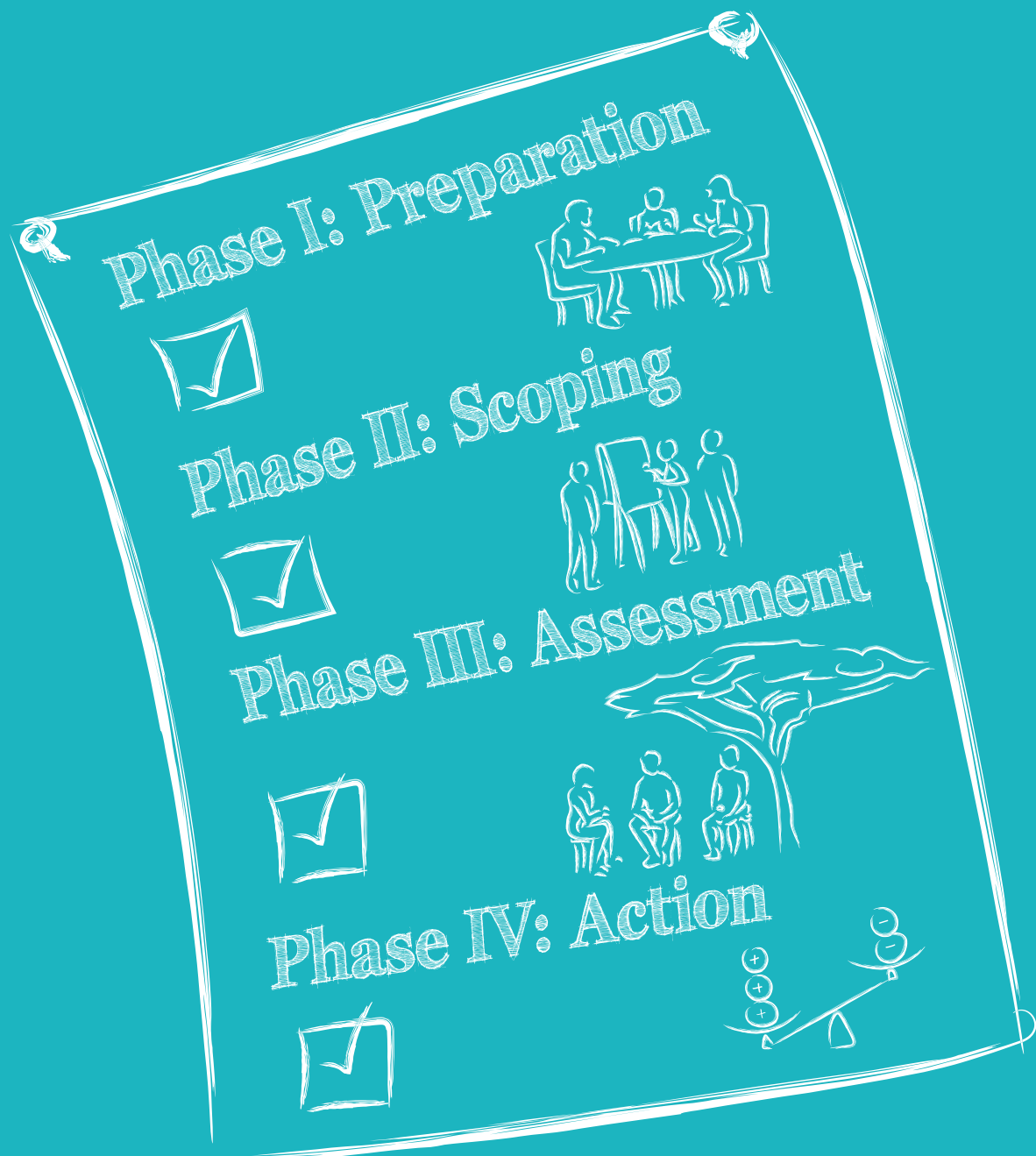


Social Assessment for Protected Areas (SAPA)

Methodology Manual for SAPA Facilitators



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Background

IIED working in partnership with UNEP-WCMC, WCS and FFI launched a project to develop and pilot the Social Assessment for Protected Area methodology in April 2013. It responded i) to concerns that some protected areas are imposing an overall negative impact on some local stakeholder groups, ii) the need to better understand, promote and strengthen the positive contribution of protected areas to local livelihoods, and iii) the need for a relatively simple, rapid, standardised and low cost approach for assessing social impacts. Building on the experience of piloting in five countries (Kenya, Uganda, Ethiopia, Gabon and Zambia), this SAPA methodology manual is the final output of the project.

The contents of this document do not necessarily reflect the views or the policies of UNEP or contributory organisations.

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Acronyms

CBD	Convention on Biological Diversity
EIA	Environmental Impact Assessment
FFI	Fauna & Flora International
FT	SAPA Facilitation Team
GIS	Geographical Information System
GPS	Geographical Positioning System
IIED	International Institute for Environment and Development
METT	Management Effectiveness Tracking Tool
M&E	Monitoring and Evaluation
MPA	Marine Protected Area
NGO	Non-governmental Organisation
ODK	Open Data Kit
PA	Protected Area
PoWPA	Convention of Biological Diversity's Programme of Work on Protected Areas
PRA	Participatory Rapid Appraisal
SAPA	Social Assessment for Protected Areas
SDG	Sustainable Development Goal
TNC	The Nature Conservancy
UNEP-WCMC	United Nations Environment Programme World Conservation Monitoring Centre
WCS	Wildlife Conservation Society
WPC	World Parks Congress

Section A: Introduction

This manual provides detailed guidance for assessing the social impacts – benefits and costs – of protected areas (PAs) and related conservation and development activities, at the local level using the relatively simple and low cost Social Assessment for Protected Areas (SAPA) methodology.

SAPA can be used with PAs of any kind, including PAs managed and governed by government agencies, communities and the private sector. It is a multi-stakeholder assessment for use by PA managers, communities living within and around the PA, other local level stakeholders, and supporting organisations at national level, to help increase and more equitably share positive social impacts, and reduce negative social impacts. Our assumption in developing the SAPA methodology is that the assessment will be proposed, planned and facilitated by these site-level users and this methodology manual is written for these users. In most cases there will be a need for technical support from an organisation at national or state level with social research expertise – for example an NGO, university or consultancy – especially for the household survey, but there should be no need for international consultants.

The methodology uses a combination of i) community workshops to identify significant social impacts, ii) a short household survey to explore these impacts and related governance issues in more depth, and iii) stakeholder workshops to validate the survey results, explore other key issues and generate recommendations for action.

Section A continues with an overview of key concepts and background related to social assessment that is important to understand before embarking on the process. This is followed by an overview of the SAPA methodology. Section B provides detailed step-by-step guidance on how to use the SAPA methodology, which is made up of four phases and 12 main activities. Colour coded tabs are used throughout to help identify relevant sections quickly.

PHASE I – PREPARATION

- 1.1. Feasibility assessment and planning
- 1.2. Review of existing information
- 1.3. Facilitation Team selection and training
- 1.4. Stakeholder analysis

PHASE II – SCOPING

- 2.1. First community workshops
- 2.2. First stakeholder workshop
- 2.3. Assessment planning

PHASE III – ASSESSMENT

- 3.1. Household survey
- 3.2. Second community workshops
- 3.3. Second stakeholder workshop

PHASE IV – ACTION

- 4.1. Communication of results
- 4.2. Planning and monitoring

1. Key concepts

1.1. Social impacts and human wellbeing

Wellbeing is not just the inverse of poverty – it is a broader way of looking at the quality of human life. In this manual we use the so-called three dimensional framework of human wellbeing, which includes material, relational and subjective wellbeing.

Three dimensions of human wellbeing

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

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

Subjective wellbeing: 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, 2009

The term social impact refers to the impacts of a policy, programme, project or another initiative that directly affect one or more of the three dimensions of wellbeing. In the context of biodiversity conservation, using a wellbeing framework as the basis of social assessment rather than a poverty framework can make a real difference, because some of the most significant benefits of conservation contribute to the relational and subjective dimensions of wellbeing and may be overlooked from a poverty perspective (eg the maintenance of cultural values and practices).

In the English language positive impacts on wellbeing are often referred to as 'benefits' and negative impacts on wellbeing are referred to as 'costs'. If the focus is social impacts within and around a particular PA site then the terms 'local benefits' and 'local costs' may be used.

The terms positive social impact and negative social impact refer not only to impacts that can be easily valued in monetary terms, but also impacts that may still be very significant in terms of wellbeing but have no clear monetary value (although values are often estimated using economic valuation methods). In conservation, the non-monetary impacts may often be more significant than the monetary impacts.

As well as actual social impacts, we also need to consider how an initiative may affect the risk of something happening that will have a negative impact on wellbeing. The initiative may reduce the risk (a positive impact), or increase the risk (a negative impact).

In the context of PAs we are interested in all positive and negative social impacts that are considered by local people to be related in some way to the PA. This will include social impacts directly related to wildlife, habitat and ecosystem services that are being protected, and also the impacts of any conservation and development activities that are designed to support PA conservation. See Table 1 for some examples of the social impacts of PAs.

Table 1: Examples of monetary and non-monetary social impacts of a protected area at site level¹

	Positive social impacts (local benefits)	Negative social impacts (local costs)
Monetary	<ul style="list-style-type: none"> » Micro-projects funded by hunting revenues » Resources harvested from the protected area (provisioning ecosystem service benefit) 	<ul style="list-style-type: none"> » Damage to crops by wildlife (human-wildlife conflict) » Time and staffing required for protection activities (management cost)
Non-monetary	<ul style="list-style-type: none"> » Clean water (regulating ecosystem service benefit) » Cultural identity and heritage, recreation (cultural ecosystem service benefit) » Improved security » Reduced risk of landslides » Helping people adapt to climate change 	<ul style="list-style-type: none"> » Reduced access to markets (opportunity cost) » Reduced/lost access to resources (displacement cost) » Loss of access to cultural sites (displacement cost) » Time spent attending meetings (transaction costs) » Increased risk of conflict between protected area management communities

As shorthand for ‘positive and negative social impacts of the PA and related conservation and development activities at site level’ we will use the term ‘PA-related positive and negative social impacts’. Although it is tempting to further simplify the language to ‘local benefits’ and ‘local costs’ we will avoid doing so from this point onwards because of the risk that benefits and costs are understood only in the narrow monetary sense, especially when translated into other languages.

1.2. Social assessment

Social impact assessment (social assessment for short) is the process of analysing and managing the intended and unintended social consequences, both positive and negative, of planned interventions (policies, programmes, plans, projects). This definition is now widely used across the international community of practice of social impact assessment.²

Evaluation – evaluates performance against one or more time-bound goals.

Assessment – assesses performance against a set of principles that describe a way of working.

As opposed to ‘evaluation’ where performance is evaluated against the time-bound goals of a particular programme or project, ‘assessment’ assesses performance (in this case of a PA and its related conservation and development activities) against a set of principles that describe a certain way of working. These principles may be derived from a wide variety of different sources including

¹ Adapted from Kettunen and Brink, 2013

² See Vanclay and Esteves, 2011

national and international policy, the policies of specific organisations (eg Protected Area Authorities, local governments and NGOs), and also the customary norms of Indigenous Peoples and local communities. Unlike goals, principles are usually not time-bound.

Like environmental impact assessment (EIA), social assessment was first developed in the late 1960s for predicting the likely future impacts of proposed projects, but is also increasingly used for assessing the impacts of on-going programmes, projects and other initiatives. Social assessment has since been broadly applied to both development and conservation initiatives at a variety of scales from local to national.

1.3. Protected area

According to the Convention on Biological Diversity (CBD) a protected area is a “geographically defined area which is designated or regulated and managed to achieve specific conservation objectives”. In this manual we look at PAs in the broadest sense of the term in accordance with the CBD definition, with the understanding that the conservation objectives are defined by stakeholders and rights-holders from global to local levels – from conserving a globally important and endangered species to conserving ecosystem services that make an important contribution to the wellbeing of communities at local level.

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 (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 Resource											

Figure 1: IUCN classification of PA management categories and governance types
 Source: Borrini-Feyerabend *et al.*, 2013

According to the IUCN system for classifying PAs this includes, in principle, any combination of seven PA management categories and four PA governance types (Figure 1) although many PAs have yet to be classified in this way.

1.4. Equity and justice

Concepts of equity and justice have become increasingly common in national and international policy relating to the conservation of PAs. While these two terms have different implications from a legal and political perspective, in plain English they can both be understood to mean fairness. In this manual we use the term equity rather than fairness since equity tends to be more widely used in conservation policy and development policy, for example in the sustainable development goals (SDGs). However, beyond a very basic definition of the terms equity, justice and fairness, there is very limited understanding of what these terms actually mean and imply in the context of conservation.

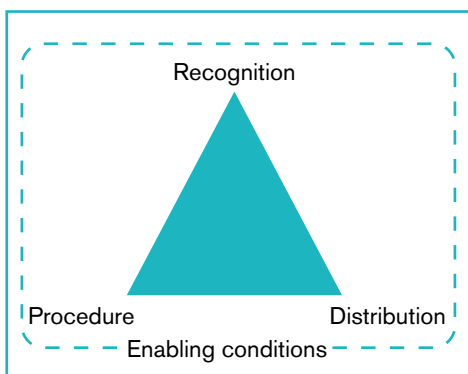


Figure 2: The three dimensions of equity, and enabling conditions

Building on research on equity in payments for ecosystem services and environmental justice, IIED and a broad group of key actors in conservation at the international level have developed a framework for understanding and assessing equity in PA governance and management.³ Broadly, equity is considered to have three dimensions: 1) recognition, 2) procedure, and 3) distribution. Within each dimension, the framework identifies a set of priority 'equity issues' for PA governance and management, framed as principles. The framework also identifies the enabling conditions in which all three dimensions are embedded (Figure 2).

1.5. Social assessment methodologies, methods and tools

The terms methodology, method and tool are often used almost interchangeably. But there is a logical order to these terms, and in this manual we use the terms consistently in this way.

Methodology: overall package of an analytical framework, research design, methods, and an assessment process that links the methods

Method: an information/data gathering activity, for example focus groups, semi-structured interviews, survey, participatory rapid appraisal (PRA) methods

Tool: specific information/data gathering instrument used within a method

1.6. History and future directions of SAPA

The landmark recommendation on protected areas and poverty from the World Parks Congress (WPC) of 2003 includes the principle that "*Protected areas should strive to contribute to poverty*

3 See Franks and Schreckenberg, 2016

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 1990s,⁴ there remained concerns that PAs could and should do more to contribute to poverty reduction, and concerns that some PAs were on balance (when all positive and negative impacts are taken into account) imposing an overall negative impact on some stakeholder groups. Alongside the principle relating to poverty, the 2003 WPC recommendation also included a key principle of equity in the distribution of positive and negative impacts, stating that *"Equitable sharing of costs and benefits of protected areas should be ensured at local, national and global levels"*.

Responding to this and many other key recommendations from the WPC in 2003, parties to the 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"*.

"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"

Since the late 1990s there has been a substantial amount published in the academic literature on the social impacts of PAs.⁵ Initially these studies mainly documented negative impacts. Over time studies have documented a much more varied picture, but most have used complex and costly

research methodologies which are not a practical option for most PA managers. In the absence of a standardised methodology, assessments of the social impacts of similar – sometimes even the same – PAs often arrive at very different conclusions.

