

# COMMUNITY-BASED MANAGEMENT

## MODULE 3

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### 3.1 THE ROLE OF COMMUNITIES IN MANAGEMENT

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Ho Mun Project, Nha Trang, Vietnam

Cu Lao Cham MPA, Vietnam

Koh Kong Mangrove MPA, Cambodia

Cebu MPA, Philippines

## **Acknowledgements**

Information included this curriculum was drawn from the following documents:

The Philippine Coastal Management Guidebook No. 4, Involving Communities in Coastal Management, 2001; Managing Marine Protected Areas: A TOOLKIT for the Western Indian Ocean.

Francis, J., Johnstone, R., van't Hof, T., van Zwol, C. and Sadacharan, D. (editors). Training for the Sustainable Management of Marine Protected Areas: A Training Manual for MPA Managers. CZMC/WIOMSA.

## **OVERVIEW**

Community organization and mobilization is a critical process that is required to improve the capacity of the local community to participate in the MPA management planning and other decision-making processes. Effective MPA management is best accomplished by a participatory process of planning, implementing, and monitoring sustainable uses of coastal and marine resources through collective action and sound decision-making. Community-based or co-management approaches to MPA management are based on the principles of involving local coastal communities in managing the resources upon which they depend.<sup>1</sup>

Module 3 of the *MPA Management Capacity Training Program* focuses on the importance of community involvement and support in coastal and marine management efforts. You will learn a number of key strategies for protecting vital resources through a process that addresses, while helping to reverse, the following trends:

- Deteriorating coastal environments
- Loss of natural resources
- Increasing local poverty

## **IMPORTANCE OF COMMUNITY-BASED MANAGEMENT TO MPA MANAGEMENT**

Unlike land resources, marine resources are not easy to fence off and are often considered “common property” and available to all. Protection and management of these resources is extremely difficult without the support and cooperation of the stakeholder community. The management of marine protected areas (MPAs) will fail without the support and involvement of the local community—a participatory approach grounded in community-based management.

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<sup>1</sup> PH-4, White, A.T., L.Z. Hale, Y. Renard and L. Cortesi. 1994. Collaborative and Community-based Management of Coral Reefs: Lessons from Experience. Kumarian Press, West Hartford, Connecticut. 130 p.; PH-4, International Institute of Rural Reconstruction (IIRR). 1998. Participatory Methods in Community-based Coastal Resource Management. 3 volumes. Silang, Cavite, Philippines.

# COMMUNITY-BASED MANAGEMENT

## MODULE 3

### LEARNING OBJECTIVES

- ✓ Learn why and how communities play an important role in successful resource management
- ✓ Demonstrate a participatory approach to identifying, involving, and engaging stakeholders in MPA management

### LEARNING PRODUCTS

- *Stakeholders' Profile Matrix* that helps define stakeholder interest in MPA and how to involve them in the MPA development and implementation process
- *A timeline* with specific milestones/goals for stakeholder involvement

### FIELD APPLICATIONS

You will learn general skills for securing stakeholder involvement in building your implementation plan and experience real-life examples of how to develop and engage effective teams in MPA management.

This module introduces participants to community-based management in Cu Lao Cham MPA in Vietnam, in Koh Kong Mangrove MPA in Cambodia, and a MPA in the Philippines. We will take an in-depth look at the Hon Mun MPA in Nha Trang, Vietnam—one of 15 MPAs that has been designated by Vietnam's Ministries of Fisheries (MOFI). Typical communities living around Hon Mun are small island villages that are completely reliant on fishing for their livelihood. Consequently, the principal threats to Vietnam's coastal and marine environments include:

- Unsustainable fishing practices (e.g., overexploitation and dynamiting) and
- Poor water quality from pollution and sediment loading

These disturbing trends are also typically present in Chinese and Cambodian coastal communities that share the Southeast Asia ocean environment. The Hon Mun MPA ultimate project's success in reversing these trends in this community depends on the commitment of the local stakeholders—a commitment gained and maintained through an ongoing community-based participatory process.

## **LINKS TO OTHER EFFECTIVE MANAGEMENT AREAS**

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### ***Management Planning***

Community participation in developing a MPA management plan will help to ensure that the plan not only addresses the full range of biophysical, socioeconomic, and governance categories, but also engages local stakeholder support in implementing site-level activities—all of which contribute to successful short- and long-term outcomes.

