BIOCULTURAL COMMUNITY PROTOCOLS: A TOOLKIT FOR COMMUNITY FACILITATORS

Integrated Participatory and Legal Empowerment Tools to Support Communities to Secure Their Rights, Responsibilities, Territories, and Areas

Holly Shrumm and Harry Jonas (editors), 2012. *Biocultural Community Protocols: A Toolkit for Community Facilitators*. Natural Justice: Cape Town.

Available online at: www.community-protocols.org.

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Photographs and Diagrams

Courtesy of Natural Justice, unless otherwise specified. Photographs used with permission of individuals therein.

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Edited by Holly Shrumm and Harry Jonas
Natural Justice: Lawyers for Communities and the Environment

NATURAL JUSTICE

2012

CDT Foundation Inc.
SHUTTLEWORTH FUNDED
THE CHRISTENSEN FUND
Access and Benefit Sharing
The ABS Capacity Development Initiative
OSISA Open Society Initiative for Southern Africa
HEINRICH BÖLL STIFTUNG SOUTHERN AFRICA

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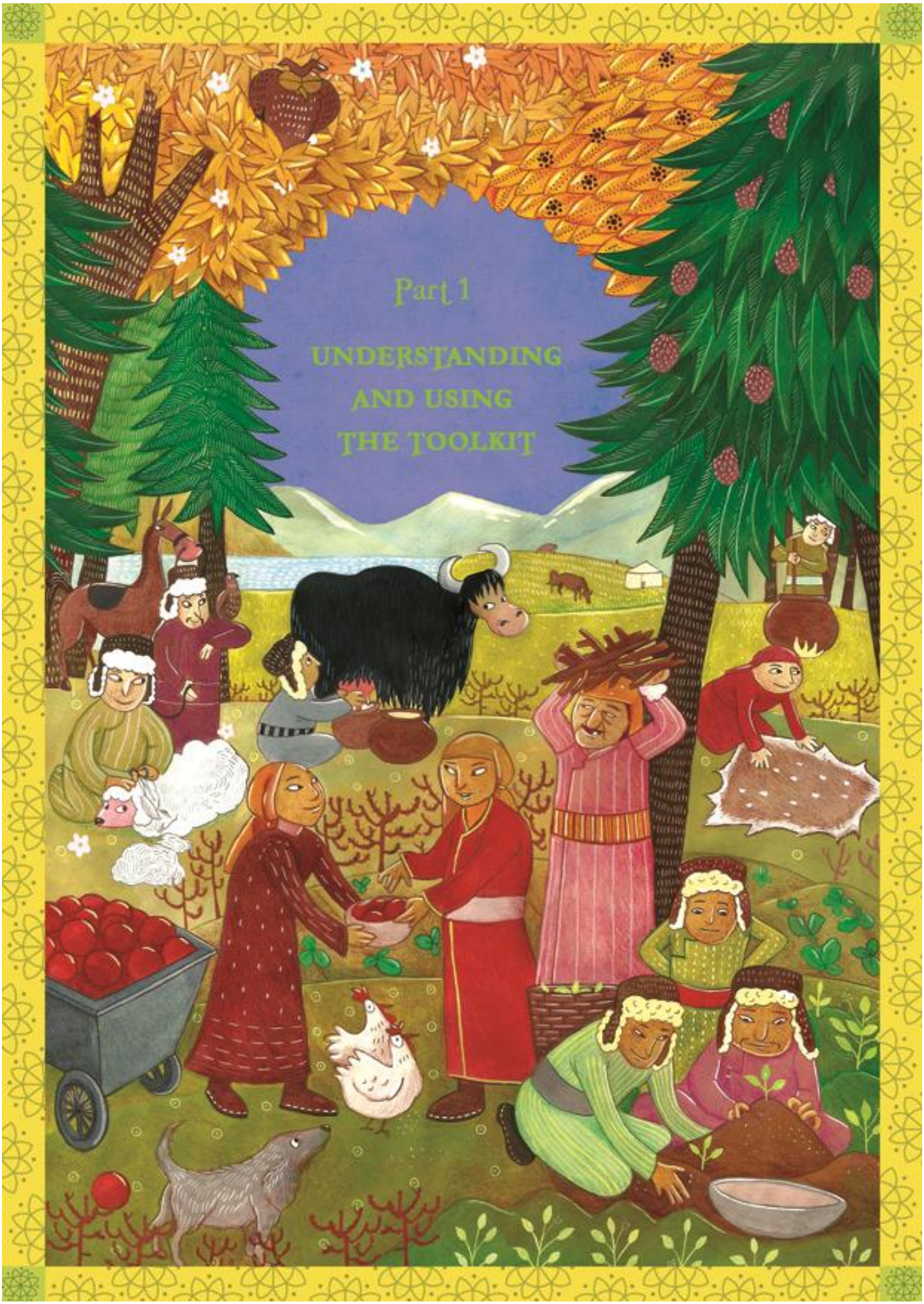


Part 1

UNDERSTANDING AND USING THE TOOLKIT

SECTION I

INTRODUCTION TO THE TOOLKIT

Indigenous peoples and many local communities have unique protocols, procedures, rules, and regulations (referred to as 'protocols') that regulate their interactions within and between communities and with the territories and areas upon which they depend. Protocols provide clarity to community members about rights, responsibilities, and appropriate behaviour. Respecting and acting according to community protocols helps ensure social cohesion and reinforces customary laws, values, and decision-making processes.

Indigenous peoples and local communities are increasingly engaging with external actors such as government agencies, researchers, companies, and non-governmental organizations (NGOs). However, external actors often do not understand customary protocols and governance systems because they are codified in ways specific to each community, culture, and location. Failing to respect community protocols, whether intentional or not, can lead to conflict, deterioration of otherwise constructive relations, and negative impacts on the environment.

To address this issue, Indigenous peoples and local communities have begun to document and develop their protocols into forms that can also be understood by others. They are using them to ensure that external actors respect their customary laws, values, and decision-making processes, particularly those concerning stewardship of their territories and areas. They are actively seeking recognition of customary systems of governance and management, including traditional knowledge and practices, and their roles in the conservation and sustainable use of biological diversity and ecosystem adaptation. Many are referring to these instruments as 'biocultural community protocols'.[1]

A. OVERVIEW OF THE TOOLKIT

Biocultural Community Protocols: A Toolkit for Community Facilitators (the Toolkit) is for Indigenous peoples, local and mobile communities, and supporting community-based and non-governmental organizations (CBOs and NGOs). It is intended to support communities to secure their rights and responsibilities and strengthen customary ways of life and stewardship of their territories and areas. **It is directed primarily towards facilitators from the communities themselves or from supporting organizations with whom they have long-standing and positive relationships.**

[1] Note: This Toolkit uses the terms 'biocultural community protocol', 'community protocol', and 'protocol' interchangeably. See ***Part I: Section II/F*** for a discussion about guiding principles.

The Toolkit consists of four parts:

- ***Part I*** is intended to help community facilitators understand and effectively use the Toolkit. It introduces the Toolkit and what biocultural community protocols are and how they are being used around the world. It provides guidance on using the Toolkit, including considerations of understanding the community and the role of the facilitator. It also provides an overview of a number of key methods and tools to choose and adapt as appropriate in each local context.
- ***Part II*** provides guidance on documenting and developing a biocultural community protocol. It references key methods and tools from Part I and suggests guiding questions for the appropriate documentation of aspects of the community's ways of life, consolidation of a protocol, and development of strategies to put the protocol into practice.
- ***Part III*** provides guidance on using a biocultural community protocol. It suggests a number of ways to engage with external actors, raise awareness with communities and the broader public, engage in key decision-making processes, negotiate with external actors, and prevent and resolve conflict.
- ***Part IV*** provides guidance on reflecting on processes and changes to date, reporting back to the community and to external actors, and revisiting and revising the protocol and associated strategies and plans.

The Toolkit is intended for use in conjunction with the dedicated website www.community-protocols.org. The website contains a wide range of supplementary multimedia resources that will be added and updated over time, including:

- Short films, photo stories, and slideshows;
- Articles, books, magazines, and journals;
- Information about key methods and tools relating to endogenous development, participatory documentation and communication, legal empowerment, social mobilization, advocacy, and monitoring and evaluation;
- Legal resources such as e-learning modules on key legal frameworks that relate to Indigenous peoples, local communities, and their territories and areas;
- Networking opportunities; and
- Links to existing community protocols from Africa, Asia-Pacific, and the Americas.

Overall, the Toolkit aims to strike a balance between underscoring important principles and providing practical guidance, retaining some degree of structure without being overly prescriptive. It is intended to empower communities to make informed decisions about participatory and legal empowerment methods and tools that can help secure their rights and responsibilities and strengthen customary ways of life and stewardship of their territories and areas.

B. BACKGROUND TO THE TOOLKIT

This is the first edition of the Biocultural Community Protocols Toolkit, developed as part of the Regional Initiatives on Biocultural Community Protocols.[2] Protocols are being developed by a number of Indigenous peoples and local and mobile communities and their supporting organizations around the world (see Table 1).

[2] For more information on the African and Asian Initiatives on Biocultural Community Protocols, see: http://naturaljustice.org/our-work/regional-initiatives/biocultural-community-protocol.

Table 1: Communities and supporting organizations that have developed or are developing and using biocultural community protocols

Communities	Supporting Organizations
AFRICA	
Traditional health practitioners in Mpumalanga, South Africa	Kakula Traditional Health Practitioners Association
Tanchara community and communities in the Nadowli District of northern Ghana	Centre for Indigenous Knowledge and Organizational Development
Pastoral communities on the Waso Rangeland in northern Kenya	Kivulini Trust
Karima community in the central highlands of Kenya	Porini Association
Samburu pastoralists in the Samburu District, Kenya	LIFE Network Kenya
Maasai Communities of Ilkesumeti in the Kajiado District, Kenya	Mainyoito Pastoralist Integrated Development Organization
Indigenous communities in Lamu, Kenya	Save Lamu
Traditional residents of the Sheka Forest, Ethiopia	MELCA-Ethiopia
ASIA	
Jaisalmer camel breeders and Raika livestock keepers in Rajasthan, India	Jaisalmer Camel Breeders Association and Lokhit Pashu-Palak Sansthan
Maldhari livestock keepers in Kachchh, Gujarat, India	Banni Breeders Association and Sahjeevan
Lingayat livestock keepers in the Bargur Forest Range of Tamil Nadu, India	Sustainable Agriculture and Environment Voluntary Action
Traditional healers and medicinal plants conservation farmers in Rajasthan, India	Jagran Jan Vikas Samiti
Vaidyas (traditional healers) of the Malayali tribes in the Vellore District of Tamil Nadu, India	Association of Tamil Nadu Traditional Siddha Healers
Farmers in Nagapattinam District, Tamil Nadu, India	Sirkhazi Organic Farmers Association and Centre for Indian Knowledge Systems
Organic farmers across Sri Lanka	Future in Our Hands
Indigenous Dusun communities in Sabah, Malaysia	Global Diversity Foundation and Partnership of Community Organizations (PACOS)
Livestock keepers in Balochistan and Cholistan, Pakistan	Society of Animal, Veterinary and Environmental Scientists (SAVES)
Indigenous nomadic pastoralist tribes in Iran	Centre for Sustainable Development (CENESTA)
SOUTH AND CENTRAL AMERICA	
Alto San Juan community in Chocó, Colombia	ASOCASAN Community Council and Instituto de Investigaciones Ambientales del Pacífico
Quechua communities in Peru	Asociación ANDES
Chipaya and Tapacari communities in Bolivia	AGRUCO
Mapuche communities in Lafkence, Chile	Kume Felen
Kuna Yala communities in Panama	Fundación para la Promoción del Conocimiento Indígena
Mayan communities in Guatemala	Oxlajuj Ajpop

In addition, the toolkit builds on ongoing interactions with non-governmental organizations, networks, and initiatives that have explored biocultural community protocols and related issues, including (among others):

- African Biodiversity Network
- COMPAS Network for Endogenous Development
- ICCA Consortium
- League for Pastoral Peoples and Endogenous Livestock Development (LPP)
- Local Livestock for Empowerment (the LIFE Network)
- Sacred Natural Sites Initiative
- Sociedad Peruana de Derecho Ambiental (Peru)

Several institutions and international and intergovernmental organizations have also contributed to the development of the theories and methods behind biocultural community protocols, including (among others):

- ABS Capacity Development Initiative
- Institute of Ayurveda and Integrative Medicine and Foundation for Revitalisation of Local Health Traditions (India)
- International Institute for Environment and Development (IIED)
- Union for Ethical BioTrade
- United Nations University Institute of Advanced Studies (UNU-IAS)

C. ACKNOWLEDGEMENTS

For their financial support of various aspects of our work on biocultural community protocols and legal empowerment, Natural Justice extends sincere appreciation to the following organizations and institutions (in alphabetical order):

- Access and Benefit Sharing Capacity Development Initiative
- The Christensen Fund
- CDT Foundation
- Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)
- Heinrich Böll Foundation for Southern Africa
- International Development Law Organization
- International Development Research Centre through the Open AIR Initiative
- International Union for Conservation of Nature Environmental Law Centre
- Open Society Initiative for Southern Africa
- Personnel Cooperation in Developing Countries (PSO, The Netherlands)
- Shuttleworth Foundation
- Swedish International Biodiversity Programme
- United Nations Educational, Scientific and Cultural Organization (UNESCO)
- United Nations Environment Programme (UNEP)
- United Nations University Institute of Advanced Studies (UNU-IAS)

In addition to the many communities, organizations, and networks noted in ***Part I: Section B*** above, a number of people have contributed directly to the development of this toolkit. Natural Justice thanks the following individuals for their invaluable guidance, input, and feedback: Julian Sturgeon (Resource Africa), Wim Hiemstra (COMPAS Network), Ilse Köhler-Rollefson (League for Pastoral Peoples), K. A. Kahandawa (Future in Our Hands, Sri Lanka), Bern Guri (Centre for Indigenous Knowledge and Organization Development, Ghana), Sabyasachi Das and Ramesh Bhatti (Sahjeevan, India), Abdul Raziq Kakar (SAVES, Pakistan), Million Belay and Befekadu Refera (MELCA, Ethiopia), Hadija Ernst (Save Lamu, Kenya), Bas Verschuuren and Robert Wild (Sacred Natural Sites Initiative), Taghi Farvar (CENESTA), Govindaswamy Hariramamurthi (Institute of Ayurveda and Integrative Medicine, India), Suneetha Subramanian (UNU-IAS), Peter Croal (Canadian International Development Agency and Southern African Institute for

Environmental Assessment, SAIEA), Hjalmar Jorge Joffre-Eichhorn (Afghanistan Human Rights and Democracy Organization), Liz Rihoy and Njenga Kahiro (Zeitz Foundation), Alejandro Argumedo (Asociación ANDES, Peru), Krystyna Swiderska (International Institute for Environment and Development, IIED), Kid James (South Central Peoples Development Association, Guyana), and Maurizio Farhan Ferrari (Forest Peoples Programme).

We also thank Priya Kuriyan for the beautiful illustrations and Silver Banana in Cape Town for the printing. Any errors or omissions in the toolkit are the responsibility of Natural Justice and the editors alone.

D. PROVIDING FEEDBACK

This Toolkit is intended to provide information and guidance to communities and supporting organizations interested in developing and using biocultural community protocols in support of their local initiatives and campaigns. It is also intended to foster dialogue and sharing of experiences and lessons amongst a broad cross-section of actors about the theories, methods, and applications of biocultural community protocols.

We welcome your feedback on content, ideas for further development, and specific inputs on community experiences and participatory tools. Please contact the editors at: Holly Shrumm (holly@naturaljustice.org) and Harry Jonas (harry@naturaljustice.org).

A second edition of the Toolkit is planned for late 2012. Please check www.community-protocols.org for notifications of additions or updates in the meantime.

SECTION II

INTRODUCTION TO BIOCULTURAL COMMUNITY PROTOCOLS

A. WHAT IS A BIOCULTURAL COMMUNITY PROTOCOL?

Indigenous peoples and many local communities have close connections with specific territories or areas, which are the foundations of their identities, cultures, languages, and ways of life. This is sometimes referred to as collective biocultural heritage (see Box 1). Systems of self-governance and self-management have been developed over many generations, underpinned by customary laws, values, and beliefs. These decision-making systems enable communities to sustain their livelihoods and provide for future generations within the natural limits of their territories and areas.

Collective biocultural heritage *is the knowledge, innovations, and practices of Indigenous peoples and local and mobile communities that are collectively held and inextricably linked to traditional resources and territories, local economies, the diversity of genes, varieties, species and ecosystems, cultural and spiritual values, and customary laws shaped within the socio-ecological context of communities.*

Box 1: Definition of collective biocultural heritage (Developed at a 2005 workshop of research and Indigenous partners of the Traditional Knowledge Protection and Customary Law project; Source: Swiderska, 2006)

Many Indigenous peoples and local communities have customary rules and procedures, also known as protocols, to regulate conduct and interactions between themselves and outsiders. Protocols form an important part of customary law and are codified in many different ways such as oral traditions and folklore, dances, carvings, and designs.

Over the past several decades, communities have been increasingly engaging with external actors such as government agencies, researchers, companies, and conservation organizations. Sometimes this engagement occurs according to communities' protocols and locally defined priorities. In many cases, however, the terms of the engagement are initiated and defined by the external actor; communities often have to act defensively in response to imposed plans or threats.

As a result, there is growing recognition of the potential usefulness of articulating communities' protocols in forms that can be understood by others. Doing so can help put external actors on notice about the community's identity and ways of life, customary values and laws, and procedures for engagement. It can also catalyze constructive dialogue and collaboration to support the community's plans and priorities in locally appropriate ways. These new forms of protocols are also called "biocultural community protocols".

The process of developing, and using a biocultural community protocol involves collective reflection and deliberation, participatory documentation and communication, legal empowerment, and social mobilization. It can be a powerful way for communities to determine and communicate their own plans and priorities and advocate for respect and appropriate support for their ways of life. A biocultural community protocol can serve as a platform for asserting rights and affirming responsibilities under customary, national, and international law, particularly in response to opportunities and challenges posed by external actors. It can also contribute to the revitalization of certain cultural practices or norms that affect their interactions with the environment.

Although each is adapted to its local context, a biocultural community protocol *is generally*:

- **Determined by a self-defined community with a close connection to a specific territory or area that is the foundation of their identity, culture, language, and ways of life**
- **Documented, developed, and used in a participatory manner by that community and, where appropriate, with the support of trusted and long-standing organizations**
- **Intended to promote appropriate recognition of and support for community-specific customary ways of life and stewardship of their territory or area**
- **Based upon values, standards, procedures, rights, and responsibilities set out in customary, national, and international laws and policies**

A biocultural community protocol *is not*:

- **Determined or defined by an external actor such as a government official, researcher, businessperson, or consultant**
- **Documented, developed, or used in a top-down or prescriptive manner or in a way that undermines the community's decision-making processes and right to self-determination**
- **A guarantee that the community will provide free, prior and informed consent to an external invention or project**
- **An agreement to enter into any negotiations or contractual arrangements**
- **A tool that can be used to undermine or hinder values, standards, procedures, rights, and responsibilities set out in customary, national, and international laws and policies.**

Key Resources on Biocultural Community Protocols
Biocultural Community Protocols: A Community Approach to Ensuring the Integrity of Environmental Law and Policy (Bavikatte and Jonas, 2009)
Biocultural Community Protocols and Conservation Pluralism (Jonas et al., 2010)
Biocultural Community Protocols for Livestock Keepers (Köhler-Rollefson, 2010)
Community Biocultural Protocols: Building Mechanisms for Access and Benefit-sharing Among the Communities of the Potato Park Based on Quechua Customary Norms (Asociación ANDES et al., 2011)
Community protocols website: www.community-protocols.org

B. WHY ARE COMMUNITIES DEVELOPING AND USING PROTOCOLS?

B1. External Threats

Communities are documenting, developing, and using protocols primarily in response to external threats and challenges caused by global demand for increasingly scarce natural resources. Many of these resources are in the customary territories and areas of Indigenous peoples and local communities and have been conserved and sustainably used as forests, watersheds, rangelands, mountains, and coral reefs. As a result, communities' territories and areas often become the targets of land and resource acquisition for external gains.

Privatization and nationalization of resources and the use of large-scale, industrial methods of production and consumption (see Box 2) are causing rapid rates of biodiversity loss and ecosystem destruction. Combined with social and political threats such as acculturation and discrimination, these environmental pressures significantly affect Indigenous peoples and local communities who depend upon their territories and areas for livelihoods and wellbeing. As a result, cultural and linguistic diversity are declining at alarming rates as well.

- Clear-cut logging
- Monoculture plantations such as soy and oil palm
- Bottom trawling for fish and crustaceans
- Large-scale aquaculture
- Mining and drilling for minerals, oil, and gas
- Infrastructure such as dams and transportation routes
- Introduction of invasive alien species and genetically-modified plants and animals
- Pollution and industrial waste
- Human-induced natural disasters
- Strictly protected areas such as national parks and nature reserves

Box 2: Examples of external threats to Indigenous peoples' and local communities' territories and areas

Perhaps at the heart of these issues is the nature of law itself. Laws compartmentalize parts of the environment and of communities' lives that are inseparable in reality. Indigenous peoples and local communities tend to view their territories and areas as integrated systems, with each part dependent upon others. In contrast, governments tend to view an area solely as distinct parts. They develop and implement multiple laws that separately address, for example, biodiversity, forests, water, wildlife, agriculture, and Indigenous knowledge. The result is the legal fragmentation of communities' ways of life, which can weaken their claims to self-determination.

For more information about critiques of the nature of law and its impacts on communities, please see www.community-protocols.org/context

Key Resources on External Threats to Communities' Territories and Areas
Global Biodiversity Outlook 3 (Secretariat of the Convention on Biological Diversity, 2010)
Land Rights and the Rush for Land: Findings of the Global Commercial Pressures on Land Research Project (International Land Coalition, 2012)
Land Deals in Africa: What is in the Contracts? (IIED, 2011)
Report of the Special Rapporteur on the Rights of Indigenous Peoples: Extractive Industries Operating Within or Near Indigenous Territories (Anaya, 2011)
Pushback: Local Power, Global Realignment (Rights and Resources Initiative, 2011)

B2. Emerging Opportunities

At the same time as external threats are heightening, there are also new opportunities to engage with laws in positive ways. There is renewed respect for the multiple values of communities' animal breeds, crop varieties, non-timber forest products, and traditional knowledge, as well as the ecosystem connectivity and functions of their territories and areas. On this basis, communities are engaging in a range of legal frameworks such as biodiversity, agriculture, and climate change. Although each framework has its own philosophical and practical challenges, communities are beginning to effectively use them to secure basic rights and responsibilities. Biocultural community protocols are one rights-based approach to not only combat the fragmentary nature of positive law but also to ensure that it supports communities' ways of life.

B3. Community Responses

In response, Indigenous peoples and local communities are advocating for recognition of their customary use and stewardship of their territories and areas and the resources therein. They have pushed for legal reform at the national level in many countries and in select regional court cases. They have made significant achievements in international human rights law, particularly the United Nations Declaration on the Rights of Indigenous Peoples. They are also increasingly gaining recognition in a number of international environmental frameworks for rights related to traditional knowledge, customary use of resources, and governance of territories and areas (see Box 3 and Table 2).

According to the *Nagoya Protocol on Access and Benefit Sharing*, governments must consider customary laws, community protocols, and procedures with respect to traditional knowledge and genetic resources. They must also support the development of and raise awareness about community protocols and procedures. Some governments are now considering recognizing community protocols in their domestic legislation as well.

Box 3: Legal recognition of community protocols under the United Nations Convention on Biological Diversity

Table 2: Indigenous peoples' and local communities' rights in international environmental law and policy

Recognized Right	International Framework
Traditional knowledge, innovations, and practices and other expressions of cultural heritage	*United Nations Convention on Biological Diversity* *World Intellectual Property Organization* *United Nations Educational, Scientific and Cultural Organization*
Customary sustainable use of biological resources	*United Nations Convention on Biological Diversity* *Food and Agriculture Organization of the United Nations*
Genetic resources, including for food and agriculture	*United Nations Convention on Biological Diversity* *Food and Agriculture Organization of the United Nations*
Indigenous peoples and community conserved areas	*United Nations Convention on Biological Diversity* *International Union for Conservation of Nature*
Community-based adaptation to climate change	*United Nations Framework Convention on Climate Change*
Livelihood-specific rights (farmers, livestock keepers, and fisher folk)	*Food and Agriculture Organization of the United Nations*
Rights-based approaches to conservation	*International Union for Conservation of Nature*

Communities are gaining different types of rights (see Box 4). Some laws and policies prohibit external actors from harmful actions by establishing minimum standards of conduct. Other laws and policies mandate affirmative actions such as involving communities in decision-making processes that affect them. Communities are not just stakeholders whose views may or may not be considered. They are rights-holders and thus have the right to be involved in decisions that affect them and their territories or areas. Governments and other external actors have the legal duty to ensure that those rights are realized.

> ***Procedural rights*** include rights to participate in decision-making, acquire information, and access justice. ***Substantive rights*** include rights to self-determination, self-governance, freedom from discrimination, freedom to practice culture, personal security, health, and education.

Box 4: Examples of types of rights

Despite these international gains, external actors often continue their harmful practices at the local and national levels. For example, government projects are developed and implemented without consideration of local views or priorities; companies damage ecosystems through unsustainable extraction of natural resources; NGOs impose top-down methods of 'sustainable development'; and researchers take communities' genetic resources and traditional knowledge without sharing benefits.

Indigenous peoples and local communities are thus exploring new ways to secure their ways of life and territories and areas, both proactively and defensively. Biocultural community protocols are one instrument with the potential to improve interactions with external actors towards this aim. Communities can use protocols to proactively clarify their values, priorities, rights, and responsibilities and call upon others to either act in supportive ways or cease harmful practices. Protocols can help catalyze social mobilization, strategic planning, and legal advocacy around specific issues that affect communities' territories and areas. Overall, protocols provide a platform for constructive engagement in accordance with community-defined plans and priorities (see Figure 1 below). They enable communities to begin to take control over the processes that affect their lives, rather than being the passive recipients of ready-made decisions or victims of abuse.

A biocultural community protocol may be developed for a number of different reasons. In general, communities have one or both of the following overarching motivations:

- **Proactive or aspirational**: Communities can invite external actors to contribute to their plans and priorities in constructive ways such as ensuring their participation in decision-making processes that affect them. This may involve seeking outright recognition of their ways of life and relationships with their territories and areas. It may also involve working collaboratively towards a tangible outcome such as a benefit-sharing agreement. Seeking mutual benefits is an important part of this approach.
- **Defensive**: Communities can call on external actors to cease harmful activities that are already occurring or that have the potential to occur if plans progress unchecked. This often involves seeking recognition of procedural and substantive rights and responsibilities to prevent future harms. Communities may also seek redress for past injustices or mediation for conflict resolution.

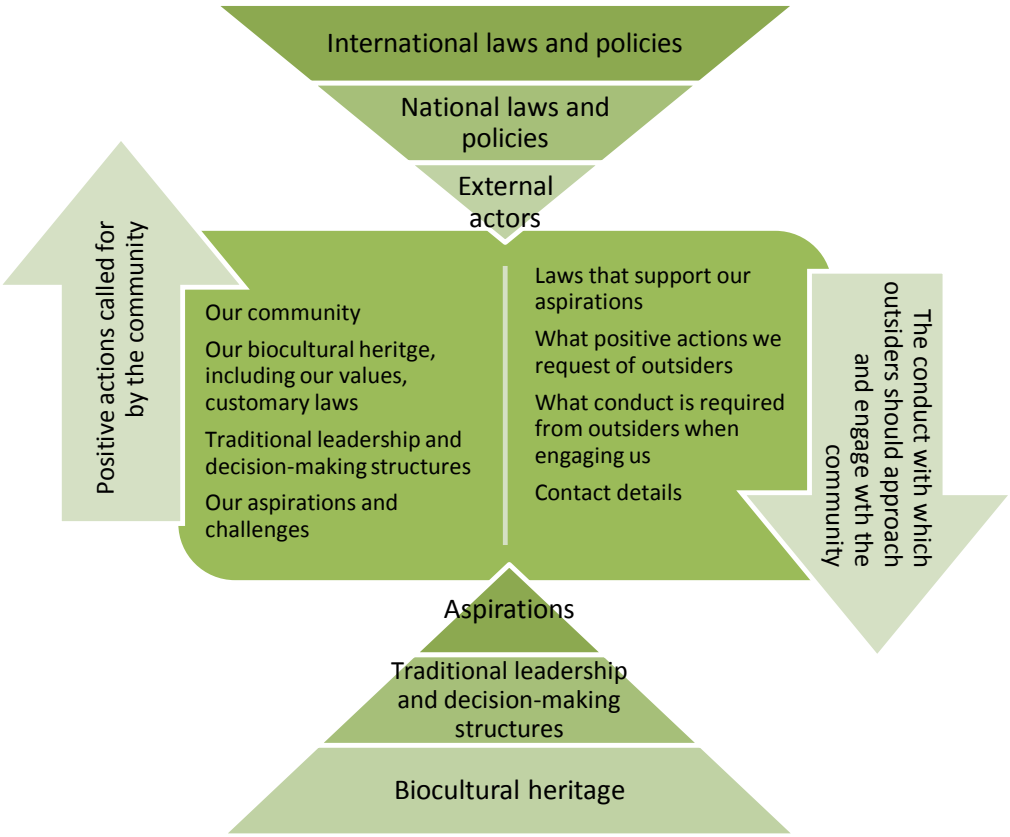


Figure 1: The foundations of a biocultural community protocol

C. HOW ARE COMMUNITIES DOCUMENTING AND DEVELOPING THEIR PROTOCOLS?

Documenting and developing a biocultural community protocol is an empowering process driven by community members themselves. A number of participatory methods can be used, including group discussions, various types of mapping and illustrations, audio/video interviews, role plays, and locally appropriate monitoring and evaluation. The community members can then prioritize issues, clarify messages to external actors, and consolidate the information into an appropriate format. Depending on whom it is directed towards and for what purpose, the protocol could consist of, for example, a written document, digital or 3-dimensional maps, films, photographs, and theatre performances. Whatever format is used, it should be meaningful to the community and should instill a sense of pride and ownership over the process and outcome.

Each protocol is as unique and diverse as the communities who develop them. However, most community protocols contain certain key themes (see Box 5). Developing a strategy for putting the protocol into practice is a critical next step.

- The community's identity, story of origin, and core values and norms
- Relationships between culture, language, spirituality, customary laws, resource use practices, traditional knowledge, and their territories and areas
- Customary institutions, decision-making processes, and other aspects of self-governance
- Challenges and concerns and how the community would prefer to address them
- Locally defined development plans and priorities
- Specific rights and responsibilities in customary, national, and international law
- Specific calls to external actors

Box 5: Key themes illustrated in biocultural community protocols

D. HOW ARE COMMUNITIES USING THEIR PROTOCOLS?

The process of using a biocultural community protocol can involve a number of tools and stages, including raising awareness amongst different communities and groups, engaging and negotiating with external actors, and engaging in decision-making processes such as impact assessments and national policies. It may also require efforts to prevent and resolve conflict.

Overall, communities are using their protocols to minimize the power asymmetries that often characterize interactions with external actors and to bridge the gaps between different worldviews, values, laws, and decision-making processes. They are using individual protocols in many different ways, including:

- Influencing national and international agricultural laws and policies to recognize livestock keepers' rights and farmers' rights;
- Reclaiming their plant genetic resources from gene banks;
- Regulating external access to their genetic resources and traditional knowledge and ensure equitable sharing of benefits;
- Clarifying terms and conditions for engaging in market-based mechanisms such as payment for ecosystem services, access and benefit sharing, and Reducing Emissions from Deforestation and Forest Degradation (REDD);
- Objecting to infrastructure development and extractive industries without their free, prior and informed consent and full participation in impact assessments;
- Increasing participation in the establishment, governance, and management of protected areas;
- Seeking recognition of customary systems of resource governance and conservation;
- Protecting sacred natural sites and groves against unwanted development;
- Seeking support for customary livelihood practices such as artisanal mining and fishing;
- Encouraging the use of ethical practices in the extraction and trade of biological resources; and
- Regulating the activities of academic researchers according to customary values.

The potential for biocultural community protocols to influence broader political and legal processes may require the aggregation (though not standardization) of several protocols that address similar issues. For example, multiple protocols calling for livestock keepers' rights could serve as the collective voice of a broader social movement, still based on unique local contexts, identities, and priorities. Community protocols are much more likely to influence structural change if they are used to catalyze coordinated social mobilization and challenge the status quo.

See www.community-protocols.org/community-protocols for a collection of protocols from Asia, the Pacific, Africa, and the Americas

E. POTENTIAL LIMITATIONS

Biocultural community protocols are not a panacea. They should be considered one of many different instruments that communities may use to secure their rights, responsibilities, territories, and areas. Potential limitations of the approach include, among others:

- The process of developing and using a protocol could be overly influenced by certain parties both outside and within the community;
- Focusing on customary laws may further entrench existing power asymmetries such as the exclusion of women and youth in community decision-making processes;
- Unrealistic expectations may raised within the community, particularly if the idea is introduced by an external agency or if the community does not have sufficient agency or institutional capacity;
- If the process is rushed or not sufficiently inclusive, it could cause internal conflict and mistrust;
- Protocols may become another top-down imposition by governments or consultants;
- They may be used by external actors in unintended ways such as coercing communities into agreements;
- Documentation of sensitive information could increase external interest in the location of potentially lucrative resources or knowledge;
- Rich oral histories and traditional knowledge can be diluted by written and digital documentation;
- Actively raising issues of rights may cause conflict with external actors, particularly in politically sensitive or repressive countries; and
- It may be difficult to ensure community-based monitoring and evaluation of the process and outcomes.

