**DRAFT – FOR PARTICIPANTS' REVIEW**

# Workshop to Review Approaches, Methodologies and Tools for Social Assessment of Protected Areas

## UNEP-World Conservation Monitoring Centre, Cambridge (UK)
## 15 – 16 May, 2008

# Workshop Report

## Contents

## 1.    Summary

On 15 – 16th May, a workshop was held at the UNEP-World Conservation Monitoring Centre, in Cambridge, UK to review approaches, methodologies and tools for the social assessment of protected areas. The workshop brought together participants with a wide range of experience and interests, including protected area practitioners, representatives from NGOs and government, and academics from the biological and social sciences.

The workshop was facilitated and supported by the Protected Areas, Equity, and Livelihoods (PAEL) Taskforce, the UNEP-WCMC Vision 2020 project, the International Institute for Environment and Development (IIED) Poverty and Learning Group, CARE International and The Nature Conservancy[1].  The meeting constitutes one stage in a wider process to identify and develop methodologies 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, is 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'.*

Following participant presentations and a discussion, all agreed on using the following question to guide the overall work of the project'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 –in context of access and benefit sharing, rights cultural aspects, etc).

The workshop produced several outputs (all available in detail at Conserveonline):

- A table of potential users of social assessment methodologies, and their objectives and requirements

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[1] The organizing team consisted of: Colleen Corrigan and Lauren Coad (WCMC), Phil Franks (CARE), Lea M. Scherl (TNC) and Dilys Roe (IIED)

- A table outlining the different characteristics of social assessment 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.

Next steps include:

- **Organization of Workshop** to coincide with the World Conservation Congress, October 5-9, 2008[2].

    a. The October workshop should be used to organise 2 – 3 groups to field-test different methodologies (from rapid to comprehensive assessment).
    b. Two sub-groups were formed at the workshop to better understand two approaches to protected area impact assessment methodologies.

        i. **Comprehensive Social Assessment**: Patrick Christie, Patrick Fong (coordinating with GEF), Paul Ferraro, Lee Risby, Phil Franks, Lauren Coad and Kwaw Adnam. Kwaw will coordinate the group.
        ii. **Rapid Social Assessment**: Colleen Corrigan, Phil Franks, Lea Scherl, Neil Burgess, Seema Bhatt, Luis Pabon, David Wilkie, Moses Mapesa. Colleen will coordinate the group.

- **Development of a Work plan** for the testing of methodologies:

    a. **Engage** the Convention on Biological Diversity Secretariat (SCBD) to help take the lead in producing a framework for Parties. NGOs will help by providing capacity and assist countries in adopting methodologies.
    b. **Site Selection for Field-testing:** A number of participants suggested that they could help find field sites for testing methodologies. Sites need to test both methodologies so that more comprehensive assessment can be used to validate rapid assessment and vice-versa.
    c. **Funding:** The working group is currently identifying funding opportunities for the testing of the two methodologies, and a further meeting of the working group in October.

In addition, an overall project workplan will need to be developed that includes the following essential components (some in progress, some requiring funds):

- A formal assessment of the existing approaches, tools, methodologies (including application of these as informed by a global survey), against a set of questions that aim to elucidate the relevant elements of social assessments [Note to talk about impacts and benefits does not make sense because impacts can be either positive, ie. benefits, or negative] (addressed as part of the workshop, and being continued at UNEP-WCMC).

- A formal assessment of representative case studies against a set of questions and criteria developed by the Protected Areas, Equity and Livelihoods (PAEL) Task Force that scores each study in terms of what elements of social assessments it has addressed (work underway at UNEP-WCMC)

- A global, comprehensive formal literature review of the grey and scientific literature on protected areas, their social costs and benefits (completed for forest protected areas: PDF).

- Development of a proposed general framework for PA assessment, set of tools (or tool), and guidelines that can be put forward for discussion and endorsement by the WCPA and the CBD.

## 2.     Background and Workshop Objectives

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[2] August 2008; Co-ordinating team held a phone conference to plan a small meeting at WCC. The meeting will clarify: 1) the intent and aims of each methodology 2) scope for field application and 3) requirement for site selection. The team also discussed the agenda for an early 2009 workshop, to review and finalise the methodologies and provide training for key field staff at selected sites. More details will be available in October 2008.

Protected areas (PAs) should strive to contribute to poverty reduction at the local level, and at the very minimum must not contribute to or exacerbate poverty (*rec. #29 of the World Parks Congress 2003*). Despite various reviews and the favourable political environment provided through the Convention on Biological Diversity's Programme of Work on Protected Areas (POWPA) (notably activity 2.1.1 on assessment of costs and benefits of PAs), little information has been collected in a systematic way to test whether PAs are making a positive or negative contribution to the livelihoods of people living within, immediately adjacent to, or further away from them.  Evidence of social impacts[3] is frequently derived indirectly from process indicators and the little information that does exist rarely looks at differentiation of impact within or across communities.  Much attention has been focused on the participation of communities in PA management but it cannot be assumed that this leads to improved social conditions, and often it doesn't.  As this is such an important issue, various agencies and individuals have started to develop or adapt methodologies to assess the social impacts of protected areas. However, at present there is no standardized approach for undertaking these kinds of assessments.

Social Assessments of protected areas are a complex undertaking fraught with both conceptual and methodological challenges.  In the absence of common understanding on key concepts and consensus on approaches, a multitude of different methodologies and tools have been developed and applied.  Not surprisingly studies using these different approaches frequently come to very different and often conflicting conclusions.  This confusion and conflict is undermining efforts to address the social dimension of PA conservation, and specifically progress in delivering on commitments made at the World Parks Congress and in the CBD Programme of Work on PAs.

A number of conservation and humanitarian initiatives and agencies have identified this as a challenge that needs to be addressed, including the recently formed Protected Areas, Equity and Livelihoods (PAEL) Task Force (under the Strategic Direction of Governance, Equity and Livelihoods cross-cutting two technical IUCN commissions: the Commission on Environmental, Economic and Social Policy and the World Commission on Protected Areas), and the UNEP-WCMC Vision 2020 project which seeks to expand the World Database on Protected Areas (WDPA) to cover social, cultural and economic issues as well as develop indicators related to PAs and social impacts.

The workshop described in this document is part of a process to address this challenge that is being facilitated and supported by the Protected Areas, Equity and Livelihoods taskforce (WCPA-CEESP, IUCN) Task Force, the UNEP-WCMC Vision 2020 project, the IIED Poverty and Conservation Learning Group, CARE International and The Nature Conservancy.  The (provisional) objective of this process is *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 process comprises the following stages:

1. A literature review of all relevant scientific and grey literature on approaches, methodologies and tools for assessing social impacts of PAs leading to:
   o Preparation of a background paper (available as an online PDF)
   o An initial characterization of existing methodologies and tools.

2. A first workshop in mid May 2008.

3. A second workshop near the World Conservation Congress in October 2008 to design/plan a field-testing program for selected methodologies/tools.

4. Field-testing of selected methodologies and their associated tools (Jan-Sept '09).

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[3] The term "social impact" is used here to include any impact (of a PA), positive or negative,  that affects the social, cultural and/or economic wellbeing of indigenous and local communities

5. A third workshop in late 2009 to synthesis experience to be documented in the form of best practice guidelines.

Given the range of different potential users with different objectives, it is important to note that we are referring to social assessments of PAs in the broadest sense. This includes simple and quick forms of assessment as well as more rigorous forms of evaluation.

**Workshop Objectives**

1. Develop a framework that characterizes the different objectives in social assessment of PA, and the different ways in which results may be applied to conservation policy-making and practice.

2. Identify key criteria that can be used to characterize/differentiate different impact assessment methodologies/tools in terms of key differences in approach, scientific methods, purposes, underlying values and cost.

3. Identify gaps requiring methodology development.

4. Identify future working group objectives and activities, and develop a timetable for further work.

## 3. Workshop Agenda

A copy of the workshop agenda is included in Annex 1.