Responding to the need for a relatively simple, rapid, standardised and low cost approach for assessing the social impacts of PAs – 'rapid methodology' for short – and specifically the request for this in the CBD PoWPA, the SAPA initiative was launched in 2008. In 2010 the SAPA initiative published a comprehensive review of rapid methodologies for social assessment of conservation initiatives, including some methodologies that had already been used in conservation and some that might be applicable to conservation with some adaptation.⁶

Drawing on a number of the methodologies in this review, IIED working in partnership with UNEP-WCMC, WCS and FFI launched a project to develop and pilot the SAPA methodology in April 2013. Building on the experience of piloting in five countries (Kenya, Uganda, Ethiopia, Gabon and Zambia), this SAPA methodology manual is the final output of the project.

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

5 See West *et al.*, 2006

6 See Schreckenber *et al.*, 2010

1.7. SAPA, governance and management effectiveness assessment

Users of SAPA have many other information needs in addition to social impact information. In particular PA managers are often encouraged to conduct two related assessment processes:

- Protected area management effectiveness assessment (PAME),⁷ and
- Protected area governance assessment.⁸

A key activity of the SAPA initiative is to explore the relationship between social assessment, governance assessment and PAME and facilitate effective linkages. In this respect it is important to note the difference between PA management and PA governance (see Figure 3).

Management	... is about...	what is done in pursuit of given objectives the means and actions to achieve such objectives
Governance	... is about...	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

Figure 3: Difference between PA management and governance

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

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 at a superficial level. Some more comprehensive PAME tools address social and governance issues in more detail but still have significant gaps, for example in relation to negative impacts and the distribution of impacts within and across communities.

While SAPA was designed to assess PA-related social impacts at site level and their distribution, and this is still its main focus, during piloting it became clear that some basic issues of PA governance needed to be included in SAPA because they are aspects of human wellbeing (eg influence on decision making) and/or because they are fundamental to reducing negative impacts and increasing and more equitably sharing positive impacts (eg knowledge of conservation policy). This is reflected in the SAPA standard assessment questions (Box 1). To go beyond this very basic level of governance assessment, a PA governance assessment methodology will be needed. Just as SAPA includes some basic elements of PA governance assessment, it is important that PA governance assessment includes some basic coverage of social impacts because it cannot be assumed that improved governance will always deliver more equitable distribution of social impacts.

7 See Dudley *et al.*, 2009

8 See Borrini-Feyerabend *et al.*, 2013

2. SAPA methodology: an overview

In broad terms any assessment or evaluation methodology has four key elements: i) the analytical framework, ii) research design, iii) methods and iv) process. The following four sub-sections introduce these four elements of the SAPA methodology.

2.1. Analytical framework

An analytical framework describes the key ideas or concepts that are the focus of a piece of research, evaluation or assessment, and the relationship between them. The SAPA analytical framework (Figure 4) describes the three dimensional way in which wellbeing is conceived in the SAPA methodology, the different types of social impacts and the relationship between these. The framework also shows the two different ways of assessing social impact that are used in SAPA.

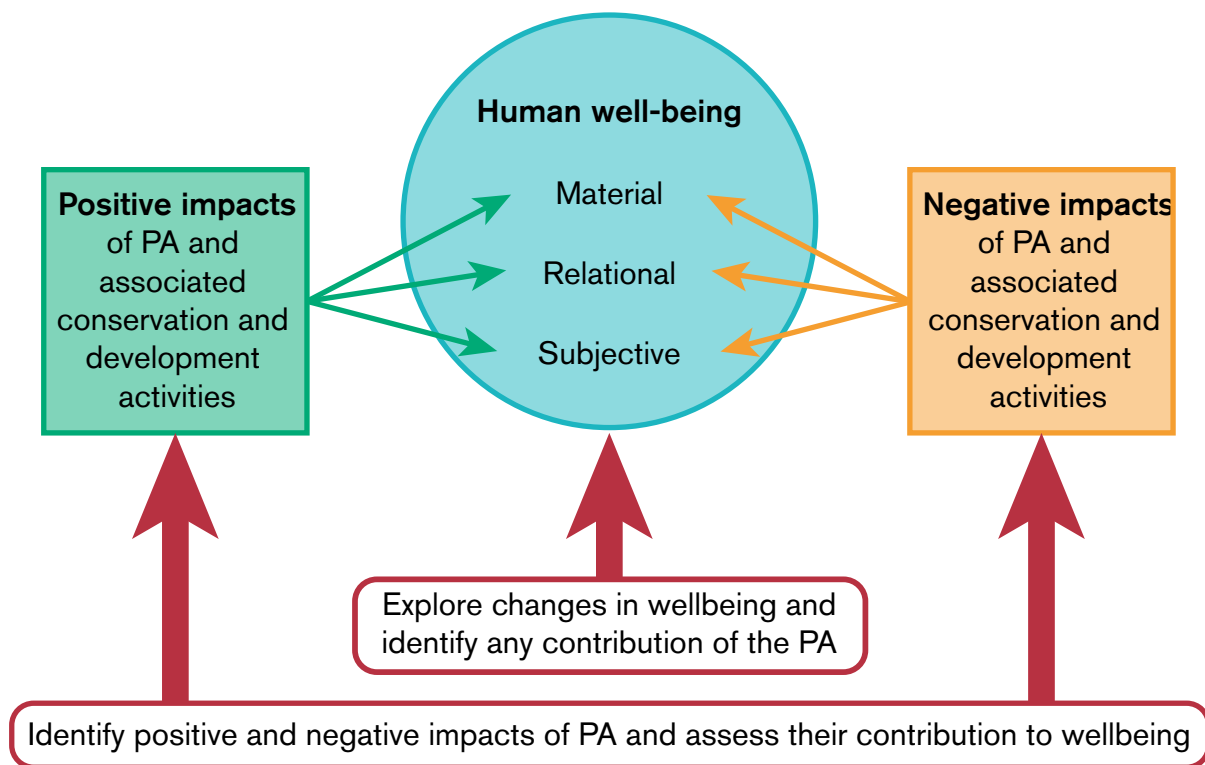


Figure 4: SAPA analytical framework. The red boxes show the two different ways of assessing social impact used in SAPA.

The positive and negative social impacts within each category include those that are wholly attributable to the PA and/or related conservation and development activities, and also those that are only partially attributable (caused by other factors as well). We will come back to the question of attribution in the next section.

The SAPA methodology adopts a question-based approach, with all sites using a set of standard assessment questions (Box 1). In addition, the methodology includes a process of developing

site-specific questions that respond to specific information needs of the key stakeholders. The combination of standard questions plus further site-specific questions enables comparison and aggregation across sites, while also enabling the assessment to be tailored to the needs of a specific site.

Box 1: SAPA standard assessment questions

1. What is the **overall contribution to human wellbeing** of the PA and related conservation and development activities?
2. What are the more significant **negative impacts** of the PA and related conservation and development activities?
3. What are the more significant **positive impacts** of the PA and related conservation and development activities?
4. To what extent are communities aware of key **information** on the PA and related conservation and development activities?
5. To what extent is there community **participation** and influence in decision-making regarding the PA and related conservation and development activities?
6. How are **relations** between the PA and local communities?

Note that in the SAPA standard questions and throughout this manual we mention negative impacts before positive impacts. We suggest you use this order where negative impacts are likely to be more significant than positive impacts for the majority of people – so you build credibility of the process by starting with the side that matters more to local communities. Conversely, we suggest you deal with positive impacts first where positive impacts are likely to exceed negative impacts for the majority of people.

2.2. Research design

In social assessment your research design should enable you to determine the contribution to wellbeing of the interventions

that are the focus of the research versus other factors that affect wellbeing, for example an increase in food prices, insecurity, or climate change. More specifically for SAPA, the question is what impacts, or element of certain impacts, can be attributed to the PA and related activities versus other factors that affect wellbeing?

For some types of social impacts the contribution/attribution issue is not a major challenge, for example:

- Damage to crops caused by wild animals that are known to spend most of their time within the PA and would have been hunted to extinction without the protection of the PA, or
- Positive impacts that depend on the survival of these endangered species such as benefits from tourism.

However for many impacts the attribution/contribution issue is a much more complex. There may be several factors contributing to a given type of impact – for example, where both a PA and local government are supporting road improvements, or natural ecosystems within the PA are helping communities adapt to climate change alongside other elements of an adaptation strategy. Even where there is just one factor, and this is clearly PA-related, there is the question of what the situation would look like without the PA – the ‘counterfactual situation’ in technical terms.

In theory the most rigorous (and expensive) approach to determining what proportion of a given social impact can be attributed to a set of conservation (or development) interventions is to conduct the same assessment in communities that are the same in every way, except that one is affected by the interventions and the other is not. But with factors as complex as access to markets, two villages are never going to be the same so the process of trying to 'match' PA and non-PA communities is very challenging. More fundamentally, in trying to match communities, what assumptions do we make about the future of the PA? For a forest PA does 'non-PA' mean literally no forest? Or might 'non-PA' be the forest under customary community management? Lastly, even if you have the funds to conduct research in communities that have no PA-related social impacts, is it ethical to conduct research with people who will not benefit from the research?

SAPA sidesteps this complex issue with the simple rule that the counterfactual situation is what the community members believe it would be. This will depend on the type of impact – it may be what they imagine the situation would be without the PA, or if the PA was only recently created, it may be the situation before the PA. This is actually a common approach in social research which in technical terms is called a 'reflexive counterfactual'. Clearly this introduces an element of subjectivity that could bias the results but there are strong counter-arguments:

- SAPA is not trying to determine whether PA conservation is equitable. SAPA is simply trying to identify ways to reduce negative impacts and increase, and more equitably share, positive impacts – trying to make PA conservation more equitable than it was before.
- People's perception of the equity of conservation is an important issue in its own right because
 - a. A sense of equity/fairness is an important aspect of subjective wellbeing, and
 - b. A sense of inequity/unfairness of conservation can be a very significant motivation for illegal activities.
- Methodologies that use matched PA and non-PA communities are often not as robust as they intend to be because of the difficulty of finding genuinely matched communities.

2.3. Process

An assessment will almost always involve using several different assessment methods. The process is what links these together into an overall methodology and in the case of SAPA the process also has a crucial role to play in ensuring effective engagement of key stakeholders (making it a 'multi-stakeholder process'). The SAPA process has four phases with a total of 12 main activities – six gathering information and six related to preparation, planning, communication of results and action (Table 3).

The actual assessment takes place in Phase I, II and III. This usually takes 3-4 months of part-time work but can take as little as six weeks for a small PA with all the activities planned to take place back to back.

Phase IV focuses on what you do with the results of the assessment and is deliberately included as an integral part of the SAPA process to build support and accountability for action. It is assumed that the action planning takes place within regular planning events of the stakeholders rather than as a standalone SAPA action planning exercise, and so there is a relatively large time window for this final phase.

2.4. Methods and tools

The standard SAPA process uses a combination of six methods and four specific tools.

Table 2: SAPA methods and tools

Method	Tools	Objective of the method
Stakeholder analysis	» Stakeholder analysis template	» To identify key stakeholder groups that should be engaged in SAPA and, in particular, the participants for the two stakeholder workshops
First community workshops	» Weighted ranking tool » Impact scoping tool	» To identify the more significant impacts in a particular community » To identify the more significant impacts across all communities
First stakeholder workshop		» Ensure that key stakeholders in SAPA have a good understanding of SAPA, including the process to be used and their role in this process » Identify why stakeholders are interested to participate in SAPA, and what specific information they would like to get from SAPA
Household survey	» Survey questionnaire template	» Develop the questionnaire for the SAPA household survey and the sampling plan » Select and train the survey enumerators and finalise the household survey » Conduct the household survey, and » Analyse the household survey data and generate a PowerPoint presentation of the results
Second community workshops		» To share the results of the SAPA household survey with communities and review and validate these results » To address any assessment questions targeted at the community workshops » To explore ideas for action to <ul style="list-style-type: none"> - reduce negative social impacts and increase, and more equitably share, positive social impacts - improve information sharing, participation and people-park relations
Second stakeholder workshop		» To share the key results from the SAPA household survey and community workshops with workshop participants. » To address any assessment questions targeted at the second stakeholder workshop » Develop recommendations for action to: <ul style="list-style-type: none"> - reduce negative social impacts and increase, and more equitably share, positive social impacts. - improve information sharing, participation and people-park relations

This is a classic 'mixed methods' approach where a combination of different methods and tools are used for the purposes of information gathering, checking the accuracy of results (technically known as 'validation') and generating recommendations for actions to respond to at least some of the results.⁹ Embedded within the overall SAPA process, these methods are used in the order presented in Table 2, with each method informing the subsequent methods.

9 See Newing *et al.*, 2011

Section B: Step by step guidance

This section of the SAPA methodology manual provides detailed guidance for each of the 12 main activities of the SAPA process. For each activity the guidance explains the purpose of the activity (objective), what to do (tasks), who does what (who), and the specific outputs. In addition, there is background information to explain key concepts.

Table 3: SAPA process, timeframe and outputs

Phases and main activities		Typical timeframe	Outputs
PHASE I – PREPARATION			
1.1.	Feasibility assessment and planning	Week 1	» Go/No Go decision
1.2.	Review of existing information	Week 2	» PA profile
1.3.	Facilitation Team selection and training	Week 3-5	» Facilitation team trained
1.4.	Stakeholder analysis	Week 5	» Stakeholder analysis
PHASE II – SCOPING			
2.1.	First community workshops	Week 7-8	» Priority impacts
2.2.	First stakeholder workshop	Week 8	» Site-specific questions
2.3.	Assessment planning	Week 8	» Assessment plan
PHASE III – ASSESSMENT			
3.1.	Household survey	Week 9-14	» Survey results
3.2.	Second community workshops	Week 15-16	» Results validated and ideas for action explored
3.3.	Second stakeholder workshop	Week 16	» Recommendations
PHASE IV – ACTION			
4.1	Communication of results	Month 5	» Presentation of results and recommendations, communication plan, report of results
4.2	Planning and monitoring	Month 6-18	» Activities agreed and incorporated in plans of key organisations

1. Phase I: Preparation

The preparation phase starts with reviewing whether it is actually appropriate and feasible to use the SAPA methodology with the proposed PA. If it is, then Phase I proceeds with a review of existing relevant information, and then the selection and training of the small team that will facilitate the various activities that follow in Phase II, III and IV: the SAPA Facilitation Team (FT).

Beyond this small FT, other key stakeholder groups will engage in different aspects of the SAPA process. Phase I of SAPA concludes with a stakeholder analysis to identify these key stakeholders.

1.1. Feasibility assessment

Objective

To determine whether SAPA is an appropriate methodology for assessing the social impacts of the target protected area.

Time required

1 day

Background

SAPA is designed to be widely applicable to PAs of any governance type and management category and any ecological context (marine, terrestrial–forest, terrestrial–rangelands, terrestrial–freshwater etc). But there are a couple of intrinsic constraints that will limit its applicability:

- SAPA relies on a multi-stakeholder process which may not be viable where there is deep distrust or conflict between PA management and communities living in/around the PA.
- SAPA requires PA managers and the other key stakeholders to meet together at least once during the process. This may not be practical with very large PAs where travel between communities and towns within and around the PA is very difficult and costly. In such cases SAPA should be implemented at the level of a pre-existing zone within the PA.

