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Participatory Conservation for Protected Areas

An Annotated Bibliography of Selected Sources (1996–2001)

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January 2004

THE WORLD BANK ENVIRONMENT DEPARTMENT

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Contents

Foreword

This annotated abstract document is part of a series of assessments on how best to mainstream and improve participation in World Bank/GEF protected area projects. We initiated the series in response to feedback from World Bank and GEF Secretariat staff. The group suggested two approaches: First, before undertaking further reviews of participation progress for biodiversity projects, staff suggested a closer look at current internal and external documentation of participation and biodiversity conservation. Specifically, they suggested a focus on protected area management. Second, staff also suggested that we focus on topics in participation and protected area management that were of particular concern to operational work, ensuring that the output was of practical use, such as a tool-kit.

This report provides annotated summaries of recent publications on participatory conservation for protected areas. We focused our attention on lessons learned and good practices for donor-funded projects. Our summaries include study objectives, methodology (when available) and findings. To ensure its practical use, a keyword search list is also available at the end of the report. In addition, to facilitate its wider distribution and accessibility, this publication is also available as a searchable database on the biodiversity website (<<www.worldbank.org/biodiversity>> under Themes).

A practical tool-kit on selected topics in participatory conservation in protected area management has also been developed. It was developed using a highly participatory process involving input from task managers and a series of interactive list-serve and roundtable discussions. Approximately 600 participants, representing over 60 countries, were involved in the list-serve discussions. 110 participants representing NGOs, multilaterals, bilaterals and Bank staff, attended the roundtable discussions at the Bank's Headquarters in Washington D.C.

Acknowledgments

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Executive Summary

Background

During the past decade, conservationists and development practitioners have begun to recognize the importance of stakeholder participation in project planning, implementation and management. Development policy makers and planners recognized the detriments of top-down autocratic approaches to development. They argue for greater societal political participation and strategies for the inclusion of the poor in development decisions. Historically, this trend toward more participatory development has its roots in community development, empowerment and social justice work in Latin America and Francophone Africa during the 1960s and from research on the root causes of poverty in the late 1970s and 1980s.

Donors, including the World Bank and the Global Environment Facility, are now making greater efforts to incorporate participation into their development projects. For example, in 1994, the Board of Executive Directors of the World Bank endorsed the report "The World Bank and Participation." This document put in place a working definition of participation and an action plan to facilitate participation on a Bank-wide level. The World Bank still has not adopted an operational directive (OD) on participation. However, there are several World Bank policies and ODs, particularly on the issue of social safeguards, which address social issues and emphasize the need to engage stakeholders in decision-making. In addition, the Instrument for the Establishment of the Restructured Global Environment Facility (GEF) explicitly addresses the need for public involvement, including information dissemination, consultation, and stakeholder participation.

What exactly is meant by the term, "participation"? Participation is largely accepted as an integral part of development but definitions of what constitutes participation vary. There are two main approaches to understanding and promoting participation – participation as a means and participation as an end. Under the first approach (participation as a means), participation is seen as a process whereby local people cooperate or collaborate with externally introduced development programs or projects. Thus, participation becomes the means to effective implementation. People's participation is sponsored by an external agency and it is seen as a technique to support the progress of the program or project and ensure a successful outcome. The term "participatory development" is more commonly used to describe this widespread approach. It implies externally designed development activities that are implemented in a participatory manner. The second approach views "participation as an end." Participation is the goal and specifically refers to empowering people with the skills, knowledge and experience needed to take greater responsibility for their own development. These approaches fall along a continuum between *nominal* participation (i.e., little direct involvement of

people) and *transformative* participations whereby local people are empowered to direct their futures, for the duration of the project and beyond.

Similarly, participatory methodologies exist along a continuum. This continuum ranges from information sharing and consultation (low level participation) to partnerships and self-management (high level participation). In *information sharing*, stakeholders are invited to meetings and informed about the project, its benefits and their responsibilities and options. *Consultations* entail two-way communication and stakeholders can voice their opinions and objections. However, stakeholders have little say over the type of project, the agenda, or what happens after the meeting is over and there is no assurance that their input will redirect the project. *Partnership*s involve a relationship of shared responsibility and risk sharing and stakeholders have an equal right to voice their opinions and redirect the course of the project.

Methodology

Our sample of literature included World Bank, Global Environment Facility and other (external) documents and, due to time limitations, we focused on recent documents. For the most part, we emphasized documents published after 1995 but we also included a handful of "classics" from the early 1990s. In total, we reviewed 75 documents. The 27 World Bank or the Global Environment Facility (GEF) documents included Operations and Evaluation Department reports, surveys of task managers, handbooks, analytical assessments, best practice notes and books. We focused on general GEF documents on biodiversity and on publications looking at GEF activities managed by the World Bank but did not review GEF documents published by the other two implementing agencies, the United Nations Development Program and the United Nations Environment Program. The 56 documents published by other sources include academic books, handbooks, conference proceedings and articles. The abstracts of internal documents are in alphabetical order, followed by the abstracts of external documents in alphabetical order. `

Overview of Findings

The World Bank and the GEF have begun to take stock of its participatory protected area activities, including the application of specific participatory methods, assessments of progress with incorporating participation into protected area projects and more detailed analyses of constraints to participation. The documents provide general information on the methodology of participation and specific information on the concepts and models in participatory research. This internal literature also addresses: a) the extent to which the World Bank/GEF projects have achieved their participation goals; b) the extent that participation has been mainstreamed into the practices of the World Bank and the GEF; c) the contribution of participation to project success, and d) the key lessons learned from participatory projects. While early generation protected area programs were more focused on the application of participatory methods, later generation projects focus more on the systemic issues related to participation (e.g., insecure land tenure and conflict).

The World Bank and GEF literature suggests that significant strides have been made in increasing the level of participation in World Bank and GEF projects. Participation was greatest in GEF projects with community-level activities and least for infrastructure activities. A 2001 GEF discussion note, based on a longer study by Singh and Volonte (2001), found that stakeholder participation within the biodiversity portfolio was comprehensive in approximately 30 percent of projects and satisfactory in 25 percent of projects. For World Bank projects, social assessments were the most

likely method to be used to gather information on stakeholders. GEF projects were more likely to use stakeholder consultations to involve communities.

While the incidence and quantity of participation at the Bank has improved, the literature indicates that the quality and effectiveness of participation has not kept pace. Participation practices are not always empowering local communities or enhancing sustainability. Participation has become too rushed, superficial and largely restricted to the preparation phase of the project cycle (OED 2001). It is more common to apply forms of lower participation, such as information sharing and consultations with beneficiaries. However, many projects do not seek to collaborate with or empower local populations (Vedeld 2001, OED 2001). Singh and Volonte (2001) found little difference in the achievements and impacts of completed (older) projects versus on-going (newer) projects and this suggests that there has not been much impact of lessons learned.

These studies suggest several reasons for the poor quality of participation in World Bank and GEF projects (e.g., Cruz and Davis 1997, Aycrigg 1998, GEF 2001). The project cycle is influenced by a tight time-line and financial constraints. As a result, the project design is already relatively advanced by the time any stakeholder consultations take place. Even when social analysis is done, projects often fail to incorporate the results of these analyses into project design. There is often a lack of flexibility with funding mechanisms. In addition, some country directors and managers are not supportive of participatory activities.

In-country constraints relate to governments, NGOs and communities. There are sometimes problems with NGO capacity to assist with participatory processes. Governments have not always had the capacity for, and commitment to participatory protected area management. Governments are often reluctant to spend loan money on participation or to allocate funds to NGOs with experience in participatory processes.

Collaboration with buffer zone communities has sometimes been more difficult because of the tension between conservation planners, managers and local communities. It can be difficult for task managers of GEF-funded biodiversity projects to ensure effective participation in places with real and potential park-community conflicts(e.g., uncertain tenure).

While the quality of participation has been less than expected for many World Bank and GEF projects, some of the protected area projects *have* made great strides related to participation. Their participatory efforts have been effective and empowered communities. They have overcome some of the barriers to effective participation. The literature suggests that the best projects:

- Effectively incorporated a variety of participatory tools and methods such as social analysis, gender analysis, Participatory Rural Appraisals (PRAs), focus groups, etc.

- Used participatory processes to obtain feedback throughout the projects cycle and beyond (including design, implementation, management plans and beneficiary monitoring (Cruz and Davis, 1997)

- Incorporated data from participatory tools and methods into the project design and at other times in the project cycle (Bettencourt *et al*. 2001; Kirmise *et al*. 1998, Mott 1996)

- Invested in local capacity building to ensure that the participatory processes were sustained over the long-term

- Enhanced the policy and legal framework to create an enabling environment for conservation and sustainable use (GEF 2001, Badola 1999)

- Utilized flexibility to ensure that the project evolved continuously and, where necessary, adapted the project to incorporate lessons learned from earlier phases (GEF 2001)

- Effectively used participatory methods to reduce conflict and build consensus between disparate groups, and particularly in PA management (Beltran 2000, Banarjee *et al*. 1997, Mott 1996, Turyaho *et al*. 1996).

Within the past five to seven years, the literature indicates that the World Bank and GEF have made *some* positive institutional changes to better enable the use of participation in projects. For example, social funds are rapid demand-driven funding mechanisms that funnel resources to community-level development projects. These funds are now available to support participatory activities (Aycrigg, 1998). Increasingly, the GEF and the World Bank are focused on creating and building partnerships with stakeholders including academia, NGOs, local communities and government and the private sector. In addition, the use of NGOs for policy and advisory services has greatly increased with the use of Trust Funds.

The external literature provides a broader picture of how participation is being incorporated into biodiversity/PA management activities that have been funded by other institutions (bilaterals, multilaterals and NGOs). It provides a deeper understanding of how participation can best be used to enhance project sustainability and empowerment. Most importantly, the external literature allows for a better synthesis of lessons learned from around the globe and fosters reciprocal learning between agencies.

Participation lessons can be found in external handbooks that offer principles and guidelines for when to use participatory approaches and how to improve participation. The DFID-IUCN publication, "Biodiversity in Development, Guiding Principles for Biodiversity in Development, Lessons from the Field" (2001) captures the lessons learned from biodiversity field projects funded by EC or EU member countries. It highlights what works (and what does not) in participatory biodiversity management. This document also details techniques, such as how to adapt tenure systems to suit local and national priorities, for dealing with problems with land tenure in participatory protected area management. World Wildlife Fund's handbook (2000) on "Stakeholder Collaboration" aims for collaboration that leads to empowerment. "Evaluating Effectiveness" by Hockings *et al* (2000) provides the tools for evaluating the management effectiveness of all types of protected areas.

The internal and external literature reinforce many of the key lessons above and provide information on how to improve the quality, effectiveness and success of protected area projects:

- Social methodologies (including social assessment, surveys, PRAs, consultations, mapping, interviews, focus groups and gender analysis) and participation play an important role in simplifying complex projects, generating NGO commitment, integrating community concerns, identifying vulnerable groups, dissipating conflict and developing links between the results of the assessment and project design, planning and monitoring (Mott 1996).

- For participatory methods to be relevant to project design, they must first be country-driven. The project executing agencies and

local stakeholders need to be committed to the process (Cruz and Davis 1997).

- Tools and methods need to be integrated into the project cycle and reflect a process that continuously provides feedback throughout the life of the project (Cruz and Davis 1997).

