



Governance of protected areas – an introduction

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Content



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

What is governance?

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

(Graham et al., 2003)

Who has influence?
Who decides?
Who is accountable?



Governance and management: what is the difference?

Management = what to do

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

Governance and management: what is the difference?

Management

- Setting specific targets to reach the goal / vision
- carrying out **actions** to to achieve them
- allocating **resources** (human, financial...)
- **monitoring** achievement

➤ **management effectiveness**

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Governance

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

➤ **“good governance”**

Why does governance matter?

?

Why does governance matter?



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

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

Conservation & development

Complementary?

Synergies?

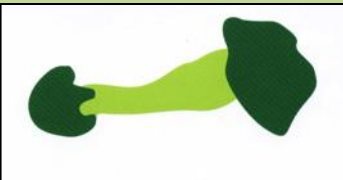
from PA islands to conservation landscapes



Isolated protected areas



Conservation areas with buffer zones around them

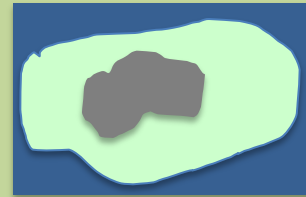


linear connections between protected areas = biological / ecological corridors

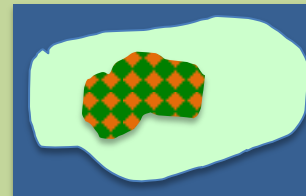


PAs embedded in landscape with different types and intensities of resource use

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



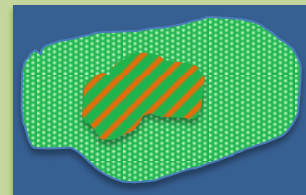
PA as a “blank spot” in regional context – no mandate / no perceived connection with development agenda



PA as service provider (ecosystem services)



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



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

The international policy response

2003: IUCN World Parks Congress, Durban

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

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

2010: CBD Strategic Plan 2011-2020 and Aichi targets

2014: IUCN World Parks Congress, Sydney

CBD PoWPA

Programme Element 2:

Governance, Participation, Equity and Benefit Sharing

Goal 2.1: To promote equity and benefit-sharing

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

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

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

But....

Goals accomplished?

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

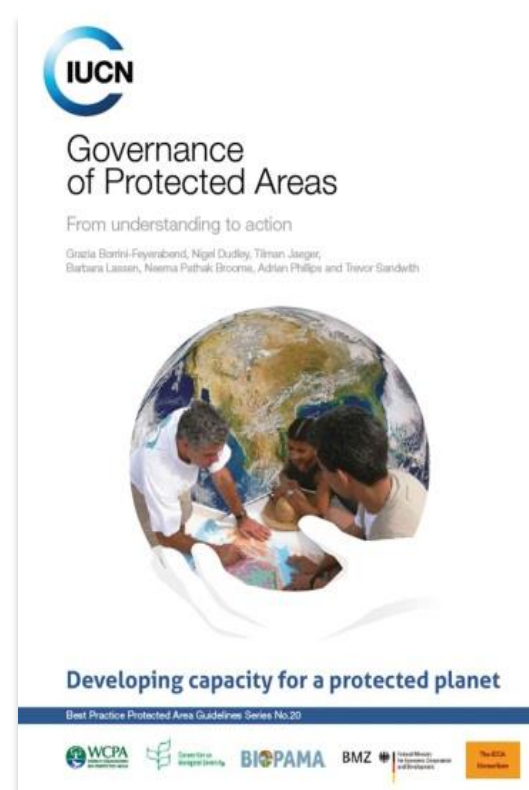
PoWPA implementation is particularly **lagging behind** in the area of governance, participation, equity, and benefit sharing

- guidance needed!
- Baselines/assessments needed!

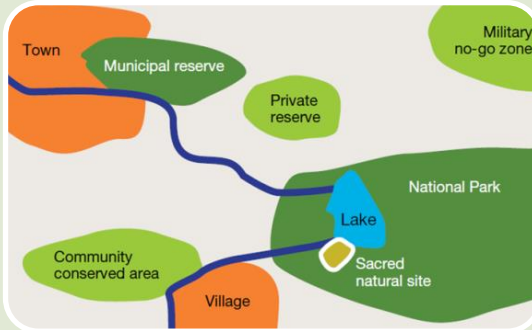
IUCN Best Practice Guidelines No. 20 (2013)

„Governance of Protected Areas – From understanding to action“

http://www.iucn.org/pa_governance



Two dimensions of PA governance



Diversity

Who holds authority,
responsibility,
accountability for the PA?