Each of these concerns is valid and has the potential to become reality. More detailed guidance is provided in ***Part I: Section III*** to assist community facilitators to prevent and overcome them.

F. GUIDING PRINCIPLES

Is it possible to judge the quality and integrity of a biocultural community protocol? A document may be referred to as a 'community protocol', but could lack integrity if it was developed under duress or by an unrepresentative group of community members. On the other hand, a community may undertake a fully participatory process yet choose to call the outcome something other than a protocol.

Since there is no definitive answer to this question, it is more useful to consider what constitutes good process. Box 6 outlines a set of non-exhaustive guiding principles for the development and use of biocultural community protocols. They could also be used as guidance for other community instruments that support constructive engagement with external actors. These principles have been developed by the partners in the African and Asian Regional Initiatives on Biocultural Community Protocols and are open for comment and input from others.

The development of a *bona fide* biocultural community protocol (or other community-based instrument for engaging external actors) …

… is a community endeavour that:

- **Is endogenous**
- **Is empowering**
- **Is based on communities' values and procedures, while including the fullest and most effective participation of community members**
- **Promotes intra- and inter community dialogue, and intergenerational discussions**
- **Fosters consideration of the interlinkages between social, economic and spiritual wellbeing**
- **Explores the diversity of knowledge and skills in the community**
- **Draws on the communities' own resources and resilience**
- **Further develops community collaboration on useful methodologies**

… and focuses on and integrates:

- **The values and customs relating to their collective biocultural heritage**
- **Current strengths, challenges and future plans**
- **Their rights at the international and national levels that support their ways of life and their corresponding duties**
- **Messages to specific agencies about how they intend to …**

… to produce a protocol that is:

- **Value laden**
- **Presented in a form that is most appropriate for the community while effectively communicating their key points to the relevant authorities / bodies …**

… towards:

- **Establishing the community's/ies' rights and duties relating to their stewardship of their collective biocultural heritage**
- **Respect for and realization of procedural and substantive rights and responsibilities**
- **Increasing their agency**
- **Improving access to information, participation and/or justice**
- **Improving dialogue with other communities or outside agencies**
- **Further developing flexibility and adaptability**
- **Promoting local social, environmental and economic equity …**

… and where outsiders assist a community with any aspects of developing a protocol, they should engage the community with:

- **Honesty**
- **Integrity**
- **Transparency**
- **Respect**
- **Social and cultural sensitivity to local processes and time-frames.**

Box 6: Guiding principles for the development and use of biocultural community protocols

G. KEY QUESTIONS

Indigenous peoples, local communities, and their supporting organizations in Asia, Africa, and the Americas are exploring a number of interrelated questions. These include:

- How can community protocols draw on customary laws and national and international rights and responsibilities to address local pressures?
- How can endogenous development processes be enhanced through legal empowerment and strategic advocacy? Are community protocols a practical way to do this?
- How can good practice guidelines for community protocols be developed while retaining the level of flexibility required by diverse communities and contexts?
- How can local and national experiences be used to influence international processes? How can gains made in international fora be realized at the local level?
- How can the development and use of community protocols catalyze theorizing and advocacy around a new paradigm of community rights and responsibilities?
- What is the role of community protocols in promoting the multiple 'values' of traditional knowledge and natural and genetic resources?
- How can customary laws be documented without misrepresenting or threatening them?
- What is a 'quality' community protocol?
- Is the term 'community protocol' sufficiently flexible or is a different term more appropriate?

Your feedback and suggestions are more than welcome. Please contact the editors directly (see ***Part I: Section D*** above) or provide input to the dedicated website www.community-protocols.org.

Key Resources on Exploring Biocultural Community Protocols
Asian Initiative on Biocultural Community Protocols: Inception Meeting Report (Natural Justice, 2011)
African Bio-cultural Community Protocol Initiative Inception Meeting: Working Towards the Legal Recognition of Biocultural Community Protocols within National Policies (Natural Justice, 2011)
Exploring Bio-cultural Community Protocols in the Sri Lankan Context: A Report of an International Consultation and Training-of-Trainers Workshop (Natural Justice, 2010)
Exploring Bio-cultural Community Protocols in the Indian Context: A Report of a Training Workshop (FRLHT and Natural Justice, 2010)

SECTION III

USING THE TOOLKIT

This Toolkit is intended to support Indigenous peoples and local communities to secure their rights and responsibilities and strengthen customary ways of life and stewardship of their territories and areas. It is directed primarily towards facilitators from the communities themselves or from supporting organizations with whom they have long-standing and positive relationships. Even if the idea of a biocultural community protocol is introduced by an external actor, the Toolkit should be used by the community.

Section III highlights key considerations to explore before beginning the process of documenting, developing, and using a biocultural community protocol. It includes guidance on understanding how the community defines itself, cultural and internal dynamics, local institutions, and participation and representation. It also provides suggestions of how to facilitate the protocol process, including understanding your role as a facilitator, managing expectations and information, and supporting community catalysts. Finally, it explores the notion of free, prior and informed consent.

These are not hard rules or step-by-step requirements, but could be considered good practice guidelines to adapt to the local context and your skills as a facilitator. They can be explored in a number of different ways, including through workshops, open-ended discussions with certain groups, and focused meetings with community leaders.

A. UNDERSTANDING THE COMMUNITY

A1. Contextualizing 'Community'

A discussion about the community could begin with the questions of who defines it and how it is defined. Outsiders commonly use the term 'community' to refer to people living in a geographically defined space without much consideration of what joins them together or what may separate them. People generally know the boundaries of their own community and where another one begins. This understanding of boundaries is governed by relations between groups that are often historically

Traditional health practitioners in Mpumalanga, South Africa, established an association through which they advocate for greater recognition of their collective medicinal knowledge. They are from two different ethnic and linguistic groups that normally do not consider themselves part of the same 'community'.

Box 7: Changing notions of 'community'

determined. It is fluid and can change over time, particularly in the context of new threats or opportunities (see Box 7 for an example). Individuals can also have multiple roles, identities, and alliances. Outsiders should thus assume that they cannot meaningfully define a community on behalf of others.

a) Internal dynamics and values that bind a community together
b) Procedures for engaging with neighbouring communities, visitors, government officials, and other external actors

Box 8: Two themes that are the foundation of community protocols

Nevertheless, ensuring clarity about who and what comprise the community is integral to the process of documenting, developing, and using a biocultural community protocol (see Box 8). Above all, the community must define itself and determine how to address external issues. As a facilitator, you should guide this process but not engage in defining its content. Any descriptions of internal processes or characteristics must accord with the community's values and perspectives. They should also be framed in a way that external actors can understand. In other words, the protocol must strike a balance between meaningful representation of the community's culture, livelihoods, traditional knowledge, and customary laws, and the need to engage with state legal systems and procedures.

A2. Cultural and Internal Dynamics

Culture will play a critical role in the protocol process. It should also help define the approach and tools that you use as a facilitator. Much like identity, it can only be fully understood and meaningfully conveyed by the community itself. If you are from an outside organization, you should first establish a working knowledge of the culture and internal dynamics, for example, by informally exploring key topics of importance to the community. Topics may include natural resource management practices, customary laws and values, perceptions of ownership and stewardship, traditional authorities and governance systems, gender and family structure, dance, music, folklore, and spiritual beliefs. Many of these will be discussed in more detail when documenting and developing the protocol (see ***Part II: Section II***). The aim is not to document them for the sake of it, but to eventually focus on the most foundational and pressing issues that the community would like to address in the protocol.

Every community has unique internal dynamics that are determined by relations between individuals and groups. Pretending that there are no politics or tensions may seem easier at the beginning, but is a short-sighted approach likely to backfire. Try to understand the dynamics enough to work with them without becoming caught up in them yourself. The protocol process should not be used as a tool to create divisions or to advance the political power of certain groups within the community. Above all, it should instill a sense of unity and common vision.

Some degree of conflict is inevitable, especially when livelihood security and wellbeing are at stake. Minute tensions tend to be exacerbated and new ones can flare up seemingly out of nowhere. Expect and acknowledge conflict and approach it as an opportunity for the community to respond creatively and constructively to challenging situations. Sometimes it may be better to address in a small focus group. Overall, capacity to address internal conflict may be a good indication of how the community may respond to conflict with external actors.

A3. Local Institutions and Governance

Another fundamental aspect of a community protocol is how a community makes decisions about its people and environment. This is also known as governance (see Box 9) and is a matter of power, responsibility, human relations, participation, legitimacy, transparency, and equity. Initial guiding questions for informal discussion are set out in Box 10 below to help you gauge the context and better understand which approaches or tools to use. A comprehensive discussion about governance structures should feature strongly in the protocol process itself (see ***Part II: Section II/E***). The purpose of these questions is not to build a formal description of the governance structure and its powers, but rather to facilitate an authentic narrative about how community members feel about them and their capacities to respond to certain threats and opportunities. Focus on exploring stories and personal experiences rather than allegations of the validity of decisions.

> ***Management*** asks, "What do we do to conserve X or Y resource?"
> ***Governance*** asks, "Who decides what shall we do, and how?"

Box 9: Distinguishing between management and governance

In some situations, community institutions may not seem equipped to deal with new challenges. In other situations, long-standing community practices may be highly effective at dealing with new threats or opportunities. Assumptions either way should be withheld. Further guidance on understanding and supporting community institutions and capacities is provided in ***Part I: Section IV***.

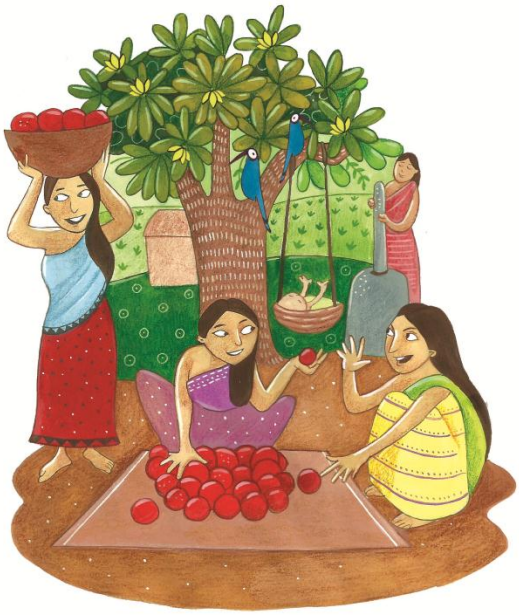
- *How are important decisions made in your community?*
- *What are the core values that guide decisions?*
- *Who is involved in making decisions? Who is considered to be the community authorities?*
- *How can or do you participate in the process?*
- *Do you feel you have sufficient opportunities to voice your concerns and opinions?*
- *Would you like to change anything about the existing system or structure?*
- *How do community institutions relate to local government officials?*
- *Could you share an example of a good decision? What were the main factors that led to it?*

Box 10: Guiding questions about community governance

Biocultural community protocols are not intended to introduce radical ideas, foster antagonism, or disrupt traditional decision-making processes. They aim to draw on the strengths of customary laws, which are often based on social norms of honour, pride, and reciprocity. They promote culturally appropriate ways to address conflict and to make decisions that represent the diverse yet collective voice of the community. At the same time, customary laws are not static entities that must be upheld regardless of their implications. Customary laws have evolved over time and will continue to evolve alongside internal and external changes.

A4. Participation and Representation

Participation and representation are essential to biocultural community protocols. As much as possible within the local culture and situation, the protocol should strive to include the full spectrum of perspectives, especially those of women, youth, the elderly, and others who are often excluded from decision-making processes. Although it is often not possible to include every single person, a participatory approach contributes to building greater consensus and collective learning. It also helps people feel personally invested in the process, which increases potential for effective social mobilization and tangible change.



Conversely, a community protocol that has been developed with little consultation and without using any participatory methods would raise significant concerns about representation and legitimacy. Feelings of exclusion could lead to internal conflict and divisions, particularly if the protocol is used to address an external issue in a way that has not been discussed or agreed upon by the broader community. It could also lead to 'elite capture', characterized by a small but influential group of community members that takes advantage of an opportunity to protect or further their interests. They often do this by being the most forthcoming, articulate, and cooperative groups, which can be difficult for a facilitator to turn down. This can be prevented in part by supporting an inclusive consultation process and by inviting neutral observers to provide impartial commentary. Initial guiding questions about participation and representation are set out in Box 11 below.

See Guiding Principles in Part I: Section II/F

- *Who should be involved in the different stages of developing a biocultural community protocol? What roles and responsibilities could they undertake?*
- *What social, cultural, or political barriers affect different members of the community? How might they affect people's capacity or willingness to participate in activities related to the protocol? How can these be accommodated in attempt to facilitate broad participation and representation in locally appropriate ways?*
- *Are there certain times of the year, month, and/or day that would be more appropriate for different people to be involved? Discussions and activities around the protocol should aim to work around the community's schedules and routines, rather than vice versa.*
- *People respond differently to certain learning, documentation, and communication styles. For example, some learn better through watching others, looking at text, or listening, and others learn better through physical movement. How can discussions and activities around the protocol be facilitated in culturally appropriate, diverse, and engaging ways?*

Box 11: Guiding questions to enhance participation and representation

Some groups face a range of challenges to fully participating in community activities and decision-making processes. As a community facilitator, you may need to go out of your way to understand certain considerations that each group may face (see Table 3). You can help ensure that they have the opportunity to participate and have their views represented by aiming to accommodate these factors (see Box 12).

- ✓ *Remain sensitive and patient*
- ✓ *Avoid acting condescending or patronizing*
- ✓ *Understand that each wants to contribute to community processes*
- ✓ *Have confidence in their abilities and unique contributions*
- ✓ *Ask in advance when they might be able to participate in activities such as workshops or data collection*
- ✓ *Hold separate meetings or workshops for specific people or groups*
- ✓ *Pay close attention to behaviour and levels of participation during community activities and take time to check in one-on-one*

Box 12: Guidance on accommodating different groups within the community

The factors listed in Table 3 are not necessarily common to every person in those groups and should not be assumed. More often than not, elders, women,

children, and people with disabilities will surprise you with their unique knowledge, wisdom, and enthusiasm. If you are sensitive and attuned to their particular considerations, you will be better able to facilitate the participation of the community as a whole.

Table 3: Considerations for typically under-represented community members

Group	Unique Factors to Consider and Accommodate as a Facilitator
Elders	• Physical constraints such as difficulty walking or traveling, hearing in crowds, or seeing great distances • Level of energy and stamina for long processes such as workshops or data collection • Level of literacy
Women	• Time and physical demands from domestic responsibilities (including caring for children and parents, gathering and cooking food, cleaning the home) • Physical constraints such as pregnancy • Level of literacy • Communication style and level of confidence, particularly in the presence of men or elders
Children	• Time and physical demands from school studies and exams, extra-curricular activities, and domestic responsibilities • Limited understanding of historical context and more complex terminology or issues • Short attention span
People with physical disabilities	• Physical constraints such as difficulty traveling or gaining access to community spaces, especially if they have crutches or a wheelchair • Participation in certain activities may be impeded, depending on local geography and weather patterns
People with learning disabilities	• Longer timeframes may be required to explain new concepts or tools • May have a preferred way of learning and communicating but may not explicitly say so
People with developmental disabilities	• May have difficulty keeping up with community discussions and activities and may become easily frustrated • May require one-on-one attention and care • May be subjected to abuse or neglect due to lack of understanding amongst family or other community members

B. FACILITATING A PROTOCOL PROCESS

There are many ways to facilitate a process of documenting, developing, and using a biocultural community protocol. The overall approach and specific tools should be determined by the fundamental considerations explored above in addition to others specific to the community. Whatever tools are used, they should be presented in formats that are most appropriate for the community. The following sub-sections provide general guidance about key aspects of facilitating a protocol process. They are meant to be adapted to the local situation and your skills and comfort levels as a facilitator.

Overall, the process of documenting, developing, and using a community protocol should:

- Be defined and controlled by the community
- Be empowering and rooted within the community's values and procedures
- Create a space for trust, respect, sharing, reflection, and learning-by-doing
- Include the full and effective participation of as many community members as possible
- Encourage dialogue and learning between generations, between different groups in the community, and with other communities with shared heritage, resources, or knowledge
- Value and build on the diversity of knowledge, skills, and capacities in the community
- Emphasize the inter-linkages between social-cultural, material, and spiritual wellbeing
- Increase awareness of relevant legal frameworks and clarity of how the community would like to engage with them
- Inspire community mobilization around key issues
- Lead to tangible change in accordance with community plans and priorities

B1. Understanding Your Role as Facilitator

Facilitation can be challenging yet highly rewarding. It requires skill, sensitivity, flexibility, and willingness to learn and adapt to changing conditions. There are a number of key characteristics of a good facilitator that you may wish to adopt (see Box 13).

Although there are many different ways to facilitate a protocol process, workshops and community meetings are most common. Further guidance is provided below to be adapted to the local context.

- ✓ *Be an active listener*
- ✓ *Play a supporting role*
- ✓ *Respect the local culture and traditions*
- ✓ *Maintain an atmosphere of respect and openness*
- ✓ *Foster trust and confidence*
- ✓ *Be consistent and clear*
- ✓ *Remain neutral and level-headed*
- ✓ *Keep up positive momentum*
- ✓ *Take notice of subtle changes in energy and tone*
- ✓ *Develop positive rapport with a range of community members*
- ✓ *Keep the broader objectives in mind and help focus discussion on key issues*

Box 13: Qualities and actions of a good facilitator

Facilitating a workshop or meeting

It is the facilitator's job to create the conditions for a productive and impartial process. Before the workshop or meeting, certain arrangements should be made in consultation with the local leadership and whoever is promoting the idea of a community protocol (see Table 4). There are also certain tasks and roles to fulfil during the workshop or meeting (see Table 5).

Table 4: Arrangements to be made before a workshop or meeting

Task	Details
Draft an agenda	This should be done through consultations in advance. In longer processes, a series of workshops may be necessary, in which case a whole programme can be drafted. This is an important step for creating a realistic understanding of what the workshop intends to accomplish.
Identify key discussion points	This relates to ***Part I: Section III/A2*** above on understanding internal dynamics. Discussions need to be focused and somewhat contained to key issues. It could involve a process of free-listing or brainstorming and prioritization from a comprehensive list of topics and could be done as a precursor to or at the beginning of the workshop. Try to find out if there are some topics that people think are important but are unwilling or unable to discuss openly and explore how they could be considered in another more appropriate way.

Draft a list of participants to be invited	Who should be invited to participate will depend on the objective and agenda of the particular workshop and if you plan to hold additional ones at another time. It should also be done in consultation with all groups in the community to ensure adequate representation.
Secure logistics and materials	This includes considerations such as location, layout of the space or room, availability of space for small groups or breakaway discussions, reliable electricity source and data projection equipment (if required), pens or markers, paper, flip charts, recording equipment, food and refreshments, restroom facilities, and child care.
Arrange for translation	Accommodate languages that participants prefer to speak, including in written materials. If many languages need to be used, participants could work in smaller groups and later report back with translation assistance. Depending on availability of resources, you could use simultaneous translation. Note that translation can take a long time, so consider this when planning timing and length of the workshop.

Table 5: The role of the facilitator during a workshop or meeting

Task	Details
Set the ground rules	This is an essential step that establishes the authority of the facilitator and demonstrates respect for all participants. 'Ground rules' for the workshop or meeting may include, among others: no interruptions while a person is talking; taking only the necessary length of time to speak (if the group is small, you could use a 'talking stick' or conch shell); respect for others' opinions; acceptance of new ideas and suggestions without judgment; facilitator has authority to suspend discussion if there is a deadlock in order to agree on a procedure for resolution.
Create space for trust and sharing	Gaining the trust of participants can be more challenging in a multi-stakeholder setting, for example, with community members, highly educated bureaucrats, and NGO personnel. Try to ensure the dynamic is balanced by inviting the community to set the level of the conversation. 'Ice-breaker' questions or activities could be used to encourage interactions from the beginning.
Be an active listener	This is the most important role of a facilitator. It requires insight into group dynamics. In a particularly heated discussion, it also requires skill and confidence to intervene or shift the focus to build on earlier consensus.
Be creative	Draw from the community's culture and forms of communication and sharing. For example, begin with a traditional song or blessing. Make use of engaging activities, working groups, and breakaway sessions as much as possible. Plenary discussions should be limited to presentations and reporting back sessions. Consider using more than one facilitator, especially in large groups.
Follow the agenda	At the beginning, seek agreement from the participants on the agenda and stick to it. If changes are desired, discuss and agree upon them as a group.
Keep time	Unless the meeting is intended to be completely open-ended and flexible, manage the agenda time slots carefully. Any deviation should be discussed beforehand and practical arrangements made to ensure that all necessary topics are addressed. Community members are busy and their time should not be taken for granted.
Keep a record of discussions	Plenary discussion should be recorded as a series of decisions linked to the agenda rather than verbatim. Working group discussions and outcomes should be captured and circulated or presented during the workshop (for example, using a rapporteur from each group). Workshop reports require considerable effort and skill if they are to capture an authentic record of the creativity and consensus that can emerge, but much depends upon the structure and flow of proceedings.

B2. Supporting the Community Catalysts

In addition to your own role as the primary facilitator, you will require the support of other community members who demonstrate certain qualities such as leadership, sense of commitment for the greater good, reliability, self-initiative, ability to well independently and in teams, open-mindedness, flexibility, and willingness to learn. These individuals could be considered 'community catalysts' or people who have the potential to inspire and create significant change. Although they may not necessarily serve as official representatives of the community, there are countless different roles that they could play, including facilitating workshops, presenting at local schools, contacting the media, and organizing a delegation to visit the local government official. They should be comfortable with taking responsibility for a certain part of the process and reporting back to others involved, including yourself and the community leaders.

- *Who is or has the potential to be a community catalyst?*
- *What skills, resources, and assets do they already have?*
- *What skills, resources, and assets would they like to learn or gain?*
- *What role would they most like to play in the protocol process?*
- *How could the broader community support them?*
- *What types of external input could assist?*

Box 14: Key questions for discussion to help identify community catalysts

Many community catalysts will become obvious through discussions and meetings, although they won't always be the most outspoken or vocal people. Community leaders can also help identify them, including through one-on-one discussions with you (see Box 14). If possible, they should be identified from diverse groups such as women, youth, and elders and not only from the families of local leaders or elites. Some may need guidance or encouragement to realize their potential. Regardless of when they join, openly discuss the process to ensure clarity of roles, responsibilities, and expectations.

B3. Managing Expectations

One of the most important parts of facilitating a protocol process is to manage the expectations of those involved. This includes individuals and groups both within the community and amongst external actors. Establishing a sense of realistic expectations at the beginning and throughout the process can help prevent disappointment and cynicism. It can also provide a mechanism for reflection and evaluation at different stages of the process. Guiding questions that could be explored separately with different groups are outlined in Box 15. Key considerations and caveats that you may wish to explicitly highlight are reiterated in Box 16.

- *What is the purpose of the protocol?*
- *What is our role? What does the process involve?*
- *What are the costs and risks?*
- *What are the benefits?*
- *How would it be useful to our community or group?*
- *How can we plan for and respond appropriately to unexpected opportunities or consequences?*

Box 15: Key questions for discussion with those involved in the protocol process

Further guidance about introducing protocols to the community is outlined in Part II: Section I

- A protocol is not a panacea. There is no guarantee that all of the issues contained in a protocol will be sufficiently addressed or resolved.
- The likelihood of a realizing a community protocol is influenced by a wide range of factors. However, it is often most significantly affected by internal factors such community cohesion, strong leadership and governance structures, and agency and initiative.
- Unexpected opportunities or consequences may arise that may be directly, indirectly, or not at all caused by the protocol process.

Box 16: Key considerations and caveats to help manage expectations

B4. Managing Timeframes

People often ask how long it takes to 'do' a biocultural community protocol. The timeframe for the whole process of documenting, developing, using, and reflecting upon a protocol will vary widely depending on the local context. Each part of the process could be affected by a range of factors and unavoidable circumstances, both positive and negative (see Box 17). For many communities, a protocol is seen as an ongoing and evolving process that is part of their long-term plans and strategies. The protocol may thus have no clear 'beginning' or 'ending'.

- Reasons for undertaking a protocol in the first place
- Agency, motivation, and capacity for mobilization
- Internal cohesion and clarity of leadership and decision-making systems
- Available resources (financial, human, time, material)
- Existing experience with key methods and tools
- Existing research or documentation of key issues that will be included in the protocol
- New development project, law, or other external pressure that will significantly affect the community
- Natural disasters
- Illness or family losses
- Elections or changes in political administrations

Box 17: Factors that may affect timeframe of a protocol process

One of the main questions is how far the process of documenting and developing a protocol must be taken in order to remain functional and responsive to external challenges and opportunities, while also retaining value and meaning for the community. There is no set rule or formula. Good practice indicates that it should be reasonably determined by the local situation and by the community's priorities and capacities. Although practical considerations such as available funds and human resources must be taken into account, timeframes should not be determined primarily by external interests or donor requirements.

B5. Managing Information

Facilitating a protocol process comes with the responsibility of managing a lot of information collected through workshops, meetings, interviews, desktop research, and so on. As it will form the basis of the protocol itself, it should be documented and organized in a way that makes sense and is appropriate in the local context. Some information may be sensitive or confidential and require extra precautions. Being aware of how you could handle this responsibility from the outset may improve the overall process (see Box 18 for overarching guidance).

Documenting the process

In addition to documenting information that will form the basis of the protocol, documenting the process itself is also useful for a number of reasons. For example, it may help you verify certain information to ensure accuracy or provide evidence of a particular outcome or agreement. It may also help you facilitate community validation of the consolidated protocol (see ***Part II: Section III*** for further information). General guidance on documenting the process itself is provided in Box 19.

- ✓ *Discuss with community leaders or representatives the most appropriate way to record information in different contexts. Some events or topics will be confidential or too sensitive to record.*
- ✓ *At the beginning of an activity that you plan to record in some way, provide an opportunity for participants to comment on and agree to the planned mode of documentation.*
- ✓ *If you are using audio or video equipment to record workshops or interviews, seek permission from participants beforehand. If some people do not want to be photographed or taped, it is their choice and they should not feel obliged to do so.*
- ✓ *Workshops and community meetings do not need to be recorded verbatim, though detailed notes will prove useful. Consider ahead of time how to best organize the notes such as with headings and sub-headings, according to the meeting agenda, or using different colours.*
- ✓ *Seek the assistance of 'community rapporteurs' ahead of time to take notes of broad discussions, working groups, and reporting back sessions. Youth in particular may respond well to this sense of responsibility. Make sure they understand that the notes will be transcribed later, so they need to be accurate, clear, and legible. Having more than one rapporteur during key discussions will enable you to cross-reference the notes and fill in any gaps.*
- ✓ *Transcribe small group or workshop notes such as flip charts into a central file. Before leaving the workshop, find out where the community would like to store the original notes. Ensure that they are kept in a safe place that is accessible to other community members involved in the workshop.*
- ✓ *Workshops and other major meetings should have a report produced within a reasonable timeframe and circulated to all participants. The report could focus on key topics and outcomes and include annexes such as the final agenda and list of participants with contact details.*
- ✓ *If you are working only with handwritten files, make at least two sets of photocopies and keep them in separate safe places. Consider potential factors such as floods or roof leaks, fires, and theft.*
- ✓ *If you are working on a computer, give the files descriptive filenames and organize them into labeled folders. Avoid eating or drinking near the computer in case of spills. Back up the files regularly on an external hard drive or a free online storage site such as Dropbox.*

Box 18: Suggestions for managing information

- ✓ *Keep an ongoing overview or timeline of activities relating to the protocol, including workshops, meetings, and interviews. You may wish to use headings or a legend to divide the timeline into clear stages such as "Preliminary discussions", "Documenting and developing the protocol", "Using the protocol", "Reporting back to the community", and "Revising the protocol".*
- ✓ *Create a well-organized document such as a spreadsheet with details of each activity, for example, the date, location, contact details, critical points or insights, key outcomes, and issues to follow up on.*
- ✓ *If you have a question or clarification to seek, try to find the answer at an appropriate time during or as soon as possible after the activity. It may be difficult to contact some people afterwards if they live far away or have irregular access to phone or internet.*
- ✓ *If you identify any key outcomes or insights outside of a community meeting (for example, when going through your notes or simply thinking about the process to date), verify its accuracy with community leaders or other representatives before including it as fact in any documentation.*

Box 19: Suggestions for documenting the protocol process

Safeguarding sensitive information

Certain kinds of information that play an important role in a biocultural community protocol may be considered sensitive or restricted to certain people or conditions. Examples include the locations and names of sacred natural sites, places of worship, or key natural resources, insights into internal dynamics and codes of conduct, and cultural heritage or knowledge held by elders or specific people such as traditional healers. There may be different ways of discussing and sharing this information both within the

community and with outsiders. These should be respected at all times. Discussions should be held with community leaders and the appropriate knowledge holders about types of sensitive information and how it should be handled (see Box 20). If the community decides to document or include sensitive information in the protocol, there should be a system such as authorized individuals with keys or passwords to ensure security of written and digital records until the information is consolidated for external use.

- *Before starting the protocol process, what mechanisms should be put in place to ensure sensitive information is retained by the appropriate knowledge holders?*
- *Do the locations, names, or any other information and traditional knowledge about natural and cultural resources need to be kept confidential or have restricted access?*
- *Who should and should not know this information within the community?*
- *Who should and should not know this information outside of the community?*
- *If the community would like to include certain elements of sensitive information in their protocol, how can they be presented in a way that respects customary forms of safeguarding and responds to contemporary challenges? For example, maps could have 'fuzzy' boundaries and exclude certain names or exact locations, visitors could be restricted to public areas, and shared information could be on a 'need to know' basis only.*

Box 20: Key questions to consider about sensitive information

The divulgence of sensitive or restricted information can easily lead to external damage or destruction to natural sites or resources and to the cultural norms and expectations that otherwise protect them. On the other hand, if all information is kept within the community, external decisions about natural resource extraction can be made in ignorance and unintentionally harm sensitive sites or resources. Careful consideration of the community's terms and conditions for sharing sensitive information can play a major role in the community protocol. Clarity of how those terms and conditions can be communicated to and respected by external actors can also lead to positive outcomes.

Key Resources on Safeguarding Sensitive Information
Sacred Natural Sites: Guidelines for Protected Area Managers (IUCN and UNESCO, 2008)
Maintain & Strengthen Your Culture: Handbook for Working with Indigenous Ecological Knowledge & Intellectual Property (Northern Territories Natural Resources Management Board, 2009)
Guidelines and Protocols for Ethical Research (North Australian Indigenous Land and Sea Management Alliance, 2007)
Sacred Natural Sites website: www.sacrednaturalsites.org

C. SEEKING AGREEMENT ABOUT THE PROTOCOL PROCESS

Drawing on the guidance above, ensure that your role and the protocol process are clear to the community at the outset. First, the process should be driven by and for the community, with you as the facilitator. Even if there is a considerable amount of organization and resources being invested, it is still the community's protocol and they need to have ownership over the process. Second, ensure clarity on roles and responsibilities for various tasks, including documenting and consolidating the protocol. If certain community members or catalysts commit to key roles, it will become an initiative of the broader community, distinct from and larger than your role as facilitator. Further considerations are provided in Box 21 below.

- Seek permission from the local government structure or traditional authority to hold consultative meetings.
- Use appropriate media to accommodate the local literacy levels. Use community halls, schools, clinics, and churches or places of worship to distribute information and hold meetings.
- Be consistent with the information you provide. If you don't know an answer, be honest and offer to find out more.
- Consult as widely as possibly within the community. This could include holding meetings with specific groups such as married women, youth, and male elders.
- Seek insights from CBOs, NGOs, and any other actors working with the community.
- Work with an initial group to outline and discuss a process for undertaking a protocol and rules of engagement.

Box 21: Suggestions for seeking community agreement about the details of a protocol process

SECTION IV

KEY METHODS AND TOOLS

Whilst there is no set formula, the process of documenting, developing, and using a biocultural community protocol involves a number of integrated methods and tools. It is intended to build on existing community experience and ongoing efforts to define local visions, plans, and priorities and to engage with external actors accordingly. This section provides an overview of the following key methods and a number of accompanying tools that can be adapted and used in the protocol process:

- Endogenous development and wellbeing;
- Power and multi-stakeholder partnerships;
- Legal empowerment, social mobilization, and advocacy; and
- Monitoring and evaluation.

The tools are not intended to be used word-for-word or as a mandatory step-by-step check-list. Many have been adapted from other toolkits and innovated upon specifically for community protocols. They are presented as non-exhaustive options that could be further adapted to a wide range of situations. It is up to the community facilitators, catalysts, and leaders to discuss and decide which ones would be most relevant and how to use them appropriately within the local context.

A. ENDOGENOUS DEVELOPMENT AND WELLBEING

Note to community facilitators:
This sub-section introduces a number of key tools related to endogenous development and wellbeing. The tools include:

- ☑ Community institutions sketch map
- ☑ Community decision-making calendar
- ☑ Historical timeline
- ☑ Trend line analysis
- ☑ Community visioning
- ☑ Assessing community capacities
- ☑ Assessing key opportunities and threats
- ☑ Community wellbeing impact assessment worksheet

Endogenous development, which is present and active in many Indigenous peoples and local communities around the world, provides the foundation for a biocultural community protocol. It is defined as localized change that is initiated, determined, and controlled from within communities, that mobilizes and harnesses local resources and assets, and that retains benefits within the locality. It is based on communities' own criteria of development and change and takes into account material, social, cultural, and spiritual wellbeing. Endogenous development theory suggests that communities are more likely to remain cohesive and sustain their traditions, cultures, spirituality, and natural resources when they develop their future collectively and base their plans on the resources available within the community.

