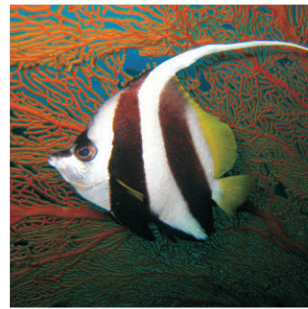




Protected Areas

Joint PAEL-TILCEPA workshop on
Protected Areas Management Evaluation and
Social Assessment of Protected Areas



18 – 19 February 2010; Imperial Queen's Park Hotel, Bangkok, Thailand



Protected Areas

Joint PAEL-TILCEPA workshop on
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Social Assessment of Protected Areas



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Front Cover: Clockwise from left: Hmong tourism guide, Sa Pa, Lào Cai, Vietnam; Serval (*Leptailurus serval*), Daniell Cheetah Breeding Farm, Kirkwood, South Africa; Sacred shamanic tree shrine, Jeju Island, South Korea; Wild tamma melon (*Citrillus lanatus*), Kalahari, South Africa; Bannerfish (*Heniochus acuminatus*), The Similan Islands Marine National Park, Thailand (photo by Jameie Tyler).

Back Cover: Clockwise from left: Ogiek man paints in a 3D model of his home territory in the Mau Forest Escarpment, Nessuit, Kenya; Dromedary camel (*Camelus dromedaries*) of Tuareg herders in the Aïr and Ténéré Natural Reserves UNESCO World Heritage Site, Niger; Monument in a reflecting pond, Angkor UNESCO World Heritage Site, Siem Reap, Cambodia; Young Hmong girls learning about tourism, Sa Pa, Lào Cai, Vietnam; Soft coral, The Similan Islands Marine National Park, Thailand (photo by Jameie Tyler).

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Main Workshop Summary Points

- There is substantial under-reporting by State parties on Element 2 of the UN Convention on Biological Diversity (**CBD**) Programme of Work on Protected Areas (**PoWPA**), which deals with Governance, Participation, Equity and Benefit Sharing;
- More effort needs to be given to raise awareness about the interdependence of successful Protected Areas and the participation of (and equitable benefit sharing with) a range of stakeholders, particularly local communities and indigenous peoples;
- Globally, there is improvement in Protected Areas Management Evaluation (**PAME**) reporting. Though PAME capacity is improving overall, there is still a notable weakness in reporting on social indicators related to Protected Areas;
- Research indicates that there is a statistical correlation between good overall Protected Areas Management Evaluation (PAME), effective public participation and social policy processes. Three of the top seven most significant correlated indicators for successful Protected Areas are related to community participation and benefits;
- There is statistical evidence of a positive correlation between land tenure resolution, access / benefit sharing processes and successful conservation of biodiversity;
- There is an opportunity to sensitise national Protected Areas agencies, CBD State Parties and civil society as to the importance of Social Assessment as an instrument for improving biodiversity conservation;
- A policy window is available for the promotion of Social Assessment within Protected Areas Management Evaluation. These opportunities include the 2010 in-depth review of the CBD's Programme of Work on Protected Areas (PoWPA), the revision of CBD biodiversity targets and the new CBD strategic plan to be adopted at COP10 by Parties to the Convention;
- Other policy opportunities include the Millennium Development Goals (**MDG**) reporting and review process and preparations for two major global conferences, the VIth World Parks Congress and Earth Summit 2010 (Rio+20);
- The Protected Areas, Equity and Livelihoods (**PAEL**) taskforce together with CARE International, IIED and UNEP-WCMC is developing a framework, standards and instruments for Social Assessment of Protected Areas (**SAPA**);
- SAPA is not yet fully developed. It needs to be promoted, test run and ramped up to be more widely known and available to those already or about to implement PAME, as one important use of such Social Assessment methodologies;

Clockwise from left: San rock art, Tsodilo Hills UNESCO World Heritage Site, Ngamiland, Botswana; Air & Ténéré Natural Reserves UNESCO World Heritage Site, Niger; Master black smith, Air & Ténéré Natural Reserves UNESCO World Heritage Site, Iférouane, Niger; Temple monument, Jeju Island, UNESCO World Heritage Site, South Korea; bottom image: Baka children, Doumassi, Woléu-Ntem, Gabon.

- There is an opportunity to promote synergies between PAME and SAPA by
 - a. Improving the quality, focus and availability of rapid assessment instruments for social assessment which can be embedded in existing PAME practices;
 - b. Where there are efforts to build PAME capacity, there is an opportunity to include SAPA capacity building;
 - c. There are lessons from the evolution of global PAME reporting which can inform SAPA implementation.
- CEESP-WCPA are important catalytic actors in building advocacy and technical alliances for the improvement of social assessment within PAME reporting and for the use of social assessments within conservation initiatives more generally;
- Social assessment considerations, frameworks and indicators need to be incorporated in other processes and mechanisms including the implementation of the CBD Strategic Plan, implementation of REDD+, and similar instruments which have an impact on biodiversity conservation;
- SAPA's significance increases with the challenge of climate change. Adaptation and mitigation actions both increase the need for participatory approaches and monitoring equity, rights and benefits, as well as the ever greater challenge of delivering successful ecosystems-based biodiversity conservation.

Below: Elephant conservation (*Loxodonta Africana*), Addo Elephant National Park, South Africa.



