

Assessing Landscape Governance

A Participatory Approach



MANUAL



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1. Draft budget for the assessment workshop
2. Landscape description template
3. Draft agenda of the assessment workshop
4. Draft PowerPoint for the assessment workshop
5. Protocol for privacy and the use of data
6. Reflection questions for the assessment workshop
7. Scoring calculation template (in Excel)
8. Scorecards
9. Assessment report template

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Introduction

In any landscape, the interests of stakeholders can both connect and conflict, often at the same time. Landscapes are multi-functional geographical areas where various stakeholders and their interests are connected through ecological and socio-economic relationships, such as a common pool resource that several groups depend on. At the same time, landscapes are often a place where various claims on the land overlap and conflicting interests exist.

Landscape governance relates to how various interests in the landscape are balanced in decision-making and how the rules stimulate the sustainable management of the landscape resources. To achieve sustainable landscape development, it is therefore key to understand how governance processes are organized, and how this influences the decisions and behaviour of the actors in the landscape.

In recent years, there has been rising interest and growing investments in integrated landscape initiatives. These initiatives often include elements that address governance processes by seeking to understand and improve the rules and decision-making in a landscape. Such initiatives need to be able to identify changes in the status of governance in the landscape in order to enable monitoring by and learning among its stakeholders.

Tropenbos International and EcoAgriculture Partners developed the Landscape Governance Assessment Methodology for this purpose. It is a tool that facilitates the participatory analysis of landscape governance. Applying this methodology at different moments over time (baseline and endline) allows participants to identify changes in landscape governance. In addition, the methodology promotes dialogue among stakeholders about the governance of their landscape, which can help them identify strategies for improved governance.

User guide

This manual presents guidelines for the assessment of landscape governance. The assessment methodology consists of a two-day participatory workshop with stakeholders from the landscape. The workshop is structured around indicators of four key performance criteria in landscape governance.

In preparing for the workshop, the organizers should compile a document with known information about governance of the landscape. During the workshop, participants will discuss this information, as well as their own perspectives on the indicators, which they express in a narrative and in a score. Together, the participants develop a vision for the future of governance of their landscape. The workshop results in a report on the baseline of landscape governance and identifies possible strategies for improved landscape governance.

The manual begins with a short introduction to the elements of landscape governance. Chapters 2 and 3 identify the performance criteria and indicators for the assessment of landscape governance. Chapters 4 and 5 describe the practical steps for organizing and conducting the assessment workshop. Chapter 6 provides guidance on reporting the results of the assessment.

The landscape governance assessment method was developed by the Green Livelihoods Alliance (GLA) in 2017 (see Box 1). The guidelines were developed to assess the status of landscape governance in the GLA context, and are readily adaptable for use by other sustainable landscape initiatives.

The choice of criteria and indicators in this manual was mapped to the main desired outcomes of the GLA. The criteria and indicators focus on: 1) inclusive and equitable decision-making; 2) social cohesion and collaboration in the landscape; 3) coordination among actors, sectors and scales; and 4) sustainable landscape thinking and action.

Depending on stakeholder priorities and context, other users may wish to adapt the guidelines to include criteria and indicators for other institutional dimensions, such as the functioning of multi-stakeholder landscape partnerships; higher-level policy frameworks; the innovation and promotion of more sustainable agricultural production and resource management practices, community or basin-level water management governance; or effective engagement of private-sector investors.

Please note that the manual describes the process of establishing the baseline; it does not explain how to compare baseline and endline or how to determine what a landscape initiative has contributed to changes in governance (attribution).

Box 1. The Green Livelihoods Alliance and the development of the landscape governance assessment methodology

The methodology presented in this manual was developed as part of an international programme called the Green Livelihoods Alliance (GLA). Since the beginning of 2016, Tropenbos International (TBI), IUCN NL and Milieudefensie have been working together in the GLA, in a strategic partnership with the Ministry of Foreign Affairs of the Netherlands. The GLA works in nine countries, in 16 selected landscapes. In each of these landscapes, the GLA aims to contribute to landscape governance that is more inclusive and more conducive to sustainable landscape management.

The landscape governance assessment methodology was developed to monitor and evaluate the overall goal of the GLA. The aim was to develop a method that does not require a major effort to apply; is cost-effective, yet provides a reasonable idea of the status of key aspects of landscape governance; and allows landscape stakeholders to have interactive discussions.

The methodology is informed by the Guidelines for Participatory Planning, Monitoring and Evaluation of Multi-stakeholder Platforms in Integrated Landscape Initiatives, developed by Tropenbos International and EcoAgriculture Partners (Kusters et al. 2017; Kusters, De Graaf and Buck 2016). The methodology also drew from the EcoAgriculture Partners publication, Public Policy Guidelines for Integrated Landscape Management (Shames, Heiner and Scherr 2017).

The criteria and indicators presented in this manual were developed to address the GLA's goals of inclusive and sustainable landscape governance. The writers drew on literature and on prior experience to draft a preliminary list of criteria and indicators. In December 2016 these were presented for review at a workshop attended by selected experts from academic and NGO backgrounds in the Netherlands. Based on this expert feedback, the manual was drafted and shared with a wider group of experts for review. The two rounds of review resulted in a second version of the manual, which was field-tested in a pilot workshop in the Cagayan de Oro landscape in the Philippines in March 2017. Based on the pilot, the guidelines were further refined into a final version of the manual for use throughout the GLA. The present guidelines have been edited slightly for a global audience.

Between June and August 2017, the landscape governance assessment methodology was implemented in 13 GLA landscapes (see Box 3 for a brief reflection on experience with the methodology).

Chapter 1



Landscape governance

Landscape governance is a broad concept that allows for numerous interpretations and perspectives. This chapter introduces the definitions of landscapes and landscape governance that were used in developing this framework.¹

What is a landscape?

“A landscape is a socio-ecological system that consists of a mosaic of natural and/or human-modified ecosystems, with a characteristic configuration of topography, vegetation, land use, and settlements that is influenced by the ecological, historical, economic and cultural processes and activities of the area. The mix of land cover and use types (landscape composition) usually includes agricultural lands, native vegetation, and human dwellings, villages and/or urban areas. The spatial arrangement of different land uses and cover types (landscape structure) and the norms and modalities of its governance contribute to the character of a landscape. Depending on the management objectives of the stakeholders, landscape boundaries may be discrete or fuzzy, and may correspond to watershed boundaries, distinct land features, and/or jurisdictional boundaries, or cross-cut such demarcations. A landscape may encompass areas from hundreds to tens of thousands of square kilometres” (Scherr, Shames and Friedman 2013: 2).

A landscape is not just any geographical area. People and natural processes must have something in common for the area to be called a landscape. For the landscape governance assessment, therefore, a landscape was defined as a geographical area that is coherent and multi-functional. Coherence in the landscape comes from natural and/or socio-economic processes that link actors, areas and other components across the landscape. At the same time, the manual focuses on landscapes that are multi-functional – where there are a range of land uses, claims on the land, stakeholder interests and governing institutions.

What is landscape governance?

We define landscape governance as the set of rules (policies and cultural norms) and the decision-making processes of public, private and civic sector actors with stakes in the landscape that affect actions in the landscape.

Elements of landscape governance

Institutional arrangements in landscape governance vary widely, and a wide variety of configurations can work effectively to support sustainable development. In other words, there is no single formula for “good” landscape governance. In their exploration of landscape governance through the global Landscapes for People, Food and Nature initiative, Kozar et al. (2014) synthesize important elements of a landscape governance system and outline “what works” to make landscape governance effective.

Kozar et al. (2014) conclude above all that landscape governance is inherently multi-level, multi-sector and multi-actor in nature, and therefore requires strategies and mechanisms for aligning rules and coordinating decision-making processes among these different levels, sectors and actors. Landscape governance is concerned with designing and implementing institutional arrangements, decision-making processes and policy instruments, and with building on the underlying social values through which multiple actors can collaboratively pursue their interests in sustainable landscapes. In addition to ensuring effective coordination mechanisms, landscape governance also includes application of general “good governance” principles to rules and decision-making in the landscape. Examples of such principles are inclusion, transparency and accountability, among others. To support these principles, landscape governance is also concerned with generating and communicating relevant knowledge and information, and with collaborative learning and capacity building among stakeholders in the landscape.

Ultimately, we assume that good landscape governance is a precondition for achieving a sustainable landscape. This can be described as a landscape that “helps to meet the principles of sustainable development as defined in the UN Sustainable Development Goals [..and..] aims to ensure synergies and minimise trade-offs between economic, social and environmental (including climate) goals where these objectives compete” (Denier et al. 2015).