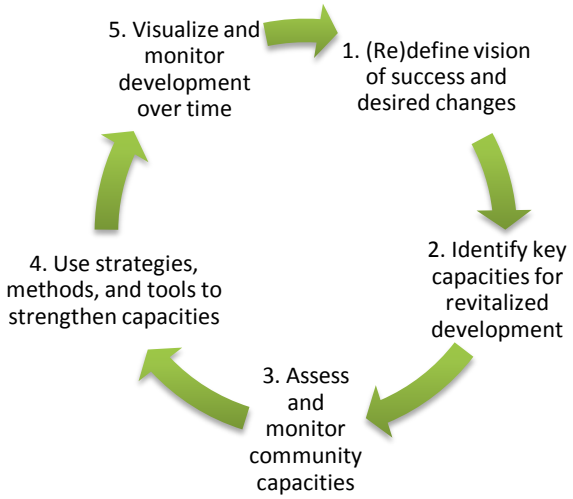


Figure 2: Elements of endogenous development

Outsiders such as development facilitators or researchers can contribute to the endogenous development process through various interventions, but they cannot be the drivers of it. They must understand their role and respect the community's decision about when and how their input is requested. At the heart of endogenous development is community visioning, appreciation of different worldviews and cultural and spiritual values, respect for customary institutions and decision-making processes, and understanding and strengthening different skills and capacities (see Figure 2).

Key Resources on Endogenous Development Methods and Tools
Learning Endogenous Development: Building on Bio-cultural Diversity (ETC Foundation and COMPAS, 2007)
Seeking Strength From Within: The Question for a Methodology of Endogenous Development (COMPAS, 2010)
Bio-cultural Community Protocols Enforce Biodiversity Benefits: A Selection of Cases and Experiences (COMPAS Endogenous Development Magazine, Issue 6, 2010)
Power Tools: For Policy Influence in Natural Resource Management (IIED database)
80 Tools for Participatory Development (Inter-American Institute for Cooperation on Agriculture, 2008)

Community wellbeing refers to the overall welfare of a group of people bound together by a common identity (for example, ethnicity, shared activities, or shared resources and areas). This sense of welfare includes access to and availability of resources, relationships between community members and between local institutions, and development of community capacities and skills. Community wellbeing can be measured through various indicators and parameters. Assessment of these parameters can help communities identify internal weaknesses and opportunities and then undertake targeted planning and strategizing.

Indicators to measure satisfaction of different needs (see Box 22) are currently being developed for community wellbeing in the context of biocultural community protocols. Communities are defining criteria for monitoring and assessing a number of indicators that have important policy implications. Such indicators can help identify specific issues on which communities can focus the use of their protocols to achieve wellbeing aspirations.

- ***Basic needs***: food, health, shelter, and energy
- ***Safety needs***: tenure security and security from risks, including economic and natural
- ***Belonging needs***: presence of social groups and equity in transactions, including gender equity and non-discrimination
- ***Self-esteem needs***: autonomy, ability to practice customary beliefs, confidence, and education

Box 22: Different needs for which satisfaction can be measured (Source: Framework of indicators developed by UNU-IAS in collaboration with UNEP)

Key Resources on Wellbeing Methods and Tools
Learning from the Practitioners: Benefit Sharing Perspectives from Enterprising Communities (UNU-IAS and UNEP, 2009)
Workshop papers and Report of Technical Workshop on Indigenous Peoples and Indicators of Wellbeing (2006)

TOOL: Community Institutions Sketch Map

Purpose: *This tool can be adapted and used to provide a visual overview of what comprises the community's decision-making system. In its basic form, a community sketch map is used to identify locations of important resources or sites, systems of resource use, and customary or property boundaries. In this particular adaptation, it is intended to identify key institutions, groups, and individuals that make decision that affect those resources and areas.*

Resource: Adapted from basic community sketch map such as in 80 Tools for Participatory Development (Inter-American Institute for Cooperation on Agriculture (IICA), 2008)

- Facilitate a discussion about key physical features and resources that the community would like to include in the map. Examples include rivers or lakes, forests, mountains and valleys, cultivation areas, sacred sites, and wildlife populations. Not every feature has to be included, especially if it will make the map too crowded or confusing to be useful.
- Consider developing a legend for different symbols or colours that may be used.
- Using large sheets of paper or a blackboard, begin by marking the location of important reference points such as houses and transportation routes.
- A representative group of about 10 people could continue mapping the location of other key features and resources (see Figure 3 for an example). Often little facilitation is needed.
- Facilitate a discussion about key institutions, groups, and individuals who make decisions that affect the resources on the map. These may include formal systems such as a traditional chief or village association as well as informal systems such as women who cultivate fruit trees. Decisions could range from community-wide management plans to day-to-day collection of resources.
- Continue working with the small group to add these institutions and decision-makers to the relevant locations on the map. This could be done by labeling or using a different colour or pattern to shade in the relevant area.
- Hold a plenary session or broader group discussion to verify the information and gather further inputs or suggestions. Consider facilitating a discussion about what the map shows, for example, overlaps or gaps in decision-making, degree of clarity amongst community members of how decisions are made and by whom, and so on.
- Transcribe the final version of the map and make at least one copy for safe-keeping.

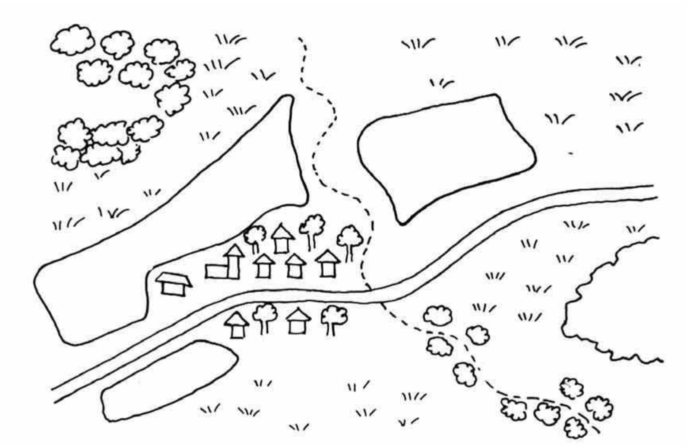


Figure 3: Example of a basic community sketch map (Source: IICA, 2008)

TOOL: Community Decision-making Calendar

Purpose: *This tool can be adapted and used to provide clarity about the decision-making processes that occur throughout a community-defined seasonal cycle. It can be used to raise awareness within the community about when important decisions are made and to promote transparency and participation.*

Resource: Adapted from basic seasonal calendars such as in 80 Tools for Participatory Development (IICA, 2008)

- With a small but representative group, identify what the community perceives as a full cycle of seasons (for example, cultivation or migration cycles). Seek agreement on an appropriate way to depict that cycle such as in a linear graph, sketch map, or otherwise.
- Facilitate a discussion about key decisions made within that timeframe that relate to the community's ways of life. This could include decisions about the timing, location, and methods of certain activities such as planting, weeding, and harvesting, as well as relevant social-cultural practices such as pilgrimages and festivals. It could also include decisions about leadership and authority such as participating in district meetings on behalf of the community.
- Encourage community members to record the information on the illustration of the cycle. If available, include details such as who is involved in the decision-making process, when meetings are held, how others can provide input, and so on.
- Facilitate a discussion about the extent to which the broader community is aware of this information. Expressions of exclusion or resentment could indicate the need to make such information more transparent or accessible.
- Consider exploring locally appropriate ways to enhance participation in decision-making processes, particularly of typically under-represented groups such as women and youth.

TOOL: Historical Timeline

Purpose: *This tool can be adapted and used to identify significant events and patterns of change related to a particular resource or area upon which the community depends. It can help illustrate the dynamic nature of the environment and the varied impacts and influences of unpredictable events over time. It can also help community members think about responses and plans to potential future changes.*

Resource: Adapted from Assessing Resilience in Social-Ecological Systems: Workbook for Practitioners (Resilience Alliance, 2010)

- Draw two parallel lines along the length of flipchart papers. Label the top one as 'Social, economic, political, and legal changes' and label the bottom one as 'Environmental changes'. Seek community agreement on the focus of the timeline (usually a particular resource such as water or a general area such as a territorial forest) and the duration (such as from the origin of the community or within living memory up to the present time).
- Ask community members to identify and mark key social, economic, political, and legal eras or events (see Figure 4).

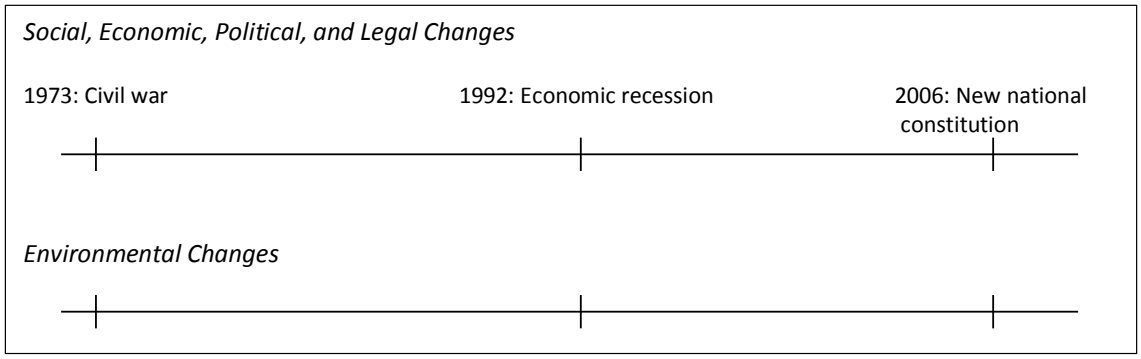


Figure 4: Fictitious example of early stages of a historical timeline

- On the top timeline at each appropriate date, ask community members to describe major phenomena and events related to the resource or area (for example, recognition of certain rights, influx of illegal migrants, construction of basic infrastructure, or conflicts). On the bottom timeline at the corresponding date, mark observations about the relative abundance or quality of the resource or area.

- Facilitate discussion about cyclical patterns, correlations, and other relationships between the different events and changes. Try to identify what drove the changes. This can form the basis of a subsequent discussion of how the community responded to different pressures and levels of resource availability.
- Brainstorm potential or unpredictable changes that may occur in the short- or long-term and what the impacts on the resource or community would be.

TOOL: Trend Line Analysis

Purpose: *This tool can be adapted and used to provide a visual image of a number of interrelated changes that have affected the community in the past and how the community envisions them in the future. By plotting them on a graph, community members can analyze and discuss trends and correlations between issues. It can also help identify issues that require specific attention to build on existing capacities and potential and to mitigate future risks.*

Resource: Adapted from draft Asset-Based Community Development Facilitator's Handbook (Mountain Societies Development Support Programme, 2008)

- On a large sheet of paper or in a clear area of sand or dirt, outline a basic graph. The X axis (horizontal line) represents time and could be separated into general eras such as past, present, and future. Add a clear mark to indicate the present. The Y axis (vertical) represents relative value.
- Encourage community members to brainstorm key topics that affect their ways of life and wellbeing. The topics should be reasonably related to each though sufficiently distinct (see Box 23 for examples).
- Ask them to prioritize 3-6 topics to be illustrated on the graph. More than 6 lines may cause the graph to be cluttered and difficult to understand.

- Population size
- Freshwater supply
- Soil quality
- Forest cover
- Area or quality of rangeland
- Number of youth in traditional occupations
- Natural disasters or conflicts

Box 23: Examples of possible trend line topics

- Encourage community members to illustrate each topic by drawing its general trend or rate of change over time. The trend line should illustrate the actual trend up until the present and then the community's vision for the trend in the future. For example, if forest cover has gradually decreased in the community's main watershed, start at a high point on the Y axis and draw a shallow line downwards up until the line that demarcates the present. If the community would like to rapidly increase forest cover in the future, draw a steeper line into that part of the graph (see Figure 5).
- If possible, each trend line should be drawn by a different community member. As each is drawn on the graph, check in with the rest of the group to ensure it is reasonably accurate.
- After all of the trend lines have been plotted, facilitate a discussion about how the trend lines are related and what conditions or factors cause them to influence each other. For example, how was the decrease in forest cover affected by population growth or a major natural disaster? How did the community respond in the past and what impact did this have on other trends? How could the community help reduce negative trends and further strengthen positive trends in the future?

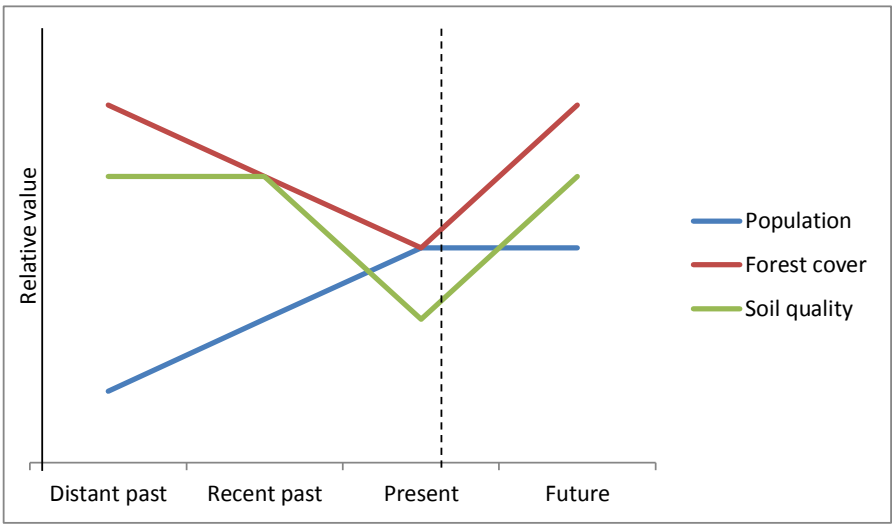


Figure 5: Fictitious example of a trend line graph of population, forest cover, and soil quality over time

TOOL: Community Visioning

Purpose: *This tool can be adapted and used to establish a collection community vision based on existing capacities. It can help establish realistic expectations and form the basis of setting specific goals and action plans, monitoring progress, and re-evaluating priorities. It should involve a highly participatory process to ensure representation of various perspectives.*

Resource: Adapted from draft Asset-Based Community Development Facilitator's Handbook (Mountain Societies Development Support Programme, 2008) and Guide to Participatory Tools for Forest Communities (CIFOR, 2006)

- Facilitate an open discussion amongst a broad range of community members using the guiding questions in Box 24. Small groups may help encourage active participation of groups such as women and youth. Be encouraging and non-judgemental; there are no wrong answers. Responses could be provided through acting, as audio narratives or illustrations, or recorded on pieces of cardboard or chart paper.

  - *What is your most positive image of the community in 5, 10, 20, or 50 years?*
  - *What changes would you most like to see?*
  - *What would you be doing?*
  - *What would your children be doing? What would their children be doing?*
  - *What role would you play in bringing about these changes?*
  - *What accomplishments would you be most proud of?*
  - *What would the village surroundings look like?*
  - *What role will the existing local institutions have played?*
  - *How would the local decision-making system be different?*

  Box 24: Key questions for discussion

- Review the responses provided and ask for further thoughts. Identify potential clusters or themes.
- Discuss how the topics could be represented in a collective community vision. What format would be most appropriate and meaningful?
- A potential follow-up process could involve discussion of specific plans to achieve the visions. This could be presented as vision statements, targets or goals, and activities.

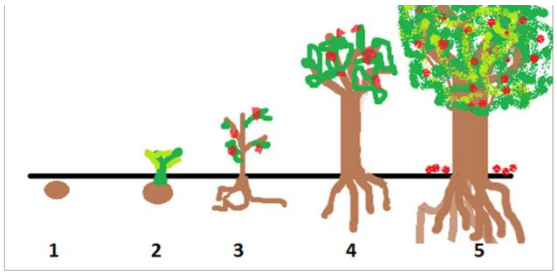
- Once the vision has been agreed upon, record it and make at least one copy for safe-keeping. The community may wish to format it differently and post it in a visible location.

TOOL: Assessing Community Capacities

Purpose: *This tool can be adapted and used as a visual depiction of different stages of strengthening capacities within the community. It can serve as a baseline for comparison with future measurements of capacities. It can also be used as a basis for mobilizing resources and collective action to address key issues and opportunities.*

Resource: Adapted from material provided by COMPAS Network for Endogenous Development

- Facilitate a discussion about which capacities are most important to achieving the community's vision. If necessary, prioritize the list into a manageable number.
- Develop a scale to measure the capacities in a visual way. One example provided in Figure 6 depicts a tree growing from seed to fully fruit-bearing, with each of the five stages representing certain characteristics.
- Addressing each prioritized capacity in turn, ask the community members to assign a value according to the agreed upon scale. If this is the first time the assessment is being done, the value will be based on capacities at the present time.
- They could also be assessed in relation to visions of how the community would like the capacities to be in the future.
- Using a similar approach, assess the same capacities after a period of time to illustrate impacts of particular activities.
- Consider consolidating the assessments into a visual graph such as Figure 7 to elicit clear comparisons and trends.



Capacity scale
1 = embryonic, nascent, dormant
2 = sprouting, emerging
3 = growing, young, some fruit, still needs nourishment
4 = well-developed, starts to bear some fruit
5 = fully mature, strong, self-reliant, resilient

Figure 6: Diagrammatic way to represent community capacity scale (Source: COMPAS, 2010)

- Facilitate community discussion and reflection of the meaning of the assessments. If some capacities require further attention or support to achieve the visions, the community could consider particular activities or plans. If other capacities have reached the vision or highest level on the scale, the related activities or interventions could possibly be phased out.

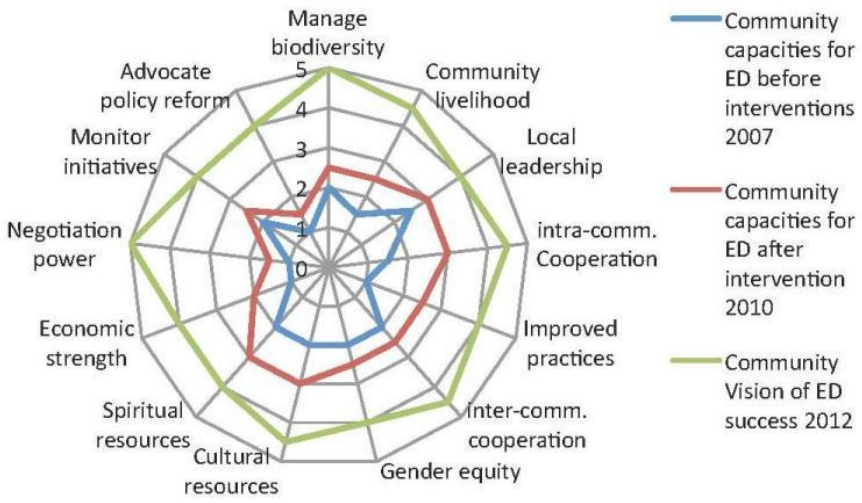


Figure 7: COMPAS partners in Africa identified 13 capacity areas as necessary for communities to be effective in undertaking endogenous development. A baseline of these capacity areas was compared to progress after 4 years of supportive programmes and community visions of success in the future (Source: COMPAS, 2010)

TOOL: Assessing Key Opportunities and Threats

Purpose: *This tool can be adapted and used to determine how the community would like to respond to certain opportunities and threats. If a large number of opportunities and threats have been identified, the tool can also help prioritize which ones to act upon.*

Resource: Adapted from Toolbox for Jirani Na Mazingira and Community Conservancy Local Level Planning in Laikipia Ecosystem (Zeitz Foundation, 2010)

- Throughout your interactions with the community, a number of opportunities and threats have likely been identified. If not, facilitate a brainstorming session. Aside from redundancies, all suggestions should be considered potentially important.
- Work with a small group to identify criteria for assessing the opportunities and threats. Such criteria should help the community eventually make a decision about whether or not to address the opportunity or threat in question.
- Create an organized table with the opportunities and threats listed in separate columns across the top and criteria listed in separate rows on the left-hand side. See Table 6 below for an example.
- Encourage the small group to consider each opportunity or threat in turn and assess it according to the criteria.
- After the table is completed, the group will likely have a good idea of the most important opportunities and threats and what may be required to address them.
- Facilitate a process of prioritization. This could be done by identifying the issues that have large magnitude and are easy to address. Those that have a small impact and are easy to address are also reasonable choices.
- Once key opportunities and threats are prioritized, you could facilitate a process of visioning and planning to address them.

Table 6: Sample criteria for assessing opportunities and threats (Source: Zeitz Foundation, 2010)

Assessment of Opportunity or Threat	Opportunity or Threat A	Opportunity or Threat B	Opportunity or Threat C	Opportunity or Threat D
MAGNITUDE				
What is the size of the opportunity or				

threat? (huge, big, medium, small, tiny)				
How easy is it to address? (very easy, moderately easy, difficult)				
IMPACTS				
What is the outcome of addressing it?				
What will happen if it is not addressed?				
Who will it affect?				
RESPONSES				
Who can or should address it?				
What is needed in order to address it?				
What capacities already exist within the community to address it?				
How long will it take?				
What are the potential costs?				
What other factors are required?				
Is external support absolutely required? If so, what type of support?				
DECISIONS				
Should we address it?				
If so, what exactly should be done and by whom?				

TOOL: Community Wellbeing Impact Assessment Worksheet

Purpose: *This tool can be adapted and used to assess the likely impacts (positive and negative) of a particular proposed activity on community-defined aspects of wellbeing. The activity under assessment may emerge from within the community or from an external proponent.*

Resource: Adapted from material provided by the Centre for Indigenous Knowledge and Organizational Development (CIKOD) and the Tanchara community in Ghana, which used the worksheet to assess the impacts of gold mining on wellbeing.
See www.community-protocols.org/toolkit or the accompanying DVD for the full version.

- Encourage the community to seek as much information as possible about the proposed activity. This will improve the accuracy and fullness of the assessment.
- Facilitate a broad community discussion to identify key aspects of material, social, cultural, and spiritual wellbeing. Examples could include food, health, shelter, education, tenure security, presence of social groups, equity, and freedom to practice traditions and beliefs, among others.
- Cluster them into clear themes. Create an organized table of the different aspects of wellbeing arranged under their respective headings. The table should include columns with space to indicate whether the proposed activity is likely to have a positive, negative, or neutral or no impact. It could also include columns to note if more information is needed and to provide any comments (see Table 7 for an example).
- Going through each row in the table, assess the likely impact of the proposed activity on the different aspects of wellbeing. The score could be a simple 'yes' or checkmark. It could also be more descriptive or provide a relative value on a defined scale.
- After the assessment worksheet is complete, facilitate a community discussion about the results. Overall, is the proposed activity likely to have a positive or negative impact on community wellbeing?
- Consider planning specific responses to the proposed activity. If the assessment showed a strong negative impact, the community may wish to take action to resist or prevent the activity from progressing further. If the activity is likely to have positive impacts, they may wish to engage with it proactively to further increase potential opportunities.

Table 7: Excerpt adapted from the Tanchara community wellbeing impact assessment worksheet

1. Good Infrastructure					
Will gold mining have an impact on the following areas:	*YES*		*NO or Neutral*	*Need More Info*	*Comments*
	Positive	*Negative*			
Well-maintained and -connected roads and transportation system					
Well-maintained, well-staffed, accessible and affordable schools					
Well-built, secure markets with amenities (e.g. water, toilets)					
Accessible, affordable, well-staffed and equipped health facilities					
Accessible, affordable, regular, and predictable electricity					
Accessible, affordable, and regular telecommunications					
Accessible, affordable, environmentally friendly, and well-planned housing					

The Tanchara community used the same format as Table 7 to assess the potential impact of gold mining on the following aspects of their wellbeing:

- Social amenities, including recreational and sports facilities, tourist sites, and community centers;
- Food security, including cultivated lands and irrigation facilities, variety, quantity and quality of food items produced, and capacity to secure nutritious local consumption year-round and export excess items;
- Social harmony and cohesion, including level of participation in communal and social activities, inter- and intra-community relationships, and low level crime and number of issues settled through arbitration;
- Good governance and leadership, including participation of all in community activities, regular community meetings, self-help initiatives, and good communication between the people and those in governing and power;
- Education, including literacy rates, innovation and creativity in schools, mechanisms for transmitting indigenous knowledge, capacity to secure good livelihoods, high level of self-reliance, and access to continuing education and early childhood education programmes;
- Mechanisms for motivating youth, including presence of youth groups, youth leaders, and good role models, youth-led community activities, orientation and educational programmes such as exchanges, and opportunities to participate in governance structures;
- Working and advancement opportunities, including variety of employable skills and types of jobs available, fair remuneration and good working conditions, number of people in higher quality education, improved lifestyle and family sustainability, and retention of youth;
- Good physical environment, including sanitation facilities, clean air, drinking water, waste management and drainage systems, and accessible natural environment;
- Innovation, including new changes for improved technologies, awards for youth to develop their talents, and existence of community-based research activities;
- Shared moral, cultural, and spiritual values, including freedom of worship and expression of spiritual beliefs, tolerance and respect for beliefs, freedom to learn and communicate in their own and other languages, freedom to dress in traditional code, pride in local dishes and foods, ability to make each other accountable for keeping moral values, cross-participation in other rituals, and promotion of storytelling tradition;
- Sound mind and body, including healthy people and families, reduced incidence of drug and alcohol abuse, balance between meaningful activities, productive work, and rest, and adequate income to satisfy needs.

See Part III: Section III/A for more information about how the Tanchara community used the assessment worksheet

B. POWER AND MULTI-STAKEHOLDER PARTNERSHIPS

Note to community facilitators:
This sub-section introduces a number of key tools related to power and multi-stakeholder partnerships. The tools include:

- ☑ Framework for research and action
- ☑ Identifying key actors
- ☑ Understanding relationships between key actors
- ☑ Forum theatre
- ☑ Image theatre
- ☑ Multi-stakeholder role play

Power is part of every human relationship as a constant interplay between people's potential to influence and control others. It plays a significant role in the interactions within and between communities and external actors such as government officials, researchers, businesses, and non-profit organizations. When these different groups interact in order to meet common objectives (for example, conservation of a particular area or resource), it can also be referred to as a 'multi-stakeholder partnership' (see Box 25). In this context, the terms 'actor' and 'stakeholder' are used interchangeably.

Multi-stakeholder partnerships are integral to the process of documenting, developing, and using a biocultural community protocol. They involve processes of information sharing, dialogue, negotiation, learning, decision-making, and collective action. They aim to identify, understand, and strategically address power dynamics. If power imbalances are not appropriately dealt with, less powerful stakeholders (often communities) may be excluded, overruled, or abused. In a successful partnership, communities' interests, priorities, and needs would be respectfully and sufficiently reflected.

A ***multi-stakeholder partnership*** seeks a process of interactive learning, empowerment, and collaborative governance in complex and changing environments. It enables stakeholders with common longer-term objectives but different interests to be collectively innovative and resilient when faced with emerging risks, crises, and opportunities.

Box 25: Definition of a multi-stakeholder partnership

Key Resources on Power and Multi-stakeholder Partnerships
Stakeholder Power Analysis (IIED, 2005)
Power Tools: For Policy Influence in Natural Resource Management (IIED database)
Multi-stakeholder Processes Portal (Wageningen Centre for Development Innovation)
Tools for Analysing Power in Multi-stakeholder Processes: A menu (Brouwer et al., 2011, unpublished)

TOOL: Framework for Research and Action

Purpose: *This tool can be adapted and used as the basis for exploring key questions to spur community research, action, and reflection about roles and relationships with different actors or stakeholders. The questions can be explored through the use of other tools related to power and multi-stakeholder partnerships.*

Resource: Adapted from Tools for Analysing Power in Multi-stakeholder Processes: A Menu (Brouwer et al., 2011, unpublished)

Table 8: Framework for research and action for multi-stakeholder partnerships

Key Research Questions	Key Action Questions
Who are the key actors involved? *Understand the different degrees of power amongst the actors, their bases of power, and the manner in which they use their power.*	Are these the 'right' actors? Do others need to join the partnership?
What are the interests and goals of the different actors? *Actors have common longer-term objectives, but likely different interests and interdependencies that may be a source of conflict,*	How can common interests be strengthened? How can different or conflicting interests be overcome? What

strength, or (in)effectiveness.	other options are available?
How is the problem framed and by whom? *Actors exercise power by being in control of setting agendas and terms of engagement. Participatory and empowerment tools can help balance the level of influence of all actors in the partnership.*	What is needed to strengthen the influence of the least influential or powerful? How can a genuine process of empowerment be promoted?
What are actors' key resources? *How does control over resources affect actors' abilities to exercise influence?*	How can interdependence at the level of resource access and control be realized? Which capacities of which actors need to be strengthened?
What are (resource) dependencies between actors? *Actors have different types and levels of access to and control over resources (material, immaterial, legal, political, economic, social, and institutional) that determine their influence and capacity to realize their interests.*	
What are the rules and process for decision-making? *The institutional dimension of the partnership must be understood, including how and by whom the rules are set and how they are enforced, arbitrated, and sanctioned.*	What are the constraints in the decision-making process? Can the overall governance structure and decision-making process be changed?
To what extent are different interests reflected in outcomes of decision-making? *The decisions taken are an expression of the results of the power dynamics in the partnership.*	How can decision-making be organized in order to benefit all actors and their interests?

TOOL: Identifying Key Actors

Purpose: *This tool can be adapted and used to identify actors who have influence over a particular resource or the community's overall ways of life.*

Resource: Adapted from Stakeholder Power Analysis (IIED, 2005)

- Prepare a large bull's eye diagram with several concentric circles (see Figure 8).
- Seek agreement about the focus of the analysis, for example, a particular resource or the community's entire way of life and accompanying territory or area.
- Facilitate a discussion to identify key actors (institutions, groups, or individuals) that affect the resource or area. You could begin with identification of actors within the community and then move to external actors.
- Rank them according to power or degree of influence. This could be done with numbers, icons, or different sizes of paper.
- Label them on the diagram. The ring closest to the center represents the most influence and the outermost ring represents the least influence.
- Consider reflecting on the results by asking questions such as what would happen if the role or influence of one of the key actors changed drastically and how the community would cope with the change.
- As a variation, the same exercise could be done for different timeframes such as the recent past and the future to gain a visual understanding of how key actors and roles have changed over time.

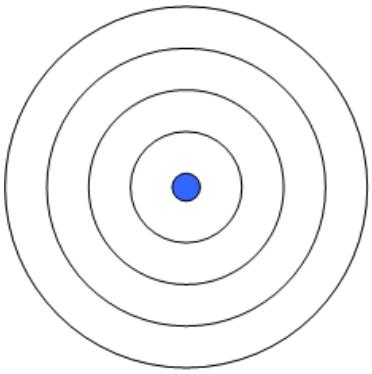


Figure 8: Example of a basic bull's eye diagram

TOOL: Understanding Relationships between Key Actors

Purpose: *This tool can be adapted and used to enhance understanding of how key actors relate to and interact with each other. In addition to exploring existing relationships, it also highlights potential partnerships that could contribute to the community's visions and plans.*

Resource: Adapted from Stakeholder Power Analysis (IIED, 2005)

- Facilitate a discussion to identify key actors (institutions, groups, or individuals) that affect the community's ways of life and development aspirations. If this tool is being used by community members, you could begin with identification of actors within the community and then move to external actors. Include discussion of actors that have potential but not yet realized influence or that community members would like to establish a relationship with.
- Begin a large diagram with a circle in the middle representing the community. Additional circles and lines will be added.
- Ask the participants to cut out or draw and label a circle to represent each identified actor and connect it to the community circle with a line. Clearly indicate which ones are 'potential' relationships (for example, with a dotted rather than solid line). The strength or influence of the relationship could be represented either by the size of the circle or the thickness of the line. For example, if the Forest Department is one of the most influential actors, the circle representing it could be one of the largest or the line connecting its circle to the community's circle could be one of the thickest.
- Indicate whether the relationship is positive or negative with an appropriate symbol. Indicate if the influence is exerted by the community on the actor, by the actor on the community, or both with a symbol such as arrows pointing in the relevant direction. See Figure 9 for an example.
- After the diagram is complete, discuss the key interests and dynamics between the actors. Which relationships are most and least important? Which are most effective and why? Which could be further developed? How could negative relationships be improved?

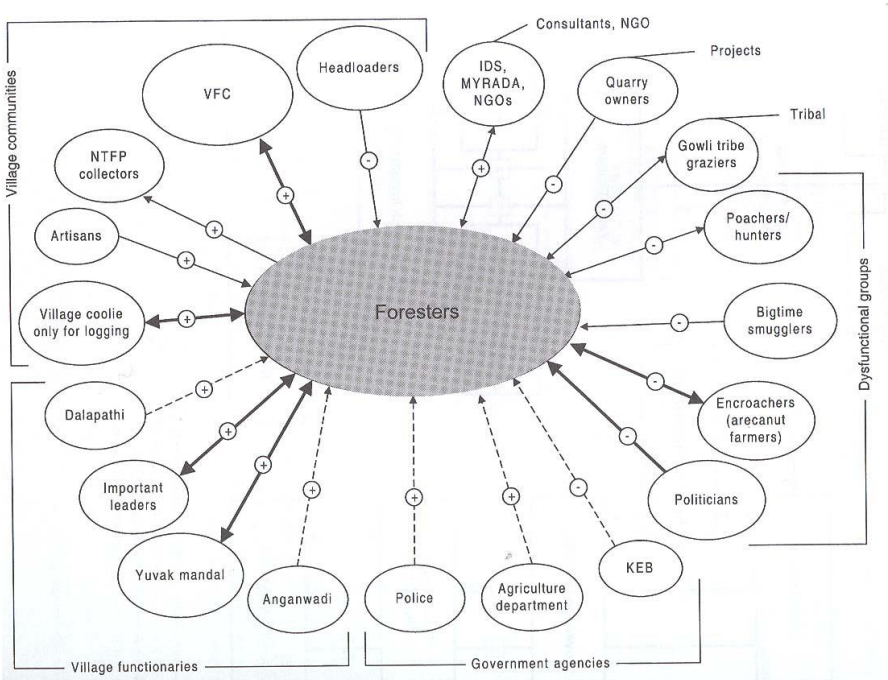


Figure 9: Relationships between actors related to the Karnataka (India) Forest Department
(Source: IIED, 2005)

B1. Participatory Theatre

Participatory theatre, which also goes by a number of other names such as community-based theatre and theatre for development, is a low-cost, community-driven process that can be a very effective way to explore multi-stakeholder partnerships. It uses simple exercises to encourage self-discovery, reflection, interaction, and action amongst the actors and audience alike. It does not require sets, lighting, props, or formal training or experience with acting. Overall, participatory theatre is a social and political tool. It aims to empower ordinary people to become agents of change to address power imbalances, pursue collective visions, and resolve conflicts.