Introduction

In 2009, two of the International Union for the Conservation of Nature (IUCN) Commissions, CEESP and WCPA, held Steering Committee meetings which set out priority work for the 2009-2012 period. Both Commissions highlighted the importance of contributing to the review of the Convention on Biological Diversity's (CBD) Programme of Work on Protected Areas (PoWPA) which comes under review by Parties to the Convention in 2010, as well as the wider issues of governance, equity and rights that pertain to biodiversity conservation programmes more broadly.

The Commission on Environmental, Economic and Social Policy (CEESP) and the World Commission on Protected Areas (WCPA) share a *Strategic Direction on Governance, Communities, Equity and Livelihood Rights in Relation to Protected Areas* which deals with social issues pertaining to Protected Areas. Members of the Strategic Direction took on the responsibility of contributing to the PoWPA review process and elaborating ways to resolve areas of under-performance in the implementation of the PoWPA, notably Element 2.

Below: Abongo woman collects Okoumé (*Aucoumea klaineana*) resin for traditional lamp, Ikobey Commune, Ngounié, Gabon.



Programme Element 2: Governance, Participation, Equity and Benefit Sharing

Goal 2.1: To promote equity and benefit-sharing

Target: Establish by 2008 mechanisms for the equitable sharing of both costs and benefits arising from the establishment and management of protected areas.

Goal 2.2: To enhance and secure involvement of indigenous and local communities and relevant stakeholders

Target: Full and effective participation by 2008, of indigenous and local communities, in full respect of their rights and recognition of their responsibilities, consistent with national law and applicable international obligations, and the participation of relevant stakeholders, in the management of existing, and the establishment and management of new, protected areas

The IUCN report, *Next Steps in the Convention on Biological Diversity's Programme of Work on Protected Areas: Results of a consultation by the World Commission on Protected Areas* is due for distribution in 2010. The 2009 review process of the PoWPA indicated that the weakest area of implementation concerned Element 2 which addresses Governance, Participation, Equity and Benefit Sharing and thus specifically deals with rights and livelihoods of indigenous peoples and local communities affected by Protected Areas.

The CBD and IUCN reviews indicate that more progress has been made by State parties and conservation agencies in relation to biodiversity reporting and other management effectiveness areas than studying and reporting on the social context in which conservation takes place.

It is a premise of the CBD and the IUCN (elaborated in the outcomes of the Vth World Parks Congress of 2003 in Durban, South Africa), that biodiversity is primarily threatened by human behaviour and that biodiversity conservation needs to be rooted in a social, cultural and economic context which encourages effective stewardship of nature, of natural resources and of ecosystem services. This responsibility is to be approached as a partnership between State authorities, local communities and other stakeholders, including the private sector and the civil society.

Human usage of natural resources can sustain or destroy ecosystem capacity. The 2004 CBD *Addis Ababa Guidelines and Principles on the Sustainable Use of Biodiversity* affirms the principle that those communities and users who rely on biodiversity have inherent motivation to help with conservation as part of their traditional or local stewardship role. Where local stewardship is undermined, there are greater opportunities for overexploitation of resources. Poverty, conflict and / or competition over resources are drivers of biodiversity loss, inside and outside Protected Areas. Equally, the reverse scenario is true, that good stewardship of Protected Areas and other landscapes can result in important gains in conservation, sustainable livelihoods and the survival of local cultures and knowledge systems.

The failure to appreciate and act on the relationship between communities and conservation is central to the challenges of effective biodiversity conservation. Understanding, monitoring and supporting local participation, governance, livelihood and equity indicators places the users of biodiversity back in the equation of successful biodiversity stewardship inside and around Protected Areas. Exclusion of local and indigenous peoples reduces knowledge management capacity and excludes human resources necessary to meet biodiversity conservation targets.

Moreover, State conservation agencies need to appreciate how and why they are reporting on social indicators related to Protected Areas, as part of their overall capacity building to effectively protect biodiversity. This understanding needs to be effectively transmitted to the national authorities who set Protected Areas agency budgets and mandates. Protected Areas management effectiveness and the equitable benefit sharing arising from conservation need to be embedded in national development programmes and actions.

Furthermore, transparent reporting on the positive and negative impact of Protected Areas through social indicators helps to engage civil society (including indigenous peoples, local communities, traditional authorities, NGOs, faith-based institutions and private sector) in the shared obligation to conserve biodiversity and work cooperatively with State agencies and resist further degradation of biodiversity and ecosystems.

At the joint IUCN-CBD International Workshop on the Future of the CBD Programme of Work on Protected Areas, Jeju Island, South Korea (14-17 September 2009), members of the Strategic Direction on Governance, Communities, Equity and Livelihood Rights in Relation to Protected Areas (which includes TILCEPA and PAEL) and the WCPA Science and Management Strategic Direction identified the importance of State reporting on social assessment indicators (on governance, participation, equity, rights and livelihoods) within national and multilateral frameworks as a strategic area which could be strengthened.