Governance type

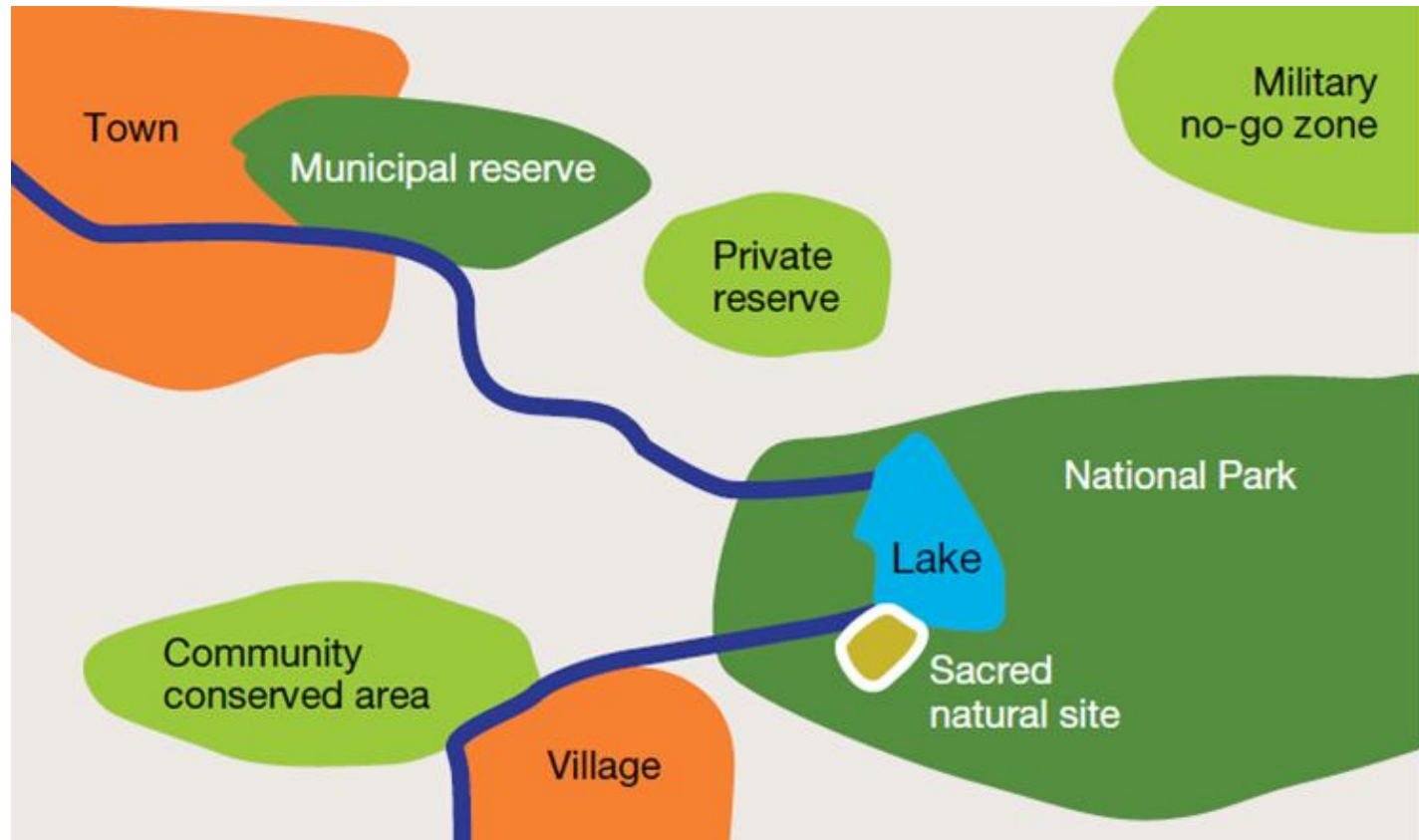
Quality

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



Good governance

Governance diversity



Governance types



Type A:
Governance
by government



Type C:
Governance
by private actors



Type B:
Shared
Governance



Type D:
Governance
by indigenous
peoples and local
communities

How to determine the governance type of a protected area?