Furthermore, the success of SAPA assumes the following:

- There are adequate human and financial resources to conduct the assessment more or less in line with the process laid out in this manual. Based on the experience of piloting in five countries with very different levels of operating costs, the cost of conducting SAPA is estimated to range from US\$5000 to US\$15000 per site excluding the time of members of the SAPA Facilitation Team which is assumed to be a contribution in-kind by key stakeholders.
- PA managers and other key stakeholders will be willing and able to implement at least some of the recommendations to improve social impacts and/or PA governance.
- Most community members have a good knowledge of the social impacts of the PA and related governance issues based on their actual experience of living with the PA.

- In response to the last point we advise that SAPA should only be used with a PA that has been in existence and with operational management and governance systems (however strong or weak they may be) for at least two years. Even where community members do have a good knowledge of the issues this is no guarantee that they will provide an accurate picture as they engage in SAPA but this is a different issue that must be dealt with (as well as it can be) in the assessment design.

Tasks

1. Identify the person who will lead the SAPA assessment process (the SAPA Facilitation Team Leader). This may be the convenor who has initiated the process or someone different.
2. SAPA Facilitation Team Leader and convenor should read this manual.
3. Review the target PA and its socio-economic context against the criteria listed in Table 4.

Table 4: Criteria for SAPA feasibility assessment

Criteria	Yes/No	Comment
PA has been in existence with management and governance systems in place and functioning for at least 2 years		If No, do not do SAPA
PA managers and other key stakeholders are willing to work together on the assessment to maximise the accuracy ¹⁰ and credibility of results		If No, do not do SAPA
The risk that conducting SAPA will create conflict between stakeholders, or exacerbate existing conflicts, is very small		If No, do not do SAPA
Key stakeholders are likely to agree to implement at least some of the recommendations of the assessment		If No, do not do SAPA
It will be logistically possible for representatives of all key stakeholder groups to have a one day face-to-face meeting at least once during the process		If No, focus on one zone of the PA
There is someone willing and able to take on the overall leadership and coordination of the assessment who has the necessary time and skills to do so (about 30 days of work over 6-16 weeks)		If No, do not do SAPA
The SAPA Facilitation Team Leader is able to find at least one person of a different gender and one from a different stakeholder group to make up a balanced facilitation team		If No, do not do SAPA
There are adequate financial resources to conduct the assessment		If No, do not do SAPA

10 By 'accuracy' we mean whether the results are an accurate reflection of the situation on the ground.

4. SAPA Facilitation Team Leader and convenor should develop an overall workplan for Phase I, II and III of the SAPA process. This should be done using Table 4, inserting the actual timeframe in the second column. Note that the plan for Phase III will be refined as part of the last activity of Phase II (assessment planning).

Who

The feasibility assessment should be facilitated by the organisation that is initiating the idea of doing a social assessment at the target PA (the convenor). This may not necessarily be the organisation in charge of managing the PA – for example the convenor might be an NGO with a strong interest in the PA. However the feasibility assessment should always be done with the PA managers to maximise ownership of the process, and the chances of the results being applied.

1.2. Review of existing information

Objective

To ensure that the social assessment takes full advantage of, and builds upon, existing information that is relevant to the design and implementation of the assessment.

Time required

Depends on how much information is available.

Background

The review of existing information serves six important functions:

1. Inform the design of the assessment, for example with respect to:
 - Selection of a sample of communities that will give a representative picture of social, cultural and ecological differences across the area, and the distribution of different types of PA-related social impacts
 - Selection of sample households for the household survey
 - Tailoring methods and tools to the cultural context – for example cultural norms in some places may prohibit one social group to speak in front of another (eg women speaking in front of men, young people speaking in front of elders/leaders)
 - Identification of appropriate wellbeing indicators
 - Planning fieldwork logistics, for example accessibility of communities, likely weather conditions, and
 - Planning fieldwork to minimise any inconvenience to communities.
2. Provide information that will be an input to the assessment itself, for example:
 - Previous assessments of social impacts of the PA that can inform impact prioritisation, and
 - Geospatial (ie GIS) data that can be used to generate relevant maps.

3. Build credibility of the process by recognising and respecting existing knowledge.
4. Minimise political issues that could hamper the process and/or bias the results.
5. Minimise frustration that may be caused if SAPA is seen to be repeating previous studies.
6. Reveal opportunities for, and constraints to, implementation of the recommendations that emerge from SAPA.

Types of information to look out for during Activity 1.2

- PA management plans
- PA management effectiveness assessments
- Studies of ecosystem services
- Previous social or environmental impact assessments
- Socio-economic baseline surveys
- Other social research
- Impact evaluations of conservation and development projects associated with the PA
- Demographic information from national censuses
- Household lists that may be held by local government/leaders
- Maps of PA features and local government/administrative units (if possible in digital form)

Tasks

1. Interview key informants (PA management, local government officials, community representatives, NGOs) to identify sources information that may be relevant. These interviews also provide an opportunity to ask these key informants for their views on PA-related social impacts.
2. Obtain and review relevant documents and other sources of relevant information.
3. Summarise key basic information using the PA profile template (see Annex 2).

Output

Completed PA profile.

Who

The SAPA Facilitation Team Leader should conduct these tasks.

1.3. Facilitation Team selection and training

Objective

To establish a small team to facilitate SAPA that, as a team, has the required knowledge and skills, and the balance of interests, necessary for an effective and credible process.

Time required

2 days

Background

SAPA uses a multi-stakeholder process for enhancing the accuracy and credibility of results, and building commitment of key stakeholders to use the information generated. This multi-stakeholder approach is reflected not only in the methods but also in the people who will facilitate the process. Normally a SAPA Facilitation Team is composed of 3-6 people. Within this team there should be a balance of people from state actors (eg conservation authority, local government) and from non-state actors (eg NGOs, community-based organisations, research organisations). This balance should provide the necessary range of technical expertise and enable the team as a whole to gain and maintain the respect and trust of key stakeholder groups. For a detailed Terms of Reference for the SAPA Facilitation Team see Annex 1.

Our assumption in developing the SAPA methodology is that it can be facilitated by this team with the help of an external expert from an organisation at national or state level who has relevant social research expertise, for example research department of PA authority, NGO, university, or consultancy, but there should be no need for international consultants. The 'external expert' may himself/herself have been trained at a SAPA Train-the-Trainers course, or if they are experienced in social assessment, they should be able to conduct the SAPA training based on this manual.

It is assumed in the tasks below that this SAPA training is conducted as one two-day course. Alternatively it may be split into two parts with the second day of the training being conducted after the first stakeholder workshop has been conducted.

Tasks

1. Select SAPA Facilitation Team members in accordance with the criteria specified in the Terms of Reference of the Facilitation Team (see Annex 1).
2. Organise and conduct a two day training course for all Facilitation Team members based on this SAPA methodology manual. See Annex 3 for a proposed programme.

Who

- Facilitation Team selection – conducted by the SAPA convenor and SAPA Facilitation Team Leader.
- Facilitation Team training – conducted by the external expert.

1.4. Stakeholder analysis

Objective

To identify key stakeholder groups that should be engaged in SAPA and, in particular, the participants for the two stakeholder workshops.

Time required

1.5 hours

Background

SAPA relies on multi-stakeholder engagement (involving to some extent all key stakeholders) for:

- Maximising accuracy of the results
- Ensuring credibility of the results, and
- Building commitment of stakeholders to use the information generated by SAPA to improve the social and governance performance of the PA.

A good stakeholder analysis is the first crucial information gathering activity. Even if a relevant stakeholder analysis has already been done for a PA management planning process, or a project associated with the PA, the exercise should be repeated using any existing analysis as a checklist. This is because our stakeholder analysis has very specific parameters that are unlikely to be fully addressed by a previous analysis, because we are looking for organisations or groups that have a particular interest in PA-related social impacts.

A stakeholder analysis aims to assess both interest of organisations/groups in the issue in question, and their influence in terms of being able to bring about changes related to the issue. By 'stakeholder group' we mean a group (but not necessarily a formal organisation) of people who have similar interests and influence. We do stakeholder analysis at this group level as it is impossible to consider the interests and influence of every individual stakeholder.

The SAPA stakeholder analysis tool aims to characterise the interest and influence of each stakeholder group on a three point scale – high, medium or low. At this stage in the SAPA process our main focus is to identify key stakeholder groups that should be represented in the first stakeholder workshop. This is based purely on analysis of interest. We use the analysis of influence later when identifying stakeholder groups to be represented at the second stakeholder workshop.

At community level there will be a number of stakeholder groups within the overall population that is the focus of the assessment. These are usually of three different types:

- Geographically defined sub-units, for example villages, units of local government, chiefdoms etc.
- Special interest groups – socially defined groups that have particular interests. For example women who are permitted to harvest basket making materials from the PA, fishers who fish within the PA or in areas adjacent to the PA etc.
- Marginalised groups – socially defined groups that currently have little or no influence on PA-related decision making but should have more influence for reasons of equity and conservation effectiveness, for example women, youth, ethnic minorities.

Normally the SAPA stakeholder analysis will identify groups of all three types and each type of group will have several representatives at the SAPA stakeholder workshops.

- Throughout this manual we refer to 'key stakeholder groups'. This is because it is usually not practical, either in terms of cost or ensuring a quality process, to involve all stakeholder groups. The crucial issue is how 'key' is defined and who gets to decide who is key and who isn't.

The 'key stakeholder groups' are those that score at least medium or high for interest in and/or influence on PA-related social impacts. The SAPA Facilitation Team have the crucial responsibility for getting this analysis right, because the success of the whole SAPA process relies on having all the key stakeholder groups engaged, at least to some degree.

In recent years as the rights of Indigenous Peoples have become more widely recognised and respected the term 'rights-holder' has been increasingly used to denote people whose stake goes beyond interest to having ownership, or a strong claim to ownership, over all or part of the land and other resources that lie within the PA. It is now good practice to recognise rights-holders as distinct from stakeholders. While we very much support this, for the purposes of making this manual as concise as possible we consider rights-holders as being a stakeholder group.

An important question for the stakeholder analysis (and for all the activities that follow) is how far we should extend our social assessment from the boundaries of the PA into surrounding communities. Our guiding principle here is that we should be looking at community members who have a medium or high interest in the PA and/or any related conservation and development activities. With a terrestrial PA and settled people who are agriculturalists or agropastoralists it is generally assumed that the distance beyond PA boundaries within which people have any significant interest is no more than 5km and may be considerably less if our criteria is medium to high interest. However this does not apply with pastoralists who move over large areas and where there are 'distant users' such as in the Terai Region of Nepal and many Marine Protected Areas (MPAs) where some of the resource users may live up to 50km from the PA boundary. The decision on where to draw the outer boundary of geographic area that we will look at is a crucial part of the stakeholder analysis and this analysis helps us do this in an objective and transparent way.

One of the most effective ways of communicating the SAPA results is with maps that show the significance of different types of social impacts across communities. To generate these maps we will need a 'base map' that shows the PA boundaries and basic physical features of the area (roads, rivers, shorelines in the case of marine areas) overlaid with a 'community map' that shows the location and boundaries of communities within and surrounding the PA. Some PAs do not yet have such a community map and in this case producing this map will be an extra activity of this stakeholder analysis step. The time and cost to conduct this mapping (if necessary) is not included in our estimate of resources needed for SAPA. If resources are not available it is still possible to do SAPA without this map.

The SAPA stakeholder analysis can be conducted as part of the training of the SAPA Facilitation Team. If this is not possible, then the stakeholder analysis can be done at a separate meeting of the Facilitation Team following the training course.

Tasks

1. Obtain a map of the PA and surrounding area that shows the communities that are located within or around the PA, and the boundaries between communities, and between communities and the PA. If there is no such map then generate this map by surveying community boundaries with a GPS (if resources are available).

2. Using the stakeholder analysis template (see Annex 2) start by identifying organisations of the state (state actors) that have a significant interest in the positive and/or negative social impacts of the PA and any related conservation and development activities. Examples are national agencies including environmental and conservation authorities, departments of local government.
3. For each organisation or government department discuss and agree its level of 'likely interest' which can be judged to be high, medium or low. By 'likely interest' we mean what their interest is likely to be when they know more about the SAPA assessment (bearing in mind that we may have to sell the idea to them).
4. Repeat the exercise for non-state actors that have a significant interest in the positive and/or negative social impacts of the PA and any related conservation and development activities. This is a broader category which may include:
 - a. Communities as a whole that are located within and/or around the PA (which will be represented through existing local leadership arrangements)
 - b. Indigenous Peoples organisations
 - c. Community-based organisations (eg farmers' cooperatives)
 - d. Specific social groups within communities that have particular interests
 - e. Specific social groups within communities that tend to be marginalised in decision-making processes (eg women, ethnic minorities).
 - f. NGOs
 - g. Private sector organisations – for profit and not for profit.

Again score their level of likely interest as high, medium or low.
5. Score each stakeholder group (high, medium or low) in terms of its actual or possible influence in changing PA-related social impacts and their distribution.

Outputs

Community map and completed stakeholder analysis.

Who

The Facilitation Team does the stakeholder analysis. If community mapping is needed this could also be done by the Facilitation Team or could be sub-contracted to other people.

2. Phase II: Scoping

The scoping phase of SAPA focuses on defining the boundaries of the assessment in terms of issues, time and space before moving to the more in-depth assessment of Phase III.

Space

The spatial boundary is the geographic area within and around the PA where SAPA will look for social impacts. This has already been determined as part of the stakeholder analysis activity and a map of communities within this area has been obtained or generated.

Time

Unlike environmental impact assessment which tries to predict future impacts, SAPA looks at the impacts that have already been experienced. How far back we ask communities to look (the 'recall period') can be varied according to circumstances but we recommend 3-5 years. In practical terms a good way of defining this time period is to identify a recent event that took place in the last 3-5 years that everyone in the community can remember. Defining the time boundary is done by the Facilitation Team in preparing for the first community workshops (Activity 2.1) – balancing our desire to capture periodic impacts that may happen only occasionally versus accuracy which will diminish the further back we ask people to recall.

Issues

The scope of issues to be covered by SAPA is the main focus of the scoping phase of SAPA and is determined by two factors:

- The social impacts that we want the assessment to look at which are defined based on a ranking exercise during the first community workshops (Activity 2.1). Note that although this exercise is described as identifying impacts of the PA that directly affect wellbeing, it is quite likely that community members will identify some governance issues beyond those that directly affect wellbeing. This is fine.
- The questions that we want the assessment to answer – a combination of the six standard SAPA questions (see Box 1) and a number of site specific questions that are generated during the first stakeholder workshop (Activity 2.2).

Defining boundaries in terms of geographic area and issues to be covered is all about reducing the cost and complexity of the assessment to align with available human and financial resources and make most efficient use of these resources. However, where you use scoping to narrow the focus of an assessment there is always a risk that you miss important issues that – for whatever reason – were not identified in the scoping process. To minimise this risk, we need to keep it firmly in mind during the scoping process, and design the later stages of the assessment to catch any major issues that were missed in scoping.

2.1. First community workshops

Objectives

1. To identify and prioritise positive and negative social impacts of the protected area and any related conservation and development activities (PA-related social impacts) from the perspective of the local community.
2. Identify community representatives and help prepare them for participation in the first stakeholder workshop.

