve livelihoods of those who depend substantially on forest products Biophysical Address degradation of forests Management Develop/strengthen locally appropriate management strategies Institutional Create/strengthen the institutions to empower local communities	Government, NGOs, research organisations and commercial organisations at international, national and local levels. Role of partners • Building social capital • Institutional and organisational development • Building national and physical capital • Project design and project implementation and Management	Iterative process of project design with key informants and involving other stakeholders. • Measure biophysical, management, institutional changes. • Develop indicators for reversal of forest degradation, access to resources etc. • Monitoring to be carried out at multiple levels.	Substantially enhanced livelihood opportunities for tribal communities, women collecting firewood and women collecting other forest products as well as other disadvantaged groups Management techniques for the forest resources Institutional structures to sustain the improvements

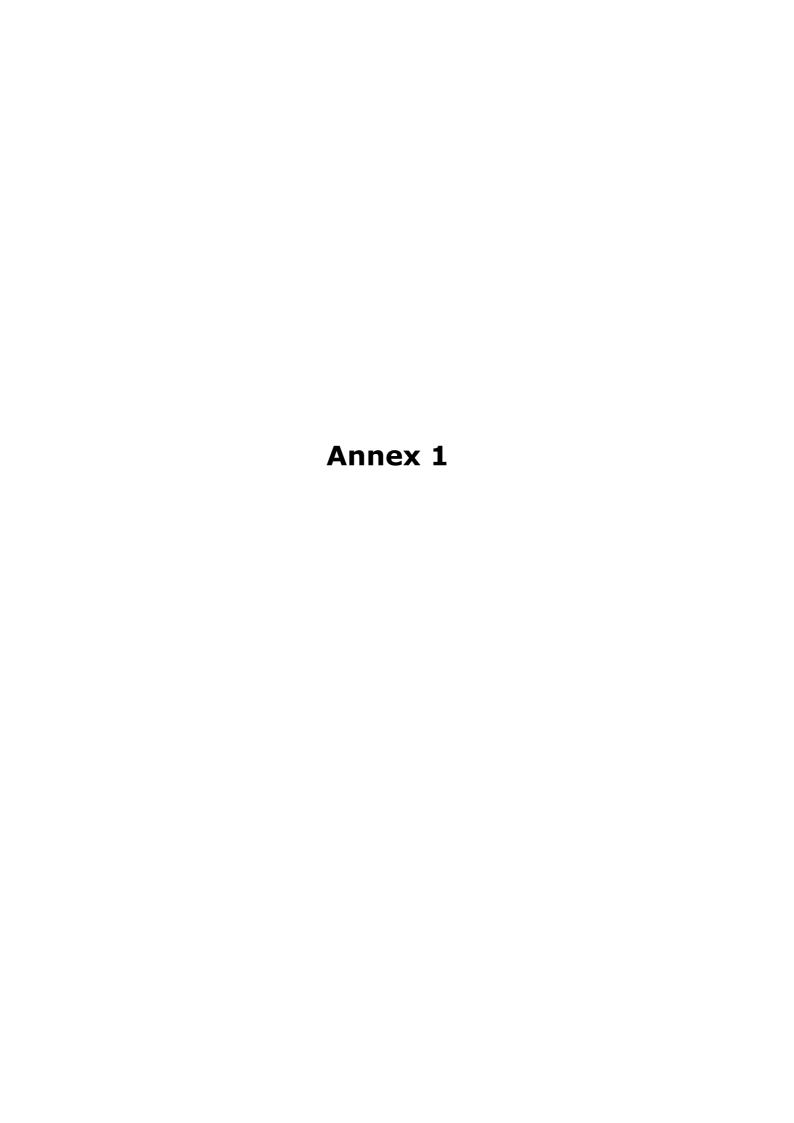
System	Area Name (WG)	Rationale/ Entry point	Objectives	Partners	Methodologies	Achievements/ Outputs
Semi Arid	EASA (3)	Most important: grazing, water • Changing strategies: legal, conservation/parks, enclosure/ conversion • Key groups: poor women? youth? Or poor groups who are affected by the processes of 'conversion'. • Research opportunity: conversion	To identify the best way for the poor to gain access to resources To ensure that access is achieved under most appropriate tenure/management regime To facilitate negotiations over changes in resource use, and to ensure that the interests of the poor are protected	District councils Zonal A.R.I. Farmers/pastoralists associations Communication District Councils DFID Research community NGOs	2 years, 4 case studies Data Review Historical study Social history, economic Livelihoods, mapping	Decision support criteria for the management of changes in the resource use What will it achieve? District Councils managing changes in resource use to ensure most sustainable and most equitable outcome.
Land water interface	FLOSA (4)	Wetlands Crucial to an identifiable group of the poor. Group felt to have been marginalised by donor policies. Key livelihood features • Reliance on fishing • Strong seasonality and uncertain access • Need to ensure past lessons learnt and awareness of impacts on this group.	To enable the assessment of systemic consequences of a proposed intervention leading to better development interventions and more empowerment of target groups over CPR interventions. To inform design of future developmental approaches. To support the empowerment of target groups to be able to influence, manage and be responsive to CPR interventions.	Initial pilot mode Community representative (winners and losers) NGO coalition Donor group coalition Government- Planning Commission Pilot stage is adaptive, flexible and opportunistic.	Communication and advocacy Consensus building across all policy strata to produce framework of questions Literature review, some primary data collection Structured communication between partners to allow incorporation of feedback from all organisational levels Produce 'rules' for robust and relatively quick understanding and assessment of likely impacts of CPR management change on wetland stakeholders	Identification of the characteristics of projects that make them succeed or fail for different groups of people Enhanced understanding of all players of how to minimalise the marginalisation of the poorest groups while improving the management of wetland CPRs Better capacity within partner organisations to engage in deliberative processes and constructive debate