### ***Zonal Management***

Community-based management relies on a participatory process involving the local community's collective agreement on and design of multiple use zoning plans that help to address and resolve resource use conflicts, such as establishing marine reserve (No Take) zones to protect marine and coastal ecosystems, while identifying areas for economic development.

### ***Responsible Fishing and Aquaculture***

Since coastal villages rely almost exclusively on fishing for their livelihood, community involvement is essential in planning, implementing, monitoring and enforcing responsible aquaculture practices that create healthy fisheries with long-term economic viability.

### ***Sustainable Tourism***

The planning of a sustainable tourism program needs to be a community-based participatory process that empowers local stakeholders to manage their own resources and cultural heritage, while contributing to marine conservation and providing tangible economic opportunities.

### ***Effective Communications***

To engage local community members in a participatory process and sustain their support MPA initiatives requires effective oral communication and presentation skills—whether in small community groups, at large controversial public meetings, or working with the media during the public issues management process.

## **INDICATORS OF EFFECTIVE COMMUNITY-BASED MANAGEMENT**

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While final and periodic program evaluation is an essential part of every MPA's management plan, an ongoing assessment of stakeholder involvement is critical to ensuring that the plan is meeting and can continue to meet key goals. In Modules 4, 5 and 6, you will learn how to build a management plan using a specific planning process.

## **COMMUNITY-BASED MANAGEMENT**

### **MODULE 3**

This approach to developing a MPA management plan involves a collaborative and participatory planning process with key stakeholders to identify program goals, an implementation strategy, and desired outcomes. Without the appropriate mix of stakeholders and their continued support, the MPA staff will be unable to implement the planned activities necessary to achieve desired outcomes.

Indicators should allow MPA staff to measure progress towards completion (or maintenance) of an established goal. Identifying goals, selecting performance measures or indicators, and measuring success related to stakeholder involvement should all be based on a participatory process. Evaluations should occur on a periodic basis and reflect the priorities of the MPA.

## LESSON PLAN

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### ***Exercise 3.1 – Icebreaker***

Divide into equal-sized teams (four to six people per team and not from your group). Each person writes down four facts about himself/herself, one of which is a lie.

- Each person takes turns reading his/her list aloud to the group.
- The rest of the team each writes the one “fact” he/she believes is a lie.
- After everyone has read their lists, the first person rereads his/her list and identifies the lie.
- The team members discuss how successful they were in guessing the lie.

### ***Discussion — Implementation Plan Progress***

Each team nominates one person to discuss the team’s progress during Day 2 in developing an implementation plan contract.

## **3.1 THE ROLE OF COMMUNITIES IN MANAGEMENT**

Current conditions of coastal and marine resources in Southeast Asia indicate a high level of degradation primarily from destructive fishing practices, overexploitation, siltation/sedimentation (i.e., stream bottom deposits), pollution, and habitat loss. These problems often result from a *de facto* open access system, lack of an integrated framework for coastal and marine resource protection at the national and local level, low level of public awareness, and economic hardships in coastal communities (Philippine Coastal Management Guidebook Series, Guidebook 1, *Coastal Management Orientation and Overview*).

Effective MPA management is best accomplished by planning, implementing, and monitoring sustainable uses of coastal resources through collective action and sound decision-making. A community-based participatory approach is fundamental to a successful MPA since local community members who are dependent on coastal resources are often the most committed and conscientious trustees of those resources if they receive direct benefits from their efforts.