Performance criteria

A fundamental element of landscape governance is the coordination of decision-making among sectors, levels and actors. Important elements of landscape governance specifically targeted by the GLA programme are the inclusiveness of decision-making processes, and the extent to which rules and decision-making processes create an enabling context for sustainable landscape management.² The culture of collaboration in the landscape is part of the governance system and influences its effectiveness; it needs to be based on social cohesion, trust and understanding among stakeholders.

These considerations have led to identifying the following four performance criteria as the main elements of inclusive and sustainable landscape governance:

1. Inclusive decision-making in the landscape
2. Culture of collaboration in the landscape
3. Coordination across landscape sectors, levels and actors
4. Sustainable landscape thinking and action

Performance criterion 1: Inclusive decision-making in the landscape

When rules and decision-making processes are designed and implemented to ensure fair and equitable participation by all groups of actors with stakes in the landscape, then landscape governance is inclusive. This applies to rules and decision-making processes by the government (public), business (private) and society (civic) sectors.

To enable participation in decision-making, stakeholders need to know how decisions are made and how to have access to the relevant information. This requires transparency in decision-making processes. In addition, stakeholders need to be invited and able to participate in decision-making. For this participation to be meaningful, input from all stakeholders, including marginalized groups, must be genuinely considered in the deliberations. Also, accountability mechanisms are needed to ensure that decision-makers are held responsible for the resources, processes and outcomes with which they are entrusted.

Indicators, performance criterion 1

These four indicators of inclusive decision-making in the landscape were selected to evaluate this criterion:

- 1.1 Transparency
- 1.2 Participation
- 1.3 Equity
- 1.4 Accountability

Performance criterion 2: Culture of collaboration in the landscape

Rules and decision-making processes in a landscape are embedded in the social context, involving relationships and interactions among various groups of people. The outcomes of landscape governance are influenced by this social context and vice versa.

Effective governance benefits from a culture of collaboration in the landscape, where stakeholders work toward the well-being of all the members of the landscape community, and fight exclusion and marginalization. Landscape governance through collaboration can create a sense of belonging and promote trust. Although stakeholders in landscapes will have a range of values, beliefs and objectives, recognizing their common concerns and shared understandings is a powerful tool in building socially cohesive landscape governance. This recognition enables stakeholders to identify ways forward by which everyone can realize an immediate objective, thereby expanding the trust that is needed for realizing more ambitious objectives for the landscape (Sayer et al. 2013).

Moreover, a culture of collaboration is conducive to effective information sharing and the collaborative learning needed to develop shared understanding about issues in the landscape and to identify strategies and initiate collective action for addressing these issues. It is also valuable in fostering the resilience needed to deal with disruptions, and the innovation needed to develop solutions to complex challenges in the landscape (Bailey and Buck 2016).

Indicators, performance criterion 2

These four important indicators of a culture of collaboration in landscape governance were selected to evaluate this criterion:

- 2.1 Sense of community
- 2.2 Knowledge sharing and learning
- 2.3 Conflict resolution
- 2.4 Resilience and innovation

Performance criterion 3: Coordination across landscape sectors, levels and actors

Effective landscape governance requires coordination across actors, sectors and scales. Coordinating decision-making can allow synergies and opportunities for collaborative action in the landscape to be developed. Integrated landscape decisions and actions are most effectively realized by focusing on interactions in the landscape beyond the individual farm, business, community, water body or forest. For example, investments in upstream conservation of a forest by downstream actors in a watershed can help prevent erosion and flooding. Recognizing such opportunities requires knowledge of landscape interactions and sharing of knowledge and information among stakeholders. The collaborative development and use of landscape planning frameworks, including monitoring and evaluation, are valuable collaborative learning processes for improved landscape governance (Kozar et al. 2014).

The fact that decision-making is often organized according to technical sectors (e.g., agriculture, environment, rural development, water) and jurisdictional levels (local, regional, national) can be a significant barrier for landscape actors who seek to achieve multiple, cross-sectoral objectives that may not align with administrative boundaries. Aligning policies across sectors and levels is needed to eliminate unintended negative interactions that can arise when multiple — sometimes opposing — policies are implemented independently from one another by different sectors or jurisdictions. Coordination of decision-making processes across sectors (horizontal) and jurisdictional scales (vertical) is required (Kozar et al. 2014; Shames, Heiner and Scherr 2017).

Therefore, government agencies in landscape governance have an important role in helping ensure alignment and coherence in public policies and coordination among sectoral government agencies and different jurisdictions, from local to national, with a link to global developments. In addition to internal public-sector integration, governments can contribute by promoting and facilitating the integration of decisions and actions by private and public actors in the landscape (Shames, Heiner and Scherr 2017). In landscapes where customary governance arrangements have influence, coordination between customary rules and decision-making and government institutions can result in more consistent rules and incentives that promote sustainable landscape management.

Indicators, performance criterion 3

These five indicators were selected to evaluate this criterion:

- 3.1 Integrated landscape planning
- 3.2 Horizontal coordination across sectors and jurisdictions
- 3.3 Vertical coordination among levels
- 3.4 Connectivity to national and international developments
- 3.5 Coordination of customary and formal governance

Performance criterion 4: Sustainable landscape thinking and action

Sustainable landscape management — including nature-based approaches to land use and natural resource management — is a critical ingredient of sustainable landscapes. Examples of nature-based management practices include agro-ecological crop and livestock production, eco-certified commodity production, holistic grazing, community-based management of forests and protected areas, wildlife corridors, payment for ecosystem service schemes, agro-ecotourism and landscape labelling. These land-use planning and management practices can limit the degradation of water, forests, grasslands and soils, and promote their restoration while conserving biodiversity, thus contributing to sustainable landscapes (Scherr et al. 2014; Buck and Scherr 2011).

Formal and informal policies and decision-making processes of public, private- and civic sector actors can either support or hinder sustainable practices.³ If incentives and regulations that foster sustainability (including nature-based approaches) are recognized and promoted, this will encourage actors to follow sustainable practices. In order for actors to trust incentives and regulations that foster sustainable practices, they must know that these measures will be implemented and enforced.

Indicators, performance criterion 4

These five indicators measure important dimensions of sustainable landscape thinking and action:

- 4.1 Perceptions and knowledge of sustainability
- 4.2 Sustainable practices
- 4.3 The presence of enabling rules
- 4.4 Implementation and enforcement
- 4.5 Promotion of sustainable practices



Indicators

As shown in Chapter 2, each of the four performance criteria has a set of indicators (Table 1). These indicators show how — and how well — governance is working to bring about a sustainable landscape.

Table 1. Performance criteria and indicators

Criterion	Indicators
1. Inclusive decision-making in the landscape	<ul style="list-style-type: none"> 1.1 Transparency 1.2 Participation 1.3 Equity 1.4 Accountability
2. Culture of collaboration in the landscape	<ul style="list-style-type: none"> 2.1 Sense of community 2.2 Knowledge sharing and learning 2.3 Conflict resolution 2.4 Resilience and innovation
3. Coordination across landscape sectors, levels and actors	<ul style="list-style-type: none"> 3.1 Integrated landscape planning 3.2 Horizontal coordination across sectors and jurisdictions 3.3 Vertical coordination among levels 3.4 Connectivity to national and international developments 3.5 Coordination of customary and formal governance
4. Sustainable landscape thinking and action	<ul style="list-style-type: none"> 4.1 Perceptions and knowledge of sustainability 4.2 Sustainable practices 4.3 The presence of enabling rules 4.4 Implementation and enforcement 4.5 Promotion of sustainable practices

This chapter brings together these indicators into an operational framework. During the workshop, a group of stakeholders will discuss and then score each indicator. The discussion is organized around an opening question, several discussion questions and a scoring question. The opening question and discussion questions are used to guide an open dialogue. The scoring question is used as the basis for evaluating each indicator.

Although it is important for participants to discuss and score all indicators, they do not need to answer all discussion questions; these are included only to trigger discussion. Details on using the indicators in the assessment are provided in the workshop guidelines in Chapter 5.

Performance criterion 1: Inclusive decision-making in the landscape

Indicator 1.1 Transparency

Opening question: How is information about rules and decision-making processes shared with stakeholders in the landscape?

Discussion questions

- To what extent do stakeholders know how decisions are made in the landscape?
- To what extent are stakeholders informed about upcoming decisions?
- How are decisions and their consequences explained to stakeholders in the landscape?
- What are the barriers for stakeholders to access information about the rules and decision-making processes that affect the landscape?

Scoring question: How well is information about rules and decision-making processes shared with stakeholders in the landscape?

Indicator 1.2 Participation

Opening question: How are relevant stakeholders able to participate in decisions that affect the landscape?

