



Governance of protected areas – an introduction

CBD Capacity Building Workshop on Aichi Targets 11
and 12

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What is governance?

The interactions among structures, processes and traditions that determine how power and responsibilities are exercised, how decisions are taken and how citizens or other stakeholders have their say.

(Graham et al., 2003)

Who has influence?
Who decides?
Who is accountable?



Content



1. What is governance?
2. Why does governance matter?
3. The international policy response
4. Key concepts of PA governance
 - Governance diversity
 - Governance quality
5. What can we do to enhance diversity and quality of PA governance?

What is governance about in protected areas?



“...a clearly defined geographical space, recognised, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values”

(IUCN Definition of protected area, 2008)

Looking at protected areas through a governance lens



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Governance and management: what is the difference?

Management = what to do



Governance = who decides what to do
and how the decisions are taken

Governance and management: what is the difference?

Management

- **understanding** a situation
- Specific objectives to reach the goal / vision
- carrying out **actions** to achieve them
- allocating **resources** (human, financial...)
- **monitoring** achievement

➤ **management effectiveness**

≠



Governance

- institutions for **decision-making**
- Dividing **responsibilities** and functions
- making and enforcing **rules**
- Exercising and sharing **power**
- “how to go about” all this: participation, equity, accountability, transparency...

➤ **“good governance”**

Why does governance matter?

?

Why does governance matter?



"I see no future for parks unless they address the needs of communities as equal partners in their development."

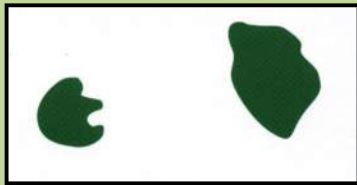
Nelson Mandela at IUCN World Parks Congress, 2003, Durban, South Africa

Conservation & development

Complementary?

Synergies?

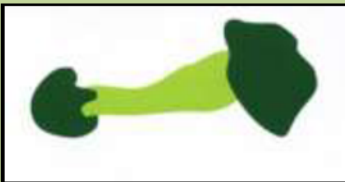
from PA islands to conservation landscapes



Isolated protected areas



Conservation areas with buffer zones around them



linear connections between protected areas = biological / ecological corridors

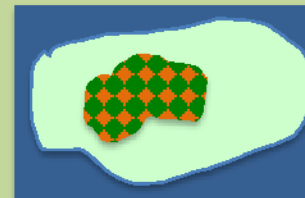


PA's embedded in landscape with different types and intensities of resource use

From PAs as “blank spots” to integration into regional development



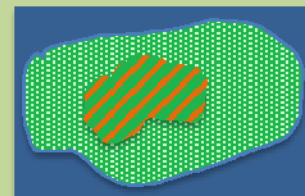
PA as a “blank spot” in regional context – no mandate / no perceived connection with development agenda



PA as service provider (ecosystem services)



PA expected to generate income via payment for ecosystem services (i.e. water, tourism, carbon storage)



PA's “claimed” by local and regional stakeholders, as part of their customary / development rights

The international policy response

2003: IUCN World Parks Congress, Durban

2004: CBD Programme of Work on Protected Areas (**PoWPA**)
(COP 7 Kuala Lumpur, Malaysia)

2007: United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)

2010: CBD Strategic Plan 2011-2020 and Aichi targets

2014: IUCN World Parks Congress, Sydney

CBD PoWPA

Programme Element 2:

Governance, Participation, Equity and Benefit Sharing

Goal 2.1: To promote equity and benefit-sharing

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

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

Target: full and effective participation of local and indigenous communities, respect of their rights and recognition of their responsibilities, participation of stakeholders;

But....

Goals accomplished?

At CBD COP 9 (2008) and COP 10 (2010) **reviews of achievements** revealed:

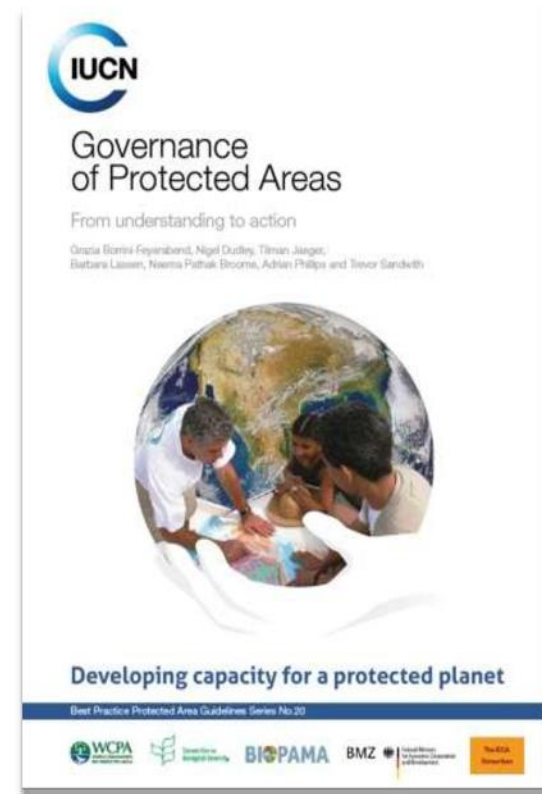
PoWPA implementation is particularly **lagging behind** in the area of governance, participation, equity, and benefit sharing

