



From Knowledge to Action for a Protected Planet

Management Effectiveness, Governance, and Social Assessments of Protected and Conserved Areas in Eastern and Southern Africa

A rapid inventory and analysis to support the BIOPAMA programme and partners

August, 2019

Executive Summary

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Published by: BIOPAMA Programme, IUCN ESARO

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Citation: Campese, J. & Sulle, E. (2019). *Management Effectiveness, Governance, and Social Assessments of Protected and Conserved Areas in Eastern and Southern Africa: A rapid inventory and analysis to support the BIOPAMA programme and partners*. BIOPAMA, IUCN ESARO.

Layout by PENROSE CDB

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Contributions and Acknowledgements

This report was commissioned by the International Union for Conservation of Nature's (IUCN's) Eastern and Southern Africa Regional Office (ESARO) as a contribution to the Biodiversity and Protected Areas Management (BIOPAMA) Programme. It is part of BIOPAMA's broader efforts to assist African, Caribbean, and Pacific countries to address their priorities for improved management and governance of biodiversity and natural resources, including by providing and assessing supportive tools. BIOPAMA is an initiative of the ACP Group of States financed by the European Union's 11th European Development Fund (EDF), jointly implemented by the International Union for Conservation of Nature (IUCN) and the Joint Research Centre of the European Commission (JRC). It supports protected area actors at all levels, including through the provision of tools, services, and capacity development, as well as opportunities for funding for site-level activities. It operates across 79 countries, which host 9,000 protected areas across diverse ecological, social and cultural landscapes (adapted from BIOPAMA [website](#)).

The report was prepared by Jessica Campese and Emmanuel Sulle. We are deeply grateful to the many people who shared their guidance, insights, and expertise, all of which were critical contributions. Sue Snyman (BIOPAMA Coordinator, IUCN ESARO), Bastian Bertzky (BIOPAMA Point of Contact for Southern Africa, JRC), and Leo Niskanen (IUCN ESARO Conservation Areas and Species Programme Regional Technical Coordinator) provided supervision, guidance and direct technical

support. Critical contributions were also made by all those who participated in interviews, completed the survey conducted in support of this report, or provided information via email, including¹: Bastian Bertzky, John Bett, Nandipha Bhengu, Dominique Bikaba, Francesca Booker, Neil Burgess, Neil Dawson, Marine Deguignet, Motuma Didita, Zakhe Dlamini, Nigel Dudely, Zakaria Faustin, Phil Franks, Sandile Gumedze, Nancy Ingutia, Davis Kalima, Victor Kawange, Jennifer Kelleher, Nzigiyimpa Léonidas, Mzokhona Mabaso, Franklin Masika, Thulani Methula, Peter John Mills, Barbara Nakagu, Emmanuel Nuesiri, Ramanantsoa Seheny, Kate Shreckenber, Rob Small, Jessica Stewart, Sue Stolton, Arthur Tuda, and Gretchen Walters. (Please see Annex 1 for further details).

¹ This is a partial list of individuals who contributed via survey response, interview, or email communication, comprised of those who consented to be acknowledged, listed in alphabetical order by family name.



The Convention on Biological Diversity (CBD) and others have encouraged protected and conserved area management effectiveness, governance, and social assessments. This report aims to provide the Biodiversity and Protected Areas Management (BIOPAMA) Programme and its partners with information about, inter alia, where, when, and with what methodologies such assessments have been conducted in Eastern and Southern Africa⁵, what lessons are being learned, and how these methodologies can best be used. These aims reflect the importance of such assessments for enhancing conservation effectiveness, equity, and sustainability.

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(IUCN’s) Eastern and Southern Africa Regional Office (ESARO) as a contribution to the BIOPAMA Programme. The views expressed in this publication do not necessarily reflect those of IUCN.

Primary sources and methods of data collection included: literature and technical resource review; Global Database on Protected Area Management Effectiveness (GD-PAME) searches; key word searches in academic databases, public search engines, and targeted websites; a survey and key informant interviews; and targeted searches within the World Database on Protected Areas (WDPA) for supplemental details. Inventory contents are summarised in Table A.