**Day 1: Thursday 15th May**

The workshop began with an introduction from Jon Hutton, welcoming participants to the workshop, and providing an introduction to UNEP-WCMC and the Centre. This was followed by self-introductions from all the participants.

Phil Franks (CARE) began the morning session with a presentation on the overall framework and objectives of the workshop, and the working group. This was followed by a group exercise to identify the main users of methodologies/tools to measure the social impact of protected areas, and the objectives and questions that these users may want to address, facilitated by Colleen Corrigan and Lea M. Scherl

In the afternoon Neil Burgess (WWF US) began the session with a presentation on existing methodologies and tools. This was followed by 10-minute presentations by each of the participants, providing an overview of the methods that they have used, and their pros and cons. During these presentations, participants were asked to write down criteria for differentiating between, or characterising different methodologies, on cards provided.

**Day 2: Friday 16th May**

The morning session began with a brief discussion on the goals of the overall aims of the working group and the questions that the group aims to address, facilitated by Lea Scherl. Following this, the criteria for characterising different methodologies were synthesised to produce a table of methodology characteristics. In the afternoon, the next steps of the working group, following on from the workshop, were discussed, and the group agreed on a timetable for further work.

## 4.    Day 1                Thursday, 15th May

### 4.1   Introductory Session[4]

The workshop was opened by the director of WCMC, Dr. Jon Hutton, welcoming participants to the workshop, and providing an introduction to UNEP-WCMC and the Centre.

Following Jon Hutton's opening remarks, he invited questions on UNEP-WCMC's current work concerning protected areas and local livelihoods. There were some questions from participants regarding whether UNEP-WCMC had built on their poverty mapping work, following the 1999 – 2000 'Forest and Poverty Mapping in South Asia' project. During a brief discussion the following points on poverty mapping were raised:

- Mapping poverty with conservation actions/conservation priority areas would be welcomed. However, broad-scale data is not often refreshed, and poverty mapping can be difficult to interpret.

- Conclusions drawn can depend on the indicators used; for instance whether the proportion of the population is under the poverty line, or poverty density?

- There should be greater efforts for national statistics to be incorporated into poverty mapping efforts.

Jon Hutton also introduced the current work by protected areas and climate change programmes at UNEP-WCMC, studying the potential impact of Reduced Emissions from Deforestation and Degradation (REDD) on protected areas and local livelihoods, and highlighted that UNEP-WCMC believes that IUCN protected area categories V and VI have an important role to play in forest protection. UNEP-WCMC reviews of the costs and benefits of protected areas to local livelihoods, the efficacy of protected areas in reducing deforestation, and the potential impact of REDD on protected areas and local livelihoods can be found online at: http://www.unep-wcmc.org/protected_areas/pubs.htm

The session continued with a quick round of introductions, during which participants introduced themselves, including their specific interests in measuring social impacts of protected areas, and their previous experience in this area (Table 1). Before the workshop began, each participant had sent a 2-page overview of their research to the workshop organisers, and details on each participant, together with their 2-page overviews have been collated in Annex 2 (a and b).

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[4] **Vanessa Richardson** from WCMC worked as the rapporteur for the workshop.

## 4.2   Presentation on Workshop Background and Objectives:

Phil Franks from CARE International gave an introduction to the workshop background and objectives, PowerPoint slide summaries can be found in Annex 3.

Briefly, the presentation outlined:

- Protected areas policy and social impacts: Reference to the social impact of protected areas by the World Parks Congress and CBD programme of work on protected areas.

- The definition of 'social impact' for the purpose of this initiative and workshop as '*any type of impact (of a PA) that affects social, cultural and/or economic wellbeing'.*

- The objective of the overall initiative 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 main partners of the initiative to date: Theme Group on Indigenous/Local Communities, Equity, and Protected Areas (TILCEPA) (WCPA-CEESP, IUCN), Protected Areas, Equity and Livelihoods (PAEL) taskforce (WCPA-CEESP, IUCN), United Nations Environment Programme- World Conservation Monitoring Centre (UNEP-WCMC), International Institute for Environment and Development (IIED), CARE, The Nature Conservancy (TNC)

- The timetable of the overall initiative:

  - *Meeting at WCMC in February 2007 (workshop report available with other documents on ConserveOnline)*
  - *Literature review of relevant scientific/grey literature on approaches, methodologies and tools for assessing social impacts of PAs*
  - *Workshop in mid May 2008  (THIS EVENT)*
  - *Meeting before World Conservation Congress in October 2008 to plan the design of methodologies and field testing program for selected methodologies/tools*
  - *Field testing of selected methodologies and their associated tools (Jan-Sept '09)*
  - *Workshop in late 2009 to synthesis experience, to be then documented in the form of best practice guidelines*

- The two levels of assessment rigor that could be used:

  - *Rapid Assessment, inexpensive indicators*
  - *More robust, comprehensive which can give scientifically credible results*

- The main objectives of the workshop (already outlined in 'background and workshop objectives' above)

Questions were invited on the presentation, and the workshop objectives. Some main views raised were:

- If we are trying to provide policy makers with the ability to assess protected area livelihood impacts globally, both in the present and over time, then this is a large and ambitious scope. A WDPA-type system to simply analyse and inform policy makers on impacts is one level; how much detail and depth of information do we want? Some users need detail whereas most will not want 90 page documents per protected area.

- This process, and the outputs, should not just be for policy makers. It should also be for protected areas managers.
- What will protect areas managers / policy makers / governments do if their results are predominantly negative? Will this result in decisions not to designate protected areas?

## 4.3    Glossary of terms

A glossary of terms was circulated during a short break. After the break, participants suggested modifications and additions to the glossary, and the updated glossary can be found in Annex 4.

## 4.4    Identifying Users of Methodologies and Tools[5]

To identify the main users of methodologies and tools to assess the social impacts of protected areas, a table was created, outlining the main users/ user groups, and their key objectives and considerations when choosing a method/tool.

 Users were divided into four categories:

- Civil Society and NGO's
- Government
- Private institutions and Academics
- International Organisations and Donors

For each category of users, the aim was to identify:

- The different types of users within the overall category
- The overall purpose of social impact assessment for each user
- The focus of the investigation (research questions) for each user
- The key considerations, when choosing a methodology/tool, for each user

To answer these questions, the workshop split into four groups with each group focussing on one of the user categories. The workshop participants chose which group to join depending on which user category they knew the most about. Groups spent one hour filling in a table for their chosen category, and after this participants reconvened in the conference room. Each group briefly presented the information on each user that they had identified, and the tables for each of the four categories were merged to form an overall table of potential users. The final table can be found in Annex 5.

During this session, the workshop participants raised a number of questions and points:

- The table was constructed to identify the appliers of the methodology on the ground (the primary users) and the secondary uses of the information generated. It was suggested that only the ultimate (secondary) users needed to be looked at, as primary users (ie local field assistants) were not users of the information generated. However, others pointed out that collectors of the information can be the same as those who then use the outputs (ie protected areas managers, NGOS, private users etc).

- It is hard to divide methodologies by user, because a certain user may need a range of methodologies. For instance a conservation NGO working in several protected areas may need a

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[5] This session was facilitated by Colleen Corrigan and Lea M. Scherl

rapid methodology in one protected area, but need an in depth methodology in another where the impact of the protected area needs to be known in more detail. The information that they need may be different in different places; i.e. an economic impact assessment of livestock losses by wolves is required around Yellowstone National Park (United States), whereas this will not be needed in other US parks.

▪ When categorising users, we should start from case studies – i.e. situations that we have direct knowledge of, not just random theoretical groups/ users (*this lead to the decision to break into four groups, depending on previous experience, and to only add users where one of the group members had direct experience of the type of user, and so could provide accurate information*).