System	Area Name (WG)	Rationale/ Entry point	Objectives	Partners	Methodologies	Achievements/ Outputs
Land water interface	FLOSA (5)	Floodplain systems complex and seasonal. Dynamic floodplain creates conflict at local and government level. Cannot easily be related to a specific CPR.	To create an enabling environment for stakeholders (i.e. all target groups of poor identified by case study) dependent on floodplain systems to improve their livelihoods. Through: • Application and further development of existing methodologies (consensus building, livelihoods methods etc.). • Use of relevant information by stakeholders (householdpolicy).	Build existing partnerships, not new partnerships. Link to existing in country organisations and research.	Link to and use large existing body of work on FLOSA. Assess utility of existing research products Understand the constraints to uptake and application of this knowledge and products A communication and dissemination strategy Expose these methodologies to relevant groups in different contexts within existing programmes	 Pilots within (e.g. CBFM and PETRRA) demonstrate positive livelihood outcomes Monitoring Uptake and use of methods by target institutions Individuals' view of their situation (PME and TI monitoring).
Land water interface	HICA (6)	Holistic approach to complex system, characterised by: CPR/non CPR linkages Rapid transfer through system Specific vulnerabilities of coastal settlements Vulnerable groups Upland land users Coastal, especially fishing based Interconnected urban livelihoods Therefore holistic approach needed	Improve the livelihoods of vulnerable coastal communities and linked upland communities without creating additional burdens elsewhere – Through structured change in the management of the whole system, by: 1. Better understanding of cost benefits in linked environmental, social, economic changes. 2. Understanding of political relationships (for better democratisation of the policy process) 3. To identify policy mechanisms and incentives for change to reduce detrimental effects on system and livelihoods and to encourage opportunities.	Steering group with existing groups at many levels, as a channel into policy system Stakeholder involvement through Action research in pilot projects (building on past successes) Analysis of political dynamics Stratified economic evaluation of resource uses	Steering committee central to research process Aids participation Communication mechanisms Encourages flexibility in approach and application Encourages capacity building Supports partnership and dissemination	Better appreciation of the dynamics of the system and cost/benefits of changing the system, followed by: Greater democratisation of policy process New pro-poor policies put in place