Discussion questions

- In what ways are these decision-making processes open to participation by relevant stakeholders in the landscape?
- In what ways do these decision-making processes limit participation?
- Do stakeholders have the capacity and information to participate effectively?
- To what extent is input from relevant stakeholders genuinely used in decision-making processes?
- To what extent do all relevant stakeholders actively participate in decision-making?
Are there stakeholders who are not willing to participate?

Scoring question: How well are relevant stakeholders able to participate in decision-making that affect the landscape?

Indicator 1.3 Equity

Opening question: How is influence in decision-making shared among stakeholders in the landscape?

Discussion questions

- To what extent are public, private and civil-society interests taken into account in decision-making?
- To what extent are the people who are most affected by decisions able to influence these decisions?
- To what extent are marginalized groups (including women and indigenous people) able to influence decision-making that affects them? To what extent do civil society organizations support them in voicing their interests?
- Are land and resource rights fairly distributed among stakeholders in the landscape? Are there groups of stakeholders who lack access to land or resources?

Scoring question: How well is influence in decision-making shared among stakeholders in the landscape?

Indicator 1.4 Accountability

Opening question: What mechanisms are in place to ensure that public and private actors fulfil their duties and responsibilities to relevant stakeholders in the landscape?

Discussion questions

- To what extent is the work of government agencies independently monitored?
- How can government agencies be held accountable if they fail to fulfil their responsibility?
- What is done in cases of misconduct of government representatives (e.g., corruption)?
- To what extent can stakeholders seek review of decisions made by government agencies?
- To what extent is the work of the private sector monitored?
- What action is taken in cases of misconduct of private-sector actors?

Scoring question: How well do mechanisms function to ensure that public and private actors fulfil their duties and responsibilities to relevant stakeholders in the landscape?

Performance criterion 2: Culture of collaboration in the landscape

Indicator 2.1 Sense of community

Opening question: What is the sense of community in the landscape?

Discussion questions

- To what extent do people in the landscape feel connected to the landscape and its history?
- To what extent do people in the landscape feel they are connected with one another?
- To what extent do people feel they can depend on one other?
- What are the forms of leadership in the landscape that bring people together?
- To what extent do people in the landscape have a common vision, and are they committed to achieving this (e.g., through collaborative activities)?

Scoring question: How strong is the sense of community in the landscape?

Indicator 2.2 Knowledge sharing and learning

Opening question: How do stakeholders share knowledge and learn together in the landscape?

Discussion questions

- To what extent do stakeholders keep each other informed of their plans and decisions?
- To what extent do stakeholder exchange ideas, experiences and best practices?
- How is scientific knowledge used and valued in the landscape?
- How is local and indigenous knowledge used and valued in the landscape?

Scoring question: How well do stakeholders share knowledge and learn together?

Indicator 2.3 Conflict resolution

Opening question: How are conflicts among stakeholders addressed in the landscape?

Discussion questions

- To what extent do stakeholders promote the peaceful resolution of conflicts in the landscape?
- What are the formal and informal mechanisms for addressing conflicts among stakeholders in the landscape?
- To what extent are these conflict management mechanisms known and accessible to all stakeholders in the landscape?
- To what extent are conflict management mechanisms applied fairly to various stakeholder groups?

Scoring question: How well are conflicts among stakeholders addressed in the landscape?

Indicator 2.4 Resilience and innovation

Opening question: How do stakeholders respond to change in the landscape?

Discussion questions

- What are the main threats to stability in the landscape (e.g., natural disasters, political instability, economic shocks)?
- To what extent are stakeholders aware of these threats?
- To what extent do stakeholders have the knowledge and capacity to deal with these threats?
- To what extent are stakeholders able to mobilize support in dealing with these threats?
- To what extent do stakeholders try to reduce vulnerability to these threats for everyone in the landscape, including marginalized groups?
- To what extent are stakeholders coming up with ideas, solutions and innovations to increase their ability to respond to changes in the landscape?

Scoring question: How well do stakeholders respond to change in the landscape?

Performance criterion 3: Coordination across landscape sectors, levels and actors

Indicator 3.1 Integrated landscape planning

Opening question: How do stakeholders coordinate across the landscape to identify synergies and opportunities for collaborative action?

Discussion questions

- How do stakeholders in the landscape interact with one another? Where? When? About what?
- To what extent does this multi-stakeholder interaction lead to better understanding of commonalities and differences?
- Is there a landscape-level plan? Are there collaborative activities?
- To what extent is the impact of decisions and actions monitored at the landscape scale? Is the monitoring information shared?

Scoring question: How well do stakeholders coordinate across a landscape to identify synergies and opportunities for collaborative action?

Indicator 3.2 Horizontal coordination across sectors and jurisdictions

Opening question: How are rules, plans and decision-making processes coordinated across local governments and government agencies at the landscape level?

Discussion questions

- To what extent do government agencies work together across sectors (e.g., agriculture, forestry, mining)?
- Do these agencies understand each other's work?
- To what extent do the agencies coordinate their decisions?
- To what extent are the plans and policies of the different agencies harmonized?
- If the landscape covers several jurisdictions (e.g., municipalities), do the governments of the different jurisdictions coordinate their plans and decisions?

Scoring question: How well are decision-making processes coordinated across local governments and government agencies at the landscape level?

Indicator 3.3 Vertical coordination among levels

Opening question: How are decision-making processes coordinated among local, regional and national levels of government?

Discussion questions

- To what extent do government agencies coordinate their decisions from the local up to the national level?
- How are policies coordinated across these levels?
- How are land-use plans and land tenure agreements aligned across levels?
- What are differences in priorities between levels? How are these resolved?
- Are local decisions respected by higher levels of government?

Scoring question: How well are decision-making processes coordinated among local, regional and national levels of government?

Indicator 3.4 Connectivity to national and international developments

Opening question: How are stakeholders connected to national and international developments that affect the landscape?

Discussion questions

- How is the landscape influenced by national and international decisions and developments (e.g. international markets, national commitments to international agreements)?
- To what extent are stakeholders in the landscape aware of and connected to these national or international developments?
- To what extent are stakeholders able to benefit from these national and international developments?
- To what extent are stakeholders in the landscape negatively influenced by national and international developments?

Scoring question: How well are stakeholders connected to national and international developments that affect the landscape?

Indicator 3.5 Coordination of customary and formal governance

Opening question: How are the customary and government-led governance systems coordinated?

Discussion questions

- How well-respected and acknowledged is the customary system by other stakeholders?
- To what extent do authorities from customary and formal governance systems coordinate their decisions and plans?
- Where is there overlap in authority between the customary system and the government-led system?
- How do stakeholders deal with this overlap?
- To what extent does this overlap lead to conflict?

Scoring question: How well are the customary and formal governance systems coordinated?

Performance criterion 4: Sustainable landscape thinking and action

Indicator 4.1 Perceptions and knowledge of sustainability

Opening question: How do stakeholders perceive and understand the concept of sustainable management and practices?

Discussion questions

- To what extent do stakeholders understand what is meant by sustainable management and practices?
- To what extent do stakeholders who are linked to natural resources try to be sustainable?
- Do stakeholders have the knowledge and skills to apply sustainable practices?

Scoring question: How well do stakeholders perceive and understand the concept of sustainable practices?

Indicator 4.2 Sustainable practices

Opening question: To what extent do stakeholders implement sustainable practices in the landscape?

Discussion questions

- What are the sustainable practices in the landscape? How common are they?
- What is limiting the further development and expansion of these practices?
- Are there any harmful practices in the landscape?
- What is done to make these harmful practices more sustainable?

Scoring question: How well do stakeholders implement sustainable practices in the landscape?

Indicator 4.3 Presence of enabling rules

Opening question: How do policies and procedures promote landscape-friendly practices?

Discussion questions

- How do sectoral policies (e.g., mining, forestry, agriculture, water) promote or limit sustainable practices?
- How do land tenure rules promote or limit sustainable practices?
- How does land-use planning promote or limit sustainable practices?
- How do private-sector policies promote or limit sustainable practices?
- How do customary rules promote or limit sustainable practices?

Scoring question: How well do policies and procedures promote sustainable practices in the landscape?

Indicator 4.4 Implementation and enforcement of rules

Opening question: How are sustainable policies and practices implemented and enforced, and how is their impact monitored?

Discussion questions

- Who is responsible for implementing the policies and procedures mentioned under indicator 4.3?
- How well do these agencies implement and enforce the rules? To what extent does the reality of implementation match the intent of the policies and procedures?
- How well do these agencies monitor the implementation and impact of the rules?
- To what extent do CSOs monitor the implementation of landscape-friendly policies and practices by public and private actors?
- To what extent are violators prosecuted and punished?