## 4.5 Presentation of Existing Frameworks and Methodologies for Assessing Social Impacts

A discussion document, outlining the current frameworks and tools used to assess social impacts of protected areas, was written by Neil Burgess (WWF US), Dilys Roe (IIED), Phil Franks (CARE) and Dan Brockington (Manchester) for distribution at the PEP meeting in Washington in February, and is available online at: http://www.unep-wcmc.org/protected_areas/docs/methodologies_Overview_2007.pdf

Neil Burgess gave a presentation summarizing this paper. (The PowerPoint slides presented by Neil can be found in Annex 6

In brief, the presentation outlined:

▪ Some of the potential problems with assessing social impacts
▪ The different ways of measuring social impacts: Frameworks and Indicators
▪ Social Impact datasources and existing tools
▪ Field data collection methods
▪ A proposed way forward for the working group:

  o A formal literature review of the grey and scientific literature on protected areas, their social costs and benefits (completed for forest protected areas: PDF)- requires expansion so as to be considered a comprehensive, global assessment

  o A formal assessment of the available literature against a set of questions/criteria developed by the PAEL Task Force that scores each study in terms of what elements of social impacts / benefits it has addressed (work underway at UNEP-WCMC– contact Vanessa Richardson at: vanessa.br.uk@gmail.com)

  o A formal assessment of the existing approaches, tools, methodologies against a set of questions that aim to elucidate the elements of social impacts / benefits they address (addressed as part of the workshop, and being continued at UNEP-WCMC).

  o A proposed general framework for PA assessment and set of tools (or tool) that can be put forward for discussion and endorsement by the WCPA and the CBD (one of the wider objectives of this working group).

## 4.6 Presentations of methods used by workshop participants

Participants were asked to briefly present any methodologies/tools they had personally used in a 10-minute summary. Presentations were structured around 5 questions:

1) *Why did you do the study: What is the overall purpose?*
2) *What are the key questions of your investigation?*
3) *Provide a quick overview of the approach.*
4) *Describe the critical considerations that drive the approach (i.e. cost, audience, urgency).*
5) *What are the strengths, weaknesses, constraints of this approach (i.e. lessons learnt)?*

Twelve participants presented their studies and methods. Information on the studies carried out by each participant was provided before the workshop as a 1 – 2 page summary, and can be found in Annex 2.

While listening to each presentation the participants were asked to write down on cards the key concepts or characteristics that might be used to differentiate between, or characterise, methodologies. These cards were collected by the workshop facilitators at the end of the presentations and were used on day 2 of the workshop.

At the end of the 12 presentations, Lea M. Scherl closed Day 1 of the workshop.

## 5. Day 2          Friday, 16th May

## 5.1 General Discussion on Overall Objectives of the Workshop, and Working Group[6]

The participants began Day 2 with a general discussion regarding the tasks and objectives for the working group and the overall process. Main points and questions from the discussion are listed below. The original minutes taken from the session are more comprehensive and can be obtained from UNEP-WCMC.

- **How many users should we be targeting?**

    A number of participants suggested that we are attempting something very challenging with a very broad scope: there are a wide range of different users (as we saw from yesterdays exercise) from 32 countries. Some users will require complex information (such as the World Bank Living Standards, which has hundreds of questions), but some National Park managers just need a basic indicator to tell them what are their main problems.

    To identify and understand all these methodologies in two days is a tall order. Some workshop participants suggested that 1 or 2 priority users that we wish to target should be identified, and only the methodologies required for the users focused on. One example of a key user given was the CBD, but it was also pointed out that the CBD is made up of many parties, which can itself contain many different types of users.

    Organizers of the workshop agenda wished to make it clear that the production of methodologies for each of the users identified on Day 1 of the workshop was not the aim of the workshop. Identifying the users, and outlining possible methodologies provides a snapshot of the possible users and methodologies, which can be used as a base when deciding in the future which users and methodologies should be focused on. Mapping out who might be involved and what methods might

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[6] This session was facilitated by Lea M. Scherl

be used is an important step. This characterization of users and methodologies was designed to be just the first step in a longer, more focused, process. To decide on the methods to be tested, and the target users, further sessions will be held at the WCC to plan the next two years of work, and methodology testing will start in 2009.

- **Should we be getting involved at the national level?**

- **How should the process feed into the CBD, and when should this begin?**

Is getting social impact assessment into the framework of the CBD our focus? What does the CBD want?

- **Are we providing methodological tools, or answering a research question?**
Since 2003 the conservation community has been focusing much more intensely on the poverty/PAs relationship. Paul Ferraro's quasi experimental work in Costa Rica is interesting including other countries where PA's are still to be established… A huge sample from lots of countries to see if it contributes to exacerbating poverty, which may be unrealistic and limit our scope.

We don't have to focus on one objective; different methods can be run for different purposes (i.e. have one 'indicator' as a monitoring tool and one comprehensive methodology to fully understand the PA/poverty linkages). Where will the funding come from for the more comprehensive studies?

- **Which questions are we asking?**

Every user has different questions. PA manager perspectives may be framed differently depending on the user or the target. Are we asking HOW protected areas impact local livelihoods, or WHY they impact local livelihoods, or both?

Participants eventually agreed on using the following question as the overarching research question that this process addresses: ***To what extent are protected areas contributing to changes (positive/negative/intended or not) in human wellbeing at the local level?*** *(this includes the broader sense of "well being" including local understanding(s) and definitions of poverty –in context of access and benefit sharing, rights cultural aspects, etc).*

## 5.2   Characterising Existing Methodologies[7]

Following this general discussion, it was decided that the workshop should continue by characterizing the existing methodologies.

During the final session on day 1, workshop participants had written down possible criteria for characterizing methodologies, while listening to individual presentations. These cards were sorted into 4 broad categories:

- Methods
- Sensitivity
- Scope
- Other

Participants were divided into four groups, 1 group for each of the broad categories. Each group produced criteria for characterizing methodologies, within their category. After 1 hour, the participants then reconvened in the conference room, and presented the categories that they had identified. The final table of methodology characteristics can be found in Annex 7.

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[7] This session was facilitated by Dilys Roe and Phil Franks

## 5.3   Next Steps[8]

.A discussion of the next steps took place as the last session of the workshop, with the following agreements:

- **Existing methodologies** to be compiled by Vanessa Richardson, at UNEP-WCMC, as part of her MSc thesis via an e-mail and online survey.

- **A Workshop/meeting** to be organised to coincide with the World Conservation Congress. (possibly the 1st week in October)

- **Work plan** for the testing of methodologies (comments from participants):
  The CBD will take the lead in producing a framework for parties, NGOs help by providing capacity and countries adopt methodologies. Field testing work plans should be organised soon, as if the process takes too long there is potential for it to 'dissolve'.

- **The October workshop should be used to organise 2 – 3 groups to field test different methodologies (from rapid to comprehensive)**

  - Funding and in kind support: some participants/organizations are looking into funding possibilities (eg; CARE searching for funding to support development and testing of rapid methodologies, TNC looking for possibility to incorporate and fund the testing within some of its programs and projects,, (any one else wants to be more specific here?) A number of other participants suggested that they could help find field sites for testing methodologies. Fundraising is required for the more comprehensive assessment – GEF suggested as a potential funding source
  - Sites need as much as possible to test both methodologies, so that comprehensive assessment can be used to validate rapid assessment.
  - Two groups suggested to start organising for the October meeting and field testing:

    **Comprehensive Social Assessment** Patrick Christie, Patrick Fong (coordinating with GEF), Paul Ferraro, Lee Risby, Phil Franks, Lauren Coad and Kwaw Adnam. Kwaw will coordinate the group

    **Rapid Social Assessment**: Colleen Corrigan, Phil Franks, Lea Scherl, Neil Burgess, Luis Pabon, David Wilkie, Moses Mapesa. Colleen will coordinate the group.

## 6. Acknowledgements

UNEP-WCMC CARE, TNC, and IIED would like to thank the many participants who attended the meeting, especially the international participants who traveled long hours, for contributing their time and expertise.