PAME-SAPA workshop background

At the CEESP Steering Committee in Bangkok, Thailand (27-28 November 2009), it was agreed to hold a workshop to share experiences between three constituencies in the CEESP-WCPA cluster of IUCN Commissions, namely the Protected Areas Equity and Livelihoods (PAEL) taskforce, the Theme on Indigenous Peoples and Local Communities, Equity and Protected Areas (TILCEPA), and the focal point on Protected Areas Management Evaluation (PAME) in the WCPA. This meeting was conducted in Bangkok, Thailand (18-19 February 2010) with the following objectives:

1. Review the current situation regarding social assessment in PA Management Evaluation and reporting;
2. Review the progress of PAEL's Social Assessment in Protected Areas (SAPA) work;
3. Identify synergies and mutually reinforcing lessons between PAME and SAPA;
4. Discuss other potential opportunities to incorporate social assessments within conservation initiatives;
5. Set out a strategy and communication plan to help CBD Parties and stakeholders understand how social policy in the PoWPA can be more effectively achieved in the new CBD work plan;
6. Harmonise the work of TILCEPA and PAEL in their joint mandates under CEESP and WCPA.

Below: Shrimp and prawns, Hanoi market, Vietnam.



Social Indicators within current Protected Areas Management Evaluation (PAME)

By Marc Hockings, World Commission on Protected Areas

Marc Hockings reviewed the history of Protected Areas Management Evaluation (PAME), and attempts to integrate social indicators within national targets and global norms in Protected Areas management. The University of Queensland, in cooperation with WCPA, UN CBD Secretariat and the UNEP World Conservation Monitoring Centre (WCMC), helps process national reports on Management Effectiveness Indicators (MEI) to establish comparable data across the planet.

MEIs create baselines which become measures for assessing progress in Protected Areas management. MEIs serve the function of creating baseline data for site level managers to help them understand a spectrum of issues relevant to improve Protected Areas management over time. In some cases, site information is aggregated by national authorities and helps create national management targets for consistency of capacity across the system. National reporting can feed into sub-regional, regional and eventual global reporting systems to give an accurate picture of management capacity of Protected Areas.

There are over forty-two PAME methodologies in use by member states of the United Nations. Most have been developed using the IUCN WCPA Management Effectiveness Evaluation Framework. Many have been developed by non-governmental agencies and then implemented and usually modified by national Protected Areas agencies.

Hockings emphasised that different countries have diverse needs and circumstances. The approach of the WCPA and UNEP-WCMC has not been to encourage the use of a single methodology but rather to accept that diversity is a characteristic of PAME. National agencies should be encouraged to modify methodologies for their own circumstances but also be aware of the gaps in reporting. This is likely to be the same with Social Assessment methods and indicators. State agencies should be encouraged to find a methodology to suit their needs and then grow their capacity to study, learn from and report on PAMEs. WCPA's view is that it is important to institutionalise PAME as an ongoing process, rather than have punctuated once-off assessments.

Below: Fishing woman, Ha Long Bay UNESCO World Heritage Site, Vietnam.



Improving Social Indicators in PAME

It is important to distinguish between data collection on *biodiversity* and data on *management effectiveness*. The assumption is that improved management effectiveness monitoring allows fine-tuning of the collection of data on biodiversity and generating actions to address threats and recognise opportunities. Similarly with social indicators, the goal is to make sure that management capacity and competence related to social assessment will in turn generate indicators, methods and baseline data, which, on a cyclical basis allows decisions to be made in a dynamic and progressive way. Where appropriate, more in-depth investigation can be undertaken or contracted in cooperation with agencies with greater expert capacity.



Hockings highlighted that:

Above: Red Starfish (*Fromea milleporella*), The Similan Islands National Park, Thailand. Photo by Jameie Tyler.

- PAME should lead to **adaptive** management – managers at different levels should understand current strengths and weaknesses and self-adjust their actions according to the results. It is a challenge to make sure evaluation is used as a learning opportunity for improving management. For example, social indicators help management understand the value of consultation, inclusivity, and local knowledge which in turn shapes and informs changes in policies and practices;
- PAME helps allocate resources efficiently (prioritising human and financial resource allocation);
- Site managers are less likely to be trained in social assessment research and related functions, and may need additional help in collecting and reporting on social indicators;
- National Protected Areas agencies may need support in elaborating policies relevant to including stakeholder forums and cyclical, participatory social assessment;
- Social indicators create a baseline for accountability and transparency. Governments are often sensitive about releasing information, especially if it does not put them in a good light. Those coaching the reporting process need to be sensitive to the political context and act responsibly with that information;
- PAME helps build a supportive constituency. Where stakeholder are able to participate in PAME they gain greater understanding of the management challenges and can contribute their own values, knowledge and cultural expertise to data collection and problem solving. If the evaluation involves both communities and PA managers, it can build better mutual understanding and cooperation.

WCPA assessment framework

The WCPA PAME Framework sets out the elements and broad criteria for assessment but specific indicators are developed within individual evaluation methodologies which vary in depth and assessment approach. Social criteria and indicators are already included in the Framework and various evaluation methodologies, but any elaboration or addition of criteria and indicators would need to take into account this diversity of approaches to assessment.

Social Assessment methodologies, if undertaken concurrently or in addition to PAME studies, add to processes for generating information and awareness of issues related to management. Social Assessment methodologies involve a whole range of natural resource dependent communities and stakeholders at any particular location and with tailored methodologies and processes to suit relevant cultural and political contexts. This complements the processes undertaken to generate data for PAME collected primarily from management agency staff. While the IUCN-WCPA PAME Framework stresses the desirability of including local communities and other stakeholders in the assessment process and in providing detailed evidence and justification for assessments of management, it is nevertheless true that many assessment methods rely strongly on the expert opinion of managers.

