



Social Assessment of Protected Areas

Early Experience and Results of a Participatory, Rapid Approach

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Fauna & Flora International works to conserve threatened species and ecosystems, seeking solutions, based on sound science, and contributing to human well-being

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Assessing the positive and negative social impacts of protected areas is no easy task, but it can be done with relatively simple, low cost methodologies. Designed for this purpose, the Social Assessment of Protected Areas (SAPA) methodology can be applied to any protected area (PA), regardless of its management category and governance type, and to related conservation and development activities that are designed to support PA conservation. At the heart of the SAPA methodology is a multi-stakeholder process that enhances accuracy and credibility, and ensures that the assessment addresses the information needs not only of PA managers, but also of other key actors in government, civil society and the private sector. This working paper describes both the development of the SAPA methodology (work in progress), and some preliminary results that illustrate the type of information generated and the strengths and weaknesses of the methodology.

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Executive summary

The Social Assessment of Protected Areas (SAPA) initiative is a collaborative effort to develop a rapid, relatively low-cost methodology for assessing the positive and negative impacts of a protected area (PA) on communities living within and around it. The focus of SAPA is on actual social impacts that have been experienced (or perceived) and continue to be experienced (as opposed to assessing likely future impacts). SAPA is designed to help PA managers and other key stakeholder groups to increase the positive social impacts (benefits) and mitigate, or preferably, avoid negative social impacts (costs).

The SAPA methodology can be applied to any type of PA, regardless of its governance type and management category. The methodology is based on a process with eight discrete steps which within 3–6 months take the assessment to the point of generating results and recommendations. This is followed by two further steps – action planning by the relevant stakeholders and, finally, communication of results and proposed action and monitoring plans.

SAPA uses Participatory Rural Assessment (PRA) tools combined with a simple household survey. The PRA tools require good facilitation skills and the survey requires some experience in social survey design and analysis. Even where these skills are available within the PA management team it is recommended that an appropriate national university or NGO be involved to counter concerns that the facilitation of the SAPA process may be biased. There should be no need for international consultants and on this assumption we estimate a cost of USD 2,500–7,500 to conduct the assessment at a given PA depending on the size of the PA and the relative cost of the key activities.

There has been much debate going back many years over the social impacts of PAs with a picture complicated by very different contexts, and often confused by the use of very different assessment methodologies and reference to different standards. The World Parks Congress in 2003 brought some clarity with agreed principles that PAs should strive to contribute to poverty reduction and in no way exacerbate poverty, and that benefits and costs of PAs should be equitably shared. These principles were then further elaborated in the Convention on Biological Diversity (CBD), and in particular in the CBD

Programme of Work on Protected Areas, including the specific activity *assess the economic and socio-cultural costs, benefits and impacts arising from the establishment and maintenance of protected areas*. More recently the Aichi Targets of the CBD Strategic plan state that PA systems should be *equitably managed*, although how to assess equity, and indeed the actual meaning of equity in this context, remains unclear. Responding to these needs, the SAPA Initiative was launched in 2008.

Potential users of SAPA – managers of all types of PAs and associated conservation and development initiatives – have many other information needs, and SAPA is being developed with this in mind. Specifically PA managers are encouraged to conduct two related assessment processes: PA Management Effectiveness Evaluation (PAME) and PA governance assessment. SAPA is exploring the relationship between these and making recommendations for effective linkage.

The SAPA methodology assesses impacts on human well-being using a broad framework that recognises three dimensions of well-being: material, relational and subjective. SAPA aims to identify any and all significant impacts relating to the establishment, existence, and management of the PA and any associated conservation and development activities. However, in-depth assessment of the significance of these for human-wellbeing is focused only on the priority impacts that have medium to high significance for well-being.

To date the SAPA methodology has been piloted at two sites: OI Pejeta Conservancy in Kenya – a private PA – and Monte De Cristal National Park in Gabon – a state managed PA. This limited testing means that it is premature to present step-by-step guidance for applying the SAPA methodology, but it does reveal some interesting insights into key issues of social assessment, notably regarding who should be involved, what impacts should be assessed, what questions the assessment should be trying to answer, what is the target area and sampling strategy, and what indicators of well-being should be used? The field testing has also highlighted some of the common capacity gaps likely to be encountered and therefore helped identify which aspects of the methodology will require more in depth guidance.

It would be premature to draw any firm conclusions from the experience of field-testing the SAPA methodology in Kenya and Gabon. That said, in terms of the methodology development goal of the SAPA Initiative, the following emerging insights appear important:

- A **multi-stakeholder approach** is valuable in ensuring that the key stakeholders who will use the information are fully engaged in the assessment, and in enhancing the legitimacy of the process and the accuracy and credibility of the results.
- **Reliable well-being indicators** can be hard to identify and require in-depth discussion with representative groups of community members. People from outside the communities are unlikely to get understand the context sufficiently to derive locally relevant indicators.
- **Holistic impact identification** is key since some of the most significant impacts may not be obvious to people from outside the communities.
- **Social differentiation** is important since the distribution of impacts between and within communities may very much depend on gender, ethnicity, class and other social factors related to vulnerability and marginalisation.

The SAPA methodology is based mainly on perceptions – what people feel and believe to be the situation – and asks people to define the benefits and costs that they believe to be attributable to the PA and associated conservation and development activities. As well as identifying impacts that may not be obvious to people from outside the communities, this also makes the assessment simpler and lower cost. The disadvantage is subjectivity. However, it can be argued that for an assessment focused on making conservation more effective and equitable at site level it is crucial to understand what people feel and believe to be true. Furthermore, in a world in which political considerations can be more influential than technical considerations, the significance of public opinion in shaping decision making at all levels is increasingly apparent.

Also central to the debate about methodologies to assess the social impacts of PAs is the issue of scientific rigour versus practicality. SAPA is based very much on the classic principles of Participatory Rural Appraisal – *optimal ignorance* and *appropriate imprecision*.¹ The challenge is, of course, finding the right balance in a particular situation. Much remains to be done in terms of further development of the SAPA methodology but we believe that we are moving in the right direction.

¹ Optimal ignorance – knowing what it is not worth knowing, and then not trying to find it out. Appropriate imprecision – not measuring what need not be measured, or more accurately than needed.

1

Background

1.1 What is SAPA?

The Social Assessment of Protected Areas (SAPA) initiative is a collaborative effort to develop a rapid, relatively low-cost methodology for assessing the positive and negative impacts of a protected area (PA) on communities living within and around it. The focus of SAPA is on actual social impacts that have been experienced (or perceived) and continue to be experienced (as opposed to assessing likely future impacts). SAPA is designed to help PA managers and other key stakeholder groups to increase the positive social impacts (benefits) and mitigate, or preferably, avoid negative social impacts (costs) – hereafter referred to simply as benefits and costs². The SAPA methodology can be applied to any type of PA, regardless of its governance type and management category (see Fig. 1).

SAPA uses a multi-stakeholder, participatory approach to ensure that key stakeholders who will use the information generated by the assessment are fully engaged in the design, the interpretation of the results and the development of recommendations. This multi-stakeholder approach also serves to enhance the accuracy, credibility and legitimacy of the results.

The SAPA methodology is based on a process with eight discrete steps which within 3–4 months take the assessment to the point of generating results and recommendations. This is followed by two further steps – action planning by the relevant stakeholders and, finally, communication of results and proposed action and monitoring plans (see Fig 2). It is unlikely that the steps can be undertaken in a continual process of fieldwork – time is needed between each step to process results, convene meetings and so on.

SAPA uses Participatory Rural Assessment (PRA) tools combined with a simple household survey. The PRA tools require good facilitation skills and the survey requires some experience in social survey design and analysis. Even where these skills are available within the PA management team it is recommended that an appropriate national university or NGO be involved to counter concerns that the facilitation of the SAPA process may be biased. There should be no need for international consultants and on this assumption we estimate a cost of USD 2,500–7,500 to conduct the assessment at a given PA depending on the size of the PA and the relative cost of the key activities.

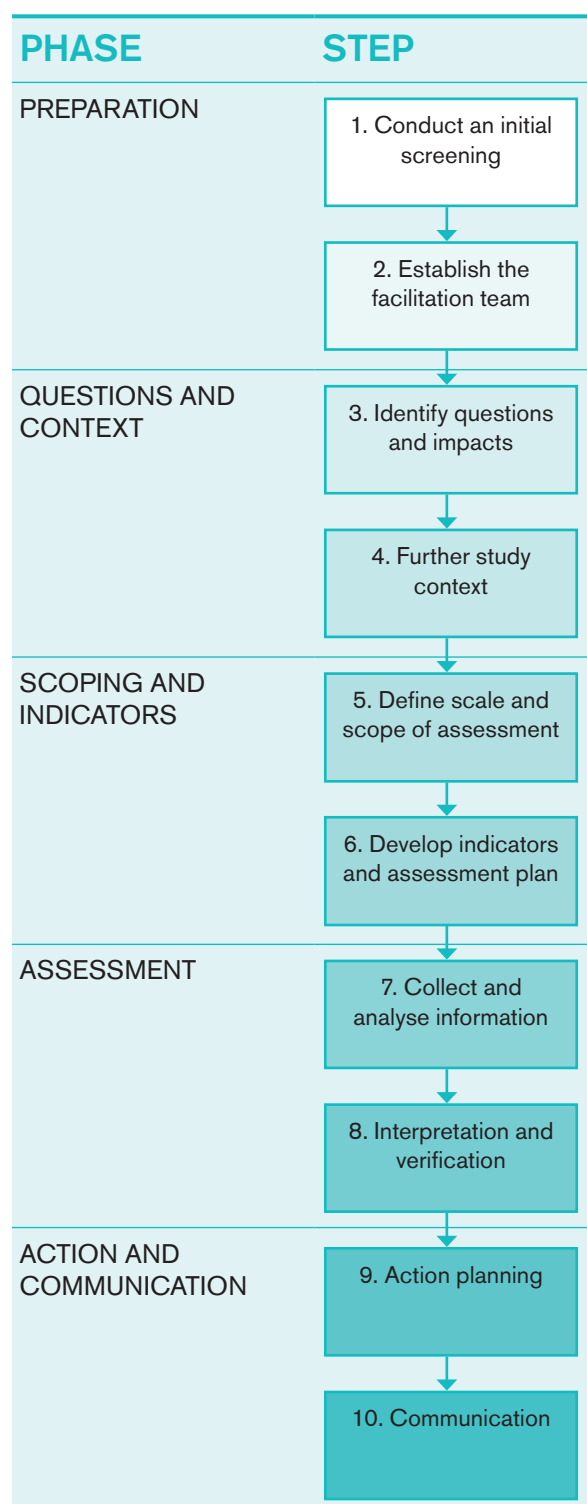
²The terms benefits and costs refer to the full range of tangible and intangible social impacts not just impacts that have a clear financial value. The term social impact is used to refer to benefits and costs collectively.

Figure 1. IUCN classification of PA management categories and governance types

MANAGEMENT CATEGORY	GOVERNANCE TYPE			A. GOVERNANCE BY GOVERNMENT			B. SHARED GOVERNANCE			C. PRIVATE GOVERNANCE			D. GOVERNANCE BY INDIGENOUS PEOPLE AND LOCAL COMMUNITIES		
	Federal or national ministry or agency in charge	Sub-national ministry or agency in charge	Government-delegated management (e.g. to an NGO)	Transboundary governance	Collaborative governance (various forms of pluralist influence)	Joint governance (pluralist governing body)	Conserved areas established and run by individual landowners	... by non-profit organisations (e.g. NGOs, universities)	... by for-profit organisations (e.g., corporate landowners)	indigenous peoples' conserved areas and territories – established and run by indigenous peoples	Community conserved areas and territories – established and run by local communities				
Ia. Strict Nature Reserve															
Ib. Wilderness Area															
II. National Park															
III. Natural Monument															
IV. Habitat/ Species Management															
V. Protected Landscape/ Seascape															
VI. Protected Area with Sustainable Use of Natural Resources															

Source: Borrini-Feyerabend et al. 2013.