Table A: Inventory Content

Protected and conserved area management effectiveness assessments	2,878
Protected and conserved area governance assessments	378
Protected and conserved area social assessments	50
Assessments that focus on two or more elements of those above	31
Social assessments in landscapes with protected and/or conserved areas	14
Governance assessments in landscapes with protected and/or conserved areas	8
Other relevant reports and studies ⁶	235
TOTAL	3594

⁵ For purposes of this report, the ESA region includes countries covered by IUCN ESARO, i.e. Angola, Botswana, Comoros, Djibouti, Eritrea, eSwatini, Ethiopia, Kenya, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Rwanda, Seychelles, Somalia, South Africa, South Sudan, Sudan, Tanzania, Uganda, Zambia, Zimbabwe

⁶ “Other” refers to academic studies and other reports that include analysis / assessment of management effectiveness, governance, and/or social impact elements, but that do not constitute complete assessments using readily replicable methodologies.

Scope and Distribution of Assessment Use:

Nearly 2,880 management effectiveness assessments were found to have been done in the region (a conservative estimate) and the frequency of their use appears to be increasing. However, these assessments are concentrated in relatively few countries (with over half having been done in South Africa) and mostly in government-governed protected areas. Further, over 75% used the Management Effectiveness Tracking Tool (METT) or a country-adapted version thereof. This points to some need for further expansion in management effectiveness assessments, including across more countries in the region and within areas under shared or non-state governance. However, the analysis found a much bigger gap with respect to governance and social assessments. Fifty social assessments were found to have been done using readily replicable methodologies. More governance assessments were inventoried (just under 380). However, 333 of these were under a single project in Tanzania. There were also just over 30 assessments using methodologies with joint focus on management effectiveness, governance, and/or social assessment, such as the IUCN [Green List](#) of Protected and Conserved Areas. The relatively small number of governance and social assessments implies an obstacle to addressing these important aspects of protected and conserved area sites and systems (though there are many academic studies that could be drawn on), and to reporting on the equity element of Aichi Target 11.

Assessment Objectives and Motivations:

Assessments often have multiple, inter-related objectives. Broadly speaking, common objectives include: (in most cases) better understanding the current situation, (in many cases) developing recommendations to make adaptations or improvements, and (in some cases) monitoring / tracking change over time. The question of

whose objectives these are – i.e. who is driving assessments – also varies. Important factors driving uptake of new methodologies have been requirements by funding bodies and pilot testing and use by non-governmental organisations (NGOs). At the same time, the use of certain methodologies (particularly METT) has been institutionalised by some countries in the region and in-country demand for some other methodologies (including Social Assessment of Protected and Conserved Areas - SAPA) appears to be growing. There are also innovative processes developed and/or led by local actors, including Indigenous peoples and local communities.

Participation in Assessments: Assessments tend to be convened by the governing or managing bodies (which may be government, communities, private actors, or combinations of these). This is often done with external support actors, particularly in the case of newer methodologies or where substantial facilitation support or training is required. The scope and nature of participation varies by both the methodology and the context-specific process through which it is implemented. In general, management effectiveness assessments vary widely in whether and how rightsholders and stakeholders participate, while governance assessments tend to be the most inclusive. Inclusivity is important in part because the assessment process itself (not just the results) can be a powerful opportunity for exchange and co-generation of knowledge. However, designing genuinely participatory processes is challenging.

Resource and Capacity Requirements: The resources (time, financing) and capacities required for assessments vary widely by both methodology and context. Some methodologies, like METT, are designed to be relatively quick and low-cost. Others are more in-depth, like the Enhancing our Heritage Toolkit (EoH) and

Integrated Management Effectiveness Tool (IMET), and are therefore more time consuming and costly. Specific costs and time requirements also vary by the context (e.g. accessibility and social complexity of the site) and process. Capacity is another important resource, though people already have diverse capacities and assessment-specific skills can be built as part of the process. Further, while it is necessary to minimise costs, this should be balanced with ensuring a meaningful process and follow-up. There are also intangible resources that help ensure meaningful assessment, including commitment, openness, and enthusiasm.