System	Area Name (WG)	Rationale/ Entry point	Objectives	Partners	Methodologies	Achievements/ Outputs
Forest Agriculture	WAFAZ (7)	The main CPRs • Standing mixed forest adjacent to farmland, in the 'community' area (20% of total national land) • Forest land in remaining 80% of land area: Links of poor to CPR • Forest product collectors • Cultivators • Potential recipients of logging revenues.	To improve the livelihoods of the poor dependent on forested and recently-cleared forest areas, demonstrating the potential for change through: • Evaluating existing options (farmed-developed, NGO, taunga, etc.) for managing recently logged and degraded areas • Investigating opportunities for adding value and marketing CPR-derived products important to the poor • Developing effective mechanisms for channelling tax revenues from the logging sector to people dependent on the forest CPR • Stakeholder review of forest management practices to consider issues such as use of fallows in land use planning	Selected local government authorities, and local communities and local governments Local NGOs Commercial logging enterprises In-country donor offices Local applied research institute(s) Overseas researchers	Survey representative sample of existing management practices and innovations at forest agriculture interface, by: Identifying selection criteria Evaluate farmer perceptions of environmental and economic impacts Evaluate distributive impacts Evaluate constraints to implementing innovations Feed back results to 'learning groups'	More inclusive policy formulation and implementation Identify good practice Identify and address constraints: Local institutions Resource constraints Policy environment Recommend and promote uptake of up-scaling strategies through 'learning groups.
Forest Agriculture	WAFAZ (8)	1.Forest resources but: - flux, dynamism, overlapping regimes 2.titling, weakened CPR rights 3.shifting cultivators - create CPRs - marginalised in forest and agricultural policy - right to integrate farming and forest resource 4. better informed policy; changed perceptions of shifting cultivators	To improve the livelihoods of shifting cultivators through change in the management of forest resources, through an improved policy environment, by: • Linking and including them in agricultural and forestry policy processes • Changed perceptions and better-informed policy process;	Bilateral programme (policy dialogue) Beyond agricultural and forestry ministries to economic planing, NARS Private sector (loggers, wood industries) Shifting cultivators (as actors in the research process)	1.Multi-scale: parallel research streams at different levels 2.Multi-disciplinary 3.Episodes, review and adaptation, action-research 4.Engage actors in research	 (Post workshop addition) Improved policy formulation and implementation supporting shifting cultivation Improved linkages between different NR government services, agencies and wider civil society Identify and address constraints in support of shifting cultivation: Local institutions (existing and new knowledge) Resource constraints (using existing knowledge) Policy environment (new and existing knowledge) Identification and monitoring of impacts - developed alongside policy makers

Note: Extracts from Presentations

Proceedings



Section 2:

Workshop Programme

Natural Resources Systems Programme

Common Pool Resources – Developing management strategies that can benefit the poor

Workshop: 2-3 October 2001, Venue – Heslington Campus, University of York

Aims of the Workshop

The workshop's aims are:

- 1. To facilitate the development ,amongst NRSP's constituents, of a better understanding of:
 - (a) The outputs that NRSP is contracted to achieve for CPR management;
 - (b) The current status of NRSP's CPR research, in terms of scope and achievements of past projects, progress in current projects and forward plans; and
 - (c) How these are positioned in respect of wider considerations of CPR management and poverty.
- 2. To carry forward the expert knowledge of CPRs assembled through the workshop, to address strategic issues in CPR management especially with respect to the poor.
- 3. To develop indicative research plans that define the main features of research for CPR management strategies that aim to benefit specific groups of the poor.

Activities

The workshop has 4 main parts:

The pre-workshop phase. By the target date of 24 September 2001, participants should receive key background materials for the workshop: an album of posters for review in Session 2 of Day 1 plus others that are additional resource materials; a dossier of case studies that will be the basis of the Working Group sessions of Day 2; and an overview report of past and current CPR-related projects in the NRSP portfolio.