Social Assessments provide the opportunity for good triangulation of data at any given location on effectiveness of management and its social impacts from different perspectives: not only from managers but other groups affected (or potentially affected) by a particular management regime at given locations. Incorporating broad stakeholder participation from the outset is very important in any assessments related to natural resource management and methodologies for social assessments can enhance this process within PAME frameworks more generally. The idea is to start progressively generating social assessment data through an overall standards framework in several locations across the globe that can then be aggregated and reported in the World Data Base on Protected Areas (WDPA).

PAME currently in use and relevant information for social assessments

PAME studies are undertaken in 128 countries using approximately 42 different methodologies. There are 192 signatory States to the CBD, indicating that 67% of member states have some PAME reporting in place and 33% either have no Protected Areas, no PAME, or are failing to report at the multilateral level.

The top five PAME methods account for almost 90% of usage. Examples of PAME can be found at www.wdpa.org/me. The most common methodologies include:

- Management Effectiveness Tracking Tool (**METT**) – WWF & World Bank to track change, also picked by Global Environment Fund (GEF);
- Rapid Assessment and Prioritisation of Protected Areas (**RAPPAM**) – WWF one of the most widely applied by NGOs;
- **Parks in Peril** Scorecard – NGO/donor initiated;
- Enhancing our Heritage (**EOH**): World Heritage Site management assessment.

Global Study on PAME

Data in the PAME global study is currently available from about 4000 Protected Areas sites with a vast diversity of indicators that have been grouped into 45 headline indicators. These indicators address a range of topics relevant to social assessment such as aspects of planning and effectiveness including consultation with communities.

The *Global Study on PAME* demonstrated that out of the 45 parameters measured to ascertain Management Effectiveness, seven of them had the highest correlation with outcomes. Of those seven, three are related to community outcomes namely: *Communication program; Program of community benefit; Involvement of communities and stakeholders*. The best run Protected Areas are more likely to demonstrate effective communication programmes, community benefit programmes and involve indigenous peoples and / or local communities. Some more detailed results indicate, for instance, that resolution of land tenure issues correlates with the best results in biodiversity conservation.



Above: San from South Africa, Namibia and Botswana discuss traditional plant knowledge, IPACC-GDF Workshop, Dq̄ae Qare Game Farm, Ghanzi District, Botswana.

The implication of the statistical results above is that those Protected Areas which exhibit stronger overall management effectiveness indicators are also likely to have systematically involved local communities and stakeholders in decision making.

Biodiversity conservation benefits from resolution of land tenure, improved communication processes, and equitable access and benefit sharing. We need to be careful about cause and effect in such statistics, but it appears to be an important trend in the global picture signalling the fact that the better the management, the more likely there will be positive social indicators.

In sum, the global study of PAMEs provides good rationale for increased attention to social assessments. Rigorous research is starting to demonstrate that engagement of the social actors and social dimensions affecting Protected Areas management is ultimately very important to improving biodiversity conservation. This observation alone is not new in the literature or practice of conservation, but the relevance of national and global PAME results is that managers themselves are recognising that such factors are strong contributors to management effectiveness. Full details of the results of the analysis of PAME data is available in the Global Study report at <http://www.wdpa.org/me/global.aspx>

Social Assessment of Protected Areas

By Lea M. Scherl & Phil Franks, Protected Areas Equity and Livelihoods (PAEL) Taskforce

Scherl and Franks provided an historical overview of the emergence of PAEL and the SAPA initiative (see timeline matrix below). Whilst PAEL's mandate and objectives are broader than Social Assessments, this latter has been one of the focuses of PAEL's work along with contributing to policy development related to conservation and poverty reduction.

Social Assessment of Protected Areas

PAEL taskforce created a specialised working group together with other partners (UNEP-WCMC, IIED and CARE International), on the elaboration of rapid social assessment methodologies relevant to Protected Areas and other conservation activities. This inter-disciplinary and inter-agency working group benefits from being part of the activities carried out under the umbrella of the broader global network: the *Poverty and Conservation Learning Group* (hosted by IIED) and the activities of UNEP-WCMC to improve its World Database on Protected Areas, particularly related to social dimensions.

The SAPA initiative emerged after a series of discussions on the scope of the PAEL taskforce when it was first created by the IUCN Commissions. The discussions highlighted differing views on the use of terms such as *poverty reduction* and *livelihoods*. PAEL's team emphasised the importance of addressing a range of social equity issues, including livelihoods, poverty reduction, equity, rights and participation in decision-making, governance and access and benefits of the sustainable use of genetic resources.

The SAPA initiative emerged out of the concern that TILCEPA should not only focus on governance but also on the actual social outcomes associated with establishment and management of Protected Areas (i.e. cost / benefit equity) and the extent to which the governance interventions promoted by IUCN and other conservation actors actually deliver improved social outcomes.