Time required

Maximum 3 hours for the workshop plus travel time.

Background

Meetings in geographically defined communities (called 'community workshops' in SAPA) are the first information gathering method of the SAPA process. This helps to ensure that the assessment process is, from the start, driven by community perspectives which is a fundamental element of the SAPA approach. Having community workshops before the first stakeholder workshop also presents an opportunity to have communities select the people who will represent them in the stakeholder workshops. It also gives these representatives some basic orientation to SAPA ahead of the stakeholder workshop, which should enable them to more effectively participate alongside other stakeholders who may be more used to workshops of this type.

The main focus of the first community workshops is the PRA 'weighted ranking tool' in which groups of no more than 15 men and 15 women will separately identify the PA-related social impacts that have been of greatest significance to them in recent years.¹¹ The communities where these workshops will be held (sample communities) must be carefully selected so that the set of sample communities provides a representative picture of the variation in the situation of communities within the target area (socio-economic situation, different types of PA-related social impacts etc). In technical terms this is called non-random, purposive sampling.¹² The fact that communities are not chosen at random means that we can't draw any conclusions about social impacts on the whole population within the target area, but this is OK for scoping.

Even with a small PA with little difference in socio-economic situation and PA-related social impacts across/around the PA it is important to have at least 2 sample communities for cross checking the accuracy of the information provided ('triangulation') and in case one of the community workshops does not go so well. At the other end of the spectrum, with a large PA, and/or great diversity of socio-economic context and PA-related social impacts, it may be necessary to have up to 6 community workshops.

It must be stressed that the main purpose of this activity is to identify and prioritise PA-related social impacts not to introduce SAPA to all communities within and around the PA. Therefore

¹¹ See Newing *et al.* 2011

¹² Newing *et al.* 2011

invitations to these meetings should be limited to members of the specific communities that have been selected for this exercise. That said, it is good practice to make other communities aware that SAPA is taking place, on the one hand to build wider interest and, on the other hand, to manage expectations and avoid potentially damaging rumours.

The main outputs of the community workshops are lists of the PA-related social impacts (negative and positive) – with a scoring (by men and women separately) of their significance to wellbeing. The scores from all of the community workshops are then entered into the SAPA impact scoping tool. This tool calculates, for each impact in each community, the percentage of the total score, averages these percentages across all the sample communities that identified this impact, and then calculates an overall ranking for men and for women.

Tasks – planning and preparing

1. Select the sample communities so that a full picture of the diversity of socio-economic contexts and PA-related social impacts can be generated. Key factors to take into account:
 - a. Differences in culture and ethnic identity
 - b. Different types of PA-related positive impacts and their spatial distribution
 - c. Different types of PA-related negative impacts and their spatial distribution, paying particular attention to human-wildlife conflict), and
 - d. Differences in the main livelihood strategies – agriculturalist, agropastoralist, pastoralist, fishing, etc.
2. Decide which members of the SAPA Facilitation Team will facilitate each meeting bearing in mind:
 - a. Who has attended the SAPA training for this activity
 - b. The need for one male and one female facilitator for each community workshop, and
 - c. The need to conduct the workshop in the appropriate local language.
3. Agree on how to translate key terms into the local language:
 - a. Positive social impact – make sure you select a term that conveys the idea of broad range of positive impacts including both monetary and non-monetary impacts (see Table 1). Avoid terms that suggest only monetary impacts. If there is no good translation of positive social impact then try ‘good things about the PA’.
 - b. Negative impact – as above, select a term that conveys the idea of broad range of negative impacts including both monetary and non-monetary impacts (see Table 1). Avoid terms like ‘cost’ that suggest only monetary impacts. If there is no good translation of negative social impact then try ‘bad things about the PA’.
 - c. Wellbeing – select a term that conveys a broad idea of wellbeing including relational and subjective aspects as well as material aspects (see Section 1.1). If there is an expression in the local language equivalent to “how’s life” then use the term equivalent to ‘life’.
4. Agree the time period over which we will ask community members to recall PA-related impacts (recall period) and how this will be explained to community members, if possible with reference to a memorable event.

5. At least one week before a community workshop is scheduled to take place make arrangements for members of that community to be informed of the meeting in the normal way, explaining that the meeting is about social impacts of the PA (using the terms agreed in step 3 above), and emphasising that there should be a balance of men and women, and a balance of wealthier and poorer people..
6. Prepare materials:
 - a. White sheets of paper (A4 size)
 - b. Coloured marker pens
 - c. Beans
 - d. White plastic cups
 - e. Notebook

Tasks – conducting the community workshops

1. **Opening:** Follow normal procedures for opening this kind of meeting. As they introduce themselves ask participants to say which communities they have come from to check how many people (if any) are from outside the specific community targeted for this meeting. If cultural norms require women and men to have separate meetings then divide the group at this point. Otherwise continue with steps 2 and 3 (below).
2. **Why are we here?** Explain that we are here to assess the positive social impacts and negative social impacts of the PA on human wellbeing. Explain that the purpose of this work is to find ways to reduce the negative impacts and increase, and more equitably share, positive impacts, and that we are doing this work in a number of communities. Be sure to use the agreed terms for positive and negative social impacts and human-wellbeing, check that the meaning of these terms is clear to everyone (clarifying if necessary), and then use the same terms throughout the discussion. Also clarify that we are interested in impacts of all activities related to the PA, including park management, the park's community programme, and any other conservation and development activities that are related to 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 different types of impact.
3. **Protected area:** Clarify which PA we are focusing on and its geographic boundaries, and summarise in brief the history of this PA, who owns the PA, and who manages it.
4. **Activities:** Explain the activities which will involve the community and roughly when these are expected to take place:
 - i. A community workshop to discuss important social impacts that should be studied in more detail (today, in the next part of this meeting).
 - ii. A stakeholder workshop to introduce the assessment to key stakeholders (including their representatives) and agree on the questions that the assessment will try to answer. Mention when this will take place.
 - iii. Small household survey to collect more detailed information from a sample of people (clarify we will pick people at random and not everyone).

- iv. A second community workshop to share the results of the survey, and discuss ideas for improving the situation (reducing negative impacts and increasing, and more equitably sharing, positive impacts).
 - v. A second stakeholder workshop to share results with the key stakeholders (including their representatives) and generate specific recommendations.
5. **Approval to proceed:** Discuss with communities whether they agree that we can proceed with this assessment. Facilitate discussion to achieve a consensus. If yes then proceed to the next step. If no then, and we cannot reassure them through discussion, then agree with community members to hold a follow up meeting to discuss further. Note that obtaining the communities' free, prior and informed consent to conduct social research is a key requirement for SAPA and many donors.
6. **Closing:** If there are more than 15 men and 15 women explain that the next part of the meeting will take about 2 hours and it is normally done with just 15 men and 15 women and ask the group to select these people who are willing to remain for this exercise. Ask them to ensure that the people remaining are a mix of poorer and wealthier people. Then thank the others for coming to the meeting.

Tasks – Conducting the impact ranking exercise

1. **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 separately as men and women often have different ideas and priorities.
2. **Brainstorm negative social impacts:**
 - i. Facilitate a discussion to identify the negative social impacts of the PA and any related conservation and development activities. If there is some doubt over whether the impact is PA-related ask whether the impact is just an issue for people living near the PA or it also affects people living further away (in which case it is probably not PA-related). Clarify that we are focusing on impacts that people have seen over the last X years (the agreed recall period) not hopes for the future, but mention that we will discuss these hopes at the next community workshop. With negative impacts avoid statements phrased as “lack of (a possible solution)”, since there are usually several possible solutions. Facilitate a discussion to get to the real problem.
 - ii. Write each impact on a separate sheet of paper using an appropriate language. If some people are not able to read, ask for 2-3 volunteers to do a simple drawing for each impact on the same card at the writing. To save time invite them to do these drawings while the discussion continues.
 - iii. Ask for more suggestions 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 with a simple drawing. Make sure that you and the other participants clearly understand each suggestion but do not let the discussion go into details on particular issues or possible solutions.

3. **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 by grouping the papers together. This is so that when they do the ranking they don't under-rate an impact by splitting their votes between very similar impacts.
4. **Ranking negative social impacts:** Put the sheets of paper for negative impacts on the ground where participants can see them, and put a plastic cup on each with a stone inside to weight it down. Explain that everyone will be given one bean for every two impacts, rounded up (eg 2 beans for 4 impacts, 3 beans for 5 impacts etc) and that they should put them on the impacts that they feel have been the most important impacts over the last X years (the agreed recall period). Only one bean for each important impact. When everyone has voted, count the beans and write the total number for each impact on the sheet for that impact. Note the plastic cups make it difficult to see the number of votes for a given impact which helps avoid deliberate manipulation of the exercise.
5. **Identifying and ranking positive impacts:** Repeat steps 2–4 above for the positive impacts.
6. **Discussion:** Ask if participants agree that this ranking provides a good picture of how women (or men for the male group) feel. If there are some concerns ask what are the gaps/problems with the ranking? Take good notes.
7. **Discussion:** Bring men and women back together in a circle. If this is not acceptable culturally then skip this activity and go to the last activity (8). Put the negative impacts and positive impacts from men and women on the ground in order of priority so that everyone can see them. If there are more than 10 impacts limit this feedback to the top 10 of each. Starting with negative impacts and then moving to positive, facilitate a discussion on the following two points. Take good notes.
 - i. Ask for comments on any significant differences in the priorities of women and men. Use probing questions to help them explain the differences.
 - ii. Ask for clarification of any aspects of the impacts or their prioritisation that we (the facilitation team) do not clearly understand.
8. **Thanks:** Thank everyone for coming to the meeting. Remind them that we will be collecting more information over the next few months from a sample of households and then at the next community workshop we will discuss the results, and their ideas for reducing negative impacts and increasing, and more equitable sharing, positive impacts over the coming years.

Tasks – analysis of impacts

1. Enter the scores from each community into the SAPA impact scoping tool which can be downloaded from www.iied.org/assessing-social-impacts-protected-areas. Follow instructions in the tool to determine the 'more significant impacts' that will be taken forward for more in depth assessment.

Outputs

A short report from each community workshop. As a minimum this should include the scores of men and women for each of their impacts and notes of discussions that took place under steps 6 and 7.

2.2. First stakeholder workshop

Objectives

1. Ensure that key stakeholders in SAPA have a good understanding of SAPA, including the process to be used and their role in this process.
2. Identify why stakeholders are interested to participate in SAPA (their objectives) and what specific information they would like to get from SAPA (their assessment questions).

Time required

Half a day

Background

This multi-stakeholder workshop – the second part of the scoping of issues – focuses on the identifying the relevant information needs of the key stakeholders that SAPA can address. As in other types of research, evaluation and assessment, these information needs are framed as questions that the assessment should aim to answer – the ‘assessment questions’.

As noted earlier, SAPA has six standard assessment questions (Box 1). This workshop will generate a further set of ‘site-specific assessment questions’. Some of these will fit under the standard questions and some will be additional issues. This process enables SAPA to be tailored to the context and information needs at a specific site while also generating standardised results that can be compared across sites and aggregated up to a PA system level (eg for national level reporting versus national priorities and international targets such as the CBDs Aichi Target 11).

In addition to helping to maximise the relevance of the assessment to local needs, this process of getting stakeholders to consider what they want from SAPA is designed to build ownership and thereby enhance the likelihood that stakeholders take action to address the findings.

In the interests of maximising the chances of participation of senior managers, and minimising costs, the workshop is designed to take just half a day so as to ensure that participants spend at most one night at the workshop venue. This assumes that travel to the venue takes no more than around about five hours. If travel takes longer than this then SAPA should probably be done at the level of one zone/sector of the PA.

To maximise the effectiveness of the workshop in achieving its objectives within these time and resource constraints, participation in the workshop is focused on key stakeholder groups with the intention that the total number of participants should not exceed 60. As described in Section 2.1, the key stakeholders are defined by the stakeholder analysis as those stakeholder groups that have medium or high interest and/or influence in PA-related social impacts. For this first workshop we focus on the key stakeholders with medium to high interest – leaving out for now those with low interest who are, in any case, unlikely to want to participate.

The workshop is facilitated by members of the SAPA Facilitation Team and all members of the FT should attend even if they are not involved in facilitation of the workshop. The workshop should be conducted in one language but invite participants to speak in other languages with translation

if they feel more comfortable to do this, and if there are participants who do not understand the workshop language then arrange for someone to sit next to them to quietly translate for them.

If resources for conducting SAPA are very limited one option to reduce the cost is to substitute this first stakeholder workshop with interviews with representatives of the key stakeholders. The disadvantage of one-to-one interviews is that you lose the opportunity for stakeholders to debate with each other and for stakeholders to become aware of the interests of other stakeholder groups that they may not understand or share.

One advantage of doing one-to-one interviews rather than a workshop is that it is easier to facilitate the discussion to get the information needs expressed in the form of assessment questions. This can be quite difficult to facilitate in a workshop where some participants will find it difficult to express their information needs as questions. For example the statement “we would like to know about how crop damage by wildlife affects local people” becomes “what is the impact on wellbeing of local people of crop damage by wildlife”.

During the workshop or interviews some of the stakeholders with conservation objectives may ask whether SAPA can also assess the threats to the PA from the activities of local people, and complain that SAPA is one-sided if it cannot also assess this other side. The answer is that threats to conservation should be assessed during a PA management planning process or using a PA management effectiveness assessment tool.

Tasks – Planning and preparing

1. Develop a list of invitees based on the stakeholder analysis. Invite a representative of all stakeholder organisations and groups with medium to high interest level. If the total is less than 60, and if resources allow, you can also invite some stakeholder groups in the low interest category, prioritising those that will have more influence over implementing recommendations.
2. Send out written invitations at least one week before the meeting with clear explanation of what costs you will be willing to reimburse – allowances, travel costs, fuel etc – so as to avoid unrealistic expectations and possible bad feeling.
3. Prepare in advance:
 - a. SAPA overview presentation (see www.iied.org/assessing-social-impacts-protected-areas)
 - b. Presentation giving an overview of the PA and its community outreach activities, and
 - c. Slides summarising the more significant impacts that have been identified from the community workshops.
4. Finalise the agenda based on the suggested agenda in Annex 3 and identify facilitators for each session.
5. Equipment and Materials:
 - a. LCD projector and screen, and
 - b. Flip chart papers and 3 marker pens.

Tasks – conducting the first stakeholder workshop

See Annex 3 for a suggested agenda which includes guidance for the facilitators (the bullet points). Where people have a tendency to arrive late we suggest that the invites propose a 09:00 start.

2.3. Assessment planning

Objective

To develop a plan for the assessment that summarises the questions to be addressed, the social impacts to be assessed in depth, and the assessment methods to be used.

Time required

Half a day

Background

As with many types of research, the starting point for designing SAPA for a particular PA is to define the questions that SAPA is expected to answer – the assessment questions. As described in the previous section there are two types of SAPA assessment questions:

- Standard questions which are fundamental to SAPA and the same across all sites (see Box 1). Questions 1-3 relate to social impacts and questions 4-6 relate to governance issues that are particularly important for successfully responding to the results of SAPA.
- Site-specific questions which are specific questions that PA management and other key stakeholders want SAPA to answer. These have been generated by the first stakeholder workshop (Activity 2.2).