- guidance needed!
- Baselines/assessments needed!

IUCN Best Practice Guidelines No. 20 (2013)

„Governance of Protected Areas – From understanding to action“

http://www.iucn.org/pa_governance



Two dimensions of PA governance



Diversity

Who holds authority,
responsibility,
accountability for the PA?



Governance type

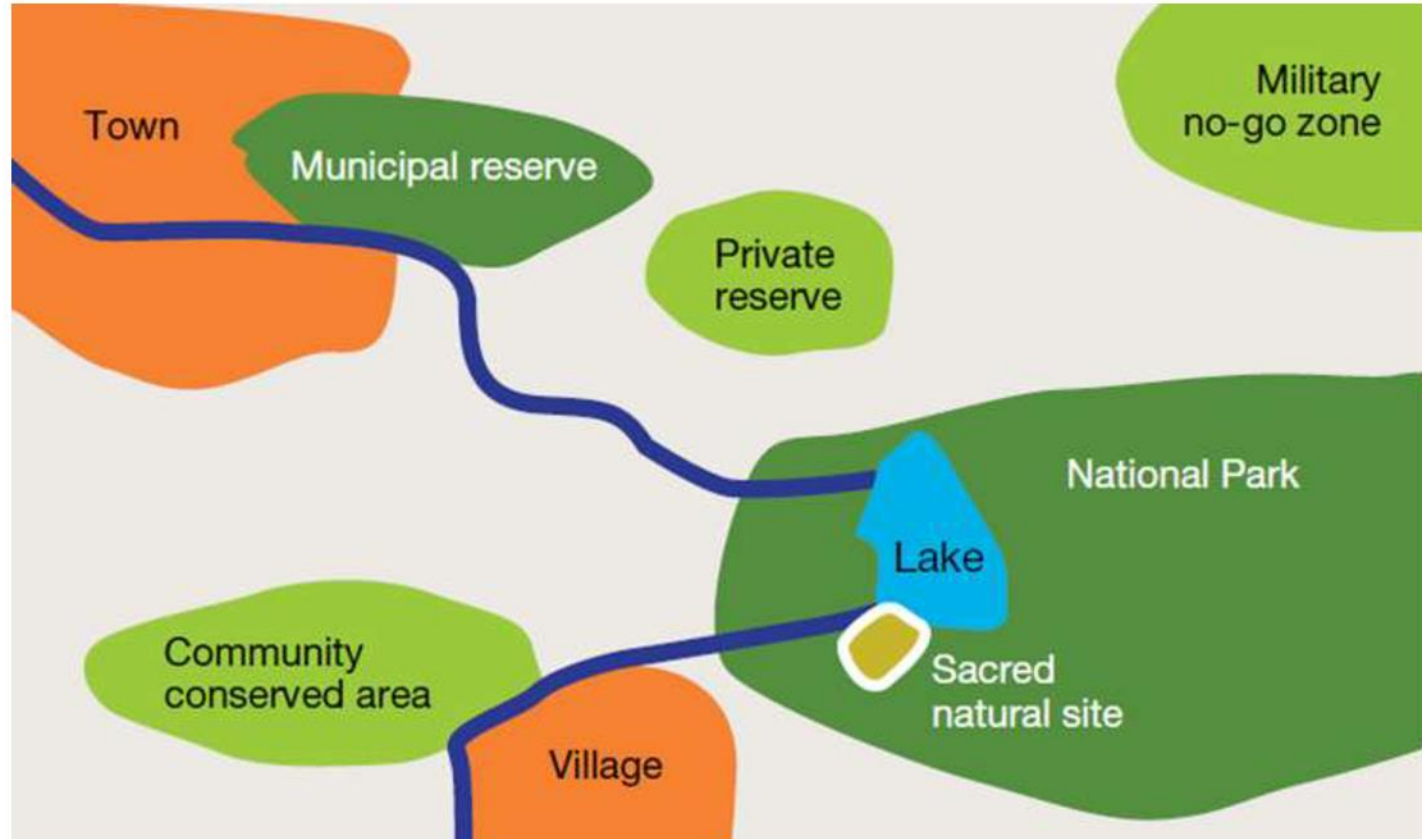
Quality

How is that authority
exercised? How fairly,
effectively, accountably,
transparently?



