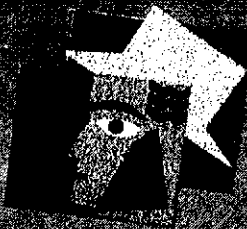
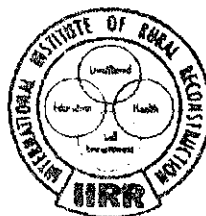


Volume 3

Tools and Methods



Participatory Methods in Community-based Coastal Resource Management

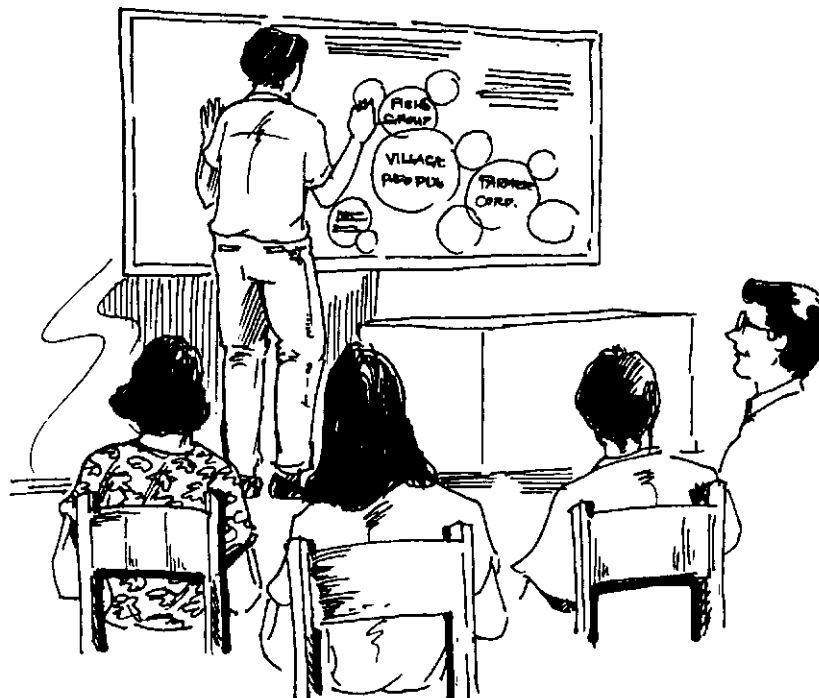


Institutional analysis

Definition

Institutional analysis is the identification of various resource users, stakeholders and organizations involved in community-based coastal resource management (CBCRM). It also involves an examination of the institutional arrangements, the set of rights and rules for CBCRM in a community.

An institutional analysis is usually conducted early in the CBCRM process during the planning phase. The level of detail can range from a simple description of the existing coastal resource management system to a very detailed analysis of the management system in terms of equity, efficiency and sustainability.



Purpose

- To identify existing legislation, policies and regulations for coastal resource management at different levels of government (village, municipal, district, province, regional, national, international) and community (customary, traditional).
- To identify existing property rights and tenure arrangements in order to determine who defines rights to exploit the resources, who has access to the resources, and whether any of these rights are transferable, and the identification of the rules that must be followed.
- To evaluate the existing level of involvement of resource user groups in managing resources in order to determine the ways in which user groups can participate in CBCRM.

A CBCRM program may attempt to alter existing power structures to allow wider participation in management of resources. This is a delicate process where it is essential to be aware of the existing structures and what likely effects proposed changes will have.

- To assess the mandate and structure of existing CBCRM organizations.

Requirements

Human resources

- ✓ government officials
- ✓ facilitator with expertise in political science, sociology, resource management or economics

The facilitator trains the community leaders and government officials on the purpose and methods for institutional analysis and provides guide questions for them to use in collecting information from both primary and secondary sources.

Materials

- ✓ notebooks and pens
- ✓ brown paper and colored markers

Suggested approach

1. Collect data from documents, reports and publications about coastal resource management laws, policies, regulations and organizations. Sources for these may be non-government organizations (NGOs) and research and academic institutions. Use the guide questions as a framework.



Guide questions

Stakeholders

- Who are the resource users and stakeholders?