At this point in the SAPA process there are three assessment methods remaining to be used:

- Household survey
- Second community workshop
- Second stakeholder workshop.

The assessment plan specifies which method or combination of methods will be used to answer each assessment question. To put it another way the other way around, the assessment plan specifies which questions each method must be designed to address. This plan makes sure that all the key questions are covered by at least one of the three methods. In deciding which method is most suitable for a given question we need to take into account the unique characteristics of that method as described below. See Annex 2 for the Assessment Plan template.

Table 5: Key characteristics of SAPA assessment methods¹³

Methods	Strengths	Limitations/weaknesses
Household survey: a one-to-one structured interview with a interviewees from a sample of households based on a questionnaire which ensures that each question is asked in the same way no matter who is doing the interview. A questionnaire is not a conversation but rather a question and answer session.	<ul style="list-style-type: none"> » Gathers specific information in a standard and mostly quantitative (numerical) form » Analysis is relatively simple compared with analysis of information from semi-structured interviews » Provides information about views and behaviour of the population as a whole » Enables easy comparison of the responses of different social groups/communities » Relatively quick to do. 	<ul style="list-style-type: none"> » Designing a questionnaire is challenging - questions must be framed carefully to avoid biasing the answers » No flexibility – cannot make changes once survey starts » Poor at providing in depth understanding of why things are the way they are » May be inappropriate in some cultures » May raise fears of government surveillance leading to biased answers.
Community workshop: a meeting of people from a given community (however community is defined) which may include use of one or more participatory rural appraisal (PRA) tools to encourage discussion and generate specific outputs.	<ul style="list-style-type: none"> » Enables substantial discussion between participants compared to more traditional community meetings » A method that many people are familiar with » Standardised PRA tools enables easy comparison of views of different social groups, and generation of standardised outputs » Relatively quick to do. 	<ul style="list-style-type: none"> » Risk of responses being biased by group effects (eg people just agreeing with their leaders) but this can be reduced by good design and facilitation » Risk of bias according to who attends the meeting as you don't have control over this and are unlikely to get a representative sample of community members.
Stakeholder workshop: a meeting of stakeholders in a particular initiative where participants are selected by the meeting organisers to ensure key perspectives are represented. May include the use of one or more PRA tools or other types of tools to encourage discussion and generate specific outputs.	<ul style="list-style-type: none"> » Enables substantial discussion between participants compared to more traditional meetings » A method that many people are familiar with » Standardised tools enable easy comparison of views of different stakeholder groups and generation of standardised outputs » Relatively quick to do. 	<ul style="list-style-type: none"> » Risk of responses being biased by group effects (eg people just agreeing with their leaders) but this can be reduced by good design and facilitation » Risk of domination of relatively powerful elites if participation is not based on a properly conducted stakeholder analysis » Bringing stakeholders together in one place can be expensive if some have to travel long distances.

13 See Newing *et al.*, 2011 section 2 for more detail on these and other relevant social research methods

Tasks

1. Standard assessment questions.
 - a. Take the 'more significant impacts' generated from using the impact scoping tool and insert them into the second column of Section A of the SAPA assessment plan
 - b. For each of the standard questions identify the primary method to be used for that question. Note that other methods will be used to check whether the information is accurate (validation) and further explore certain aspects but the focus of the assessment plan is making sure we are clear about the primary method.
2. Site specific questions:
 - a. Take the list of site-specific questions developed at the first stakeholder workshop as the starting point. First review each question to make sure that questions are clearly expressed (ie understood by all SAPA Facilitation Team members) and clarify the wording where necessary. Write each question on a separate sheet of paper.
 - b. Prepare four headings and place each question under the appropriate heading:
 - i. Impact questions that can be addressed by SAPA
 - ii. Governance questions that can be addressed by SAPA
 - iii. Other questions that can be addressed by SAPA
 - iv. Questions that cannot be addressed by SAPA (because they are not about PA-related social impacts and related governance issues).
 - c. For each question determine whether it is:
 - i. a sub-question of the standard SAPA questions – then put it in Section A of the plan under the relevant standard question, or
 - ii. a different and additional question – then put it in Section B of the SAPA assessment plan in the right place according to whether it is a question of social impact, governance or another type of question.
 - d. For each of these additional site-specific questions decide which method will be the primary source of information. There is a choice of a) household survey, b) second community workshop or c) second stakeholder workshop. The choice will depend on the nature of the question and the strengths and weaknesses of each method.

Who

SAPA Facilitation Team at a meeting which is often held in the afternoon after the first stakeholder workshop.

3. Phase III: Assessment

Having defined a sharp focus for the assessment in terms of key issues (questions and impacts), a specific timeframe, and a specific geographic area, we move to the actual assessment phase in which information from communities and other key stakeholders is gathered and analysed using a combination of three methods – a household survey, a second round of community workshops, and a second stakeholder workshop. The community workshops and stakeholder workshop also serve to check the results for accuracy (validation) and to explore ideas and develop recommendations for action. In the case of SAPA this is action to reduce negative social impacts of a PA and any related conservation and development activities, increase and more equitably share positive impacts, and address related governance issues.

3.1. Household survey

Objectives

To provide a more accurate picture of PA-related social impacts, and the diversity of views within and across communities.

Background – overview

This is the most time-consuming and costly part of the SAPA methodology but we aim to minimise the resource requirement and time demands on the people interviewed by making it as short as possible. This requires us to be very focused in deciding what questions to include in the survey and we do this by ensuring that the questionnaire is focused on the assessment questions that were defined in the previous step and does not try to cover issues beyond the scope of these questions.

The household survey is also the most technically complex element of the SAPA methodology. The site level facilitators will in most cases need technical support from an organisation at national or state level with social research expertise (eg NGO, university, consultancy) and may choose to contract the whole survey and its analysis to this organisation.

The value of the SAPA household survey lies in its ability to provide a more accurate picture of the views of local people, and the diversity of views, than a workshop which is prone to a number of sources of bias as noted in Table 5. Research and project monitoring and evaluation is often criticised for giving too much emphasis to methods like surveys that generate quantitative information and not enough emphasis to qualitative information. SAPA tries to strike a balance between quantitative and qualitative information with its mix of methods.

In this type of social research quantitative information has two particular advantages – numbers are a very powerful way to communicate a message, and numbers can be easily aggregated up. In a PA context, aggregation is important in allowing PA authorities to get an overall picture of an issue at system level and, at global level, for agencies such as the UNEP-WCMC to track progress against global conservation targets.

The guidance in the following sections assumes that the survey is conducted using traditional technology – printing hard copies of the questionnaire, entering the data into a spreadsheet and then analysing the data. Alternatively, the SAPA household survey can be done using smartphones and the Open Data Kit (ODK) software, and there is a separate guidance document for this (see www.iied.org/assessing-social-impacts-protected-areas). So long as an internet connection is available at least once a week during the survey to upload the data from the smartphones, ODK is highly recommended as it saves time, reduces costs (even after factoring the cost of buying smartphones), and reduces errors.

Background – sampling plan

How many households should be sampled in the SAPA survey depends on the size of the total population that lives within the boundaries of the communities included in the assessment, and the degree of variability in responses that we are likely to see across these communities. Experience to date suggests that the sample size should be a minimum of 100 (eg for populations of 1000 households or less with relatively low variability) and up to 250 for larger populations and/or high levels of variability. Experience suggests that interviews will take about 45 minutes at the start but may reduce to around 30 minutes once the enumerators get more experience.

The total number of households living within the communities that we are looking at is called the 'sampling frame'. Our survey aims to give us a representative picture of the perspectives of adults who live within this sampling frame. To achieve this we need to randomly sample households within this area, and then within this sample interview roughly equal numbers of adult women and adult men so that we can get a picture of the different perspectives of men and women in the community. This gender balance is achieved by leaving the choice of who to interview within a household until the survey enumerator reaches the household so that each day the enumerator can aim to get a balance of men and women.

To make things easier in terms of logistics, SAPA uses 'cluster sampling' where we randomly sample households within specific geographic areas (clusters) so that the households to be sampled are close together. The other key logistical consideration in sampling is whether there are lists of all households within the communities. Where there are such lists we can randomly select households to interview from the list. If we don't have such lists and therefore cannot sample randomly we can still go ahead but must recognise that our sample is not truly random.

From experience to date we have identified the following sampling approaches based on the assumption that one enumerator needs to interview at least four households per day.

Table 6: Sampling approaches¹⁴

Approach	Strengths/limitations
<p>1. Cluster sampling – random. Divide the overall area into 2-6 zones (eg based on the selection of communities for the community workshops). Within each zone randomly select X communities. Within each community randomly select 5 households. X will be determined by the number of zones and the total sample size that you want (eg with 3 zones and a total sample of 180 (60 per zone) you would select 12 communities and interview 5 households in each community).</p>	<p>This is the best approach from a statistical perspective but the method requires lists of all households in the selected communities. If there are no such lists but time and resources permit you can ask the leaders of the selected communities to make household lists.</p> <p>Since the communities are selected randomly it is not very practical in places where some communities are extremely inaccessible. If you need to avoid such communities because of logistical constraints then use method 3 or 4.</p>
<p>2. Cluster sampling – semi-random. As #1 but if household lists are not available then the households to be interviewed within the selected communities must be chosen by the enumerators while they are doing the survey, and they must try to ensure a representative sample especially with respect to household wellbeing (ie interview a mix of wealthier people with better quality houses and poorer people with poorer quality houses).</p>	<p>This approach will most likely be the most widely used since it is relatively easy to obtain lists of all communities within an area but more difficult to obtain reliable lists of households in each community. The major limitation of this approach is the risk of introducing bias when selecting the households to interview within the target communities.</p>
<p>3. Cluster sampling – non-random. As #2 but the X communities to be surveyed are deliberately selected taking account of ease of access but at the same time trying to avoid bias by ensuring that sampled communities provide a representative picture of the situation in the zone. Within each community randomly select 5 households if a household lists exists. If not then, as in #2, enumerators should select the households trying to ensure a representative sample.</p>	<p>This approach has even more risk of bias but can still be acceptable providing that the target communities are carefully selected to capture, as well as possible, the full range of different situations across the area with respect to PA-related social impacts (ie taking account of different types of social impacts, and distance from the PA boundary that may determine to what extent people experience these impacts).</p>

14 See Newing *et al.*, 2011 for further explanation

<p>4. Quadrat sampling. As with ecological sampling you can randomly place quadrats of a certain size (we used 800x800m in Kenya) across the communities that are included in the assessment and note the GPS coordinates for the four corners of each quadrat. Enumerators then visit each quadrat and interview every household that is located within the quadrat using a GPS to find the boundaries of the quadrat on the ground.</p>	<p>Where there are no household lists this method is a very practical alternative but is only suitable in relatively flat land where you know in advance that all communities and households are easily accessible. This method requires that you have a good community map that has PA boundaries, the boundaries of any communities within the PA, and the boundaries of all communities around the PA that are to be included in the assessment (so that we can be sure that the quadrats will all lie within these communities).</p>
<p>5. 100% sample. In cases where there are less than 100 households living within the community/communities that are to be included in the assessment then the survey should aim to include every household.</p>	

Background – developing the questionnaire

See Annex 2 for the SAPA survey questionnaire template that provides the overall structure of the questionnaire and also many of the questions that you will use. The template has 7 sections (A to G). In some sections some specific guidance is included – in square brackets [] for the Facilitation Team, and in normal brackets () for the enumerators.

A. Respondent profile:

1. Key information about the person being interviewed
2. Geographic location of the household including GPS coordinates
3. Household size
4. Household wellbeing – assessed through the following 5 types of indicator:
 - Food security (material wellbeing)
 - Assets, for example quality of housing, ownership of a radio or TV (material wellbeing)
 - Influence on decision-making at village level (relational wellbeing)
 - Feeling of security (subjective wellbeing)
 - The question “how’s life” (overall wellbeing)

These wellbeing indicators serve two important purposes:

- a. Enabling analysis of how responses to all the following questions on social impacts and governance issue may depend on the wellbeing of the household
- b. Providing a baseline against which future assessments can assess changes in wellbeing.

B. Factors affecting household wellbeing:

Coming before the questionnaire starts to focus on PA-related issues, this section is designed to explore in broad terms the factors that have caused wellbeing of the household to improve or deteriorate in recent years. As shown in section A of the assessment plan, this addresses the first SAPA standard assessment question and aims to determine whether there are any PA related social impacts affecting wellbeing that are comparable to other types of impacts on wellbeing, for example, from changing weather conditions, illness, gaining/losing employment, changes in food prices etc. A limitation of this question is that it focuses only on factors that are perceived to have caused a change in wellbeing in recent years so a PA impact that has not changed in significance may not be mentioned. Nonetheless the question still provides useful information insight on the significance of PA impacts compared with other factors affecting wellbeing.

C. Specific PA-related social impacts:

At this point the questionnaire focuses in on PA-related social impacts. For negative impacts and then for positive impacts the first question covers the impacts that have been identified through the community workshops. The second question asks whether there are any other important impacts that were not captured in the community workshop process. After exploring both negative and positive PA-related impacts there is a question that asks about the overall impact of the PA on wellbeing – asking the respondent to answer this question taking into account all the impacts that s/he has mentioned in the previous questions in this section – providing a second perspective on SAPA assessment question 1.

D. Other PA-related social impact issues:

This section covers any site-specific questions on social impacts that emerged from the first stakeholder workshop that have not been covered in the previous section (see assessment plan section B). As a minimum we include a question of human-wildlife conflict to better understand the nature of any negative impacts (eg what animals are most problematic, whether they are believed to come from the PA or not).

E. PA Governance:

This section covers the standard SAPA assessment questions on community participation in PA-related decision-making, the awareness of community members of PA-related information, and community-PA relations. For each of these three broad assessment questions, specific questions must be developed based on specific governance indicators. See Table 7.

Table 7: Examples of governance indicators and questions

Governance indicator	Question	Comments
Participation		
Effectiveness of community representation	Do you know your representative on the park-community committee? How often does this person meet with you?	Only applies if there is a community-park committee Give a set of options with boxes to tick and advise that only one box should be ticked
Influence on PA related decision-making	Who makes decisions on PA management (in general)? How much influence do you have on (specify a particular type of decision)	Give a set of options with boxes to tick and advise that only one box should be ticked Responses should be evaluated in relation to the governance type of the PA
Information		
Awareness of ownership of the PA	Who owns the PA?	A good question for community conserved areas and private PAs but not for state governance Give a set of options with boxes to tick and advise that only one box should be ticked
Awareness of source of funding for community projects associated with the PA	Where does the funding for (name of the funding scheme) come from?	Only applicable if there is a funding scheme
Awareness of an important PA-related regulation	Are communities allowed to harvest from the PA	Only applicable if harvesting of this resources is allowed
Community-PA relations		
Relations with law enforcement staff of PA	How would you describe your relationship with law enforcement staff?	Give a set of options with boxes to tick and advise that only one box should be ticked
Relations with staff of the PA's community programme	How would you describe your relationship with staff of the PA's community programme?	Only applies if there is a separate community programme Give a set of options with boxes to tick and advise that only one box should be ticked

F. Other PA governance issues:

This section covers any site-specific questions on governance issues that emerged from the first stakeholder workshop that have not been covered in E above. The template for this section shows an alternative way of framing questions in a questionnaire which may work better for some governance issues.