Good governance

Governance diversity



Governance types



Type A:
Governance
by government

Type C:
Governance
by private actors



Type B:
Shared
Governance

Type D:
Governance
by indigenous
peoples and local
communities



How to determine the governance type of a protected area?



Key question:

Who holds *de facto* authority and responsibility for the protected area?

De jure or de facto?

De jure (by law): what is prescribed and recognised by the law

De facto (in fact): what actually happens in real life

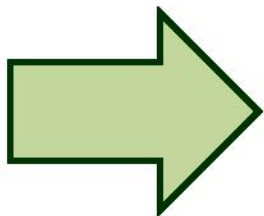
Type A: Governance by government



A. Governance by government

PAs established and governed/managed by federal or national ministry or agency	PAs established and governed/managed by local/municipal ministry or agency	PAs established by government with delegated management (e.g. to an NGO or a private operator)
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- Park Agency, Ministry, parastatal institution...
- Often on lands owned by the government
- Increasingly involved: government structures at sub-national and municipal levels
- Possible delegation to NGOs or private operators



Decision making authority, responsibility and accountability held and exercised by government (at various levels)

Type B: Shared Governance



B. Shared governance

Trans-boundary governance between at least two governments (and other actors)	Collaborative governance (various forms of pluralist influence on relevant decisions)	Joint governance (formal pluralist decision-making body)
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- plurality of actors
- mutual recognition, collective interests
- need for negotiation/ compromise/ consensus
- reaching an agreement
- at times complex processes and institutions

Decision making authority, responsibility and accountability shared between governmental agencies and other stakeholders (in particular the relevant landowners and the indigenous peoples and local communities - sedentary or mobile - who depend on the natural resources culturally and/or for their livelihoods)

Type C: Governance by private actors



C. Private governance

PAs established and governed by individual land-owners	...by non-profit organisations (e.g. NGOs, universities, monasteries, etc.)	...by for-profit organisations (e.g. corporate land-owners)
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- **Individuals** (single persons, families, trusts)
- **Corporations** (companies, shareholders)
- **Non-governmental organisations** (private or semi-private, religious, researching, teaching and training)

Mechanisms and incentives:

- voluntary protected area designations
- voluntary surrender of legal rights
- charitable contributions
- corporate set-aside, donations, or management of an area for conservation

Type D: Governance by indigenous peoples and local communities

D. Governance by indigenous peoples and local communities

Territories and areas established and governed by indigenous peoples

Territories and areas established and governed by local communities

- Three essential characteristics of ICCAs:
- an indigenous people or local community possesses a **close and profound relation** with a site
 - the people or community is the major player in decision-making and has *de facto* and/or *de jure* capacity to **develop and enforce regulations**
 - the people's or community's decisions and efforts lead to the **conservation of biodiversity, ecological functions and associated cultural values**

- oldest “conserved areas”, widespread but poorly acknowledged
- “bio-cultural units” or “cultural landscapes/ seascapes” ...
- livelihoods and conservation linked

How do the governance types relate to the management categories?

IUCN Protected Area categories

Protected Area Category and International Name	Management Objectives
Ia - Strict Nature Reserve	Strictly protected areas set aside to conserve biodiversity and, possibly, geological/geomorphological features, where human visitation, use and impacts are strictly controlled and limited to ensure protection of the conservation values. They serve as indispensable reference areas for scientific research and monitoring.
Ib – Wilderness Area	Large unmodified or slightly modified areas, retaining their natural character and influence, without permanent or significant human habitation, which are protected and managed so as to preserve their natural condition.
II – National Park (ecosystem protection; protection of cultural values)	Large natural or near natural areas set aside to protect large-scale ecological processes, along with the complement of species and ecosystems characteristic of the area, which also provide a foundation for environmentally and culturally compatible spiritual, scientific, educational, recreational and visitor opportunities.
III – Natural Monument	Areas are set aside to protect a specific natural monument, such as a landform, sea mount, a cave or even a living feature such as an ancient grove. They are generally quite small areas and often have high visitor, historical or cultural value.
IV – Habitat/ Species Management	Areas dedicated to the conservation of particular species or habitats. Many Category IV protected areas need regular, active management interventions to meet their objective.
V – Protected Landscape/ Seascape	An area where the interaction of people and nature over time has produced a distinct character and significant ecological, biological, cultural and scenic values, and where safeguarding the integrity of this interaction is vital to conserving nature and sustaining other values.
VI – Protected Area with Sustainable Use of Natural Resources	Protected areas that conserve ecosystems and habitats, together with associated cultural values and traditional natural resource management systems. They are generally large, with most of the area in a natural condition and part under sustainable natural resource management. Low-level non-industrial use of natural resources compatible with nature conservation is seen as one of the main aims of this type of protected areas.