The plenary introduction session on (Session 1) on Day 1. There will be two presentations, one on NRSP's CPR research and one on wider considerations of CPR management and poverty. Interdisciplinary groups formed in the lecture hall of the plenary session will be asked to debate briefly on the content of the two presentations. Key findings will be summarised and taken forward into Session 2.

A review of some CPR research through a poster session (Day 1, Session 2). Participants will be requested to form inter-disciplinary groups and undertake reviews of posters on CPR research. The posters include NRSP's CPR projects and the research of others on CPRs. The reviews will use a framework of some key questions, some that NRSP will put forward and some that will be drawn from Session 1 discussions. Each working group will report their findings. The aim will be to draw out the main achievements, findings, gaps, problem areas and positive experiences of each project. The relative contribution of different areas of research specialisation can also be considered, broadly covering economic, socio-cultural and biophysical fields with governance and institutions woven in.

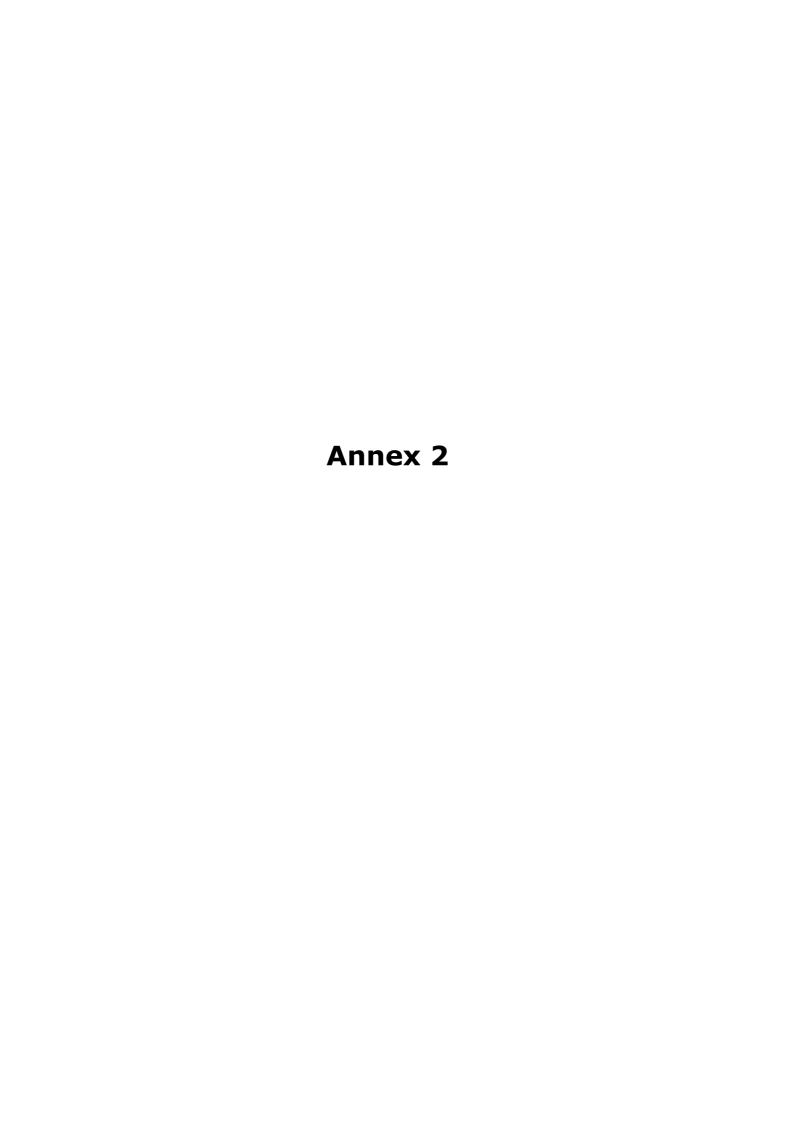
Interdisciplinary working group meetings on case studies (Day 2, Sessions 3 and 4). The working groups will aim to develop indicative designs for research on CPR management strategies for given CPRs in the production systems and target countries that NRSP covers. After presentations of the working group findings, and cross cutting assessments of the research designs, it is hoped that the main features of research for CPR management strategies that aim to benefit specific groups of the poor will be defined.