G. Other issues:

This section provides for any other questions that emerged from the first stakeholder workshop that are neither social impact nor governance questions. Again you can use straight questions or the alternative approach described in section F above.

Background – enumerator recruitment and training, and questionnaire testing

Even though it increases the cost of the exercise, we strongly recommend that enumerators should work in pairs – a man to interview men and a woman to interview women, while the other records the responses. This helps to ensure more accurate results as women will speak more freely to another woman, and avoids going against cultural norms. Also if the enumerators are not experienced then you can pair a stronger one and a weaker one so one can help the other.

Enumerators must be able to speak the local language(s) and since the questionnaire will be written in the national language of the country they must be able to read and write in this national language. Taking these factors into account, and also cost, a good option is to recruit youth who have just left secondary school.

Training enumerators will take a day. During the training you are likely to find that one or two of the trainees cannot do the job to the necessary standard. For this reason we suggest that you initially recruit more enumerators than you actually need and then select those who perform better.

As part of the training we also test the questionnaire to check that the questions are clearly understood by the enumerators, and, where there is a need to make adjustments to the questionnaire, these can be made in the evening before the actual survey starts the next day.

Background – data entry and analysis

Entering the data from printed copies of the questionnaire into an Excel spreadsheet is a time consuming process which may take up to a week of one person's time. This whole data entry stage is completely eliminated when you use the Open Data Kit (ODK) as the enumerators enter the data into the smartphones and then the data from each interview is aggregated up into one Excel spreadsheet by the ODK software.

Data analysis can also be very time consuming but to do the basic analysis that is described in this manual will only take 2-3 days. We recommend using the computer program SPSS or its free equivalent which is called PSPP (www.gnu.org/software/pspp). More ambitious analysis can include statistical analysis but this is not necessary to achieve the objectives of SAPA. For a basic analysis using SPSS or PSPP the only analysis functions you will need to use are:

- Descriptive statistics – frequencies
- Descriptive statistics – cross tabs
- Compare means – means

Tasks – sampling plan

1. Develop the sampling plan for the household survey.
 - a. Chose one of the approaches in Table 6 and follow the guidance for that approach.
 - b. Estimate how many days of work it will take to complete the survey assuming that one team of enumerators can do 5 interviews in one day (or 4 if travel time between households is likely to be more than around 20 minutes).
 - c. Decide how many teams of enumerators you will have. More teams will enable the survey to be done quicker.

Tasks – developing the questionnaire

1. Develop draft 1 of the household survey questionnaire using the template provided in Annex 2. Make sure that this does not exceed 4 pages in length. This will ensure that it does not take more than 45 minutes and enable the questionnaire to be printed on 2 sheets of paper.
2. Print out 10 copies of draft 1 which should be used for testing.

Tasks – enumerator recruitment and training, and questionnaire testing

1. Recruit the enumerators taking account of language requirements and need for a gender balance. Initially recruit a few more than you actually plan to use.
2. One day training of enumerators and questionnaire testing.
 - a. Explain the purpose of the training and clarify that it is also a selection and only the ones who perform better will be asked to continue. Also clarify their terms of employment.
 - b. Provide an overview of SAPA. Use the presentation that you developed for the stakeholder workshop.
 - c. Show the enumerators how to use a GPS to take GPS coordinates of their position.
 - d. Provide an overview of the questionnaire.
 - i. Explain the overall structure of sections.
 - ii. Read through the questionnaire one question at a time checking that the enumerators understand every question.
 - e. Divide the enumerators up into man/woman pairs. Ask the one that you believe to be stronger to interview the other one, filling in the responses exactly as if this was a real interview with a community member. Take note of the time when all pairs started and the time when each finished and any adjustments to the questionnaire that may be needed.
 - f. Repeat the exercise the other way around.
 - g. Bring all the enumerators back together.
 - i. Ask them to comment on how they found the exercise, and for any suggestions to improve it, taking note of these.
 - ii. Explain that you will make some final adjustments to the questionnaire to address the issues that have been raised.
 - iii. Decide who will be selected to continue and inform them.

- iv. Explain the plan for the survey – where it will start, how it will proceed, and how many days you expect it to take. Ask if there are any questions.
3. Make adjustments to the questionnaire as necessary to address the issues that came up in the testing (ie to clarify questions, ensure that the appropriate response options are included etc).
4. Print out enough copies for the survey based on the sample size plus a few spare copies.

Tasks – data entry and analysis

1. Before starting to enter data into Excel complete coding of the questionnaire so that the responses to as many questions as possible are in numerical form (0, 1,2 etc). For open questions that have different types of response you should identify categories of similar response and assign a number to each category, including an ‘other’ category for responses that don’t fit into any of the defined categories. For questions that are completely open-ended (eg suggestions on how to improve people-park relations) you should to leave the data as text.
2. Enter the data into an Excel spreadsheet with variable names along the top (expressed in simple short form) and households (cases) down the left hand side (ie as rows). Make sure there are no commas in any text. Where there are missing values leave the cell blank. This includes situations where there may be no response because the question is not applicable for a particular respondent (ie not applicable is treated as a missing value).
3. When all the data has been entered into the spreadsheet check for any obvious errors in data entry and fix them.
4. Save the excel file in the CSV format (ie as a.csv file).
5. Open the data analysis programme (SPSS or PSPP) and import the csv data file.
6. View the variables in SPSS/PSPP. Using the coding sheet add value labels where needed to help identify the different responses by name. Check that the ‘measure’ is correct. This should be ‘scale’ or ‘ordinal’ for numbers and ‘nominal’ for text that has not been coded with a number.
7. Conduct a basic SAPA analysis focusing on the key variables listed in Table 8 which follows the structure of the questionnaire. For each variable with the exception of social context variables you must use cross tabulation analysis to analyse how the response differs according to gender, and wellbeing status. For cross tabulation by wellbeing status use the food security variable (per cent skipping meals) taking the ‘never’ as being the wealthier people, and the other three categories (merged into one category) as being poorer people. If for some reason the food security variable does not provide reliable results then use one of the asset indicators.

Table 8: Structure for basic analysis of the SAPA household survey

- » Survey sample (section A of the questionnaire)
 - Number of sample villages and sample households in each zone
 - Gender: % women versus men respondents
- » Social context (section A of the questionnaire)
 - Ethnicity: % of each ethnic group
 - Average household size and average number of children
 - Household wellbeing
 - % in each category of skipping meals
 - % in each category of housing materials (use the indicator that works best)
 - % in each category of influence on decision making
 - % in each category of feeling of security
 - % in each category of general wellbeing
- » Social impacts (sections B, C and D of the questionnaire)
 - % reporting change in wellbeing and main causes of this change
 - % reporting change in food security and main causes of this change
 - For each negative impact - % reporting the impact was high or medium significance
 - For each positive impact - % reporting the impact was high or medium significance
 - % reporting overall impact on wellbeing as positive (increase or slight increase), neutral, or negative (slight reduction or reduction)
 - % reporting contribution to wellbeing has increased, not changed, decreased
 - % reporting crop damaged by wildlife
 - % reporting livestock damaged by wildlife
 - % reporting each different type of wild animal
 - Results of any other social impact questions in section D
- » Governance (sections E and F of the questionnaire)
 - % reporting information - indicator 1
 - % reporting information - indicator 2
 - % reporting participation - indicator 1
 - % reporting participation - indicator 2
 - % reporting good community-PA relations - indicator 1
 - % reporting good community-PA relations - indicator 2
 - Results of other governance questions in section F
- » Other (section G of the questionnaire)
 - Results of questions in section G (if any)

Who

Facilitation Team Leader and/or external technical advisor, other Facilitation Team members as available.

3.2. Second community workshops

Objectives

1. To share the results of the SAPA household survey on PA-related social impacts with communities and review and validate these results.
2. To address any assessment questions targeted at the community workshops.
3. To explore ideas for action to:
 - Reduce negative social impacts and increase, and more equitably share, positive social impacts of the PA and any related conservation and development activities.
 - Improve information sharing, participation and people-park relations.

Time required

Maximum 3 hours for the workshop plus travel time.

Background

Like the first community workshops, the second community workshops will take about 3 hours and are conducted in exactly the same communities (ie 2-6 communities according to the diversity of socio-economic context and PA-related social impacts). Invitations to these meetings should be limited to members of the specific communities that have been selected for this exercise.

As outlined in the above objectives, these second community workshops serve both as the last activity of the survey (review and validation of results with communities), an additional information gathering opportunity, and as the first activity in a process to explore ideas for actions to reduce negative impacts and increase positive impacts. In terms of additional information gathering, the second community workshops may be used to address assessment questions that are of a type that are better addressed by group discussion rather than one-to-one interviews. The assessment plan produced in Activity 2.3 should specify any questions of this type that should be addressed.

Sharing the results of research with communities involved in the research is an important principle of good research practice. However these second community workshops only serve this purpose for the 2-6 communities that we have selected for the community workshop method. This does not mean we forget about wider dissemination of the results to other communities; this comes later as part of the action phase of the SAPA methodology (Activity 4.1).

We deliberately limit the length of this activity to around 3 hours because it is hard for community members (and facilitators) to maintain focus for longer than this without a substantial break. In

three hours it is not possible to comprehensively address all three objectives of the community workshop. Therefore, as with all aspects of SAPA, there will be a need in these workshops to focus on the more important issues. With the positive and negative social impacts we suggest focusing on discussing impacts that were rated as medium or high by at least one third of the men or one third of the women who were interviewed in the survey.

Careful thought needs to go into how best to present survey results according to the local context. In developed and some developing countries rural communities may be familiar with PowerPoint presentations, tables and graphs of survey results, and mathematical concepts such as percentages and averages. But in many situations this will not be the case and other approaches must be used such as simple diagrams on flip charts and verbal description in terms that people can easily relate to.

Compared with the first community workshops where the main focus was the impact ranking exercise, the second workshops have a lot more emphasis on discussion, and it is crucial that good notes are taken, particularly of the ideas for actions to address SAPA results. One way to do this is to use a sound recorder but bear in mind that in some cultures people may be reluctant to speak openly and honestly if their words are being recorded.

When exploring ideas for actions to address SAPA results we are not just talking of actions by the community. Community members will also have ideas for actions that PA management, local government and/or other stakeholders might take. Some ideas may be very relevant and some may not be in which case it is important to explain why and not just dismiss the idea. In some cases the ideas will relate to technical interventions that directly affect impacts (eg measures to reduce crop damage by wildlife), but in many cases the impact itself and/or the underlying causes will be a governance issue, and the suggested actions will include governance actions such as measures to improve information flow and increase community participation.

Ideas for actions that emerge will become an input to the second stakeholder workshop, and specifically the session where participants, including community representatives, formulate their recommendations for action. The different terminology is important. The community workshop is brainstorming ideas for action but not formulating recommendations and implementation plans to implement them. The second stakeholder workshop takes this to the next step of formulating specific recommendations but deliberately does not ask workshop participants for any commitment to implement as in most cases they will have to discuss with their senior management before making commitments, and indeed some actions may need to be led by senior managers. Commitment to implement comes in the final action planning phase of SAPA.

In exploring ideas in the community workshops it is important that the facilitators themselves are able to contribute some ideas as well community members. It is often assumed that participatory action research is all about facilitating community members to generate ideas and plans while the facilitators simply facilitate. While this may be OK in some contexts this does not go down well in a PA situation where communities feel that they face problems that are caused, or aggravated, by external interests, and people associated with these external interests (in this case the facilitators) seem to have no suggestions to contribute to solving the problems.

Although we hope that a good number of the participants will have attended the first community workshop we must assume that there will be some who haven't and therefore spend some time again explaining the background.

Unlike the first community workshops where we wanted to limit the numbers participating in the impact ranking exercise in order for this to be effective, we do not need to limit numbers participating in this workshop and indeed it would not be a good idea to do so as this may raise suspicions of elite capture and/or political agendas. However if there are more than around 30 participants facilitation may be quite challenging and it will be particularly important to avoid domination of the discussion by a few people, and to ensure strong participation of women and other groups that may otherwise be marginalised.

Tasks – planning and preparation

1. Decide which members of the SAPA Facilitation Team will facilitate each community workshop bearing in mind:
 - a. Who has attended the SAPA training for this activity
 - b. Need for one male and one female facilitator for each workshop
 - c. Need to conduct the workshop in the appropriate local language, and
 - d. Need for a note-taker.
2. Discuss and agree which results from the survey are going to be presented and how. Although PowerPoint presentations at community level will rarely be an effective communication tool, the facilitators can use a presentation on a laptop computer as the basis of their presentation of results – putting key facts and figures on the slides and using the notes section to provide guidance on how this content will actually be explained, key points to emphasise etc.
3. Discuss and agree what information/ideas you feel it is appropriate for the facilitators themselves to contribute to the discussion of actions to increase positive social impacts and reduce negative social impacts.
4. Review the assessment plan and identify any assessment questions that use this second community workshop as the primary assessment method.
5. At least one week before a community workshop is scheduled to take place make arrangements for members of that community to be informed of the workshop in the normal way, explaining that it is a follow-up to the earlier workshop on PA-related social impacts and emphasising that there should be a balance of men and women.

Tasks – conducting the community workshop

1. **Opening:** Follow normal procedures for opening this kind of meeting. As they introduce themselves ask participants to say which communities they have come from to check how many people (if any) are from outside the specific community targeted for this meeting. If cultural norms require women and men to have separate meetings then divide the group at this point and conduct two similar meetings in parallel.
2. **Introduction:**
 - a. **Why are we here?** Explain that we are here to discuss the positive and negative impacts on human wellbeing of the PA. Explain that the purpose of this work is to find ways to reduce the negative impacts and increase and more equitably share, the positive

impacts. Be sure to use the agreed terms for positive and negative social impacts and human-wellbeing, check that the meaning of these terms is clear to everyone (clarifying if necessary), and then use the same terms throughout the discussion. Also clarify that we are interested in impacts of all activities related to the PA, including park management, the park's community programme, and any other conservation and development activities that are related to the PA (give examples). 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 different types of impact.

- b. **Protected area:** Clarify which PA we are focusing on and its geographic boundaries, and summarise in brief the history of this PA, who owns the PA, and who manages it.
- c. **Activities:** Explain that this work to assess the social impacts of the PA started some weeks/months ago. Remind participants of the process:
 - i. A community workshop to discuss important social impacts that should be studied in more detail – remind people when this took place.
 - ii. A stakeholder workshop to introduce the assessment to key stakeholders (including community representatives) and agree on the questions that the assessment will try to answer. Remind people when this took place.
 - iii. Small household survey to collect more detailed information from a sample of people. Ask people who were interviewed to raise a hand.
 - iv. A second community workshop to share the results of the survey, and discuss ideas for actions to reduce negative impacts and increase, and more equitably share, positive impacts (this meeting).
 - v. A second stakeholder workshop to share results with the key stakeholders (including community representatives) and generate recommendations for action. Explain when this will take place.
 - vi. Action planning and implementation. This will take place over the next 12 months.

3. Results and ideas for action:

Divide this session into the following sections

- Negative PA-related social impacts
- Positive PA-related social impacts
- Overall impact of the PA on wellbeing
- Information
- Participation, and
- People-park relationship.

For each section:

- a. Summarise the key results for the geographic zone that this community is part of. Do not present results for other zones but highlight where there seem to be big differences between zones. For impacts just focus on the ones that were rated medium or high by at least one third of men or one third of women. Check if communities agree with the

overall picture, and, where necessary, explore underlying issues to help both community members and facilitators to better understand the result.