- Participatory processes must provide relevant recommendations on how to adapt the project design to respond to unpredictable social situations (Cruz and Davis 1997).

- Participatory processes can address existing and potential conflicts (WWF 2000) and promote the community-government communication, trust and collaboration that are needed for co-management schemes (Beltran 2000, Banarjee 1997, Turyaho 1996, IUCN 1998).

- To be effective, co-management must be integrated with capacity building (e.g., training and awareness-raising), particularly at the local level and the NGO level.

- Capacity building was important in ensuring that the conservation-development linkages remained strong and helped control land-use on the fringes of the PA. Capacity building efforts at the local level also improved the ability of communities to participate in ecosystem analysis, form local PA management committees and maintenance plans (Turyaho, 1996) and drummed up local support for conservation (MacKinnon, 2001; Bettencourt, 2001; Badola, 1999).

- Effective, transparent, accountable, inclusive and supportive legal and institutional frameworks are needed to support participatory conservation (DFID and IUCN, 2001). Metcalfe's (1996) analysis of the Zimbabwe CAMPFIRE's project suggests that community-based conservation must have a firm footing in national legislation and resolve differences between the traditional and statutory authority at the local government level.

Part A

Recent World Bank and Global Environment Facility Documents

1. Aycrigg, Maria. 1998. "Participation and the World Bank: Successes, Constraints and Responses." Prepared for the International Conference on Upscaling and Mainstreaming Participation of Primary Stakeholders: Lessons Learned and Ways Forward. Social Development Paper No. 29. World Bank, Washington, DC.

Available from: http://wbln0018.worldbank.org/Networks/ESSD/icdb.nsf/D4856F112E805DF4852566C9007 C27A6/7752CD32ED8575308525676D006 9A68C/$FILE/sdp-29.pdf

Keywords: Africa, Africa Region, Asia, Caribbean, Central Asia, community, community-based projects, control, Europe, executing agencies, joint management, Latin America, local consultation, mainstreaming participation, Non-Governmental Organizations (NGOs) (capacity, roles, executing agencies, host country), ownership, Pacific and Pacific Region, participation, participation barriers and constraints, project, project design, project formulation, project planning, project preparation, social, social funds, trust funds, water user associations, World Bank

Abstract

Objectives and Methodology. Intended as a submission to a 1998 World Bank conference on participation, this paper takes stock of the Bank's experience in mainstreaming participation and lays the groundwork for the next phase of participatory approaches in World Bank activities. This article was a preliminary desk review and a precursor to the more in-depth study of participation in the Bank conducted by OED from 1999 to 2001 (see above). The author researched the Bank's achievements in mainstreaming participation since 1994, reasons for not reaching objectives, supporting and constraining factors, identification of issues and opportunities for future considerations and recommendations to support mainstreaming participation. The author used focus group meetings with bank staff from the Africa, East Asia and Pacific, Europe and Central Asia, Latin America and Caribbean and South Asia regions. In addition, she conducted a desk review of operations and analyzed survey responses from World Bank field offices. Staff informants included task team leaders, country operations officers, sector leaders and social scientists.

Findings. While the Bank has made good progress (e.g., more participatory projects, country assistance strategies and analytical work) and achieved success beyond initial expectations, it has fallen short of some of its original participation goals. Staff suggested that these shortfalls are a result of constraints related

to the Bank institutional issues (i.e., the project cycle, lack of management support and resource limitations). They also mentioned a number of host country issues (i.e., NGO capacity and government commitment).

Staff elaborated Bank-related constraints to participation. There were regional differences in support for participation (e.g., South Asia was more supportive than other regions) and differences among country director, manager or other upper-level management staff. Although it was helpful for staff to have senior management support for participation, finding funds for participation could be time-consuming for staff. Staff are under pressure to meet lending targets and for some, heavy workloads detracted from the time and money that they were able to devote to participation. It could be very time-consuming for staff to pursue and manage trust fund money to pay for input from participation specialists, particularly for the multiple projects that they are managing. Further, trust funds were usually restricted to activities during project preparation and this helps to explain why most primary stakeholder consultation and participation occurs during project preparation. Some staff noted that the basic framework of the project has already been decided by the time the project is in the preparation stage and participation is often just "tinkering around the edges of an already defined project when it is too late for primary stakeholder views and concerns to be factored into project design." Although staff reported that consultation and participation do take place in some form after project preparation, these results are not always factored into the project design or implementation in a meaningful way.

Staff reported that the most significant in-country constraint was the level of government commitment to participation, followed by problems with NGO capacity. Governments are not sufficiently committed to participation because they do not have the requisite skills. In addition, governments are reluctant to spend loan money on participation because the Bank rarely insists that participation be included in project budgets or that it be paid under recurrent cost financing from the government. Commitment to participation is also an issue with governments that are not interested in, or who actively discourage the existence of NGOs and other civil society organizations. Some staff believed that projects have also suffered because of a lack of capacity within civil society, particularly NGOs. Although many projects (half) include some NGO involvement, staff indicated that NGOs are not a homogeneous group and they differ in their capacities and abilities.

Staff responded to these constraints by using social funds and focusing on community-based projects and institutions. Social funds are rapid demand-driven funding mechanisms that channel resources to community-level development projects. They have the advantage of contributing at the community level. Accordingly, communities are given the chance to have more control and have authority over handling funds, procuring materials, hiring and firing contractors and deciding upon resource allocations. With respect to community-based projects and community institutions, a new generation of Bank projects has focused on creating and building partnerships, building the capacity of local institutions and creating synergies across sectors. These projects promote local ownership and local partners. They also help to create the enabling environments needed for transparent and accountable mechanisms to deliver goods and services at the community level. Using water user associations, joint forest management associations and women's self-help groups, these projects have built partnerships for conservation and the joint management of natural resources.

2. Aycrigg, Maria. 1997. "A Review of Participation in the World Bank's GEF Portfolio." Environmental Department

Dissemination Notes No. 52. World Bank, Washington, DC.

Available from: www-wds.worldbank.org (external access) or Imagebank (internal access)

Keywords: biodiversity, climate change, Global Environment Facility (GEF), international waters, participation, participation barriers and constraints, project, project cycle, resettlement, World Bank

Abstract

Objectives and Methodology. Aycrigg conducted this review of participation in the World Bank's GEF portfolio in 1997. One objective was to assess the treatment of stakeholder identification and participation issues in the portfolio over time. She also catalogued constraints to, and opportunities for participation. Finally, the study was designed to identify lessons that could be applied in future Bank project work. The review covered 72 GEF-financed projects including 41 biodiversity projects, 22 climate change projects, 6 international waters projects and 3 ozone protection projects. The methodology included document reviews and interviews with task managers and consultants. To rank project documents, Aycrigg used a subjective, two-part rating system derived from staff interviews. One rating system focused on whether stakeholder identification and participation were systematically and adequately addressed throughout the project cycle. A second rating system indicated the overall complexity of stakeholder identification and participation issues, as well as the degree to which attention to these issues were critical to project success. The study also investigated the percentage of projects addressing five specific issues related to participation: indigenous people, resettlement, gender, alternative livelihoods and adaptive management. The author did not define the latter issue.

Findings. Aycrigg reports that stakeholder identification and participation in projects is becoming increasingly complex but also increasingly systematic and effective. Biodiversity projects had highest ratings for complexity and for the systematic inclusion of participation. In comparison, international water projects were less successful at systematically identifying stakeholders or encouraging broader participation of relevant stakeholders. In terms of specific issues, 29 percent of the projects addressed indigenous people issues, 15 percent of projects had plans to address gender-related issues and 41percent included alternative livelihoods activities. Aycrigg reported that 44 percent of the reviewed projects were adaptive and flexible enough to cope with changing needs and conditions at the local or national levels. Resettlement was only an issue for five percent of projects reviewed.

The report lists a number of constraints to participation. Bank-related constraints include a lack of management support, tight project cycles and delivery times, lack of flexibility with funding mechanisms, procurement guidelines and inconsistent task management due to staff turnover. In client countries, constraints include weak government institutions, new and inexperienced NGOs and lack of familiarity with participation.

3. Banarjee, Ajit, Gabriel Campbell, Maria C. J. Cruz, Shelton Davis, and Augusta Molnar. 1997. "Participation in Forest Management and Conservation. Social Development Paper No. 19." World Bank, Washington, DC.

Available from: www-wds.worldbank.org (external access) or Imagebank (internal access)

Keywords: beneficiaries, beneficiaries assessments, biodiversity conservation and protection, conflict (management, resolution, mapping, risk assessments), consensus building,

executing agencies, extension, forestry projects, forests, gender (analysis and considerations), Global Environment Facility (GEF), incentives (economic, other), India, joint forest management, Malawi, monitoring, monitoring and evaluation, Niger, Non-Governmental Organizations (NGOs) (capacity, roles, executing agencies, host country), participation, Participatory Rural Appraisal (PRA), public awareness, roles, security, social, social assessment, tenure (rights, security, community-based, devolution, land and resource, land rights, use rights), World Bank

Abstract

Objectives and Methodology. This paper focuses on the lessons learned from incorporating participation into forest management and conservation projects. The review covers Bank-financed forestry projects and biodiversity conservation projects in forest areas that are co-financed by the Global Environment Facility (GEF) and the World Bank. Biodiversity conservation projects in non-forests sites, such as marine and coastal environments, are not discussed. For this paper, participation in forestry and conservation management refers to the active involvement of various stakeholders in defining forest sector and conservation objectives, determining beneficiaries, managing forest resources, resolving conflicts over forest uses and monitoring and evaluating the performance of forestry and biodiversity conservation projects.

Findings. The authors discuss lessons learned related to stakeholder identification and involvement, flexible institutional arrangements, the role of NGOs and incentives for sustaining participation:

- First, the success of community-based forestry and biodiversity conservation projects depends upon stakeholder identification and involvement. By incorporating stakeholders at the project preparation stage, projects then have a systematic way to include stakeholders during later stages of project design and operations.

- Second, forestry projects require flexibility in the design of appropriate institutional arrangements to ensure equitable participation and distribution of forest and conservation benefits, costs and management responsibilities. The institutional arrangements used by World Bank projects range from less participatory models where the government continues to control decision- making and management to joint public-private partnerships with shared management responsibilities among government, local households and NGOs (e.g., joint forest management).

- Third, NGOs have played important project roles in forest management and training. These roles include training service staff members and local leaders and assisting communities in developing organizational and management skills. NGOs have also carried out village-level publicity and extension, developed micro-planning tool, facilitated planning and monitored village-based conservation networks. They have also improved forest marketing information networks. In addition, NGOs have helped to form women's groups and farm forestry associations.

- Fourth, projects must find appropriate incentives to sustain stakeholder participation. Tenure is one incentive that compensates community stakeholders for investing their time and resources in sustainable forest use. Secure land and tree tenure improve community participation. There are problems when these rights are not in place before benefits are shared. For example, in Honduras and India, there were

laws that prevented farmers from felling or selling trees without government permission.