"Theatre is a form of knowledge: It should and can also be a means of transforming society. Theatre can help us build our future, rather than just wait for it." ~ *Augusto Boal, creator of "Theatre of the Oppressed"*

Participatory theatre is a fun and effective way to help people understand other's perspectives, motivations, and intentions. It can help people transcend social boundaries to express their emotions and opinions more openly. Interactions are less formal and often elicit surprising outcomes that can foster a more collaborative and creative atmosphere for addressing issues of mutual concern.

- Participatory theatre exercises relate strongly to the senses and can be easily used by people who have never thought of themselves as actors.
- They aim to help people find new ways to see, listen, touch, express, and experience to explore opportunities for social change.
- Each person will experience and relate to them differently.
- They should always be adapted to local circumstances and sensitivities.

Box 26: Key points to remember when facilitating participatory theatre exercises

Also see the tool on Legislative Theatre in Part I: Section III/C3
Additional participatory theatre tools, including warm-up exercises and sample role plays, are available on www.community-protocols.org/toolkit

Key Resources on Participatory Theatre
Participatory Theatre for Conflict Transformation: Training Manual (Search for Common Ground)
Performance and Participation (IIED Participatory Learning and Action Journal, Issue 29, 1997)
Act, Learn and Teach: Theatre, HIV and AIDS Toolkit for Youth in Africa (UNESCO and CCIVS, 2006)

TOOL: Forum Theatre

Purpose: *This tool can be adapted and used to explore inter-personal dynamics and people's ideas about how to improve the outcomes of a problematic scenario. It encourages dialogue and constructive action between people with different opinions or approaches to the same issue.*

Resource: Adapted from material provided by Afghanistan Human Rights and Democracy Organization

- Work with a small group of about 3-5 people to prepare a short scenario about a particular problem or conflict that is relevant to the community and involves external actors. An example is provided in Box 27.

A few community members are heatedly discussing their frustrations with the Wildlife Department. They have been accused of poaching an endangered species. They visit the Department's office and attempt to meet with one of the officials. The official acts very rudely and threatens to arrest and fine them if they are caught again. The community members are visibly upset and argue with the official until they are removed by security.

Box 27: Sample conflict scenario

- Arrange for the actors to perform the scenario for others from start to finish.
- Act it out a second time but stop it at key moments where a change in the actors' behaviour or actions would affect the way the story unfolds. At those moments, encourage audience members to step into the scene, replace one of the actors temporarily, and attempt to positively change the outcome. The actors should stick to their roles within reason but improvise in response. Each key moment could be revised more than once to explore different approaches and perspectives.
- Afterwards, facilitate a discussion amongst the audience members and actors about the different responses and outcomes and how this could be applied to a similar real life situation.

TOOL: Image Theatre

Purpose: *This tool can be adapted and used to encourage informal and open expression of people's perceptions of key issues*

Resource: Adapted from material provided by Afghanistan Human Rights and Democracy Organization

- Prepare a short list of key topics of relevance to the community and external actors (see Box 28 for examples). The topics should be one or two words only and be vague enough for diverse interpretations.
- Working with a small group of at least 4 people, ask everyone to stand in a circle facing outwards with their eyes closed. There should be some space between them to avoid physical contact.
- Announce one of the topics and ask them to create an image using only their own bodies, keeping their eyes closed.
- At your signal, all actors simultaneously turn around to face inwards, showing their image to the rest of the group.
- At this point, you could ask them what they see and facilitate a discussion about different interpretations of the same topic.
- You could also facilitate rounds of simple follow-up actions such as asking them to group themselves into 'families' of similar images without speaking, making a sound and movement contained within their image, and transforming into the opposite image.
- One variation on the circle is to ask actors to present their images to an audience. The audience could then discuss what they see and what they think is the topic of the images.

- Your country
- Self-determination
- Power
- Partnership
- Ownership
- Sustainability

Box 28: Sample topics

TOOL: Multi-stakeholder Role Play

Purpose: *This tool can be adapted and used to introduce a range of perspectives that are common to multi-stakeholder partnerships. It stimulates innovative dialogue in a practical and engaging way that is rooted in the local experiences of the participants. It can be used in a variety of settings ranging from community meetings to multi-stakeholder workshops.*

- The boxes below outline a sample role play activity about protected area governance. The objective is to building understanding of how governance is manifest in practice in a complex multi-stakeholder scenario.

- Adapt the sample scenario and stakeholder roles provided below so the activity is relevant to the participants' local context. Consider trying some of the following variations: change the names of places, communities, and stakeholder agencies; change the main topic of the role play to something that is important for your community and external actors to understand; change the guiding questions to explore issues of particular relevance in your context; or change the structure of the role play, for example, beginning with several small groups, each of which plays the role of one particular stakeholder.
- Ensure that each participant has a copy of the scenario and one of the stakeholder roles. There should be roughly the same number of people playing each role.
- It often takes longer than expected for participants to read through the scenario, stakeholder roles, and guiding questions. Confirm that they understand everything and clarify as needed before beginning group discussions.

PROCESS

Divide into small groups of 10-12 people. There are 5 stakeholder roles with different agendas and interests to pursue. In your small group, divide yourselves into the 5 stakeholder roles, with 2-3 people to represent each one. Within your stakeholder group, spend 20 minutes discussing your interests and developing a negotiating position and practical ways forwards based on your stakeholder's role. With the other stakeholders in the rest of the small group, spend 40 minutes discussing the issues at hand. Stick to your stakeholder role and negotiating strategy as much as possible, but also try to work towards group consensus about practical ways forwards. One of the representatives of the National Biodiversity Authority role will then present his/her group's decision to the whole workshop group and also discuss the challenges in making this decision.

SCENARIO

The Magge are indigenous peoples in Justikana, an island state near Borneo. They have lived in Justikana's Kinget Forest for many generations and their ways of life are closely linked to the forests' biodiversity. They use many of the unique plants and animals for food, medicine, building materials, and cultural activities. They have a lot of traditional knowledge about the forest and have many beliefs and customs to help ensure that the natural resources are used sustainably. The Magge have always shared traditional knowledge and resources with communities living nearby in the forest.

- A non-governmental organization (NGO) called Diversity is Life is working with members of the Magge community to document their traditional knowledge about the biological and cultural resources of the Kinget Forest. Diversity is Life has a good working relationship with both the community and the government.
- Justikana's Department of Forestry knows that the Kinget Forest is very valuable and believes that the presence of the Magge community is harming the forest. The Department thus wants to establish a forest reserve to protect it for future generations. The proposed forest reserve would overlap with the traditional lands of the Magge and would make it illegal for the communities to enter or use any of the resources within the forest reserve. If established, the forest reserve would be under the control and management of Justikana's National Parks Authority.
- Justikana's National Parks Authority also knows that the Kinget Forest is very valuable and is obliged to work with the Department of Forestry. However, the director of the National Parks Authority is not convinced that the Magge community should be excluded from the forest. Although she is open to discussion with all stakeholders, she currently does not have enough information about the Magge to be certain that the community should be allowed to continue to live in the Kinget Forest. The National Parks Authority is also obliged to work with the National Biodiversity Authority.
- The state of Justikana is party to the United Nations Convention on Biological Diversity (CBD). In order to ratify the CBD, Justikana's National Biodiversity Authority has drafted a federal biodiversity law. The draft law includes a provision for the protection of indigenous peoples' traditional knowledge and customary ways of life that contribute to the conservation and sustainable use of biodiversity. However, this law has not yet been adopted.

Stakeholder A: Director of National Parks Authority
Your job is to protect the beautiful national parks of Justikana, which are collectively considered one of the greatest biodiversity 'hotspots' in the world. In the past, the National Parks Authority has managed the national parks through the "fortress conservation" approach, by making sure the parks are free of human settlements and use. However, you are the new director and have a different perspective. You recently attended an international conference about new approaches to conservation and met people involved in national parks management in other countries. You have learned that sometimes conservation programs actually work better when they involve local communities, rather than excluded them. You are now considering options for working with communities in Justikana such as the Magge. To do so, you need more information about the traditional knowledge and customary ways of life of the Magge to make sure that they are having a positive impact on the Kinget Forest.

Stakeholder B: Head of Department of Forestry
Part of your job is to preserve Justikana's forests and the best way to do this is to keep humans out of them. You believe that the Magge community is over-exploiting the natural resources in the Kinget Forest and causing degradation. In order to protect the Kinget Forest, you want to establish a forest reserve and make it illegal for the Magge community to use it. That way, they will stay out of the forest and not disturb its natural processes. Your job is also to create revenue for the government through economic use of the forests (for example, logging concessions). You believe that your work is for the benefit of the entire population of Justikana and that national development should be the top priority of all government agencies' work.

Stakeholder C: Native Chief of the Magge Community
Your job is to ensure that your community can continue to live in and around the Kinget Forest and to use its natural resources. The Magge's culture and way of life are completely dependent on the forest and you have generations of accumulated traditional knowledge about its resources. Your customary laws and management practices help conserve the forest's biodiversity, which in turn plays a role in your cultural traditions. You have been working with the NGO Diversity is Life to document some of the traditional knowledge and practices that contribute to the conservation and sustainable use of the forest biodiversity. When you learned that the Department of Forestry wanted to establish a forest reserve on your traditional lands, you were very upset and confused. You oppose to establishment of the forest reserve because being banned from the forest would devastate your culture and way of life. You want to work with other stakeholders to prevent this from happening. You want to communicate that your community is helping conserve the forest and is not harming it, but you are not sure how to do this.

Stakeholder D: NGO "Diversity is Life"
Your job is to work with the Magge community to document their traditional knowledge and customary ways of life that help conserve the Kinget Forest. You are helping train community members on scientific research methods such as species identification, data collection and analysis. The Magge people are already very knowledgeable about the forest's biodiversity and they are interested in learning more about how to communicate their knowledge to other stakeholders such as the National Parks Authority. You would like to help the Magge community work with the Parks Authority towards the joint research and co-management of national parks. The Magge people are also interested in knowing how the draft national biodiversity law will impact them, but you do not know much about it either. You would like to find out more about the draft law from the National Biodiversity Authority.

Stakeholder E: National Biodiversity Authority
If the draft national biodiversity law is passed, it will be an important step towards the national implementation of the Convention on Biological Diversity. It will also be the first law relating to the protection of traditional knowledge and customary ways of life in Justikana. Your job is to ensure that the draft law represents the interests of all stakeholders involved in biodiversity conservation and use, including the Magge, the Department of Forestry and the National Parks Authority. However, each stakeholder has their own interests and it is very difficult to make everyone happy. You know that the Magge community will want protection of their traditional knowledge and customary management practices, which would enable them to continue their ways of life within areas of high biodiversity. The Department of Forestry will want strict protection of forest resources and the right to use forests for national economic benefit. The National Parks Authority will want protection of natural resources, but they are open to discussing whether or not this should involve local communities such as the Magge. You are interested in discussing the draft law with all of the stakeholders to find out how it might impact them and what rights they need protected.

C. LEGAL EMPOWERMENT, SOCIAL MOBILIZATION, AND ADVOCACY

Note to community facilitators:
This sub-section introduces a number of key tools related to legal empowerment, social mobilization, and advocacy. The tools include:

- ☑ Identifying appropriate forms of resource mapping
- ☑ Community biodiversity registers
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews
- ☑ Identifying relevant social media tools
- ☑ E-learning modules on relevant legal frameworks
- ☑ Legislative theatre
- ☑ Principles for public participation in impact assessments

With a foundation of endogenous development and multi-stakeholder partnerships, a biocultural community protocol is brought to life through an integrated process of legal empowerment, social mobilization, and advocacy. Overall, this process aims to empower communities to use legal tools to tackle power asymmetries and take greater control over the decisions and processes that affects their ways of life and territories and areas upon which they depend.

As described in ***Part I: Section II/B1***, the law disaggregates the environment into distinct compartments. This directly conflicts with the otherwise interconnected manner in which communities interact with their territories and areas. However, laws and policies can be changed, as exemplified by global movements to realize the rights and responsibilities of farmers, livestock keepers, fish workers, and forest peoples. With innovation and determination, Indigenous peoples and local communities around the world are reimagining and recreating the law in accordance with their worldviews, ways of life, and customary laws. In this sense, they are breaking the regrettable legal tradition of either being 'spoken at' or 'spoken for'. They are also proving that formal training as a lawyer is not necessary to effectively engage with the law.

Legal empowerment is based on the twin principles that law should not remain a monopoly of trained professionals and that alternative forms of dispute resolution (such as dialogues) are often more attuned to local realities than formal legal processes. Ideally, the act of using the law becomes as empowering as the outcome of the process itself. For example, a court victory that sets a legal precedent can be supremely useful. However, a process driven by the community itself through internal organization and strategic action will likely be far more powerful. Thus the potential of a biocultural community protocol to bring about tangible change is dependent upon how the community undertakes processes of learning about the law and how to interpret and use it, mobilizing social movements, and advocating for change.

Key Resources on Legal Empowerment
Biocultural Community Protocols and Conservation Pluralism (Jonas et al., 2010)
Making the Law Work for Everyone, Volume I: Report of the Commission on Legal Empowerment of the Poor and Volume II: Technical Reports (UNDP, 2008)
Legal Empowerment Working Papers and Legal Empowerment: Practitioners' Perspectives (IDLO, 2010)
Traditional Justice: Practitioners' Perspectives (IDLO site)
Legal Empowerment in Practice: Using Legal Tools to Secure Land Rights in Africa (Cotula and Mathieu (Eds.), 2008)
Between Law and Society: Paralegals and the Provision of Justice Services in Sierra Leone and Worldwide (Maru, 2006)
Indigenous Peoples and Traditional Resource Rights: A Basis for Equitable Relationships? (Posey, 1995)
Democratic Dialogue: A Handbook for Practitioners (Pruitt and Thomas, 2007)
Haki Network and Namati Network: Innovations in Legal Empowerment
Legal Empowerment of the Poor: International Applied Research Learning Network on Poverty and Human Rights

C1. Participatory Resource Mapping

Maps are very important tools for defining rights and responsibilities. For many generations during colonial eras and still to this day, maps have been used to dispossess communities of their lands and territories to make way for national parks, resource extraction, and large-scale development and agriculture projects. Over the past 20 years, communities have begun to redress this power imbalance by developing and testing participatory approaches to mapping in many different contexts, including:

- Identifying customary territories and areas of resource use, including overlaps with national parks;
- Resolving conflict over boundaries between communities;
- Recording and safeguarding locations of cultural and sacred sites; and
- Clarifying jurisdictions of local institutions over particular resources.

Participatory mapping enables communities to visualize spatial information about their territories and areas, cultural heritage, and resource management systems. It also enables the combination of traditional and local knowledge with geo-referenced and scaled data. Many communities find mapping an empowering process that helps assert their identities and builds community cohesion, self-esteem, and sharing of information.

See Part I: Section III/B5 for further guidance about managing sensitive information

Key Resources on Participatory Resource Mapping
Training Kit on Participatory Spatial Information Management and Communication (Technical Centre for Rural Cooperation and Agriculture and International Fund for Agricultural Development (IFAD), 2011)
Participatory Mapping Toolbox (Integrated Approaches to Participatory Development, IAPAD)
Manual on Participatory 3-Dimensional Modeling for Natural Resource Management (Philippines National Integrated Protected Areas Programme, 2000)
The IFAD Adaptive Approach to Participatory Mapping: Design and Delivery of Participatory Mapping Projects (IFAD, 2010)
Participatory Mapping as a Tool for Empowerment: Experiences and Lessons Learned from the International Land Coalition Network (International Land Coalition, 2008)
The I-Tracker Report: A Review of the I-Tracker Data Collection and Management Program Across North Australia (North Australian Indigenous Land & Sea Management Alliance, 2009)
Guyana: Empowerment of Indigenous Peoples through Participatory Mapping (World Rainforest Movement, 2002)

TOOL: Identifying Appropriate Forms of Resource Mapping

Purpose: *This tool can be adapted and used as the basis for community discussions about different forms of participatory resource mapping in order to identify which (if any) may be particularly useful in your local context.*
Resource: Adapted from Participatory Mapping Toolbox (IAPAD)

See Part II: Section II/D for a community experience with participatory mapping in Ethiopia

- Facilitate a discussion about what the community would like to achieve with maps and what degree of specificity or technicality may be required. Discuss different perspectives and motivations, expectations, and any concerns.
- Facilitate discussions about how each tool in Table 9 could potentially be used in your local context. Criteria for selection may include existing skills and capacities within the community and long-standing support organizations, available and potentially available resources (finances, time, equipment, and technical capacity), opportunities to involve youth, personal concerns such as lack of confidence with new technology, basic utilities such as electricity and storage space, and so on.

- Work towards agreement of which ones would be most relevant and how to overcome their potential drawbacks.
- Develop a plan for using the identified tools, including roles and responsibilities of those involved, timelines, budgets, and monitoring.
- When using the tools, encourage broad participation and opportunities for gaining new skills, particularly amongst youth.
- Ensure sufficient opportunities for the wider community to provide input to the maps and verify the information before finalization. Depending on the sensitivity of the information, the maps should be kept in safe places and perhaps under the care of an authorized person.

Table 9: Participatory resource mapping tools and their potential uses (Source: IAPAD)

Participatory Mapping Tool	Description	Benefits and Drawbacks
Transect diagram	Depicts the location and distribution of resources, geographic features of the landscape or seascape, main land uses and zones, and constraints and opportunities along a specific path or route known as a 'transect'.	Simple, low-cost, no expertise needed, easily adapted for community use. Provides broad-level information. Not useful when accuracy is required.
Sketch map	Informal way to plot information on the occurrence, distribution, access, and use of resources within a community's territory or area. Useful alongside other tools such as transect diagrams. Facilitator should understand the social structure and have good rapport.	Simple, low-cost, no expertise needed, easily adapted for use in all ecosystems and different levels of detail. Spatially confined and biased to the domain of whoever develops it. May not be taken seriously by officials for formal management purposes.
Sketch map overlaid on topographic or satellite map	Transposes information from a sketch map onto an existing conventional topographic map to generate a relatively precise scaled output. Illustrate local change over time (topographic base map remains the same). Serves as basis for dialogue and joint planning with external actors.	Enables recognition of locally important resources (names, location, extent, etc.). Computerized format more likely to be officially recognized. Topographical maps may not be easily available, accessible, or fully representative of local realities.
CyberTracker	Free software for handheld GPS-enabled computers, used to record observations with customized icons. Used for monitoring natural resources and recording locations of culturally important sites.	Easy to customize freeware, paperless data collection reduces errors and waste, immediate mapping and easy export for analysis. Handheld computers may be inhibitive cost.
Global Positioning Systems (GPS) and Geographic Information Systems (GIS)	Identify coordinates of boundaries, perimeters, or locations. Data is recording with handheld GPS devices, stored in digital format, and used to produce maps with geo-referenced information.	Provides accurate data with high potential for official recognition. Often interests youth. Equipment may be inhibitive cost. Requires external technical input and training to use equipment.
3-dimensional modeling	Combines people's knowledge of land uses, boundaries, and important sites with elevation contours (GPS and GIS technology) to produce a scaled 3-D model. Diverse applications, including recognition of customary rights and territories, education, participatory planning and research, monitoring and evaluation, and conflict resolution.	Builds community identity, pride, and shared vision. Adaptable for many purposes. High potential for tangible outcomes if used effectively. Requires time, effort, and participation to construct.

TOOL: Community Biodiversity Registers

Purpose: *This tool can be adapted and used to document biological resources that the community depends upon. It can be used as the basis for resource monitoring and management. It can also document traditional names and uses in order to assert community rights over the resources and associated knowledge and intellectual property.*

Resource: Adapted from Learning Endogenous Development: Building on Bio-cultural Diversity (ETC Foundation and COMPAS, 2007) and from material provided by the Centre for Sustainable Development (CENESTA)

See Part II: Section II/B for a community experience with biodiversity registers in Iran

- Consider using this tool in conjunction with a community sketch map (see Table 9).
- Facilitate a discussion about objectives and motivations for developing a community biodiversity register.
- Community biodiversity registers generally involve the documentation of various biological resources used by and/or are found in the community's territory or area (see Box 29 for examples). Basic registers could include each resource's name and a general description. More detailed registers could also include the location, relative quantity or abundance, relative health, common or traditional uses, methods for management and conservation, threats, and so on.
- This information could be documented in a number of different ways, for example, physical collection and drying of plant specimen, well-organized charts with written information, photographs or drawings, and audio recordings. Facilitate a discussion and agreement about how the register will eventually 'look' and how it will be used.
- Facilitate a discussion and agreement about types of information that would be appropriate to document and in what forms. Although it may be useful in some situations to record locations or traditional names of resources, doing so could also raise concerns about sensitive and valuable information. Refer to ***Part I: Section III/B5*** for further guidance about managing information. Seek explicit agreement about how to retain community control and security of the register.
- Discuss how the community would like to organize the documentation process. One approach is to work with representatives of groups that use specific resources for different purposes (such as traditional medicine, household consumption, handicrafts, and building materials). This may require a committee or group to coordinate the overall process. They may wish to seek external advice on specific techniques such as collection of specimen or construction of secure databases.
- Discuss the timeframe and scope of documentation. The community may decide to document only certain resources of particular importance, especially if they know and use hundreds of different species. Take into consideration how resources are found in different habitats and how they change over the seasons. For example, nomadic pastoralists may decide to record every plant species encountered during each seasonal migration over a period of two or more years.
- Undertake the agreed upon process, including opportunities for broad participation and some form of consolidation and verification.
- Conclude with a community endorsement of the register and plans for using it.

- Wild plants (grasses, shrubs, trees, ferns)
- Cultivated plants (fruits, vegetables, grains, legumes, herbs)
- Wildlife (mammals, birds, fish, insects, reptiles, amphibians)
- Domestic animals (livestock, horses, herders such as dogs)

Box 29: Examples of biological resources that could be documented in a register

C2. Information and Communication Technologies

Communities are increasingly gaining access to technology such as computers, the internet, mobile phones, cameras, and recording devices. They are actively using them to increase the voices of the

marginalized, mobilize social action, and advocate for change. Information and communication technologies can be used in just about any context and instantly shared through global networks thanks to the rise of social media such as blogs, Facebook, and YouTube.

Participatory video, photography, and audio in particular have become popular and effective methods for telling community's stories from their own perspectives. They are empowering processes that can help convey concerns and local development priorities in the words, sounds, and images of communities themselves rather than of an outside journalist or development worker. Films, photographs, and audio interviews can be used as the basis of establishing dialogue with external actors, raising awareness, and catalyzing strategic advocacy efforts. The following tools provide initial guidance and links to key resources that contain more detailed information.

TOOL: Participatory Video

Purpose: *This tool can be adapted and used to produce and share videos about and in support of the community protocol. It could be used for documentation, awareness-raising and advocacy campaigns, engaging with external actors, and reporting and evaluation.*

Resource: Adapted from Video Advocacy Planning Toolkit (Witness)

See Part III: Section I for a community experience with participatory video in Eastern Canada

Video can quickly mobilize local support around the community protocol. It tends to generate a lot of interest among youth and is a great way to get children and adolescents involved in community storytelling and learning about their culture and environment. Since video is a powerful way to bridge gaps in understanding and worldviews, it can also be used to present elements of the community protocol to external actors and the broader public.

- Draw on Table 10 to brainstorm how video could be used in the protocol process and different ideas for topics, interviewees, and questions.
- The *Key Resources* below provide more detailed guidance and technical background based on years of community experiences from around the world. Witness' open source Video Advocacy Planning Toolkit is particularly helpful, providing information on determining audiences and objectives, developing storyboards and style, using new software and equipment, editing, sharing the results with others, and evaluating impacts of advocacy campaigns.

Table 10: Basic tips and guidance for shooting a video

Before Filming	Equipment
• Identify the objectives and audience • Determine the structure and style • Prepare a storyboard (scene-by-scene plan of the story and what will be included in the accompanying visuals and audio) • Draft a script for narration • Prepare a list and schedule of locations, interviewees, scenery, close-ups, and sound bites to seek • Seek permission before filming or interviewing people and be clear about how it will be used	• Video camera (formats include cassette, mini-disc, High Definition, memory card, etc.) • Extra film or storage space and batteries • Tripod • Computer and editing software • DVD burner or internet connection • Microphone • Headphones • Relevant cables • Notebook and pens
Technical Tips	**Filming Tips**
• Familiarize yourself with the equipment and work out any glitches beforehand • Do a test run before beginning filming • Label tapes and files • Record with headphones • Record everything, including small or background	• Learn how to do different shots such as close-ups, wide-angle, zooms, and pans • For interviews, choose a quiet location and make the space comfortable and non-intrusive • Record normal activities and events and try to make people feel at ease

sounds and long pauses • Take written notes while filming • Be detail-oriented at all stages – even small 'mistakes' will be very noticeable to viewers	• Keep microphones and other equipment out of the visible frame • Keep the video camera steady and in focus • Avoid making sounds when recording • Re-shoot a scene or sequence if you're not happy with the first or second take • Be patient with the process and those involved

Key Resources on Participatory Video
Video for Change: A Guide for Advocacy and Activism (Witness, 2005)
Video Advocacy Planning Toolkit (Witness)
Insights into Participatory Video: A Handbook for the Field (InsightShare, 2003)
Conversations with the Earth (non-profit organization and network)
Sacred Land Film Project

TOOL: Photo Stories

Purpose: *This tool can be adapted and used to display a slideshow of photographs about and in support of the community protocol. It could be used for documentation, awareness-raising and advocacy campaigns, engaging with external actors, and reporting and evaluation. Other ways to use photographs include in exhibitions, brochures, posters, and reports.*

Resource: Adapted from Photo Story 10-Step How To Guide (Adaptation Learning Mechanism, 2010)

Search www.youtube.com or the accompanying DVD for a photo story of the Maldhari Biocultural Community Protocol

- Compiling a photo story (also known as a photo slideshow) is one of the easiest ways to effectively display and share digital photographs. It involves selecting compelling photos, arranging them into a meaningful order, adding special effects and audio, personalizing it with titles and captions, and publishing it to a DVD or online video-sharing platform. See Box 30 for basic tips.

- Download and familiarize yourself with the software.
- Prepare an outline for your story (for example, general information about the community and area, main issues and challenges, community projects or initiatives, lessons learned, and next steps).
- Collect 10-20 relevant photographs using a variety of shots and angles (for example, close-ups, mid-range and long shots, and staged and action shots).
- Open the software and begin a new project.
- Import the photos and arrange them into the desired order on the filmstrip.
- Consider using the editing tools such as rotation, crop, red-eye, and colour adjustments. Editing could also be done before importing the photos into the project.
- Add a title page at the beginning, captions for the photos, and credits at the end. Adjust the font, style, size, and position of the text.
- Add animation effects such as fades, pans, or zooms between each photo.
- Add narration or background music.
- Save the story for playback on your computer.
- Share it with others by transferring the file to other computers, burning it onto a DVD, or uploading it to a social media platform such as Facebook or a video-sharing site such as YouTube.

Box 30: Tips for creating an effective photo story

- You need a certain kind of software to create a photo story. Recent Windows and Macintosh operating systems include their own versions such as Windows Movie Maker and iMovie. Others such as Microsoft Photo Story 3 and Prezi are available online for free download.

- Think ahead about how you will use the photo story and therefore which software may be required. Some operating systems and online platforms are only compatible with certain formats. A quick Google search will elicit this information.

Key Resources on Participatory Photography
See It Our Way: Participatory Photography as a Tool for Advocacy (PhotoVoice)
Photovoice: Social Change Through Photography (John Humphrey Centre for Peace and Human Rights, 2010)
Social Documentary: Using the Power of Photography to Promote Global Awareness (website)
Photo Story 10-Step How To Guide (Adaptation Learning Mechanism, 2010)

TOOL: Audio Interviews

Purpose: *This tool can be adapted and used to interview key actors in various stages of the protocol process, including documentation and communication, reporting back to the community or external actors, and reflection on processes and changes.*

Resource: Adapted from Teen Reporter Handbook: How to Make Your Own Radio Diary (Radio Diaries, 2000)

- Draw on Table 11 to brainstorm how audio interviews could be used in the protocol process and different ideas for topics, interviewees, and questions.
- Audio interviews can be used for many purposes such as Most Significant Change stories (see ***Part I: Section IV/D***), podcasts, and radio programmes, or as audio clips for films and photo stories.
- Depending on interest, time, and resources, you may wish to establish a community radio station. Radio is a cost-effective and impactful way to connect communities about issues of importance to their daily lives. It has particularly been used by small-scale farmers to share knowledge and experiences in support of locally appropriate farm systems, innovations, and food and nutrition security. The *Key Resources* below provide guidance on years of community experiences from Africa, Asia, and the Americas.

Table 11: Basic principles and tips for conducting audio interviews

Basic Principles	**Equipment**
• Be curious and creative • Be prepared and organized, including with equipment, questions, and location • Be respectful and attentive • Use small details to tell a big story • Seek permission from the interviewee for recording, editing, and intended uses of the final interview or programme	• Recording device (formats include cassette, mini-disc, MP3, laptop, etc.) • Microphone • Headphones • Relevant cables and software • Spare batteries • Notebook and pens
Technical Tips	**Interviewing Tips**
• Familiarize yourself with the equipment and work out any glitches beforehand • Do a test run before beginning the interview • Label tapes and files • Record with headphones • Keep the microphone close to the subject (5-6 inches below the chin) • Record everything, including small or background sounds and long pauses • Take written notes after the interview	• Choose a quiet location and make the interviewing space comfortable • Put people at ease and begin recording a few minutes before starting the questions • Ask interviewees to identify themselves • Maintain eye contact and aim to have a normal conversation with the interviewee • Get them to 'do' things such as show you around an important place • Avoid making verbal responses (such as 'uh huh') while the interviewee is speaking • Avoid simple 'yes' or 'no' questions

Key Resources on Participatory Audio and Radio
Community Radio Start-Up Information Guide (Farm Radio International, 2008)
Manual for Participatory Radio Campaigns (Farm Radio International, 2010)
Community Radio Handbook (UNESCO, 2001)
Creating Participatory Radio with Children: A Facilitator's Guide (Community Media for Development)
Teen Reporter Handbook: How to Make Your Own Radio Diary (Radio Diaries, 2000)
Creating a Podcasting Show on Windows (Hemel, no date)
Legislation on Community Radio Broadcasting: Comparative Study of the Legislation of 13 Countries (UNESCO, 2003)
Az Dekhon ba Dekhon (Farmer to Farmer): A Participatory Radio Series for Private Farmers in Tajikistan (FAO, 2002)
World Association of Community Radio Broadcasters

TOOL: Identifying Relevant Social Media Tools

Purpose: *This tool can be adapted and used as the basis for community discussions about different forms of social media in order to identify which (if any) may be particularly useful in your local context.*

Resource: See Table 12 below

Table 12 highlights a number of free online social media tools that could be used to support activities and campaigns related to the biocultural community protocol, create global networks, and share experiences and resources with others working on similar issues. It is not intended as an official endorsement of any particular website, but as a selection of the most popular and easy-to-use tools to be adapted to your local context and priorities.

Each social media tool has unique phrases and ways of sharing information, which are explored further in the hyperlinked guides below. They can be used on computers or internet-enabled mobile phones and can be linked to each other to establish an integrated social media platform. Before setting up new accounts or posting information online, be sure to read the fine print and discuss with the rest of the community any concerns about privacy or local procedures for sharing certain information in the public domain.

Table 12: Overview of key social media tools

Tool	Description	Getting Started
Blogger	Blog service for sharing updates, substantive information, and opinions. Readers can post comments.	• Create an account at: www.blogger.com • See How to Use Blogger • Seek 'followers' to subscribe to your feed
Twitter	Micro-blogging service for posting short messages of up to 140 characters. Readers can respond to and forward ('re-tweet') messages.	• Create an account at: www.twitter.com • See DigiActive Guide to Twitter for Activism • Add hyperlinks with a URL-shortening service such as www.bitly.com • Seek 'followers' to subscribe to your feed
Facebook	Social networking site for sharing messages, links, photos, and more. Readers can comment on and forward content.	• Create an account at: www.facebook.com • Set up a page for an organization or cause • See Facebook Pages: The Insider's Guide • Seek people to 'like' your page
YouTube	Video-sharing site for posting files in formats such as .AVI, .MOV, .WMV, and .MPEG4. Viewers can comment on, vote for, and share videos with others.	• Create an account at: www.youtube.com • See How to YouTube: Top 5 Tips • Seek people to subscribe to your channel or view and comment on specific videos
Change.org	Hosts online petitions that can be used to target specific people, companies, or organizations with a focused message and request for action.	• Create an account at: www.change.org • See How to Start an Online Petition • Seek people to sign your petition

Key Resources on Social Media and Information and Communication Technologies
Change at Hand: Web 2.0 for Development (IIED, 2009)
Web 2.0 Tools for NGOs (GlobaLab)
How NGOs Can Use Social Media (UN Department of Social and External Affairs, 2010)
The Social Media Guide (website)
Closer Than Ever: A Guide for Social Change Organizations Who Want to Start Working Online (Association for Progressive Communications, 2011)
African Indigenous Peoples' Workshop on Effective Use of Information Communication Technology (ICTs) in Environmental Advocacy (IPACC, 2009)
Unbounded Possibilities: Observations on Sustaining Rural ICTs in Africa (Association for Progressive Communications, 2008)
Global Voices Advocacy, Witness, and Eldis Communities Learning Networks (websites)

C3. Legal Awareness and Action

There are innumerable ways for communities to learn about and engage with the law. In the context of developing and using a biocultural community protocol, the community and supporting organizations should generally strive to:

- Understand national, regional, and international laws and policies and how they relate to the community and their territories and areas;
- Understand the community's rights and responsibilities as well as those of relevant external actors such as governments and companies;
- Plan how to engage with and influence them in accordance with the community's customary laws and endogenous development priorities; and
- Ensure access to recourse and redress mechanisms, including formal legal support and alternative dispute resolution, in cases of conflict or rights violations.