IUCN Protected Areas Governance Matrix

Governance Type →	A. Governance by Government			B. Shared Governance			C. Private Governance			D. Indigenous Peoples & Community Governance	
	Federal or national ministry or agency	Sub-national ministry or agency in	Government delegated management (e.g.	Trans-boundary governance	Collaborative management (various	Joint management (pluralist governing	Conserved area established and run by individual land-owner	...by non-profit organisation (e.g. NGO, university etc.)	...by for-profit organisation (e.g. corporate land-owners)	Indigenous peoples' conserved areas & territories - established and run by indigenous peoples	Community conserved areas and territories - established and run by local communities
Management category	<p>Exercise</p> <ol style="list-style-type: none"> 1. Think of one PA that you are familiar with 2. Try to find the correct place in the matrix 3. Briefly present your example to the group giving reasons (management / governance) 4. Choose one other PA from your country of a different governance type and place it on the matrix, too. Discuss. 										
I - Strict Nature Reserve/ Wilderness Area											
II - National Park (ecosystem protection & associated cultural values)											
III - Natural Monument											
IV - Habitat/Species Management											
V - Protected Landscape/ Seascape											
VI - Managed Resource											

Exercise

1. Pensez à une AP qui vous est familière
2. Essayez de trouver le bon endroit dans la matrice
3. Présentez brièvement votre exemple au groupe en donnant les raisons (gestion / gouvernance)
4. Choisissez une autre AP dans votre pays qui a un autre type de gouvernance et placez-la aussi dans la matrice. Discutez.

Reality often lies in between: the Governance Continuum

From the perspective of a **government agency**:



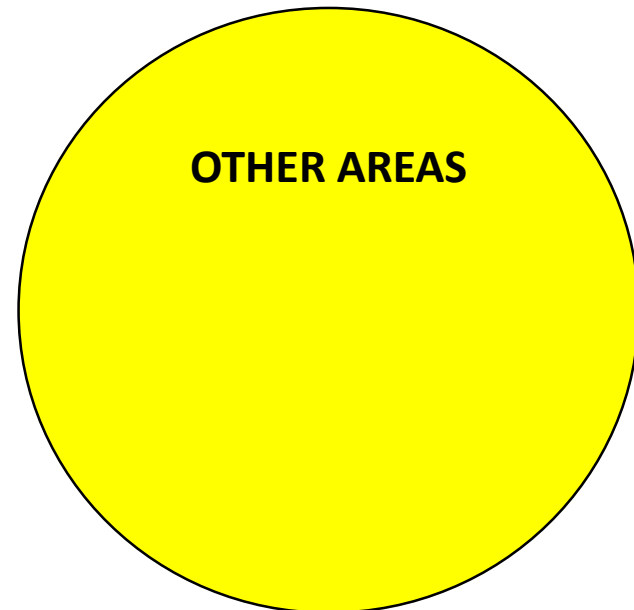
**Areas of particular importance
for biodiversity and ecosystem services**