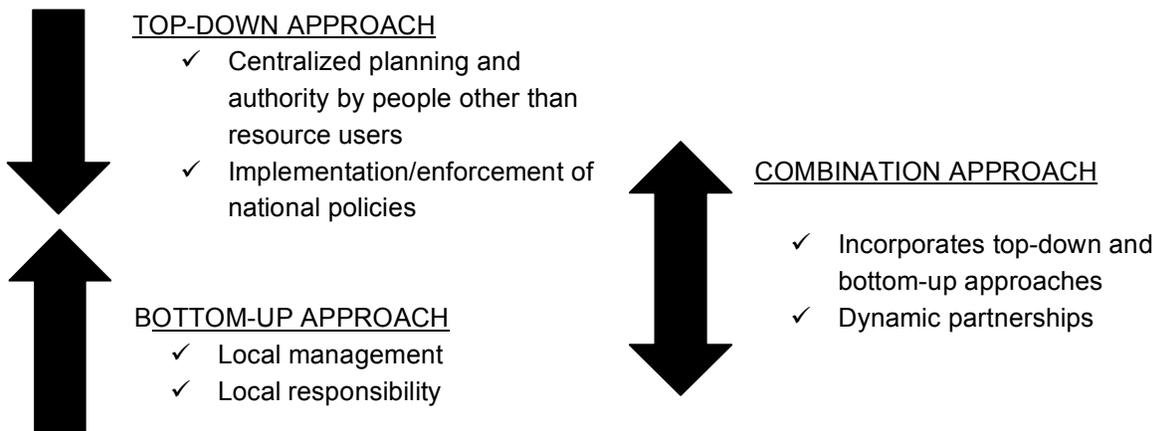
# COMMUNITY-BASED MANAGEMENT

## MODULE 3

### Three Management Approaches

All management strategies consist of either a top-down, bottom-up or combination approach.

- **A top-down approach** — When people other than the resource users make decisions about managing resources and enforcing rules. For example, government departments make all the decisions and rules about the resources.
- **Bottom-up or combination approach** — When people who are directly affected by resource use are involved in decision making and managing the resource. For example, fisher people would be involved in making decisions about the rules that affect them.



Here is how the following three types of coastal management apply to these three management approaches.

1. **Integrated coastal management** — Integrated coastal management (ICM) is a “top-down” approach that is characterized by centralized planning and authority. This approach ensures that decisions are consistent with the national legal and jurisdictional framework for coastal management. ICM has many purposes and addresses the connections between development, human activities, biophysical processes, and sectoral activities in inland areas, coastal lands, coastal waters, and offshore waters.<sup>2</sup> ICM, when effective, provides a supporting framework for community-based and collaborative approaches.

<sup>2</sup> PH-4, Clark, J.R. 1996. Coastal Zone Handbook. Lewis Publishers, Boca Raton, Florida, 694 p.; Cicin-Sain, B. and R.W. Knecht. 1998. PH-4, Integrated Coastal and Ocean Management: Concepts and Practices. Island Press, Washington, D.C. 517 p.

2. **Community-based coastal resource management** — In contrast to centralized planning and authority, community-based resource management is a bottom-up approach that involves local resources users and community members in active management and responsibility for coastal resources. The bottom-up approach assumes that local users, if given responsibility for their resources will manage their resources in sustainable ways and enforce community-derived rules. Bottom-up approaches evolved in response to the failure of more centralized approaches and with the recognition that local management may be more effective than a top-down approach.<sup>3</sup>

***Community-based management is consistent with the tenets of co-management—described below—since government is always involved in the management process.***

3. **Collaborative or co-management of coastal resources** — Co-management or collaborative management incorporates both a top-down and bottom-up approach. It describes in reality most management processes by which governments (especially local governments) share responsibility and work together in dynamic partnerships. This collaborative process is based on the participation of all individuals and groups that have a stake in the management framework. Social, cultural, and economic objectives are an integral part of the management framework. Government retains responsibility for overall policy and coordination, while the local community plays a large role in day-to-day management.

***Co-management also creates the opportunity to take advantage of scientific and technical knowledge (often from outside the community) and local or traditional knowledge within the community). The former brings the rigors of the scientific method from government agencies and research institutions; the latter contributes site-specific and historical information, customary practices, and traditional values that add local experience and an important social dimension to the MPA planning process.***

The trend in MPA management is in fact to become more integrated across habitats and sectors, and more focused on community-based or local-level management rather than centralized approaches.<sup>4</sup>

<sup>3</sup> PH-4, Christie, P., A.T. White. 1997. Trends in Development of Coastal Area Management in Tropical Countries: From Central to Community Orientation. Coastal management 25: 155-181.

<sup>4</sup> PH-4, Christie and White 1997; Cincin-Sain, B. and R.W. Knecht. 1998. Integrated Coastal and Ocean Management: Concepts and Practices. Island Press, Washington, D.C. 517 p.