Information Availability: Technical guidance on how to do management effectiveness, governance, and social assessments is available, with some exceptions and variability in the level of detail. Some of this guidance has evolved over time. Reports from some assessments are also available, e.g. from pilot initiatives, academic research, and periodic global reports, e.g., World Heritage Outlook Report (WH Outlook), at least in summary form. However, very few reports were found for other assessments, including all Green List assessments and most of the METT assessments. The limited availability of assessment reports (and raw results) clearly indicates an aspect of assessment practice that could be improved, including through the BIOPAMA Programme.

Considerations for BIOPAMA Partners: Experience in the region and existing guidance suggest the following:

- *For selecting and adapting methodologies:* There are many methodologies available for management effectiveness assessment and a growing (though still limited) number for governance and social assessment. Each has different strengths and limitations. Consider

both the objectives and available resources for assessment, noting that there may be trade-offs between these, and select or develop sound methodologies. Verify their appropriateness for the context and adapt them as needed. Strive to be both practical and ambitious about what you can do with assessment.

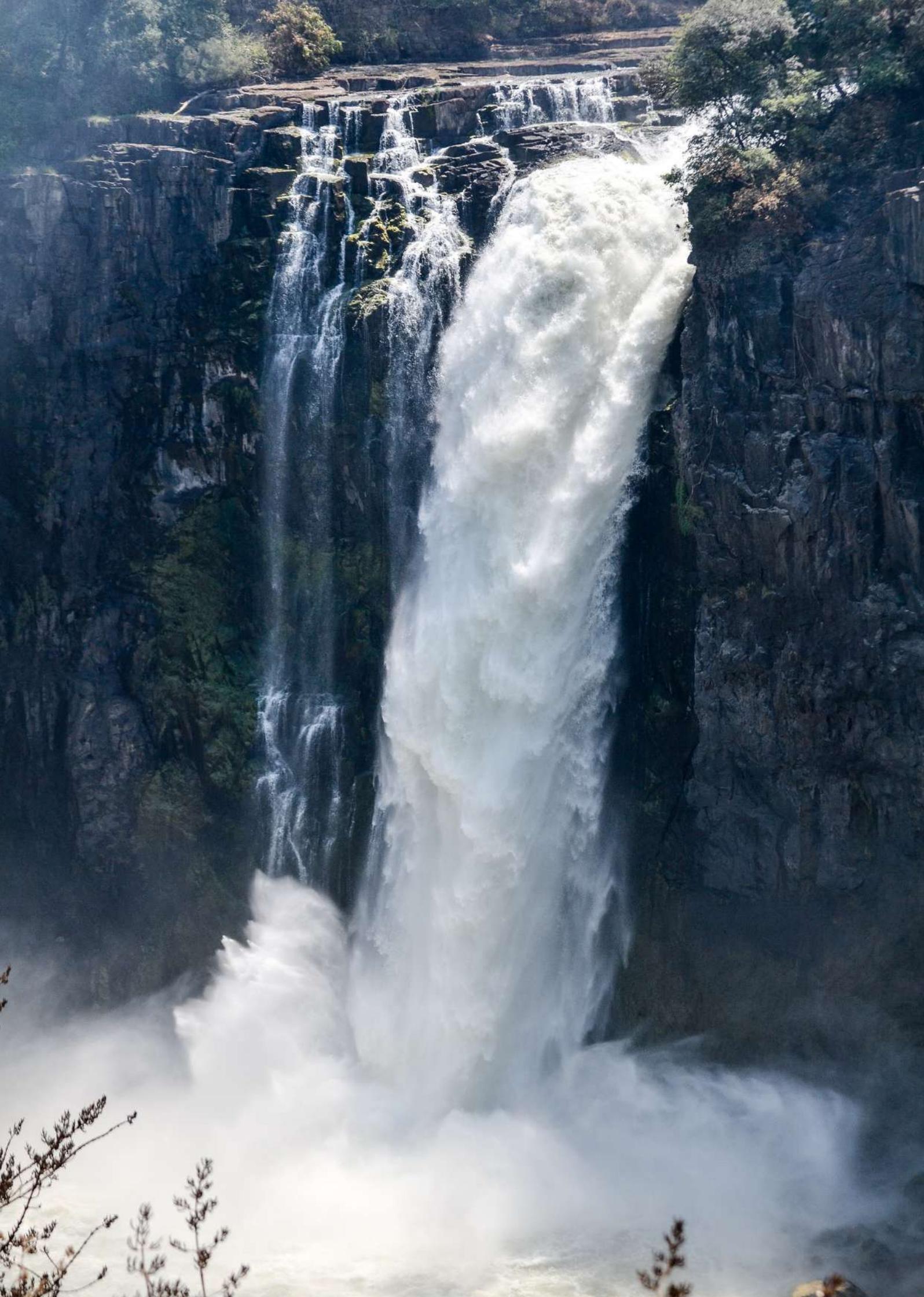
- *For ensuring a meaningful process and results:* Regardless of the methodology selected, the meaningfulness of any assessment will be contingent in large part on how it is done in practice. Approach assessment as an inclusive learning process, while drawing on the best available information, being clear about scope and timeframes, and verifying results.
- *For making assessment a basis for meaningful action:* While the process of assessment is valuable in itself (e.g. by convening a space for shared learning), it should also lead to meaningful change. Moving from assessment to action was identified as a major challenge. To help address this challenge, ensure (engender) political will and openness to change, dedicate resources, make a detailed action plan (not just recommendations) and/or integrate assessment into regular planning cycles ("institutionalisation"), communicate and coordinate across levels, and establish a process for ongoing learning / monitoring.