Figure 2. SAPA process



1.2 Context and history of SAPA

The landmark recommendation on PAs and Poverty from the World Parks Congress (WPC) of 2003 includes the 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*”. This recommendation responded to the concern that, despite much progress in the social dimension of conservation in the 1990’s³, there remained concerns that PAs could, and should, do more to contribute to poverty reduction, and concerns that some PAs were imposing net⁴ costs on some stakeholder groups.

Alongside the principle relating to poverty, the 2003 WPC recommendation included a key principle of equity in the distribution of benefits and costs (“distributive equity”): *Equitable sharing of costs and benefits of protected areas should be ensured at local, national and global levels.*

EQUITY IN CONSERVATION

Equity is understood in many different ways (Franks *et al.*, in prep.). Some approaches to equity focus on impacts on poverty (“pro-poor approach” and “do no harm approach”), but other approaches are based more on rights, and/or biodiversity and ecosystem services goals. In other words equitable PA management and conservation can mean different things to different people.

No matter how equity is understood, a key aspect is the distribution of benefits and costs of conservation within communities, between communities, and between the various beneficiaries of conservation from local to global level. Hence assessing the social impacts of conservation is a prerequisite for understanding equity, and how conservation affects poverty and human well-being.

³ Including major investments in community outreach, community conservation, collaborative management and community development (often within a framework of integrated conservation and development)

⁴ Net meaning an overall negative impact/cost when you take account of all benefits and costs..

Responding to this and many other key recommendations from WPC in 2003, parties to the Convention of Biological Diversity (CBD) agreed a Programme of Work on Protected Areas (PoWPA) in 2004. The first activity under the PoWPA goal on Equity and Benefits Sharing (goal 2.1) is: *Assess the economic and socio-cultural costs, benefits and impacts arising from the establishment and maintenance of protected areas, particularly for indigenous and local communities, and adjust policies to avoid and mitigate negative impacts, and where appropriate compensate costs and equitably share benefits in accordance with the national legislation.*

The 9th meeting of the CBD CoP in 2008 again reiterated the commitment of CBD Parties to ensuring that conservation and development activities related to PAs contribute to poverty reduction, and equitable sharing of benefits (CBD Decision IX/18).

Since the late 1990's there has been a substantial amount published in the academic literature on the social impacts of PAs. Initially these studies mainly documented negative impacts/costs but over time studies have documented a much more varied picture (Burgess *et al.*, in preparation). However most of these studies have used complex and costly research methodologies which are not a practical option for most PAs, and, in the absence of a standardised methodology, assessments of the social impacts of

CBD DECISION IX/18

To ensure that conservation and development activities in the context of protected areas contribute to the eradication of poverty and sustainable development and ensure that benefits arising from the establishment and management of protected areas are fairly and equitably shared in accordance with national legislations and circumstances, and do so with the full and effective participation of indigenous and local communities and where applicable taking into account indigenous and local communities' own management systems and customary use.

similar, and sometimes even the same, PAs may arrive at different conclusions. This not only makes it difficult for robust comparisons across PAs to be made, but further complicates the task of generating the consensus and political will needed to address genuine concerns related to the social impacts of protected areas (Schreckenberg *et al.*, 2010).

The lack of a standardised methodology for assessing the social impacts of PAs reflects the varied nature of protected areas and the different information needs (and information-gathering resources) of stakeholders

BOX 1. TEN CHALLENGES IN ASSESSING SOCIAL IMPACTS OF PROTECTED AREAS

1. Many potential approaches depending on the intended users of the information, from assessments designed to improve management of specific PAs to system-wide assessments designed to prove the beneficial social impacts of PAs.
2. No agreement on which of the many benefits and costs to measure
3. No agreement on whether methods should be quantitative and/or qualitative, and participatory and/or expert-based
4. What is measured depends on the definitions of social impacts and poverty being used by a person/organisation.
5. While there is increasing recognition of the intangible impacts of PAs (e.g. on social cohesion, empowerment, human rights), these are particularly difficult to assess.
6. Some methodologies are associated with certain agencies, with no standardisation between them.
7. There are often no baseline data for the PA or non-PA areas against which to measure social impacts, making attribution difficult.
8. Approaches must be able to capture the different impacts of the PA (in terms of both benefits and costs) on different social groups (e.g. by wealth, gender, ethnic group).
9. Assessment tends to take account of historical land and resource rights, particularly where indigenous people are involved.
10. Impacts may differ over time and over space (e.g. within and outside a PA, and at different distances from a PA).

ranging from protected area managers to national authorities and international conservation and social advocacy non-governmental organisations (NGOs). As more protected areas have begun to incorporate multiple objectives, including social, cultural and economic objectives, different organisations have begun to test alternative methodologies for assessing the resulting social impacts. The main challenges faced in assessing social impacts, many of which are not unique to protected areas, are well known (see Box 1).

Particularly troublesome is the issue of how specific benefits and/or costs can be reliably attributed to the existence and current form of management of a particular PA (i.e. the PA as an institution) rather than to other factors such as the mere existence of the ecosystem services being protected by the PA, national/local development trends etc. In the case of a forested PA, for example, a comparison of a community bordering the PA with one further away might reveal benefits such as better water flow, or costs such as the existence of more crop predators in the community bordering the PA. These might be attributed to the existence of the PA but are more likely to be due to the existence of the forest ecosystem, the protection of which could feasibly have been assured by other management institutions. Attribution is not made any easier by the fact that the impacts of a PA may often be quite small in comparison with other factors affecting livelihoods (Schreckenberg *et al.*, 2010).

Responding to this apparent need for a relatively simple, standardised and low cost approach to assessing the social impacts of PAs, and specifically the request for this in the PoWPA, the SAPA Initiative was launched in mid-2008. The SAPA start-up workshop included a wide range of people who had been involved in designing and implementing different approaches to assessing the social impact of PAs. These ranged from simple methods to very rigorous, but very complex, methods requiring control communities and sophisticated data analysis techniques.

- **TOOLS:** specific data gathering instruments/ exercises.
- **METHODS:** sets of tools of a certain type, e.g. Participatory Rural Appraisal.
- **METHODOLOGIES:** overall package of experimental design and information gathering tools.

From Schreckenberg *et al.*, 2010

An analysis of potential users of PA social assessment confirmed that the priority for the SAPA Initiative should be relatively rapid, low-cost methodologies that managers of PAs of all types, and associated conservation and development initiatives, could readily use. The first output of the SAPA Initiative was a review of “rapid methodologies” of this type, including both methodologies that had been used for assessing the social impacts of conservation activities, and also methodologies used by the development community that might be appropriate for conservation – see Table 1. Some of these methodologies were indeed true methodologies (i.e. including experimental design) while others are better described as methods or tools.

From the outset, it was agreed that the SAPA Initiative would strive to develop not a single *method* or *tool*, but rather a complete *methodology* that would enable users to design the assessment according to their particular information needs, context and resource constraints. An element of the SAPA methodology would be identification and adaptation of appropriate methods and tools, drawing on some of the simpler methods and tools identified in the previous review.

Table 1. Social Assessment tools reviewed in Shreckenberg et al. (2010)

METHOD NAME	ACRONYM	PA SPECIFIC*
INDEX-BASED METHODS		
Basic Necessities Survey	BNS	No
Coping Strategies Index	CSI	No
Quantitative Participatory Assessment	QPA	No
TOOLS		
Participatory Economic Valuation	PEV	[Yes]
Landscape Outcomes Assessment Methodology	LOAM	No
Committee on Sustainability Assessment	COSA	No
Household Livelihood Security Assessment	HLSA	No
DETAILED METHODOLOGIES		
Parks and People	P&P	Yes
Participatory impact Assessment	PIA	No
Protected Area – Benefit Assessment Tool	PA-BAT	Yes
Rapid Social Impact Assessment	RSIA	[Yes]
METHODOLOGIES FOR PA SYSTEMS		
Comparison group approach	CGA	[Yes]
Matched method approach	MMA	Yes
METHODOLOGIES WITH INTERESTING ELEMENTS		
Appreciative Inquiry	AI	No
Most Significant Change	MSC	No
Outcome Mapping	OM	No
Participatory Impact Pathways Analysis	PIPA	No
Poverty Forests Linkages Toolkit	PROFOR	No
Socio-Economic Assessment Toolbox	SEAT	No

*This column indicates whether the methods as reviewed were specific to protected areas ('Yes'), were reported from a protected area but could be used in non-protected areas ('[Yes]'), or were reported from non-protected areas ('No').

1.3 Social assessment, governance assessment and management effectiveness evaluation

Potential users of SAPA – managers of all types of PAs and associated conservation and development initiatives – have many other information needs, and SAPA is being developed with this in mind. Specifically PA managers are encouraged to conduct two related assessment processes:

- PA Management Effectiveness Evaluation (PAME)⁵
- PA governance assessment⁶

A key activity of the SAPA Initiative is to explore the relationship between social assessment, governance assessment and PAME and make recommendations for effective linkage. Initial findings indicate that the various tools employed to conduct PAME assessments vary in the extent to which they address social and governance issues. The two main internationally-applied tools (the Management Effectiveness Tracking Tool (METT) and the Rapid Assessment and Prioritization of Protected Area Management Methodology (RAPPAM)) do include some assessment of relevant social issues but

⁵ See Dudley and Stolton (2009)

⁶ See Borrini-Feyerabend *et al.* (2013)

at quite a superficial level. The more comprehensive (and generally newer) tools address the issues of governance and social aspects of PA management in more detail but still provide limited information on costs (as opposed to benefits) and on distribution of costs and benefits (Burgess *et al.*, in prep.). The SAPA Initiative is contributing to the ongoing review of PAME core set of indicators with the idea that the core social indicators in PAME give a clearer indication of social impacts, including indicators that might be generated by the SAPA methodology.

While SAPA focuses on the distribution of social impacts of PAs (distributive equity), governance assessment focuses mainly on the influence of different stakeholders in decision-making processes and underlying issues of recognition and power relations (procedural and contextual equity)⁷. In a PA context, decision-making clearly has a strong focus on issues of PA management, but it is important to recognise that governance is not the same as management.

MANAGEMENT	... is about ...	<ul style="list-style-type: none"> – what is done in pursuit of given objectives – the means and actions to achieve such objectives
GOVERNANCE	... is about ...	<ul style="list-style-type: none"> – who decides what the objectives are, what to do to pursue them, and with what means – how those decisions are taken – who holds power, authority and responsibility – who is (or should be) held accountable

Source: Borrini-Feyerabend *et al.*, 2013

Although it is assumed that improved PA governance (e.g. more effective participation of key stakeholders) will deliver more equitable distribution of social impacts, there are many examples from both the world

of conservation and natural resource management, including REDD+, showing that this is not always the case (McDermott *et al.*, 2012). Reasons include:

- High transaction costs of participatory and consultative processes
- Governance problems that may be hard to identify, especially within stakeholder groups (e.g. marginalisation by gender or ethnicity)
- Different interpretations of what is intended by “equitable”, e.g. a process designed to be equitable from a rights perspective may not deliver gender equity, or reduce poverty.

A number of the issues investigated in governance assessment are considered social impacts in their own right (e.g. changes in power relationships), but governance assessment is not designed to provide the full picture of social impacts. Therefore some form of social assessment will always prove worthwhile, adding value to other assessments.

AICHI TARGET 11

By 2020, at least 17 per cent of terrestrial and inland water, and 10 per cent of coastal and marine areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably managed, ecologically representative and well-connected systems of protected areas and other effective area-based conservation measures, and integrated into the wider landscape and seascapes.