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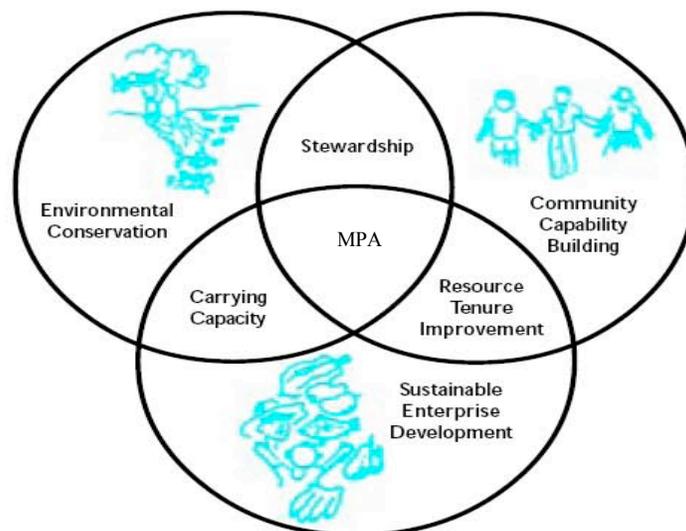
## MODULE 3

### **Discussion – Different Approaches**

The group will share their experiences or ideas about different management approaches.

- Based on your MPA or any other situation, explain when one approach might be better than another.

In all cases, equity, respect for traditional knowledge, gender fairness, and empowerment of local resource users are also important components of a participatory community approach as noted in the figure below:<sup>5</sup>



Adapted from: components of community-based resource management

### Handout 3.1: Glossary of Terms

### **Levels of Community Involvement**

#### **Discussion — Define Participation**

To open this section, please define “participation” within each of your groups.

*Participatory approaches encourage shared decision-making, cooperation, collaboration, mutual respect, confidence building and empowerment. Through incorporating such elements into all levels of developmental activities, communities, districts and ministries become more engaged, informed, and responsible for their own sustainable development. Such an approach builds capacity, increases learning and strengthens participant ownership of the constructs and strategies underlying project activities.*

<sup>5</sup> PH-4, International Institute of Rural Reconstruction (IIRR). 1998. Participatory Methods in Community-based Coastal Resource Management. 3 volumes. Silang, Cavite, Philippines.

*Handout 3.2: Attributes of a Participatory Approach*

**Exercise 3.2 – Hypothetical Situations**

Review the hypothetical situations in your handout with your group and discuss the following:

1. What groups or individuals were involved in the project activities described in each situation?
2. In what ways were they involved?
3. What were (and might be) the benefits of their involvement?
4. What problems might arise in the future?

*Handout 3.3: Hypothetical Situations*

As illustrated by the discussion on these four hypothetical situations, participation is a continuum.



**3.2 FRAMEWORK FOR COMMUNITY PARTICIPATION**

**Exercise 3.3— Facilitation Skills**

1. Form small teams and appoint one team member to be the facilitator.
2. Imagine your team is responsible for managing an island.
3. Form two groups of stakeholders: one group attempts to manage this island for economic benefit and one group attempts to manage this island for ecological benefit.
4. The facilitator will then discuss with the group the issues that surfaced and how the team dealt with them.