Scoring question: How well are the policies and procedures that ensure sustainable practices implemented and enforced, and how well is their impact monitored?

Indicator 4.5 Promotion of sustainable practices

Opening question: What conditions are in place to promote sustainable practices?

Discussion questions

- What are the opportunities or barriers for stakeholders to have access to technology for sustainable practices?
- What are the opportunities or barriers to have access to funding, investments and subsidies for sustainable practices?
- Are appropriate benefit-sharing schemes in place to promote sustainable practices?
- What is the extent of scientific knowledge on sustainable practices in the landscape?
What are the opportunities or barriers for stakeholders to have access to this knowledge?
- How does capacity building in the landscape promote sustainable practices?

Scoring question: How well do conditions promote sustainable practices in the landscape?

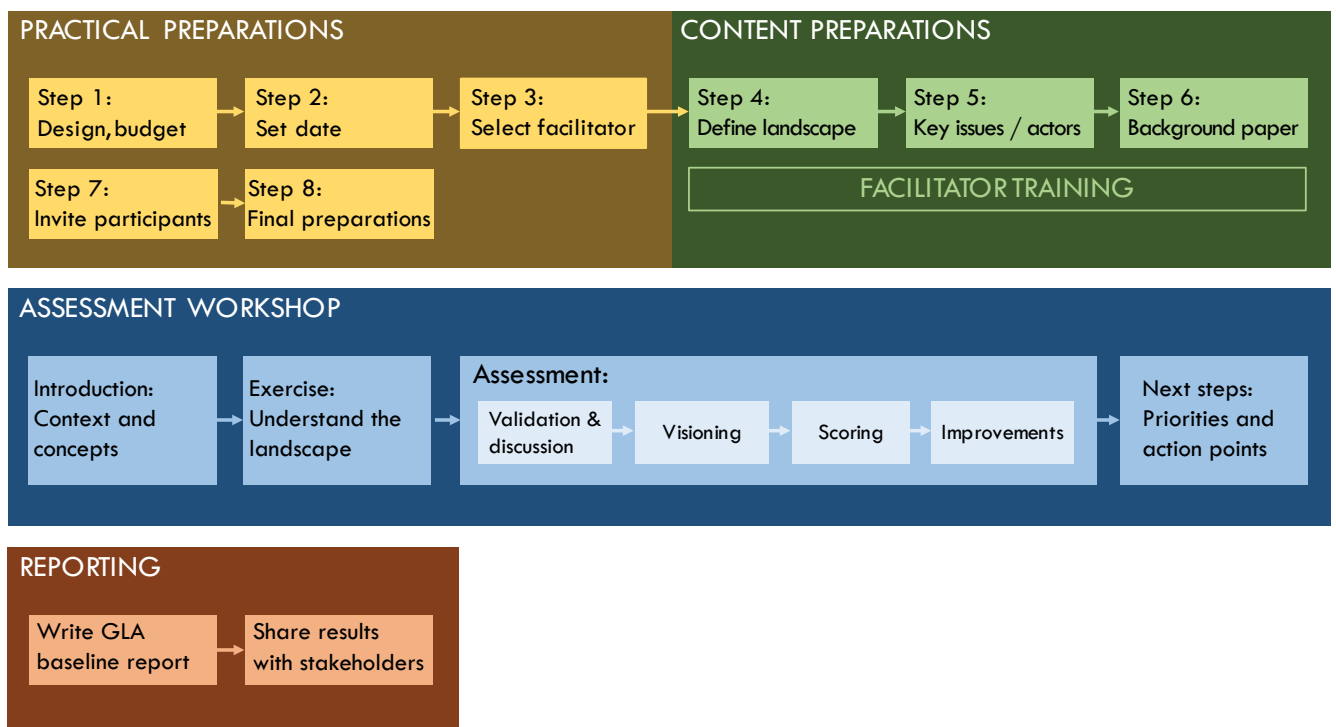
Chapter 4



Organizing the workshop

This chapter outlines the steps needed to organize the assessment workshop, as summarized in Figure 1. Based on experience with this method, preparation will likely require eight days: four days for each of two facilitators. Depending on the available resources, additional steps could be added, such as consultation workshops with specific stakeholder groups or key informant interviews to prepare for the workshop.

Figure 1. The landscape governance assessment process



Step 1 Design and budget

See the draft budget in Annex 1.

To develop the budget, think about the desired design of the workshop: venue, number of participants, facilitators, etc. (see notes under Steps 3 to 7). Raise the necessary funds, if applicable.

Step 2 Set date and arrange the venue, refreshments, etc.

The workshop will last for two days. Plan well in advance in choosing and communicating the dates. Aim for a meeting room with flexible table arrangements, so you can split the group into small groups.

Step 3 Hire facilitators or designate staff members to be facilitators

It is suggested that two facilitators be used. (See Box 2 on facilitator training.) Preferably, the facilitators will be familiar with the landscape and have experience with facilitation. If it is difficult to find people who fit this description, try to ensure that each of the facilitators has one of these sets of skills: one with experience and knowledge of the landscape; and one with facilitation experience.

Decide if you want to work with professional facilitators, or if staff members in your organization can facilitate. The GLA's preference has been to invest in strengthening facilitation skills within the organization responsible for implementing the landscape initiative.

Box 2. Facilitator training

Prior to conducting the landscape governance workshop, it is beneficial to plan and conduct a facilitator training workshop. This training prepares the facilitators to conduct the assessment in their landscape. Consider the following objectives for the training workshop:

- Familiarize the facilitators with the concepts of landscape governance, including the criteria and indicators that are used in the assessment;
- Familiarize the facilitators with the methodology, and have them prepare for and practise facilitation of the assessment workshop;
- Define the landscape and identify the key issues and actors;
- Begin drafting the background document that will be used during the assessment workshop (see Step 6); and
- Explain the process and requirements for documentation and reporting.

Step 4 Define and describe the landscape

See Annex 2 for a template for describing the landscape (Part 1: Landscape description)

To prepare for the landscape governance assessment, it is important to get a rough delineation and clear description of the landscape. Provide a map or description of the location of the landscape. It is not necessary to be precise about its boundaries, as long as the location is approximately clear. In addition, you should answer the following questions about the landscape. They will give facilitators and workshop participants a better understanding of the landscape and the relevance of the governance assessment.

1. How is the landscape coherent?

As explained in Chapter 1, a landscape is a place where stakeholders are connected through natural or socio-economic processes, making it coherent. Here are some examples of coherence:

- functional coherence (e.g., watershed, national park with buffer zone, coffee-producing region, area of influence around a road, mine or other management unit)
- administrative coherence (e.g., a district or county)
- social coherence (e.g., an area where a certain indigenous group lives, a community, a market region or other area where represented stakeholders regularly interact)
- landscape coherence (e.g., an area influenced by an existing landscape governance mechanism, such as a multi-stakeholder platform)

2. How is the landscape multi-functional?

Write a short description of the various land uses, claims and interests in the landscape. For the assessment, a landscape is more than solely a forest area, plantation or other homogeneous land use.

Step 5 Identify key landscape issues and actors

See Annex 2 for a template for describing the landscape (Part 2: Selected decision-making process)

The aim of this step is to identify the main decision-making process and the associated actors in the landscape. This information helps achieve two things:

1. Focus the assessment

For the indicators under Performance Criterion 1 (Inclusive decision-making in the landscape), focus the assessment on a decision-making process that you have identified as being important in the landscape. The indicators under this criterion require participants to have a specific example to discuss. This prevents too much divergence of the discussions; participants need to talk about the same decision-making process for the discussions to be relevant. For the other criteria, it is not necessary to focus the discussions on a specific decision, although doing so may be helpful.

2. Make the assessment landscape-specific

By focusing on a specific example of a decision-making process and the associated actors in the landscape, the facilitator will be better able to explain the general concepts of landscape governance to the workshop participants.

Based on your knowledge of the landscape, answer the questions in the template (Annex 2, Part 2), focusing on these five aspects:

- What are some of the major recent, ongoing or upcoming decisions that affect the landscape and its stakeholders?
- Which decision or development (see question 1 of this step) affect a broad range of stakeholders in the landscape and are likely to be affected by the decision?
- Who is involved in the process of making this decision? Who is influencing the decision, inside or outside the landscape? Who will be affected by the decision? Try to be as specific as possible.
- Who are considered the most powerful stakeholders? Who has decision-making power?
- Who are considered the marginalized stakeholders?