The paper also discusses ways of facilitating local participation in project design, implementation and evaluation. At preparation and implementation stages, project managers should use social assessments, beneficiary assessments, gender analysis, consensus building and conflict resolution methods. Consensus-building techniques can include opinion surveys, focus group meetings, as well as agreements among stakeholders that involve negotiation and contracts. Participatory monitoring and evaluation allows stakeholders to provide feedback related to project changes. To detect changes in forest project performance, Participatory Rural Appraisal techniques can be used to engage the community in gathering new data to compare with baseline data. In Niger, India and Malawi, forestry and biodiversity conservation projects formed joint government-stakeholder monitoring and evaluation groups. The government could measure technical indicators (i.e., rates related to seedlings and tree plantation rates and financial management). Stakeholder groups can be in charge of the social and participatory aspects of forest management.

The authors also discuss the important role of participation for conflict resolution, particularly where the livelihood objectives of resource users compete with other objectives such as biodiversity protection. To develop participatory conflict resolution strategies, task managers need a thorough understanding of the social structure and power relations causing conflicts. Task managers should involve all affected stakeholders in resolving the conflict and focus on solutions of underlying interest to users, such as their livelihood. Conflict resolution methods include group consultations and village meetings, negotiations with community leaders and negotiations on acceptable land uses and boundaries.

4. Belle, Arati. 2000. "Proceedings of Biodiversity Conservation and Use: A Seminar via the Internet." World Bank Institute, Washington, DC.

Available from: http://www.worldbank.org/wbi/wbien/nrrp/biodivesity.htm

Keywords: biodiversity, community, community development, community participation, entitlements, market mechanisms, trade agreements, World Bank Institute (WBI)

Abstract

Objectives and Methodology. These proceedings summarize 30 contributions from list-serve subscribers who participated in a month-long electronic discussion about biodiversity conservation. Participants came from individuals, inside and outside the World Bank, who represented project managers, university and non-governmental organization (NGO) staff. The discussion was part of the World Bank Institute's Internet-based Development Forum. The discussion was divided into three parallel list-serve sessions: community participation, market mechanisms to address biodiversity related problems, and the role of international conventions and trade agreements.

Findings. Participants supported local community involvement in biodiversity conservation. These types of biodiversity activities often have the highest stakes and most time available to devote to conservation objectives and resource management. Participation allows biodiversity managers to be in the best position to identify local constraints. However, linking biodiversity conservation with participation has often not worked because international agencies have focused almost exclusively on the technical aspects of

biodiversity protection. Interventions that focus more on the social elements of community development than the technical aspects of biodiversity may be more successful. Discussants observed that participation can raise local expectations. Sometimes communities are disappointed when conservation does not yield sufficient benefits or yield them quickly enough. To make up for this shortfall, projects may make development "gifts." However, locals sometimes view these gifts as entitlements. Some of the gifts may be of greater value than the biodiversity benefits that are intended to be the long-term advantages of the conservation. Another participant stressed the need to get money more directly to communities to bypass inefficient bureaucracies.

5. Bettencourt, Sofia, and Kathleen Kuehnast. 2001. "Protection, Participation and Public Awareness: Indonesia Coral Reef Rehabilitation and Management Project." Social Development Notes No. 57 World Bank, Washington, DC.

Available from: http://wbln0018.worldbank.org/Networks/ESSD/icdb.nsf/D4856F112E805DF4852566C9007C27A6/12BD6FFE6F35211585256A2C0073CB28/$FILE/57-+Indonesia+Coral.pdf

Keywords: community, community involvement, community support groups, community-based, approaches, Coral Reef Rehabilitation and Management Project (COREMAP), councils (inter-village), culturally appropriate plans, Indonesia, inter-village councils, participation, participation evaluations and participatory monitoring, participation management plans, Participatory Rural Appraisal (PRA), project, project design (formulation, planning, preparation), public awareness, social, social assessment, World Bank

Abstract

Objectives and Methodology. This four-page summary summarizes the best practices related to social development in the Coral Reef Rehabilitation and Management Project (COREMAP) in Indonesia. COREMAP aims to establish a viable framework for a national coral reef management system via four components: program strategy and management, public awareness, surveillance and enforcement and community-based management. It is being implemented in 10 Indonesian provinces over 15 years.

Findings. COREMAP has focused on ensuring participation using several approaches. The project has extensively involved NGOs, particularly for conducting social assessments. It has placed NGO-hired field managers on islands to interact with communities, create awareness and support for the program, as well as to form groups to assist in project implementation. COREMAP has formed community support groups around project components such as project management and monitoring. It has enabled communities to propose their own approaches to coral reef rehabilitation, monitoring and infrastructure improvements. The project has also utilized participatory monitoring to involve the local community in the COREMAP project. For example, in the Taka Bone Rate Park Preserve, it has set up a system whereby reef watchers from the local communities monitored and patrolled coastal areas. In addition, a conflict resolution mechanisms was set up to address possible conflicts between local users and outsiders.

The project was designed so that a participatory process would continue throughout project implementation. Participation would be reinforced through: a) a public awareness component, b) the establishment of local committees to enable feedback information from stakeholders on project implementation, c)

strengthened traditional inter-village councils, d) participatory development of management plans, and e) participatory monitoring by beneficiaries. To develop culturally appropriate management plans for the reefs, social assessments were conducted using consultations (with provincial and district level task forces and with village development councils), interviews, focus groups, Participatory Rural Appraisals and surveys. Because a community-based management approach cannot be successful without a supporting legal and administrative framework, the project helped establish a national strategy on coral reef preservation and the Government of Indonesia created a Ministry of Maritime and Fisheries to champion coral reef management. To enhance community management of the reef, the project created a coral reef information network to provide public information and guidelines on the status of the coral reef. In addition, the project supported the establishment of a public surveillance system that coordinated its efforts with reef watchers/ monitors who report any violations. Through a program for enforcement officers, the project is enhancing the capacity of the government.

There are several key participation lessons from COREMAP. Participation of local communities in project design builds sustainability and leads to greater ownership. Partnerships between local universities and NGOs supports project implementation. Also, capacity building on the local level enables communities to participate in ecosystem analysis.

6. Carter, J. (undated). "Recent Experience in Collaborative Forest Management Approaches: A Review of the Key Issues." Issues paper on Collaborative Forest Management for the World Bank Forest Policy Implementation Review Strategy Discussion. Intercooperation, Bern, Switzerland.

Available from: http://wbln0018.worldbank.org/essd/forestpol-e.nsf/hiddendocview/2a739220d0007b6c852567530060d924?opendocument

Keywords: biodiversity costs and benefits, collaborative forest management (CFM), forest policy, government, local, local resource use and rights, social cohesion, social diversity, stakeholders, World Bank

Abstract

Objectives and Methodology. The author prepared this summary of key issues as part of the development of the Bank's new forest policy development process. It provides a general description of collaborative forest management (CFM) and discusses its application and implementation issues.

Findings. The paper defines CFM as "a working partnership between the key stakeholders in the management of a given forest." This definition broadens the range of possible management partnerships beyond only local actors and includes NGOs, donors, companies, migrants and others. CFM management structures can include handing control over to user groups and joint forestry management. The author considers limiting access to buffer zones, leasing forestland, and local collaboration with concessions to be "borderline" CFM arrangements. CFM, from a government's point of view, can be a means of supporting biodiversity conservation but success is dependent on how it is applied in specific circumstances. Too little attention has been paid to whether local communities or government should bear the costs of biodiversity conservation.

CFM is most appropriate when there are certain political, social and forest characteristics. Favorable political elements include the willingness to experiment, support from key

people, a commitment to decentralization and respect for rights by government institutions. Social circumstances relate to common property resource theory. Favorable elements include clearly identifiable users, dependence upon forest resources, trust, a common community understanding of the resource and user-defined rules of use. Favorable forest characteristics include the perception that forest resources are under threat; resources that are small enough to be identified by users and the forest can provide benefits in a relatively short timeframe. In addition, it is important to tolerate divergent views since collaboration does not always translate to consensus. CFM success is aided by access to information and information exchange. In addition, it is helpful to pay attention to supportive larger institutions including everything from national policy to widespread acceptance of the CFM concept.

There are a number of common problems that arise in CFM approaches. There are issues related to excluding some stakeholders and determining who has what rights. Elites often dominate forest committees, some points of view are suppressed and transparency is not always maintained. There are problems with determining how to divide benefits between businesses and communities. Government does not always recognize local rights and sometimes, communities are only allowed access only to degraded forest. One major challenge for CFM is the social diversity within many local communities near forests. These groups sometimes have conflicting interests, needs, institutions, and rights to the forest and cutting edge CFMs have been able to acknowledge and work with all of these diverse groups. To promote effective participation in CFM, several barriers must be addressed: differences in attitudes, visions and values related to participation by donors, government and communities, government resistance to the participation of some stakeholders; failure to acknowledge the great diversity of local actors; introducing non-participatory practices and skewed power relationships when building upon local or indigenous institutions and situations where community representatives become proxies of the organizations that are establishing CFMs. In addition, if CFMs are set up using loans, the author points out, repayment funds are difficult to generate directly from CFM.

7. Castilleja, Guillermo. 1993. "GEF Opportunities for Collaboration between the Global Environmental Facility and Non-Governmental Organizations." In: Davis, Shelton, ed., ***The Social Challenge of Biodiversity Conservation*****. World Bank, Washington, DC.**

Available from: www-wds.worldbank.org (external access) or Imagebank (internal access)

Keywords: Global Environment Facility (GEF), Non-Governmental Organizations (NGOs) (capacity, roles, executing agencies, host country),project, project cycle, World Conservation Union (IUCN), World Wildlife Fund (WWF)

Abstract

Objectives and Methodology. Castilleja's paper examines the role of NGOs in biodiversity protection. It appears along with papers by Peter Poole and Charles Geisler in an edited collection on the "sociology of biodiversity conservation," as it pertains to the work of the Global Environment Facility (GEF).

Findings. Castilleja argues that national and international NGOs are particularly well suited for the tasks being financed by the GEF in the biodiversity area. Government agencies for parks and natural resources are generally weak. NGOs are strongly committed to conservation. Many are able to mobilize and work with local communities.

For GEF biodiversity work, NGOs may be involved in a number of activities. Vis-à-vis the project cycle, NGOs have the potential to be involved in project identification, design, implementation, monitoring and evaluation. They can be applicants for freestanding projects; trustees in trust funds. International environment NGOs (e.g., WWF, IUCN, Conservation International) have currently played a considerable role in project identification and design, The international NGOs have been involved in data collection on the geographic distribution of biodiversity and threats to biodiversity; development of global and regional strategies; building and strengthening local conservation institutions, etc.

Castilleja believes that the GEF has not sufficiently involved national and local NGOs in host countries. National and local NGOs may have less technical expertise but they have experience in local rural initiatives and other approaches to social development. Therefore, the author suggests that national NGOs and grassroots groups are particularly effective in five areas of activities. First, host-country NGOs are well suited to be involved in the design and implementation of management plans for the conservation of protected areas because they are located in the country and integral to sustainability. Second, these NGOs should be involved in the identification of local conservation needs. Host-country NGOs are important sources of information on the state of flora and fauna of specific regions, threats, local land use related to biodiversity and legislative impacts. The third area for host-country NGO involvement is rural development initiatives. Experience shows that some initiatives are best communicated through local NGOs. Fourth, host-country NGOs should be involved in education programs. National NGOs are well placed for educating the urban population on the importance of biodiversity. They can also provide rural populations with information on official initiatives and policies affecting their natural resource use. Fifth, host-country NGOs are better able to get involved in advocacy on behalf of vulnerable communities.