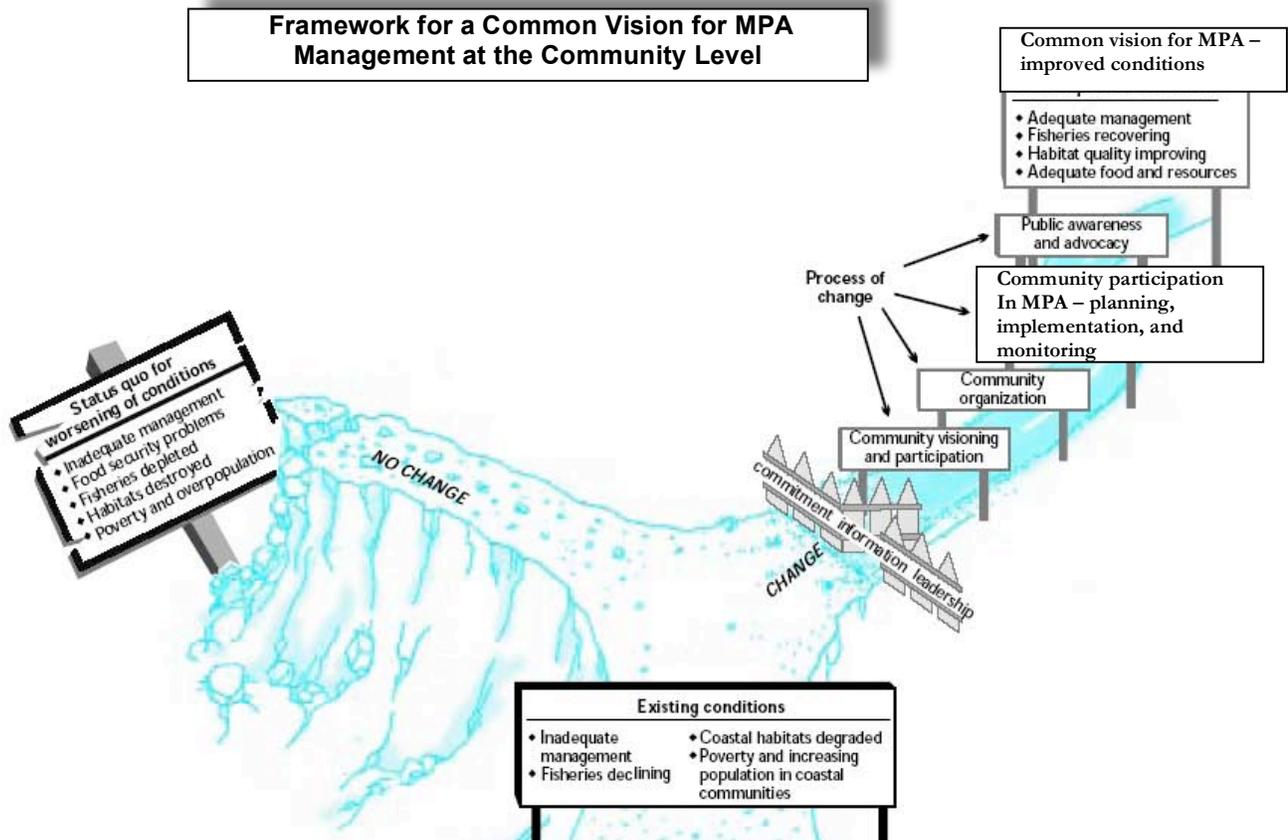
Community-based approaches strive for active participation of the local community in MPA management and are flexible enough to allow for each community to develop management that meets its needs.

A general framework<sup>6</sup> for community involvement in MPA management is displayed below. Without leadership or commitment to change, existing conditions will remain, or more likely, get worse over time. A strong commitment to effect change, an understanding of the problem, and leadership are required to help communities initiate the process required to change their situation.

<sup>6</sup>Adapted from: PH-4. 2001, Involving communities in coastal management. 9 p.

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### Major Activities for Community Involvement

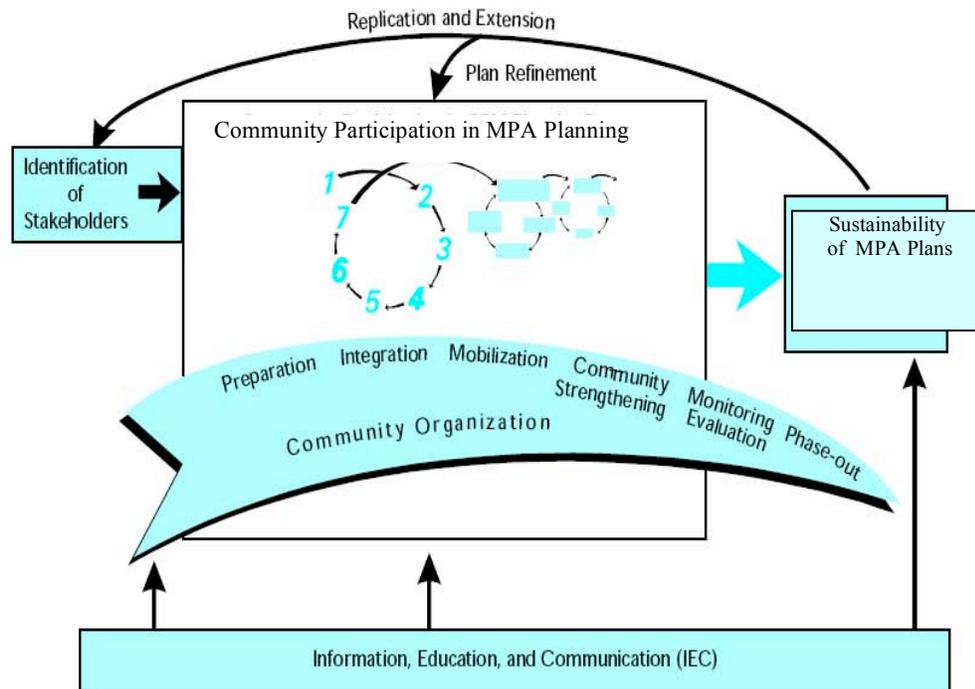
Here are the major activities required to involve communities in the MPA management process:

- **Identifying stakeholders and forming partnerships.** The first step in community-based or co-management approaches is to identify key stakeholders and potential participants.
- **Community organization and mobilization.** Stakeholders are more accessible and have more opportunities to be involved if they are organized. The community organizer can help local community members increase their level of participation. The non governmental organization or local government unit can assist the community in identifying an appropriately trained community organizer.
- **Community participation in the planning process.** The community will be better able to participate in the planning process with the help of an experienced community organizer. At the local level, the MPA planning process begins the creation of a coastal environmental profile. Community participation is important to the MPA planning and

implementation process—particularly the development and adoption of a management plan. A local ordinance helps to formalize the MPA plan within the community; the MPA applies best-management practices in implementing the plan; and ongoing monitoring/evaluation ensures that the plan continues to meet community-defined goals.<sup>7</sup>

- **Information, education and communication.** To raise public awareness and to promote the goals and strategies of MPA plans, it is essential to have information, education and communication initiatives through the MPA planning and implementation process.

Rather than conducted separately or sequentially, these activities are integrated as displayed below:<sup>8</sup>



The module focuses on how to identify stakeholders and to gain the skills to engage them in a participatory process.

<sup>7</sup> PH-4, White *et al.* 1994.

<sup>8</sup> Adapted from: PH-4. 2001, Involving communities in coastal management. 10 p.

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#### Who is the Community?

Since stakeholders are drawn from the “community,” understanding what defines a community is the first step in stakeholder identification. The community is not an undifferentiated whole, but comprised of people of different economic classes, clans or family groups, ethnic groups, gender groups, and special interest groups. Every community is different and includes many groups involved directly or indirectly with coastal resources, such as subsistence-level fisher people, commercial fisher people, farmers, and those involved in transportations and tourism.

Efforts to involve the community should recognize and respect these different groups and the diversity of groupings within the community. In addition, MPA staff should consider and address two different definitions of community in promoting the MPA planning process:

- **Geographical community** — the people within a specific geographical area
- **Functional community** — a group of individuals and families who may not be living in the same geographical area but who share significant aspects of common life, such as customs, manners, traditions, and language.<sup>9</sup> An example of a functional community could be groups who share common concerns and practices like fisher people and farmers.

In a larger sense, people who live in the area and depend on coastal and marine resources, representatives of government, and representatives of NGOs are all part of the community and play key roles in planning and implementing the MPA plan. All the community members have some stake in the coastal zone or marine resources, but are not always equal participants in the MPA planning process.

### 3.3 STAKEHOLDER IDENTIFICATION AND INVOLVEMENT

Stakeholders in MPA decision-making can be defined as individuals or groups involved, interested in, or impacted (positively or negatively) by coastal and marine resources and their uses. In coastal communities, stakeholders may include local residents and fisher people, as well as members of fishing cooperatives, women’s groups, the local business sector, non-governmental agencies (NGOs) and representatives of government agencies. Identification of stakeholders is an inventory process of all persons, groups and subgroups, organizations and institutions that will be involved in the MPA project or planning process. Not all stakeholders have

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<sup>9</sup> Marasigan, R.R., M.S.L. Hamili and A.N. Miclat. 1992. Working with Communities: The Community Organization Method. National Association for Social Work Education, Inc., Manila. 173 p.

the same “stake” or level of interest in coastal and marine resources and may be less active or not active at all.