1.4 Equitable management

Aichi Target 11 of the CBD Strategic Plan for Biodiversity 2010 – 2020 includes a commitment to equitable management of PA systems. However, given the different interpretations of equity in the context of natural resource management and conservation (and in other sectors), it is not clear what “equitable management” actually means. At the very least it may be presumed to mean that PA management delivers a fair distribution of benefits and costs as per previous decisions of CBD Parties, but in addition it may be assumed to mean fair governance arrangements. In other words, “equitable management” has both a distributive and procedural dimension, and elements of both social assessment and governance assessment will be needed to assess performance against Aichi target 11. The SAPA Initiative aims to respond directly to this need.

⁷ See Franks *et al* (in prep.), McDermott *et al.* (2012)

1.5 SAPA goal, outcomes and outputs

The overall, long-term goal of the SAPA Initiative is “Equitable sharing of both costs and benefits arising from the establishment and management of PAs and associated conservation and development initiatives so that PAs contribute to human wellbeing and the eradication of poverty” (Figure 3). The three outcomes of the current phase of the Initiative which are to be delivered by March 2016 include informing policy development, but SAPA is designed, first and foremost, to inform conservation and development practice.

Specific outputs of the SAPA Initiative include:

- Review of rapid assessment methods (July 2010)
- Review of SAPA-PAME-governance assessment linkages (October 2014)
- Working Paper (October 2014) – this document
- Reports of SAPA-based social assessments at pilot sites (2014/5)
- Synthesis of SAPA results and experience (June 2015)
- Policy brief with recommendations for CBD policy and guidance (September 2015)
- Best practice guidance for assessing the social impacts of PAs – a publication in the IUCN WCPA Best Practice Guidance series (March 2016)

Figure 3. SAPA Goal and Outcomes



2

The SAPA methodology

The SAPA methodology essentially comprises an analytical framework, an experimental design, a process, and a tool kit.

2.1 SAPA analytical framework

For the purposes of SAPA we use the definition of social impact that has been developed and applied by the social impact assessment (SIA) community of practice⁸ – that social impacts are changes to people's:

- Way of life – how they live, work, and interact with one another;
- Culture – shared beliefs, customs, values and language;
- Community – its cohesion, stability, character, services and facilities;
- Political systems – ability to participate in decisions that affect their lives;
- Health – a state of complete physical, mental and social well-being;
- Environment – quality of air and water, exposure to environmental hazards, access to natural resources, degradation and loss of ecosystem services;
- Food security – availability and quality of food they eat;

- Personal and property rights – civil liberties, control over resources;
- Fears and aspirations – perceptions about safety, fears about the future of their community, and their aspirations for their future and the future of their children.

DOMAINS OF HUMAN WELL-BEING

Material: physical requirements of life, such as income, wealth, assets, or physical health, and the ecosystem services provided by the physical environment.

Relational: social interactions, collective actions, and the relationships involved in the generation and maintenance of social, political, and cultural identities.

Subjective: cultural values, norms, and belief systems, notions of self; individual and shared hopes, fears, and aspirations; expressed levels of satisfaction or dissatisfaction; trust; and confidence.

Adapted from White, S, 2009

⁸ See Becker and Vanclay (2003)

It is clear that this classic definition of social impact relates to a broad concept of human well-being rather than a narrower concept of economic wealth/poverty, but includes economic impacts (i.e. social impacts equate to socio-economic impacts).

The word *change* is also key. An *impact* is not the current status of a particular aspect of well-being, but rather a *change* in well-being (positive or negative) that will be, or has already been, caused by the initiative (i.e. in this case the PA and associated conservation and development activities).

Human well-being has been defined as: “A state of being with others and the natural environment where human needs are met, where groups and individuals can act meaningfully to pursue their goals, and where they are satisfied with their way of life.”(Armitage *et al.*, 2012). In the landmark Millennium Ecosystem Assessment (MA) published in 2005, human well-being is defined as an aggregation of five components: basic material needs, health, security, good social relations, and freedom of choice and actions. However, this view is one where well-being is framed largely as a desired result of the intersection of direct and indirect drivers of change on ecosystem services – in other words it’s

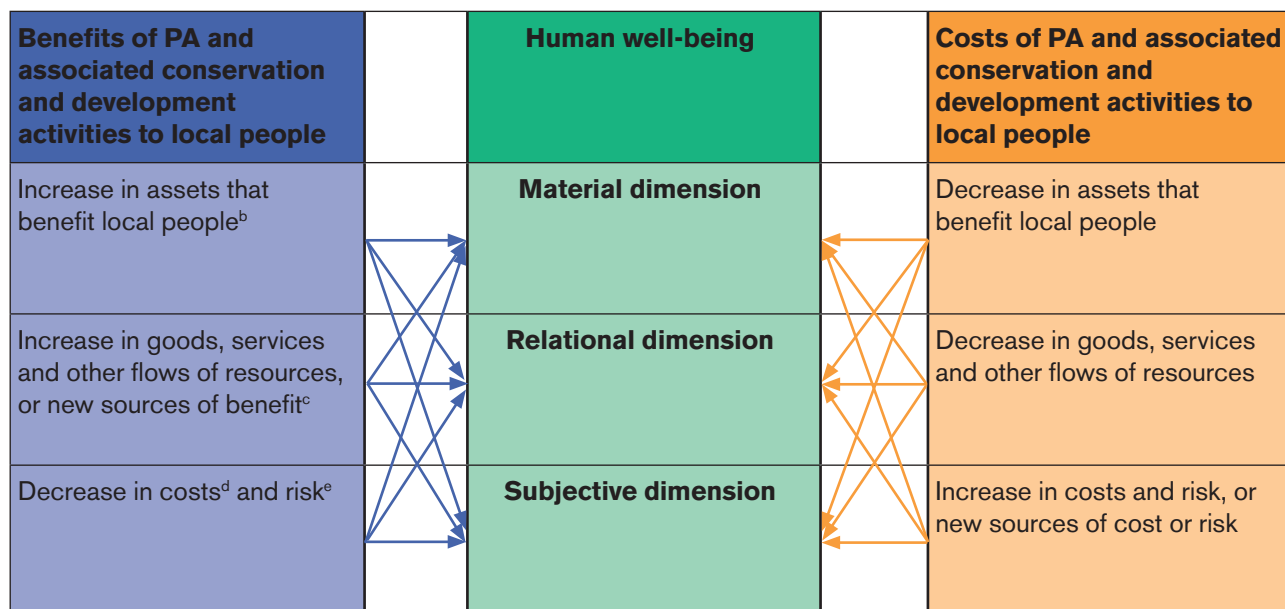
a relatively narrow framing of the concept of well-being (Armitage *et al.*, 2012).

Over the last 15 years a broader framing of human well-being has been developed. This “social concept of well-being” nests the individualistic and material aspects of well-being within the wider social, psychological and cultural needs required to live well. This definition recognizes three key domains of human well-being: material, relational and subjective. SAPA’s analytical framework and process are based on this broader framing of human well-being.

The SAPA analytical framework (see Figure 4) describes the way in which well-being is conceived in the SAPA methodology, the different types of social impacts (benefits and costs) arising from the establishment and on-going management of a PA, and the relationship between these two. As in the MA, this relationship is shown by a set of horizontal arrows.

In principle, SAPA aims to identify and assess the significance of any and all social impacts that local communities associate with the establishment and management of the PA (and any associated conservation and development activities) using the broad definition of social impacts outlined in section

Figure 4. SAPA analytical framework^a



- a Arrows are illustrative showing, in principle, that all types of benefit/cost can impact all dimensions of human well-being.
- b Natural, financial, physical, human, socio/political assets/capitals.
- c Includes change in the flow of any goods and services or other resources from any source where the change in flow may be wholly or partially attributable to the PA, including, but not limited, changes in ecosystem services.
- d Includes financial costs, transaction costs, opportunity costs and other non-financial costs, from any source where the change in flow of costs may be wholly or partially attributable to the PA.
- e Includes a wide variety of risk factors whose significance may be affected by a PA, e.g. risk of negative impacts from climate change may be reduced by conservation activities.

2.1. The SAPA framework identifies three categories of benefits/costs of the PA and associated conservation and development activities:

1. Changes in **assets/capitals** (natural, physical, financial, human, social/political)
2. Changes in **flows of goods, services or other benefits** (including ecosystem services) which may be wholly or partially attributable to the PA
3. Changes in **risks and costs** (financial and non-financial) which may be wholly or partially attributable to the PA

Appendix 1 provides some examples of such impacts from three PAs that greatly differ in type of ecosystem and PA governance. Note that many of these benefits and costs are non-financial – meaning that, although they have value, they cannot be valued using market-based methods. All of these benefits and costs can be assigned to one of the three categories above and all have an impact on one or more of the three dimensions of human well-being.

The SAPA methodology adopts a question-based approach. A set of core assessment questions to be used in all sites have been developed based on the initial field testing (Box 2) but it is likely that for each site additional site-specific questions will be included in the assessment. These site-specific questions may be added either as sub-questions under the core questions or as new and additional questions, according to specific information needs. The combination of core questions plus further site-specific questions ensures a strong overall assessment framework, and enables comparison across sites, while enabling the assessment to be tailored to specific needs.

BOX 2: CORE SAPA ASSESSMENT QUESTIONS

- A. What are the main positive social impacts (benefits), and how might these be increased?
- B. What are the main negative social impacts (costs), and how might these be reduced?
- C. What is the contribution of the PA and its associated conservation and development activities to human well-being?
- D. To what extent do communities have access to relevant information and influence decision-making and how might these be improved?
- E. How are relations between the PA and local communities and how might these be improved?

2.2 SAPA methodology – key characteristics

- **User-driven.** The SAPA methodology is framed around questions that the primary users of SAPA (“key actors”) want answered so as to maximise the possibilities that the information can help to improve policy and/or practice. This group of key actors will be a sub-set of the full set of “key stakeholders” who have an interest in, and/or influence over management of the PA and associated conservation and development activities.
- **Multi-stakeholder.** The SAPA process is designed to engage key stakeholders in both the design of the assessment and the interpretation of the results. Recognising that there may be several primary users of SAPA is one reason for adopting a multi-stakeholder approach. Other key reasons include:
 - Improving assessment quality by drawing on a range of perspectives, skills and knowledge
 - Facilitating constructive dialogue between stakeholders
 - Enhancing credibility of the assessment results
 - Building political support for the existence of the PA and changes in management and/or governance that may be suggested by the results of the assessment
- **Holistic but prioritised.** SAPA aims to identify any and all significant benefits and costs relating to the establishment, existence, and management of the PA and any associated conservation and development activities. However, in-depth assessment of the significance of these for human-wellbeing is focused only on the “priority benefits and costs” that have medium to high significance for well-being.
- **Local scale.** SAPA focuses on impacts of a PA on any communities living within the boundaries of the PA and living near the PA whose well-being has been affected in some way(s) by the PA and any associated conservation and development activities. The actual distance that the SAPA assessment will extend from the PA boundary will depend on the information needs and the context – in some cases just a few kilometres while in others it may extend much further.
- **Socially differentiated.** The SAPA methodology aims to enable assessment and understanding of differences in the distribution of benefits and cost between and within communities that may depend on gender, ethnicity, class and other social factors related to vulnerability and marginalisation.

CHARACTERISTICS OF SAPA METHODOLOGY:

- User-driven
- Multi-stakeholder
- Holistic but prioritised
- Local scale
- Socially differentiated

2.3 SAPA experimental design – approach to attribution

SAPA explicitly asks people to define benefits and costs that they feel and believe to be attributable to the PA and associated conservation and development activities. In experimental design this is called a “reflexive counterfactual”, and with this approach there is no need for “without PA” control communities or a “before PA baseline”. This has the advantage that it makes the assessment simpler and lower cost. The disadvantage is subjectivity. However, it can be argued that for an assessment focused on making conservation more effective and equitable at site level our main aim should be to understand what people feel and believe to be true.