The author contends that in all phases of the project cycle, NGOs would be particularly useful. For example, in project design, NGOs could assess the compatibility of conservation with the welfare of local communities and the feasibility of productive activities aimed at replacing unsustainable use of the protected area. Other NGO inputs could include suggestions for the designation of critical habitat areas to be strictly protected and the different level of protection need for each. NGOs could be involved in analysis of the incentives and constraints to sustainability. Further, they can help to prepare conservation and rural development proposals that support grassroots initiatives. During project implementation, the author suggests that NGOs could help administer the community development fund, provide support for productive activities in the buffer zone, reconcile local interests and resolve conflicts. They could play an instrumental role in continues monitoring of project progress.

There are also limits to the capacities of NGOs and makes recommendations. The author discussed weakness in NGO capacity to handle and administer large sums of money. Some NGOs have difficulties working jointly with governments, regional power-holders and local communities. Therefore, much more attention should be given to this capacity-building process within NGOs. This capacity building can take place when NGOs become an integral part of the GEF project cycle, from identification and preparation to appraisal, implementation and evaluation.

8. Clay, J., J. Alcorn, and J. Butler. 2000. "Indigenous Peoples, Forestry Management and Biodiversity Conservation: An Analytical

Study for the World Bank's Forestry Policy Implementation Review and Strategy Development Framework." World Bank, Washington, DC.

Available from: http://wbln0018.worldbank.org/essd/forestpol-e.nsf/hiddendocview/933a91cc782f210085256889005bfc47?opendocument

Keywords: biodiversity, collaborative management, co-management, Colombia, consultation (consultative workshops), cultural survival, evaluation, forestry, Global Environment Facility (GEF), implementing agency, Indigenous (communities, groups, peoples), Indonesia, Mexico, monitoring, monitoring and evaluation, Papua New Guinea, Participation, Russia, small business development, tenure (rights, security, community-based, devolution, land rights, use rights), transparency, World Bank

Abstract

Objectives and Methodology. This World Bank commissioned this review to assess how the Bank has integrated indigenous peoples in World Bank and the Global Environment Facility (GEF)-funded forestry and biodiversity projects in Colombia, Indonesia, Mexico, Papua New Guinea, and Russia. The paper is intended to assess the adequacy of Bank policies for including indigenous peoples, the ways in which the World Bank is incorporating the concerns of indigenous peoples, as well as identifying and understanding the trends related to indigenous peoples in the biodiversity and conservation portfolio of the World Bank and the GEF. The review methodology is not discussed in the paper.

Findings. Indigenous groups and the people who work with them identified five key issues in the effectiveness of Bank projects: land and resource tenure, participation and consultation, cultural survival, small business development and co-management.

Based on a review of Bank projects and those of other organizations including the World Wildlife Fund (WWF) and the World Conservation Union (IUCN), the authors lists several principles for participation in the participation section of the paper. It is important to find common ground between the implementing agency and indigenous peoples. It is necessary to allow sufficient time for participation, which includes time for indigenous groups to discuss, digest, and communicate concerns about project design and implementation.

Donors should obtain informed consent. However, there are a number of difficulties and pitfalls in determining who is qualified to give informed consent. Therefore, the Bank should set standards for determining what can be considered informed consent. The problem can be partly addressed by providing data and information to various stakeholders and making sure that they understand the issues. The paper lists elders, women, and young men as those who should be consulted at the very least. In addition, donors must accept the right of indigenous peoples to say "no" even when they are well informed. It is important to ensure transparency. Decision-making should be devolved and stakeholders should be informed of decisions in a timely way. The authors recommend the use of agreements that are explicit and formal should be used. In this regard, the paper states that non-governmental organizations (NGOs) often do not legitimately represent indigenous groups.

World Bank-required, state-run accountability mechanisms do not ensure that states are actually monitoring project impacts on indigenous peoples. Bank staff are also constrained in monitoring impacts. Budget constraints force Task Teams to spend little time in-country and provide little time for systematic, site-specific investigations and monitoring. Open communication is important

because goals change with the changing environments and circumstances of indigenous peoples.

The authors have a number of World Bank-specific lessons and recommendations. The World Bank should improve participation through changes in the project design, implementation, and accountability processes. Project timetables and budgets should provide the resources to encourage effective participation. Projects should be examined projects to identify obstacles to indigenous people's participation (e.g., as done with the World Bank's Oaxaca, Mexico forestry project). It is important to shift ownership to beneficiaries and act as an "investment advisor" that can provide technical assistance, monitoring, and advice for achieving goals. The World Banks should provide mechanisms for indigenous peoples to provide constant feedback on project process. In addition, it is crucial to strengthen the capacity of indigenous organizations so that they can run businesses and "work as equals" with governments and corporations. Finally, it is also important to involve indigenous peoples in the design of income generation projects, discussions on property rights, bio-prospecting negotiations.

9. Cruz, C. J. Maria, and Shelton Davis. 1997. "Social Assessment in World Bank and GEF-Funded Biodiversity Conservation Projects: Case Studies from India, Ecuador, and Ghana." Social Development Paper No. 15. World Bank, Washington, DC.

Available from: www-wds.worldbank.org (external access) or Imagebank (internal access)

Keywords: conflict (management, resolution, mapping, risk assessments), consultation (consultative workshops), eco-development (committees, policies), Ecuador Biodiversity Protection Project , Ghana Coastal Wetlands Management Project, Global Environment Facility (GEF), India Eco-Development Project, mapping, ownership, Participatory Rural Appraisal (PRA), social, social assessment, socioeconomic surveys, stakeholder involvement, participation, World Bank

Abstract

Objectives and Methodology. This report analyzes the use of the social assessment (SA) in three areas of the world and looks at key social and participation issues that are relevant across regions. The three cases are the India Eco-Development Project, Ecuador Biodiversity Protection Project and Ghana Coastal Wetland Management Project. In this paper, social assessment is defined as a process that contributes to the design and implementation of biodiversity activities by identifying stakeholders, describing activities that threaten biodiversity, defining potential conflicts among stakeholders, facilitating stakeholder participation and determining appropriate institutional arrangements.

Findings. The three case study projects had several commonalities, as well as differences. For the three cases, commonalities included adequate institutional and financial arrangements, the role of NGOs, similar choices of sociological field methods and participatory tools, linkages between the SA findings and the overall project design and concept. In all three projects, NGOs designed and carried out the SAs and became active partners in these projects aspects. The case studies differed in the duration of their social assessments, the institutional arrangements and the integration of the SA with other types of data collection. In India, national NGOs were very involved in a two-year social assessment that included site surveys, PRA training and joint state forestry-parks-NGO teams for PRAs. In Ecuador, five NGOs conducted socioeconomic surveys including PRAs, site surveys, mapping and consultations. In Ghana, the SA lasted one year.

Methods included socioeconomic surveys using key informants interviews, direct observations and analysis in ethnographies, extensive use of historical photographs and mapping, as well as NGO-organized bird and habitat surveys with village participation.

To ensure that the SA was an integral part of the project design and implementation and not just a stand-alone or academic exercise, the three case projects used different methods to link the SA with the central project concept, project activities and participatory approaches during implementation. The India project conducted joint government-NGO-community PRAs and micro planning, as well as consultative national workshops that provided the opportunity for a broad stakeholder discussions of social issues such as land tenure reform. A series of eco-development management interventions emerged out of these local micro-planning exercises. The Ecuadorian project also used national level coordination meetings for all stakeholders and they planned to incorporate the SA findings into protected area training courses on conflict management. Finally, researchers from the University of Ghana-Legon presented the results from their social surveys to the planning committees (LSMCs), who, in turn, identified project activities to be financed through the village development fund. SA linkages have also been made when the community officers, who are based at the project site, conducted follow-up surveys and meetings with stakeholder groups.

For SAs to be relevant to project design, three factors are necessary. First, they must be country-driven. The project executing agencies and local stakeholders must take ownership. Second, SAs must start early and continue to be integrated throughout the project cycle. Third, SAs must provide project-relevant recommendations about how to adapt the project design to highly dynamic and sometimes unpredictable social situations.

The authors make several recommendations to significantly improve biodiversity project design and performance. They recommend greater recognition of the changing human demographics and social diversity of the populations who are dependent upon protected area resources. Conservation planning can also be improved through greater incorporation of cultural factors. Biodiversity projects can benefit from the careful design of institutional mechanisms for effective participation and project approaches that emphasize capacity strengthening and conflict management (e.g., resolving or reducing persistent conflicts over land tenure and resource access by traditional user communities by clarifying the relationship between national conservation laws and ancestral or customary property rights). With regard to the innovative institutional structures created for conservation purposes, biodiversity projects need to assess, during implementation and monitoring and evaluation, whether these new participatory and decentralized local site management committees have greater success in conserving threatened biological resources than the centralized and custodial PA management forms of the past (e.g., Ghana).

The report suggests that project performance of World Bank/Global Environmental Facility (GEF) biodiversity projects can be improved through the more systematic incorporation and operationalization of SAs and participation. The World Bank and the GEF should focus more attention on improving the SA and stakeholder participation-related skills of task managers and project executing agency staff skills. Both the World Bank and GEF should devote more attention to documenting and analyzing the decision-making process in biodiversity projects. Most project documents have very limited information on how decisions are made, who makes them and the implications of these choices for project design and performance. Finally, projects would benefit from the

systematic use of sociological recording techniques as process documentation, PRA, beneficiary assessments and the use of popular media.

10. Davis, Gloria, and Ken Newcombe. Global Environment Facility (GEF). 1994. Incorporating Social Assessment and Participation into Biodiversity Conservation Projects. Washington, DC, World Bank.

Available from: Request from World Bank-GEF Knowledge Bank at http://wbln0018.worldbank.org/essd/geo.nsf/knowledge+base+view/publications?opendocument

Keywords: capacity, capacity building, demographic factors, gender (analysis and considerations), Global Environment Facility (GEF), land use, livelihood (strategies, systems), organizational (roles and structures), political structures, project, project cycle, project design (formulation, planning, preparation), resources (sharing, use), risks, social, social assessment, social controls, social issues, social threats, stakeholder consultation, tenure (rights, security, community-based, devolution, land rights, use rights), threats

Abstract

Objectives and Methodology. This Best Practice Note, aimed primarily at GEF and World Bank Biodiversity Task Managers, provides an overview of some key considerations in the design of social assessment (SA) during the project cycle and incorporating the SA results into project management plans. The authors consulted with GEF and World Bank practitioners, as well as NGOs and government counterparts. Future plans included field-testing of participatory approaches and SA methodologies in at least six GEF biodiversity conservation projects.