*Handout 3.4: Levels of Stakeholder Involvement*

**Key Participants in MPA Management**

Key participants in MPA management at the local level include:

- **Local community-level partners** — residents of the area who directly or indirectly use or have an impact on resources and are often represented by community-level organizations such as People’s Organizations and local non governmental organizations (NGOs).
- **Government partners** — Local government and representatives of regional or national agencies that have functions related to resources in the area.
- **Resource management organizations** — Collaborative resource management boards or councils that include government and community representation.
- **Other partners** — National and international NGOs, aid agencies, and research or educational institutions contribute important technical advice and funding.

**Key Definition: MPA Stakeholder**

Group and individuals who are directly or indirectly affected by the objectives and implementations of an effort — a project or program involving protected areas. They could be implementers, recipients of benefits, advisors, managers, and are all responsible for MPA-related project results and sustainability.

***Exercise 3.4 —Identify Stakeholders***

The objective of this exercise is to put into practice a participatory approach to identifying key stakeholders and to begin considering ways to involve them in the management of MPAs.

- Discuss and identify the threatened resource(s) in your MPA.
- Identify as many “stakeholder” groups or individuals for your project (keep in mind the list your group just developed for communities) and list them on your worksheets. Also discuss the role each stakeholder might play based on his/her interests.
- Use the colored circles provided by your instructor to represent different stakeholders or stakeholder groups. Match circle size to the relative interest of the stakeholder. The larger the circle, the greater the interest.
- Glue circles to the flip chart paper provided by your instructor.
- Each group will have 10-15 minutes to present.

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Stakeholder	Interest in MPA	Role in MPA	How to involve

### 3.4 COMMUNITY ORGANIZING AND PARTICIPATORY MANAGEMENT APPROACHES

The success of MPAs can often be attributed to well organized communities that have been empowered to be responsible for managing and protecting their coastal resources. The active participation of people in a community is the essence of community organization; people have to be organized before they can participate in a substantial manner. Community organization is a process that uses interactive and participatory problem-solving techniques, capacity building, and empowerment of the community members to identify problems and find solutions to coastal and marine resource issues.

#### ***Discussion — Community Organization Process***

Refer to the hand out displaying the phases of the community organization process. Discuss the following questions with your group:

1. What is the basis for action in your community?
2. Who might be a community organizer in your community?
3. Who are some community leaders you would involve in the integration phase?
4. What might be some examples of alternative livelihood projects that are more sustainable for your community?

*Handout 3.5: Phases of Community Involvement*

#### **Participatory Techniques**

#### ***Discussion — Sharing Participatory Techniques***

- What are some the techniques or tools you use in your MPA to bring the community together?

A variety of participatory techniques such as workshops, discussion groups, and seminars can be used to help organize the community, identify issues of concern and important stakeholders, and identify potential leaders in coastal and marine resource management.

Here is a list of commonly used techniques:

- **Natural group or informal interviews** — Casual conversations with groups of people in their natural surroundings. This technique provides a broad overview of key issues.
- **Focus group interviews** — Semi-structured discussions with groups of people with common interests or characteristics. Participants are chosen either using statistical or non-statistical sampling methods (e.g., cross-section of ages, different villages). These techniques are useful for identifying and describing group perceptions, attitudes and needs.
- **Semi-structured interviews** — Interviews using a checklist of topics instead of a detailed questionnaire. The interviewee is encouraged to speak generally on each topic without interruption by the interviewer, who may prompt on items that have been overlooked. This technique enables unforeseen topics to surface.
- **Brainstorming sessions** — A facilitated discussion that is used to identify problems and issues in the community. The purpose of a brainstorming session is to encourage members of the community to think creatively about a particular topic and generate new ideas and opinions. The facilitator writes down all the ideas as they arise and does not encourage lengthy discussions of each one.
- **Observational walks and boat trips** — Undertaken by a group of local people and useful for identifying social, environmental and livelihood issues, and evidence of degradation. This technique often helps local community members to get a new perspective on resources.
- **Participatory mapping** — Large sketches of the local area created with local materials. These maps are discussed in a group and used to gather data on both natural resources and social issues, and to encourage stakeholder involvement. Data can be incorporated into more formal maps through GPS recording.
- **Venn diagrams** — The use of overlapping shapes to illustrate and summarize relationships, conflicts and issues among stakeholders. Stakeholder groups can draw or use pre-cut shapes. The final overlap is captured by the interviewer. This technique can be used during a focus group.
- **Gender analysis** — The study of gender relations and how they might be affected by an intervention, either during the establishment of a MPA or if a new female is introduced into the group.