The schedule for the workshop follows.

Time	Activity	Person
October 1 pm	Registration. Setting up of posters in Environment Dept. and D16	C Quinn, H Mackay
October 2:	Workshop Day 1	
0900-1000	Registration. Setting up of posters in Environment Dept. & D16	C Quinn, H Mackay
1000-1300	Session 1 – Introduction (Plenary in D16, Derwent Col Chairperson: Kate Young Rapporteurs: JR Beeching and CC Mees	llege)
1000-1005	Welcome	M Mortimore
1005-1035	NRSP's CPR research including SWOT of progress to date	FM Quin
1035-1120	Keynote address on CPRs	R Behnke
1120-1150	Refreshments. Derwent College	
1150-1235	Interdisciplinary buzz group discussion on NRSP and keynote speech (15 mins). Brief reporting of main findings (30 mins)	Facilitator (J Hancock) & buzz group spokespersons
1235-1300	Poster tactics: poster layout, use of a framework of some key questions including those arising from the morning's presentations and buzz group findings	J Lovett
1300-1430	Lunch. Derwent College Some free time to browse posters in Derwent College	
1430-1800	Session 2 – Poster review by inter-disciplinary Working (Environment Department) Chairperson: FM Quin Rapporteurs: E Aberra and R Grahn	g Groups
1430-1515	Working Group inspection of posters and review against the guideline questions (8 Working Groups)	Poster presenters and facilitators
1515-1530	Walk over to D16, Derwent College (10 min walk actually)	
1530-1735	Working Group reports on posters (5 mins per report, 15 mins discussion)	
1530-1600	Three WG reports (theme 1 – R7887 and R7857; theme 3 – comparative pair, R7973 and R7868)	WG nominees
1600-1630	Refreshments (Derwent College)	
1630-1720	Five WG reports (theme 2 – R7304 and R7559; theme 4 – comparative pair, PUI and parkland micro-catchments;	WG nominees
	theme 5 – institutional arrangements for CPR management – experiences in Latin America	
1720-1735	Comments on WG findings – key elements to take forward to Day 2	Chairperson
1735-1755	Tasks for Day 2 – Interdisciplinary Working Groups, use case studies for specific production systems to elaborate the main features of research for CPR management strategies that aim to benefit specific groups of the poor	Chairperson
1755-1800	Chairperson's concluding remarks on Session 2	

October 2:	Workshop Day 1 – evening	
1800-1845	Environment Department	
1800-1845	Refreshments (non-alcoholic). Posters revisited if wished	Poster presenters
1845 sharp	Depart for workshop dinner	
1905-1930	Walkabout in York city centre, including a visit to York Minster	for those that wish
1930-2015	Pre-dinner drinks served at St William's College	
2015-2300	Workshop dinner at St William's College	
2300	Return to University of York campus	

Time	Activity		Person		
October 3:	Workshop Day 2				
0900-1230	Session 3 – Working Group session on Case Studies (Environment Dept.)				
0900-1100	Working Groups work on their respective case st	udies	Facilitators		
1100-1130	Refreshments available [Note: not a break, be	est if taken i	n case study rooms]		
1130-1230	Working Groups work on their respective case st	udies	Facilitators		
1230-1400	Lunch. Derwent College Meeting of persons to report on WG session and and differences in case study outcomes	facilitators t	o assess similarities		
1400-1700	Session 4 – Working Group reports (Plenar	y, D16 Derv	went College)		
	10 mins per presentation split in 3 sessions LW)	10 mins per presentation split in 3 sessions by production system (SA, FA,			
	WG reports will present: The main features of strategies that can benefit specific groups of the		or CPR management		
	Rapporteurs throughout: E Aberra and R Grahn				
	Semi-arid production system				
	Chairperson: MKV Carr	Facilitator	: MA Stocking		
1400-1430	Case studies for SA-India [2] and SA-Tanzania [1]		3 WG nominees		
1430-1445	Questions for clarification. Main strengths, weak	Facilitator			
	Forest agriculture interface				
	Chairperson: G Yaron	Facilitator	: JL Gaunt		
1445-1505	Case studies for FA-West Africa [2]		2 WG nominees		
1505-1515	Questions for clarification. Main strengths, weak	nesses etc	Facilitator		
1515-1530	Quick refreshment break (Derwent College))			
	Brief synthesis session for WG presenters thus far, and other resource persons				
	Land water interface				
	Chairperson: CC Mees	Facilitator	: J Hancock		
1530-1600	Case studies for LW-South Asia floodplains [2] a Caribbean [1]	nd	3 WG nominees		
1600-1615	Questions for clarification. Main strengths, weaknesses etc		Facilitator		
1615-1630	General discussion, chaired by J Lovett		Facilitators		
1630-1700	Session 5 – Wrap up				
	Chairperson: Dr JS Samra	Rapporteu	ır: H Mackay		
1630-1645	Summary of main findings		R Behnke		
1645-1700	Conclusion		M Mortimore		