These should be seen as ongoing processes of learning and reflection with some inevitable challenges along the way. Engaging with the law can be a long and frustrating process; even experienced lawyers find laws and policies complex and difficult to understand. Extra patience and encouragement from community facilitators are thus important to keeping up energy and momentum. Depending on existing capacities and resources within the community, some external support from NGOs and pro bono lawyers may be required, particularly regarding specific legal provisions. Overall, the process of understanding and engaging with the law will be much more effective if the community is well-organized and has clear visions and plans for what they'd like to accomplish through the law.

TOOL: E-learning Modules on Relevant Legal Frameworks

Purpose: *This tool can be adapted and used to gain greater understanding of key legal frameworks and how they relate to the community. It also provides guiding questions for the community to consider how they could engage with the frameworks to fulfill the aims and objectives of their protocol.*

Resource: Available online at www.community-protocols.org/toolkit and in the accompanying DVD (developed by Natural Justice, 2012)

A number of e-learning modules are being developed specifically to support the legal aspects of biocultural community protocols. The modules can be used as the basis for community discussions, workshops, and action planning about key legal frameworks that affect Indigenous peoples and local communities and their territories and areas. They can also be used in conjunction with in-person legal advice and support from pro bono lawyers and human rights advocates in your country or region.

As of March 2012, e-learning modules on the following international frameworks are available online and in the accompanying DVD:

- United Nations Declaration on the Rights of Indigenous Peoples
- Traditional Knowledge and Customary Sustainable Use of Biodiversity
- Access and Benefit Sharing
- Reducing Emissions from Deforestation and Forest Degradation

In the coming months, several additional modules will be developed on other key international frameworks as well as national laws and policies in select countries in Africa, Asia, and the Americas. They will be posted on www.community-protocols.org/toolkit as they become available. As they are first versions, all of the modules are open to comment, further input, and feedback on local experiences.

TOOL: Legislative Theatre

Purpose: *This tool can be adapted and used to submit legal reports to key decision-makers such as parliament based on community suggestions for legislative change.*

Resource: Adapted from material provided by Afghanistan Human Rights and Democracy Organization

See Part I: Section IV/B1 for a description of Participatory Theatre and two additional theatre tools

- Use the Forum Theatre tool to prepare and perform plays that relate to the community and issues contained in the protocol.
- Invite a trusted pro bono lawyer to observe and take notes of suggestions for change arising from the play and audience responses.
- Work with the lawyer to compile a legal report that can be presented to your city, state, or national parliament or other key decision-makers such as directors of government departments.
- Follow up with the process as appropriate.

In the early 1990s, Augusto Boal (the founder of Forum Theatre) was voted a member of the city parliament of Rio de Janeiro, Brazil. After realizing how little contact there was between elected officials and their constituencies, he decided to combine Forum Theatre with the power of law as a tool for social change. Through a process dubbed as Legislative Theatre, legal reports based on the plays were presented to parliament and resulted in 13 related laws being passed in only 2 years.

Box 31: The emergence and early influence of Legislative Theatre in Rio de Janeiro

TOOL: Principles for Public Participation in Impact Assessments

Purpose: *This tool can be adapted and used to help evaluate the process of community participation in an external or independent impact assessment. It can also be used as the basis for proactively developing a participation process for a community-driven impact assessment.*

Resource: Adapted from "Model of Best Practice for Public Participation in Environmental Assessment" and "Public Participation Review Template" in A One-Stop Participation Guide: A Handbook for Public Participation in Environmental Assessment in Southern Africa (SAIEA, 2004)

External or independent impact assessments include a public participation process in order to ensure various stakeholders' views and concerns are sufficiently addressed. If your community has been or has the opportunity to be involved in such a process or to develop your own, this generic tool can be used to help evaluate its quality and integrity.

Table 13 below outlines principles and guiding questions based on the SAIEA model of best practice and public participation review template. The assessment of each question could be done based on the

following suggested categories: complete or well done; adequate; not well done; unknown. Additional comments could provide further details or rationale and suggestions for improvement or next steps.

Table 13: Good practice principles and guiding questions to evaluate community participation in impact assessments (Source: SAIEA, 2004)

Guiding Questions	Assessment	Comments
Principle: Appropriately Design the Process		
Is the design flexible and creative? Does it take into account a range of approaches and participatory methods? Is it custom-designed for each situation?		
Does it strive to redress social inequity and justice?		
Are legislation and regulations fully complied with? Are they used as minimum requirements and built upon further?		
Principle: Understand Stakeholders and their Interests		
Are social, political, and economic factors appropriately taken into account? Examples include traditional authorities, government agencies, cultural and gender considerations, literacy levels and language, etc.		
Is the approach based on a thorough understanding and appreciation of stakeholder values, needs, and priorities, particularly those with lesser power?		
Are all stakeholders included in the process in fair and locally appropriate ways?		
Are marginalized groups sufficiently accommodated, with opportunities to fully participate in the process?		
Are all stakeholders treated with equality, respect, and sensitivity?		
Do those involved in the assessment act with integrity and commitment?		
Is conflict anticipated? Does it include a process or plan for conflict management?		
Principle: Use Available Resources and Facilitators with Appropriate Skills		
Is there sufficient budget for a full and successful participation process?		
Is there sufficient time provided for stakeholders to meaningfully engage with the process?		
Do all stakeholders have sufficient material support? Examples include transportation, access to information, timing of events, length of comment periods, etc.		
Are the facilitators independent and sufficiently skilled? Are they unbiased and free of vested interests in the process and outcomes?		
Principle: Ensure Effective and Efficient Communication		
Is there a central and continuous emphasis on communication with stakeholders throughout all stages of the process, including design, implementation, and outcomes of the assessment?		
Is all information accessible and does it promote participation? Considerations include use of plain language, translation into local languages, accommodation of differing levels of literacy and education, and use of print and electronic media.		
Do the findings address the views, concerns, and issues raised?		
Is the participation process adequately documented?		
Principle: Expect and Address Conflict Proactively and Constructively		
Is there 'true' dialogue between stakeholders, with sufficient consideration of all concerns, values, traditions, perceptions, and knowledge systems?		
Is the process free of political influence and interference?		
Is conflict appropriately managed and resolved, using both informal and formal mechanisms? Is it viewed as a potential opportunity for innovation and creative response?		

D. MONITORING AND EVALUATION

Note to community facilitators:
This sub-section introduces a number of key tools related to monitoring and evaluation, including. The tools include:

- ☑ Activity monitoring table
- ☑ Basic forms of measurement and illustration
- ☑ Most Significant Change stories

The process of reflecting on change over time is also referred to as 'monitoring and evaluation' (see Box 32). This process can help the community understand the impacts and effectiveness of what has occurred in the past in order to plan and respond accordingly in the future. It is an important part of adapting the protocol and strategy as priorities change.

Monitoring involves collecting information about different aspects of the process of developing and using your community protocol. It is a continuous process of self-assessment that focuses on inputs and outputs and can alert community facilitators, catalysts, and leaders of important gaps or opportunities. ***Evaluation*** assesses what that information means in relation to your community's goals and plans, or when compared to information collected previously. It occurs periodically or at important milestones and involves in-depth analysis of activities and progress up until that point. It focuses on outcomes and impacts and can provide community facilitators, catalysts, and leaders with options for revised strategies.

Box 32: Distinguishing between monitoring and evaluation

Overall, monitoring and evaluation tools can help address the following general questions:

- What progress have we made? What have we achieved so far?
- What lessons have we learned (both positive and negative)?
- What has worked well? What has not worked well? Why?
- What impacts have we had within the community, on the environment, and with external actors?
- What is our overall level of satisfaction or wellbeing?
- How could we adapt our activities and decision-making processes in order to further improve?

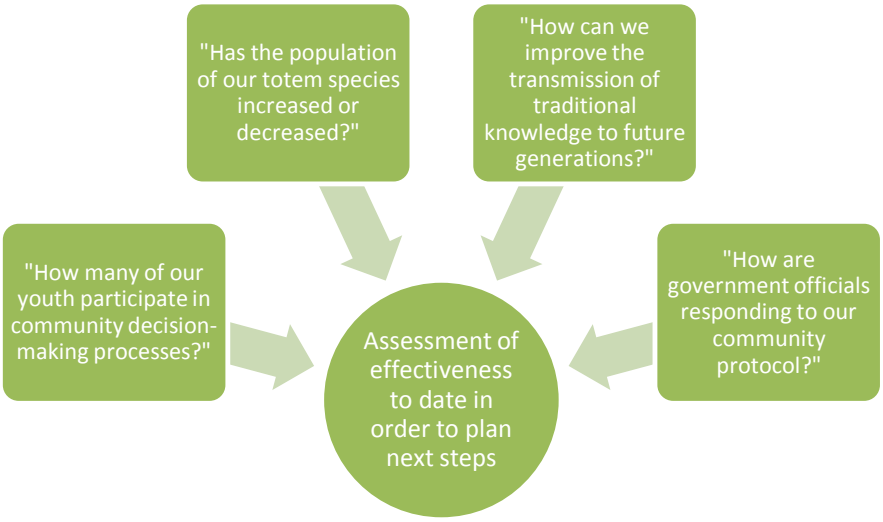


Figure 10: Sample questions that could be monitored and evaluated throughout the protocol process

Monitoring and evaluation is about individual and collective self-reflection on relationships and roles, and assessment of trends in social, cultural, environmental, political, and economic indicators over time. It helps communities and organizations focus on useful information and specific issues of importance such

as changes in power dynamics, resource use, participation and representation, and policy reform. It also provides a degree of accountability and opportunities to understand different stakeholders' perspectives. Information could be:

- A combination of qualitative and quantitative (see Table 14),
- Used to reflect upon what has happened in reference to a previously established baseline or goal and to adapt plans and activities to improve achievement of these goals in the future,
- Used to increase accountability of various stakeholders by serving as checks and balances,
- Used to increase community's or organization's capacity to drive development processes according to their own terms and priorities,
- Used to increase communication of results/changes, as well as a realistic picture of local realities to decision-makers in order to influence policy change, and
- Used to involve different approaches used at different times/stages of a project or process: assessment and establishment of baseline data or goals at the beginning; assessment, monitoring and evaluation throughout; and evaluation at the end.

Table 14: Definitions and examples of different types of information

Type of Information	Definition	Examples
Qualitative information	Focuses on the 'quality' of something and is usually descriptive and somewhat subjective.	• Changes in behaviour or attitude • Changes in cultural values • Changes in personal motivations or preferences
Quantitative information	Focuses on the 'quantity' of something and is usually measured in terms of numbers or rates of change.	• Number of people in attendance at a workshop • Annual crop production • Number of plants used daily in traditional medicines
Baseline information	Initial measurements and observations made before a project or process begins. Measuring the same kinds of information partway through or at the end of the process will help show the progress or changes that have occurred since it began.	• Understanding of relevant laws • Capacity to engage with external actors • Retention of youth ages 18-35 in the community

The community may already have a system for collecting and assessing information about different resources or cultural practices. This could be built upon as a culturally appropriate approach to reflecting on different aspects of the protocol process. See Box 33 for guiding questions to explore with the community to identify any existing forms of monitoring and evaluation.

- *What types of activities or processes are monitored in the community? By who?*
- *How do you monitor and measure change? How do you communicate changes and results?*
- *What changes in activities or processes influenced by the community's protocol would you measure? Things to consider "measuring" may include specific challenges such as declining fish stocks or degradation of pastures, broader social changes such as inter-generational transmission of traditional knowledge or access to traditional territories, or other priorities identified.*
- *How would you measure these changes? What would be the indicators of change? Consider low-cost participatory methods such as local monitoring of wildlife populations and distribution, observations of changes in the health or population of certain resources, and group discussions about changes in social perceptions and quality of life.*
- *What other internal and external resources would you like to further support this?*

Box 33: Key questions for discussion

Key Resources on Monitoring and Evaluation
Participatory Monitoring and Evaluation for Natural Resource Management and Research (Natural Resources Institute, 1999)
80 Tools for Participatory Development (IICA, 2008)
The Community's Toolbox: The Ideas, Methods, and Tools for Participatory Assessment, Monitoring and Evaluation in Community Forestry (FAO, 1990)
The 'Most Significant Change' Technique: A Guide to its Use (Davies and Dart, 2005)
Performance Story Evaluation Methodology (NAILSMA, 2009)
Power Tools: For Policy Influence in Natural Resource Management (IIED database)
Participatory Monitoring and Evaluation: Field Experiences (Intercooperation-Hyderabad, 2005)
Principles, Criteria and Indicators Monitoring Framework (The Learning Institute)
Comprehensive Participatory Planning Evaluation (IFAD/Belgian Survival Fund, 2001)
Assessment Tools Resource Base (MercyCorps website)

TOOL: Activity Monitoring Table

Purpose: *This tool can be adapted and used to monitor activities related to the community protocol, including documentation and development, use, and reflection and revision. It can help community facilitators keep track of progress and lessons learned to date and encourage accountability.*

Resource: Adapted from Sleeping on Our Own Mats: An Introductory Guide to Community-based Monitoring and Evaluation (World Bank Rural Development, 2002)

When you plan activities within different parts of the protocol process, think ahead about what needs to happen in order to fulfill a certain objective or complete an activity. Visualize the end product or objective and work backwards to think through each step that would be required. Decide who will be responsible for each task and by when it should be accomplished. As activities take place or as goals are accomplished, fill in the appropriate information (see Table 15). Post a hard copy in a location that is safe but visible to many people or circulate an electronic copy over email or as a Google Document. This will help remind those responsible to update the table over time and remain accountable to promised tasks.

Table 15: Activity monitoring table

Overall Objective or Activity: Overall timeframe:						
Task & Person Responsible	**Timeframe**		**Results**		**Lessons Learned (positive & negative)**	**Changes & New Plans**
	Planned	Actual	Planned	Actual		

TOOL: Basic Forms of Measurement and Illustration

Purpose: *This tool can be adapted and used to measure and illustrate key questions in a basic quantitative manner. The questions can address qualitative information as well. It is useful for depicting change and patterns in a clear visual way that can also be meaningful for external actors. It can also help identify further questions or factors that could be explored.*

Consider a specific question such as "How did women's age affect their level of participation?" It could be measured or illustrated in different ways such as comparisons over time ("more or less than before?") or on a scale ("from 1 to 5" or "from 'not at all' to 'very much so'"). For example, you could first identify

specific age groups that would elicit clear differences such as school-age, between the ages of 25-45, and over the age of 45. For each part of the protocol process, score the level of participation on a scale from one to five. The number one could represent no participation and the number five could represent participation in every aspect. The information could be recorded in an organized table (see Table 16 as an example).

Table 16: Example of how to measure effect of women's age on participation in different parts of the protocol process (scaled from one to five; one = no participation, five = participation in every aspect)

	Part of the Protocol Process			
Age of Women	Deciding to Develop a Protocol	Mapping Community Resources	Engaging with External Actors	Raising Awareness within the Community
Under 20 years	1	2.5	1	4
20-45 years	2	4	3	3
Over 45 years	3	4	2	2

You could then illustrate the information in a graph with distinct colours or labels to differentiate between the age groups. The bar graph in Figure 11 below provides just one example of how you could illustrate the participation of different ages of women throughout the protocol process.

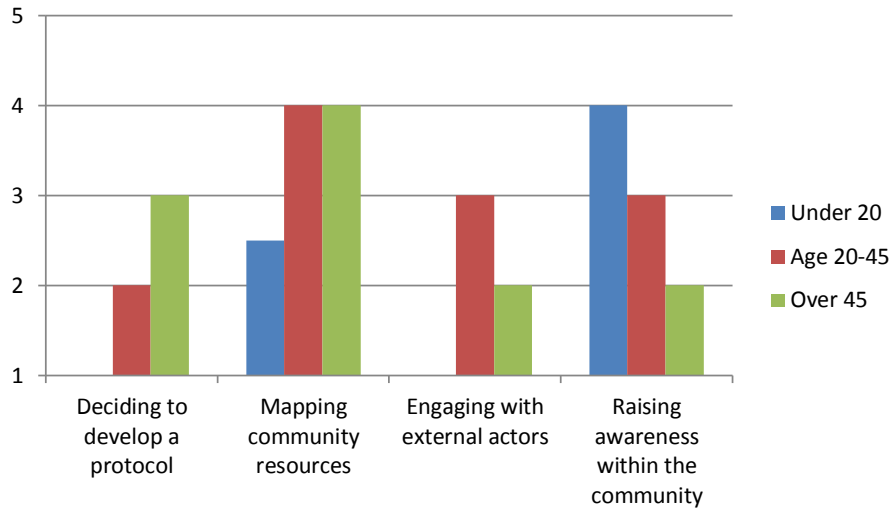


Figure 11: The participation of different ages of women in the protocol process (measured according to a scale from one = no participation to five = participation in every aspect)

When measurements are depicted in a visual illustration such as a graph, it can be easier to notice patterns or unusual occurrences. In the fictitious example above, women under the age of 20 were not involved at all in the decision to develop a protocol or in engagement with external actors, but they participated actively in raising awareness within the community about the protocol. Further reflection and questioning about why this occurred could elicit interesting insights. For example, young women may not have been interested in the protocol at first if it involved lengthy discussions or may not have been allowed to participate in the decision-making process; however, they interest could have piqued when the opportunity arose to prepare skits or short films to share the protocol with other youth. Similarly, women over the age of 45 were more involved in the decision to develop a protocol in the first place and in mapping community resources, but did not engage as much with external actors as women between the ages of 20 and 45. This may be due to social-cultural factors such as levels of literacy and education.

TOOL: Most Significant Change Stories

Purpose: *This tool can be adapted and used to explore primarily qualitative information about people's experiences and perceptions of significant change that has arisen through the protocol process.*

Resource: Adapted from The 'Most Significant Change' Technique: A Guide to its Use (Davies and Dart, 2005) and material provided by Future In Our Hands, Sri Lanka

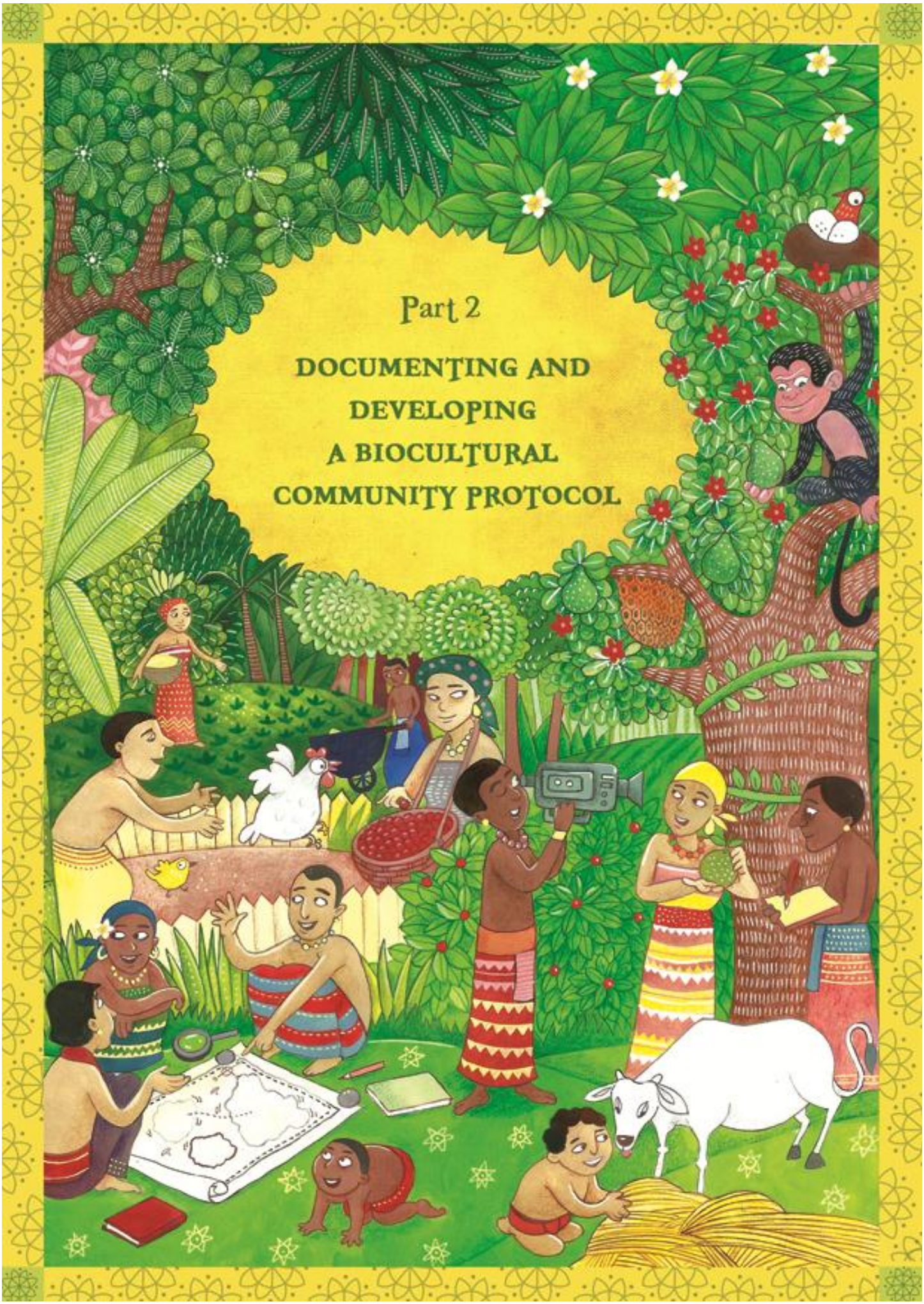
See Part IV: Section I for a community experience with using Most Significant Change stories in Sri Lanka

A popular tool known as "Most Significant Change" was developed through experiences with documenting organizational change in Bangladesh and Australia. It focuses on collecting and analyzing stories of significant change to gain information about how and why change occurs. In contrast with quantitative data, this tool values each story as a unique social experience that contains important lessons and insights.

- *What was the change that occurred?*
- *Why is it significant to you and others involved?*
- *Where did the story of change take place?*
- *When did the change occur?*
- *Who was involved in the significant change?*
- *How did the change occur?*

Box 34: Guiding questions for Most Significant Change stories.

Stories of change generally focus on the storyteller exploring a number of basic questions (see Box 34). They can be documented in a variety of ways such as drawings, photographs, and audio or video interviews, depending on literacy and availability of technical equipment and capacities. Encourage community members, including women and youth, to get involved in documenting each other's stories. You might like to gather a small team of people to assist with analyzing the stories of change and brainstorming ways to share the stories with the broader community and other key stakeholders such as donors and supporting organizations.



Part 2

DOCUMENTING AND DEVELOPING A BIOCULTURAL COMMUNITY PROTOCOL

SECTION I

DECIDING TO DEVELOP A COMMUNITY PROTOCOL

KEY READING
- ✓ Part I: Section II
- ✓ Part I: Section III

Biocultural community protocols aim to support communities' efforts to secure their rights, responsibilities, territories, and areas. As the first part of the practical guidance, this section of the Toolkit is intended to help assess whether or not it may be appropriate to undertake a protocol process within your local context. The rest of ***Part II*** suggests specific methods and tools from ***Part I: Section IV*** and guiding questions to support the development and use of a community protocol. Consider the questions contained in Figure 12 on the follow page and engage in focused discussions with community leaders, catalysts, and other groups until an informed decision can be made.

Other important considerations that may affect the community's decision include, among others:
- Existence or potential for some sense of shared identity or common goal
- General openness and agency to try new things and carry them through
- Strong local leadership and presence of or potential for community catalysts
- At least one person to serve as a confident facilitator and retain sensitivity to local timelines, priorities, and decision-making processes
- Some degree of access to communications infrastructure (for example, common language, road, internet or phone)

A biocultural community protocol is highly context-dependent and is not necessarily appropriate for any given community. It also does not guarantee any particular changes or improvements. As a facilitator, it is your responsibility to appropriately manage expectations (see ***Part I: Section II/B3***). The decision about whether and how to undertake a protocol process should be taken by the community without pressure or coercion from external actors or externally imposed timeframes or terms and conditions.

See www.community-protocols.org/community-protocols for a collection of protocols from Asia, the Pacific, Africa, and the Americas

Figure 12: Assessing whether a protocol may be useful for your community

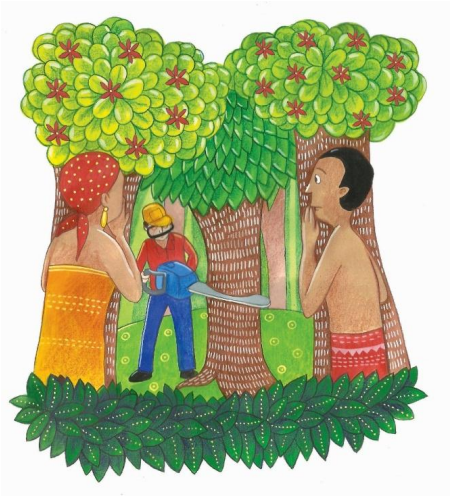
Does your community:

a) *Have a close historical, cultural, or spiritual connection with a particular territory or area?*
b) *Have or aspire to have some degree of decision-making power over its management and use?*
c) *Contribute to or aspire to contribute to its restoration or conservation (intentionally or otherwise)?*

No

Are you not very interested in sustaining your culture or area?

Protocol likely won't be useful



Do you want to conserve but are unable to because of external pressures?

Yes

Are there concerns about negative impacts of external actors?

Do you have plans or priorities to which you would like external actors to contribute?

Protocol could be useful

SECTION II

MAPPING THE COMMUNITY'S FOUNDATIONS

KEY READING

- ✓ Part I: Section III
- ✓ Part I: Section IV
- ✓ Part II: Section I
- ✓ Part II: Section III

This section provides guidance on a range of issues that your community may wish to consider including in the biocultural community protocol. It is referred to as 'mapping' primarily in the metaphorical sense. Overall, it aims to support a locally-defined process of documenting, delineating, and communicating the community's identity and natural, social-cultural, economic, political and institutional, and legal foundations.

Each sub-section references several tools described in ***Part I: Section IV*** that may be useful for their respective topics. They are neither exhaustive nor mandatory. You may already have experience with some of them or other similar tools. All of them can be adapted and integrated into the local process as appropriate, depending on the community's interests, priorities, and capacities.

Each sub-section also contains a number of guiding questions to catalyze community reflection and discussion. The questions and overarching topics will inevitably overlap and should not be treated as mutually exclusive or exhaustive. It is not necessary to address only these questions or in any particular order; some will naturally lead to ancillary questions and others may not be at all applicable. Encourage natural transitions between topics and avoid being overly prescriptive about what can be discussed and when. The most important thing is to explore issues that relate directly to the community's ways of life and current situation. Due to the wide-ranging nature of the questions, encourage flexible discussions and culturally appropriate participation from a broad cross-section of the community.

Notably, these questions are potentially invasive and deal with sensitive issues. Understand your role as facilitator and be clear to the community that not 'everything' has to be included in their protocol. They should not feel obliged to answer each question, discuss anything they don't wish to, or contravene any customary laws or social norms. This is especially relevant for the location of natural resources, the location and meaning of cultural and spiritual sites, and specific details of traditional knowledge. Sensitive or confidential information that is documented should be kept in a secure place with regulated access and use. Once information is documented, it is possible that others could access and use it for unintended or unwanted purposes. ***See Part I: Section III/B5 for more guidance about safeguarding sensitive information.***

As a facilitator, consider how to integrate tools to monitor and evaluate the process as it emerges. Some relevant tools are highlighted in ***Part I: Section III/B5, Part I: Section IV, and Part II: Section III.*** Documenting the process of developing and using a protocol can also help ensure accountability and transparency within the community as well as with external actors.

Before beginning the documentation process, reflect upon the following questions with other community facilitators, catalysts, and leaders:

- *What is the purpose of the protocol? Who is it directed towards?*
- *How will you decide which issues to discuss and in what order?*
- *How will you facilitate these discussions in culturally appropriate and engaging ways? Every person responds differently to learning and communication styles such as visual images, listening, and movement. Facilitation methods should be diverse and participatory.* ***See Part I: Section III/A4.***
- *How will you document these discussions and supporting evidence (such as the location of resources or impacts of customary practices)?*
- *How will you consolidate the documentation into a protocol? Who should be involved?*
- *What format will the protocol take (for example, a written document, videos, photographs, and maps)? What technical capacities are required? Which language(s) will be used?*

Box 35: Guiding questions for reflection before beginning documentation

When facilitating community discussions about the sub-sections below, consider using the following overarching questions as the foundation:

- *What resources, assets, systems, etc. do we currently have?*
- *What did we have in the past that we would like to revive or revitalize?*
- *What do we envision for our future?*
- *What are the internal and external challenges, opportunities, and potential sources of support?*
- *How are cultural sources of information (such as customary laws, traditions, values, and knowledge) tracked, recorded, shared, and passed on within the community? How has this changed over time?*
- *How could the information be shared with or communicated to someone outside of the community?*
- *What specific aspects would you like to convey to outsiders through the community protocol?*
- *How will you communicate the information? Examples may include maps, illustrations, written documents, photographs, or videos.*

Box 36: Overarching questions to use for discussion of the community's foundations

A. MAPPING THE COMMUNITY'S IDENTITY

KEY READING

- ✓ Part I: Section III
- ✓ Part II: Section II (Introduction, Box 35-36)

KEY TOOLS

- ☑ Community institutions sketch map
- ☑ Identifying key actors
- ☑ Understanding relationships between key actors
- ☑ Forum theatre
- ☑ Image theatre
- ☑ Audio interviews

Defining and communicating who or what is your community is one of the most important parts of the protocol process. It forms the basis of the shared identity, vision, and purpose around which the rest of the protocol will largely materialize. It clarifies who the protocol represents both to people within and outside of the community. It may also become an interesting process in itself as people come together to consider both traditional or customary and new ways of defining community within different cultural and political contexts. Examples of commonalities around which a community could be defined include ethnicity, language, ways of life and livelihoods, class or caste, spatial area within particular geographical

or political boundaries, shared resources or knowledge, concerns or views about shared threats or opportunities, and shared visions, aims, or plans.

All communities are dynamic. Discussions of self-definition and changing identities should not be seen as either new or inherently threatening to traditional institutions. The broader aim is to mobilize people around shared identities, visions, and plans and empower them to address both threats and opportunities emerging from interactions with external actors. The following boxes provide guiding questions for discussion in order to define and communicate who and what comprises the community.

Defining Community

- *How do you define your community? How do you decide who is included in and excluded? This self-definition may include more than one of the examples outlined above, including within different contexts, or other characteristics entirely.*
- *What is the story about the origins or history of your community? What is its significance for your present way of life?*
- *What are your community's core values? What is their significance for your present way of life?*

Communicating Community

- *Within your community, how are identity and core values passed on and reinforced? How are they conveyed to outsiders? Is anyone in particular responsible for these processes? How have they changed over time?*
- *How could these processes be drawn on to communicate your identity and core values in the community protocol?*

COMMUNITY EXPERIENCE:
Defining 'Community' through Shared Identity as Traditional Health Practitioners in South Africa

Resource: Biocultural Protocol of the Traditional Health Practitioners of Bushbuckridge (available at www.community-protocols.org under "Community Protocols")

In the area of Bushbuckridge, South Africa, traditional health practitioners contribute greatly their villages' health and wellbeing. However, their traditional knowledge and practices are being undermined by outside pressures such as the degradation of medicinal plants. A group spread across a large number of villages and from two different language groups came together to define themselves as a community of traditional health practitioners. They did this to assert their rights under a new national law and to seek recognition of and support for their shared knowledge and customary practices.

B. MAPPING THE COMMUNITY'S NATURAL FOUNDATIONS

KEY READING

- ✓ Part I: Section III
- ✓ Part II: Section II (Introduction, Box 35-36)

KEY TOOLS

- ☑ Identifying appropriate forms of resource mapping
- ☑ Community institutions sketch map
- ☑ Community biodiversity registers
- ☑ Historical timeline
- ☑ Trend line analysis
- ☑ Community visioning
- ☑ Assessing key opportunities and threats
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews

The following boxes contain guiding questions for community discussion about their ways of life in relation to territories and areas. Some of the topics may not be relevant (for example, if the community does not keep livestock), so you may wish to read through them all first before beginning. In the

community protocol, you may wish to include the following main types of information, among others: relationships with and impacts on the environment and different types of resources; territorial boundaries; connections between ecosystems or other communities' territories or areas; unique values and roles of certain resources; totem species or taboos; land use change and resource use trends over time; and visions and plans for resource management and conservation.