Organizations at the local level

- What village-level organizations exist in the area?
- Which are engaged in CBCRM?
- Which are formal (legally recognized) groups, and which are informal?
- For formal groups, to which category do they belong (1) LGUs; (2) NGOs; (3) community-based organizations; (4) private interest groups and (5) others?
- What are the organization's mandates or objectives and administrative structure?
- How long has the organization been in existence, and what is its historical development?
- Is the membership increasing or decreasing?
- What are the organization's technical, personnel and financial resources?
- How is the organization affiliated with other organizations vertically and horizontally?
- What are the characteristics of the leadership/power structure of the group?
- How are group decisions made (consensus/majority/autocratic)?
- What is the level of representation and participation of resource users and stakeholders in decision-making?

Institutional arrangements at the local level

- What are the property rights in terms of access, management, exclusion and transfer?
- What are the formal and informal (traditional and customary) rules?

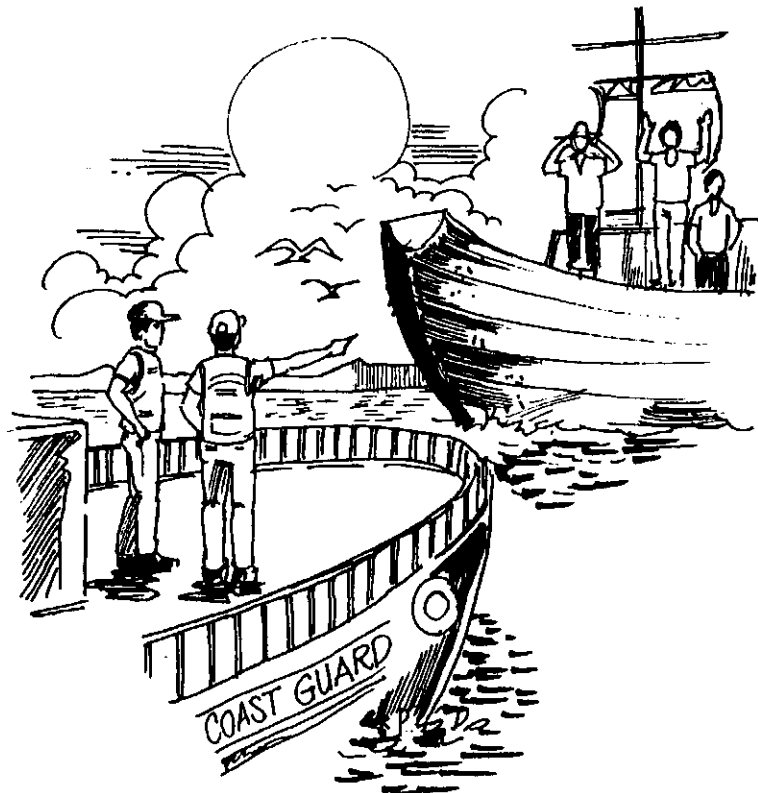


Guide questions.. continued

- What are the operational rules that pertain to boundary, allocation, authority and equity?
- What are the regulatory mechanisms (e.g., quota, closed season, etc.) and incentives (e.g., taxation, licensing, etc.)?
- What are the management rules, such as adjudication and enforcement?
- How is the rulemaking body formed in terms of leadership, membership and representation?
- What are boundaries (i.e., political, gear type, traditional/customary, organizational, physical), their size/clarity, ownership, geographical coverage and changes over time?
- How are rules enforced and what sanctions are used?
- How legitimate and relevant are the rules to resource users?

Organizations above the local level

- Which organizations exist in the area above the village level?
- Which organizations are engaged in CBCRM?
- For the relevant organizations, what are the formal policies, programs, regulations, laws and legislation related to CBCRM?