Based on your answers to these questions, go through the criteria and indicators and think about how to explain them to the assessment workshop participants:

- How will you explain the selected decision-making process to the participants in the assessment workshop under Criterion 1 (Inclusive decision-making in the landscape)?
- While you read through the criteria, make sure that you can explain them in the local language to the workshop participants (see Chapter 5, Part 5.1 for a sample “script” in English) and think of examples you can use that are specific to their landscape.

Step 6 Background paper

See Annex 2 for a template for describing the landscape (Part 3: Background paper).

In this step, the organizer should begin developing a first draft of the baseline, focusing on known information about rules and decision-making processes in the landscape. It is likely that you and the facilitator are already familiar with many of relevant facts about the landscape, based on documentation that the landscape initiative has generated to date. Begin assembling this information in a background paper; this will be the basis of the stakeholder workshop. Plan to use the workshop to validate and complement this objective information and to obtain the more subjective views of the stakeholders on the elements of governance.

Annex 2 provides a template for the background paper. The template identifies indicators that can likely be answered at least partially in advance. When the background paper is completed, take time to think about how the facilitator will present this information during the assessment workshop. Chapter 5 explains how to use the background paper effectively in the assessment workshop.

Step 7 Invite participants

When inviting participants, keep the following considerations in mind:

- **Group size:** A group size of about 15 to 20 people (25 maximum) is recommended. This should be large enough to allow for broad-based discussions and scoring, but small enough to promote meaningful participation by all participants.
- **The stakeholders:** Invite people who know the landscape, who are highly affected by the decision/development you selected in Step 5 and/or have high levels of influence over this decision. Keep in mind that this is not a consultation or venue for decision-making. Instead, it is a workshop for collecting and discussing information about landscape governance. Therefore, it is recommended that you invite a limited group of participants who have knowledge of the various stakeholder perspectives and interests.
- **Balanced group:** Think about balance (in terms of number of representatives) between different stakeholder groups and interests. Part of the workshop is a scoring exercise, and this balance will influence the outcomes of the workshop. Also think about balance between men and women, young and old, etc.
- **Outsiders:** Think outside your usual circle to ensure that the assessment includes a diversity of viewpoints on the issues discussed, not just your own familiar perspective.
- **Expertise:** Given the complexity of the subject, it may be useful to invite some people with expert knowledge on governance. They should also have experience in and knowledge of the specific landscape.
- **Suggested stakeholder groups:** Consider representatives from the groups in Table 2.

Table 2. Possible stakeholders

Local government	District/provincial governments; watershed authorities
Sectoral government agencies	e.g., those responsible for forest, biodiversity, mining, agriculture, tenure, planning, extension; local and/or national level
Law enforcement agencies	e.g., representatives of landscape-level enforcement and judicial institutions
Communities	village governments, traditional leaders, elders
Civil society organizations	including community-based organizations
Interest groups, social groups	pay specific attention to marginalized groups, such as indigenous peoples, women, youth and landless actors; include conservation interests, rights-based organizations, religious groups, if relevant
Multi-stakeholder organizations	if a landscape-level multi-stakeholder collaboration is already in place
Big corporations and industry	e.g., agriculture, mining, forestry, tourism; could include umbrella organizations
Economic actors, including small/medium enterprises	foresters, farmers, fisher folk, artisans, traders
Worker/trade unions and cooperatives	e.g., smallholder cooperatives, worker unions of major industries in the landscape
Banks/financial institutes	e.g., banks with branches in the landscape, external (potential) investors
Research and education institutes	e.g., universities, research institutes on governance/forestry/agriculture, etc.
Others	any relevant stakeholders that do not fall in the categories above, including army, militia, media

Step 8. Final practical preparations

1. The organizer needs to decide which materials will need to be translated into the local language. It is recommended that the PowerPoint slides, scorecards and an overview of the discussion questions be translated (see Annex 4, 6 and 8).
2. Prepare the agenda for the workshop (see Annex 3 for a draft agenda).
3. Designate two documenters to take notes during the workshop. Sit with them in advance and go over the reporting guidelines (Chapter 6) to ensure that they include the relevant information from the workshop discussions in the notes, ready for the report.
4. Prepare a PowerPoint presentation to guide the flow of the workshop. Consider including a protocol for privacy and the use of data from the workshop. (See Annex 4 and 5 for a draft workshop PowerPoint and the data protocol as used in the GLA.)
5. Download the scoring calculation template (see Annex 7). Be sure you understand how to enter the scores, so that you can complete the forms efficiently during the workshops.
6. Prepare materials:
 - beamer/projector
 - flip chart and markers
 - 10 copies of the map of the landscape (preferably printed on A3 paper)
 - paper, pens and markers for participants
 - printed scorecard for each participant (translated if necessary)
 - computer with scoring calculation template downloaded in Excel
 - optional: print-out of discussion questions (Annex 6)

Experience with the methodology

Box 3 outlines some facilitators' experience with the assessment methodology.

Box 3. Experience with the GLA landscape governance assessment methodology

Between June and August 2017, this landscape governance assessment methodology was implemented in 13 GLA landscapes. Two facilitators per landscape were trained in Bogor, Indonesia (see Box 2). Following the training, the facilitators started organizing the landscape governance workshops in their own landscapes. In some cases, they adapted the methodology slightly to make it fit the context of the particular landscape (e.g., additional or separate workshops were organized for marginalized stakeholder groups). However, in all workshops the criteria and indicators were the same and the general outline of the methodology was maintained.

When they completed the landscape governance assessment workshops, the facilitators were asked to share their experiences, which are summarized below:

- **Preparation:** Most facilitators indicated that the training in Indonesia was an important part of the preparation and that the guidelines were very useful for preparing and conducting the workshop. Therefore, it is recommended to continue to train the facilitators, although it may also be possible to prepare the landscape governance assessment based on this manual alone.
- **Workshop facilitation:** Facilitators indicated that the criteria and indicators that are covered in the assessment triggered a lot of relevant discussions, making it an rewarding workshop to facilitate. At the same time, facilitation can be challenging. For example, some topics might be sensitive, and the workshop requires strict time management. Therefore, it is important for the organizer and the facilitator to prepare thoroughly and to assemble as much information as possible in advance in the background paper. In addition, if resources allow, the workshop could be extended to two and a half or three days.
- **Participants:** According to the facilitators, the workshop is very interesting and relevant for the participants. However, the aspects of governance can be quite complex, so it is important to explain them in simple words, using examples that all participants can relate to.
- **Group size:** For the GLA workshops, a maximum of 25 participants is proposed, since this is assumed to be a manageable group size for the facilitators and it enables meaningful participation by all. However, in some landscapes this group size was considered too small, since it meant that not all the major stakeholder groups could be invited. At the same time, in workshops with considerably more participants, facilitators indicated that it was difficult to manage the group and to ensure that everyone could contribute to discussions.
- **Relevance:** For the CSO partners, and the other stakeholders in the landscape, the discussions during the workshop were very relevant. The workshop can be used to identify the next steps in improving landscape governance. In several cases, the participants decided that there should be more structural interaction between stakeholders; for example, through a multi-stakeholder platform. The methodology does not specify these strategies for improved governance, but they may emerge from discussions during the workshop.



Workshop guidelines

Session 1 Opening

Time	20 minutes
Purpose	This session introduces the participants, the purpose, outputs and agenda of the workshop and discusses the use of the workshop results
Preparation	Decide on an opening exercise; for examples, see www.mspguide.org/tool/introductions
Materials	PowerPoint slides

Guidelines for facilitators

1. Begin the workshop by introducing yourself and explaining the purpose and the anticipated outputs:
 - a. The purpose of the workshop is to understand how the rules and decision-making mechanisms in the landscape ensure inclusiveness and promote sustainability in the landscape. In addition, participants can use the workshop to identify possible actions to improve landscape governance. Please explain, though, that the workshop is exploratory; it is not a planning/decision-making activity.
 - b. The outputs of the workshop include a summary of the discussions and scores on the indicators, a baseline report on the status of landscape governance, and a list of possible improvements, priorities and action points.
 - c. Discuss and agree on how the report will be used:
 - The report will be shared with the initiator of the landscape governance assessment and with the participants.
 - Discuss whether the report can be shared with other stakeholders in the landscape who were not at the workshop.