PAEL and UNEP-WCMC hosted a workshop to Review Approaches, Methodologies and Tools for Social Assessment of Protected Areas in Cambridge, United Kingdom (15 - 16 May, 2008). The workshop brought together participants with a wide range of experience and interests, including Protected Areas practitioners, representatives from NGOs and government, and academics from the biological and social sciences

This workshop constituted one event in a wider process to identify and develop methodologies, and indicators, for assessing the social impact of Protected Areas, with the potential to incorporate these assessments into national and international Protected Areas policy. The goal of the overall process, defined by discussion at the workshop, was to:

“identify/develop and evaluate a range of methodologies and tools for assessing the social impacts of protected areas that enable conservation policy and practice to better adhere to the globally accepted principle that protected areas should strive to contribute to poverty reduction at the local level, and at the very minimum must not contribute to or exacerbate poverty”

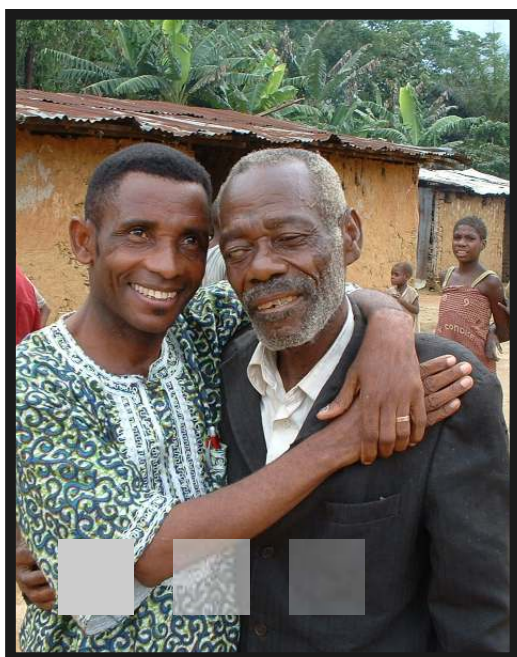
The following question was agreed as providing the overall guidance for the SAPA initiative's next steps: *To what extent are protected areas contributing to changes (positive/negative/intended or not) in human wellbeing at the local level?*

The term “well being” is broadly applied in this case and includes local understanding(s) and definitions of poverty.

Outputs from the workshop were:

- A table of potential users of social impact methodologies, and their objectives and requirements;
- A table outlining the different characteristics of social impact methodologies;
- A synthesis of the methodologies used, and lessons learned, by the workshop participants;
- A timetable and work plan, outlining the next steps of the working group.

The full report is available at: <http://conserveonline.org/workspaces/socialimpact>



Above: Bakoya leader Leonard Fabrice Odambo embraces an elder, Mékambo, Ogooué-Ivindo, Gabon.

A forthcoming publication by IIED under its Natural Resource Issues series is due out in April/May 2010: *Social Assessment of Conservation Initiatives: A Review of Rapid Methodologies*. An output of the *Social Assessment of Protected Areas (SAPA) Initiative*.

This publication addresses the issue that no standard methodology exists to assess the social impact of Protected Areas in spite of a growing interest in ensuring that they fulfil a range of social objectives as well as their more conventional conservation objectives. The publication aims to contribute to the development of rapid methodologies to assess the social impacts of Protected Areas. It reviews conceptual models and frameworks relevant to addressing social impacts of Protected Areas and identifies those mostly frequently in use.

The SAPA report proposes an overarching framework that combines different elements of various existing frameworks as a guide to social assessments. It reviews 30 distinct methods and methodologies used to assess social impacts either in Protected Areas or other relevant contexts. Nearly 200 indicators were recorded and summarised in the report. The report also summarises the most commonly applied research tools.

A number of challenges were identified such as:

- a. *attribution* - the causal relationship between the presence of a Protected Area and a social condition needs to be carefully examined and confirmed;
- b. how information will be used, by whom, for what purposes?;
- c. the fact that social assessments are not necessarily participatory; research is not consistently designed and executed with stakeholder participation or empowerment which generates problems for both process and results.

Finally, a draft decision-making framework for designing a rapid social impact assessment of Protected Areas was presented to serve as a platform to continue the refinement and application of social assessment methodologies into the future.

PAME-SAPA Workshop Observations

Participants at the PAME-SAPA workshop in Bangkok made the following observations:

- Similar to the PAME work, within SAPA processes it was not always evident that social indicators were used for *adaptive* management. Learning opportunities provided by social assessment were not always evident or systematic;
- The relationship between social assessment and governance types needs further attention. There were assumptions in some of the existing research that any form of public consultation could be seen as an equivalent to sharing of power in decision-making. This was particularly an issue in assessing various **c o - m a n a g e m e n t** arrangements where there could be a substantial gap between the right to participate in certain forums and the mandate to take certain decisions or be involved in decision-making;



Above: Ice-fishing in Oulujärvi, Kainuu, Finland.

- There is scope for further discussion with indigenous peoples, local communities, NGOs, site managers and policy makers about what constitutes good Protected Areas governance and how this correlates with both biodiversity conservation outcomes (e.g. shared visions, cooperative action, public involvement in the core mission) and social outcomes (e.g. linking benefits of conservation with livelihoods, sustainability, social cohesion, cultural resilience and integrity);
- PAEL taskforce has promoted a ‘Do No Harm’ principle for Protected Areas, according to which PAs should not undermine livelihoods, but rather contribute to sustainable livelihoods, promote equitable practices, avoid social exclusion / discrimination, improve democratic decision-making, reduce corruption and abuse of power. This is an important overall ethical consideration to take into account in SAPA;
- SAPA is more about promotion of equity and rights; it is not designed for adversarial “*name & shame actions*”. SAPA can be used by a broad range of actors, from managers, to local communities, to third party agencies such as universities or NGOs;
- Climate change mitigation and adaptation actions need also to shape the evolution of SAPA implementation. New forms of Protected Areas are due to emerge with the implementation of REDD+ projects in tropical forests. New threats are due to arise as communities become stressed from reduced food security and Protected Areas are increasingly under pressure for land, resources and ability to provide ecosystems services for local and distant use.