Natural Resources Systems Programme – CPR Workshop Logical Framework

Narrative summary	Objectively Verifiable Indicators	Means of Verification	Important assumptions
Goal			
Enhanced understanding of NR-related management opportunities that could benefit the poor and means to realise these for the poor identified and validated (Programme logframe, Output 3)	By 2002, for the 6 production systems, NR-related management opportunities identified and characterised through project activities By 2003, a synthesis of the above completed and key NR-related management opportunities elucidated across all systems By 2005, in the 6 production systems, at least 2 opportunities for livelihood enhancement of the poor validated	Project FTRs Project peer- reviewed publications NRSP Annual Reports & publications Target institution reports External Review Report	
Purpose			
NRSP's capacity to deliver options for pro-poor strategies for the management of common pool resources (CPRs) improved (CPR specific objective formulated in context of Programme logframe activity 3.1)	By Mar 2002, NRSP constituents report professional gain in their own strategic thinking from the CPR debate at the NRSP workshop By Mar 2002, evidence in submitted concept notes (CNs) that learning from the CPR workshop has influenced research design in proposals responding to NRSP's CPR calls By Mar 2002, at least 30% of project proposals submitted for CPR management research have a better systems approach evidenced through research team structure, good understanding of the institutional context of CPR management, description of planned research outputs that could benefit specific groups of the poor By Mar 2003, progress in at least 50% of commissioned projects meets the planned	NRSP survey post-workshop NRSP Annual Reports NRSP PAC and SG minutes MTR reports for NRSP's CPR projects, onwards from Jan 2002 NRSP publication	DFID annual funding continues at least at 2002/03 level to Mar 2005
Outputs	milestones and is on target for attaining outputs		
Outputs 1. Better understanding amongst NRSP's constituents of (a) the outputs that NRSP is contracted to achieve for CPR management; (b) current status of NRSP's CPR research progress and forward plans; and (c) how these are positioned in wider considerations of CPR management and poverty	 Prior to the workshop, background papers circulated to participants In Workshop Session1, Day 1, CPR presentations accomplished On workshop days 1-2, CPR project publications and dbases displayed By end of workshop day 2, rapporteurs notes show that participants' have reacted on the main points of Session 1 	Workshop background papers: absrct., poster album, CPR projects' review report Workshop proceedings NRSP web site	Participants 'buy-in' to the workshops aims Budget cuts do not prevent continuing maintenance and
2. Workshop carries forward expert knowledge of CPRs to address strategic issues in CPR management especially with respect to the poor	Group reports for Wksp Session 2 (posters) show evidence of focused debate on: some of the issues in CPR management strategies and their effects on people's livelihoods covering biophysical, sociocultural, institutional, legal, economic and financial fields inter-disciplinary debate on CPR management strategies and research needs	Workshop proceedings NRSP web site Livelihoods Connect web site	development of the NRSP web site
3. Main features of research for CPR management strategies that aim to benefit specific groups of the poor developed by workshop participants	By end of workshop: At least 3 indicative designs for research on CPR management strategies developed, one each for semi-arid, forest agriculture and land water production systems Cross cutting synthesis and SWOT produced by end of workshop shows evidence of participants' critical analysis of ways forward in CPR management Some key considerations for research design for enhanced management of CPRs identified and agreed	Workshop proceedings	