- Consider if the data will be used for any other purposes (e.g., comparative study, communication purposes, reporting to donors). Explain these other uses and discuss with participants whether they agree. (See Annex 5 for the data protocol that was used in the GLA workshops).
- d. End by highlighting the importance of frank and critical reflection for learning.
- 2. Explain the approach to the workshop, using Figure 1 as guidance.
 - a. The assessment will be based on the criteria and indicators in this document.
 - b. Based on existing information (e.g., previous experience, context analysis, discussions with stakeholders) the organizer of the assessment workshop has developed an initial overview of the status of these indicators.
 - c. During the workshop, the facilitators will use this overview as a basis for discussion.
 - Make clear that nothing is finalized yet, and that the workshop is to start discussion on the information that is presented. The aim is to gain the perspectives of participants. Also make clear that there is no need to come to a consensus; it is expected that participants' perceptions and opinions will differ.
 - d. After discussing the current situation and decision-making processes, the workshop participants will then focus on thinking about how the current situation can be improved. Together, the participants will develop a vision of what rules and decision-making processes in the landscape could look like in the future.
- 3. Present the agenda of the workshop.

Documentation guidelines

- Make note of what is agreed to about privacy and use of the report.
- Make sure you record the basic information about the workshop: date, location, number of participants, list of organizations represented, and name of facilitators.

Session 2 Introduction

Time	20 minutes
Purpose	This part helps participants understand the context of the workshop, and helps them understand the concept of landscape governance
Preparation	No preparation
Materials	PowerPoint slides

Guidelines for facilitators

1. Briefly explain any relevant information about the rationale for the workshop— maximum five minutes
2. Introduce landscape governance:
 - a. What is a landscape? What is our landscape (show map)? How is our landscape coherent and how is it multi-functional?
 - b. What is landscape governance? Include examples from your landscape that the participants can relate to.

Documentation guidelines

- No notes are needed. The information about the landscape should already be in the background paper, based on preparations by the organizers.

Script

You can use the script below as guidance for explaining the concepts of landscape and governance to the workshop participants.

Why are we doing this workshop?

Explain the goal of the workshop.

We would like to see what will change in our landscape over the years. That is why we organized this workshop. We will discuss the status of governance in our landscape as it is now, we will do the same in a few years, and that way we will be able to see what has changed. At the same time, this is an opportunity for all of us in the landscape to learn about governance and see what we could improve.

Feel free to add a more personalized message on why you think it is important to do this governance assessment.

What is a landscape?

A landscape is a geographical area where natural and/or social processes are connected in some way, which can lead to stakeholders coming together to address a common issue. Stakeholders are people or organizations who are connected to the landscape because they influence and/or depend on it; for example, for income, food, well-being or culture. Stakeholders are the people or organizations that can influence changes in the landscape, or are affected by these changes. All the people in this workshop are stakeholders. Examples of stakeholders are communities, government agencies, businesses, CSOs and universities that do research in the landscape. Some stakeholders are also indirectly linked to the landscape; for example, the consumers of the products that come from the landscape and the financial institutions that invest in the landscape. Nature and biodiversity are also stakeholders, because nature influences the landscape and is also influenced by changes in the landscape.

A landscape can be based on an ecological system in which stakeholders are connected through natural areas that they influence and that influence them. This could be a river or the area around a national park, for example. Stakeholders may also be connected by a socio-economic issue; for example, an economic development such as mining or infrastructure development. In other words, something in the landscape creates coherence and connects the stakeholders. At the same time, landscapes are multi-functional; there are various land uses and claims on the land, various stakeholder interests and various institutions that govern the landscape.

Our landscape is...

Give the landscape a name, show it on the map, explain why it is coherent, and explain why it is multi-functional, based on Step 4 in Chapter 4.

What is landscape governance?

This brings us to the importance of landscape governance. Because processes in the landscape are connected, it is important that stakeholders take these connections into account when they make decisions. This is especially important because there are so many different actors and interests in the landscape; they need to be coordinated so that the landscape can be managed well. This is

what we mean by landscape governance, which we define as the rules and decision-making processes that affect actions in the landscape. By rules, we mean government measures, but also informal rules such as culturally defined customs and religious practices.

When we talk about decision-making processes, we mean decisions by all the stakeholders in the landscape. So, you could think about government decisions (e.g., about land-use plans, new policies or budgets), decisions by companies (e.g., how to manage plantations, where to invest), decisions by non-governmental organizations (e.g., where to work, who to work with) and decisions by communities and individuals (e.g., how to manage community lands, whether or not to expand a farm).

Examples of rules and decision-making processes that affect our landscape are...

Give examples of important rules and decision-making processes and how they affect the landscape, based on Step 5 in Chapter 4.

Session 3 Landscape exercise

Time	30 minutes
Purpose	This exercise stimulates participants to think about the importance of the governance of their landscape, and the relevance of this assessment
Preparations	Make sure the tables are set up in such a way that it is easy for participants to break into small groups
Materials	10 copies (A3 or A4) of the map of the landscape Pens for participants PowerPoint slides

Guidelines for facilitators

1. Explain the exercise: participants will sit in small groups to discuss their role and the roles of others in the landscape.
2. Ask participants to split into small groups (two to four people each)
3. Give each small group one map of the landscape.
 - a. Ask participants to indicate their location on the map (e.g., where do you live? where do you work?) and to explain to each other what their role is (e.g., producing food, protecting the forest, enforcing the law).
 - b. Ask participants to discuss some of the rules (government policies, customary or religious rules) and decisions by other that influence them (e.g., formal rules about access to the forest, customary rules about sacred groves and taboo days, rules about land ownership).
 - c. Ask participants to discuss how the decisions they make influence others (e.g., if they decide to expand their business, or if people break the rules).
As facilitator, you can walk around and listen to the conversations. If you hear something noteworthy, share it later with the whole group
4. After the participants have discussed the questions, have the participants go back into one large group and give some examples of interesting discussions that you heard.

Documentation guidelines

- The discussions do not necessarily have to be documented; they are not part of the assessment.

Script

Introduce the exercise.

The decisions you make as an individual and as part of an organization are part of governance. At the same time, the rules and decisions of others influence you. They influence who can do what and where, the way people interact, the way people work, etc. In this exercise, we would like you to think about your role in the landscape and how that is influenced by the decisions of others.

Let participants know that this is only an initial exercise; it is not part of the assessment. It is meant to help them think about and understand their landscape. Tell them to feel free to discuss issues openly within their small groups — there are no right or wrong answers.

Session 4 Introduction of assessment criteria

Time	15 minutes
Purpose	This session introduces and explains the four performance criteria and gives the participants a more detailed understanding of the elements of inclusive and sustainable landscape governance; it also introduces the framework for the assessment
Preparation	No preparations
Materials	PowerPoint slides

Guidelines for facilitators

1. Explain that the workshop is based on four criteria for landscape governance, and that each criterion has a number of indicators
2. Explain that these criteria were developed by the GLA
3. Explain the criteria (see script, below)
4. Explain that a specific decision-making process has been selected for the assessment, to help focus the discussions. Explain which decision-making process has been selected, and why. Also give examples of the stakeholders who affect or are affected by this process.
5. Explain how the assessment is structured

Documentation guidelines

This part does not have to be documented, but if any changes to the selected decision-making process are suggested, make sure that they are included in your notes.

Script

Now that we have thought about the rules and decisions in our landscape, we have a better understanding of their influence on our daily lives, and of how we influence others. Therefore, it is important for us to be able to understand the governance of our landscape, so we can see what can be improved. This landscape governance assessment can help us to think about this.

The assessment is based on four criteria, which give us a framework for our discussion. The four criteria represent features of governance that contribute to a sustainable landscape: one where various stakeholders' needs can be met now and in the future.

As discussed in Chapter 2, these are the four criteria:

- 1. Inclusiveness: acknowledging and considering the rights, needs and concerns of all stakeholder groups in the landscape when decisions are made and rules are implemented.*
- 2. Culture of collaboration: the way people are connected and work together in the landscape.*
- 3. Coordination across actors, sectors and levels: how actors and organizations in the landscape make sure that their rules and decisions do not conflict and, where possible, strengthen each other.*
- 4. Sustainable landscape management: how the rules and decisions in the landscape promote stakeholders to manage their land well and prevent people from using the landscape unsustainably.*

Each of these criteria has indicators that help us to think about how to measure how well they are working in our landscape.

In a moment, we will start with the first criterion (inclusive decision-making), and we will assess it. We will repeat this for each of the criteria. We will assess the first two criteria today, and the other two tomorrow.