Findings. SA designs should include four elements: determination of key stakeholders and their involvement in project formulation, identification of key social issues and risks likely to affect project design and performance, determining relevant project boundaries and identifying conflicts. Once identified, stakeholder can participate in conservation activities in a variety of ways and at different levels (e.g., consultation and negotiation regarding area selection, boundary demarcation and project design; management of protected areas, trust funds and endowments). The SA should consider what is socially feasible in a given setting and what is feasible in the wider social and political context. Key social issues include demographic factors, capacity for participation, gender considerations, tenure rights and security, livelihood systems, social controls and political and organizational structures. As part of the SA, a holistic understanding of both immediate and policy-related threats, by locals and non-locals, helps project managers determine project boundaries. Immediate threats may include large-scale development or infrastructure projects, expanding agricultural frontiers, illegal hunting, logging, fuelwood collection, controlled burning, land settlement and cattle grazing. Land use is fraught with local, regional and national conflicts and new biodiversity management systems are often instituted without adequate stakeholder consultation and agreement. The authors found that the SA and participatory strategies can be the first steps toward instituting processes that help to resolve numerous short-and long-term conflicts over resource use.

The three main outputs from the SA feed into project management plans: a) strategies for ongoing stakeholder participation (i.e., who would be involved, how often, resources required, etc.); b) strategies for project delivery (i.e., improving projects by identifying stakeholders and effectively working with them (e.g., hiring, joint management, devolution of

management responsibilities, etc.); c) assessing social impacts and proposing mitigating actions, where necessary.

SA can be effectively incorporated throughout the project cycle:

- At the project identification stage, the SA should review project options, discuss the nature of support requested, project objectives, anticipated resources and time frame, potential conflicts and risks with policy makers. Besides identifying stakeholders, the SA at project identification can begin to clarify unresolved social and cultural issue and establish the framework for stakeholder consultation and participation. The SA lays the groundwork for other research activities needed during preparation (e.g., socio-cultural surveys, institutional analysis). It helps to identify the organizations, research organizations and NGOs, preferably in-country, that can carry out some of the SA. Specific to conservation, the SA can gather information on the legal context for conservation management.

- During the preparation stage, the SA should be carried out as an integral activity that links social components to biodiversity conservation objectives.

- At the appraisal stage, task managers discuss the results of the technical studies and the SA with government counterparts. Field visits should be made to evaluate the SA and the preparation process and determine whether an adequate number of stakeholders were involved. The SA at this stage should discuss the key social issues and relevant strategies. It should lay the groundwork for the monitoring and evaluation indicators and plans for use of SAs for part of the feedback and response systems.

- For ongoing monitoring of conservation projects, the authors propose that stakeholders continue to be informed about, or participate in these activities.

11. GEF (Global Environment Facility). 2001. "Participation Means Learning Through Doing: GEF's Experience in Biodiversity Conservation and Sustainable Use." GEF Lessons Notes 12. Global Environment Facility, Washington, DC.

Available from: http://www.gefweb.org/ResultsandImpact/Monitoring___Evaluation/GEF_Lessons_Notes/gef_lessons_notes.html

Keywords: Argentina, behavioral change, bureaucratic reform, conflict (management, resolution, mapping, risk assessments), Congo Wildlands Protection and Management Project, decentralization and devolution, decentralized management, Dominican Republic Biodiversity Conservation and Management in the Coastal Zone Project, Ghana Coastal Wetlands Management Project, Global Environment Facility (GEF), legislation, livelihood (strategies, systems), Madagascar Environment Program Support, Nepal Biodiversity Protection Project, Panama, Philippines Conservation of Priority Protected Area Project, stakeholder involvement, participation, user groups, village-based project committees, Yemen Socotra Archipelago Project

Abstract

Objectives and Methodology. As part of a larger Biodiversity Program Study for the Monitoring and Evaluation Unit of the GEF, a team studied stakeholder participation and social issues, including science and technology. This GEF Lessons Note is a short 4-page summary of the longer study by Singh and Volonte (2001) (see below). The study team reviewed available project documentation for 30 GEF-financed biodiversity conservation and sustainable use

projects that had been or were near completion. Excluding enabling activities, these projects represented 30 percent of the total GEF allocation.

Findings. The findings indicate that the degree of stakeholder participation varies by country and by project, but the most effective approaches were those designed at the local or community levels. Document review indicated that stakeholder participation was comprehensive in 30 percent of the projects, satisfactory in 25 percent and partial in 20 percent. Local and international non-governmental organizations (NGOs) and scientific institutions are engaged in over 75 percent of the projects; village groups participate in more than 60 percent and only about 25 percent involve the private sector.

The review documents how projects have used a "learning through doing" approach that adjusts project design to respond to changing field realities and applies adaptive management (also known as learning and innovation or process dynamics. Mistakes have led to constructive learning: a) stakeholder participation, especially by affected communities, is essential if behavioral change is expected (e.g., introducing new farming alternatives such as agroforestry under the Madagascar Environment Program Support), b) reducing conflicts by using participatory appraisals to identify and address rural needs during activity design (e.g., working with local Panamanian NGOs on participatory appraisals with indigenous communities to reduce park boundary conflicts, develop co-management plans, set up micro-credit schemes and tribal representative for project committees), and c) risk assessments are critical in areas under political and socioeconomic instability (e.g., despite unrest, working with international and local NGOs, using a community-based conservation approach with decentralized project funding and disbursements under the Congo Wildlands Protection and Management Project).

Several projects built community-based stakeholder participatory systems into their implementation structure to sustain biodiversity conservation activities: user groups, village-based project committees, legislation for decentralized management and bureaucratic reform and devolution of authority. Community-managed forest areas increased by more than 40 percent when the Nepal Biodiversity Conservation Project established Community Forest User Groups and Grazing User Groups with the legal authority to enforce their own rules and manage their own funds. The coastal and inter-coastal committees of the Argentina Patagonia Project became self-sufficient through income earned from small livelihood projects and decreased their dependence on government. The Village Site Management Committees of the Ghana Coastal Wetlands Management Project generate greater consensus and support for coastal resource conservation because village elders and local government officials were involved. By building upon the National Integrated Protected Areas Law, the Philippines Conservation of Priority Protected Areas Project was able to mainstream a sustainable, government-funded multi-stakeholder structure (Protected Area Management Boards) into park management. In both the Dominican Republic (Biodiversity Conservation and Management in the Coastal Zone Project) and in Yemen (Socotra Archipelago Project), project staff are being hired as civil servants – including community develop specialists in the Dominican Republic and extension agents who are villagers in Yemen.

In the final analysis, the review makes the following recommendations: a) incorporate results from social analysis into project design;

b) use participatory approaches to address root causes of biodiversity loss, and c) recognize the difficult livelihood choices of communities and their trade-offs.

12. GEF (Global Environment Facility). 1998. "Lessons from an Integrated Conservation and Development Experiment" in Papua New Guinea." GEF Lessons Notes No. 3. Global Environment Facility, Washington, DC.

Available from: http://www.gefweb.org/ResultsandImpact/Monitoring___Evaluation/GEF_Lessons_Notes/English3PLN.pdf

Keywords: environmental awareness, Global Environment Facility (GEF), Lak Integrated Conservation and Development Project, lessons learned and learning, logging, Papua New Guinea, project, project site choices, social, social cohesion, social diversity, social feasibility study

Abstract

Objectives and Methodology. This GEF Lessons Note briefly describes the context and activities for the Lak Integrated Conservation and Development (ICAD) Project and then summarizes the lessons learned. The project is located in New Ireland Province, which is an island in the Papua New Guinea (PNG) archipelago. It began in 1994 and ended in 1996.

Findings. The United Nations Development Programme (UNDP) helped the Government of PNG to establish a conservation area in the southern part of New Ireland Province under PNG's GEF-funded Biodiversity Programme. The Lak ICAD Project was intended to address severe logging threats to biodiversity by addressing both conservation goals and meeting local development needs in a sustainable manner. However, the project had difficulty meeting these goals because of already active logging operations and PNG's particular social, political and economic environment. The social and economic environment was unsupportive. Among stakeholders, there was no basic conservation philosophy or environmental awareness, communication was poor and social cohesion and cooperation was inadequate. Consequently, UNDP and the PNG government terminated the Lak ICAD project in 1996.

Several Lak experiences have contributed to the greater success of other projects. For example, although biological criteria may be used to identify broad areas of interest for conservation, socioeconomic criteria must dictate the actual choice of a project site. To identify important preconditions for the success of an integrated conservation and development project, it is crucial to conduct an initial social feasibility study. To develop realistic and productive community attitudes towards the project, projects must pay more attention to the style and substance of their initial contact with a community. Furthermore, the level of a project's on-site presence should match the community's commitment to the project.

13. GEF (Global Environment Facility). 1998. "Study of GEF Project Lessons: Summary Report." Global Environment Facility, Washington, DC.

Available from: http://www.gefweb.org/ResultsandImpact/Monitoring___Evaluation/Evaluationstudies/evaluationstudies.html

Keywords: disseminating lessons, East Asian Seas Projects, feedback, feedback mechanisms, Global Environment Facility (GEF), Jordan, Lak Integrated Conservation and Development Project, lessons learned and learning, Papua New Guinea, participation, participation processes, Philippines, Slovakia Biodiversity Project, stakeholder involvement, participation

Abstract

Objectives and Methodology. This summary report highlights the principal findings and implications of a Global Environment Facility (GEF)-commissioned study of lessons learned from GEF's pilot phase. The Global Environment Facility's (GEF) Senior Monitoring and Evaluation Coordinator commissioned the study in April 1997 and Resources Futures International conducted the study and prepared this report. The intended audience was project and task managers of GEF projects.

Findings. The study comes to similar conclusions for participation by the private sector, different levels of government and communities. Stakeholder involvement is a main feature of the GEF. This emphasis has brought a wide range of new players into GEF-funded projects. Although GEF projects have been designed to have global environmental impacts, they will succeed on a sustained basis only if they meet the needs of their participants. Participation of stakeholders at all levels has to be full and genuine. Project staff need to understand the perspective of stakeholders and how they came to have their attitudes and practices. They need to deal effectively, but neutrally, in a political environment. Participation must be a continuous, long-term process to involve stakeholders in making decisions about matters that affect them rather than by intermittently informing participants of what the project intends to do, or even by periodic consultations with them. To bring stakeholders together and give them a voice, projects often require a vehicle or specific focus. These participatory processes take time but are all too often rushed, at the expense of project success and sustainability. Project staff and organizations need social, political and managerial skills, as much as technical knowledge, and they require training and continuous support. Attention to these matters is a central feature of projects that have succeeded and these approaches and activities need to be explicitly built into current and future GEF activities.

The study looked at successful projects, and the staff associated with these projects (e.g., workshops for experience sharing among the Slovakia Biodiversity Project and others in Central and Eastern Europe, cross-project sharing within Jordan about income-generating alternatives for pastoral communities, site visits by Batangas Bay staff from the Philippines to the Xiamen, China site of the East Asian Seas Project, cross-project learning about integrated conservation and development projects by the Lak Integrated Conservation and Development Project in Papua New Guinea as well as documentation of lessons learned from obstacles and adaptations made for a new site). The authors found that these projects and staff consistently learn and benefit from both their own experience as well as the experiences of others. Even well designed projects evolve continuously and their managers need to be able to deal with a variety of technical, social and political issues at the same time. Successful managers pay careful attention to feedback from project staff and participants and in response, they promptly modify and improve projects. These staff also regularly look beyond their own four walls for ideas and solutions and they make it a priority, although it is sometimes difficult to obtain this information and usually difficult to find time to read and digest it.