## 7. Annexes

Due to their size, the Annexes for this workshop report have been placed in a workspace on conserveonline. The Workspace is called "Social Impact Workshop". Key Annexes (2a, 4, 5, and 7) have additionally been appended to the end of the report.

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[8] This session was facilitated by **Phil Franks and Lea Scherl.**

**Annex 1:** Workshop programme
**Annex 2:** Participant details (a), and overview of research carried out by workshop participants (b)
**Annex 3:** PowerPoint presentation of the workshop background and objectives: Phil Franks
**Annex 4:** Glossary of terms
**Annex 5:** Users of social impact methodologies and tools: table
**Annex 6:** Presentation on existing frameworks and methodologies for assessing social impacts: Neil Burgess
**Annex 7:** Characteristics of existing methodologies: table

## Annex 2 (a): Participant details

| Participant Email | Organisation | Background |
| --- | --- | --- |
| Lee Risby<br>lrisby@thegef.org | Global Environmental Fund (GEF), Switzerland | Project, Program and Impact Evaluation design, methods and execution. Impact evaluation experience: 3 impact studies on GEF biodiversity conservation projects in East Africa (2006 – 07); currently developing impact evaluation of the GEF Ozone Depleting Substances projects in Eastern Europe, Russia and Central Asia. Experience in social and beneficiary assessment as part of evaluative assessments of biodiversity conservation, renewable energy and energy efficiency initiatives. GEF Local Benefits Study case studies in Kenya, Tanzania, Nepal and Pakistan. Previous research and academic background in social research. Particular experience in qualitative methods and analysis |
| Moses Mapesa<br>moses.mapesa@uwa.or.ug | Uganda Wildlife Authority (UWA) | Executive director for the Uganda Wildlife Authority, and has had experience with protected area management issues for the past 20 years. He has recently carried out an assessment of local communities attitudes towards wildlife conservation in Kibale National Park. The survey was conducted using semi-structured questionnaires. |
| Brian O'Riordan<br>briano@scarlet.be | International Collective in Support of Fishworkers, Belgium | Has recently worked on 6 case studies of marine protected areas in Brazil, Mexico, South Africa, Tanzania, India, and Thailand to document and analyse the experiences and views of local fishing communities with respect to MPA initiation and implementation. He is interested in fishing communities, issues of human rights and social justice, dependence and access of inland and coastal water bodies. He hopes to gain insight from livelihood assessments from terrestrial realms, of how they can be applied to fishing communities who migrate across water bodies. |
| Patrick Christie<br>patrickc@u.washington.edu | University of Washington, US. | Has experience with social assessments using multiple social survey techniques, using qualitative semi structured interviews, PRA tools, and ethnography. Interests include how to assess MPA's in terms of social assessments in South East Asia and team them with food security. His PhD was on the feasibility of grass roots research in monitoring (Nicaragua). |
| Seema Bhatt<br>seemabhatt60@gmail.com | Independent Consultant; part of the Kalpavriksh Environment Action Group | Has experience in developing a range of indicators, social, economic and biological. A recent UNESCO project in management effectiveness was conducted in 3 World Heritage National Park sites in India and Nepal where she developed social impact indicators for the 3 sites. The aim was to develop and test a set of tools to help managers and stakeholders assess current activities, identify gaps and discuss how problems may be addressed. Interests lie in developing more such indicators and processes. |
| Ivo Ngome | UNEP- | Masters thesis was in social impact assessments |

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| Ivo.Ngome@unep-wcmc.org | WCMC, UK | of a reserve in Cameroon. He is currently reviewing methodologies and is proposing a framework for assessing social impacts in sub-Saharan Africa. Wants to see how he can contribute because frameworks usually neglect different culture and gender issues, different PA impacts due to different gender roles for instance. Hopes to make himself available so that his framework can be tested in the field. |
| Luis Pabon<br>lpabon@TNC.ORG | TNC, US | Has experience in social and economic development projects. He directed the protected area system of Bolivia and a goal was to conduct social assessments, they tried to adopt a country wide approach using a framework, integrated with many other institutions. He wants have more practical tools that could be tested in the future. |
| Dilys Roe<br>dilys.roe@iied.org | IIED, UK | Coordinator of the PCLG (Poverty and Conservation Learning Group) and is interested in supporting process between PA and their socio-economic impacts through a diversity of different assessment methods. |
| Lauren Coad<br>Lauren.coad@unep-wcmc.org | UNEP-WCMC | Programme Officer in the Protected Areas Programme at UNEP-WCMC, where she recently worked on a review of the literature on the costs and benefits of protected areas on local livelihoods (pdf). Before working at WCMC, she carried out her PhD research on bushmeat hunting in Gabon, which included socio-economic surveys, using PRA and semi-structured interview techniques. |
| Colleen Corrigan<br>Colleen.corrigan@unep-wcmc.org | UNEP-WCMC | Senior Officer in Protected Areas Programme at UNEP-WCMC. Conducted Master's of Science work in Conservation Biology and Sustainable Development, focusing on people and parks. Background is training in biology, worked in the social sciences as an interpretive park ranger. While working with The Nature Conservancy for nearly three years, led a marine learning partnership that included the development of a socio-economic working group seeking to understand concepts of social resilience in marine protected areas and management. Wants to see this workshop inform a process that Vision 2020 can build upon and a collaboration among important partners for making real progress in develping effective and beneficial protected areas. |
| Charles Besancon<br>Charles.besancon@unep-wcmc.org | UNEP-WCMC | Head of Protected Areas Programme at UNEP-WCMC. Comes from social science, not biological, background, where he studied park management and peoples perspectives. Two years before coming to WCMC he worked in Uganda, Rwanda and the Congo in an international gorilla programme, which looked at trans-boundary protected areas, and the opportunities for 'peace parks'. UNEP-WCMC is working to update the World Database on Protected Areas, but currently the WDPA does not hold information on governance and social impacts; without more information like this the information on the WDPA gives us little more than lines on a GIS map. Part of our job needs to be to develop indicators and |

tools to feed into the CBD – this workshop and working group needs to work towards consensus on what this indicator should look like, and work to bring it about.

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| Phil Franks<br>phil@ci.or.ke | CARE International | Coordinator of CARE's Poverty, Environment and Climate Change Network for the last 9 years and prior to this worked with CARE and BL International on ICDP's in Uganda and Kenya. Although these ICDPs assessed impacts of the project on local livelihoods they did not explicitly assess the social impacts of the Pas on local livelihoods that they were supposed to mitigate – a weakness of most ICDPs. He believes there were, and still are, some fundamental problems in designing ICD projects. He also thinks there are many different methods which often produce conflicting results, and wants to help move this issue forward in multiple ways through a new framework rather than one specific methodology. |
| Lea Scherl<br>lscherl@tnc.org | The Nature Conservancy | She is currently Senior Social Scientist for the Asia Pacific Region with over 20 yrs of experience in bringing social dimensions to conservation both at field and policy levels. She has experience in participatory resource management, working with local and indigenous communities in different parts of the world and has served in many scientific advisory committees related to resource management and herself conducted research related to social assessments of PAs. Her most recent research involvement with social assessments was with a project entitled 'Natures Investment Bank: How MPA contribute to poverty reduction' that was conducted in four countries in Asia Pacific by TNC and partners. This process to developed more integrated tools for social assessments is very important to start documenting in a more consistent and systematic way the social dimension of PAs management worldwide. |
| Zulema Lehm<br>zlehm@TNC.ORG | BOLFOR project, Bolivia | She has experience working with indigenous peoples of the Bolivian Amazon and is interested in issues of land tenure. Three recent relevant projects include 1) an evaluation of co-administration between the central government (National Protected areas service (SERNAP)) and the local indigenous organisation, 2) In Madidi Natural Area of Integrated Management and National Park in Bolivia, SERNAP, WCS and CARE requested a study to conduct an inventory of local stakeholders and recommend which institutions and organisations should be integrated into co-management. 3) In an area of Sustainable Forest Management not in PA's per se, to assess the impacts of conservation strategies in relation to inter-community political relationships and the effects of such management on gender. |
| Jenny Birch<br>jcb53@hermes.cam.ac.uk | Cambridge University | MSc student, here as part of a work placement to help a PhD student at Cambridge/ UNEP-WCMC to look at the effectiveness of protected areas in conserving biodiversity. |
| Vanessa Richardson<br>vanessa.richardson07@imperial.ac.uk | Imperial College London | MSc student at Imperial college, based at UNEP-WCMC for her masters project. Working on a |

meta-analysis of the current literature on the costs and benefits of protected areas, and a study of the current use of indicators/ methodologies to assess social impacts of protected areas around the world, including a survey to determine the proportion of protected areas globally which are currently assessing social impacts to some degree.