General Environment and Natural Resources

- *What types of natural resources do you use? What are they used for?*
- *Which are most important to your community? Why?*
- *What are the main cycles (for example, seasonal, temporal, cultural, or spiritual)?*
- *Where are they?*
- *How are they used and managed? Who is involved?*
- *What types of customary laws or values regulate the management of different resources?*
- *What traditional knowledge, innovations and practices are involved?*

COMMUNITY EXPERIENCE:
Developing Tribal Biodiversity Registers as the Basis for Tribal Biocultural Protocols in Iran
Resource: Adapted from material provided by CENESTA

Figure 13: The Qashqai tribe has extensive knowledge of the high biodiversity in the rangelands of their territory (Courtesy: Samira Farahani, CENESTA)

Iran has approximately 700 tribes of Indigenous nomadic pastoralists. Most are engaged in vertical migration over their ancestral territories, including summering grounds in the highlands, wintering grounds in the lowlands, and the migratory routes and resting stops connecting the two. About a dozen tribes recently decided to develop tribal biocultural protocols in order to protect themselves from unwanted outsiders taking resources, particularly highly valuable medicinal plants, from their territories without their consent.

The tribes initially set out to describe the diversity of their domesticated livestock, including sheep, goats, camels, horses, cattle, and donkeys. They soon decided that it was first necessary to collect and identify the hundreds of plant species that provide the foundation for their livestock and livelihoods. With the support of professional botanists, they found that many of the plants species, perhaps up to 20 per cent, were unknown to science. However, the tribal elders knew them and their properties, names, and many uses such as food, medicine, livestock feed, or industry. They decided to elaborate tribal

biodiversity registers and are currently exploring the feasibility of setting up a tribal herbarium as a reference base for identifying species and their status in the territories where they are found. Using digital cameras provided by a supporting NGO, they have learned to follow standard procedures to set up a sample sheet for each species or variety collected with the help of the modern botanists. Hundreds of species of plants have been collected so far by these expert community ethno-botanists.

According to the Indigenous nomadic communities, the work must be done over the entire tribal territory and over a long enough period of time. In the Iranian context, they recommend that it includes collection in the summering grounds, in the wintering grounds, and over the entire migration route in between each (in essence, four times each year). This should be done two or more times over subsequent years. It must also be done in a large enough area, covering a significant number of tribal territories. Next, the tribes plan to document wildlife and domesticated plants and animals to complete their tribal biodiversity registers.

The collection and identification of biodiversity should not be seen as a mere study but should form the basis for improving the conservation of nature in the tribal territories. It can also help identify practical ways that the nomadic communities can sustainably use and benefit from resources identified as having economic value. While tribal biodiversity registers and biocultural protocols are vital in their own right, the process to document and develop them has engendered strong feelings of cooperation, mutual support, and solidarity.

Figure 14: Review of specimens collected by Shahsevan Tribal Confederacy in preparation for botanical classification (Courtesy: Hamed Zolfaqari, CENESTA)

Figure 15: Tribal ethno-botanists from various nomadic tribes preparing their specimen sheets (Courtesy: Abbas Didari, CENESTA)

Local Wildlife (including mammals, birds, fish, insects, reptiles, and amphibians)

- *Do you hunt, fish, or collect wildlife species?*
- *Do you have specific names for them in your local language? If appropriate, some examples could be provided.*
- *What are they used for? How do you obtain and use them?*
- *Are they migratory or restricted to a certain area?*
- *What roles or values do they have in your community (for example, social, cultural, spiritual, environmental, economic, and political)?*
- *Are the wildlife species or local populations in danger of becoming threatened or extinct? If so, what are the factors leading to this? How are they currently being or could they be addressed?*

Local Crop Varieties, Medicinal Plants, and Livestock Breeds

- *Has your community developed and used local crop varieties, medicinal plants, or livestock breeds, either in the past or currently?*
- *Do you have specific names for them in your local language? If appropriate, some examples could be provided.*
- *Why are they important to your community? What roles or values do they have (for example, social, cultural, spiritual, environmental, economic, and political)?*
- *Are the livestock migratory, sedentary, or restricted to specific areas or grazing routes?*
- *How does your community manage the crops, medicinal plants, or livestock? You may wish to describe customary laws, traditions, beliefs, norms, values, knowledge, and practices for exchanging, cultivating or breeding, feeding and grazing, harvesting, processing, and using.*
- *Are the crop varieties, medicinal plants, or livestock breeds under threat and potentially in danger of being lost? If so, what are the factors leading to this? How are they currently being addressed or could they be addressed in the future?*

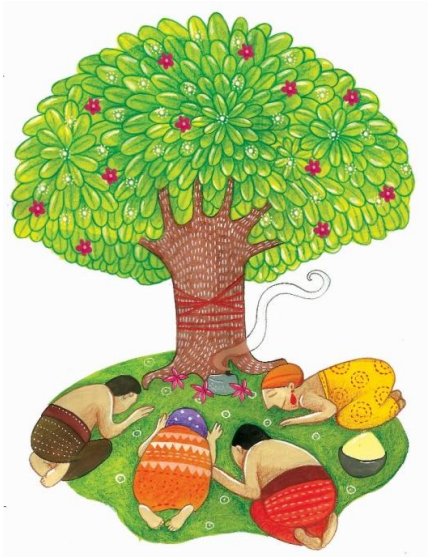
C. MAPPING THE COMMUNITY'S SOCIAL-CULTURAL FOUNDATIONS

KEY READING

- ✓ Part I: Section III
- ✓ Part II: Section II (Introduction, Box 35-36)

KEY TOOLS

- ☑ Photo stories
- ☑ Audio interviews
- ☑ Participatory video
- ☑ Historical timeline
- ☑ Trend line analysis
- ☑ Identifying appropriate forms of resource mapping
- ☑ Community visioning
- ☑ Assessing community capacities
- ☑ Assessing key opportunities and threats



The following box contains guiding questions for community discussion about social-cultural aspects, including festivals, sacred sites, and pilgrimage routes. There may be many other topics that would be appropriate to discuss. Particular attention should be given to considerations of sensitive or restricted information such as exact locations, names, and other related knowledge. In the community protocol, you may wish to include the following main types of information, among others: significant events, sites, or other social-cultural activities with unique values and relations to the environment; customary institutions or authorities; changes and trends over time; and visions and plans for the future.

Cultural Festivals, Rituals, Sacred Sites, and Pilgrimage Routes

- *Do you have cultural festivals, rituals, sacred sites, or pilgrimage routes?*
- *What are the locations or boundaries? How are they connected to other parts of the community's territory or area?*
- *What roles or values do they have in your community (for example, social, cultural, spiritual, environmental, economic, and political)?*
- *Which natural resources are involved and how?*

- *What are the relevant customary laws, rules, norms, and values that regulate practices and resource use around the festivals, rituals, sites, or routes?*
- *Are there particular people or groups within the community who make these decisions?*
- *Are the festivals, rituals, visits to sacred sites, or pilgrimages held on particular occasions or times of year? What are these occasions linked to or initiated by?*
- *Are there certain songs, dances, designs, handicrafts, or other art forms connected to these events or sites? How do the values and knowledge contained therein affect how the community understands, manages, and uses resources?*
- *Are the festivals, rituals, sites, or routes under threat or in danger of being harmed or lost? What are the factors leading to this? How are they currently being or could they be addressed?*
- *Would you want this information to be made public?*

Key Resources on Sacred Sites
Barcelona Statement of Custodians of Sacred Natural Sites and Territories (2008)
Preliminary Action Plan for the Conservation of Sacred Natural Sites (WCPA Specialist Group on the Cultural and Spiritual Values of Protected Areas, 2010)
Sacred Natural Sites: Guidelines for Protected Area Managers (IUCN and UNESCO, 2008)

D. MAPPING THE COMMUNITY'S ECONOMIC FOUNDATIONS

KEY READING
- ✓ Part I: Section III
- ✓ Part II: Section II (Introduction, Box 35-36)

KEY TOOLS
- ☑ Community institutions sketch map
- ☑ Historical timeline
- ☑ Trend line analysis
- ☑ Assessing community capacities
- ☑ Forum theatre
- ☑ Identifying appropriate forms of resource mapping
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews
- ☑ Community visioning
- ☑ Assessing key opportunities and threats

The following box contains guiding questions for community discussion about their livelihoods and sources of sustenance and income. In the community protocol, you may wish to include the following main types of information, among others: how livelihood strategies relate to the environment and different types of resources; relationships between customary and more recent practices; viability of customary practices; sharing or restriction of resources and knowledge; and visions and plans for the future.

Livelihood Strategies
- *What are the main sources of livelihoods and income in the community? How long have they been practiced?*
- *To what extent are customary subsistence livelihoods currently practiced? How does this compare to 10, 20, 50, or 100 years ago?*
- *To what extent do the youth learn about and maintain customary practices and knowledge?*
- *Overall, to what degree do these sources of livelihoods and income sustain the health and wellbeing of the whole community? What are the gaps or shortfalls, if any?*
- *If there are any excess resources, how are they shared with other communities or exported to markets? How are benefits and costs shared within your community?*
- *Are there any tensions between customary subsistence and market-based practices such as cash crops? If so, how are they currently being or could they be addressed?*
- *If the community cultivates crops, uses medicinal plants, or keeps livestock, what are the cycles or timeframes for exchange, migration or grazing routes, breeding, cultivation, and harvesting?*

- *What customs and values regulate the sharing of key resources (such as seeds, plants, or animals) and related knowledge within your community? with nearby communities? with outsiders? Who is responsible for making these decisions?*
- *What is unique and valuable about how your community uses local crop varieties, medicinal plants, livestock breeds, wildlife, or other resources? How do you manage and use them differently than other communities or external actors?*
- *If you think about 10, 20, 50, or 100 years from now, what will be the main sources of livelihoods and income? Does this reflect the community's visions?*
- *What are the main threats and opportunities that are likely to affect future livelihoods and sources of income? How could the community proactively plan and address these?*

COMMUNITY EXPERIENCE:
Valorizing Indigenous Knowledge through Participatory Mapping in Ethiopia

Resource: Adapted from material provided by MELCA-Ethiopia
Also see Participatory 3-Dimensional and Eco-cultural Mapping for Indigenous Knowledge Documentation (Refera/MELCA-Ethiopia, 2009)

With the support of local organization MELCA-Ethiopia, the communities of the Bale Mountains, Sheka forest, Foata Mountain Complex, and Wechecha Mountain Complex have been using participatory mapping to mobilize knowledge related to their territories and areas and to build resilience and learning about change. The maps demonstrate the importance of traditional knowledge and cultural practices in the communities' deep understandings of and relationships with their landscapes. In each of the four communities, over 200 elders, adults, and youth participated in the construction of the maps. This process has created social cohesion around a common purpose, further contributing to the communities' resilience and capacity to respond to change.

Figure 16: An elder placing a pin on the location of a sacred site that the community is struggling to protect against the negative influence of major religions (Courtesy: Million Belay, MELCA-Ethiopia)

The maps are currently being used as the basis to revitalize intergenerational learning amongst students from local elementary and secondary schools and universities. This is contributing to greater awareness of and pride in community identity, revival of traditional ecological knowledge, focused planning to rehabilitate degraded ecosystems, and advocacy efforts to protect areas of cultural, social, economic, and environmental importance.

E. MAPPING THE COMMUNITY'S POLITICAL AND INSTITUTIONAL FOUNDATIONS

KEY READING
- ✓ Part I: Section III
- ✓ Part II: Section II (Introduction, Box 35-36)

KEY TOOLS
- ☑ Community institutions sketch map
- ☑ Assessing community capacities
- ☑ Assessing key opportunities and threats
- ☑ Framework for research and action
- ☑ Identifying key actors
- ☑ Understanding relationships between key

- ☑ Community decision-making calendar
- ☑ Historical timeline
- ☑ Trend line analysis
- ☑ Community visioning
- actors
- ☑ Multi-stakeholder role play
- ☑ Forum theatre
- ☑ Image theatre

The boxes below contain guiding questions for discussion about internal and external decisions that affect the community. In the protocol, you may wish to include the following main types of information, among others: decision-making processes, institutions, and values; identification of key actors and relationships (existing and potential); understanding of power dynamics and influences of external actors and any related assertions; methods for dispute resolution; and visions and plans for the future.

Internal Decision-making Systems

- *How are internal decisions made about the community's territory or area? Who is involved and in what ways?*
- *How long have these institutions and decision-making processes been in place?*
- *To what extent are customary institutions currently practiced? How does this compare to 10, 20, 50, or 100 years ago? What factors have affected these changes over time?*
- *What are the different roles and responsibilities of the customary and local authorities?*
- *How do the decision-making systems regulate different aspects of the community's ways of life (for example, social, cultural, spiritual, environmental, economic, political, and legal)?*
- *What social norms, values, and beliefs underpin the systems?*
- *For what kinds of decisions do they need to seek broader support from the community?*
- *For what kinds of decisions do they have the mandate to act on the community's behalf?*
- *How could they be further improved upon and strengthened? For example, if decisions would be improved by broader participation, how could this be done in culturally appropriate ways?*
- *How are disagreements or conflicts within the community addressed?*
- *Overall, to what degree do these systems sustain the wellbeing of the whole community? What are the gaps or shortfalls, if any?*
- *Are there any tensions between customary and more recent decision-making processes? If so, how are they currently being or could they be addressed?*

Relations with External Decision-making Systems

- *What are the local structures of government decision-making and administration? How do they relate to customary structures?*
- *What other actors and decision-making processes affect the community? Examples may include companies, researchers, and NGOs. How do power dynamics affect the relationship and the community's potential to influence the process and outcome?*
- *Discuss some past experiences of interactions with these external actors. What were the factors that led to the experiences being overall positive or negative? How could positive factors be further supported? How could negative factors be constructively addressed?*
- *If a potential threat or opportunity arises in the future with any of these actors, how would the community respond? What decision-making process would be undertaken?*

F. MAPPING THE COMMUNITY'S LEGAL FOUNDATIONS

KEY READING

- ✓ Part I: Section III
- ✓ Part II: Section II (Introduction, Box 35-36)

KEY TOOLS

- ☑ E-learning modules on relevant legal frameworks
- ☑ Understanding relationships between key actors
- ☑ Multi-stakeholder role play
- ☑ Identifying appropriate forms of resource mapping
- ☑ Historical timeline

☑ Assessing key opportunities and threats	☑ Trend line analysis
☑ Framework for research and action	☑ Community visioning
☑ Identifying key actors	☑ Legislative theatre

What distinguishes a biocultural community protocol from other instruments such as management plans is the explicit focus on understanding laws and policies, asserting rights and responsibilities, and clearly defining community requirements for external actors to engage with them and their territories and areas. The legal empowerment process behind it requires time, energy, strategic thinking, and attention to detail, but is well worth the effort. The more the community understands and effectively uses their rights and responsibilities, the more external actors will respect and comply with them.

The boxes below contain guiding questions for community discussion about different kinds of legal systems and how they relate to each other. In the community protocol, you may wish to include the following main types of information, among others: customary laws, rights, and responsibilities and the norms and values that underpin them; specific national and international laws and policies; assertions of overlaps or conflicts between legal systems; community-defined terms and conditions for engagement of external actors; messages directed towards specific external actors to either cease harmful activities or engage in constructive ones; and visions and plans for the future.

Customary Laws

- *Do you have customary laws relating to your territory or area? This may include rules or regulations for the use of resources, sharing of traditional knowledge, and timing of important social-cultural events.*
- *How long have these customary laws been in place?*
- *To what extent are they currently practiced? How does this compare to 10, 20, 50, or 100 years ago? What factors have affected these changes over time?*
- *Overall, to what degree do customary laws sustain the wellbeing of the whole community? What are the gaps or shortfalls, if any?*
- *How do these laws regulate different aspects of the community's ways of life (for example, social, cultural, spiritual, environmental, economic, and political)?*
- *What are their underlying values and norms? How are these values and norms reinforced and passed on to other authorities or younger generations?*
- *According to the community's customary laws, what are your customary rights and responsibilities over your territory or area? How are the boundaries defined?*
- *What are your customary rights and responsibilities related to local crops, plants, livestock breeds, and wildlife? over the areas and habitats in which they are found, cultivated, bred, kept, or grazed?*
- *Are there any taboos or restricted areas from which no resources should be taken (during certain times or permanently)?*

Positive (Governmental) Laws and Policies

- *What are the community's rights and responsibilities under international, regional, and national laws and policies? Include those related to the territory or area and all resources contained therein, human rights, culture and ways of life, and intellectual property.*
- *What are the rights and responsibilities of external actors in relation to the community? For example, some laws prohibit actions undertaken without your consent or that adversely affect you. Others oblige governments to support different aspects of the community's ways of life.*
- *Which international, regional, and national laws and policies negatively affect your ways of life? Are there any supportive aspects of these laws and policies? If not, how could they be addressed?*
- *Are there any tensions or conflicts between customary laws and positive laws? If so, how would the community like to address them?*

- *Overall, do positive laws and policies generally support or hinder the community's ways of life and priorities? What are the gaps and shortfalls?*
- *How have these laws and policies changed over the past 10, 20, 50, or 100 years? How would the community like to see them change in the future?*

Community-defined Engagement of External Actors

- *When an outsider or external agency approaches the community for something, what procedures must they follow? Who must they seek permission from?*
- *How can the community inform them of this procedure?*
- *What information would the community like to know before making any decisions? Consider listing key questions that they should answer up front.*
- *Once this information is presented, how would the community respond to different requests or proposals? Examples may include taking samples of genetic resources, recording traditional knowledge, establishing a protected area, or beginning a business venture on or near the community's territory or area.*
- *What rights and responsibilities under which laws must be respected? What essential terms and conditions must be adhered to?*
- *How could the community explain these rights, responsibilities, and terms and conditions to the external actor?*
- *What would the community do if they were not properly adhered to?*

SECTION III

CONSOLIDATING THE PROTOCOL AND DEVELOPING A STRATEGY

A. COMMUNITY PRIORITIZATION

The process of mapping the community's foundations likely elicited an incredible wealth of information in the form of reams of notes, stacks of chart paper, and folders of photographs and maps. All of this information is important and valuable and should be managed with care and respect, especially if any is sensitive or confidential.

The next stage of the process is prioritizing particular issues to address in the community protocol. Prioritization can often be done through further community discussions and the use of simple tools such as voting and ranking, either through private ballots or an open space. For example, the topics with the most votes or highest overall rankings could be included in the protocol. Another useful tool is called pairwise ranking, which involves creating a matrix of topics listed in the same order across the top row and left column (see Table 17 for a fictitious example). Each pair is compared and people indicate their preferences. The topic with the highest number of 'preferred' boxes has the highest priority. As people's priorities are influenced by their roles in the community and personal interests, ensure opportunities for broad participation in this process. This could be in the form of large community workshops, focused group discussions, leaders' meetings, and one-on-one interviews.

Table 17: Example of a pairwise matrix used to prioritize ideas for income generation projects

	Vegetables	Livestock	Fruit Trees	Fish Farm	Bee Keeping
Vegetables	X	*Livestock*	*Vegetables*	*Vegetables*	*Bee Keeping*
Livestock		X	*Livestock*	*Livestock*	*Bee Keeping*
Fruit Trees			X	*Fruit Trees*	*Bee Keeping*
Fish Farm				X	*Bee Keeping*
Bee Keeping					X

B. FOCUSING AND CLARIFYING THE COMMUNITY'S MESSAGE TO EXTERNAL ACTORS

Every topic and issue raised throughout the documentation process is important and interconnected in reality. However, the purpose of a protocol is not to provide every single detail known about the community or generic descriptions of concerns or priorities. The protocol will be much more effective if it

contains clear messages targeted towards specific external actors with decision-making power, providing just enough information to inform them why and how they should take action and what impacts their decisions will have.

Focusing the Message

- *What is the overall objective of the community protocol?*
- *What is the overall message that you would like to convey to external actors?*
- *What are the specific messages that you would like to convey to external actors? This could include, for example, what they should know about the community, what the community would like them to do and how, what the community commits to doing, the legal basis for these assertions, and so on.*
- *Who in particular are these messages directed towards?*
- *What do you know about these actors? What are their mandates? How do they generally respond to communities? Awareness of such background information and insights will help you compile a more effective message.*
- *How can you frame the message to peak their interest and encourage them to personally invest in and commit to the cause?*
- *How would the community like to convey their collective voice? How could individual voices also be shared?*
- *How should the external actor respond? Include, for example, detailed contact information and suggested means or procedures for communication.*

C. CONSOLIDATING INTO A PROTOCOL

The bulk of the protocol can be drawn from the documentation process (see ***Part II, Section II***). In addition to directing clear messages towards specific external actors, it should focus on providing concise descriptions and supporting evidence (such as maps, photos, and graphs) to convince those actors why they need to pay attention and take action. Consolidation into something tangible can also have great meaning for the community. Some who have developed protocols have highlighted the self-affirming power of having something in hand to share their identities and ways of life with outsiders, often for the first time on their own terms.

Each protocol should be consolidated and communicated in a way and format that is meaningful and appropriate to that community. Certain formats such as written documents may be more politically advantageous, have greater legal certainty in negotiation processes, and be more easily understood by external actors. However, a written document may be seen as reductionist or misrepresentative of the complexity of the community's worldview and visions. On the other hand, a more culturally appropriate approach (such as through visual art, theatre, or music) may not be understood or taken seriously by external actors. Each format will have pros and cons depending on how and why the protocol is developed and to whom it is directed. Remember that any type of documentation is simply a snapshot of a diverse and complex community and should not be seen as the 'ultimate' or final account upon which all subsequent decisions must be made.

Overall, the consolidation process is a matter of bridging different knowledge systems, worldviews, and forms of communication. The balance that must be sought is ensuring that it has meaning and integrity for the community and is understood and respected by external actors.

In order to determine the most appropriate means of consolidating a protocol, the community could discuss who should be involved in the process and how, to whom the protocol is directed and in what contexts (for example, proactive or reactive), and how best to communicate their overall and specific message(s). The boxes below set out key guiding questions and considerations. You could use these for personal reflection as the facilitator as well as discussion with the broader community.

Process

- *Who will be involved in consolidating the information? What roles will they play?*
- *How can you support the participation of different members and groups in the community?*
- *How do you decide what information to consolidate and how to do so?*

Tone

- *Who is it directed towards? What are the overall and specific messages?*
- *What is overall tone that you would like to convey (positive or negative)? How would this contribute to the overall objective or goals of the protocol?*
- *Given the local context and communication styles, how could you tailor the message and tone appropriately?*

Format

- *What format will the protocol take? For example, it could consist of a written document with maps, videos, photographs, interviews, and so on. What are the pros and cons of each? In what contexts might some formats be more appropriate or useful than others? Consider which languages will be used and any technical capacities that may be required.*
- *Consider consolidating into one overarching protocol to begin with.*
- *Consider tailoring different versions, parts of the protocol, or additional annexes directed towards specific external actors for specific purposes. Each may use different formats and may adopt a different message and tone, depending on the purpose.*
- *Assuming the protocol was documented and developed in the local language, consider translating it into the national language and any other widely used languages.*

Content and Structure

- *What information is appropriate to include in the protocol? What information should not be included?*
- *Can a protocol itself contain a diversity of opinions and perspectives or should it be presented as a community's "one voice" (presumably agreed upon through consensus-building)?*

Although there is no prescribed list or template, the protocol could set out the following topics:

- The community's identity, story of origin, and core values and norms
- Relationships between culture, language, spirituality, customary laws, resource use practices, traditional knowledge, and their territories and areas
- Customary institutions, decision-making processes, and other aspects of self-governance
- Challenges and concerns and how the community would prefer to address them
- Locally defined development plans and priorities
- Specific rights and responsibilities in customary, national, and international law
- Specific calls to external actors

Community Validation

- *Is the protocol accurate and meaningful enough to serve as the 'public face' of the community to external actors?*
- *What would be an appropriate process for the community to endorse the consolidated protocol? What customary or local authorities should give their approval?*
- *What is the relationship between the protocol and local governance structures?*
- *How could the community validation be confirmed in the protocol itself? For example, a note at the beginning or end of the protocol could briefly describe the process undertaken to document, develop, and approve it.*

D. DEVELOPING STRATEGIES TO USE THE PROTOCOL

KEY TOOLS

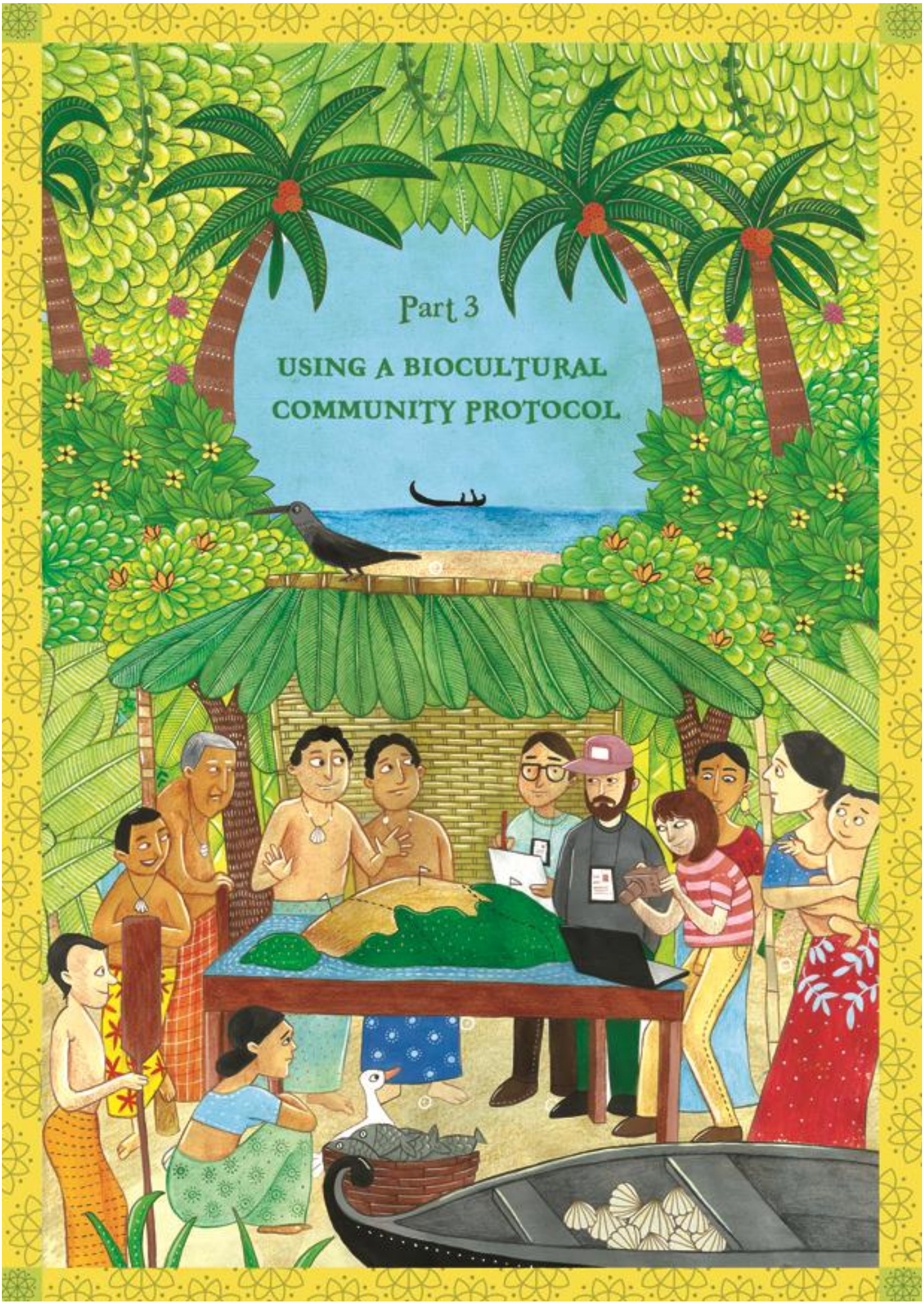
- ☑ E-learning modules on relevant legal frameworks
- ☑ Assessing key opportunities and threats
- ☑ Framework for research and action
- ☑ Identifying key actors
- ☑ Understanding relationships between key actors
- ☑ Multi-stakeholder role play
- ☑ Forum theatre
- ☑ Image theatre
- ☑ Historical timeline
- ☑ Trend line analysis
- ☑ Community visioning
- ☑ Activity monitoring table

The value of a single biocultural community protocol may lie primarily in its potential for internal self-affirmation and in achieving localized change through direct engagement with local officials or other actors. The potential to influence broader political and legal change may require the aggregation (though not in a 'standardizing' way) of several protocols that generally address similar issues. For example, multiple protocols calling for livestock keepers' rights in India, Pakistan, and Kenya could serve as the collective voice – still based on unique local contexts, identities, and priorities – of a broader social movement with shared aims, which could exert sufficient pressure to gain state recognition. It is likely that community protocols may only be able to influence concrete or structural change through coordinated social mobilization and strategic challenges to the legal and political status quo.

"The value of biocultural community protocols lies at the aggregate level: the more there are that speak about a particular issue in local contexts, the stronger their collective voice can be." ~ *Ilse Köhler-Rollefson, League for Pastoral Peoples and Endogenous Livestock Development*

Developing a Strategy

- *What are the overall aims or objectives of the protocol?*
- *What are the legal provisions and frameworks (customary, national, regional, and international) that can be used to achieve these aims?*
- *How does the community intend to use the law and other methods such as social mobilization to achieve these aims? What are the visions, specific strategies, and action plans?*
- *What capacities and resources are required? What already exists within the community or could be obtained with focused support?*
- *What are the main opportunities and threats that may affect the process?*
- *Who are the key actors or stakeholders, including relevant social movements? What are their existing or potential relationships with the community?*
- *How does the community intend to engage with these actors? What are the visions, specific strategies, and action plans?*
- *Who will contribute to realizing the strategy from within the community? Who will contribute from outside the community?*
- *How will you know that changes have occurred or aims achieved?*



Part 3

USING A BIOCULTURAL COMMUNITY PROTOCOL

SECTION I

ENGAGING WITH EXTERNAL ACTORS

One of the main reasons for developing a biocultural community protocol is to use it as a platform to engage in dialogue with external actors such as government officials, companies, researchers, and NGOs. As much as possible, the community should strive to engage constructively and according to their own terms, values, and priorities.

A. PUTTING EXTERNAL ACTORS ON NOTICE

KEY TOOLS

- ☑ Framework for research and action
- ☑ Identifying key actors
- ☑ Understanding relationships between key actors
- ☑ Multi-stakeholder role play
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews
- ☑ Identifying relevant social media tools
- ☑ Activity monitoring table

Engaging with external actors can begin with 'putting them on notice'. This means informing them proactively that your community has developed a protocol. Clearly indicate if the protocol has specific recommendations or requests to which they need to respond, or procedures to which they need to adhere. There are a number of different ways to put key actors on notice. Two suggestions are listed below that could be adapted to your local context and strategy.

➢ ***Send a letter by post, email, or fax to inform them about the community's protocol***

The letter should be clear and concise to attract the attention of the reader and written in an introductory and open manner to encourage a positive response. It could include information such as a brief introduction to your community and where you are from; key issues that you are facing that are of direct relevance to the agency, organization, or individual; how you would like them to respond; and contact details of the relevant community authority or liaison. You may wish to append a copy of the protocol and ask to arrange a meeting to discuss further in person or over the telephone.

➢ ***Arrange a meeting to deliver the community protocol and discuss it in person***

Depending on the situation, it may be more effective for a small rather than large number of people to meet directly with the relevant agency, organization, or individual to discuss the protocol. If a crowd arrives to deliver the protocol, particularly if there is a negative or potentially hostile atmosphere, it is more likely that the people with whom you are trying to meet will feel defensive and unwilling to discuss the issues openly. It is important to begin the process of using the protocol in a positive and constructive

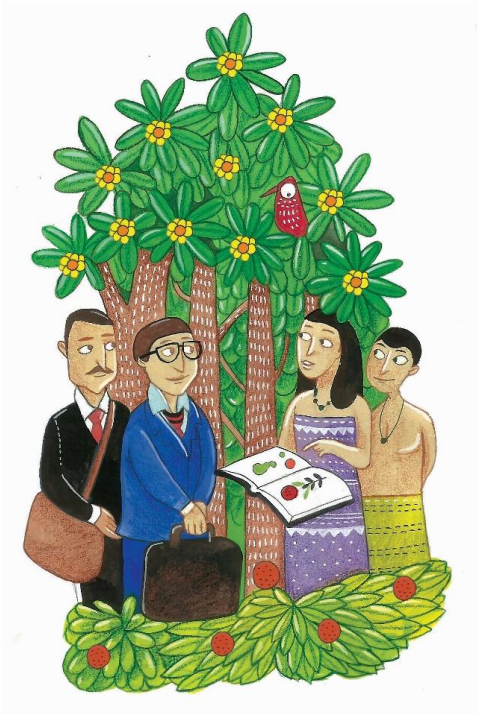
manner. The community should take the time to consider how to best put external actors on notice within your local context and using appropriate modes of communication.

Putting key external actors on notice is a useful exercise because it informs them proactively of your intentions and expectations, which can spur positive action and help prevent conflict (see ***Part III: Section V***). It also begins a process of encouraging accountability and transparency of key actors in the public and private sector whose actions or inactions are affecting your community and the environment.

B. ESTABLISHING DIALOGUE

KEY TOOLS

- ☑ Framework for research and action
- ☑ Identifying key actors
- ☑ Understanding relationships between key actors
- ☑ Forum theatre
- ☑ Multi-stakeholder role play
- ☑ E-learning modules on relevant legal frameworks
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews
- ☑ Identifying relevant social media tools
- ☑ Activity monitoring table



Biocultural community protocols are meant to catalyze constructive dialogue and collaboration between communities and external actors. In comparison with a formal negotiation, a dialogue can be relatively informal and unstructured. It can be used to share information, improve understanding of different perspectives, and seek innovative ways to address a common concern or fulfill a shared vision. Working with multiple actors or stakeholders can be challenging and at times frustrating. However, it is more likely to succeed if those engaging in dialogue approach it with a positive attitude and optimism in the potential of collaboration.