Table 1: SAPA initiative Timeline of Activities

Vth World Parks Congress (WPC) Recommendation 5.29 on Protected Areas & Poverty, Durban, South Africa (2003);

Publication on Protected Areas and Poverty launched at the World Conservation Congress in Bangkok, Thailand (2004);

Conservation organisations encouraged to fund the assessment of the economic and socio-cultural impacts occurring from the establishment and maintenance of Protected Areas, World Conservation Congress, Bangkok, Thailand (2004);

Poverty & Conservation Learning Group established; a forum that supports information exchange and enhanced knowledge on topics related to social dimensions of conservation initiatives (2005);

CBD COP8 side event organised by TILCEPA sub-group working on the links between PAs, Poverty reduction and livelihoods with other partners, Curitiba, Brazil (2006);

PAEL established as a joint Task Force of CEESP and WCPA (2006);

Vision 2020 workshop within UNEP WCMC – discussion on how to integrate socio-economic data into the World Database on Protected Areas (2007);

Two regional PAEL taskforce workshops held in Thailand and Kenya (2007);

Groups and organisations members of the Poverty and Conservation Learning Group note the need for an agreed framework on Social Assessment in Protected Areas (SAPA)(2007);

Side-event on SAPA at CBD POWPA meeting, Rome, Italy (2008);

Side-event at WCMC with practitioners/professionals from different organizations that have used social assessment methodologies to address different elements of a SAPA initiative and develop a working strategy, Cambridge, United Kingdom (2008);

SAPA methodologies workshops at CBD COP9, Bonn, Germany (2008);

SAPA methodologies workshops at WCC, Barcelona, Spain (2008);

Draft Report on Social Assessment of Protected Areas: A Review of rapid assessment methodologies prepared. Final Publication by IIED available in April 2010.

Conclusion:

PAME & SAPA - lessons and implications

The workshop participants noted the strong synergies between PAME and SAPA. The two fields of work were seen as a Venn diagram with a significant overlap and also distinct elements of unrelated activity. Much of PAME does not involve social assessment, and SAPA involves tools and processes which should be autonomous from the role of managers.

The Bangkok PAME-SAPA workshop was premised on the idea that what has been learned in the evolution of global standards for good PAME and MEI could be relevant and useful for Social Assessment and *vice versa*. The PAEL taskforce work on SAPA could help fill gaps and provide insights into strengthening social indicators in national PAME reporting, particularly in the context of implementing PoWPA's Element 2. Also PAME work tends to start at site level and be aggregated upwards to a system level, which is not yet the case for social assessment. Social assessments tend to be conducted at site level and then not drawn upwards into national policy making. The aggregation of research at site level upwards to facilitate higher level reflections and decision-making at policy level is something that PAME can contribute to SAPA.

It was agreed as a primary recommendation that PAEL's work with partners related to SAPA should be more effectively fed into PAME capacity building in the post-2010 efforts to implement POWPA and promote good practices of PA management.

SAPA and PAME in the context of Social Movements & State Parties

IUCN is a network that brings together civil society, academic and scientific specialists with State representatives to find a common approach to the conservation of biodiversity and a sustainable approach to life on Earth. In keeping with United Nations' principles, IUCN recognises the importance of community-based stewardship of natural resources and the need to encourage dialogue between the public and State agencies responsible for conservation. Rather than lecturing State representatives about the value of Element 2 of PoWPA, the aim for IUCN needs to be helping national Protected Areas agencies institute proper Social Assessment within existing PAME capacity building efforts, and in so doing trigger greater transparency, dialogue and adaptive management.

It was further noted that SAPA is not just a technical process of embedding new questions in PAME processes. The goal of embedding elements of SAPA in PAME is to stimulate new platforms of dialogue between State agencies, scientists and local communities, including indigenous peoples. In some countries, this process may be advanced and satisfactory. In others, complex power and political issues may mean that Protected Areas are contested spaces, and that contestation may be weakening the ability of both the State and users / stewards of biodiversity to maintain biological diversity and ecosystem resilience. The modern approach to conservation needs to be built on principles of good governance, consultation, participation and diversity of knowledge systems all of which contribute to success in conservation of biodiversity.