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| David Huberman<br>David.HUBERMAN@iucn.org | Economics and Environment, IUCN | Interest in this workshop stems from the research he has been conducting on the social implications of conservation finance tools. Recently, this research has been focusing on Reducing Emissions from Deforestation and Degradation (REDD), and he is particularly keen to share experiences with others who might be able to provide insights on the anticipated livelihood implications of REDD. Experience to date with social assessments of Protected Areas can provide some very relevant lessons learned for the design and implementation of REDD schemes. Hopes to feed this knowledge into the ongoing PEP initiative on Making REDD Work for the Poor, and – more specifically – into the analytical paper currently being prepared as part of the initiative. Also hopes to keep in touch with others present at the workshop to ensure that our pro-poor REDD initiative contributes to and is well aligned with other ongoing efforts related to assessing social implications of PAs, rural development, or any other relevant field of activities. |
| Kwaw Adnam<br>K.Andam@cgiar.org | Consultative Group on International Agricultural Research | His PhD was with Paul Ferraro and measured the social impacts of protected areas in Costa Rica and he is currently working with Paul Ferraro to apply an impact evaluation approach to measure the social impacts of Costa Rica's entire Protected Area system established between 1960 and 2000 using a quasi-experimental approach, based on matching methods including socioeconomic outcomes from census data. |
| David Wilkie<br>dwilkie@rcn.com | WCS | He has experience working with indigenous communities in Latin America and Africa. He has recently conducted a study in 4 National Parks in Gabon to assess the household livelihood impacts of establishing Protected Areas. This was a comprehensive and expensive initiative involving baseline study, participatory resource mapping, questionnaires and anthropometry, in 6 yrs a follow up is expected. He has more recently initiated another one Cambodia, which is simpler and more cost-effective which encompasses a modified poverty index, purchasing power, and gini coefficients of wealth. He is interested also in promoting this new method. |
| Dan Brockington<br>Daniel.Brockington@manchester.ac.uk | Oxford University | He has studied the consequences of Protected Area evictions as part of his PhD in Tanzania. He has recently conducted a survey of all literature published on evictions and concluded that is remains very poor! Not much good research done. His interest stems from last world congress in Durban where 10% PA global area coverage target had been achieved and was announced, he was curious as to why it was such good news if the social impacts remain unknown. He wishes to |

learn how to combine large-scale approaches with good detailed information.

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| Patrick (Saki) Fong<br>fong_pa@usp.ac.fj | University of the South Pacific, Fiji | For his masters he conducted an assessment of local communities based in Fiji. He is currently working on a project to assess socio economic and governance impacts of Marine Protected areas with the Institute of Applied Science in collaboration with Conservation International. Data collection will start in June. |
| | WWF US | |
| Neil Burgess<br>neil.burgess@wwfus.org | | Has worked on various conservation issues in the UK, Europe and Africa for the past 20 years. This includes the design and management of ICDPs and research projects on the impacts of protected areas, now including social impacts. These scientific assessments of reserves impacts on communities are being undertaken in Tanzania and funded by the Danish Government. He has over the past year been working in the protected area programme of UNEP-WCMC, including on matters relating to the social impact of protected areas with Lauren Coad, Dilys Roe and Vanessa Richardson. |

# Protected Areas and Livelihoods Workshop

## Glossary

## 1.    <u>Poverty</u>

**What is poverty?**

In general terms, poverty is…. a lack of well-being

*" To be poor is to be hungry, to lack shelter and clothing, to be sick and not cared for, to be illiterate and not schooled. But for poor people, living in poverty is more than this. Poor people are particularly vulnerable to adverse events outside their control. They are often treated badly by the institutions of state and society and excluded from voice and power in these institutions' (*World Bank, World Development Report, 2000 p15)

*'Poverty has many dimensions. It implies the inability to afford the minimum basic necessities of life. It also refers to lack of capabilities necessary to perform optimally in society. Poverty is about deprivation of essential capabilities such as a long and healthy life, being knowledgeable, having an adequate standard of living, and participating in community life. Poverty implies more than just lack of income although income and money are extremely important for accessing basics such as food, shelter and clothing.'* (Namibia, NDP3)

**Who is officially poor?**

'*At the global scale, the World Bank and the UN define extreme economic poverty as having an income of less than $1 per day in purchasing power parity. The Human Development Index (HDI) of UNDP (e.g. UNDP 2005) measures three fields: longevity, knowledge and decent standard of living. Longevity is measured by the percentage of people who die before age 40; knowledge is measured by adult literacy combined with the gross enrolment ratio for primary, secondary and tertiary schools; and standard of living is measured by real GDP per capita. The Human Poverty Index (HPI) uses the same fields, but measures standards of living in terms of access to safe water and healthcare, and by the percentage of underweight children younger than 5.*'
(Taken from CIFOR, 2007)

**Different types of poverty:**

There is no single definition of poverty. Not only do different actors define and experience it in different ways, but there are also a number of different types of poverty:

- **Income Poverty –** lack of income or monetary resource
- **Material Poverty** – deprivation of income, wealth and physical assets

- **Multidimensional Poverty** – material poverty PLUS vulnerability, physical weakness, bad social relations, powerlessness. (Today, leading development organisations like the World Bank and UNDP apply poverty definitions that comprise aspects like basic needs, self-determined lifestyles, choice, assets, capabilities, social inclusion, inequality, human rights, entitlement, vulnerability, empowerment and subjective wellbeing)

Poverty may be **absolute,** i.e. someone is judged to be poor or not poor according to a defined standard or a mix of standards. Common indicators are income levels, daily calorific intake and infant mortality rates. Poverty may also be **relative,** i.e. defined according to the differing standards of each society – so-called "rich" countries also have many poor communities when defined in this way *(a subjective measure).*

Poverty is also a time-dependent condition. It can be temporary (**acute** or **short-term poverty**) or persistent (**chronic poverty**). It can be a permanent threat for those living just above the poverty line and it can be a trap for those who cannot get out of it. (CIFOR, 2007)

**Poverty Alleviation, Reduction and Prevention**
The terms poverty alleviation and reduction are often used interchangeably. But it is useful to understand their different meanings:

- **Poverty alleviation -** *Alleviating the symptoms of poverty and/or reducing the severity of poverty without transforming people from 'poor' to 'non-poor';*
- **Poverty reduction –** *In its true sense poverty reduction means lifting people out of poverty -  reducing the numbers of poor people and/or transforming poor people into non-poor people;*
- **Poverty prevention -** *Enabling people to avoid falling into poverty by reducing their vulnerability.*
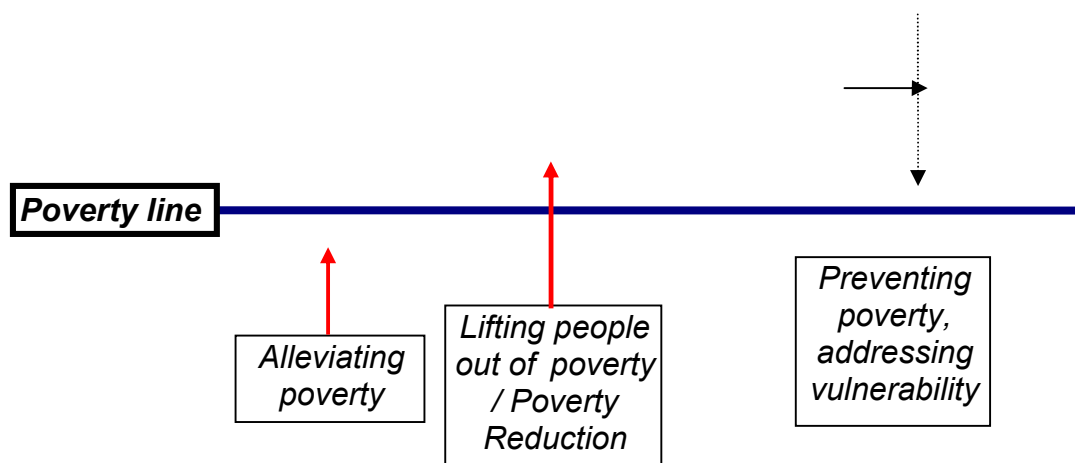