- *What external actors would we like to approach to engage in dialogue?*
- *What are their interests and personal or institutional agendas?*
- *What are the key issues or plans that the community would like to discuss?*
- *What are our ultimate goals or aims that we would like to achieve through dialogue?*
- *What would be the most effective way to share our views? What are the advantages and disadvantages of different forms of communication (for example, PowerPoint presentations, films, slideshows, and prepared questions)?*
- *How could we tailor our approach differently for each specific actor?*
- *How long do we expect or would we like the dialogue process to take?*
- *Where should we hold the dialogue? Power dynamics often shift noticeably if discussions are held in the community or in a neutral location rather than in the other actor's office building.*
- *Who will participate on behalf of the community? How will the rest of the community provide input and feedback?*
- *How can we encourage an overall positive atmosphere and attitude that allows for creativity and innovation?*

Box 37: Guiding questions for discussion

Whether it's in the form of a single meeting or an ongoing series of interactions through a range of media, dialogue can significantly influence how your community is perceived and treated by external actors. In many situations, it may be a useful way to begin to balance power dynamics and address specific challenges or plans. Box 37 above outlines key considerations that your community may wish to discuss before and during the process. If the dialogue turns into a negotiation process toward a binding agreement, please see ***Part III: Section IV*** for more specific guidance.

Dialogue is just one approach that may or may not be suitable for your local context. Depending on past experience, you may have strong feelings about external actors such as government officials, researchers, and companies. If the community has had particularly negative experiences in the past, they may be unwilling to engage with them or highly doubtful that dialogue would improve the situation. Those actors in turn may feel apprehensive about working with communities, which may indirectly limit opportunities to achieve local visions and goals. These challenges are all too common and likely to increase with growing demand for scarce resources and lands. It is ultimately up to the community to decide whether and how they wish to engage with each external actor that affects their lives and territories or areas.

COMMUNITY EXPERIENCE:
Using Participatory Video as the Basis for Dialogue between Fishing Communities and Government Officials in Eastern Canada

Resource: Adapted from The Fogo Process: An Experiment in Participatory Communication (Quarry, 1994) See the Fogo Process films at the Memorial University of Newfoundland Digital Archives Initiative

One of the first participatory film initiatives was undertaken in the 1960s on Fogo Island, an isolated area off the northeast coast of Canada. Local fishing communities were suffering from high unemployment rates due to significant drops in fish productivity and became the target of a government resettlement programme against their will. They also had little local organization, few or no government officials, minimal access to information or communication media, and lack of confidence.

Determined to help show that these challenges can be overcome, two filmmakers worked with the local communities using what would come to be known as the "Fogo Process" to produce 27 short films from 20 hours of footage. Sharing the fishermen's stories through community screenings around Fogo Island illustrated the communities' shared concerns and opportunities to resolve them. The films were also shown to the provincial Premier and his cabinet Ministers, who then recorded responses for the fishermen from the government's perspective. It became a two-way process of sharing views and alternatives to resettlement. This led to the formation of an Island-wide producer's cooperative and a shift in government priority towards supporting the local economy rather than resettling the communities to the mainland. The Fogo Process became an internationally acclaimed prototype using media to promote dialogue and social change and has since been innovated upon by various communities around the world.

SECTION II

RAISING AWARENESS

Part of the strategy for putting your biocultural community protocol into practice may involve raising awareness within your and other communities and amongst the broader public. Sharing the protocol can be an empowering process in itself by affirming collective identity, clarifying relationships between the community's livelihoods and the environment, and seeking support for the issues raised. Many participatory communication tools such as video, photography, audio interviews, and theatre can be used for this purpose. Newer technologies such as social media can also be used alongside common forms of community organizing such as workshops and leaders' summits.

A. RAISING AWARENESS WITHIN THE COMMUNITY

KEY READING

- ✓ Part I: Section III/B2

KEY TOOLS

- ☑ Framework for research and action
- ☑ Activity monitoring table
- ☑ E-learning modules on relevant legal frameworks
- ☑ Forum theatre
- ☑ Image theatre
- ☑ Multi-stakeholder role play
- ☑ Identifying appropriate forms of resource mapping
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews
- ☑ Identifying relevant social media tools

The community is the source of and reason for developing a protocol. As many community members as possible should feel personally invested in putting it into practice, even if they were not directly or actively involved in its development. One of the top priorities should thus be raising awareness about the protocol within your own community in order to build broad interest and support. To build on internal cohesion, it is important to ensure that the community is largely united throughout the process of using the protocol. In some circumstances, those who developed the protocol may be a small subset of a broader community (for example, artisanal miners in the Alto San Juan community in Colombia). The community may even be a new group comprised of different ethnicities but with a common identity defined by a shared practice or profession (for example, traditional health practitioners in South Africa). Even in these situations, the broader communities of these distinct groups would benefit from involvement and mobilization around the protocol.

There are a number of ways to raise awareness within your community about the protocol and the issues therein. Suggestions for specific uses within the community are highlighted in Table 18 below, which builds on the tools outlined in ***Part I: Section IV/C***. When discussing which to use, consider different age

groups, ethnicities, and interests. Different forms of communication could be tailored to each and to the community as a whole. Youth in particular are often interested in the opportunity to use new technology such as cameras, recording equipment, and computers or to use their creativity to contribute to community events. Developing something physically tangible such as a poster or film and planning events can also help mobilize interest in and support for the broader aims of the community protocol.

Table 18: Tools for sharing information and raising awareness within your community

Communication Tool	What Can it Be Used for?	Questions to Consider
Printed or handmade materials (for example, posters, brochures, calendars, banners)	• Put together a binder with key facts, information, and contact details about the community protocol process • Hold a design competition amongst local youth • Make a banner for use in various community events • Compile a recipe book of traditional foods or medicines	• Is there any sensitive or confidential information that should not be documented in written form? • What equipment do you need access to (blank paper, sheet or canvas, pencils, markers, rulers, paint, adhesive tape or sticky tack, computer, printer)?
Social media	• Start a Facebook page or Twitter account to share updates about the protocol process • Post videos and photo stories on YouTube • Start an online petition	• Are there any concerns about online privacy? • How could personal identities be protected?
Maps	• Host a workshop to introduce or update a participatory 3-D model of the community's territory or area • Facilitate discussions between youth and elders about territorial boundaries and important resources	• Are there any boundaries, locations, or sites that are contested or confidential? • What equipment do you need access to (materials for sketch maps or 3-D models, satellite maps, GPS/GIS software, computer)?
Photography	• Organize a series of photography workshops and sharing sessions • Encourage teachers to incorporate photography into their lessons • Make a Photo Story or slideshow • Hold an exhibition in the community hall, school, or with local officials	• Are there any sensitive or confidential places or artifacts that should not be documented in photographs? • What equipment do you need access to (camera, batteries, film or memory card, computer or printing station)?
Video	• Document the process of using the protocol with video cameras • Work with local youth to edit the film and add narration and music • Hold a community screening or 'premiere'	• Do you have permission of the people in the film? Is there any sensitive or confidential information that should not be documented in film? • What equipment do you need access to (cameras, batteries, computer, projector, screen or white sheet, electricity)?
Theatre or role plays	• Develop a role play or skit with the main people who have been involved in the process of developing and using the protocol	• Where would you practice and hold a theatre performance or role play (community hall, school auditorium, sports field, under a

	and perform it for the whole community	tree)? • How would you involve community members who are particularly outgoing and skilled at performing?
Radio or audio recordings	• Interview the main people who have been involved in the process of developing and using the protocol, as well as key community members such as traditional leaders, teachers, and youth groups • Edit the interviews into a 'programme' that can be broadcast on radio or listened to on computers or handheld devices	• Who has an interesting story to tell? • How would you encourage the person to share the story in an engaging way? Consider developing some guiding questions before the interview • How would you represent different perspectives (men, women, youth, elders)? It is important to not only interview people who have the same opinions or perspectives
Cultural festival	• Organize a performance of traditional forms of dance and music related to your community's traditional knowledge and relationship with the environment • Work with local artists to hold an exhibition of traditional handicrafts • Set up stalls for sharing or selling traditional foods and medicines	• Who is particularly skilled at traditional dances, music, handicrafts, and foods? • How can you organize a festival that attracts the whole community and sparks renewed interest in traditional practices?

B. RAISING AWARENESS WITH OTHER COMMUNITIES

KEY TOOLS

- ☑ Forum theatre
- ☑ Image theatre
- ☑ Multi-stakeholder role play
- ☑ Identifying appropriate forms of resource mapping
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews
- ☑ Identifying relevant social media tools
- ☑ E-learning modules on relevant legal frameworks
- ☑ Activity monitoring table

Depending on the scope of the local situation, the community protocol may contain issues and information that are also relevant to other communities. For example, others from the same area probably share similar knowledge, traditions, resources, and lands. If so, they may also share similar visions or face common threats. It would thus be useful to raise awareness with other communities about the protocol and the strategy to put it into practice. They may be interested in developing their own protocol or providing further input to yours. They may also be willing to become actively involved in local campaigns and supporting efforts to engage with external actors, particularly concerning issues that affect them as well. This could be a beneficial addition to broader social mobilization efforts.

Any of the suggested tools in Table 18 above could be adapted to raise awareness with other communities. You could also organize activities to further enhance inter-community

- Facilitate an exchange visit to share positive experiences and peer learning
- Coordinate an inter-community congress to explore key issues and ideas for next steps
- Host a leaders' summit to discuss a joint agreement
- Organize a citizens' tribunal or public forum about a particular shared concern or threat

Box 38: Ideas for raising awareness between communities

understanding and engagement (see Box 38). Find out if any such activities have been done in the past and build on local insights and guidance about what worked well. Think ahead and plan accordingly for unique challenges and opportunities that may arise, including differences in language, literacy, ethnicity, social status, and class or caste. Try to understand and respect any pre-existing relations, dynamics, or procedures that guide engagement between members or leaders of different communities.

C. RAISING AWARENESS AMONGST THE BROADER PUBLIC

KEY TOOLS

- ☑ Activity monitoring table
- ☑ Forum theatre
- ☑ Image theatre
- ☑ Multi-stakeholder role play
- ☑ Identifying relevant social media tools
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews

In addition to building awareness about the protocol at the community level, you may wish to inform the broader public. This could be done by the community members themselves or by engaging with journalists and mainstream media. Facilitate a discussion about potential advantages and disadvantages (see Table 19) and agree collectively on the most appropriate way forwards.

Table 19: Potential advantages and disadvantages of raising public awareness about your community protocol

Potential Advantages	Potential Disadvantages
Public attention and interest in key issues	Inappropriate scrutiny of journalists
Attempts to reduce public's impact such as through more informed consumer choices	Unwanted presence of curious public or tourists
Public pressure on politicians and decision-makers	Inaccurate editing of stories or details
Tangible forms of support such as donations or human resources	Tendency of mainstream media to sensationalize information

The most common ways to raise awareness amongst the broader public is through mainstream media tools such as press releases, press conferences, interviews, and gaining coverage in local and national newspapers, radio, and television. See Box 39 for general tips for seeking media coverage. Where possible, establish connections with journalists who are sympathetic to your cause and who are willing to follow your community's story as news emerges. Engaging with mainstream media can be difficult, time consuming, and sometimes frustrating, but can provide a much-needed boost to public awareness about your community and the issues you are facing.

- Make the information newsworthy
- Present concise facts and be prepared to provide further information or answers
- Choose your location wisely – provide a visual background to the story
- Make it clear to the audience why the issue is important
- Ensure the first 10 words or 10 seconds are the most effective and attention-grabbing
- Provide contact details such as name, address, phone and fax numbers, email and web addresses
- Make it as easy as possible for journalists to follow up with your story

Box 39: Tips for seeking media coverage

In addition to mainstream media, communities are becoming more and more innovative with the use of social media such as blogs, Facebook, Twitter, and online petitions. You could also adapt other participatory communication tools for these purposes, including maps, theatre, photography, and radio (see Box 40). Please refer to ***Part I, Section IV*** for further guidance and ideas about the use of social media and other communication tools to raise awareness amongst the broader public.

- Host an exhibition in a public area and include community maps or 3-D models, posters, and photographs
- Screen a film that your community has prepared at a special event or local film festival and post it online on YouTube or Vimeo
- Record a series of interviews with key community members and external actors and edit them into a radio programme or podcast
- Prepare a skit or short play using participatory theatre methods and perform it in a public area or at a local event or festival

Box 50: Ideas for raising public awareness

Resources
Media Coverage (KnowHowNonProfit)
How to Organize Media Events (About.com)
How to Write a Killer Press Release (Friends of the Earth, 2007)
How to Write the Perfect Press Release for Journalists (journalism.co.uk)
A Guide to Organizing Community Forums (Community Catalyst, 2002)

SECTION III

ENGAGING IN DECISION-MAKING PROCESSES

There are increasing opportunities for Indigenous peoples and local communities to participate in public and private decision-making processes, including planning, implementation, and monitoring and evaluation. Biocultural community protocols can be used as the basis for engaging with these processes at all levels of government, as well as with companies and research institutions. The more communities participate actively in such processes, the more likely their ideas, concerns, and priorities will be enacted into law, policy, and practice

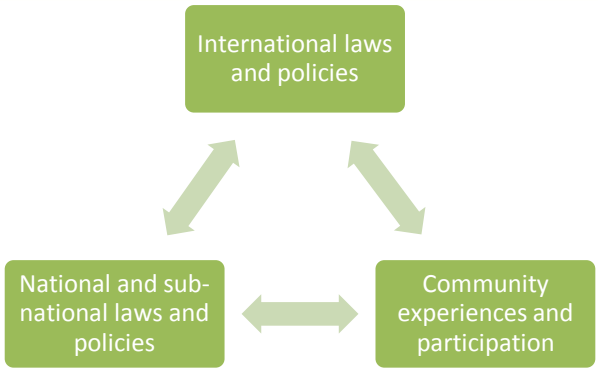


Figure 16: Feedback loop between communities and national and international processes

A. IMPACT ASSESSMENTS

KEY TOOLS

- ☑ E-learning modules on relevant legal frameworks
- ☑ Assessing key opportunities and threats
- ☑ Community wellbeing impact assessment worksheet
- ☑ Principles for public participation in impact assessments
- ☑ Activity monitoring table
- ☑ Framework for research and action
- ☑ Identifying key actors
- ☑ Understanding relationships between key actors
- ☑ Multi-stakeholder role play
- ☑ Identifying appropriate forms of resource mapping
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews
- ☑ Legislative theatre

One of the main ways for communities to participate in decision-making processes is through impact assessments. These studies are intended to assess the likely impacts of a proposed activity or project on a range of stakeholders and factors, including nearby communities and the environment (see Box 41 for examples). They also provide recommendations to the project proponent as to whether or not the project should be implemented and, if so, ways to prevent and mitigate the likely impacts.

There are several different kinds of impact assessments (see Figure 17). Many countries have domestic legislation for environmental impact assessments. Most companies and research institutions also have well-established policies and procedures for conducting environmental and social impact assessments. Cultural and wellbeing impact assessment are not often used by project proponents, but should be advocated for or undertaken by communities themselves.

- Large-scale extractive or development projects such as mines, oil reserves, dams, or highways
- Conservation initiatives such as national parks or forest reserves
- Business ventures such as monoculture plantations or tourist resorts

Box 41: Examples of proposed activities that require impact assessments

Despite these provisions, it is often difficult for communities to participate effectively due to externally imposed constraints. Assessments are often conducted by professional consultants hired by the project proponents and supporters, which are usually government agencies and companies. They tend to use Western scientific methods, sophisticated technology, and complicated forms of analysis. They rarely provide sufficient timeframes or appropriate types of information and often fail to sufficiently account for social and cultural considerations, including Indigenous worldviews, local languages, and customary authorities and systems of decision-making. If the consultants are hired by the same agency or company that is proposing the project, it is likely that the impact assessment will be biased and not fully representative of communities' concerns.

Figure 17: Types of impact assessments

Due to these concerns, some communities refuse to engage at all because they know that the project proponents will then approve of the project, having noted their 'participation', but regardless of what the community says. Other communities are proactively developing and conducting their own impact assessments and attempting to engage with project proponents in multi-stakeholder dialogues and negotiations.

Key Resources on Public Participation in Environmental Assessment Processes
A One-Stop Participation Guide: A Handbook for Public Participation in Environmental Assessment in Southern Africa (SAIEA, 2004)
Case Studies on Public Participation in the SADC Region (SAIEA, 2004)
A Legal Guide to Opportunities for Public Participation in Environmental Assessment Processes in the Southern African Development Community (SAIEA, 2005)

If your community is faced with an externally imposed impact assessment or has the opportunity to conduct your own, discuss the different options and approaches with the leaders and broader community and make a collective decision based on the local context and priorities. Before making a decision about whether or not you will engage in the process in the first place, consider the guiding questions outlined in Box 42 as well as the community experiences and tools described in the following pages.

- *What is the proposed project and who are the proponents?*
- *How much do you know about the project and its proponents? How can you find out more information?*
- *How would the community prefer to be notified about the proposed project and any impact assessments that will be conducted?*
- *How would your community and others in the area identify yourselves and your territories, areas, or resources that are likely to be affected?*
- *What mechanisms are proposed for the impact assessments and other forms of consultations? How can your community participate in the design and implementation of these mechanisms?*
- *How will the proposed project and assessments respect the community's rights to self-determination, self-governance, and free, prior, and informed consent?*
- *To what degree does the proposed project and assessment undermine or accord with the community's protocol and customary laws?*
- *How will the community's capacities and resilience be strengthened?*
- *What resources and forms of support and capacity building will be available to ensure community participation in the impact assessment?*
- *How will sensitive information such as traditional and local knowledge and the location of sacred sites be protected on behalf of the community? Who will have control over this information?*
- *How will the outcomes of the assessment be reviewed and disseminated?*
- *What is the proposed review and appeal process?*
- *If the project goes ahead, what will be the monitoring, contingency, and conflict resolution plans?*
- *Who will be responsible for issues relating to liability, redress, insurance, and compensation?*

Box 42: Guiding questions for discussion when faced with an impact assessment for a proposed project

COMMUNITY EXPERIENCE:
Communities Demand to be Involved in Impact Assessments for Proposed Massive Port Development in Lamu, Kenya

Resource: Save Lamu website

The Government of Kenya has recently proposed a multi-billion dollar port project in the northeastern district of Lamu. The port forms part of a massive infrastructure initiative known as the Lamu Port and Southern Sudan-Ethiopia Transport Corridor, which seeks to connect Lamu to Duala, Cameroon, through roads, railways, and pipelines. Lamu is an environmentally and culturally diverse region consisting of a range of islands (the Lamu Archipelago) that stretch across the coast of Kenya's mainland. The district boasts two UNESCO Man and Biosphere Reserves and the town of Lamu has been declared a UNESCO World Heritage Site for its historical and archeological wealth. There are a number of Indigenous peoples whose connection to the area dates back to the seventh century and who depend directly on the lands and waters of the Archipelago for their livelihoods, customary resource use practices, and cultural identities and traditions. The port project threatens to immensely impact the fragile ecosystem and communities alike. However, the communities of Lamu have been provided with little to no information concerning the proposed port and been excluded from consultations with the Government.

Figure 18: Save Lamu demonstration demanding land reforms and an environmental impact assessment for the proposed Lamu port
(Courtesy: Samia Omar)

This exclusion motivated them to develop a biocultural community protocol to highlight their strong cultural history and connection to the ecosystem, express the injustices they continue to face, and call on the government to address their concerns according to national and international law. Initially championed by one community-based organization, the process is now led by Save Lamu, a group of concerned residents that include representatives of over 30 community organizations, NGOs, and Indigenous peoples. Members of Save Lamu have formed sub-committees (including on writing, media, lobbying, and finances) to deal with all aspects of the process of developing and using the protocol. They intend to extend the process to include legal capacity seminars with local Kenyan lawyers. Community consultations, meetings, and discussions have taken place over several months in over 30 villages and towns throughout the district, often requiring Save Lamu committee members to travel long distances to meet with community representatives.

Based on this process, they have begun to engage in meetings with relevant stakeholders, including government representatives, to request disclosure of information and participation in fair environmental and social impact assessments. The communities have made it clear that they are not necessarily opposed to the port itself. Above all, they seek fulfillment of their right to full and effective participation in decision-making processes that affect them and the ecosystems upon which their cultures and livelihoods depend.

COMMUNITY EXPERIENCE:
Tanchara Community Responds to Gold Mining by Focusing on Wellbeing in Northern Ghana

Resource: Adapted from Ghanaian Community Protects Sacred Groves from Mining (COMPAS Endogenous Development Magazine, Issue 7, 2011)

Figure 19: Tanchara community members and staff of CIKOD survey the impacts of an illegal gold mine
(Courtesy: Bas Verschuuren/COMPAS)

In recent years, the Tanchara community of the Upper West Region of Ghana has been subjected to a number of illegal gold mining operations that have posed serious threats to the community's land, soils, drinking water, social security, and sacred groves and sites. The latest group of illegal miners was attracted by the prospecting of Azumah Resources Limited, which appeared to have received permission from the Ghanaian government without informing or seeking consent from the Tanchara community. In response, the local spiritual leaders and caretakers of the land (the *Tingandem*) came together to protest the illegal activities and to call upon the government to safeguard their sacred groves and sites from mining. Their main concerns are their lack of involvement in the decision-making processes that have led to the mining and the lack of respect for their right to provide or deny free, prior and informed consent.

The Tingandem and broader Tanchara community have been developing a biocultural community protocol to assert their rights under customary, national, and international law. With the long-term support of a local NGO, the Centre for Indigenous Knowledge and Organizational Development (CIKOD), the Tanchara have been using a number of endogenous development tools to strengthen local capacities and customary institutions and governance systems. They have also developed their own tool, the innovative Community Wellbeing Impact Assessment (see ***Part I: Section IV/A***), in direct response to the gold mining activities. By conducting their own impact assessment, they were able to focus explicitly on community-determined values and priorities such as education, health, and other spiritual, social-cultural, and material aspects of their ways of life.

On the basis of these initiatives, the Tingandem issued an initial joint statement to protest the illegal gold mining and were able to successfully drive them away. Since this was just a symptom of a deeper issue, the Tanchara community has begun to engage with external actors such as government officials in order to clarify community procedures and decision-making processes for any proposed activities that may affect their lands, sacred groves and sites, and livelihoods. Such actions are critical steps towards redressing the typical power imbalance between governments and companies as project proponents and communities as passive recipients of pre-made decisions.

B. NATIONAL AND SUB-NATIONAL LAWS AND POLICIES

KEY TOOLS

- ☑ E-learning modules on relevant legal frameworks
- ☑ Activity monitoring table
- ☑ Assessing key opportunities and threats
- ☑ Framework for research and action
- ☑ Identifying key actors
- ☑ Understanding relationships between key actors
- ☑ Forum theatre
- ☑ Multi-stakeholder role play
- ☑ Legislative theatre
- ☑ Identifying appropriate forms of resource mapping
- ☑ Community biodiversity registers
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews
- ☑ Identifying relevant social media tools

Every country has a number of national laws that are relevant to Indigenous peoples, local communities, and their territories and areas, including biodiversity, forests, agriculture, and protected areas. These laws and other relevant policies are developed through a range of decision-making processes such as councils or multi-stakeholder committees. They are implemented by specific government agencies, often through a number of subsidiary bodies at the sub-national and local levels. For example, India's *Biological Diversity Act* (2002) is implemented through the National Biodiversity Authority, State Biodiversity Boards, and local-level Biodiversity Management Committees (see Figure 20). Understanding the relevant frameworks in your country is a very important part of effectively using a biocultural community protocol.

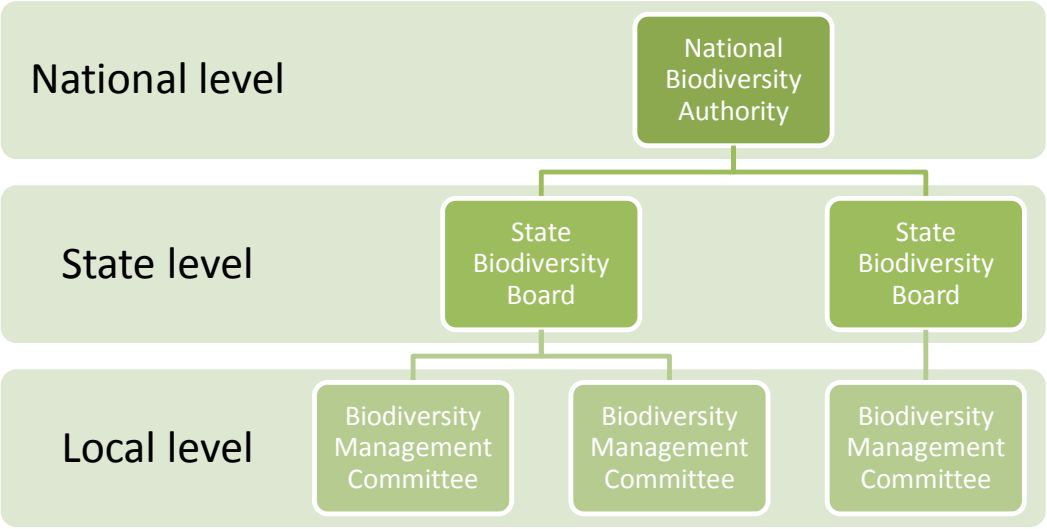


Figure 20: Government bodies established to implement India's *Biological Diversity Act* (2002) at the national, state, and local levels

Engaging with government can be very time-consuming and frustrating due to high levels of bureaucracy, lack of political will, and lack of understanding amongst government officials of community concerns.

However, Indigenous peoples and local communities have the right to participate in the development, implementation, and monitoring of laws and policies. Political pressure from civil society and international organizations is also helping government officials understand their obligations. Participating actively and constructively in decision-making processes can thus greatly influence national or sub-national policies that affect your and many other communities. Suggestions for how to connect with relevant government officials are outlined in Box 43.

- Identify the particular law or policy that you are interested in and find out what decision-making processes exist. Examples may include expert committees, multi-stakeholder committees, technical working groups, or management boards.
- Ask a local government official or search online for the contact details of the relevant national or sub-national focal point.
- Contact this person by phone, written letter, or email. Introduce yourself and why you are contacting him or her. Present your message clearly and concisely. Consider appending the community protocol and highlight any relevant government agencies or bodies referenced therein.
- Explain why you would like to participate in the decision-making process, how it would support your community's plans and priorities, and how it would help the process fulfill its mandate.
- If you receive responses, follow up promptly to thank them. Update them about local progress as well so they feel connected to and personally invested in the community.
- If you have the opportunity to attend a meeting, find out as much information as possible beforehand about when and where it will be held, who will be there, what the agenda is, and how you can participate. Dress professionally and arrive prepared to make interventions, provide recommendations, and ask questions.
- Overall, strive to develop positive and ongoing relationships with individual officials and relevant agencies – they have the potential to be highly beneficial in the long run.

Box 43: Suggestions for how to engage with government officials and decision-making processes

COMMUNITY EXPERIENCE:
Advocating for Livestock Keepers' Rights in South Asia and East Africa

Resource: Adapted from material provided by members of the LIFE Network
View the Declaration on Livestock Keepers' Rights (Life Network, 2010)

Pastoralist communities in India, Pakistan, and Kenya are using biocultural community protocols as a means to convey the importance of their breeds and ways of life to biodiversity conservation and to advocate for recognition of livestock keepers' rights. With the support of local NGOs and researchers, they are engaging with government officials and national committees in particular to promote fair agricultural and biodiversity policies for the *in situ* conservation of local livestock breeds and livelihoods. In Gujarat, India, for example, the Maldhari pastoralists are seeking urgent implementation of the *Forest Rights Act* (2006), which recognizes their customary rights to the Banni grasslands. As of early 2012, the state has yet to begin implementation of the Act. Furthermore, the state forest department has begun implementation of a working plan that prohibits livestock grazing in the grasslands. The Maldhari continue to advocate for the realization of their customary rights and recognized rights under Indian and international law.

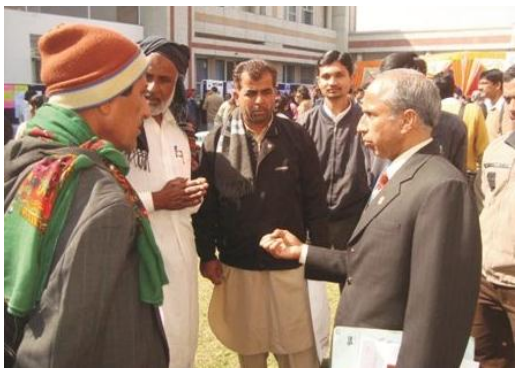


Figure 21: Pastoralists from Kachchh, Gujarat (India) conversing with a government official at a biodiversity symposium (Courtesy: Sahjeevan)

C. INTERNATIONAL LAWS AND POLICIES

KEY TOOLS

- ☑ E-learning modules on relevant legal frameworks
- ☑ Activity monitoring table
- ☑ Assessing key opportunities and threats
- ☑ Framework for research and action
- ☑ Identifying key actors
- ☑ Understanding relationships between key actors
- ☑ Forum theatre
- ☑ Multi-stakeholder role play
- ☑ Legislative theatre
- ☑ Identifying appropriate forms of resource mapping
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews
- ☑ Identifying relevant social media tools

There are a variety of international processes that affect Indigenous peoples, local communities, and their territories and areas (see Table 20 at the end of this sub-section). These processes involve negotiations between governments and result in international law, which is comprised of a range of legal instruments such as treaties, declarations, resolutions, recommendations, policies, programmes of work, and plans of action. Their implementation is supported by inter-governmental organizations such as the United Nations Environment Programme.

International processes can initially seem painfully slow and far removed from the daily realities of community life. However, they can have a large influence on individual countries' laws and policies, which in turn directly impact communities at the local level. It is thus critical for community members to participate strategically to ensure that the concerns and priorities outlined in their protocols are effectively represented. Engaging in international processes should be seen as a long-term investment that can yield potentially significant gains, particularly when these gains are actively used at the national and sub-national levels.

Figure 22: Overview of steps for engaging in international negotiations

There are a number of steps involved in participating in international processes, outlined in Figure 22 above. Since many community and civil society organizations that have gone through these steps before, you could connect with them to seek guidance and information about their experiences. After gaining

accreditation and funding, one of the most important steps is to participate in the process itself (see Box 44). The other most important step is to report back to your community and further develop a strategy for engagement in relevant international and national processes. The ultimate value of an international process is how its outcomes are used at the local level to positively impact communities and the environment. Draw on experiences with international processes to revisit the community's priorities and plans for putting the protocol into practice.

- Write a submission in response to a specific call for information. This submission will be considered by the Secretariat of the relevant process and potentially included in the information documents for Parties to consider during the negotiations.
- Attend coordination meetings and check in regularly with other community and civil society organizations. Within the Convention on Biological Diversity, the International Indigenous Forum on Biodiversity and the CBD Alliance are the main coordinating bodies.
- Help prepare and read the opening statement, interventions throughout the negotiations, and the closing statement. These require a good understanding of the issues and politics of the negotiations, background research, and discussion with other community representatives in attendance.
- Discuss your views with government representatives (known as 'Parties') and lobby them to support your position. In many intergovernmental negotiations, community and civil society organizations require a Party to officially support their statements or interventions. You will get to know which Parties are generally supportive of community concerns and which ones are generally obstructive.
- Host a side event to present a positive community initiative or collaboration, or to raise concerns or questions about an issue that relates to the meeting. Prepare flyers and circulate reminders over email and in coordination meetings to increase the number of people in attendance.

Box 44: Guidance for engaging in intergovernmental meetings

COMMUNITY EXPERIENCE:
Using Article 10(c) to Gain Recognition for Indigenous Peoples' Territories and Customary Sustainable Uses of Biodiversity

Resource: Adapted from material provided by the Forest Peoples Programme and South Central Peoples Development Association

In 2002 and 2004, Parties to the Convention on Biological Diversity requested practical information about and examples of sustainable use of biodiversity by Indigenous peoples and local communities. They also asked for advice on how best to implement Article 10(c). In response, Indigenous peoples, local communities, and supporting organizations (with coordination by the Forest Peoples Programme) began a project to document traditional practices and customary sustainable uses of biodiversity in Bangladesh, Cameroon, Guyana, Suriname, and Thailand. They also developed recommendations for effective implementation of Article 10(c) at the national and local levels, upon which they based a number of official submissions to the Secretariat of the Convention on Biological Diversity.

Figure 23: Kid James, a member of the Wapichan Indigenous community and South Central Peoples Development Association, speaking at a side event at the 7th Meeting of the Working Group on Article 8(j) in 2011

In 2011, representatives of the communities and supporting organization Forest Peoples Programme participated in an expert meeting on Article 10 with a focus on 10(c). They provided recommendations and guidance on a range of topics related to customary sustainable use, diverse local economies, and legislation and land and resource rights. They also attended the 7th meeting of the Working Group on Article 8(j), where they participated actively in the negotiations and hosted a side event. Their comprehensive approach contributed to the Parties' agreement to develop a Plan of Action on customary sustainable use.

The Wapichan, one of the Indigenous communities involved in the project, recently announced a proposal to conserve 1.4 million hectares of forest in their ancestral lands in south Guyana. This momentous proposal is based on over ten years of participatory mapping, land use planning, inter-community agreements, and community consultations and workshops, all of which are part of a long-standing effort to gain recognition of their customary land and resource rights. The Wapichan people are now using their comprehensive territorial land use plan and digital map as the basis for engaging with government officials in order secure their customary territory and livelihoods and realize international rights enshrined in the United Nations Declaration on the Rights of Indigenous Peoples and the Convention on Biological Diversity.