As noted in section 1.2, a key issue of experimental design is how to deal with the benefits from ecosystem services that are maintained, and perhaps enhanced, by the PA. SAPA *does* assess the contribution to human well-being of ecosystem services *but only* in so far as communities consider these to be attributable to the PA. By implication this means that ecosystem services that communities feel existed prior to the establishment of the PA, or would continue to be maintained without the PA, are not assessed. Clearly there may be benefits related to ecosystem services that will be missed because their attribution to the PA is not recognised by communities; SAPA will not capture these but the fact that they do not appear in the assessment will already indicate some need for action in terms of awareness raising.

2.4 SAPA process

The SAPA methodology is based on a step-by-step process comprising eight steps to the point of completing the assessment plus a further two steps of action planning and communication, i.e. a total of ten steps. This process is summarised in Figure 5 along with the main activities for each step. The process is still under development based on field testing in a variety of different contexts. Once a second cycle of field testing has been completed in July 2015 detailed step-by-step process guidance will be developed.

From the starting point to the completion of the assessment (step 8) will take 3–6 months. The time required for the final two steps of action planning, and communication of the results and plans will depend on the context, but it is recommended that these be completed within six months.

2.5 SAPA tool-kit

The SAPA toolkit is still being developed. At this stage the following tools are available (see Appendix 2) though all remain a work in progress:

- Focus group discussion for identification and prioritisation of impacts
- Users matrix to analyse and summarise information needs of key stakeholders
- Household survey template

Additional tools that will be added to the tool-kit include:

- SAPA feasibility check-list
- Stakeholder analysis tool
- Assessment plan template
- Tool for development of appropriate well-being indicators
- Tool for household survey coding, data entry and basic data analysis
- Focus group discussion for verification and further exploration of results
- Action planning template
- Communication tools

Figure 5. SAPA process with key activities

PHASE	STEP	KEY ACTIVITIES
PREPARATION	1. Conduct an initial screening	<ul style="list-style-type: none"> • Assess SAPA feasibility in terms of needs, context and constraints • Establish facilitation team that will design and facilitate the SAPA assessment
	2. Establish the facilitation team	
QUESTIONS AND CONTEXT	3. Identify questions and impacts	<ul style="list-style-type: none"> • Facilitate Focus Group Discussions (FGDs) in 3–6 communities to identify significant impacts and well-being indicators • Organise 1st stakeholder workshop to engage key stakeholders and develop the assessment questions
	4. Further study context	
SCOPING AND INDICATORS	5. Define scale and scope of assessment	<ul style="list-style-type: none"> • Identify priority impacts for further assessment based on results of FGDs, • Develop assessment plan detailing assessment questions, and indicators and tools to be used to address the questions • Develop household survey questionnaire and sampling frame
	6. Develop indicators and assessment plan	
ASSESSMENT	7. Collect and analyse information	<ul style="list-style-type: none"> • Conduct household survey (and other tools if needed) • Analyse data to generate preliminary results • Facilitate Focus Group Discussions to verify results and further explore key issues • Organise 2nd stakeholder workshop to review results & generate recommendations
	8. Interpretation and verification	
ACTION AND COMMUNICATION	9. Action planning	<ul style="list-style-type: none"> • Support action planning to enhance positive impacts and avoid/ mitigate negative impacts • Share findings and action plans with key stakeholders
	10. Communication	

3

Applying the SAPA methodology: lessons learned from Kenya and Gabon

To date the SAPA methodology, as described in the previous sections, has been piloted at two sites, and the experience and lessons learnt described in this section come from these two areas:

- Ol Pejeta Conservancy (OPC) in Kenya – a private PA run by a non-profit Kenyan conservation trust. See: <http://www.olpejetaconservancy.org/>
- Monts De Cristal (MdC) National Park in Gabon – a State owned PA managed by Gabon's Agence Nationale des Parcs Nationaux (ANPN). See: <http://www.parcsgabon.org/decouvrez-les-parcs/les-13-parcs-nationaux/parc-national-des-monts-de-cristal>

This limited testing means that it is premature to present step-by-step guidance for applying the SAPA process, but it does reveal some interesting insights into key issues – including the contexts in which it is applicable, the actors who should be involved, the kinds of impacts that might be assessed, and the technical aspects of designing and applying the assessment process. The field testing has also highlighted some of the common capacity gaps likely to be encountered and therefore helped identify which aspects of the methodology will require more in depth guidance. These insights are discussed in more depth in the following sections.

3.1 Under what conditions is SAPA appropriate?

The SAPA methodology is not going to be appropriate in all situations. Although formal site selection criteria have not been applied to date the following considerations have been implicit in selecting pilot sites:

1. Key stakeholders that have interest and/or influence are willing to engage in the process.
2. The PA management organisation is willing to collaborate with other key actors⁹ in designing and facilitating the process so that it is seen as credible with the key stakeholders.
3. Key actors have the willingness, power and resources, at least in principle, to address some of the key social impacts.
4. The assessment itself should not be likely to cause or increase conflict between stakeholders, or risk other negative social impacts, or measures to effectively mitigate any such risks must be included in the design of the process.

⁹ The term "key actors" refers to the subset of stakeholders that are committed in principle to take some action based on the findings of the assessment

5. Adequate financial and human resources are available to support a process that is consistent with the above criteria, as well as the technical standards of the SAPA methodology.

3.2 Who should be in the facilitation team?

The SAPA facilitation team is the small group of people (3-6) who will coordinate and oversee the design and implementation of the SAPA methodology. In order to comply with site selection criteria #2 it has been considered essential that a civil society organisation be part of the facilitation team along with staff of the PA management authority. In Kenya this civil society role has been fulfilled by Fauna and Flora International (FFI) with OPC management leading and FFI providing technical support. In Gabon the civil society role has been filled by the Wildlife Conservation Society (WCS) who have led the assessment process with active support from Agence Nationale des Parcs Nationaux (ANPN).

Effective community participation in the SAPA process is essential, but participation in the small facilitation team is not, as long as the team has credibility to facilitate a balanced process. In Kenya the governance structure of OPC includes a community-PA advisory platform with 18 community representatives, and three of these were included in the facilitation team. MdC also has a community-PA platform and, as in Kenya, members participated in the stakeholder workshops, but it was not considered feasible to include community members in the facilitation team because of capacity and language constraints. In Kenya, where all community members of the facilitation team spoke English, they were able to actively participate in team discussions and decisions (e.g. on impact prioritisation), although they did not participate in the technical discussions around the assessment plan and development of the survey questionnaire.

Although it had been our intention in Kenya to have the community representatives facilitate the focus group discussions that are part of the process, this proved to be an unrealistic expectation given the level of facilitation skills needed and the lack of experience of the community representatives in this respect. However they had a crucial role to play in defining how to describe key terms in the local language – notably well-being, positive impact and negative impact. Even if their role is limited by capacity constraints, inclusion of community representatives in the facilitation team proved to be important to strengthen legitimacy in the eyes of other community stakeholders. However, involving community representatives in the facilitation team has cost implications for the assessment, and

cost implications for the community representatives themselves (unless they are paid), and may not be essential if an impartial and credible process can be assured by other means.

3.3 Which impacts should be assessed?

Based on the approach used in classical social impact assessment (SIA), identifying social impacts in the SAPA methodology should start with a brainstorming of the possible impacts. Initial thoughts on this may come from background reading conducted by the facilitation team during the feasibility assessment (step 1), but the main tool for identifying impacts is the focus group discussions conducted in step 3 which were conducted in both Kenya and Gabon. After introductions, and discussing and agreeing to continue with the assessment, the group was split into separate gender groups where they first brainstormed a list of costs and benefits (using the previously agreed appropriate terms), and then prioritised the impacts using a PRA tool. Then the gender groups came back together and presented their priorities and the whole group was asked to identify and explore any significant differences between the views of men and women. See Appendix 2 for more details.

In Kenya we tried to explore possible differences in how impacts might be prioritised according to the well-being status of households, i.e. whether the very poor might have identified/rated impacts differently. However, since the very poor were not represented in the meetings (as is often the case with community meetings) this did not work as the participants simply commented that the very poor would see things the same way as they did.

In Gabon, the PA authority had already conducted a thorough process of impact identification, with community input, as part of a management planning process. For this reason the focus group discussions took this as the starting point, and participants were asked if any impacts had been missed. A few additional impacts were added to the list but not many. It might be argued that it would have been better to start focus group discussions with a blank sheet of paper in case presenting prior research might bias the discussion. However, we were warned that communities in the area were tired of research without tangible results, and for this reason it was judged best to start by presenting what they had already said in previous meetings. Ideally there should be at least three focus group discussions in different communities to get a sense of variability across the target area. In Gabon only one was actually possible, but the previous research showed that issues were very similar across the area.

The focus group discussions should identify all impacts that are considered significant. In Kenya there were a total of 18 benefits and 7 costs that received at least one vote (total 25 impacts). A two-stage process was then used to identify the priorities for more in depth assessment:

1. Assigning impacts from each focus group into three categories – high, medium and low significance. This was done based on discussion within the facilitation team to define the boundaries of each category.
2. Identifying the sub-set of impacts that were rated as medium or high in significance in at least one focus group, or by women as a group, or by men as a group.

In Gabon there were considerably fewer impacts (only 7 costs and 3 benefits) and the facilitation team decided to take forward all of these for more in-depth assessment. While feasible in this case, as illustrated by the examples in Appendix 1, a process of impact identification will rarely yield as few as nine impacts and therefore some process of prioritisation (“scoping” in Social Impact Assessment terminology) – as conducted in Kenya – will usually be necessary.

3.4 What should the assessment questions cover?

Any form of research, applied or otherwise, should be guided by research questions. For SAPA, the issue is *who* should define these questions, and *how*? On the one hand we want to maximise relevance to stakeholder needs and build ownership by empowering the stakeholders themselves to frame the research/assessment questions. On the other hand PA managers and other key stakeholders who are not experienced in research and adaptive management may need guidance in framing their specific information needs. In the SAPA process we suggest that the assessment questions should be developed at the first stakeholder workshop through a group exercise to fill in the “users matrix” tool which also identifies the objectives of different stakeholder groups and how they plan to use the information that will be generated by the assessment – see Appendix 2. In the Kenya and Gabon pilots these groups started with a blank sheet resulting in a somewhat unstructured set of questions. Although these covered most of the key issues there was need for substantial editing by the facilitation team to produce a more coherent set of questions. Based on this experience we now suggest starting with a set of five core questions that may be considered an integral part of the overall SAPA analytical framework (see section 2.1), and then adding site/context-specific questions as needed (see Box 2)