*(Taken from King & Palmer, 2006)*

## 2.    Livelihoods

**Livelihoods are sustainable when they:**

- are resilient in the face of external shocks and stresses;
- are not dependent upon external support (or if they are, this support itself should be economically and institutionally sustainable);
- maintain the long-term productivity of natural resources; and
- do not undermine the livelihoods of, or compromise the livelihood options open to, others.


**Dimensions of sustainability:**

- **Environmental sustainability** is achieved when the productivity of life-supporting natural resources is conserved or enhanced for use by future generations.
- **Economic sustainability** is achieved when a given level of expenditure can be maintained over time. In the context of the livelihoods of the poor, economic sustainability is achieved if a baseline level of economic welfare can be achieved and sustained. (The economic baseline is likely to be situation-specific, though it can be thought of in terms of the `dollar-a-day' of the International Development Targets.)
- **Social sustainability** is achieved when social exclusion is minimised and social equity maximised.
- **Institutional sustainability** is achieved when prevailing structures and processes have the capacity to continue to perform their functions over the long term (DFID, Sustainable Livelihoods Guidance Sheet 1).


**The Sustainable Livelihoods Framework (DFID):**

The Sustainable Livelihoods Framework captures*: 'the dynamic dimensions of poverty and well-being'* (ODI, 2001)

At the centre of the framework is the 'pentagon' which represents the five types of asset or capitals which make up someone's livelihood:

1. **Human Capital** – skills, knowledge, health (i.e. all the factors which enable someone to work and influences the type of work they can do)
2. **Natural Capital**- access / ownership of natural resource stocks and the ecosystem services provided through these stocks
3. **Social Capital** – networks and relationships, access / membership of groups, levels of trust and cooperation, social safety nets
4. **Physical Capital** – infrastructure (roads, health clinics, water supply, schools etc.), and tools and equipment (e.g. computers etc)
5. **Financial Capital** –money or other assets which can rapidly be converted into cash or have a mainly cash value (so could include livestock), plus other flows of finances to people (such as remittances)

## 3.    Measuring impacts on livelihoods:


**Social Impact Assessment**
Social Impact Assessment includes the processes of analysing, monitoring and managing the intended and unintended social consequences, both positive and negative, of planned interventions (policies, programs, plans, projects) and any social change processes invoked by those interventions. Its primary purpose is to bring about a more sustainable and equitable biophysical and human environment. (Vanclay, 2003).


**Social Impact Evaluation**
An impact evaluation assesses changes in the well-being of individuals, households, communities or firms that can be attributed to a particular project, program or policy. The central impact evaluation question is what would have happened to those receiving the intervention if they had not in fact received the program. Since we cannot observe this group both with and without the intervention, the key challenge is to develop a counterfactual – that is, a group which is as similar as possible (in observable and unobservable dimensions) to those receiving the intervention. This comparison allows for the establishment of definitive causality – attributing observed changes in welfare to the program, while removing confounding factors.
Impact evaluation is aimed at providing feedback to help improve the design of programs and policies. In addition to providing for improved accountability, impact evaluations are a tool for dynamic learning, allowing policymakers to improve ongoing programs and ultimately better allocate funds across programs. There are other types of program assessments including organizational reviews and process monitoring, but these do not estimate the magnitude of effects with clear causation. Such a causal analysis is essential for understanding the relative role of alternative interventions in reducing poverty. (World Bank, 2008)


**Participatory Poverty Assessments**
A participatory poverty assessment, or PPA, has been defined as an instrument for including poor people's views in the analysis of poverty, and in the formulation of strategies to reduce it. Ideally speaking, PPA is a process that starts with grass-roots participatory analysis and dialogue, and culminates in better policies and more effective action for poverty reduction.


**Poverty Metrics:**

>    **Poverty rate**:  reflects how widespread poverty is in a given area (it is typically shown as the percentage of people falling below the poverty line). This measure captures changes in poverty as soon as a family moves above or below the poverty line. However, it does not reflect any changes in household expenditures or incomes that those who remain below the poverty line may make. That is, it does not probe the depth of poverty.

>    **Poverty gap**: measures how far below the poverty line the poor in a given area are. Economists calculate the poverty gap by adding up all the shortfalls of the

poor (ignoring the non-poor) and dividing it by the total population. It is possible for an area to experience a decline in the poverty gap, but no change in the poverty rate (i.e., slight increases in household expenditures or incomes that do not allow families to cross the poverty line). One of the caveats of the poverty gap is that the average used in its calculation conceals that some poor households in an area might only be a few shillings below the poverty line, while others in the same area might be much farther below the poverty line.

**Squared poverty gap** incorporates the inequality among poor people into its calculation. This measure accounts for the number of poor, the depth of poverty, and the inequality among the poor. It gives the strongest weighting to the poorest of the poor and lower weighting to less poor households (i.e., households that have higher expenditures or incomes but still fall below the poverty line).

**Some methodology terms:**

- **Tools**: Specific instruments e.g. questionnaire, household survey, PRA method, PEV, etc
- **Methods**: the same as tools
- **Methodology**: describes the assessment as a whole including the various methods/tools, how these fit together and how the data is analysed
- **Approach**: the highest level describing the overall conceptual approach. You could maybe have several methodologies that adopt the same approach.
- **Frameworks:** Frameworks help clarify what needs to be measured and the kind of information that needs to be collected. Examples include the sustainable livelihoods framework described above, and the pressure state response framework.
- **Indicator:** An indicator can be defined as something that helps us to understand where we are, where we are going and how far we are from our goal. It can be a sign, a number, a graphic and so on. Indicators are bits of information that summarize the characteristics of systems or highlight what is happening in a system. A more rigorous definition of indicators is given by the International Institute for Sustainable Development (IISD) according to which: 'an indicator quantifies and simplifies phenomena and helps us to understand complex realities. Indicators are aggregates of raw and processed data, but they can be further aggregated to form complex indices'.
- **Impacts**: change in poverty status / livelihood outcomes

| ① | Users of the Methodology and Information Generated | | | | | |
|---|---|---|---|---|---|---|
| **User** | National NGOs | Village Women's Groups | Local Village Councils | International NGOs (WWF) | National NGO (forest) | Community enterprise group |
| **Overall purpose** | Provision of information to local politicians/government | Use info on PA impact to lobby for govt funds (credit schemes) for compensation | Give info to politicians to campaign. Inform national politicians about adverse impacts of park to lobby for compensation | Conservation of wild nature whilst also considering need of local communities | To gather forest products information for livelihoods purposes | To improve the forest management for social sustainability. |
| **Focus of investigation (research Questions)** | Impact of human wildlife conflict at local level. How does it change economic situation | Economic value of loss of access to PAs. Effect on children as well. Knowledge of the husband's income. | Gather general livelihoods information based on impact of living inside a PA. | Gather info to Promote conservation and development goals. | What forest products are being used and what alternatives might exist. | To know about income, how much the enterprise contributed to social development (health, education); How many jobs have been created. |
| **Key considerations** | Gender issues in communities. Cultural norms. Financial resources to do the work. Time constraints, seasonal data collection, transport. | | | How many people required to do the methodology. Gender issues in communities. Cultural norms. Financial resources to do the work. Time constraints, | Difficulty of convincing local people to change behaviour. | |