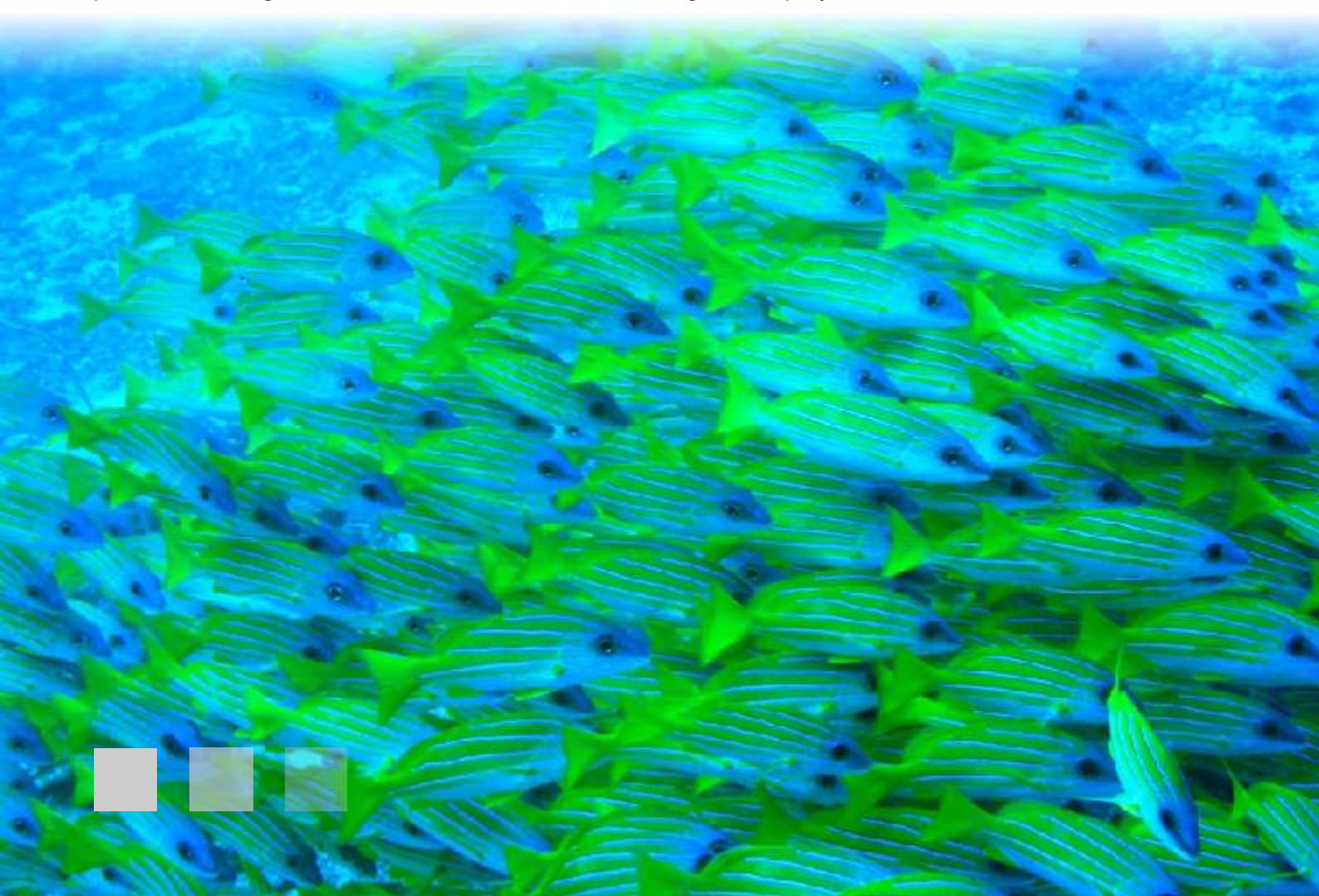
It is important for IUCN and promoters of assessment methodologies to be respectful of both the self-determination of indigenous peoples and of State sovereignty. Promotion of SAPA should be seen as a process that involves different actors, stakeholders and rights-holders finding or improving their space for dialogue and mutual understanding. The ultimate goal is solidarity in the efforts of different actors to help conserve biodiversity in the context of social justice, economic equity, human rights and maintenance of human cultural diversity.

SAPA is a concrete example of linking conservation with human rights. Social assessment, when transparent and participatory, affirms the right of indigenous peoples and local communities to attest to the impact of Protected Areas and envision what it could be.

TILCEPA's report from the meeting on the International Workshop on the Future of the POWPA, Jeju Island, Korea (Sept 2009) noted that Governance and Participation reporting should be addressed urgently in the implementation of Element 2. The report argued that equity and livelihoods would arise from local / national social processes built on successful implementation of governance and participation. It was agreed in Bangkok that there is need for a broader, multi-dimensional strategy. Capacity building and advocacy in addressing all of the social dimensions of conservation need to be more integrated.

The Bangkok workshop re-connected the different themes inside TILCEPA and indicated the need for improved communications, visioning and representation of specialist areas within the Commissions. The Bangkok meeting focussed primarily on social assessment frameworks and indicators, but there are other themes in the Strategic Direction, including Indigenous Peoples' and Local Communities' Conserved Areas (ICCAs), human rights in relation to conservation, the broader issue of biodiversity as an under-pinning of sustainable livelihoods, the threats to intergenerational transmission of highly specialist knowledge and values related to biodiversity, and other themes including access to and equitable sharing of benefit from genetic resources.

It was further noted that local and traditional knowledge play an important and under-recognised role in Protected Areas management, governance and conservation of biodiversity. The CBD and related instruments, such as those associated with the UNESCO Universal Declaration on Cultural Diversity, could be mobilised to help open up acceptance of diverse knowledge systems and problem solving which would be an asset in achieving both equity and conservation.



Advocacy Priorities

- POWPA Element 2 already recognises the need for social assessment to be conducted. There is nothing wrong with the CBD multilateral instrument; the challenge is the capacity and/or will of States to implement;
- Political will to implement SAPA is likely to arise from ground-up promotion (i.e. national commitments driven by effective promotion and advocacy). Effective piloting of SAPA elements embedded in national PAME will be more convincing for those State parties and national PA agencies who are not applying PoWPA than would further directives from the UN or IUCN levels;
- TILCEPA-PAEL are to identify geopolitically influential and progressive countries to implement pilot work – suggestions include Indonesia, Uganda, Brazil and Bolivia;
- PAME was often initiated by NGOs, including major Conservation NGOs, but it only became integrated and influential in policy and practices when it was understood, adopted and owned by national implementing agencies. This is going to be true for SAPA as well. IUCN can facilitate linkages between donors, technical expert agencies, national research agencies and national Protected Areas agencies.