Guide questions.. continued

- Which are formal (legally recognized) groups, and which are informal?
- For formal groups, to which category do they belong (1) local government or other state-level bodies; (2) NGOs; (3) POs; (4) private interest groups; (5) national government agencies and other regional agencies; (6) bilateral/regional bodies; (7) international agencies and (8) others?
- What are the organization's mandates or objectives and administrative structure?
- At what level does the organization operate: (1) international; (2) regional; (3) national/central; (4) regional; (5) province/state; or (6) district/municipal/town?
- How long has the organization been in existence, and what is its historical development?
- What are the organization's technical, personnel and financial resources?
- How is the organization affiliated with other organizations vertically and horizontally?
- What is the organization's awareness of the conditions of the fisheries/marine resources?

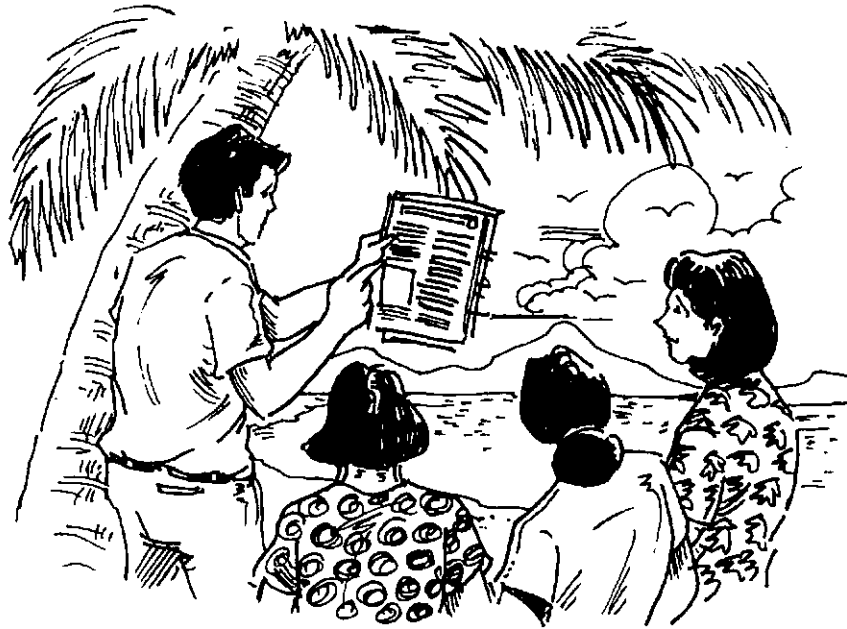
Institutional arrangements above the local level

- How do national policies, programs, regulations, laws and legislation affect CBCRM at the local level?
- How do the other national policies, programs, regulations, laws and legislation on economic development and general public administration affect CBCRM?

Source: Pido, et al. 1996.

2. Complement and validate the secondary data collection by collecting primary data. A variety of participatory techniques and tools can be used. These include

structured and semi-structured interviews, focus group discussion, resource mapping, historical timelines, flow patterns, case studies and venn diagrams. Again, the guide questions should serve as a framework.



3. Collect and sort the data, focus on the relationships between and among the various institutional arrangements and organizations involved in CBCRM.
4. Identify complementarities, conflicts, overlaps and gaps in the institutional arrangements and organizations which support or hinder effective CBCRM at various levels of government and within the community.
5. Identify what is needed to support CBCRM, such as new regulations, new organizations and enforcement mechanisms.
6. Recommend strategies for implementing patterns of relationships in space, time, flow and decision using various tools such as transects, maps, timelines, venn diagrams and matrix.



Note

Institutional and organizational arrangements can change and should be analyzed over time.

Example

Matrix of nested organizations for coastal resource management in Binunsalan Bay, Philippines				
Administrative level	Government agency	Local government unit	Non-government organization	People's organization
National	Department of Environment and Natural Resources			
Provincial	Provincial Environment and Natural Resources Office	Provincial Government (Palawan)		
Municipal	Community Environment and Natural Resources Office	Municipal Government (Puerto Princesa City)		
Village		Village Council (<i>Mangingisda</i>)	- <i>Ligaya ng Bukay</i> - Binunsalan Bay Foundation, Inc.	- Christian Multi-purpose Cooperative - Charity Women's Association - Fisherman's Ministerial Fellowship