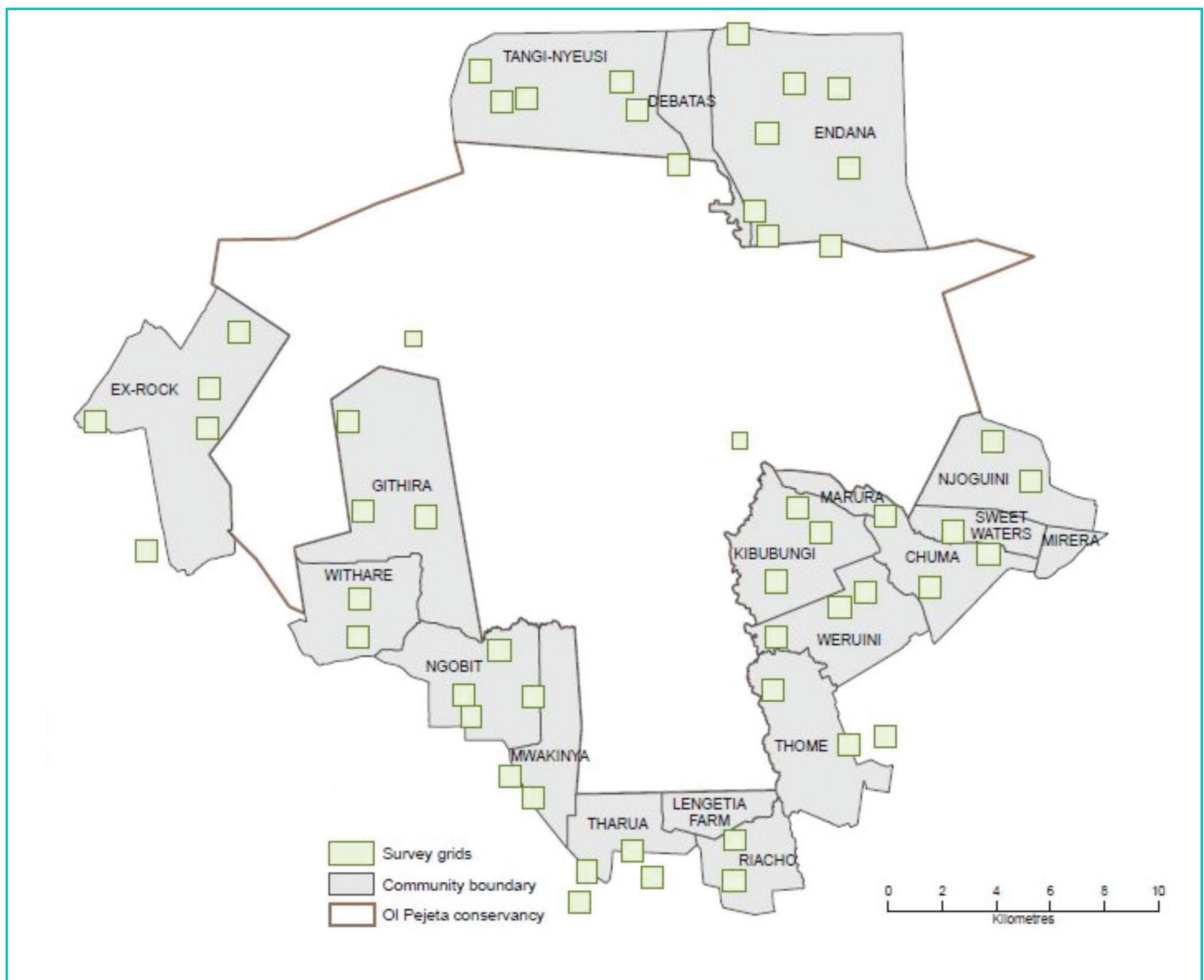
3.5 What should be the target population for the assessment?

This simple question – who are the people that we are concerned about – may actually be quite difficult to answer. With many PAs, and associated conservation and development activities, the PA-adjacent communities that collectively make up the affected population are not precisely defined, and if the population on which the assessment should be targeted is not precisely defined then it is impossible to develop a sampling strategy that will allow for conclusions to be drawn about the population as a whole (and differences within it). This was the case at the Kenya site where, despite years of community work, the PA had not clearly defined the geographic boundaries of its target communities. Thus the first field activity of the SAPA process was actually a mapping exercise where members of the facilitation team walked the boundaries of every community to record their spatial coordinates with a Global Positioning System (GPS) unit. This was relatively easy to do in this case, and has proved helpful for the PA in other ways. In the Gabon case, the boundaries had already been clearly defined. In larger and more difficult terrain the demarcation of community boundaries might have to be done based on Google Earth images.

3.6 Who should be included in the focus groups and survey

For more in-depth assessment of priority impacts, the SAPA methodology proposes the use of a simple household survey followed by further focus group discussions to verify results from this survey and to explore specific issues in greater depth. The starting point for a social survey is to select the sample of households that you intend to survey – in technical terms, defining your sampling strategy. The standard way of doing this is to obtain a complete list of all the households in the target population and then select sample households at random from this list. At times specific techniques may be used to simplify the survey process (e.g. cluster sampling), or to ensure that key dimensions of social differentiation – such as wellbeing status – are captured and adequately represented in the sample (stratified sampling). At this point the basic SAPA methodology proposes the simplest approach – using a simple random sample but with a large enough proportion of the total population to be confident that key dimensions of social variation will be captured.

Figure 6. using quadrats for sampling



In Gabon a 35% sample was used which translated into a sample of 100 households out of a total of 281 households located in 25 small groups.

But what do you do if you don't have a list of all of the households in the target community? This is actually a very common problem. In Kenya the team came up with an innovative solution based on the area-base sampling approach used in ecological surveys. Using suitable Geographical Information Systems (GIS) software such as ArcMap or MapViewer, and having determined the boundaries of the target area, the software was used to generate and randomly distribute across the target area 52 quadrats each 800m x 800m in area (see Figure 6) which covered 10% of the target area¹⁰. The survey was then conducted with all households that were physically located within these quadrats; this was relatively simple to determine and locate by uploading the set of quadrants to GPS units. We are still exploring

the strengths and weaknesses of this approach but to date have not identified any significant sources of systematic bias.

3.7 Which indicators of poverty/wellbeing should be used?

SAPA is concerned with determining the impacts of PAs on human wellbeing. Social surveys usually include indicators that can be used to provide an indication of the level of well-being of the household both because the level of well-being is itself of interest, and also to explore how responses to other questions might depend on the level of well-being of a household (i.e. to perform cross tabulations). The SAPA analytical

¹⁰ Due to time constraints this area-based sampling frame had to be generated prior to the community mapping being finalised which is why a few quadrats fall outside the actual community boundaries.

Table 2. Examples of well-being indicators

	Indicators for flows of resources that support livelihoods	Indicators for stocks of resources that support livelihoods (assets)
Material well-being	<ul style="list-style-type: none"> • Food security (Kenya) – how frequently has a meal been skipped (days in the last week) • Food security (Gabon) – how frequently has a meal been skipped (average days in a week over the last year) • Food security (Gabon) – frequency of shortage of staple food (average days in a week over the last year) 	<ul style="list-style-type: none"> • <i>Quality of housing (Kenya and Gabon)</i>^a • Number of cattle owned (Kenya – pastoralist communities only) • Ownership (individual or shared) of electricity generator (Gabon) • <i>Ownership of a solar light (Kenya)</i>^b
Relational well-being		<ul style="list-style-type: none"> • <i>Strategy to cope with unexpected illness (Kenya)</i>^c • Strategy to secure money to pay for unexpected medical costs or unexpected funeral costs – relates to social capital (Gabon)
Subjective well-being	<ul style="list-style-type: none"> • <i>Ability to practice traditional cultural rites (Gabon)</i>^d 	<ul style="list-style-type: none"> • Influence (i.e. voice) over local decision-making (Gabon)
Overall well-being	<i>Overall feeling of well-being (Kenya).</i> ^e	

^a Problematic in both Kenya and Gabon because almost all households fell within one category (housing types) and therefore the indicator is not sensitive to differences within the community

^b Problematic because some communities were connected to the electricity grid and therefore had less need for solar lighting.

^c Problematic because it was not clear that the indicator was focused on financial coping strategies and so some enumerators interpreted the question more in terms of what type of health service would be sought.

^d Problematic because although we tried to identify a cultural rite all households want to practice, initial data analysis suggests that this indicator is problematic because some more educated people may no longer want to practice the rite.

^e In Kiswahili the responses translate as – “good”, “not bad”, “bad”, “very bad”

framework highlights a number of different dimensions of wellbeing and therefore indicators are needed not just for material well-being – relatively easy and standard practice – but also for relational and subjective well-being. The SAPA framework also distinguishes between **assets** (i.e. stocks) and **flows** of resources that support livelihoods¹¹. Table 2 provides some examples of the different well-being indicators that were used at the pilot sites in Kenya and Gabon.

Initial analysis of the household survey data from the two sites suggested that some indicators appeared reliable, while others (in italics in Table 2) proved to be problematic (for reasons explained in the footnotes). Ideally we would not proceed to conduct a survey with unreliable indicators, as we should have eliminated the

problematic ones prior to survey design or during survey testing. In both Kenya and Gabon the facilitation teams spent more than two hours developing the well-being indicators, but developing good well-being indicators is notoriously difficult and with this in mind we included more than were probably necessary (a total of either well-being indicators in each case). Nonetheless it would, in retrospect, have been better to invest more time in developing reliable well-being indicators – for example through specific focus group discussions with communities, prior to conducting the survey.

As part of the discussion of indicators, we explored options for one holistic well-being indicator that would reflect all three dimensions of well-being. In essence this is the question “how’s life?”. In Kenya this translates

¹¹ Note flows can be distinguished from stocks by the fact that flows are measured with respect to a period of time (e.g. income, food security) whereas stocks are simply measured in amounts (e.g. number of cows).

well into Kiswahili and we used this in the survey (after much discussion of the exact phrasing). In the context of Gabon, the facilitation team was unable to identify an equivalent question or phrase – all options seemed to focus too much on the material dimension of well-being.

3.8 How should the household survey questionnaire be developed and applied?

The survey questionnaire in both countries was based on a standard template which covers the five core assessment questions (see Box 2), and also provides space for the additional survey questions that will be needed to address the site/context specific assessment questions (see Appendix 1). It is important to note that in each country there were site/context specific assessment questions that could not readily be addressed through a household survey approach. These were put to one side to be addressed later in the follow-up focus group discussions.

Pre-testing was conducted with about 10 households in each case, with a number of significant adjustments made to the questionnaire based on the experience. After the experience of pre-testing, which also served as training for the enumerators, it proved possible to conduct the questionnaire in about 45 minutes which, research suggests, is about the optimal length for a questionnaire beyond which the accuracy of results starts to significantly decline.

In both Kenya and Gabon the questionnaires were designed to identify any other significant social impacts of the PA that may have been experienced by the respondent but not identified in the initial focus group discussions. In the end, however, no other significant impacts were identified in either case, implying that the household survey can simply focus on the priority impacts identified by the initial focus groups *providing that the focus group discussion process is well designed and facilitated and a representative cross section of the community attend*. If this is the case, then we believe that the questionnaire will take no longer than 30 minutes.

4

Preliminary results from Ol Pejeta Conservancy in Kenya

The following sections present some preliminary findings from an assessment using the SAPA methodology at Ol Pejeta Conservancy (OPC) in Kenya. These findings have been verified, and in some cases further explored, through the follow-up focus group discussions and a stakeholder workshop. Although the household survey has also been completed at the Gabon site we are not including preliminary results in this report because the key stages of verification and further exploration of key issues have yet to be completed.

A. What are the main benefits, and how can these be increased?

Out of the eighteen positive impacts identified through the focus group discussions, seven were prioritised as being of medium to high significance at community level. In the household survey the respondents (men or women depending who was around) were asked to consider each impact and say whether they considered them high, medium or low significance in terms of contribution of the impact to the well-being of their household. See Table 3 and Figures 8a and 8b.

The Ol Pejeta Conservancy has been fenced since 2006; an electric fence prevents most of the wildlife from getting onto neighbouring farms. It also has a very substantial team of law enforcement rangers, some of whom help to enhance general security within these communities. These two benefits come out top of the list, significantly ahead of the benefits derived from the activities of the community development programme of OPC. This is not to say that the community development activities are not important – far from it – but simply points out that there may be very substantial benefits that are not so immediately obvious to outsiders.

In terms of social differentiation, there appear to be some significant differences between zones (south-east, south-west and north), and women seem to give more priority than men to the fence and security, and also to school bursaries, and less priority to the other benefits. Relatively poorer households appear to give slightly less priority to security, and further discussions on this point suggested that, having fewer assets, they feel less at risk.