- b. Where there seem to be possibilities for actions by community members, PA management and/or other key stakeholders that might improve the situation facilitate a discussion of ideas for action, with facilitators making an appropriate contribution as agreed during preparation. Don't leave this discussion of ideas until all results have been presented as participants will get frustrated ie do it at the end of each section.

4. Additional assessment questions (if any):

If your assessment plan lists the second community workshop as the primary assessment methods for a particular question then this is the time to discuss this question.

- Facilitate a discussion of the question to get different views from different participants. Where there are important differences in views facilitate further discussion to explore the reasons for these differences. Ask follow up questions as necessary to get a deeper understanding.
- Briefly discuss any ideas from community members for actions to improve the situation.

5. Wrapping up:

- a. Other issues from the community. Ask participants if they have any questions or issues they want to raise with the facilitators or PA management.
- b. Next steps. Remind participants that there will be a second stakeholder workshop very soon (give the date) and clarify who will be attending to represent this community. .
- c. Closing. Thank participants for attending this workshop and close it in the normal way

Who

SAPA Facilitation Team Leader and other selected members of the Facilitation Team.

3.3. Second stakeholder workshop

Objectives

1. To share the key results from the SAPA household survey and community workshops with workshop participants.
2. To address any assessment questions targeted at the second stakeholder workshop.
3. Develop recommendations for action to:
 - a. Reduce negative social impacts and increase, and more equitably share, positive social impacts of the PA and any related conservation and development activities.
 - b. Improve information sharing, participation and people-park relations.

Time required

Half a day

Background

This second stakeholder workshop completes the assessment phase of the SAPA methodology. The main focus of this workshop is sharing the results of the assessment with the key stakeholders and supporting them to develop recommendations for action to improve the situation. These recommendations may range from broad statements of intention (eg measures should be taken to share benefits from tourism more fairly) to recommendations for very specific activities (eg post information on employment opportunities with PA-related tourism on village notice boards). As with the community workshop, some recommendations will relate to technical interventions that directly affect impacts (eg measures to reduce crop damage by wildlife), but in many cases the impact itself and/or the underlying causes will be a governance issue, and the recommendations will address PA governance.

During this second stakeholder workshop the ideas for action that emerged from the community workshops will be discussed alongside ideas from other stakeholder representatives, and actions that appear to be feasible will be formulated as recommendations. In situations where the stakeholder representatives are not comfortable with the term 'recommendations for action'—for example in societies where recommendations are regarded as things that need senior management approval – then the term 'suggestions for action' may be used.

Whereas the community workshops included an objective to review and validate the assessment results, this stakeholder workshop does not as the SAPA assessment is, by nature, an assessment of PA-related social impacts from the perspective of communities. Accordingly, validation is done through the second community workshops and it would not be appropriate for the results to be adjusted by other stakeholders at the last stage. Of course these other stakeholders are free to disagree with a particular results and on these grounds not develop any recommendations for action related to this result.

Information from the community workshops is brought into this stakeholder workshop in two ways:

- Presentation of assessment results should include reactions from the community and any points of disagreement.
- Group discussion – representatives from the 2-6 communities where workshops took place should present key ideas for actions that emerged from their community workshop at the relevant point in the discussion.

Invitees to this stakeholder workshop should be the same as for the first stakeholder workshop and it should be emphasised that the same individuals should come as far possible. That said, we must assume that there will be some people who are new to the process who need a general overview. One particular category of stakeholder who will be new to the process are any stakeholders that were identified in the stakeholder analysis as having only low interest in PA-related social impacts but medium to high influence when it comes to implementing recommendations for action. An example is staff of some development departments of local government who may not see PAs as being relevant to their interests but who could make a major contribution to development activities that are directly linked to PA conservation. The overview of SAPA that is presented at this workshop must include key points to stimulate their interest.

This stakeholder workshop is also a last opportunity to gather and analyse new information (ie for any assessment questions in the assessment plan where this second stakeholder workshop was identified as the primary assessment method). Examples of such questions would be:

- A question specifically related to private sector engagement in PA-related tourism.
- A question related to multi-stakeholder governance arrangements related to the PA where understanding the issue, and developing ideas to improve the situation, needs active discussion between the different key stakeholders involved in the governance arrangements.

Although the workshop participants will, of course, verbally share some findings with colleagues, it is important to develop and disseminate a short report of the assessment results as soon as possible after this workshop (see Activity 4.1). Some participants may ask for an electronic copy of the PowerPoint presentation of results and this is fine in principle as the template for this presentation assumes that this will, for a while, be the only record of the assessment results. However we suggest that you do not share the presentation immediately so that you have time to clarify any issues that were unclear and/or not presented in the best way for the wider audience.

The half day agenda suggested for this workshop (see Annex 3) is tight but doable providing that the workshop starts no later than 09:30. However it is recommended that the workshop be continued for 1.5 hours after lunch if possible. In this case we suggest splitting sessions 5 and 6 into two cycles – from 11:30-13:00 of social impacts and from 14:00-15:30 on governance issues.

Tasks – Planning and preparing

1. Develop a list of invitees based on the stakeholder analysis. Invite all stakeholder organisations and groups with medium to high interest level plus all those with medium to high influence.
2. Send out written invitations at least one week before the meeting with clear explanation of what costs you will be willing to reimburse – allowances, travel costs, fuel etc – so as to avoid unrealistic expectations and possible bad feeling.
3. Prepare in advance:
 - a. SAPA overview presentation (see www.iied.org/assessing-social-impacts-protected-areas), and
 - b. Presentation giving a summary of key results from the household survey and key information gathered from community workshops (see example on www.iied.org/assessing-social-impacts-protected-areas).
4. Finalise the agenda based on the suggested agenda in Annex 3, identify facilitators for each session and someone to take notes and write up a short workshop report.
5. Equipment and Materials:
 - a. LCD projector and screen
 - b. Flip chart papers and marker pens, and
 - c. Prepare 10 hard copies of the PowerPoint slides that summarise key results from the household survey and key information gathered from community workshops. Print these in 'handout' mode ie 6 slides to a page.

Tasks – conducting the workshop

See Annex 3 for a suggested agenda which includes guidance for the facilitators (the bullet points). Where people have a tendency to arrive late we suggest that the invites propose a 09:00 start.

4. Phase IV: Action

With assessments, evaluations and other forms of applied research a common weakness is that there is, in reality, little real application of the results. To address this common problem the SAPA methodology explicitly includes the two activities in this final 'action phase' of the process – communication of results, and planning and monitoring.

SAPA is designed to be a one-off process – assessing impacts and related governance issues, developing recommendations for action, and assisting stakeholders to plan appropriate activities to implement at least some of the recommendations. One cycle of SAPA ends at this point (the action phase). However, if the experience of using SAPA has been positive stakeholders may be interested to repeat the assessment after a few years to assess progress in implementing the SAPA recommendations as well as changes in social impacts and governance due to other factors. This should be a simpler exercise since some of the activities will not need to be repeated.

4.1 Communication of results

Objective

To disseminate results of the SAPA assessment within key stakeholder groups and their organisations, and more widely, to encourage implementation of the recommendations from the assessment.

Background

For communication of results the primary targets are the key stakeholder groups (and organisations within these groups) that were identified in the stakeholder analysis that have both an interest in PA-related social impacts and some level of influence to improve the situation. Ideally all of these will have been represented at the second stakeholder workshop but, with the exception of very small PAs, it will not be feasible to have all communities represented. Furthermore, it is unlikely that the senior people who must ultimately approve the proposed actions have attended. Also there will often be a need to build wider understanding and political support for the proposed actions.

Regarding communication of the results we suggest, as a minimum, producing two specific products:

- PowerPoint presentation based on the presentation of results that was developed for the second stakeholder workshop, tweaked as necessary after the workshop to add clarification on issues that were unclear and/or not presented in the best way. Also this final version of the presentation should include the recommendations for action. This presentation serves as a report of the second stakeholder workshop and will have a circulation limited to the workshop participants.
- A brief report, ideally no longer than 4 pages of A4 so that it can be easily reproduced as a leaflet using A3 paper. This report should have a much wider circulation than the presentation, including community leaders.. At this stage we advise that the report should not include the

recommendations for action as we believe it may be counterproductive to put a spotlight on recommendations before these have been properly discussed within the stakeholder groups and their organisations. Also it is important to recognise that the recommendations – the result of little more than an hour of discussion – are at this stage very rough.

In addition to widely circulating a brief report, the results can be disseminated using a variety of other media and the SAPA Facilitation Team should think creatively in this respect (eg local radio, social media). This is particularly important for dissemination of the results at community level since few people will have access to the written report.

Tasks

1. Finalise the PowerPoint presentation of SAPA assessment results based on the presentation used at the second stakeholder workshop plus the recommendation for action developed at the workshop. Send this to all the workshop participants.
2. Prepare a brief report based on this PowerPoint presentation (minus the recommendations for action) using the standard report template (see examples at www.iied.org/assessing-social-impacts-protected-areas).
3. Organise a meeting of the SAPA Facilitation Team to explore possibilities for wider dissemination of the assessment results (minus the recommendations for action), and agree on who will do what ie develop a simple a communication plan.
4. Implement the communication plan.

Outputs

Finalised PowerPoint, communication plan, brief 4-page report.

Who

SAPA Facilitation Team Leader with other members of the Facilitation Team.

4.2 Planning and monitoring

Objective

To assist key stakeholder organisations to plan and monitor activities to implement recommendations of the SAPA assessment.

Background

In this last step of the SAPA process an important transition takes place from the multi-stakeholder process in which different stakeholder groups have worked together on the assessment to the internal planning processes of specific organisations of the different stakeholder groups. This is because appropriate activities are more likely to be developed, funded and implemented if planned as part of the normal planning processes of individual organisations, for example, local government annual planning, PA management planning (every

5 to 10 years). However the SAPA Facilitation Team can still play an important role in reminding the stakeholders of the SAPA recommendations at the appropriate time, and a member of the Facilitation Team can attend the relevant sections of these planning meetings to present a brief overview of the SAPA results and recommendations.

Another important role that SAPA Facilitation Team members can perform is help to encourage an initial focus on 'quick wins' – activities that can be rapidly implemented with a high chance of success that will help to build trust and confidence, and justify investment in the more challenging issues.

A good activity plan should always include some provision for monitoring the progress of implementation. Monitoring is the process of tracking changes over time with respect to an initial starting situation in order to guide implementation strategies, promote accountability and contribute to learning. At the most basic level a monitoring plan checks whether the planned activities have been implemented. However monitoring can do much more than this and may include up to 4 levels.

- Activity level – monitoring the extent to which planned activities have been implemented (eg fully, partially, not yet), and the quality of their implementation.
- Output level – monitoring whether the expected 'deliverables' (ie results) of planned activities were actually delivered. Deliverables are things that are fully under the control of the people that have committed to deliver them.
- Outcome level – monitoring changes in behaviour of individual people and organisations that have been caused by, or at least influenced by, the planned activities.
- Impact level – monitoring changes in human wellbeing and ecosystem health that have resulted from the changes in behaviour (ie from the outcomes). Note that it normally takes a number of years before changes at impact level can be detected.

Tasks

1. Organise a final meeting of the SAPA Facilitation Team (which can be combined with the meeting on communication under Activity 4.1) to:
 - a. Identify relevant planning events of relevant organisations of the key stakeholder groups where activities to address SAPA recommendations might be discussed and planned.
 - b. Decide which member of the Facilitation Team will offer to support which event.
2. Attend planning events of the relevant organisations to present a brief overview of SAPA results and the recommendations, and help to facilitate discussions on specific activities and measures to monitor progress in implementation.

Outputs

1. Activities to address SAPA recommendations are agreed and incorporated in the plans of key stakeholder organisations.

Who

SAPA Facilitation Team Leader with other members of the Facilitation Team.

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Annex 1: SAPA Facilitation Team Terms of Reference

Role of the SAPA Facilitation Team (SAPA FT):

To facilitate an assessment of the social impacts of the target protected area and its associated conservation and community development activities using the ten-step SAPA process.

Membership of the FT:

The SAPA FT will normally have 3-6 members drawn from at least two of the following categories:

- Staff of the protected area management authority
- Members of local communities
- Staff of local and/or national NGOs
- Staff of other key stakeholders
- Researchers from universities

In selection FT members the following selection criteria should be considered:

A. Every member:

- Willing and able to devote the necessary time (minimum 8 days over a 6-16 week period).
- Able to speak and read the language in which meetings of the FT will be conducted (ie so that there is no need for interpretation within the FT).

B. The team as a whole:

- At least one team member should be experienced in social surveys using questionnaires so that they can lead the design of the SAPA household survey and oversee the local enumerators who will be recruited to conduct the survey.
- At least one man and one woman should have strong skills in facilitating community workshops.
- At least one member should be have a good knowledge of the protected area's management objectives and conservation strategies.
- At least one member should have a good knowledge of any community activities linked to the PA that are designed to deliver benefits or reduce costs.
- All members who are to be engaged in activities at community level should have the appropriate language skills.
- Gender balance – the team must have enough women to be sure that community workshops can be conducted by a man and a woman working together (as there will at times be a need to split community workshops into separate meetings for men and women).

One of the FT members should be designated the overall SAPA Team Leader with responsibility for the efficient organisation of the process, and quality of the assessment. This job will normally take around 30 days of time over the 6-16 week period of the assessment. If the time availability of the SAPA Team Leader is really constrained then he/she can delegate some of his/her responsibilities to other members.

Specific tasks of all FT members

Activity	Task
1.3	Attend FT training course (2 days)
2.1	Facilitate community workshops (2-6 days)
2.2	Participate in the first stakeholder workshop (1/2 day)
2.3	Attend FT meeting to develop the assessment plan (1/2 day — can follow 2.2 above)
3.2	Facilitate community workshops (2-6 days)
3.3	Participate in the second stakeholder workshop (1 day)
4.1	Contribute to preparation and dissemination of the assessment report and other dissemination activities (1 day)
4.2	Participate in relevant action planning processes to encourage and inform responses to SAPA recommendations (at least 1 day)

Annex 2: Templates

Protected area profile template

Name of the protected area	
Year established – legally	
Year established – in reality on the ground	
Area in square km	
Vegetation type(s)	
Conservation significance	
Owner	
Manager	
Management category ¹	
Governance type ¹	
Main threats to conservation	
Underlying drivers of main threats	
PA management planning: previous plans and timing of next planning process	
People living within PA – number and defining characteristics ²	
PA-adjacent people – number and defining characteristics ²	
Distant users ³	
Permitted resource use within the PA	
Other benefit sharing arrangements ⁴	
Local government units ⁵	

1 According to the IUCN classification of PA management categories and PA governance type

2 Defining characteristics will depend on the social context. As a minimum include the number of communities that are within or border the PA (however community is defined locally) and the main source of livelihood (eg agriculture, livestock). If acceptable, also include ethnicity

3 People using PA resources who are not resident in PA-adjacent communities

4 The term 'other benefit sharing arrangements' is used to mean procedures (and in some cases dedicated organisations) that have been established to provide specific benefits to local communities over and above permitted harvesting or hunting of PA resources.