7. Analyze rules.

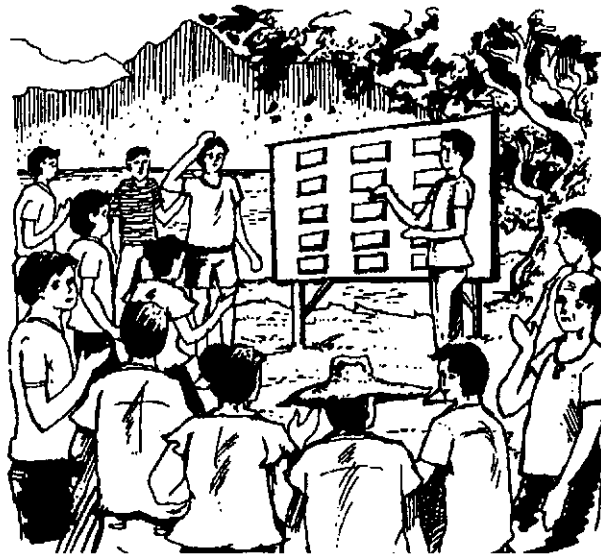
There are three levels of rules which are very closely linked and need to be clearly identified during the analysis.

- *Operational rules* govern and regulate the day-to-day decisions and operations of the resource user concerning when, where and how to harvest the resource.

- *Management rules* are used by resource users and government to formulate and change operational rules, deal with conflicts, enforce decisions, and detect and sanction against rule violation.
- *Legal and policy rules* establish the process for resource management. Legal and policy rules include, for example, the national fisheries policy and legislation which establishes a national fisheries agency. National laws and policies are translated into management rules, which in turn are further translated into operational guidelines. In other words, the rules affecting operation are made within a set of management rules that are themselves made within a set of legal and policy rules.

8. Validate.

It is important for the community members and government officials to participate in validation of the institutional analysis to ensure accuracy and to fill in any data gaps. This can be done through meetings with key leaders, focus group discussions, and/or with the community as a whole.



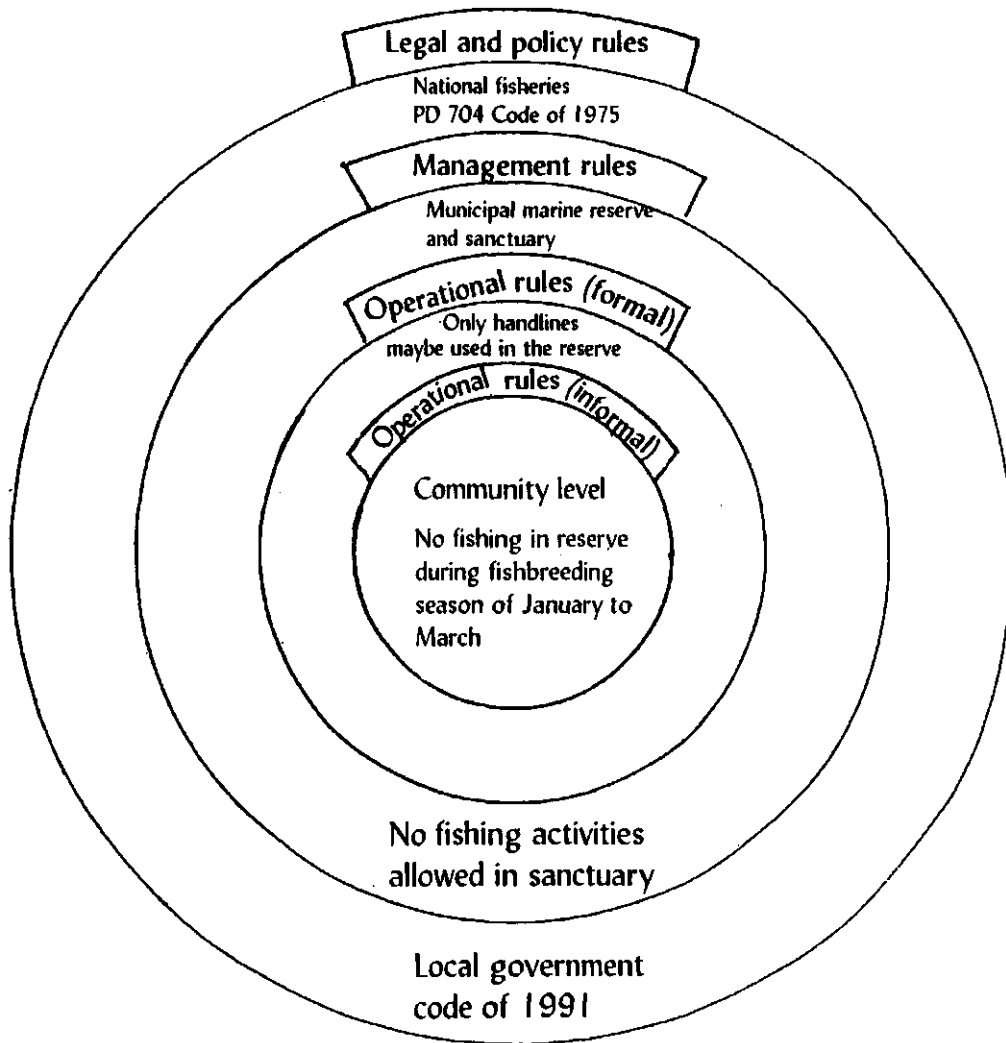
9. Produce the final report. Following is the suggested outline.