Considerations for the BIOPAMA programme: This analysis suggests that the BIOPAMA programme could support its partners through, *inter alia*:

- Generating and sharing information about assessment (including resulting benefits) with concrete examples from the region and opportunities for peer exchange
- Developing comparative information on

different methodologies, complemented by capacity building opportunities (e.g. webinars), with a focus on governance and social assessment

- Engaging a wide range of rightsholders and stakeholders in capacity building efforts, including for co-generation of knowledge
- Providing guidance on how to tackle technical (and other) challenges in assessment
- Helping to develop standardised formats to share certain levels of data



About BIOPAMA

The Biodiversity and Protected Areas Management (BIOPAMA) programme aims to improve the long-term conservation and sustainable use of natural resources in African, Caribbean and Pacific (ACP) countries, in protected areas and surrounding communities. It is an initiative of the ACP Group of States financed by the European Union's 11th European Development Fund (EDF), jointly implemented by the International Union for Conservation of Nature (IUCN) and the Joint Research Centre of the European Commission (JRC). Building on the first five years of activities financed by the 10th EDF (2012-2017), BIOPAMA's second phase provides tools for data and information management, services for improving the knowledge and capacity for protected area planning and decision making, and funding opportunities for specific site-based actions." www.biopama.org

About the Africa, Caribbean, Pacific Group of States

The African, Caribbean and Pacific Group of States (ACP) is the largest trans-national intergovernmental organisation of developing countries in the international system, with 79 member countries from Africa, the Caribbean and the Pacific. Today, the main goal of the Group is to drive South-South solidarity and North-South cooperation for the sustainable development of ACP countries and their successful integration into the world economy. <http://www.acp.int/>

About the European Union

The European Union is made up of 28 Member States who have decided to gradually link together their know-how, resources and destinies. Together, during a period of enlargement of 50 years, they have built a zone of stability, democracy and sustainable development whilst maintaining cultural diversity, tolerance and individual freedoms. The European Union is committed to sharing its achievements and its values with countries and peoples beyond its borders. <http://europa.eu/>

About IUCN

IUCN is a membership Union composed of both government and civil society organisations. It harnesses the experience, resources and reach of its more than 1,300 Member organisations and the input of more than 10,000 experts. IUCN is the global authority on the status of the natural world and the measures needed to safeguard it. www.iucn.org

About the Joint Research Centre and the European Commission

The European Commission (EC) is the executive body of the European Union (EU), which is the world's largest donor of official development assistance. As the in-house science service of the EC, the Joint Research Centre (JRC) provides EU policies with independent, evidence-based scientific and technical support, including policies and programmes at global level and specifically those focusing on the African, Caribbean and Pacific Group of States (ACP). <https://ec.europa.eu/jrc/en>

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