5 The name of the lowest unit of local government within which the PA lies (or units if a PA straddles several)

Stakeholder analysis template

Stakeholder group	Likely interest in PA-related social impacts	Likely influence over PA-related social impacts
State		
.....	High, medium, or low	High, medium, or low
Non-state		
.....	High, medium, or low	High, medium, or low

SAPA Assessment plan template

A. SAPA standard questions		Primary assessment method
Impacts on human wellbeing		
1. What is the overall contribution to human wellbeing of the PA and related conservation and development activities?	INSERT NEGATIVE IMPACTS	Household survey section B and C
2. What are the more significant negative impacts of the PA and related conservation and development activities?		Household survey section C and D
3. What are the more significant positive impacts of the PA and related conservation and development activities?	INSERT POSITIVE IMPACTS	Household survey section C
Governance		
4. To what extent are communities aware of key information on the PA and related conservation and development activities?		Household survey section E
5. To what extent is there community participation and influence in decision-making regarding the PA and related conservation and development activities?		Household survey section E
6. How are relations between the PA and local communities?		Household survey section E
B. Site specific questions		Primary assessment method
Impacts on human wellbeing		
		Household survey Section D <u>or</u> community workshop <u>or</u> stakeholder workshop
Governance		
		Household survey Section F <u>or</u> community workshop <u>or</u> stakeholder workshop
Other		
		Household survey Section F <u>or</u> community workshop <u>or</u> stakeholder workshop

SAPA household survey questionnaire template

Section A: Respondent social profile

“Hello, I am doing a survey on behalf of *[insert name of the organisation that is leading the SAPA Facilitation Team]*. I would be very grateful if you would answer a few questions about the positive and negative impacts of the *[insert the name of the protected area]* on the wellbeing of your household.

The information that you provide will be kept strictly confidential.

The interview lasts about 30 minutes. Do you agree to be interviewed? If so, is this an appropriate time?”

0.1 Enumerator name: 0.2 Date:

1. Respondent

- 1.1 Gender a) Male b) Female
- 1.2 Ethnic group *[insert different options]* Other
- 1.3 Age.....
- 1.4 Head of household a) Yes b) No

2. Geographic location

- 2.1 Zone name
- 2.2 Community name.....
- 2.3 Were you born in this community? a) Yes b) No
- 2.4 If No how long have you lived here? a) <5 years b) 5-20 years c) >20 years
- 2.5 GPS X co-ordinate
- 2.6 GPS Y co-ordinate

3. Size of household

- 3.1 Total number of people
- 3.2 Number of children (less than 18 years old).....

4. Household wellbeing

- 4.1 In the past year how often has your household skipped lunch and/or supper due to food shortage? (tick one)
- Never Some days in every month
- Only a few days in the worst months..... Every day
- 4.2 What materials have been used to build the walls of your main house (tick one):
- 4.2.1 Walls *[insert 3-4 options]*
- a) b)..... c)..... d)
- 4.2.2 Roof *[insert 2-4 options]*
- a) b)..... c)..... d)
- 4.3 How much influence do you feel that you have on decision-making in your community (tick one)
- a) High b) Medium c) Low d) None
- 4.4 How secure do you feel from the risk of theft of your property? (tick one)
- a) Very Secure b) Secure c) Insecure d) Very Insecure

- 4.5 How is the wellbeing of your household in general (“how’s life”)? (tick one)
 a) Good b) Average/Not Bad c) Bad d) Very bad

Section B: Factors affecting household wellbeing

5. Change in general wellbeing

5.1 How has the general wellbeing of your household changed over the last [insert number of years] years? (tick one)

- a) Improved b) No change c) Worse

5.2 If there was a change, what were the main causes of this change? (List in order of their significance)

- a).....
 b)
 c).....

6. Change in Food Security

6.1 How has frequency of skipping meals because of food shortage changed over the last [insert number of years] years? (tick one)

- a) We skip meals less often b) No change c) We skip meals more often

6.2 If there was a change, what were the main causes of this change? (List in order of their significance)

- a).....
 b)
 c).....

Section C: Specific PA-related social impacts

Explain that we are now going to ask about specific positive and negative impacts of [insert name of the protected area] that may have affected the wellbeing of their household during the last [insert number of years using the same recall period as in questions 5.1 and 6.1] years. Explain that we got this list of impacts from meetings with communities. For each impact ask “how important is this negative (or positive) impact to your household”. Explain that they can answer high importance, medium importance, low importance or zero importance and that their answer should be based on what they have actually experienced over the last [insert number of years] years. As in the rest of this questionnaire be sure that you consistently use the same words for positive and negative social impacts and wellbeing.

7. Negative impacts

7.1 Impact Rating (tick one box per line)

7.1.1 [insert negative impact number 1]

- a) HIGH b) MEDIUM c) LOW d) ZERO

7.1.2 [insert negative impact number 2]

- a) HIGH b) MEDIUM c) LOW d) ZERO

7.1.3 [insert negative impact number 3]

- a) HIGH b) MEDIUM c) LOW d) ZERO

7.1.4 [continue as above for all the negative impacts identified as more significant]

7.2 Other negative impacts: note here any other important negative impacts that were not included above

8. Positive Impacts

8.1 Impact Rating (tick one box per line)

8.1.1 [insert positive impact number 1]

- a) HIGH b) MEDIUM c) LOW d) ZERO

8.1.2 [insert positive impact number 2]

- a) HIGH b) MEDIUM c) LOW d) ZERO

8.1.3 [insert positive impact number 3]

- a) HIGH b) MEDIUM c) LOW d) ZERO

8.1.4 [continue as above for all the negative impacts identified as more significant]

8.2 Other positive impacts: note here any other important positive impacts that were not included above

9. Overall impact on household wellbeing

9.1 Taking into account all the positive and negative impacts that we have discussed, how would you summarise the overall impact of [insert name of protected area] on the wellbeing of your household? (tick one)

- a) It increases our wellbeing.....
 b) It slightly increases our wellbeing.....
 c) It does not increase or decrease in wellbeing.....
 d) It slightly reduces our wellbeing
 e) It reduces our wellbeing.....

9.2 How has the contribution of [insert name of protected area] to your household wellbeing changed in the last X years [insert number of years using the same recall period as in questions 5.1 and 6.1]? (tick one)

- a) The contribution now is more than before.....
 b) The contribution now is no different than before.....
 c) The contribution now is worse than before.....

Section D: Other social impact issues

10. Human wildlife conflict

- 10.1 Have your crops been damaged by wild animals in the last year?
- 10.2 Have your livestock been damaged by wild animals in the last year?
- 10.3 If yes, what animal has been most damaging [insert options for wild animals]? (tick one)
 Other
- 10.4 If yes, how much time does this wild animal spend inside/outside the [insert name of protected area] when not causing damage to people’s crops or livestock? (tick one)
 All the time inside All the time outside
 Most of the time inside Most of the time outside

11. Other social impact questions

- 11.1 [insert a question and options for responses]
- 11.2 [insert a question and options for responses]

Section E: PA governance

12. Information

- 12.1 [insert a question based on a relevant information indicator and options for responses]
- 12.2 [insert a question based on a relevant information indicator and options for responses]

13. Participation

- 13.1 [insert a question based on a relevant governance indicator and options for responses]
- 13.2 [insert a question based on a relevant governance indicator and options for responses]

14. Community-protected area relations

- 14.1 [insert a question based on a relevant relationship indicator and options for responses]
- 14.2 [insert a question based on a relevant relationship indicator and options for responses]

Section F: Other PA governance issues

Key: SA = strongly agree, A = agree, N = neutral, D = disagree, SD = strongly disagree

- 15.1. [insert a statement that the respondent may agree or disagree with]
 SA A N D SD
- 15.2. [insert a statement that the respondent may agree or disagree with]
 SA A N D SD

Section G: Other issues

- 16.1. [insert a question as in 13 and 14 above or a statement as in 15 above]

Thank the respondent for their time and tell them when we will be back to share results with their community

Annex 3: Workshop agendas

Agenda for SAPA Facilitation Team training

Time	Session Description	Notes	
DAY ONE			
1	09:00-09:45	Overview of key concepts and the SAPA methodology	Based on Section A1 and A2
2	09:45-11:15	Stakeholder analysis	Based on Section B1.4. You can actually do the stakeholder analysis during this session
	11:15-11:30	Break	
3	11:30-13:00	First community workshop	Based Section B2.1. Practice the exercise with members of the FT acting as community members
	13:00-14:00	Lunch	
4	14:00-15:30	Stakeholder workshop	Based Section B2.2. Practice the exercise with members of the FT acting as stakeholders
5	15:30-15:45	Break	
6	15:45-17:00	Developing the assessment plan	Based Section B2.3.
DAY TWO			
7	09:00-09:15	Recap of Day 1	
8	09:15-11:15	SAPA household survey	Based Section B3.1
	11:15-11:30	Break	
9	11:30-13:00	Using the Open Data Kit Data analysis	Need two Android smartphones plus internet connection
	13:00-14:00	Lunch	
10	14:00-14:45	Community workshops	Based on Section B3.3. A relatively short session as it does not involve practice
	14:45-15:30	Stakeholder workshop	Based on Section B3.4. A relatively short session as it does not involve practice
11	15:30-15:45	Break	
12	15:45-17:00	Reporting, dissemination, planning	Based on Sections B4.1 and B4.2

Agenda for first stakeholder workshop

	Time	Session topics and guidance
1	09:30-09:40	<p>Opening of the workshop:</p> <ul style="list-style-type: none"> » Welcome » Workshop objectives <ol style="list-style-type: none"> 1. Ensure that key stakeholders in SAPA have a good understanding of SAPA, including the process to be used and their role in this process. 2. Identify why stakeholders are interested to participate in SAPA (their objectives) and what specific information they would like to get from SAPA (their assessment questions).
2	09:40-10:00	<p>Overview of the SAPA methodology:</p> <ul style="list-style-type: none"> » Introductory presentation on SAPA including the six standard SAPA assessment questions. » Questions for clarification and discussion.
3	10:00-10:30	<p>Overview of the protected area and its community outreach activities:</p> <ul style="list-style-type: none"> » Presentation » Questions for clarification and discussion.
4	10:30-11:00	Tea/coffee break
5	11:00-11:30	<p>Feedback on community workshops:</p> <ul style="list-style-type: none"> » Explain community workshop objectives and methodology. » Presentation of results from each meeting (top 5 positive and negative impacts for men and for women) and the list of more significant impacts that you have generated from using the impact scoping tool. » Facilitate a discussion – overall impressions, key differences between communities, any key impacts that have been missed. Take notes but do not commit to including additional impacts – discuss after the workshop.

6	11:30-12:45	<p>Users and their information needs</p> <ul style="list-style-type: none"> » Explain the objective of the group exercise – objective #2. » Split of participants into 3-4 stakeholder groups – community, local government, PA management and other conservation actors (eg NGOs), and private sector (if significant numbers of private sector – if not put them with other conservation actors). Maximum 15 per group (ie subdivide large stakeholder groups into two if necessary). » Facilitate stakeholder groups to discuss their objectives and then their assessment questions and record their points on flip chart papers. <ul style="list-style-type: none"> ▪ <i>Objectives:</i> what is your objective (s) for participating in SAPA? A good way to present this is to ask participants to complete the statement “SAPA should assist my organisation/community to ”). It is OK if different group members propose different objectives. ▪ <i>Questions:</i> what specific questions should SAPA to try to answer? A good way to present this is to ask participants to complete the statement “To achieve these objectives I will need to answer the questions ”. Remind participants that a social assessment like SAPA is designed to assess impacts of the PA on local people and it can also address questions related to these impacts (eg on governance), but not other types of questions. Facilitate the discussion to ensure there is at least ten question for each objective. You may end up with as many as ten questions. » Stakeholder groups report back to all participants. » Discussion of similarities and differences between the objectives and questions of different stakeholder groups.
7	12:45-13:00	<p>Next steps:</p> <ul style="list-style-type: none"> » Assessment plan – explain that the SAPA Facilitation Team will review the questions from the previous session and the discussion of impacts, and develop a plan showing the information gathering methods to be used to address each question and impact. Questions that SAPA cannot answer (give an example if there is one) will be forwarded to other relevant actors. » Household survey and second community workshops – explain the timing for these activities. » Second stakeholder workshop – a workshop with the same participants as this one to review the assessment results and develop recommendations for actions to respond to the results (where possible).
	13:00	Closing

Agenda for second stakeholder workshop

	Time	Session topics and guidance	Facilitators
1	09:30-09:40	<p>Opening of the workshop:</p> <ul style="list-style-type: none"> » Welcome » Workshop objectives <ol style="list-style-type: none"> 1. To share the key results from the SAPA household survey and community workshops with workshop participants. 2. To address any assessment questions targeted at the second stakeholder workshop 3. Develop recommendations for action to: <ol style="list-style-type: none"> a. Reduce negative social impacts and increase, and more equitably share, positive social impacts of the PA and any related conservation and development activities. b. Improve information sharing, participation and people-park relations. 	
2	09:40-10:10	<p>Overview of the SAPA methodology:</p> <ul style="list-style-type: none"> » Introductory presentation on SAPA. » Questions for clarification and discussion. 	
3	10:10-11:00	<p>Results from the SAPA household survey and community workshops.</p> <ul style="list-style-type: none"> » Present a summary of key results under the following sections: <ul style="list-style-type: none"> ▪ Social context ▪ Wellbeing and factors causing change in wellbeing ▪ Negative PA related social impacts ▪ Positive impacts PA-related social impacts ▪ Overall impact of the PA on wellbeing ▪ Information ▪ Participation ▪ Community-PA relations » Ask for any questions of clarification at end of each of the 8 sections but at this stage do not allow participants to give any reactions to the results. 	
4	11:00-11:30	Tea/coffee break	
5	11:30-13:00	<p>Reactions and recommendations.</p> <p>Group discussion - split participants into 3-4 groups - local administration, communities, protected area management and other conservation stakeholders, private sector (if any)</p> <ul style="list-style-type: none"> » Taking one section as a time each group to discuss from their perspective noting key points as bullets points on flip charts: <ul style="list-style-type: none"> ▪ reactions to the results ▪ recommendations to improve the situation. 	

6	13:00-13:30	<p>Discussion of reactions and recommendations.</p> <ul style="list-style-type: none"> » Each groups presents a summary of their reactions and recommendations (the points on their flip charts) » Discussion of similarities and differences. 	
7	13:30	<p>Closing and next steps</p> <ul style="list-style-type: none"> » Thank participants for attending » Remind participants to include measures to address some of these recommendations in workplans of their organisations and that the SAPA Facilitation Team will be ready to assist over the coming year. 	

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This manual provides detailed guidance for using the Social Assessment for Protected Areas (SAPA) methodology. SAPA is a relatively simple and low cost methodology for assessing the positive and negative impacts of a protected area (PA) and related conservation and development activities on the wellbeing of communities living within and around the PA (local benefits and costs). It is a multi-stakeholder assessment for use by PA managers working with communities and other local level stakeholders, and supporting organisations at national level, to help increase and more equitably share positive social impacts, and reduce negative social impacts. The methodology uses a combination of i) community workshops to identify significant social impacts, ii) a short household survey to explore these impacts and related governance issues in more depth, and iii) a stakeholder workshop to validate the survey results, explore other key issues and generate suggestions for action. SAPA can be used with PAs of any kind, including those managed and governed by government agencies, communities and the private sector.



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