To reinforce project and staff learning, the authors have a number of recommendations. GEF projects should budget sufficient time and resources for learning and disseminating lessons. Staff incentives should help staff to learn from their experience and that of others. In addition, the GEF should seek out opportunities for comparison, cross-fertilization and sharing of experiences, both within and among its four focal areas. The study

recommends that GEF systematically document lessons learned and good practices. It is also important to experiment with different types of mentoring programs. GEF needs to provide relevant and timely information to project and task managers through a variety of print and electronic media, as well as workshops and training opportunities.

14. GEF (Global Environment Facility). 1996. "Public Involvement in GEF-Financed Projects." Global Environment Facility, Washington, DC.

Available from: http://www.gefweb.org/Operational_Policies/Public_Involvement/public_involvement.html

Keywords: accountability, Global Environment Facility (GEF), ownership, public involvement policy, stakeholder involvement, participation

Abstract

Objectives and Methodology. This document on the public involvement policy of the Global Environment Facility addresses stakeholder participation issues. It provides the definitions and rationale for participation (Part 1) and the basic principles for incorporating participation in GEF projects (Part 2).

Findings. The policy offers useful definitions and a rationale for including stakeholders in GEF activities. Stakeholder participation is defined as collaborative engagement in identifying project concepts, objectives, site selection, activity design, and monitoring and evaluation. Stakeholders are "the individuals, groups, or institutions that have an interest or stake in the outcome of a GEF-financed project." Stakeholder participation is seen as a means to enhance country ownership and accountability, address the needs of those affected, build partnership between implementers and stakeholders and make use of skills, experience, and knowledge.

The policy specifically mentions that biodiversity projects affecting local populations should include extensive stakeholder participation and lays out basic principles that cover responsibility for participation, timing and documentation of participation and funding for all projects. The responsibility for assuring public involvement rests with the country government and the agency or agencies executing the project. Stakeholders should be involved early in project identification and throughout design, implementation, and evaluation. All projects should fully document participation. Furthermore, the policy states that the GEF will include funding for technical and financial assistance that enable governments and executing agencies to carry out effective stakeholder participation.

15. Kirmse, Robert, and Estanislao Gacitua-Mario. 1998. "Social Assessment Builds a Project for People and Parks in Argentina." Social Development Notes No. 38. World Bank, Washington, DC.

Available from: Social Development, The World Bank, 1818 H Street, N.W., Room MC5-232, Washington, D.C. 20433 USA; Fax: 202-522-3247; E-mail: sdpublications@worldbank.org
Keywords: Argentina Biodiversity Conservation Project, biodiversity, collaboration, community, community participation, Global Environment Facility (GEF), Non-Governmental Organizations (NGOs) (capacity, roles, executing agencies, host country), private sector, protected areas, social, social assessment, stakeholder identification, sustainability, sustainable land-use, World Bank

Abstract

Objectives and Methodology. This Social Development Note provides a brief description

of the use of social assessment (SA) methodology in the Argentina Biodiversity Conservation Project and summarizes the lessons learned.

Findings. The project utilized several SA methods: a census, surveys, interviews and workshops. The project found that an effective SA required several elements. It was helpful to hire a social assessment specialist. In each protected area, a consultative commission was created to institutionalize participation. In addition, it was useful to develop a social assessment program to collect data, monitor the implementation of the mitigation plan and provide participatory management skills.

There were several positive results from using SA methodology in the Argentina Biodiversity Conservation Project. The SA helped the Government of Argentina/World Bank team to develop a cooperative approach to protected areas management. By doing the SA, the project was able to identify key stakeholders, understand their priorities and find local support for the creation of protected areas. The SA and the participatory research helped the task team understand the range of potential social impacts and risks to the project, including the risks for the people who were living in the proposed protected areas. The project was able to prepare for the social and economic impacts of creating PAs and learn about the expected impacts of resettlement. The resulting recommendations were put forth in a project mitigation plan and a public participation/ training plan. Both plans promote collaboration among the public sector, private sector, and non-governmental organizations (NGOs) and increased community participation in protected areas management. They also recommend sustainable land use practices to reduce the threats to protected areas.

16. Geisler, Charles. 1993. "Adapting Social Impact Assessment to Protected Area Development." In: Davis, Shelton, ed., *The Social Challenge of Biodiversity Conservation.* World Bank, Washington, DC.

Available from: World Bank Imagebank

Keywords: Global Environment Facility (GEF), protected areas, social, Social Impact Assessment, social impacts

Abstract

Objectives and Methodology. Geisler reviews the literature on Protected Areas Social Impact Assessment (PASIA). His contribution appears along with papers by Guillermo Castilleja and Peter Poole in an edited collection on the "sociology of biodiversity conservation," as it pertains to Global Environment Facility (GEF) work.

Findings. Over the last few years, social scientists have adapted Social Impact Assessment (SIA) methodology to protected area projects. SIAs are designed to address the potential, probable or unintended social effects of a proposed development project. They have provided project managers with a better understanding of the complex social and natural system interactions resulting from protected area projects.

SIA has been faulted for limitations on a number of fronts. In practice, SIA clings to the design stage and largely ignores the opportunity to establish an extended, multi-stage process approach to impact assessment. Single-stage social assessments are likely to overlook surprise, accident or cumulative effects. For example, federal policy towards protected areas can change in abrupt and unexpected ways (e.g., Uganda's 1972 military coup that led to poaching by the army). There are often changes in land ownership due to the establishment of parks and reserves and some protected areas protect aboriginal rights

whereas others extinguish these rights, particularly those in pastoral or seasonal use areas. Other overlooked effects may include changes in land values, social stratification, power structures and the values and perceptions of local resident population.

Given these critiques, the author recommends incorporating SIAs throughout the project. Human efforts to manage complex ecosystems are often fraught with difficulties and occasional folly. In some cases, SIA is problematic and paradoxical because the diversity of species that are subject to human control may actually decline and trigger ecosystem setbacks. Therefore, Geisler argues that it is vital that a post hoc or adaptive management approach be taken when SIA is factored into protected area projects. Such an approach, which the author argues is well adapted to the World Bank project cycle. It provides the opportunity for continuously monitoring and evaluating the people/protected area equation during the life cycle of a project and beyond.

17. Molnar, Augusta. 1996. "Mexico Resource Conservation and Forest Sector Review: Incorporating Social Assessment into Economic and Sector Work." Social Development Notes No. 23. World Bank, Washington, DC.

Available from: www-wds.worldbank. org (external access) or Imagebank (internal access)

Keywords: customary law, forest communities, forest enterprises, Mexico Resource Conservation and Forestry Sector Review, policy recommendations, social, social assessment, tenure (rights, security, community-based, devolution, land rights, use rights), workshops (including multi-state workshops), World Bank

Abstract

Objectives and Methodology. This short report summarizes how a joint Government of Mexico-World Bank team incorporated social assessment (SA) into their analytical work for a comprehensive review of the Mexico Resource Conservation and Forestry sector work and the outcomes of the SA. The SA investigated the potential of the communities and *ejido* forest owners to develop and assess six issues: a) viable forest enterprises, b) regional, cultural and gender differences, c) the influence of the populations' relationship with its forest and wildlands, d) the internal and external constraints to community organization, e) the pressures on environmentally important areas, and f) the potential for income-generating strategies that would not degrade the resource base. Data collection included multi-state workshops that were led by an field-experienced team of local NGO staff and included representatives of indigenous groups who were managing forest lands. The SA also included gender analysis by gender specialists and focus groups that used drawings, photographs and other interactive diagnosis materials to elicit stakeholders' attitudes about government employees.

Findings. The SA process had several positive results. It allowed forest communities to articulate their interests. It raised the awareness of policymakers regarding the potential for development in the sector. The process provided a forum to indigenous forest communities to analyze their own problems and devise appropriate development options. The use of a participatory approach for a sector review allowed the Bank team and government to reach consensus on key sector issues. They were able to draft a document that reflected local realities and smoothed the way for identifying and designing a participatory project. The approach also facilitated the process of turning

review recommendations into policy such as deregulating productive forest activities. It helped the government to shift their practice towards decentralization and greater participation in resource conservation and forest development.

The SA revealed several policy recommendations related to resource conservation and forest sector work in Mexico. The tenure rights for private, communal and public forests and wildlands need clarification, through boundary demarcation and adjudication. Laws and procedures should be reviewed to improve the ability of communities to enter into joint partnership with private partners. The forest regulatory frameworks should take into account customary law and cultural values. The SA also helped to underscore how the potential poverty reductions possible from making communal forest enterprises commercially viable and sustainable.

18. Mott, Jessica. 1996. "India: Using Social Assessment to Foster Participation in Protected Areas." Social Development Note No. 21. World Bank, Washington, DC..

Available from: www-wds.worldbank.org (external access) or Imagebank (internal access)

Keywords: conflict (management, resolution, mapping, risk assessments), eco-development (committees, policies), Global Environment Facility (GEF), India Eco-Development Project, protected areas, social, social assessment, World Bank

Abstract

Objectives and Methodology. This short paper summarizes the use and value of social assessment in the India Eco-Development Project. This project used the following SA methods: stakeholder workshops, consultations and PRA.

Findings. To conserve biodiversity, the state governments and India's Forest Department developed an extensive network of protected areas over the last 20 years. . When Indian Government, the World Bank and the Global Environment Facility launched the Eco-Development Project, project teams were interested in the promise of participatory resource management programs. The participatory approach to project design included collaborating NGOs. To avoid a rigid blueprint design, the project focused instead on an indicative planning approach that sought to build stakeholder consensus around an iterative Eco-Development Action Plan that could be adapted over the life of the project.

The social assessment (SA) had many positive results. The SA made a complex project less difficult to prepare for task managers. It was a good starting place to encourage the on-going participation and commitment of stakeholders and nongovernmental organizations (NGOs) in the project. The concerns of communities and the other socioeconomic and biophysical information collected during the SA were fed into project implementation and monitoring. The SA helped to create synergies between project planning and monitoring (e.g., legal and usufruct rights and status concerns were integrated into site-specific planning and monitoring). The SA also identified vulnerable groups. The SA also enabled stakeholders to identify interactions between parks and people and map out potential and actual conflicts. If left undetected and unresolved, these conflicts would jeopardize implementation. Communities and park officials found a mutually agreeable framework for on-going participation during project implementation. They identified ecologically appropriate development activities and livelihoods for both groups and the SA helped to develop site-specific strategies. In addition, the project designers were able to build upon other Indian experiences with

people's involvement in forestry, conservation, and rural development projects.

19. Poole, Peter. 1993. "Indigenous Peoples and Biodiversity Protection." In: Davis, Shelton, ed., *The Social Challenge of Biodiversity Conservation.* World Bank, Washington, DC.

Available from: www-wds.worldbank.org (external access) or Imagebank (internal access)

Keywords: biodiversity conservation and protection, Ecuador, Global Environment Facility (GEF), indigenous conservation areas, Non-Governmental Organizations (NGOs) (capacity, roles, executing agencies, host country), participation

Abstract

Objectives and Methodology. Poole's paper looks at the role of indigenous people in biodiversity protection. It appears along with papers by Guillermo Castilleja and Charles Geisler in an edited collection on the "sociology of biodiversity conservation," as it pertains to Global Environment Facility (GEF) work.