| | | | | seasonal data collection, transport. | | |
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| **How information will be used** | Influence decisions at a national/local level both in government and non-government orgs. Provision of services. | | | Influence policy decisions | Try to convince local communities to change their behaviour. | |

| | Users of the Methodology and Information Generated | | | | | |
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| **User** | Community Leaders | Indigenous organization | Indigenous umbrella organisation | Product Certification organizations eg. FSC | Consumer groups of certified products | International NGO (TNC) |
| **Overall purpose** | To improve social control. To better manage the enterprise group. | To improve social control. To ensure the communities are managing their land effectively., | To learn from the experience in one reserve to inform management in other reserves. Transfer of knowledge and info | To ensure that the management complies with the principles of the FSC. Justify compliance with FSC. | To not consume unsustainable goods. | To enhance community capacity to manage the forest. Systematic collection of information. |
| **Focus of investigation (research Questions)** | Who has received the benefits; In which areas are the benefits being invested; Administrative management of the community; Annual income | How many people trained in different aspects of management; Income of enterprises. Conservation status of forest; Harvest impact | How many people trained in different aspects of management; Income of enterprises | All aspects of social impact – How people value forest management. | | Perception of local people towards forest management. |

| Key considerations | | | | | Ethical issue. Is the product branded by a respectable brand. | |
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| **How information will be used** | | | | | To feel that they are being ethical. | |

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| **User** | Trade Union Groups (federation of trawler crew) | Social Activists | International NGO (fisheries) | | | |
| **Overall purpose** | To get compensation; To look at regulations of PA relating to traditional fishing grounds | To reform fishing rights policy and legal system that controls the rights. Social justice and rights (fishing rights in SA) | To ensure that the fishing communities are represented in the governance systems on their own terms. Meaning ful participation of the fishers in decision making policy. | | | |
| **Focus of investigation (research Questions)** | How has the PA establishment impacted on access to | How has the fishers policy system of fishing rights affected | Why fishers are not represented and how they could be. | | | |

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| | food/income/ rights of use. | traditional user access to fisheries. | How are fishers and communities being engaged in the process of deciding where to establish a PA, what are the rules governing sustainable use in PA. | | | |
| **Key considerations** | How to use the information that has been gained. Best way to act on it. | Absence of political clout and economic clout. | Political will, international policy processes, how to engage in these processes. | Balancing NGO agenda with government agenda. | | |
| **How information will be used** | To get compensation | To reform fishing rights policy and legal system that controls the rights | To get participation of fishing communities in decision making. Policy advocacy. Public awareness raising. | | | |

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| @ | Users of the Methodology and Information Generated | | | | |
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| **User** | Protected area authority (national HQ) | Protected area managers (local at the site) | Parent Ministry at national level | Local Government level if the country works like this | Ministry of Finance, Planning, Development, Poverty Alleviation |
| **Overall purpose** | Strategic planning. Policy formulation and review. Resource allocation and fundraising. | More effective management and minimize conflict. Build local support and acceptance. | Sectoral policy and legislation review and improvement Demonstrating compliance to international conventions | Better understanding of need for people and wildlife to co- exist Better delivery of social services and infrastructure Deal better with human/wildlife conflicts Improved natural resources governance | Economic contribution of protected areas to national development and the reduction of poverty |
| **Focus of investigation (research Questions)** | 1) Who are the resource users who are negatively affected, and how. 2) What are the possible benefits and how (much) can they be used 3) Human-wildlife conflict issues | 1) Identify issues that need help from local government 2) In the event of relocation being justified, what mitigation measures are required 3) Amount of resource use, and distribution of benefits | 1) Is the current protected area policy and legislation effective 2) Do protected areas impact on peoples livelihoods and how might these impacts be mitigated 3) Demonstrate positive impacts of protected area systems in terms of livelihoods and national poverty reduction agenda 4) Does protected area authority take | 1) What benefits to people is a protected area generating (economic, ecological, services, cultural) 2) Ownership and management responsibility | 1) Overall economic valuation of protected area system 2) Direct monetary contribution 3) Benefits and costs of alternative land use strategies |

|  |  |  | into consideration priorities of other sectors, and vice versa<br>5) Where is the need for improved inter-sectoral coordination |  |  |
| --- | --- | --- | --- | --- | --- |
| **Key considerations** | Minimise conflict with other policies and legislation. Should not cause local conflicts. Should not cost too much. Should use available expertise Needs to be part of official mandate | Need for intersectoral coordination | National PRSP or other strategies for economic growth integrates across Ministries and includes protected areas | Local government capacity, appreciation and funding Local politics Cooperation between protected area staff and local government legal process | International interests and priorities National politics and priorities Sectoral interests and priorities Profitable alternative land uses |
| **How information will be used** | Policy change. Guidelines. | Management interventions, including zoning and specific guidelines for resource access, monitoring etc. | Improved sectoral budget allocation Implement social policies within protected areas Better intersectoral coordination and reporting Better reporting to international conventions | Delivery of services Political support to protected area managers | Better poverty alleviation strategies and implementation mechanisms Improved budget allocations Strengthen link between conservation and livelihoods agendas / strategies |
| **Methods or information** | Both | Both | Information only (normally) | Information | Information |

(2)

| ③ | Users of the Methodology and Information Generated | | | | |
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| **User** | Social Scientists - | Natural Scientists | Policy Oriented | Theoreticians | Research Students |
| **Overall purpose** | | Produce (useful) knowledge | | | Finish the degree Education Marketable skills |
| **Focus of investigation (research Questions)** | | Impacts of people on wildlife/ biodiversity/ genetic diversity, habitat planning, sustainable resource extraction, modeling | | | Highly variability Conflict Socio-ecological dimensions of PAs Community conserved areas Post-modern critique Management effectiveness |
| **Key considerations** | | Publish Attract funding Attract students Promote career Identifying patterns Generalizability Comparative: sample size, representativeness, statistical power Originality Establish causality, Improve conservation (of biota) | | | Rigor Feasibility – time, funds, Policy relevancy Budget Language and cultural competency Data availability Creating of opportunities Infrastructure, Past work to build from |

| How information will be used | | Publications<br>Feed the policy process<br>Support for educational materials<br>Media | | | Student themselves<br>Maybe for publication<br>Case studies<br>Methodological experience<br>May be used by NGOs and projects | |
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| | Users of the Methodology and Information Generated | | | | | |
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| **User** | Inter-disciplinarians | Quantitative SS Career Academics | Qualitative SS Career Academics | | | |
| **Overall purpose** | | Produce (useful) knowledge | Produce (useful) knowledge | | | |
| **Focus of investigation (research questions)** | | Livelihoods<br>Income/economies<br>Feasibility<br>Comparison | Identity<br>Power<br>Cultural meaning<br>Gender<br>Politics | | | |
| **Key considerations** | | Publish<br>Attract funding<br>Attract students<br>Promote career<br>Identifying patterns<br>Generalizability | Publish<br>Attract funding<br>Attract students<br>Promote career<br>Affect change<br>Risks of | | | |

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| | | Comparative: sample size, representativeness, statistical power Originality Establish causality Importance vis a vis natural science | reductionism Focus on place Use of case studies Explaining why patterns emerge/explain causality Rich descriptions/meaning more than generalizability Originality Importance vis a vis natural science | | | |
| **How information will be used** | | Publications Feed the policy process Support for educational materials Media | Publications Feed the policy process Support for educational materials Media | | | |

| (3) | Users of the Methodology and Information Generated | | | | | |
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| **User** | Consultant Firms | Oil | Tourism | Land Development | | |
| **Overall purpose** | Deliver and get next contract | | Understand impact of tourism and profitability | | | |