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Many of these techniques can be used to develop a **Participatory Coastal Resource Assessment** (PCRA), which is particularly useful in showing community resources and their condition. The following table displays how various participants in the MPA planning process might apply some of these techniques.

<b>Issue identification and baseline assessment</b>		
	<b>Roles</b>	<b>Participatory Tools and Approaches</b>
<b>Community/People's Organization (PO)</b>	<ul style="list-style-type: none"> <li>• Provide information</li> <li>• Participate in community meetings/discussions</li> <li>• Attend training for PCRA and participate in field assessment and community mapping activities</li> <li>• Communicate to bigger community what is going on</li> </ul>	<p>List of issues</p> <p>Semi-structured interviews/Group interviews</p>
<b>Local Government Unit (LGU)</b>	<ul style="list-style-type: none"> <li>• Locate and provide existing source of secondary information (maps, data, etc)</li> <li>• Compile existing plans, agreements, laws</li> <li>• Begin to develop information storage and retrieval system</li> <li>• Provide logistics support, information, training, and staff to conduct of PCRA</li> <li>• Contract special research studies</li> <li>• Compile coastal environmental profile</li> <li>• Participate in setting priorities and resolving conflicts</li> </ul>	<p>PCRA: resource mapping, diagramming, transect walk</p> <p>Small-scale fishery surveys</p> <p>Surveys of commercial fish landings</p>
<b>Non-governmental Organizations(NGOs)/Private Sector</b>	<ul style="list-style-type: none"> <li>• Locate sources of information</li> <li>• Help community identify issues; interject outside perspectives and research findings</li> <li>• Form networks and alliances to reach stakeholders</li> <li>• Conduct specialized research</li> <li>• Assist in training, conducting, and writing profile</li> <li>• Distribute coastal environmental profile</li> </ul>	<p>Socioeconomic surveys</p> <p>Community transect map and PCRA resource map</p>
<b>Community Organizer (CO)</b>	<ul style="list-style-type: none"> <li>• Help community identify issues</li> <li>• Facilitate the whole PCRA process</li> <li>• Identify and train core groups for PCRA</li> <li>• Leverage with LGU leaders to provide logistics support to the conduct of PCRA</li> <li>• Tap expertise to provide training and technical assistance in the conduct of PCRA analysis of data by community</li> <li>• Form a technical working group representing community and multi-sector groups to write the profile</li> </ul>	<p>Mangrove assessment and monitoring</p> <p>Detailed resource survey methods</p>

**Exercise 3.5 — Create a Timeline for Stakeholder Involvement**

1. Refer to your group's chart listing stakeholders and their link to the MPA. Decide on six or fewer stakeholders to focus on during this activity. For your real-life MPA you would want to address all stakeholders.
2. Create a timeline that illustrates the past involvement of key stakeholder groups in the project area and future involvement in the MPA.
  - *Take one or two sheets of flip chart paper and draw a line on it. Identify which stakeholder groups would have had the earliest involvement in the project area.*
  - *Write that group and the time (year/month/season) above the line at the beginning of the line.*
  - *Beneath the name of the stakeholder group and the time, write what their role or type of involvement was.*
  - *Continue to complete your timeline showing stakeholder involvement up to the present time.*
3. When you have completed the timeline, you should have all stakeholder groups listed above the line and their time of involvement. Beneath the line should be their roles. Indicate whether their involvement was continuous or sporadic. Also indicate if their roles or interests changed over time.
4. Prepare to present your timeline to the group.

**3.5 CASE STUDIES: VIETNAM AND CAMBODIA**

A representative from the Hon Mun Pilot Program will present on his MPA. His presentation will be followed by presentations by representatives from Cu Lao Cham MPA, in Vietnam and Koh Kong Mangrove MPA in Cambodia, respectively. You will also learn about the Cebu MPA in the Philippines.

**Exercise 3.6 — Comparative Approaches to Management**

1. Break into your teams and review the three case studies and compare and contrast each one's approach to management.
2. Be prepared to discuss your team's analysis with the group.