Findings. The participation of indigenous peoples in biodiversity protection is critical. Indigenous peoples inhabit many of the remaining areas of high biodiversity. They possess traditional knowledge and practices that have been proven historically to be sustainable in such environments. Indigenous people possess rights to relatively large amounts of land that either overlap or are contiguous with protected areas. They have close attachments to their ancestral lands and often hold advantage over other rural social sectors because they have the possibility, through ancestral land claims, of regaining some measure of control over lands and resources.

The author notes that there are several new experiments where indigenous people are cooperating with government agencies and NGOs in the protection of wildlife, forest and fisheries. In many cases, the protection of biodiversity by indigenous peoples is a direct result of their subsistence-oriented domestic economies. However, where indigenous peoples move towards a market-oriented relations such as commercial wildlife hunting or wild plant extraction, it is necessary to introduce more systematic environmental research and management to ensure the sustainability of biological resources.

At present, there are a few examples of dedicated indigenous conservation areas, because indigenous land claim areas or reserves are seen to fulfill this function. There are some experiments with innovations that express sustainable use principles in conservation (i.e., extractive reserves) or through the use of "forest belts" to protect natural areas. One indigenous protected area is the Awa Ethnic Forest Reserve in Ecuador. The Awa people in Ecuador stopped logging activities in their community by surrounding their forest reserve by a 200 km boundary of planted gardens and orchards and announcing that the land is under active cultivation. A few other indigenous groups in Latin America have spontaneously decided to establish conservation areas.
In Canada, the Department of Fisheries and Oceans (DFO) spent 10 million Canadian dollars in 1991 to support 120 community-based, fisheries co-management projects in British Columbia. These fisheries are in crisis, both ecologically and in terms of competing interest groups. From their participation in land claim negotiations elsewhere, the DFO officials recognized that agreements over resource access and management was essential for settlement. Therefore, in negotiations, all project proposals were required to originate within communities and tribal councils.

Poole suggests that the types of indigenous environmental research and management programs being pursued by Canadian indigenous groups and other groups have implications for other areas, such as the Amazon region of South America. He recommends the creation of a pilot program, perhaps under GEF auspices. This program could allow representatives from indigenous groups that are experimenting with innovative models to serve as technical assistance specialists to other indigenous communities.

20. Porter, G., R. Clemencon, W. Ofosu-Amaah, and M. Philips. 1997. "Study of GEF's Overall Performance." Global Environment Facility, Washington, DC.

Available from : http://www.gefweb.org/ResultsandImpact/Monitoring___Evaluation/Overall_Performance_Studies/ops.pdf

Keywords: biodiversity, biodiversity conservation ethic, Global Environment Facility (GEF), portfolio performance review, stakeholder involvement, participation, United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP), World Bank

Abstract

Objectives and Methodology. Sections D and E of this Global Environment Facility (GEF) portfolio performance review provide an overview of the GEF's policies on stakeholder participation, participation performance by the GEF implementing agencies (World Bank, UNDP, and UNEP) and trends in participation in GEF projects. Section E of this review lists the recommendations from an evaluation of reforms made since a 1994 GEF Pilot Phase evaluation. The team conducted a document review of the first round of GEF projects. For this study, stakeholders included academia, international, national, and local NGOs, and the private sector.

Findings. For all GEF projects, the study provides some generic observations about participation. Although the GEF's participation policy requires projects to provide information to stakeholders and document stakeholder consultations, project documents use varying interpretations of what constitutes a "consultation." In addition, it is common for consultations to be viewed as an end and for projects to fail to follow-up with participants after the consultations. However, in general, it is more common for GEF project documents to document the use of participation in discussions and provide specific plans for project participation. To bring governmental and non-governmental stakeholders together, projects have used a variety of institutional mechanisms such as stakeholder councils and advisory committees. GEF projects have relied on NGOs to execute projects and to provide policy and advisory services and it is more common for Trust Fund projects than other types of GEF projects to use NGOs for implementation. In general, GEF projects seem to be paying more attention to making "adequate" budget allocations for the participation components of projects. However, the authors point out that, in some cases, "it is difficult to separate consultation activities from the public education and awareness components." Some project allocate as much as 50 percent of their budgets for local-level activities but the study did not document the percentage of GEF projects that include allocations at this level.

In reviewing progress since the 1994 evaluation, the authors expressed concern about the lack of adequate governmental and broad-based community participation in the pilot phase of GEF projects. In some countries, government has prevented the participation of key

ministries. The evaluators pointed out that participation is a required element of all GEF proposals but that it is not always carried out in practice. The GEF Secretariat is in the process of developing indicators of stakeholder participation.

The study team makes several specific observations about participation in biodiversity projects. There are a number of difficulties associated with biodiversity projects. GEF biodiversity projects sometimes have a reputation for being overly long and complex. There is often tension between conservation planners, managers and local communities. Biodiversity projects must secure the collaboration of communities in buffer zones and promote a "biodiversity conservation ethic" among stakeholders. Implementing agencies generally have limited multidisciplinary experience and capacity in the mainstreaming of social and gender concerns. However, the authors note that those projects that have taken the time to implement broad-based stakeholder participation have had positive impacts.

21. Singh, Shekhar, and Claudio Volonte. 2001. "Biodiversity Program Study." Global Environment Facility, Monitoring and Evaluation Unit, Washington, DC.

Available from: http://www.gefweb.org/ResultsandImpact/Monitoring___Evaluation/Evaluationstudies/Biodiv_Program_Study.pdf

Keywords: benefits, benefit sharing, biodiversity projects, feedback, feedback mechanisms, Global Environment Facility (GEF), lessons learned and learning, project, project design (formulation, planning, preparation), protected areas, root causes, stakeholder involvement, participation, sustainability, sustainable land-use, workshops (including multi-state workshops)

Abstract

Objectives and Methodology. This study focused on Global Environment Facility (GEF) biodiversity projects and had three main objectives. First, it was structured to highlight and assess the achievements, initial impacts and lessons learned from the GEF biodiversity portfolio. Second, the study conducted an analysis of the area covered by GEF-assisted projects and third, it assessed the mechanisms for incorporating lessons learned into more recently approved projects. The Global Environment Facility Secretariat sponsored the study, in collaboration with the United Nations Environment Program, the United Nations Development Program, the World Bank and the GEF Scientific and Technical Advisory Panel. Research was conducted between September 2000 and March 2001. Projects for analysis were divided into two groups. The first group of 82 projects included all full and mid-sized projects under implementation and also those completed as of June 30, 1998. The second group, composed of 128 projects, included all full and mid-sized projects that started implementation or entered GEF Work Program between July 1, 1998 and June 30, 2000. The methodology was comprised of a quantitative evaluation of the portfolio and a qualitative assessment of the achievements, initial impacts and lessons learned from the GEF biodiversity projects.

Findings. The study found that most biodiversity projects had either planned and/or implemented participatory approaches. Stakeholder participation was comprehensive in around 30 percent of the projects reviewed, partial in more than 20 percent and at least planned in another nearly 25 percent of the projects (although data was unavailable as to implementation and extent of participation). For the remaining projects, participation was either poor (9 percent), absent (12 percent) or data was unavailable (4 percent). For protected area projects (a sample that included a large

proportion of the biodiversity projects), the study found that more than half of these were assessed to have fully or mostly met their participation objectives. Approximately half of all PA had comprehensive or partial stakeholder participation, some benefit sharing activities and some measures for ensuring sustainability.

The authors made a number of recommendations. After looking for differences between completed and newer on-going projects, the authors suggest that better feedback mechanisms are needed to transmit lessons learned. Although approximately half of the projects reported incorporating some lessons from past projects into their design, a third of the projects had not considered lessons learned. The authors found minimal differences between the achievements and impacts of completed and newer on-going projects. The study recommends the first step in any project planning or design process must be the identification of root causes that have led to the degradation or decline of biodiversity. All production areas projects should include related production landscapes that are available for communities. All projects should conduct a capacity assessment exercise prior to project initiation since the projects were working with institutions without much previous experience in stakeholder participation. Where appropriate, project preparation should include a project design workshop. These workshops should involve critical stakeholders, in the country or region, to get initial ideas about designing the project. Projects should appropriately involve the private sector in project activities and support, when appropriate. Finally, funding patterns during the project must be compatible with the economic realities of the host country.

22. Smith, Scott, and Alejandra Martin. 2000. "Achieving Sustainability of Biodiversity Conservation. Report of a Global Environment Facility Thematic Review." Monitoring and Evaluation Working Paper 1. Global Environment Facility, Washington, DC.

Available from: http://www.gefweb.org/1_Biodiversity-nocov.pdf

Keywords: biodiversity awareness, biodiversity conservation and protection, capacity, capacity building, Conservation of the Dana Wildlands and the Azraq Oasis Project, financing, Global Environment Facility (GEF), incentives (economic, other), institutional capacity, strengthening, institutions, Jordan, Mexican Nature Conservation Fund, Mexico, policy framework, political will, project, Project Implementation Review, resources (sharing, use), sustainability, sustainable land-use, World Bank

Abstract

Objectives and Methodology. As part of the 1998 GEF Project Implementation Review, the Board decided on a thematic review agenda to be carried out by the GEF Monitoring and Evaluation (M&E) team in 1999. GEF's implementing agencies and Secretariat encouraged the M&E team to expand the theme review on the financial sustainability of biodiversity project to include other factors that influence the overall sustainability of biodiversity conservation. The review methodology involved four components: a) a literature review of World Bank and non-World Bank sources; b) examination of NGO perspectives on sustainability using an IUCN-supported survey study, c) NGO reviews of policy papers and internal practices; c) a survey of multilateral and bilateral donor agencies carried out by the M&E team, and d) GEF project experience.

Findings. Although the study did not find much empirically based analysis of the sustainability of biodiversity conservation in the four data

components, there was information available on the five main factors influencing sustainability – political will, awareness and understanding of biodiversity, capable institutions and people, the policy and legal framework and resources uses and financial resources.

First, political will is a function of ownership and commitment at every level. Political leaders and institutions at all levels (local, national and international) determine policies, the degree to which they are implemented or enforced and the resource allocations that affect whether biodiversity was sustained or not. Ownership and commitment to the sustainability of biodiversity conservation needs to occur at all levels. This process can be helped by opening up political processes to give voice to all stakeholders, particularly those directly affected by the condition of the biological resources.

Second, the sustainability of biodiversity can also be improved by increasing awareness and understanding of biodiversity.

Third, sustainability is dependent upon capable institutions and people. Reliable institutions have helped to enforce the rule of law, establish partnerships of diverse groups and create political space for a multi-sector and multi-level forum in which biodiversity strategies could be debated. Organizations can build constituencies and become more effective when they can provide the type and quality of services that people are willing to support.

Fourth, conservation and sustainable use are supported by an enabling policy and legal framework. Policies and regulations, as well as the extent to which they are enforced, were important factors for alleviating the root causes of biodiversity loss.

Fifth, biodiversity sustainability is dependent upon resource uses and financial resources. For example, the establishment and management of protected areas required some expenditure to finance the incentives for conservation and promotion of the sustainable use of biodiversity. Other associated costs include the cost of monitoring the protected area.