Resources on Customary Sustainable Use of Biodiversity	
Synthesis Paper (2011)	"Examples, challenges, community initiatives, and recommendations relating to CBD Article 10(c)"
Guyana Case Study (2006)	"Our territory, our custom: Customary use of biological resources and related traditional practices within Wapichan Territory in Guyana"
FPP Newsletter Article (2012)	"Wapichan people in Guyana present territorial map and community proposals to save ancestral forests"
Article 10(c) Expert Meeting Report (2011)	"Report of the Meeting on Article 10 with A Focus on Article 10(c) As A Major Component of the Programme of Work on Article 8(j) and Related Provisions of the Convention on Biological Diversity"

Table 20: Key intergovernmental and international processes relevant to Indigenous peoples, local communities, and their territories and areas

Forum	Key Processes and Meetings
UN Permanent Forum on Indigenous Issues	**Session** (annual)
Expert Mechanism on the Rights of Indigenous Peoples	**Meeting** (annual)
UN Convention on Biological Diversity	**Conference of the Parties** (biennial)
	Working Group on Article 8(j) and Related Provisions
	Working Group on Protected Areas
	Intergovernmental Committee on the Nagoya Protocol
	Subsidiary Body on Scientific, Technical and Technological Advice
	Working Group on the Review of Implementation
UN Framework Convention on Climate Change	**Conference of the Parties** (annual)
	Ad Hoc Working Group on Long-term Cooperative Action
	Ad Hoc Working Group on Further Commitments under the Kyoto Protocol
UN Convention to Combat Desertification	**Conference of the Parties** (biennial)

International Treaty on Plant Genetic Resources for Food and Agriculture	**Session of the Governing Body** (biennial or annual)
Commission on Genetic Resources for Food and Agriculture	**Session** (biennial)
	Working Group on Animal Genetic Resources for Food and Agriculture
	Working Group on Plant Genetic Resources for Food and Agriculture
	Working Group on Forest Genetic Resources
UN Forum on Forests	**Session** (annual)
International Union for Conservation of Nature	**World Conservation Congress** (every four years)
	World Parks Congress (every ten years)

SECTION IV

NEGOTIATING WITH EXTERNAL ACTORS

KEY TOOLS

- ☑ E-learning modules on relevant legal frameworks
- ☑ Activity monitoring table
- ☑ Assessing key opportunities and threats
- ☑ Framework for research and action
- ☑ Identifying key actors
- ☑ Understanding relationships between key actors
- ☑ Forum theatre
- ☑ Multi-stakeholder role play
- ☑ Legislative theatre
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews
- ☑ Identifying relevant social media tools

Negotiations generally lead to a binding agreement between parties. Certain issues or situations may require negotiation with external actors, for example:

- Setting out terms and conditions to adhere to when entering the community and/or accessing resources or traditional knowledge;
- Agreeing on monetary and non-monetary benefits to be shared; or
- Deciding where a development or conservation initiative can or cannot take place.

Although much can be gained through negotiation processes, communities are generally at a disadvantage due to significant power imbalances. Be particularly careful about with whom and why you are entering into negotiations. Take the time to find out information about the other parties involved and to consider your community's priorities and aims before agreeing to negotiate (see Box 45).

- *At what point will we feel 'fully informed'? What do we absolutely need to know?*
- *Who is involved in the negotiation process?*
- *What are the other parties' interests, priorities, rights, and responsibilities?*
- *What is the timeframe for negotiating and making a decision?*
- *What language will be used? Do we have access to adequate translation services if needed?*
- *What are my community's rights and responsibilities?*
- *Who will represent us? How will the rest of the community provide input and feedback?*
- *What outcomes would we like from the negotiation?*
- *What are our 'non-negotiables' or 'bottom-lines'?*
- *How would we handle a breakdown in negotiations or a drastic shift away from our priorities?*
- *Do we have access to legal support if necessary?*

Box 45: Guiding questions for discussion

Key Resources on Negotiating with External Actors
Negotiation and Mediation Techniques for Natural Resource Management (FAO, 2005)
Community-based Principles for Negotiating Water Rights: Some Conjectures on Assumptions and Priorities (Bruns, 2005)
The ABC's of Negotiation: An Advocate's Guide to Negotiating with Providers to Improve Access to Health Care Services (Community Catalyst, Inc., 2004)
Skills Development and Conflict Transformation: A Training Manual on Understanding Conflict, Negotiation and Mediation (UNDESA/UNDP and The Centre for Conflict Resolution)
IBA Community Toolkit: Negotiation and Implementation of Impact and Benefit Agreements (Gibson, O'Faircheallaigh, and the Gordon Foundation, 2010)

A. FREE, PRIOR, AND INFORMED CONSENT

Free, prior, and informed consent (FPIC) is a process. It is not a single moment or one-off event. At any stage of a negotiation, the community has a right to seek more information, say "no", or withdraw entirely. Do not feel pressured or obliged to enter into or continue negotiations if the community does not want to. The onus is on the project proponent to provide as much information as needed for the community to feel 'fully informed'. With reference to a proposed access and benefit sharing agreement, Figure 24 below illustrates that FPIC guarantees communities the freedom to engage in discussion or negotiations with other parties without providing their consent or entering into contractual agreements. FPIC is only granted if a final decision is made according to mutually agreed terms and conditions. At a more detailed level, the guidelines in Table 21 below illustrate the kinds of elements that can help ensure the integrity of an FPIC process.

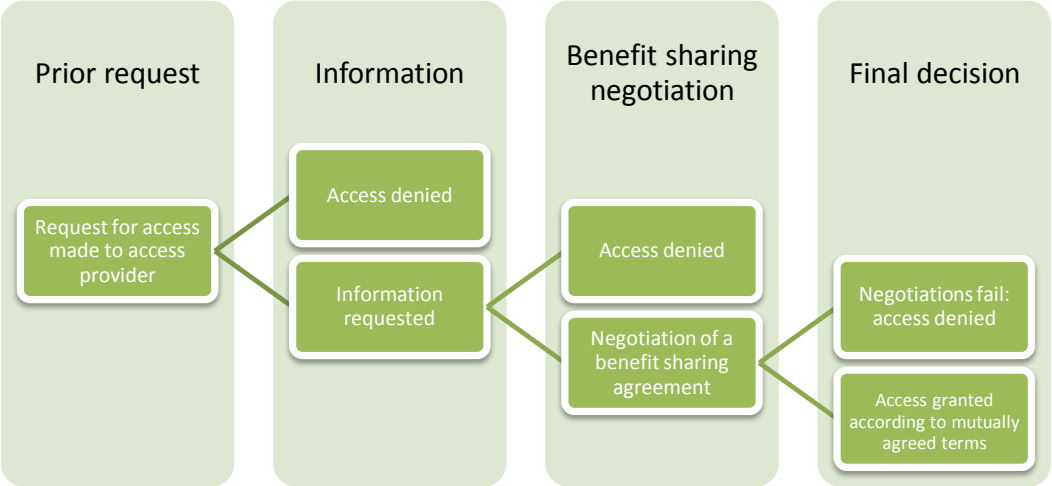


Figure 24: General stages in an FPIC process in the context of access and benefit sharing

Table 21: Guidelines on procedures for respecting the right to FPIC (Source: RECOFTC and GIZ, 2011)

Preparing for Engagement in FPIC	
Element 1	Map rights, rights holders, and land use
Element 2	Identify appropriate decision-making institutions
Element 3	Identify national support structures for rights advocacy
Element 4	Develop a process for seeking and obtaining consent

Element 5	Develop the content for consent agreements
Element 6	Agree on a communication plan
Element 7	Develop a capacity building strategy
Implementing a Process for Respecting the Right to FPIC	
Element 8	Integrate the right to FPIC with project or intervention design
Element 9	Ensure alternative information and independent advice
Monitoring and Recourse: Maintaining Consent	
Element 10	Monitor what is agreed in implementation
Element 11	Develop a grievance process
Element 12	Verify consent

Key Resources on Free, Prior, and Informed Consent
Guide to Free, Prior and Informed Consent (Oxfam, 2010)
Making Free, Prior and Informed Consent (FPIC) Work: Challenges and Prospects for Indigenous People (Forest Peoples Programme, 2007)
Free, Prior, and Informed Consent: Principles and Approaches for Policy and Project Development (RECOFTC and GIZ, 2011)
What is REDD? A Guide for Indigenous Communities (AIPP et al., 2010)
Understanding Community-based REDD+: A Manual for Indigenous Communities and A Manual for Indigenous Community Trainers (IWGIA and AIPP, 2011)

SECTION V

PREVENTING AND RESOLVING CONFLICT

A. UNDERSTANDING CONFLICT

KEY TOOLS

- ☑ E-learning modules on relevant legal frameworks
- ☑ Assessing key opportunities and threats
- ☑ Framework for research and action
- ☑ Identifying key actors
- ☑ Understanding relationships between key actors
- ☑ Forum theatre
- ☑ Multi-stakeholder role play
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews
- ☑ Identifying relevant social media tools

As with any human interactions, it is possible that the use of a biocultural community protocol may bring about some type of conflict. This is more likely if underlying tensions already exist or if the protocol is being used to address particular threats (see Box 46 for examples). Understanding conflict may help you prevent and overcome it in practice. Conflicts are often due to differences (perceived or otherwise) between groups or individuals, for example, differences in communication styles, in understanding of the issues, and in expectations of the process or outcomes. Addressing these differences proactively and in culturally appropriate ways may help you reach an agreement more effectively (see Figure 25).

- Disputes over land or resource ownership and boundaries
- Breaking of customary laws or local management rules such as protection agreements for grazing areas, fish net sizes, forests, or misappropriation of funds
- Disputes over the unfair distribution of work and profits, including jealousy over growing disparities and elite resource capture
- Conflict between Indigenous groups and more recent settlers or migrants
- Resentment over lack of representation or participation in decision-making
- Contradictory natural resource needs and values such as wildlife habitat protection or large-scale developments versus local livelihood security
- Cultural conflicts between community groups and outsiders, including from differences in aspirations and expectations
- Unwanted or inappropriate interventions and effects of NGOs or commercial companies

Box 46: Types of conflict or disputes related to natural resource management (adapted from Overseas Development Institute, 2000)

Figure 25: Three main factors that can help prevent and resolve conflict

Communities should strive to resolve conflicts through non-violent means, using alternative dispute resolution, and outside of the formal litigation (court) system. Although it is not impossible to win court cases, they take up enormous amounts of money, time, and energy and often do not result in favourable outcomes for communities. They also tend to disempower and dispossess communities from their own advocacy processes. Alternative means of dispute resolution provide an opportunity for communities to have more influence over the process and outcomes. Consider the guiding questions in Box 47 for a particular conflict situation that the community would like to address.

- *What are the agreed-upon ground rules for engagement?*
- *Are you seeking consensus, majority, or something else?*
- *Are you able and willing to resolve the issue amongst yourselves or do you require a third-party facilitator, mediator, or ombudsperson (see Box 48)?*
- *How familiar are you with the other parties' communication styles? How do you know when they are upset, confused, uninterested, willing to further an idea, or otherwise?*
- *How do you normally communicate important and sometimes emotional points to others? Consider how others may perceive your interventions and reactions and how different forms of communication might be more effective in different circumstances.*
- *Does everyone understand the issues being considered? If not, how can you support each other to access more information and understand each other's perspectives?*
- *What are your personal expectations of the process and outcomes of the engagement?*
- *What are the other parties' expectations of the process and outcomes?*
- *How will you know when you have reached an agreement?*

Box 6: Guiding questions for discussion

- ***Facilitator***: Helps set ground rules, promotes effective communication, encourages creative ideas, and keeps discussions on track.
- ***Mediator***: Neutral third-party, encourages careful listening and clear communication, makes no judgments, helps reach a settlement that is mutually satisfying to all involved.
- ***Ombudsperson***: Has authority to receive and help resolve complaints.

Box 7: Key terms

Key Resources on Conflict Prevention
Alternative Dispute Resolution Practitioners' Guide (Centre for Democracy and Governance, 1998)
Conflict Management in Community-based Natural Resource Projects: Experiences from Fiji and Papua New Guinea (Overseas Development Institute, 2000)
Training Manual on Alternative Dispute Resolution and Restorative Justice (UN Office on Drugs and Crime, 2007)
Consensus Building Institute

B. VIOLATIONS AND REDRESS

KEY TOOLS

- ☑ E-learning modules on relevant legal frameworks
- ☑ Legislative theatre
- ☑ Community wellbeing impact assessment worksheet
- ☑ Principles for public participation in impact assessments
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews
- ☑ Identifying relevant social media tools

Many communities are subject to negative experiences and human rights violations through interactions with external actors such as government officials, NGOs, researchers, companies, or private landowners. If this happens, the community must discuss the impacts and implications and decide how to respond. Although it may be difficult, the community should strive to be constructive, strategic, and non-violent. Appropriate reactions and responses will differ greatly depending on the local context, cultural sensitivities, and political dynamics (see Box 49 for ideas).

Reaching collective agreement within the community before taking action is generally better, even if it takes more time. Internal disagreement is likely to contribute to the overall conflict. Depending on their motivations and aims, external actors may even take advantage of those differences and deliberately further entrench the social rifts.

Some communities suffer serious abuses at the hands of the military or private security forces, particularly when trying to address heated conflicts over land and resources. If you or anyone in your community is being threatened or has been the victim of an attack (verbal, psychological, physical, or otherwise), please do not hesitate to notify relevant authorities to resolve the issue through customary or formal legal procedures. Health, safety, and wellbeing are of utmost importance. If you do require legal representation, seek a human rights lawyer with experience in supporting Indigenous peoples and local communities or addressing the particular issue you are facing.

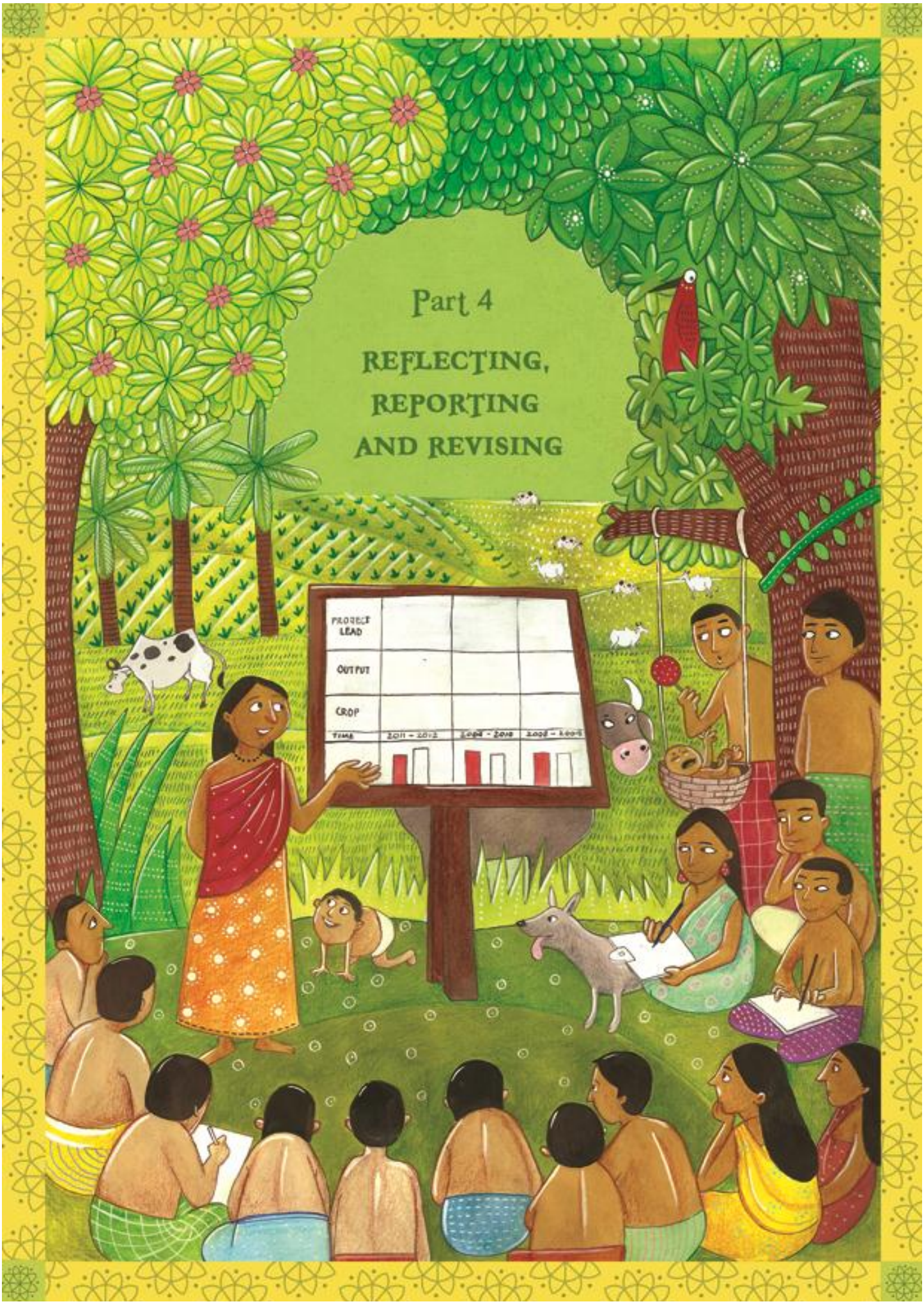
- Call emergency community meetings
- Inform the general public through print or online newspapers and social media
- Inform a human rights advocacy group or your national human rights commission
- Engage in mediated dialogues or negotiations with the offender
- Lodge a formal complaint with the offending organization
- Seek legal support from a pro bono lawyer

Box 8: Ideas for responding to human rights violations

Key Resources and Websites on Rights Violations
Indigenous Peoples Human Rights Defenders Network
United Nations Special Rapporteur on the Rights of Indigenous Peoples
Amnesty International
Human Rights Watch
Reporters without Borders
Global Witness

Part 4

REFLECTING, REPORTING AND REVISING



SECTION I

LOOKING INWARDS

A. PROCESSES AND CHANGES WITHIN THE COMMUNITY

KEY TOOLS

- ☑ Activity monitoring table
- ☑ Basic forms of measurement and illustration
- ☑ Most Significant Change stories
- ☑ Trend line analysis
- ☑ Assessing community capacities
- ☑ Community wellbeing impact assessment worksheet
- ☑ Forum theatre
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews

Developing a biocultural community protocol can be a transformative process, sparking new ideas about how communities can identify and organize themselves around a shared vision or in response to a common threat. Working with a number of allies to realize the rights, responsibilities, and priorities outlined in a protocol can also lead to unexpected insights and opportunities that may not have been evident before. Reflecting upon these processes can help illustrate some of the key changes, outcomes, and lessons learned to date.

There are many ways in which information can be measured and depicted. Consider brainstorming a number of issues that the community feels are important to reflect upon. For each issue, you could further brainstorm a list of questions to facilitate discussion about specific internal processes and changes relating to the protocol. Certain questions could be considered in greater detail, 'measuring' or illustrating them in clear ways to begin to assess the impact of the protocol process.

As a concrete (fictitious) example, several open questions set out in Box 50 below focus on the role of women in the development and use of the community protocol. These are guiding questions only and could be adapted to explore other issues relating to processes and changes within the community. Each question could potentially be explored using a different method and tool.

- *How did they participate in the decision-making process?*
- *How did the levels of interest and involvement change throughout the process?*
- *How did age affect the level of participation?*
- *How did they convey their views and priorities throughout the process? Did they discuss issues openly with men or only with other women?*
- *Did they adapt their daily schedules or routines in order to participate more?*
- *How has their involvement in the process affected their identity or social standing in the broader community?*
- *How has their involvement affected individual relationships and dynamics within their household or immediate family?*
- *Overall, do women feel more empowered or satisfied about their role in the community?*
- *Overall, do women feel that certain issues identified by the community protocol have improved, stayed the same, or worsened?*
- *What lessons have they learned or insights could they share with the rest of the community?*
- *What have the facilitators learned about how to appropriately involve women?*

Box 50: Guiding questions and the roles and involvement of women in the protocol process

COMMUNITY EXPERIENCE:
Using Most Significant Change Stories in Sri Lanka to Understand Community Wellbeing

Resource: Adapted from The 'Most Significant Change' Technique: A Guide to its Use (Davies and Dart, 2005) and material provided by Future In Our Hands, Sri Lanka

Figure 26: Gnanawathie from Therela village in Moneragal district said that becoming a trainer of traditional cultivation practices was the most significant change in her life (Courtesy: Future In Our Hands)

COMPAS partners in Sri Lanka knew that conventional planning tools that focus primarily on quantitative indicators were not sufficient to measure wellbeing (the holistic development of a community's material, social, and spiritual dimensions). They tested and developed Most Significant Change stories as a way to better understand people's realities and perceptions of wellbeing and endogenous development.

The technique involved systematic documentation of stories from a select number of community members. Twenty-four people were identified from the same community in which quantitative data was collected about COMPAS projects and interventions. In order to ensure representation across gender and generations, the group included four each of grandmothers, grandfathers, mothers, fathers, daughters, and sons. Each person was asked to explain the most significant change that occurred in their lives throughout the previous two to three years of project interventions. He or she was also asked to justify why that particular change was most significant. This process provided the space for community members to narrate their own experiences and express their views in an informal and open-ended manner.

The stories were read and discussed in detail by the field staff and management in order to understand individual perceptions of wellbeing. COMPAS partners also strove to understand the individual stories in relation to the broader worldview of the whole community. They engaged in lengthy discussions and actively learned more about the community's belief system and village history. This process elicited rich insights into people's perceptions of wellbeing, particularly spiritual dimensions that cannot easily be measured with quantitative indicators.

B. REPORTING BACK TO THE COMMUNITY

KEY TOOLS

- ☑ Activity monitoring table
- ☑ Basic forms of measurement and illustration
- ☑ Most Significant Change stories
- ☑ Forum theatre
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews
- ☑ Identifying relevant social media tools

Not everyone in the community will be directly involved in the development and use of a biocultural community protocol. Reporting back to the community is thus an important part of the overall process. If any of the local leaders are not actively involved, they should be regularly updated about what is happening so they can provide input and guidance wherever possible. They are invaluable supporters and sources of information, ideas, and encouragement. As the local authorities and decision-makers, they are also potentially powerful catalysts for mobilizing community action. In turn, they should feel integral to and personally invested in the process and outcomes of the protocol.

The community as a whole should also be kept informed about progress or setbacks and should have free access to further information from those who are involved. If any major changes, opportunities, or threats arise throughout the process or as a result of the protocol, there should be sufficient opportunity for the leaders and broader community to reconsider the situation and decide on the best way forwards (see ***Part IV: Section III***).

- Compile a binder with key facts, information, and contact details about the community protocol
- Organize a photography exhibition in the community hall, school, or with local officials
- Screen a short film or slideshow of photographs about how the protocol has been used to date
- Record audio interviews of main people involved in the protocol and edit them into a radio programme or podcast
- Develop and perform a role play or skit about the main issues in your community protocol and how you are working to address them

Box 51: Ideas for sharing information and experiences with your community

Reporting back to the community doesn't need to be restricted to formal meetings or workshops. There are a number of engaging ways to share information and experiences (see Box 51 as well as Table 18 in ***Part III: Section II/A*** for examples), each of which can be adapted to your local context and priorities. Think about the internal concerns or challenges described in your community protocol (for example, lack of youth interest in traditional culture or marginalization of medicinal knowledge). How could you use different tools to explain how the protocol is being used to address these challenges?

Consider the different age groups and interests and how you could tailor different forms of communication to each and to the community as a whole. Youth in particular are often interested in the opportunity to use new technology or to use their creativity to contribute to community events. Some people are outgoing and talented performers; they could prepare a community theatre performance or facilitate a role play. Developing something physically tangible such as a poster or film and planning events can also help mobilize interest in and support for the broader aims of the community protocol.

SECTION II

LOOKING OUTWARDS

A. PROCESSES AND CHANGES WITH EXTERNAL ACTORS

KEY TOOLS

- ☑ Activity monitoring table
- ☑ Basic forms of measurement and illustration
- ☑ Most Significant Change stories
- ☑ Trend line analysis
- ☑ Assessing community capacities
- ☑ Framework for research and action
- ☑ Identifying key actors
- ☑ Understanding relationships between key actors
- ☑ Forum theatre
- ☑ Multi-stakeholder role play
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews

Engagement with external actors is an essential part of putting your community protocol into practice. Monitoring and assessing this engagement over time can help you understand the efficacy of your efforts and how you might be able to adapt your strategy to make better use of these relationships. This could be done within the community as well as in collaboration with the external actors themselves. Seeking feedback about their experiences and perceptions of engaging with the community may provide interesting insights and lessons as well. Consider the key questions in Box 52 to explore interactions with external actors.

- *What external agencies or actors have you engaged with? What roles have they played?*
- *Overall, has it been a positive or negative experience? What factors have influenced this?*
- *What have they been particularly useful for or helpful with? How could you build upon these positive experiences to engage with them further?*
- *What has been challenging about working with them? How did or could you work to overcome these challenges?*
- *From their perspective, what has been the most rewarding part of engaging with the community? What has been the most difficult?*
- *What are the most significant changes that have resulted from these interactions? How do these changes relate to the issues and priorities in the community protocol?*
- *What is your vision or strategy for working with them in the future? How realistic is this given the previous experiences?*

Box 52: Guiding questions for discussion

These questions could be explored through open-ended discussions or using qualitative techniques such as Most Significant Change stories. They could also be measured or illustrated with quantitative tools. For example, you could score levels of 'satisfaction' or 'effectiveness' from very low to very high on a scale such as from 1 to 5, with facial expressions, or with another locally appropriate symbol or material. Tools such as Understanding Relationships between Key Actors could be used again to provide a comparison of changes over time

COMMUNITY EXPERIENCE:
Exploring Multi-stakeholder Partnerships in Lamu, Kenya
Resource: Save Lamu website

Figure 27: The Lamu community demanding information about the port project from Cyrus Njiru, Permanent Secretary in Kenya's Ministry of Transport (Courtesy: Samia Omar)

A multi-billion dollar port project in Kenya, part of the Lamu Port and Southern Sudan-Ethiopia Transport Corridor, has as many detractors as supporters. Although it is seen by some as an opportunity for investment in the impoverished region, it also threatens to immensely impact Lamu's fragile ecosystem and the traditional livelihoods and cultures of the Indigenous peoples and local communities. The port project also risks exacerbating current tensions over insecure land tenure, ongoing land grabbing, and the steep increase of internally displaced migrants settling in the area. Despite these issues, there has been very little dialogue between the Government of Kenya and the communities of Lamu.

A biocultural community protocol is currently being developed by a coalition of Indigenous communities in Lamu and their local organizations and leaders. The protocol aims to unite them in a call for transparency and participation in the decision-making process of the port project. It also seeks to engage with other stakeholders such as the government and new settlers in a dialogue process. With the support of facilitators, a number of tools will be used in 2012 to analyze multi-stakeholder partnerships. These tools will be used to reinforce engagement and interactions between the communities and other stakeholders on the basis of their protocol and to help evaluate the effectiveness and impacts of the protocol.

B. REPORTING BACK TO EXTERNAL STAKEHOLDERS

KEY TOOLS

- ☑ Activity monitoring table
- ☑ Basic forms of measurement and illustration
- ☑ Most Significant Change stories
- ☑ Forum theatre
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews
- ☑ Identifying relevant social media tools

In addition to reporting back to people within the community, it is important to report back to those outside of the community about processes and changes related to the community protocol. If you have worked with any external actors such as NGOs, volunteers, government agencies or officials, researchers, companies, or donors, consider what kinds of information the community would like to share with them and in what format. Examples can be drawn from Box 53 below or from Table 18 in ***Part III: Section II/A***.

Keeping external actors informed about what is happening and how they are contributing to the process can help them gain confidence in the community and their efforts. Actively seeking ways to involve them in accordance with the community's priorities and plans will help retain their interest in and support for the protocol and related initiatives. Overall, people who are generally in support of the community will respond positively to efforts to promote transparency, accountability, and mutual learning.

If there have been negative experiences with certain external actors, refer to ***Part III: Section V*** for more information about conflict resolution and addressing violations.

- An invitation to visit the community and meet with local leaders, elders, or youth
- A multimedia presentation, including participatory films, photographs, and stories of most significant change
- A formal written report, including quantitative and qualitative information about the processes and changes brought about through their support
- A jointly written press release or article in the local or national newspaper about your collaboration

Box 53: Ideas for sharing information and experiences with external actors

SECTION III

REVISITING AND REVISING THE COMMUNITY PROTOCOL

A. ASSESSING CHANGE

KEY TOOLS

- ☑ Framework for research and action
- ☑ Basic forms of measurement and illustration
- ☑ Most Significant Change stories
- ☑ Assessing community capacities
- ☑ Historical timeline
- ☑ Trend line analysis
- ☑ Community visioning
- ☑ Assessing key opportunities and threats
- ☑ Community wellbeing impact assessment worksheet

Reflecting upon processes and changes within the community and with external actors should elicit a great deal of information, insights, and lessons learned. You can use these to assess the overall changes and impacts that have occurred or arisen through the process of developing and using the biocultural community protocol.

Such changes or impacts cannot be solely attributed to the protocol alone. Consider other factors or events that may have positively or negatively influenced the process as well. Examples include individual personalities, improved access to information and communication technologies, changes in political administrations, extreme weather events, and market fluctuations. See Table 22 below for a fictitious example of how a basic assessment of changes could be conducted. Key questions suggested in Box 54 could be used as the basis for further exploration and assessment of change.

- *How effective was the community's strategy overall? What were the most and least effective elements and approaches?*
- *What are the most significant changes that have occurred throughout the process of developing and using the protocol?*
- *To what extent has the protocol had direct impact or influence on these changes?*
- *What other factors have impacted or influenced these changes?*
- *How have the changes occurred over time? Are there any trends or correlations with larger-scale changes or events?*
- *If certain desired changes have not yet occurred, what are some of the reasons or influencing factors? What progress has been made towards them in the meantime?*

Box 54: Guiding questions for discussion

Table 22: Fictitious example of a basic assessment of change arising from the development and use of a community protocol

Issue or Priority Outlined in the Protocol	Significant Change (positive, negative, or none)	Progress towards Change	Role of Protocol	Other Influencing Factors
Increase in local awareness of importance of traditional rice varieties	Positive	Four youth began apprenticeships with local plant breeders, completed school research projects on traditional varieties	Helped identify opportunities for youth, including through involvement of school teacher	Individual school teacher has interest in experiential learning and volunteers outside of school time
Increase in traditional livelihood opportunities	Positive	Women's handicraft cooperative established, using only traditional methods and materials	Women already wanted to set up a cooperative, protocol helped them clarify terms and conditions	Existence of niche market through up-market eco-resort industry
Government recognition of traditional rice varieties	No significant change	Held two meetings with government officials, rice varieties require certification	Catalyzed decision to meet with government officials and interest in farmers' rights	Recently acquired internet access in the community hall

B. REVISITING THE VISIONS, PLANS, AND STRATEGIES

KEY READING

- ✓ Part II

KEY TOOLS

- ☑ Community institutions sketch map
- ☑ Community decision-making calendar
- ☑ Community visioning
- ☑ Assessing community capacities
- ☑ Assessing key opportunities and threats
- ☑ Framework for research and action
- ☑ Identifying key actors
- ☑ Understanding relationships between key actors
- ☑ Forum theatre
- ☑ Image theatre
- ☑ Multi-stakeholder role play
- ☑ Identifying appropriate forms of resource mapping

As processes and dynamics within the community and with external actors change over time, the community may wish to revisit and revise the visions, plans, and strategies developed previously. The process of assessing change can help identify certain aspects to focus on (see Box 55).

- *Based on the assessments of change to date, what changes would the community like to see in the short-, medium- and long-term?*
- *Reflecting on what has been accomplished so far, how have the community's overall visions and priorities changed?*
- *Based on experiences with different activities and external actors, how would you revise the action plans and strategies for using the community protocol?*
- *Do you feel there is sufficient information and understanding about the impacts and outcomes of the protocol to date?*
- *How could you improve the monitoring and evaluation process?*

Figure 55: Guiding questions for discussion

C. REVISING THE PROTOCOL

KEY READING

- ✓ Part II

KEY TOOLS

- ☑ Assessing key opportunities and threats
- ☑ Framework for research and action
- ☑ Identifying key actors
- ☑ Understanding relationships between key actors
- ☑ Forum theatre
- ☑ Image theatre
- ☑ Multi-stakeholder role play
- ☑ Identifying appropriate forms of resource mapping
- ☑ Community biodiversity registers
- ☑ Participatory video
- ☑ Photo stories
- ☑ Audio interviews
- ☑ Identifying relevant social media tools
- ☑ E-learning modules on relevant legal frameworks

A community protocol should be seen as a living instrument to be updated and adapted over time and as significant changes occur. Depending on how much time has passed since the protocol was developed, the community may not feel the need to revise it if it still sufficiently conveys their visions, concerns, and priorities. Alternatively, if a significant change or event has occurred and if the process undertaken to document and develop the first version of the protocol was a relatively full and inclusive one, the community may wish to revise only specific elements of the protocol. If the initial protocol was developed relatively quickly in response to a major threat that has since been addressed, the community may wish to engage in a more in-depth process based on broader endogenous development visions and priorities.

See Box 56 for initial questions to facilitate the process. You may wish to use the same tools as before or try new ones.

- *How could the protocol be amended to reflect significant changes in the community's visions, plans, and priorities?*
- *How could it be amended in light of key insights and lessons learned throughout the process?*
- *Has any new information emerged that could be added to the protocol? For example, supporting the participation of typically under-represented members of the community may raise issues or areas of emphasis that were previously unaccounted for.*
- *Which tools and formats worked well and could be used again? Which tools and formats didn't work very well and could be improved upon or discarded?*

Figure 56: Key questions for discussion