Narrative summary	Milestones	Important assumptions
Activities		
For Outputs 1-3:		
1-3.1 Design, announce and implement workshop programme for Days 1-2, 2-3 Oct 2001	1 Aug 01: Send out draft programme and covering letter Aug-Sep 01: Arrange chairpersons, rapporteurs, facilitators 20 Sep 01: Send out final version of programme 2-3 Oct 01: Workshop takes place	
For Output 1:		
1.1 Development of presentations and background materials	Aug-Sep: Interact with person preparing CPR review report Aug-Sep: Interact with KS on content of address Aug-Sep: Assemble publications and decide on layout Sept: Prepare opening presentation for Day 1, Session 1 20 Sep 01: Dispatch background materials to participants	
1.2 Presentations in Session 1	By 25 September 2001: Abstracts prepared and circulated	
	On 2 Oct 2001: NRSP CPR publications display set up On Oct 2 2001: Presentations made by FMQ & RB	
1.3 Compilation of rapporteurs notes	On 4 Oct 2001: Rapporteurs notes compiled and key aspects summarised	
For Output 2:		
2.1 Poster display on CPR projects (NRSP's and others)	By end of first week of Aug 2001: Announce poster plans and specifications By 25 September 2001: Prepare poster album and	
	circulate to participants By 12 noon, 2 Oct 2001: Poster display set up	
	On Oct 2 2001: Workshop session on posters (presentatations and peer critique)	
For Output 3:		
3.1 Develop case studies	8 Aug to 6 Sep 01: Assemble case study materials 7 Sep 01: Agree final form 10-14 Sep 01: Prepare final version of case studies 20 Sep 01: Dispatch case studies to participants	
3.2 Develop indicative design for research on CPR management strategies that aim to benefit the poor 21 Sep 01 to 1 Oct 01: Participants study case study materials 3 Oct 01: Working Groups work on case studies and report their proposals 4 Oct 01: E-files of CPR management strategies edited and assembled as part of the workshop proceedings		

Timetable

On Tue 1 Aug 01	Send out programme	
	Send out programme	
By Fri 3 Aug 01	Documentation to Roy Behnke	
	Contract to Roy Behnke	
	Decision and contract on person for project documentation synthesis	
By Tues 7 Aug 01	Send out poster requirements	
8 Aug-6 Sep 01	Interact on poster compilation and decide content of NRSP's CPR publications display	
	Interact on keynote address and project CPR synthesis study	
	Interact on case studies and key questions for the poster review	
	During this period, arrange contract for LW coast-CPR facilitator (Jim Hancock)	
	HJM to make one-day visit York University to check logistics etc	
Fri 7 Sep 01	SG – discuss workshop, especially case studies and poster review framework	
10-14 Sep 01	Finalise case studies and NRSP presentation. Interact with keynote speaker to	
	finalise his presentation. Finalise publications display	
Mon 17 Sep 01	Review and synthesis of NRSP CPR projects – report received	
	E-files of posters received	
	Abstracts received	
17-20 Sep 01	Compile workshop background papers and decide working group composition for each day	
Thu 20 Sep 01	Dispatch workshop background papers, final programme and note on WGs	
21 Sep onwards	Participants have 6 working days to study workshop background papers	
Mon 1 Oct 01	Travel to York	
	Various pre-workshop arrangements, dry runs, folders, publications display etc	
T, W 2-3 Oct 01	Workshop	
Thu 4 Oct 01	Compilation of e-files of proceedings	
By Fri 12 Oct 01	Proceedings posted on NRSP web site or dedicated list-server	

Annex 3

Case Studies

Please refer to Annex C of the pre-Workshop document

Annex 4 Workshop Posters

Please refer to Annexes A and B of the pre-Workshop document