Table 3. Positive impacts (benefits) of Ol Pejeta Conservancy

BENEFIT	SOUTH-EAST ZONE	SOUTH-WEST ZONE	NORTHERN ZONE	AVERAGE
Fence	2.7	2.2	2.4	2.5
Security	2.4	1.2	1.9	1.9
Schools	1.7	0.8	2.0	1.5
Bursaries	1.7	1.2	1.0	1.3
Health	1.4	0.7	1.0	1.1
Water tanks	1.0	0.4	0.5	0.7
Drip irrigation	0.9	0.4	0.2	0.5

Scores represent average scores for significance:
 0=not significant,
 1=low significance,
 2= medium significance,
 3=high significance

Figure 8a. Households reporting the fence as a significant benefit of Ol Pejeta Conservancy

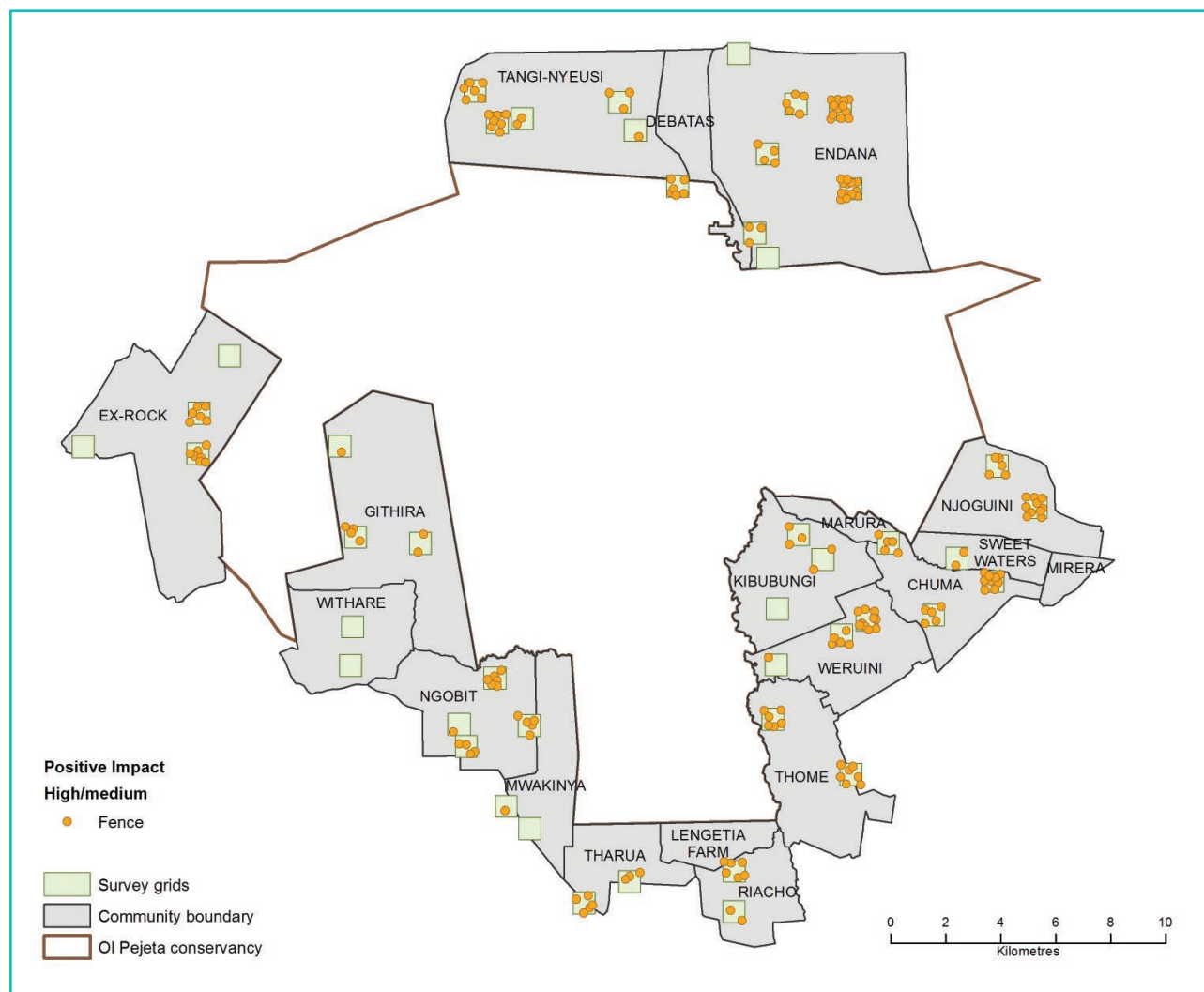
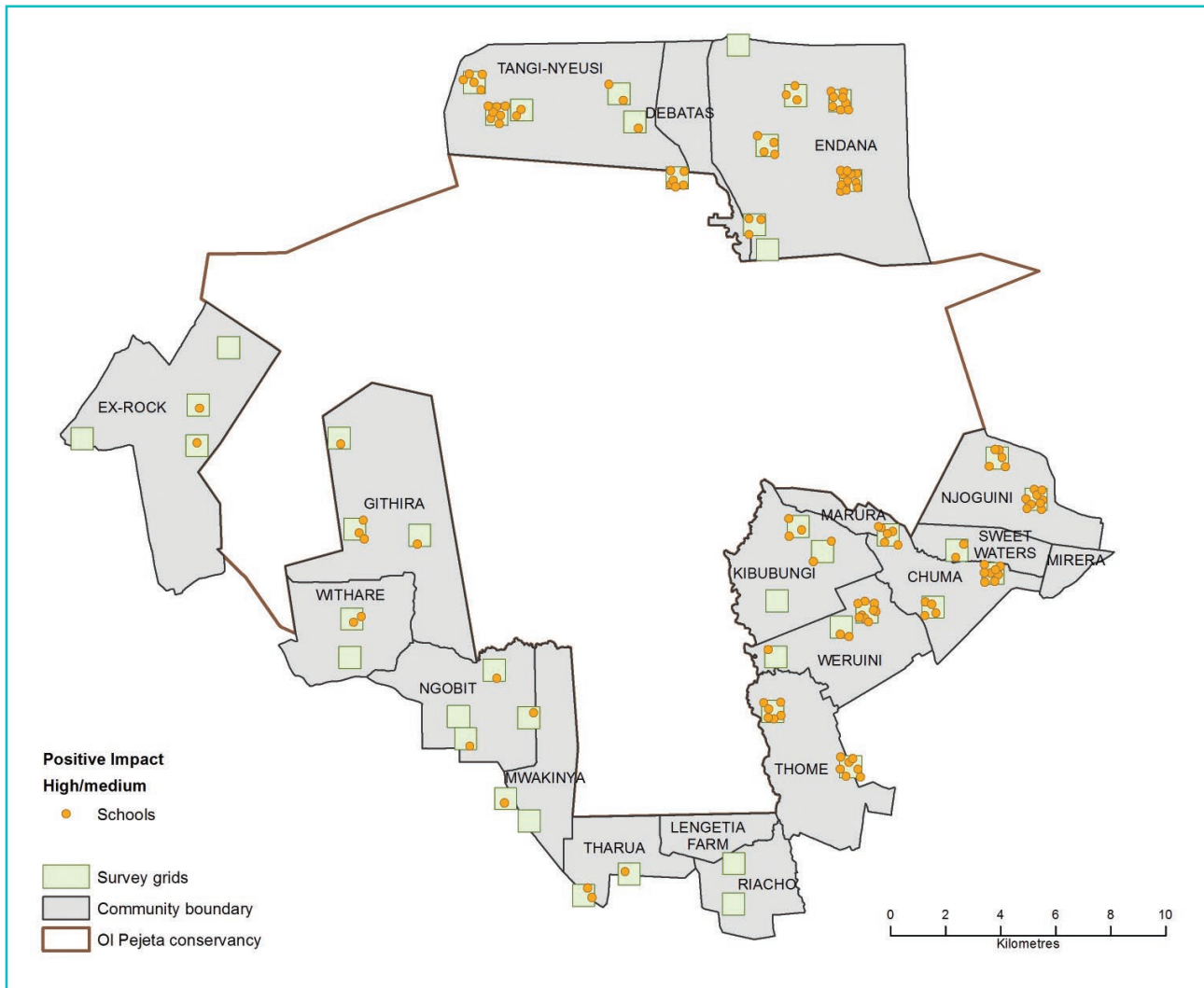


Figure 8b. Households reporting support to schools as a significant benefit of Ol Pejeta Conservancy



B. What are the main costs, and how can these be reduced?

Out of the seven negative impacts identified through the focus group discussions, five were prioritised as being of medium to high significance at community level. Results of rating of significance at household level through the household survey are shown in Table 4 and Figure 9.

The most significant negative impact overall is crop damage by wildlife. This is despite the existence of the fence, because baboons can climb over the fence, and in the south-western zone elephants regularly break through it. There is also a gap in the fence for a wildlife corridor. These patterns are clearly visible from the results.

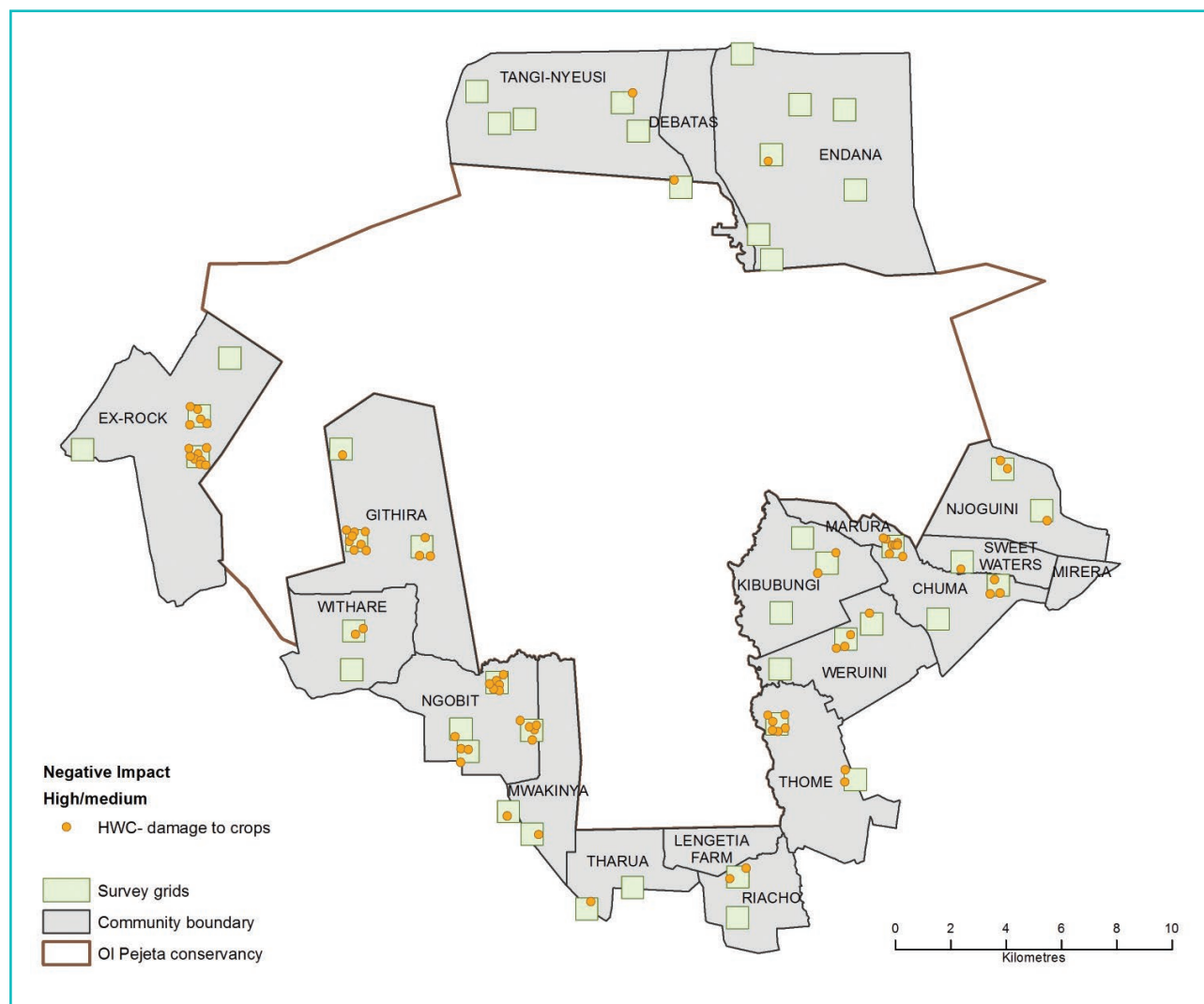
The following two negative impacts – *uneven distribution of development projects* and *exclusion from jobs* (PA-related employment) – are, in effect, perceived opportunity costs. Further exploration of this issue reveals that there has indeed been some bias in development projects towards the south-east zone but equally significant is the fact that people don't know who has been getting what. Hence the goodwill that is being generated by the benefits of OPC is being undermined by a perception of unfairness over uneven distribution of projects, and frustration that benefits are not going to those who experience the highest negative impacts (crop raiding). Both of these issues can be relatively easily addressed. Likewise with regard to employment there is potential for a policy of affirmative action in favour of local people, but equally important, once again, is the fact that people don't know the actual distribution of jobs across communities adjacent to OPC, and between these communities and communities further away.