Key question:

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

De jure or de facto?

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

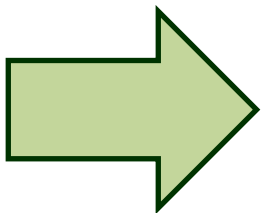
De facto (in fact): what actually happens in real life

Type A: Governance by government



A. Governance by government

PAs established and governed/managed by federal or national ministry or agency	PAs established and governed/managed by local/municipal ministry or agency	PAs established by government with delegated management (e.g. to an NGO or a private operator)
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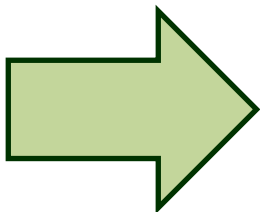
Decision making authority, responsibility and accountability held and exercised by government (at various levels)

Type B: Shared Governance



B. Shared governance

Trans-boundary governance between at least two governments (and other actors)	Collaborative governance (various forms of pluralist influence on relevant decisions)	Joint governance (formal pluralist decision-making body)
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Decision making authority, responsibility and accountability shared between governmental agencies and other stakeholders (in particular the relevant landowners and the indigenous peoples and local communities)

Type C: Governance by private actors



C. Private governance

PAs established and governed by individual land-owners	...by non-profit organisations (e.g. NGOs, universities, monasteries, etc.)	...by for-profit organisations (e.g. corporate land-owners)
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Mechanisms and incentives:

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

Type D: Governance by indigenous peoples and local communities

D. Governance by indigenous peoples and local communities

Territories and areas established and governed by indigenous peoples

Territories and areas established and governed by local communities

Three essential characteristics of ICCAs:

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

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

How do the governance types relate to the management categories?

IUCN Protected Area categories

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

IUCN Protected Areas Governance Matrix

[illegible]

IUCN Protected Areas Governance Matrix

Governance Type ➡	A. Governance by Government			B. Shared Governance			C. Private Governance			D. Indigenous Peoples & Community Governance	
Management category ⬇	Federal or national ministry or agency	Sub-national ministry or agency in charge	Government delegated management (e.g. to an NGO)	Trans-boundary governance	Collaborative management (various forms of pluralist influence)	Joint management (pluralist governing body)	Conserved area established and run by individual land-owner	...by non-profit organisation (e.g. NGO, university etc.)	...by for-profit organisation (e.g. corporate land-owners)	Indigenous peoples' conserved areas & territories - established and run by indigenous peoples	Community conserved areas and territories - established and run by local communities
I - Strict Nature Reserve/ Wilderness Area											
II - National Park (ecosystem protection & associated cultural values)											
III - Natural Monument											
IV - Habitat/ Species Management											
V - Protected Landscape/ Seascape											
VI - Managed Resource											

Exercise

1. Think of **one** PA that you are familiar with
2. Try to find the correct place in the matrix
3. Briefly present your example to the group giving reasons (management / governance)
4. Choose **one other** PA from your country of a different governance type and place it on the matrix, too. Discuss.

Example: Madagascar „pre-Durban“...

[illegible]

... and „post Durban“

[illegible]

Reality often lies in between:
the Governance Continuum

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

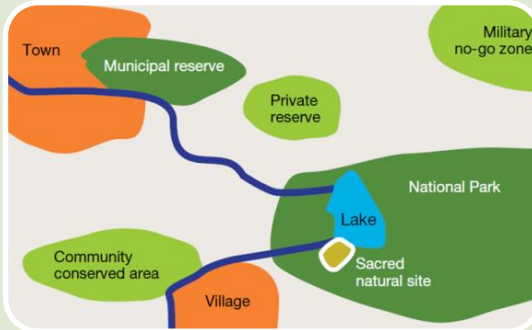


Why promote governance diversity in a PA system?