Previous Page: School of Bluestripe snapper (*Lutjanus kasmira*), The Similan Islands National Park, Thailand. Photo by Jameie Tyler.

Below: Hmong certified tourism guide demonstrates traditional musical instruments, Sa Pa, Vietnam.



Table 2: Promoting SAPA within PAME

Strategy	Multilateral instruments	Regions, sub-regions, national agencies	Civil society movements
Influence Stakeholders	<ul style="list-style-type: none"> • Hold side events at SBSTTA 14 and COP10; • Promote refreshing of PoWPA agreement with emphasis on achieving Element 2 results; • Outreach and alliances with major CS groups; • Follow a geopolitical strategy: find committed G77 allies; • PoWPA Text Goal: No Changes! • Risk analysis 	<p>Seek alliances with progressive States already competent in PAME / MEI reporting;</p> <p>Encourage sub-regional meetings on the PoWPA Element 2 challenges.</p>	<p>National / regional ILC networks (IIFB, AIPP, IPACC, ABN, CISA, COICA, IAITPTF, ICC, Saami Council, WAMIP, AFN, FAIRA, RAIPON, WIMSA, etc) and NGOs (Amazon Alliance, Via Campesina CBD Alliance, GFC, etc)</p>
Implement pilots and build capacity	<ul style="list-style-type: none"> • Construct pilots / show clear results of correlation between participation / benefits and biodiversity conservation as evidence; • Consider geopolitical dynamics – influence the influential actors across the planet; • Have a comprehensive SAPA report available for COP10 (e.g. study in Forest PAs in Africa with CARE & IUCN, Indonesia + 3 other countries Marine PAs TNC, Benefit Assessment Tools by WWF) • Elaborate Project proposal • Identify and monitor risks 	<p>State parties with existing or emerging SAPA sites</p>	<p>Identify indigenous and local networks already engaged in indicator monitoring, Protected Areas dialogue forums and governance, recognised ICCAs;</p> <p>Concrete experiences are convincing – state driven motivation for SAPA</p> <ul style="list-style-type: none"> • WWF BAT; • IUCN – CARE Forest SAPA; • TNC MPA (Asia-Pacific)

Annex 1: Acronyms

ABN	= African Biodiversity Network
AFN	= Assembly of First Nations (Canada)
AIPP	= Asia Indigenous Peoples Pact
BAT	= Benefit Assessment Tool
CBD	= Convention on Biological Diversity
CEESP	= IUCN Commission on Environment, Economics and Social Policy
CISA	= Consejo Indio de Sud America
COICA	= La Coordinadora de las Organizaciones Indígenas de la Cuenca Amazónica
EMRIP	= UN Expert Mechanism on the Rights of Indigenous Peoples
FAIRA	= Foundation for Aboriginal and Islander Research Action Aboriginal Corporation
GFC	= Global Forest Coalition
IAITPTF	= International Alliance of Indigenous and Tribal Peoples of Tropical Forests
ICC	= Inuit Circumpolar Conference
ICCA	= Indigenous Peoples and Local Community Conserved Areas
IIED	= International Institute for Environment and Development
IIFB	= International Indigenous Forum on Biodiversity
ILC	= Indigenous peoples and local communities (CBD designation)
IPACC	= Indigenous Peoples of Africa Coordinating Committee
IUCN	= International Union for the Conservation of Nature
MDG	= Millennium Development Goals
MEI	= Management Effectiveness Indicators
PACOS Trust	= Partners of Community Organisations, Malaysia
PAEL	= Protected Areas Equity and Livelihoods Task Force
PAME	= Protected Areas Management Evaluation
PoWPA	= CBD Programme of Work on Protected Areas
RAIPON	= Russian Association of Indigenous Peoples of the North
REDD+	= Reduced Emissions from Deforestation and Degradation
SAPA	= Social Assessment of Protected Areas
SBSTTA	= CBD Subsidiary Body on Scientific, Technical and Technological Advice;
TILCEPA	= Theme on Indigenous Peoples and Local Communities, Equity and Protected Areas
WAMIP	= World Alliance of Mobile Indigenous Peoples
WCMC	= UNEP World Conservation Monitoring Centre
WCPA	= IUCN World Commission on Protected Areas
WDPA	= World Database on Protected Areas
WIMSA	= Working Group of Indigenous Peoples of Southern Africa

Annex 2: References & Further Reading

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For case studies see: <http://www.csc.noaa.gov/mpass/casestudies.html>.

Overseas Development Institute SAPA home page:
<http://www.odi.org.uk/projects/details.asp?id=1035&title=social-assessment-protected-areas>.

PACOS Trust: <http://www.sabah.net.my/PACOS/>.

PAME methodologies and WDPA: <http://www.wdpa.org/me/global.aspx>, www.wdpa.org/me

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<http://www.povertyandconservation.info/en/activity.php>.

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WDPA overview of MEI / PAME systems in use: <http://www.wdpa.org/ME/tools.aspx>

WWF Protected Areas - Benefit Assessment Tool (BAT) urls:

WWF PA - BAT home page:
http://www.panda.org/what_we_do/how_we_work/conservation/forests/publications/?uNewsID=174401

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Workshop to Review Approaches, Methodologies and Tools for Social Assessment of Protected Areas at: <http://conserveonline.org/workspaces/socialimpact>

World Bank PAME module: <http://www.wdpa.org/ME/PDF/WWFWBMPA.pdf>



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