Table 4. Negative impacts (costs) of Ol Pejeta Conservancy

COST	SOUTH-EAST ZONE	SOUTH-WEST ZONE	NORTHERN ZONE	AVERAGE
Crop damage by wildlife	1.2	2.2	0.2	1.2
Exclusion from jobs	1.3	1.1	0.7	1.1
Uneven distribution of projects	1.1	1.0	1.0	1.1
Poor relationship with OPC staff	0.7	0.6	0.8	0.7
Rough approach to law enforcement	0.4	0.2	0.1	0.2

Scores represent average scores for significance:
 0=not significant,
 1=low significance,
 2= medium significance,
 3=high significance

Figure 9. Households reporting crop damage by wildlife as a significant cost of Ol Pejeta Conservancy



In terms of social differentiation, women give higher priority to crop damage while men give higher priority to perceived uneven distribution of jobs and projects, and not surprisingly, all negative impacts are rated as higher in terms of significance for well-being by poorer people.

C. What is the contribution to human well-being?

At the end of the questionnaire sections exploring benefits and costs, there is a question asking respondents to summarise the overall impact of the PA on the wellbeing of their household, taking into account all the benefits and costs they have been talking about. Respondents were given five options from *makes a positive contribution to well-being (+2)* to *makes a negative contribution (-2)* – see Table 5. Figure 10 show the responses at household level indicating some significant differences by zone.

An important conclusion from this is that more than two thirds of all households (68%) reported that the PA makes an overall positive contribution to the well-being of their household. Given the level of investment in fencing, security and community development, this may not be that surprising, but OI Pejeta Conservancy is by no means a typical PA. The very high levels of investment have been made possible by substantial capital investment by the management of the PA and relatively high levels of revenue from tourism. That said, it is important to keep in mind that the two most significant perceived benefits relate to the basic infrastructure of the PA – fencing and a strong law enforcement function.

D. To what extent do communities have access to relevant information and how might this be improved?

This assessment question was addressed by three specific questions in the questionnaire relating knowledge about who owns the PA, knowledge of their community representative, and the extent to which this representative shares information with them. See Table 6.

The ownership question was simply designed as an indicator of the general level of knowledge about the PA. The result suggests broader issues with communication that the PA needs to address. In terms of the role of community representatives, it appears that many community representatives are not well known to the communities, and that they are not very effective at one key element of their job – disseminating information on the PA within their communities. This was no surprise to the management of the PA who have been aware of problems for some time, but the results are useful in transparently making the case for the necessary remedial action.

Women seem to be less likely to know who owns the PA or who their community representative is. Although the reasons for this are not yet clear, this finding indicates the need to consider, and more effectively address, constraints related to gender. Interestingly, however, poorer people are *more* likely to know their representative’s name, which correlates with the earlier point that poorer people in general appear more concerned about the costs, and therefore may more likely be looking for support.

Table 5. Overall net impact of OI Pejeta Conservancy on human well-being

OVERALL NET IMPACT OF OI PEJETA CONSERVANCY ON HUMAN WELL-BEING	% OF RESPONDENTS
The Conservancy increases our wellbeing (score +2)	14%
The Conservancy slightly increases our wellbeing (score +1)	54%
The Conservancy has no impact on our wellbeing (score 0)	20%
The Conservancy slightly reduces our well-being (score -1)	7%
The Conservancy reduces our wellbeing (score -2)	5%

Figure 10. Overall net impact of Ol Pejeta Conservancy on human well-being at household level

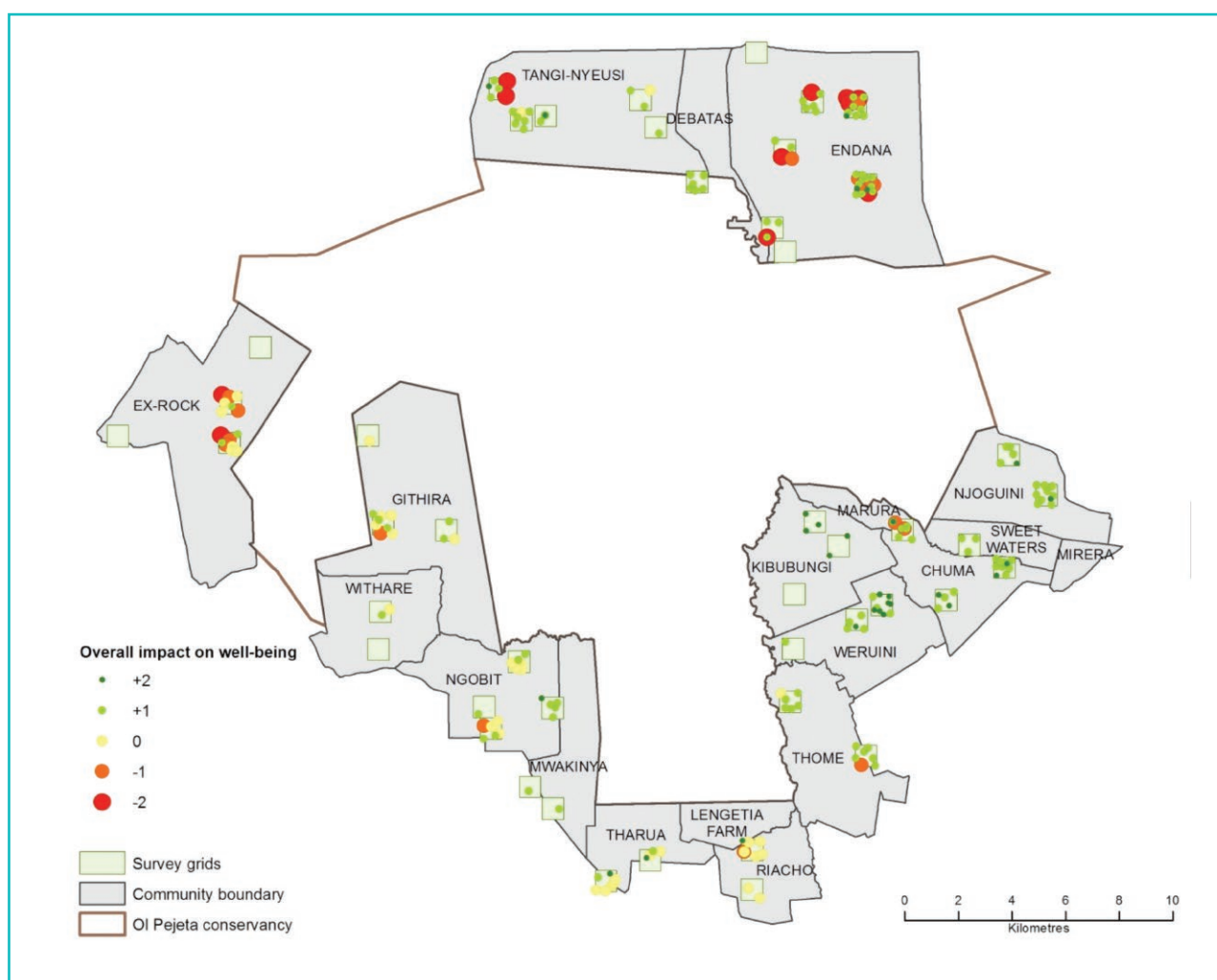


Table 6. Local communities' access to information at Ol Pejeta Conservancy

INFORMATION ISSUE	SOUTH-EAST ZONE	SOUTH-WEST ZONE	NORTHERN ZONE	AVERAGE
Don't know who owns OPC	61%	75%	70%	68%
Don't know the name of their community representative	61%	59%	34%	52%
Never get information on OPC from their community representative	62%	71%	34%	55%

E. How are relations between the PA and local communities and how might these be improved?

The questionnaire asked respondents to rate their relationships with PA staff over the previous year as being *very good*, *good*, *not so good*, *bad* or *non-existent*. Table 7 presents the percentage of people by zone who felt that the relationship was negative (i.e. *not so good* or *bad*). In general the results indicate that relationships are generally fairly good although at this point we do not have a frame of reference to compare these results with (i.e. similar information for other PAs in Kenya). A higher proportion of women than men stated that they had no relationship with the PA staff but differences in relationship across different well-being groups did not appear to be significant.

Table 7. Community-protected area relations at Ol Pejeta Conservancy

ISSUE	SOUTH-EAST ZONE	SOUTH-WEST ZONE	NORTHERN ZONE	AVERAGE
Relationship with OPC security staff: % not so good or bad	12%	16%	4%	10%
Relationship with OPC development staff: % not so good or bad	20%	16%	5%	14%

5

Initial conclusions

It would be premature to draw any firm conclusions from the experience of field-testing the SAPA methodology in Kenya and Gabon. That said, in terms of the methodology development goal of the SAPA Initiative, the following emerging insights appear important:

- A **multi-stakeholder approach** is valuable in ensuring that the key stakeholders who will use the information are fully engaged in the assessment, and in enhancing the legitimacy of the process and the accuracy and credibility of the results.
- **Reliable well-being indicators** can be hard to identify and require in-depth discussion with representative groups of community members. People from outside the communities are unlikely to get understand the context sufficiently to derive locally relevant indicators.
- **Holistic impact identification** is key since some of the most significant impacts may not be obvious to people from outside the communities.
- **Social differentiation** is important since the distribution of impacts between and within communities may very much depend on gender, ethnicity, class and other social factors related to vulnerability and marginalisation.

The SAPA methodology is based mainly on perceptions – what people feel and believe to be the situation – and asks people to define the benefits and costs that they

believe to be attributable to the PA and associated conservation and development activities. As well as identifying impacts that may not be obvious to people from outside the communities, this also makes the assessment simpler and lower cost. The disadvantage is subjectivity. However, it can be argued that for an assessment focused on making conservation more effective and equitable at site level it is crucial to understand what people feel and believe to be true. Furthermore, in a world in which political considerations can be more influential than technical considerations, the significance of public opinion in shaping decision making at all levels is increasingly apparent.

Also central to the debate about methodologies to assess the social impacts of PAs is the issue of scientific rigour versus practicality (Roe *et al.*, 2013). SAPA is based very much on the classic principles of Participatory Rural Appraisal – *optimal ignorance* and *appropriate imprecision* (Chambers, 1994)¹². The challenge is, of course, finding the right balance in a particular situation. Much remains to be done in terms of further development of the SAPA methodology but we believe that we are moving in the right direction.