These are the six stages of the assessment:

- 1. We will explain the meaning of the criterion and its indicators.*
- 2. We will present you with some information that we already have for the indicators, which will be open for discussion. You can say if you disagree, or think that something is missing. In this way, we can validate, correct and complete the information.*
- 3. In addition, we will ask you questions that we could not answer in advance, because we need your views and perceptions.*
- 4. All this information combined will provide a description of how governance in the landscape is currently working.*
- 5. We will start thinking about what we would like to improve, and how we could improve it.*
- 6. We will ask all of you to score the indicators on a scorecard. You can do this anonymously.*

Session 5 Assessment

Note: Repeat Parts 5.1 to 5.4 for each criterion (four times in total)

Part 5.1 Discussion and validation

Time	1 hour
Purpose	These sessions validate and complete the information from the background document and allow participants to discuss the indicators for which there is no information in the background document. The facilitator presents the background information and asks the participants to discuss it. The facilitator asks additional questions to get participants' input on those indicators that require additional input based on the perspectives of the participants.
Preparation	Split the group into two (according to sector is recommended) and set up two tables. On each table, place a few copies of the indicators (opening question and their discussion questions) that will be discussed in the group. Note: the four indicators will be divided over the two groups.
Materials	Print-outs of indicators and discussion questions (see Annex 6), translated if necessary

Guidelines for facilitators

1. Each of the two tables has its own facilitator and documenter.
2. Participants switch between the two tables in two sessions.
3. Each facilitator discusses some of the indicators for one of the criteria, first with one group and then with the second group. This provides a double validation; each group will validate the information from the background document, and the second group will also validate the inputs from the first group.
4. Between the two sessions, only the participants change tables. The facilitator and documenter stay at the same table and discuss the same indicators with each of the two groups.

Procedure

1. Each facilitator sits at one of the tables with one documenter and one group of participants.
2. The facilitator introduces one of the criterion and some of its indicators to the group. (As noted above, Parts 5.1 to 5.4 will be repeated for each criterion: four times in total.)
3. The indicators for the criterion being discussed are divided between the two tables. Participants at table 1 discuss the first part of the indicators for the criterion (e.g., 2.1 and 2.2), and participants at table 2 discusses the second set of indicators for the same criterion (e.g., 2.3 and 2.4).
4. The facilitator introduces the information from the background document, explaining the information that is already available for each indicator. It is recommended that the facilitator do this without PowerPoint, simply as part of the introduction.
5. The facilitator invites participants to comment on this information. Do they agree? Is anything missing?
6. The facilitator asks additional questions that have not been answered in the background paper in order to get the participants' perspectives.
7. After discussing the first set of indicators for the criterion for 30 minutes, the participants switch to the other table. The facilitator and documenter stay at their own table.
8. With the second group of participants, the facilitator repeats items 2–6.

For item 4, when talking with the second group the facilitator not only explains the existing information in the background document, but also summarizes the comments of the first group.

For step 6, the facilitator not only asks additional questions, but also summarizes the answers of the first group.

Documentation guidelines

The easiest way to document Part 5.1 is to have a copy of the background paper, with the gaps in information indicated. You can then use this copy to record the suggested changes and additions from the participants during the discussions.

Try to structure your notes according to the indicators, and where possible, to the discussion questions. Not all discussion questions will necessarily be answered in detail. This is not a problem, as long as the ones that are considered most important by the participants are discussed and the discussions are documented.

Make sure to include specific information:

- Which mechanisms are described?
- Which positive things are mentioned/what is going well?
- Which negative things are mentioned/what is not going well??
- To what extent is there agreement/disagreement between participants?
- Where is there agreement and disagreement? On which subjects?
- Which examples of situations/scenarios are given?

Also write down any discussions on these topics:

- What should change in terms of governance to improve the situation?
- How can this be changed?
- Who should be involved in these changes in governance?

Script

When introducing each criterion and its indicators, you can use the following explanations:

Criterion 1: inclusiveness is about acknowledging and considering the rights, needs and concerns of all stakeholder groups in the landscape when decisions are made and when rules are implemented. This means including the concerns of the least powerful stakeholders.

For people to be able to participate in the decisions that affect them, they first need to know how decisions are made, what their rights are, and know how to get information about these decisions. We call this transparency. Stakeholders need to be able to make their voices heard in the decisions that affect them, and the input from all stakeholders (including marginalized groups) should be considered. We call this participation and equity.

When the process of decision-making is not fair, or when the decision is not implemented well, it should be possible for stakeholders to call on the person or organization that is responsible to address the problem. We call this accountability.

After this general explanation of the criterion, take some time to explain the goal of the assessment: Which decision-making process are we focusing on? Who are the main stakeholders?

Criterion 2: culture of collaboration means the way people are connected and work together in the landscape. We believe that if there is a strong culture of collaboration, this can help stakeholders to think collectively and care about the future of their landscape. This relates to whether people feel that they are part of the same landscape as each other, and whether they feel they can count on each other. A culture of collaboration also relates to how people share knowledge and what they learn from each other. Participants can also discuss what happens when there are conflicts or disagreements, and at how stakeholders react to major changes or threats to the landscape.

Criterion 2 could be interpreted as being landscape-wide, but if that seems too abstract you can focus on the same decision-making process as under Criterion 1.

Criterion 3: coordination across actors, sectors and scales covers the various ways that landscape actors work together to reach common objectives. All kinds of public, private and civil-society stakeholders from across various sectors collaborate to varying degrees within the context of the landscape. To ensure successful landscape governance, government agencies need to communicate across sectors and across scales. Customary rules for communities in the landscape also need to be respected and integrated into formal policies and decision-making processes.

Criterion 3 could be interpreted as being landscape-wide, but if that seems too abstract you can focus on the same decision-making process as under Criterion 1.

Criterion 4: sustainable landscape management refers to the way that people in the landscape value the environment and the extent to which they are familiar with sustainable practices. We will discuss how the existing rules promote sustainable management of the landscape, and to what extent these rules are implemented. We can also discuss to what extent stakeholders in the landscape promote sustainable practices; for example, by investments and capacity building.

Criterion 4 could be interpreted as being landscape-wide, but if that seems too abstract you can focus on the same decision-making process as under Criterion 1.

Part 5.2 Vision

Time	45 minutes
Purpose	This session asks the participants to think about how the governance of their landscape can be improved — by thinking about improved governance, they will be better able to critically reflect on the current situation
Preparations	Set up four tables with a large sheet of paper and coloured markers
Materials	four large sheets of paper coloured pens and markers

Guidelines for facilitators

1. After discussing the current status of each criterion (as noted above, this will be repeated for each of the four criteria), ask the participants to think about how governance in their landscape (related to that particular criterion) can be improved. In this way, participants will develop their own vision for the landscape. In Part 5.3 (Scoring) they will score the current status of governance, keeping in mind their vision for the landscape.
2. The rich picture methodology is proposed, although other vision exercises can also be used. In this methodology participants explore the current context and think about the future by drawing it in a workshop setting. This method stimulates the workshop participants to think creatively and collaboratively about the future of their landscape in terms of governance.

Procedure

1. Ask the participants to split into four groups. Each group will make its own rich picture about the same criterion. Briefly explain the methodology; get started as soon as possible. Walk around among groups and ask supporting questions (see Script).
2. Introduction:
 - a. The purpose of this session is to draw a picture of the governance of the landscape as participants would like to see it in the future.
 - b. Participants use symbols instead of words, and while they draw they discuss the things they are drawing. Ask them to be creative in thinking about how to draw something.
 - c. Participants make the drawing as a group, not as their own separate drawings. Everyone should be allowed to draw, while discussing their choices with the group.
 - d. Participants should start drawing as soon as possible, and not worry about their drawing skills. It is not just the picture that matters more in the end, but the discussions it helps to facilitate. In fact, the rich picture itself will probably not be understandable for anyone apart from the participants. Therefore, each group should assign a reporter among the participants who documents the main points of the discussions.
3. Rich picture instructions:
 - a. Ask participants to consider what an appropriate outline of the “landscape” would be. This can be anything, although a rough map of the landscape is probably the easiest. Tell them to not think too deeply about it and just pick something — it shouldn’t take more than five minutes.
 - b. Ask them to just start drawing something relevant — anything — and not to worry about what should go where. They should just start somewhere, and then start adding new elements. Trust that a picture will emerge in the end.
 - c. Use the questions from the script to ensure that they consider all the criterion’s indicators (it is not necessary to come up with a vision for each indicator).
 - d. After 30 minutes, stop the discussions.
 - e. Ask each group to very briefly (five minutes) present their rich picture to the whole group.

Back-up option

If the participants seem confused and do not start to draw, the facilitator can start. In that case, the facilitator should draw the landscape map (roughly), draw his or her office/field site, then draw an example of what he or she would like to change in behaviour or decisions, or which change in regulations he or she wishes to see regarding the criterion (e.g., a round-table, representing dialogue, or a placard, representing advocacy). Then the facilitator can urge a participant to give an example. As a group the participants can help think about how to draw each component. Slowly, people will start coming up with ideas and realize that it is not difficult and that it is not important what the drawing looks like.

Documentation guidelines

Keep in mind that if you wish to have a documented copy of the vision it is important to take notes. Do not count on using the drawings as documentation of the discussions.