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

- Achieve coverage targets
- Close gaps
- Build connectivity
- Involve more stakeholders and improve social acceptance
- Improve adaptability and resilience of the system

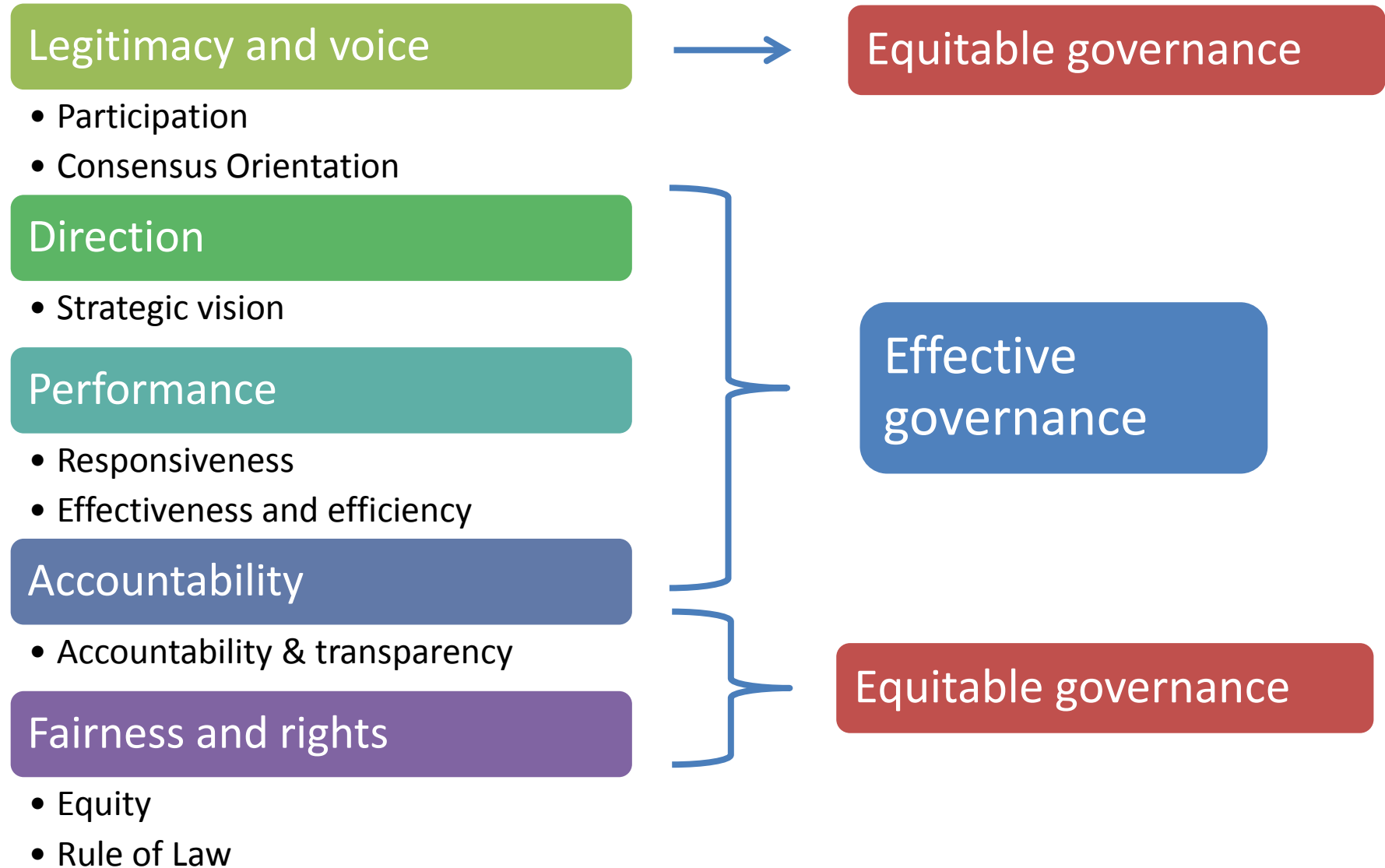
Two dimensions of PA governance



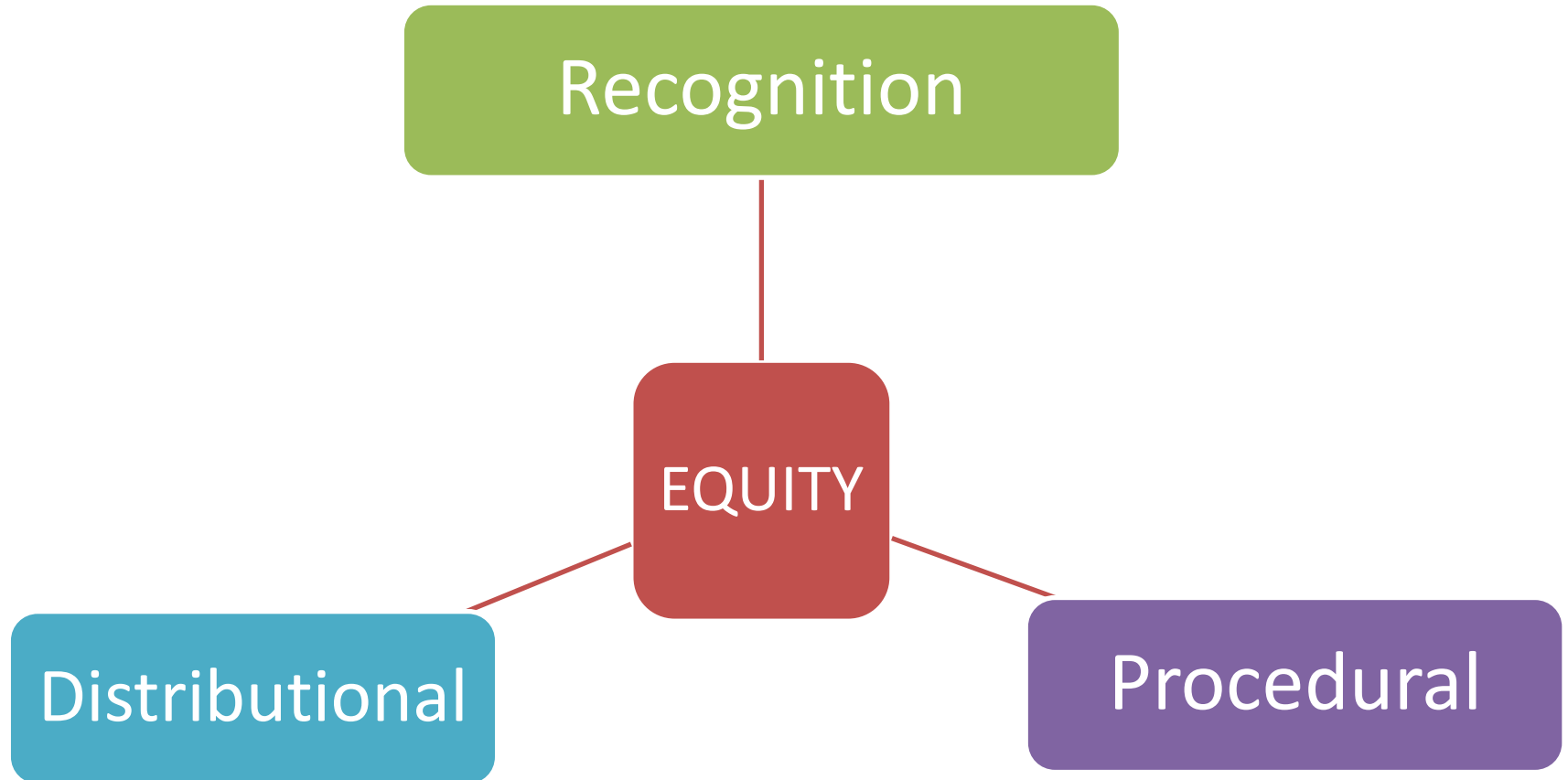
Diversity

Quality

IUCN/UNDP good governance principles



Three dimensions of equity



Governance assessment, evaluation and planning for action

Assessment

- History and culture
- Actors and institutions
- Spatial analyses
- Governance process & quality

Evaluation

- How does the situation compare to our objectives?
- What options exist to improve the situation?

Improving Action

- What do we want to do about it?

System level

Site level

Possible assessment results

at the **system** level

Answers to the following questions:

- Are any existing conservation efforts left out of the system?
- Are any areas particularly important for biodiversity left out of the system?
- Does governance correlate with conservation outcomes?
- Are the provisions for good governance sufficient in the system?

at the **site** level

Answers to the following questions:

- Is the governance type a good fit for the situation?
- Are those actors who are willing to contribute involved in the process?
- To what extent does the process reflect the good governance principles?

The governance assessment, evaluation and action process

There are different ways of doing it...



Phase 1:

the Team plans the process



Phase 2:

gathering information and technical support, promoting awareness, helping participants to organise (some weeks or months)



Phase 3:

workshop to assess and evaluate governance and plan for action (one week to ten days)



Phase 4:

taking action and obtaining results (..for as long as it is needed)