¹² Optimal ignorance - knowing what it is not worth knowing, and then not trying to find it out. Appropriate imprecision - not measuring what need not be measured, or more accurately than needed.

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Acronyms

ANPN	Agence Nationale des Parcs Nationaux	OPC	OI Pejeta Conservancy
CBD	Convention on Biological Diversity	PA	Protected Area
FFI	Fauna & Flora International	PAME	Protected Area Management Effectiveness
FGD	Focus Group Discussion	PoWPA	Programme of Work on Protected Areas
GIS	Geographical Information Systems	PRA	Participatory Rural Appraisal
GPS	Global Positioning System	RAPPAM	Rapid Assessment and Prioritization of Protected Area Management
MA	Millennium Ecosystem Assessment	SAPA	Social Assessment of Protected Areas
MdC	Monts de Cristal	WCS	Wildlife Conservation Society
METT	Management Effectiveness Tracking Tool	WPC	World Parks Congress
NGO	Non-governmental Organisation		

Appendices

Appendix 1: Examples of PA benefits and costs

PA	Samburu Wildlife Reserve, Kenya ¹⁸	Mount Isarog National Park, Philippines ¹⁹	Mae Kong Kha Community Forest, Thailand ²⁰
Habitat	Savannah rangeland	Mountain forest	Lowland forest
Governance	Government	Shared	Community
Benefit/cost	Security to people Knowledge and exposure Livestock marketing Employment Health access Illegal hunting Water infrastructure PA related income Transport Road School bursaries <i>Social status</i> <i>Relations external</i> <i>Fines</i> <i>Immigration</i> <i>Loss of NTFP access</i> <i>Loss of firewood access</i> <i>Emigration</i> <i>Relations internal</i> <i>Household water</i> <i>Loss of timber access</i> <i>Livestock water access</i> <i>Reduced grazing quality</i> <i>Loss of grazing access</i> <i>Livestock health</i> <i>Loss from wildlife</i>	Enforcement of PA rules and regulations Increased livelihood opportunities Flood and/or erosion control Water quality, access Knowledge & skills for livelihoods Knowledge of PA Social status in the community Enforcement of rules versus treasure hunting Roads Availability of transport <i>Decreased firewood access</i> <i>Decreased size of farmlands</i> <i>Wildlife-human conflict</i> <i>Decreased access to farmlands</i> <i>Decreased NTFP access</i> <i>Decreased timber access</i>	Drinking water access Rainfall NTFP access Security NGO support Social status Road development Irrigation access Knowledge, skills Livestock productivity Grazing access PA Income Access to water for livestock Population In-migration PA Fines Water infrastructure Available time <i>Loss of firewood access</i> <i>Reduced agricultural productivity</i> <i>Loss of timber access</i> <i>Inter-village conflict</i> <i>Reduced land access</i> <i>Intra-village conflict</i>

Most positive at the top, most negative at the bottom

¹⁸ From Mallerett-King, D. and R. Hatfield, 2008 (unpublished)

¹⁹ From Rosales, R.M., 2008 (unpublished)

²⁰ From Flaming, B., 2007 (unpublished)

Appendix 2: SAPA Toolkit

Tool 1: Focus group discussion for identification and prioritisation of impacts

Step 1: Opening

Follow normal procedures for opening this kind of community meeting. Clarify which local government units have people come from (i.e. how is community defined for this meeting?)

Step 2: Introduction

2.1. Why are we here? Explain that we are coming here to assess the positive and negative social impacts of the protected area (PA) on human well-being. Explain that the purpose of this work is to find ways to reduce the negative impacts and increase positive impacts, and that we are doing this work in a number of communities. Be sure to use the previously agreed terms for positive and negative social impacts and human-well-being, check that the meaning of these terms is clear (clarifying if necessary), and then use same terms throughout the discussion. Clarify we are interested in impacts of all activities associated with the PA, including PA management, the PA community programme, and any other conservation and development activities that are associated with the PA. Emphasise that there are many different types of positive and negative social impacts, including some which affect the whole community and some which are specific to some individuals, and that we are interested in all of these.

2.2. Protected areas. Summarise the history of the PA, its geographic coverage (core zone and buffer zone), who owns and who manages the PA, and the overall objectives of the PA and its community strategy. Give examples of other types of PA in the country – if possible including different types.

2.3. Next steps over the next 3 months. Explain the activities which will involve the community and roughly when these are expected to take place (i.e. the overall timeline):

- Community meetings to introduce the research and discuss key social impacts that should be studied in more detail (this meeting)
- Stakeholder workshop to agree on the questions that the assessment will aim to answer
- Small household survey to collect more detailed information from a sample of people.
- Community meetings to share and discuss the results,
- Stakeholder workshop to review results and generate recommendations to try to increase positive social impacts and reduce negative social impacts

Explain that this work is a genuine effort to better understand and address community concerns but avoid making any commitments to increase positive impacts or reduce negative impacts as we don't yet know what is possible.

Step 3: Approval to proceed with the research

Discuss with communities whether they agree that we can proceed with this study. Facilitate discussion to achieve a consensus. If all or most people say yes then we can proceed to the next step. If the majority say no, and we cannot reassure them through discussion, then agree with community members to hold a follow up meeting to discuss further. Note: obtaining free, prior and informed consent to conduct social research is a key requirement for SAPA.

Step 4: Identifying and prioritising impacts

Invite the participants to split into two groups – one men and one women – and ask one group to move to a nearby location so that the groups can discuss without disturbing each other. Explain that each group is going to do the same thing but we suggest separate discussions with men and women because they often have different ideas and priorities.

4.1. Brainstorm negative social impacts:

- Facilitate a discussion to identify the negative social impacts. Explain that we are focusing on impacts that people have seen over the last X years not what people hope for in the future (which will be discussed in the next community meeting). Write each impact on a separate card. Since some people will not be able to read, ask for volunteers to do a simple drawing for each impact, and invite them to do this while the discussion continues. Note: X should be agreed by the facilitation team before the meeting depending on the context, but should not exceed 10 years. If possible relate this timeframe to an event that everyone can remember.
- Ask for more examples of negative impacts and use probing questions to get more examples until participants feel that all the significant negative impacts have been mentioned. Record each new example on a separate sheet of paper in writing and as a simple drawing. Try to avoid the discussion going into details on particular issues.

4.2. Combine similar ideas (if needed): Once you have all the impacts written and drawn on sheets of paper, review them with participants. If there are impacts that are the same or very similar then suggest to the participants that you will combine them on 1 sheet of paper. This is so that when they do the prioritisation they don't under-rate an impact by splitting their votes between similar cards.

4.3. Rating negative social impacts: Put the sheets of paper for negative impacts on the ground where all participants can see them. Explain that everyone will be given one bean for every two impacts (rounded up) and they should put these on the impacts that they consider most important in terms of what they have actually seen over the last X years (not what they hope or fear for the future). Use two beans to show higher priority, one bean for medium priority and no beans if low priority. When everyone has done this write the totals (of beans) on each sheet.

4.4. Identifying and prioritising positive impacts: repeat steps 1–3 above for positive impacts.

4.5. Discussion: Ask if participants agree that this ranking provides a good picture of how women (or men for the male group) feel. If not what are the gaps/problem with it? Take good notes.

Step 5: Wrapping up

Bring men and women back together in a circle.

5.1. Discussion: Put the top five negative impacts and positive impacts from men and women on the ground. Facilitate a discussion, again being sure to take good notes:

- a) Ask for comments on any significant differences in the priorities of women and men. Use probing questions to help them identify and explain the differences.
- b) Ask for clarification of any aspects of the impacts or their prioritisation that we (the facilitation team) do not clearly understand.

5.2. Thanks: Thank everyone for coming to the meeting. Remind them that we will be collecting more information over the next few months and then at the next meeting (say roughly when this will be) we will discuss the results, and their suggestions and hopes for the future.

Tool 2: Users’ matrix to analyse and summarise information needs of key stakeholders

Stakeholder Group	Objectives vs. SAPA <i>Why is increasing positive and reducing negative impacts important to you?</i>	Research questions <i>What specific questions do you want SAPA to try to answer?</i>	Use of the results <i>How will you use the SAPA results?</i>
Protected Area Management			
Local communities			
Other, e.g. local government			
Other, e.g. other Conservation interest groups			
Other, e.g. private sector			

Tool 3: Household survey basic template

Introduction and consent:

- o Who we are
- o Why we would like to interview you
- o What we will use the information for
- o Are you happy to proceed with the interview

Section A: Profiling the respondent and their household

1. Respondent

- o Name
- o Gender
- o Ethnic group
- o Age
- o Number of years living in this community
- o Head of household?

2. Geographic location

- o Name of community
- o Name of local government unit
- o GPS northing
- o GPS Easting

3. Household composition

- o Total number of people
- o Number of children

4. Household well-being

In discussion with community members (e.g. a dedicated focus group discussion) select at least one indicator in each of the following categories:

- o Material well-being – food security
- o Material well-being – assets (e.g. quality of housing, livestock, solar)
- o Relational well-being (e.g. coping strategy for unexpected medical expenses or funeral expenses as an indicator of social capital)
- o Subjective well-being (e.g. level of influence over local decision-making)
- o Overall well-being – “how’s life”. Only included if this is understood as reflecting all three dimensions of well-being.

Section B: Factors influencing household well-being

[Note this section is intended to assess the significance of PA-related impacts versus other major factors that affect human well-being. No probing for PA impacts.]

5. Change in food security over the last 5 years

- o On average food security has improved, remained the same, or deteriorated
- o Main causes of this change (probe if necessary for causes but not specifically mentioning the PA at this stage – this comes in the next section)

6. Change in one other well-being indicator over the last 5 years (use another indicator – apart from food security- that appears to be reliable and that works for everyone).

- o On average has improved, remained the same, or deteriorated
- o Main causes of this change (probe if necessary for causes but not specifically mentioning the PA at this stage – this comes in the next section)

Section C: Specific social impacts of the PA, and associated conservation and development activities, and their significance for household well-being.

7. Negative impacts (costs):

- o For each of the priority negative impacts that were identified through focus group discussions ask whether significance is high, medium, low or zero (not significant)

8. Positive impacts (benefits):

- o For each of the priority positive impacts that were identified through focus group discussions ask whether significance is high, medium, low or zero (not significant)

9. Overall impact on household well-being:

- o Ask the respondent to consider all the positive and negative impacts discussed in the above questions and say whether the overall impact is positive, negative or neutral.

Section D: Further exploring priority impacts (if needed).

If there are site-specific assessment questions that require more information on impact than provided in the previous section then use this section to explore these.

Section E: Access to information, participation and relations

10. Access to information on the PA

- o A suitable indicator of the current level of knowledge about the PA
- o Frequency of receiving information on the PA (on average):

11. Participation

- o Knowledge of any platform for community participation in decision-making
- o Influence over strategy and actions of the PA

12. Relations with PA staff

- o Relations with staff over the last year: very good, good, not good, bad, no relations
- o Suggestions for improving relations

Assessing the positive and negative social impacts of protected areas is no easy task, but it can be done with relatively simple, low cost methodologies. Designed for this purpose, the Social Assessment of Protected Areas (SAPA) methodology can be applied to any protected area (PA), regardless of its management category and governance type, and to related conservation and development activities that are designed to support PA conservation. At the heart of the SAPA methodology is a multi-stakeholder process that enhances accuracy and credibility, and ensures that the assessment addresses the information needs not only of PA managers, but also of other key actors in government, civil society and the private sector. This working paper describes both the development of the SAPA methodology (work in progress), and some preliminary results that illustrate the type of information generated and the strengths and weaknesses of the methodology.

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