You can appoint a documenter in each group to make note of the discussions during the drawing of the rich picture. Alternately, you can make notes of the short presentations to the whole group.

The first option makes sense if you feel that it is important for the organizing CSO to have detailed documentation of the vision to inform work plans and/or if it is relevant for the stakeholders to have a documented shared vision.

Script

Guiding questions per criterion:

Criterion 1: Participation

- *Imagine a major decision that affects the landscape in the future:*
- *Who participates in this decision?*
- *How is participation ensured?*
- *How is information about the decision shared?*
- *How do different stakeholder groups benefit from the decisions and rules?*
- *How do decision makers fulfil their responsibilities? How do we ensure that they do?*

Criterion 2: Culture of collaboration

- *How would we ensure that people feel that they are part of one landscape? Who would we like to connect more?*
- *How do we want to share information and lessons learned?*
- *How do we get access to knowledge? Whose knowledge? Knowledge of what?*
- *How do we prevent conflict? If we do have conflict, how can we resolve it?*
- *How can we work together in the landscape to deal with big changes that are affecting us? How do we ensure that everyone's well-being is secured?*

Criterion 3: Coordination

- *How do we want to work together in the landscape?*
- *Would we like to have a common vision or plan for the landscape? For collaborative activities?*
- *How would we like to see government agencies coordinate their work? Which agencies? Which decisions should be coordinated? How can they do this?*
- *How can we coordinate decisions in the landscape (i.e., local level) with rules and decisions at the regional and national level?*
- *Which international developments could we benefit from? How do we ensure this? Who can help us?*

Criterion 4: Sustainability

- *Which stakeholders should learn more about sustainability? How will we transfer that knowledge?*
- *Which sustainable practices do we want to see happening more in the future? Which unsustainable practices should be changed or stopped?*

- *How can the rules promote sustainability? Which rules should be different? How do we change them?*
- *How can we improve implementation and enforcement of the rules? Who can help to ensure that?*
- *How can sustainable practices be further promoted (e.g., more knowledge, more capacity, more technology)?*

Part 5.3 Scoring

Time	15 minutes
Purpose	In this part of the assessment, the participants score the indicators
Preparation	No preparations
Materials	Printed scorecards (Annex 8), translated if necessary PowerPoint with scoring questions (Annex 4) Laptop with Excel scoring template downloaded (Annex 7)

Guidelines for facilitators

1. Hand out the scorecards to the participants, and explain how to score. Ask them to score each indicator that was discussed, based on the scoring question. The scores range from 1 (very poor) to 5 (very good).
2. Ask them to indicate their sector at the top of the scorecard, but explain that scoring is done anonymously.
3. Project the scoring questions on the screen.
4. Explain that the participants should think back to the discussions on the current status of governance (Part 5.1), and compare that to the vision (Part 5.2). Ask them to score the current status of the indicator, considering the vision they developed for the landscape (the vision represents the highest score).
5. Explain that indicators are scored from the perspectives of the landscape stakeholders in general. In other words: if someone in his or her personal or professional position can participate in decision-making, but knows that other stakeholders in the landscape cannot, he or she would give a low score for the indicator “participation.”
6. Ask the participants to score the indicators.
7. Ask participants to hand in the scorecards. You can then enter the scores in the Excel sheet, which will create a graph with the average score for each indicator and the distribution of scores (i.e., how many people scored “very poor”).
8. Present the scores to the group:
 - a. Do the scores make sense? Do they match the feeling of the discussions? If not, why not?
 - b. If participants strongly disagree with the scores, do you need to repeat the scoring process?

Documentation guidelines

Make sure you note the scores in the report. Note whether there was a rescoring, and if so, record both the old and new score.

Part 5.4 Improvements

Time	15 minutes
Purpose	The participants will briefly discuss the improvements they would like to see in their landscape for each criterion
Preparations	No preparations
Materials	Flip chart or cards for the facilitator to document suggestions Marker/pen

Guidelines for facilitators

1. Ask the participants these questions:
 - a. Is the criterion relevant?
 - b. Are the indicators for each criterion relevant?
2. If participants do not consider the indicators relevant, ask them to explain why and ask if they have an alternative.
3. Ask participants to briefly brainstorm about what actions they can take to improve the governance of their landscape (in the context of the criterion being discussed).
4. Note the suggestions on flip charts or cards.
5. Keep the list of suggestions on the wall (it will be used in Session 6).

Documentation guidelines

- If participants suggest that some indicators are not relevant, make a note of this and include it in the report.
- Document any suggested changes on a flip chart, and make sure you include them in the report.

Session 6 Next steps

Note: Begin Session 6 only after following steps 5.1 to 5.4 for each of the four criteria

Time	1 hour
Purpose	Participants identify priorities and action points, which they can use as a take-home message
Preparation	No preparations
Materials	Flip charts/card with the documented suggestions from Part 5.4 for each criterion

Guidelines for facilitators

1. Use the overview of the improvements that were identified in Part 5.4 for each criterion. Ask the group these questions in plenary:
 - a. Which of the suggested improvements and action points are priorities?
 - b. Who could be involved in working on these priorities? Are there areas where people can collaborate?
 - c. Are any stakeholders missing? Who was not present during the workshop but should be involved in the future?
 - d. Ask a few participants if they want to share with the group what the first thing is they will do when they go back to work after the workshop. Will anything in their work or behaviour change based on the workshop?

Documentation guidelines

- Note any follow-up activities and who is responsible.
- Write a list of missing stakeholders and if they should be involved in the future.

Session 7 Wrap up

Time	15 minutes
Purpose	This wraps up the workshop and reminds the participants of the outputs
Preparations	No preparations
Materials	No materials

Guidelines for facilitators

In plenary:

1. Ask participants to share what they learned from the workshop.
2. Explain the next steps. For example: who will write a report? How will the report be shared?
3. Remind the participants of the agreements that were made regarding privacy and the use of the report.
4. Agree on how the report will be shared with participants: E-mail to all? Is there a contact person? Is there another meeting planned where it could be presented?
5. A possible way to wrap up is to ask participants to share one moment that they found particularly inspiring, interesting or helpful during the workshop.

Documentation guidelines

- Make sure you have noted the agreements about the use of the report.

Reporting guidelines

After the assessment workshop, you need to write a baseline report for the workshop participants (see Annex 9).

The report will consist of three parts:

- a brief contextual description of the landscape;
- the landscape governance baseline: a summary of the discussions and the scores; and
- vision and next steps.

It is recommended that the facilitators and documenters work together on writing the report, to make sure that all relevant information from the workshop is included. In the report, they can also include the graphs from Excel depicting the scores for each indicator. The qualitative information — the summaries of the discussions — is the most important part of the baseline.

Facilitators and organizers should think carefully about how to share the results and the report with the participants. If possible, it can be very effective to present a summary of the report at a follow-up meeting in the landscape. Moreover, if privacy agreements in the data protocol allow, facilitators can consider sharing the results with any relevant stakeholders who did not attend the workshop.

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Endnotes

1. The workshop guidelines (Chapter 5) include an explanation of these concepts in simpler words for workshop participants.
2. The GLA programme formulates inclusive and sustainable governance of forested landscapes as its main objective and identifies integrated landscape management as an entry point to achieve this. The GLA places an emphasis on the role of civil society, and of local communities, in achieving inclusive and sustainable governance. The programme formulates three conditions that are necessary for communities to be able to sustainably manage their lands: "(1) security of land tenure, or access to land, (2) inclusion in decision-making on land use by government and the local and international private sector, and (3) nature-based approaches to the management of forested landscapes to add to their traditional, time-proven management practices (GLA Programme document, p.15).
3. The GLA programme aims for sustainable management of forested landscapes, with a particular focus on the environmental component of sustainability through nature-based approaches. This criterion can also be adapted to address the wider interpretation of sustainability, although this might result in workshop discussions that are very broad and abstract.

Landscape governance relates to how decision making addresses overlapping claims and conflicting interests in the landscape. It also relates to how the rules encourage synergies among stakeholders and stimulate the sustainable management of the landscape. In order to achieve sustainable landscape development, it is crucial to understand how governance processes are organized, and how this influences the decisions and behaviour of actors in the landscape.

This manual introduces a method of assessing landscape governance in a participatory way. It involves four criteria:

- 1) inclusive decision-making in the landscape;
- 2) culture of collaboration in the landscape;
- 3) coordination across landscape sectors, levels and actors; and
- 4) sustainable landscape thinking and action.

The assessment methodology consists of a two-day participatory workshop with stakeholders from the landscape. Applying this methodology allows participants to discuss key features of landscape governance, and learn how to monitor them and identify priorities.