- Background/Rationale for Institutional Analysis
- Objectives of Institutional Analysis
- External Institutional and Organizational Arrangements (national, provincial, district, municipal)
 - policy, legislation, regulation, programs
 - government administrative agencies (mandate, functions, structure, objectives)
 - non-government organizations (mandate, functions, structure, objectives)
 - services
 - nested relationships
- Community Institutional and Organizational Arrangements
 - stakeholders
 - community organizations (mandate, functions, membership, structure, resources)
 - boundaries (political, physical/natural, gear, customary, fishing spot)
 - property rights/tenure arrangements
 - rules: formal/informal; operational, collective choice, constitutional
 - decision making and conflict resolution
 - monitoring and enforcement
 - nested relationships
- Analysis and Diagnosis
 - Institutional analysis of the coastal resource
 - Management systems
 - Pattern analysis (Space, time, flow, decision)
- Summary and Recommendations

Output

- ★ A report containing descriptions, maps and figures that analyzes the formal and informal coastal resource management systems that operate in the community. The outputs are of use to resource users, stakeholders and government for dialogue and debate about coastal resource management and CBCRM.

Venn diagram showing nested arrangements for different levels of fishing rules in the Philippines



Strengths

- Depending upon the level of detail generated, the institutional analysis provides information which may not otherwise be available or commonly understood by the community and government.
- Can be conducted in a relatively short time period (one or two weeks) and at a low cost.
- Provides an opportunity for resource users to share their knowledge and understanding about resource management and use.
- Allows for the synthesis of bio-physical, socio-economic and institutional information about coastal resource use and management.

Limitations

- Institutional analysis can be relatively complex. Due to this complexity, it requires a trained facilitator to undertake the analysis.
- The analysis requires an understanding of informal rights and rules at the community level. The team members must be able to probe deeply to get this type of information in an accurate manner.



Example

In San Miguel Bay, Philippines, an institutional analysis identified coastal resource use patterns and both formal and informal management systems. Weaknesses were identified in the formal management system of the government because the various municipalities surrounding the Bay were implementing fisheries management regulations in different ways and there was no coordination of management. This resulted in use conflicts and overexploitation of the fishery. Recommendations were made to develop a Bay-wide management council to coordinate management systems and improve overall enforcement. The San Miguel Bay Management Council was established. Fisher organizations were directly involved in the management council providing for a participatory and "bottom-up" management system.

References

- ICLARM/IFM. 1996. Analysis of Fisheries Co-management Arrangements: A Research Framework. Working Paper No. 1. Fisheries Co-management Project. International Center for Living Aquatic Resource Management, Manila, Philippines.
- Pido, M.D., R.S. Pomeroy, M.B. Carlos and L.R. Garces. 1996. A Handbook for Rapid Appraisal of Fisheries Management Systems (Version 1). ICLARM Educ. Ser. 16. Manila, Philippines.

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