are conserved in systems of

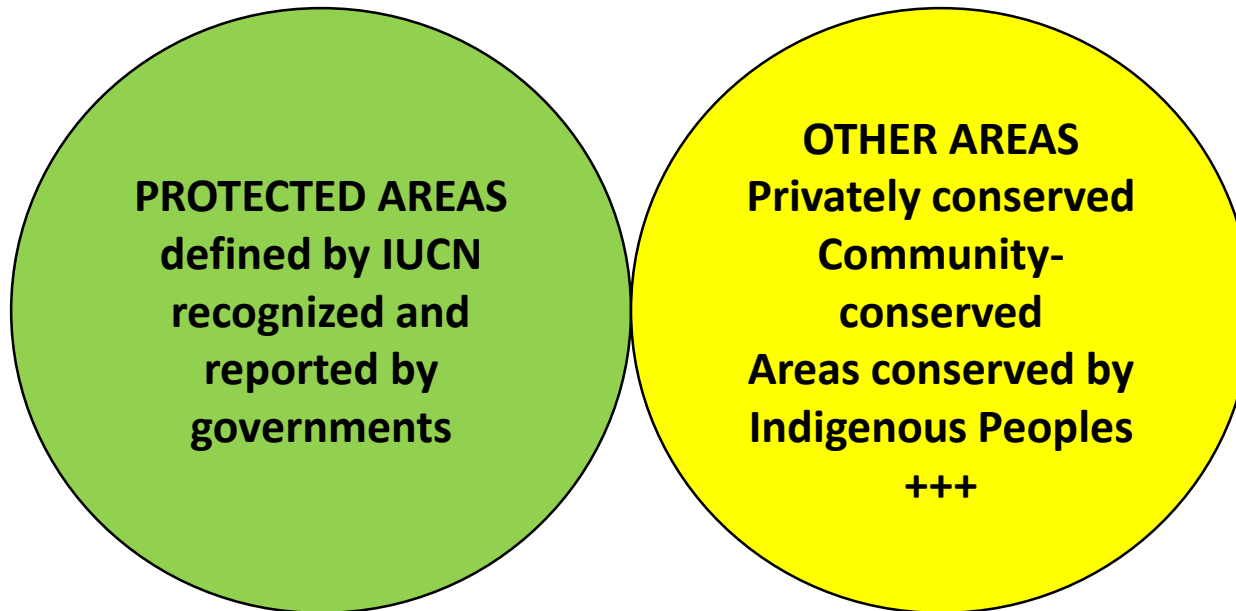
PROTECTED AREAS

AND OTHER

EFFECTIVE AREA-BASED CONSERVATION MEASURES

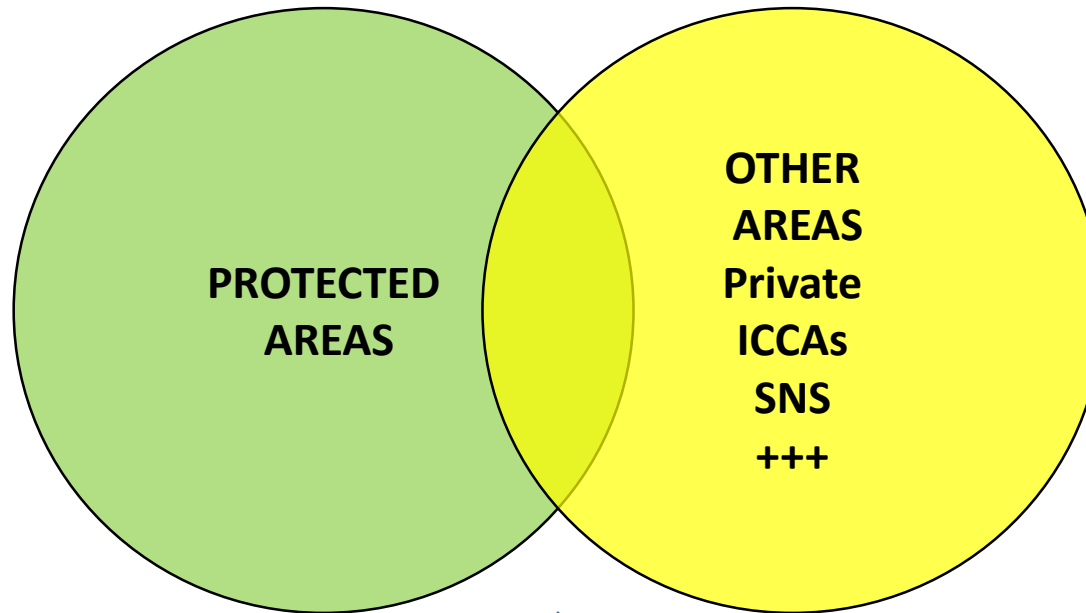


EFFECTIVE AREA-BASED CONSERVATION MEASURES



- Conserving nature must be an objective
- Effectively managed
- Equitably governed
- In the long term
- **Effective**

EFFECTIVE AREA-BASED CONSERVATION MEASURES



- Conserving nature must be an objective
- Effectively managed
- Equitably governed
- In the long term
- **Effective**



- Aren't recognized
- Could be recognized
- Don't wish to be recognized

- Nature is conserved de facto
- In the long term
- Nature conservation prevails over other uses
- **Effective**

Why promote governance diversity in a PA system?

Recognition of a diversity of management categories and governance types helps to:

- Achieve coverage targets
- Close gaps
- Build connectivity
- Involve more stakeholders and improve social acceptance
- Improve adaptability and resilience of the system
- Better integration of biodiversity into land-use and marine spatial planning and decision-making
- Integration into wider landscapes and seascapes