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| **Focus of investigation (research Questions)** | What the donor wants<br>Feasibility and impact assessment | | ID and mitigate impacts of tourism development<br>Create more enjoyable/educative tourism experience | | | |
| **Key considerations** | Deliverable?<br>Time tested (not novel)<br>Concision<br>Visual presentable<br>Cost<br>Influential/take | | Experience<br>Information usefulness in business decisions | | | |
| **How information will be used** | Influence donors/ governments,<br>Reports (grey lit) | | Influence tourism development<br>Influence policy<br>Comply with law | | | |

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| ④ | Appliers of the Methodology (Primary users) | | | | | |
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| **User** | Project implementing agencies (WB, UN agencies, RDBs) | Bilateral donor programmes | IUCN unique classification coz we don't understand where it fits) | | | |
| **Overall purpose** | Due diligence during intervention design/implementation/evaluation<br><br>Before project to assess who and how is going to be impacted and after to ensure mitigation measures in place<br><br>SIAs applied to ensure programmes are properly targeted and meeting corporate goals/govt policy/ int goals (MDGs) | Similar to multilaterals<br><br>SIAs applied to ensure programmes are properly targeted and meeting corporate goals/partner govt policy/ public service agreement/ int goals (MDGs) | Not sure if there is systematic application but assume IUCN applies SIA methodologies to projects (when in NGO/consultancy mode) | | | |
| **Focus of investigation (research Questions)** | To what extent is the project going to make a difference to livelihoods (+ve or –ve, intended or unintended) – not necessarily poverty focused or expl<br><br>What are the economic, socio-cultural and socio economic effects of the intervention and their distribution<br><br>Costs and benefits | DFID: to what extent is the prog going to make a difference to poverty (positive contribution to poverty reduction) | | | | |

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| **Key considerations** | Adhere to corporate goals: Do no harm; try to benefit<br><br>Ensure financial, env and social sustainability<br><br>Introduce some degree of systematization to project design and evaluation<br><br>Expense – depending on scale of project and money in budget allocation to design and monitoring (eg if not enough need quick and dirty or less formal methods)<br><br>Results agenda – need to demonstrate impact in order to get more money  - needs to be outcome oriented | Adhere to corporate goals: Do no harm; try to benefit<br><br>Ensure financial, env and social sustainability<br><br>Cost effectiveness<br><br>Results agenda – need to demonstrate impact in order to get more money  - needs to be outcome oriented | | | | |
| **How information will be used** | Design – due diligence and safe guards<br>Implementation – targeting and delivery (adaptive mgmt)<br><br>Evaluation – accountability and learning  for subsequent project design – change agent | | | | | |

| | Users of the Information Generated | | | | | |
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| **User** | Donor policy makers (G8, OECD, PEP etc) | Environmental conventions (esp CBD, UNCCD and UNFCCC) | Contributor to GEF eg DFID | IUCN (HQ and commissions and members?) | UNEP-WCMC | |
| **Overall purpose** | Inform, refine and develop policy on environment and how/whether protected areas fit into that eg REDD policy | Improving PoWs on PAs, ABS etc  Informing future CoP decisions | To decide on future funding for protected areas whether through GEF or bilateral programmes | Monitor adherence to rec that Pas should Do No Harm | To inform the WDPA  Influencing and informing international policy (conventions, EU etc) | |
| **Focus of investigation (research Questions)** | What are the costs and benefits and distribution of them? | What are the costs and benefits and distribution of them? | What are the costs and benefits and distribution of them? | What are the costs and benefits and distribution of them? | Under discussion | |
| **Key considerations** | | Needs of secretariat different to needs of parties  Parties need easily accessible information to report to CBD  CBD needs | | Scientific rigour | Generates concise and easily aggregated (into only a couple of indicators) but be meaningful at the same time | |

③

|  |  | scientific rigour to ensure sound decision making |  |  |  |  |
|---|---|---|---|---|---|---|
| **How information will be used** | To feed into higher level discussions on aid effectiveness, achieving MDG7 etc |  |  | Encouraging greater use of wide range of PA categories and governance types | Analysis and dissemination<br><br>WDPA design<br><br>Publications<br><br>Direct interventions through UNEP |  |

④

| SCOPE | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Positive and/or negative impacts | Detects impacts on which types of livelihood asset by DFIDS SLF | Community Aspects | Scale of assessment | Defining external influences | Temporal Scale | Methodological Drivers | Components of well being | For economic valuation | Conceptual approaches |
| Positive impacts | Financial | Communities in the PA. | Intra-household | National policies and legislation | Historical context | Local people | Local politics | Use values | Focused on processes |
| Negative impacts | Human | Communities adjacent to PA. | Intra-community | International trends and processes | Current claims, grievances | National interests | Cultural values | Non-use values | Focused on outcomes |
| | Social | Indigenous | Inter-communities /regional | Political situation | Future scenarios | International conventions and agreements | Ecosystem goods and services | | Focused on predefined objectives |
| | Local natural | Non-Indigenous | National | Economic trends | | Regional or local government (administration, planning) | Security/ safety | | focused on development/growth |
| | Physical / Built | | Global | | | Transboundary (i.e. marine agreements) | Social and political stability | | focused on distribution/ equity |
| | | | | | | | Meeting MDG goals | | |
| | | | | | | | Dynamics of land use | | |

| SENSITIVITY | | | | FEASABILITY | | | | OTHER |
| Level of differentiation | | Sensitivity | | Skills | | Resources | | Objectives |
| Social differentiation (applies to data collection and data analysis) | Unit of analysis | Cultural sensitivity | Study designer | Leading study | Conducting study | Financial | Time | Institutionalisation |
|---|---|---|---|---|---|---|---|---|
| By gender | By community/village | Yes | External agency | Untrained local staff | Untrained local staff | Expensive (estimated above 25k$) | Slow, slow (12 months plus ) | Integral to institution / code of conduct |
| By age | By household | No | Government agency | Trained local staff | Trained local staff | Moderate (10-25k$) | Slow (< 1 month; > 1 year) | Recommended by institution |
| By ethnicity | By individual | | Donor agency | External "experts" | External "experts" | Cheap (up to10K$) | Quick (less than one month) | Not integral to institution |
| By wealth | | | Local people | | | No cost | Quick quick (eg fly in fly out consultancy) | |
| By power | | | | | | | | |
| By religion | | | | | | | | |
| By education | | | | | | | | |
| | | | | | | | | |

| (SCIENTIFIC) METHOD | | | | | | | |
|---|---|---|---|---|---|---|---|
| Purpose | Design | Data Type | Data Collector Attributes | Timeframe | Forms of output | Quality | Input to research design and conclusions |
| Impact Evaluation | Experimental | Qualitative | Expert researcher | Before/After | Policy Reports | High internal validity | Participatory design |
| Impact Assessment | Quasi-experimental | Semi quantitative | Quantitative skills | Repetitive measure | Peer reviewed articles | High external validity | Participatory data collection |
| | Theory based | Quantitative | Qualitative skills | Snapshot | Web-publications | High Replicability | Participatory analysis |
| | Case study/Ethnographic/Narrative | Time series | Local | Baseline | Prescriptive | Participative | Participatory feedback |
| | Participatory Evaluation | Snap shot | External | Reconstructive baseline | Interactive | High Objectivity | Participatory validation |
| | Appreciative inquiry | Mixed data type | Individual | | Educational | Breadth | Participatory action taking/policy making |
| | Mixed method | Interdisciplinary/ Socio-ecological | Team | | Multi-media (GIS, video, mapping) | In – depth | |
| | Triangulation | Spatial | | | Contains Feedback Option | Triangulation | |
| | Use of control site | Enables comparability between sites | | | | Use of counter-factual or control sites | |
| | Use of before / after information | Can be aggregated to larger scales | | | | Committed to social change | |
| | | | | | | Ethically risky | |
| | | | | | | | |
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