To foster sustainability, the review suggests several approaches. It is important to focus on strengthening the capacity and position of the conservation community as well as marginalized stakeholders. This approach was used in the Conservation of the Dana Wildlands and the Azraq Oasis Project in Jordan and in the Mexican Nature Conservation Fund. As a result of increased public awareness of the value of conservation, the Royal Society for the Conservation of Nature (RSCN) in Jordan was able to expand its own influence, and that of communities, on the policy process. Using its role as a funding mechanism for GEF support to ten protected areas, The Mexican Nature Conservation Fund was able to insist on greater community involvement in park management. Other sustainability strategies include linking project activities with national action plans and exploring innovative financial arrangements (e.g., park entrance fees, licensing fees, tourist taxes and biodiversity-friendly private enterprises).

23. Vedeld, T. 2001. "Participation in Project Preparation: Lessons from World Bank-Assisted Projects in India." World Bank Discussion Paper 423. World Bank, Washington, DC.

Available from: www-wds.worldbank.org (external access) or Imagebank (internal access)

Keywords: beneficiaries, beneficiary participation, capacity, capacity building,

consultation (consultative workshops), decentralized capacity building, forestry, India, institutional capacity, strengthening, institutions, mainstreaming participation, participation, private sector, stakeholders, tribals (and scheduled castes), water resources development, watershed development and protection, World Bank

Abstract

Objectives and Methodology. This study assesses the extent to which the World Bank projects in India are meeting the Bank's objective of mainstreaming participatory approaches in project preparation and design. Vedeld looks critically at the use of participation and the barriers to its effective use in government, localities, NGOs, and the Bank. The study includes ten projects covering a variety of sectors and includes one each on watershed development, forestry, and water resources development. Information was gathered via document review, interviews with key players and project managers, NGO focus groups, and two field visits to project sites.

Findings. Vedeld begins by noting the trend toward more support for participation and a greater emphasis on decentralized capacity building. The study found that the most important impact of the direct participation of primary stakeholders has been an improved understanding of the local context, the diversity of stakeholders and the nature of stakeholder interactions. There were also a number of shortcomings related to the use of participation. These issues included the quality of beneficiary participation (consultation rather than collaboration or empowerment), the scope of consultation (no gender analysis, failure to consult with scheduled castes and tribes and limited private sector involvement), a lack of institutional capacity to sustain projects and the difficulty of maintaining stakeholder interest over long planning periods. In-country constraints to participation included the hierarchical structures in India, the lack of government commitment to participation, the lack of NGOs available to manage participation and the lack of local capacity to take over projects. The study includes list of specific problems that Bank staff face (p. 34) and specific recommendations on how to operationalize better participation for Bank projects.

24. Vedeld, T. 2000. "Participation in the Himalayan Foothills: Lessons from Watershed Development in India." Social Development Paper No. 38. World Bank, Environmentally and Socially Sustainable Development Network, Washington, DC.

Available from:
http://wbln0018.worldbank.org/essd/essd.nsf/e0a6beef25793a39852567f200651c5c/f5659ac4406ef006852567f50057ab04

Keywords: community, community building, consultation (consultative workshops), fodder and livestock services, Global Environment Facility (GEF), Haryana, Himachal, income-generating activities, India, institutional capacity, strengthening, institutions, Integrated Watershed Development Project (IDWP II), Jammu and Kashmir, participation quality, Participatory Rural Appraisal (PRA), policy reforms, Pradesh, primary beneficiary, project, Project Appraisal Document (PAD), Punjab, Shivalik Hills, training (capacity building, needs, workshops), trans-humance, tribals (and scheduled castes), Uttar Pradesh, village development plans, watershed development and protection, women and gender, World Bank

Abstract

Objectives and Methodology. This study examines the extent and impacts of primary beneficiary participation upon the planning of the second

phase of the Integrated Watershed Development Project (IDWP II). The study methodology consisted of a review of project documents, project and Bank staff questionnaires, field visits, meetings and workshops with project staff, interviews with Bank staff, and a focus group held in each of the six affected villages.

Findings. The IWDP II is located in the Shivalik Hills in the Himalayan foothills. Using treatment technologies, the project was intended to restore the productivity of a watershed and to reduce poverty in five Indian states: Haryana, Himachal, Pradesh, Jammu and Kashmir, Punjab, and Uttar Pradesh. The five key components of the IDWP II include watershed development and protection, improvement of fodder and livestock services, institutional strengthening through community building, provision of income- generating activities for women and policy reforms.

Although primary stakeholder participation was not a significant element of the first stage of this project (IDWP I), the World Bank made community participation a requirement for the planning and implementation of the second phase. Project preparation included two features designed to generate community support. The project planners allowed for a six to twelve month planning period during the design phase. This period allowed flexibility in village-level organizing and sufficient time to build ownership and establish agreements. Second, the project design included an iterative social assessment that was based on prospective studies and village development plans (VDPs). During the planning period, the project carried out a three-tiered social assessment that included: 1) a study of the impacts of previous development on the watershed and local institutions, 2) a tribal and transhumance study, and 3) a prospective study of new micro-watersheds accompanied buy three VDPs. The main mechanisms for involving primary beneficiaries were the prospective studies and VDPs. In the prospective studies, the project used Participatory Rural Appraisals (PRAs) to inform villagers about the project and allowed them to provide some input to project staff.

Project staff increased their capacity and awareness as a result of the PRAs and the VDP process. They gained skills in participatory methods and gained greater understanding of the stakeholder diversity. They became aware of their inexperience with PRA methods and identified the need for more staff in the social unit and more female staff members. They came to recognize the lack of implementing and local institution capacity. Higher-level project staff became more convinced of the general usefulness of participation.

Overall, the author points out that participation was widespread but thin and relatively few local people were involved in the PRAs. World Bank technical staff thought the participation was satisfactory and involved "consultation. " However, World Bank social staff found project participation only "marginally satisfactory" and consisted of mostly "information sharing." There were some specific problems with the actual use of participatory methods for project planning. PRAs were used only in some of the social assessments (SAs) and when used, the implementation was fairly mechanical. Staff in only two states, Uttar Pradesh and Himachal Pradesh, had experience with PRA. Consultants did the prospective studies and they were unfamiliar with stakeholder analysis and unable to represent diverse views. The SAs were prepared late and could not be used in the Project Appraisal Document (PAD). In the author's assessment, the effects of participation on implementation were more indirect than direct.

To further improve participation, the project has taken or is planning several actions. There is a need for more training and capacity building related to participation since capacity is weak for the implementing agency and local institutions. Proposals were generated to decentralize authority and avoid centralized decision-making. The project discussed cost-sharing proposals with the local community. The project hired more female project staff and there was an increased emphasis on gender issues in the villages. There was also more discussion on how to implement a village load fund as a village organization activity.

25. Wells, Michael, P. Delfin, J. Ganapin Jr, and Juha l. Uitto. 2001. "Global Environment Facility – Medium-Sized Projects (MSP) Evaluation." Global Environment Facility, Washington, DC.

Request from: GEOnline.worldbank.org

Keywords: advantages, awareness raising, capacity, capacity building, co-financing, evaluation, impacts, mainstreaming participation, Medium-Sized Projects (MSPs), Non-Governmental Organizations (NGOs) (capacity, roles, executing agencies, host country), project, project cycle, Project Development Funds (PDF-A), proposal requirements, stakeholder involvement, participation, timeframe

Abstract

Objectives and Methodology: The objectives of this evaluation of Medium Size Projects (MSPs) were to assess whether or not: a) MSPs were responsive to Global Environment Facility (GEF) objectives and policies, b) MSPs filled a niche in the GEF that could not be met by regular projects, small grants or enabling activities, c) MSP project cycle procedures were effective. In addition, the evaluation identified impacts and likely impacts of MSPs and made recommendations for MSP improvements. The authors reviewed a total of 121 MSPs including 73 biodiversity projects and the remaining 48 projects focused on climate change, international waters, ozone or multiple environmental sectors. The regional composition of the MSP portfolio included 29 percent from Latin America and the Caribbean, 21 percent from Africa, 16 percent from East Asia and the Pacific, 15 percent from Europe and Central Asia and 9 percent from the Middle East and North Africa. The evaluators used stakeholder interviews, a review of key documents and visits to 10 countries. Because only 6 of the 121 MSPs studied were completed, the evaluators assessed interim or indirect indicators of progress such as capacity building, innovation and new methodologies, awareness raising and prospects for sustainability.

Findings. MSPs support stakeholder participation in several ways. In contrast to most of the larger and more traditional GEF projects, MSP procedures have enabled NGOs to become MSP executing agencies. In so doing, they have made direct contributions to NGO capacity building. Project Development Funds-A type (PDF-A) allow for stakeholder consultations during MSP preparation activities and these consultations are often the first opportunity for smaller organizations to participate in GEF activities. These arrangements have been especially useful where action on threats to biodiversity has been constrained by the limited capacity of diverse stakeholders to synchronize their efforts. In addition, many countries report that local awareness from community consultations has been one of the most important benefits from the MSP preparation process under PDF-As. MSPs attract considerable co-financing and provide additional opportunities for innovation. They allow for the scaling up of successful projects of the Small Grants Programme (SGP) of GEF/United Nations Development Program (UNDP). MSPs could further support

participation by lengthening their typically short time-frames (two to three years), simplifying non-governmental organization (NGO) proposal requirements needed to access GEF funds and broadening the base of local NGOs that can access GEF funds and participate effectively in MSP execution.

26. World Bank. 2001. "Participation Process Review." Operations Evaluation Department, World Bank, Washington, DC.

Available from: http://www.worldbank.org/participation/Participation%20Process%20Review-OED.pdf

Keywords: collaboration, community, community forest management (and scaling-up), country assistance strategies (CAS), empowerment, Guatemala, impacts, Kenya, Operations Evaluation Department, participation, participation evaluations and participatory monitoring, participation quality, project, project cycle, World Bank

Abstract

Objectives and Methodology. The purpose of this evaluation was to assess how much progress has been made since the Bank committed itself to a Participation Action Plan in 1994 and make recommendations for future World Bank work. The evaluation focused on the extent of mainstreaming; costs, benefits and impacts of participation; good practices and recommendations for Bank participation policies and operational work. The OED methodology included: a) a database consisting of participation data from PADS, b) case studies, c) task manager interviews, d) desk reviews of Country Assistance Strategies (CAS) and e) consultations with communities in the countries where the project took place.

Findings. The benchmark for this study is the 1994 Final Report of the World Bank's Participatory Development Learning Group. This strategy focused on: a) promoting a more enabling environment for participation within client countries, b) increasing participation in economic and sector work, c) ensuring that lending and economic and sector work identified and involved relevant stakeholders, d) strengthening Bank capacity for participation work through training and recruitment, e) allocating resources and provide incentives to mainstream participation, and f) monitoring and evaluating progress towards achieving participation goals.

The OED study found indicators of participation progress for World Bank activities. Primary stakeholder participation in Bank-assisted projects increased significantly between 1994-1998 with more participation in community-level activities and less participation in infrastructure services activities. Since 1996, most of the increase has been in collaboration and empowerment. For the CAS, the benefits of participation have improved the relevance of projects to stakeholders, given a sense of pride and ownership to participating NGOs and local people and strengthened relationships between Bank and CAS participants. There has been a substantial increase in the CAS participation of non-governmental stakeholders and examples of benefits include better identification of development constraints in Kenya and improving the application of participatory strategies in Guatemalan projects.

However, the study also revealed some disappointing trends related to the quality, effectiveness and impacts of participation. Participation for projects has become too rushed and superficial. The use of participatory approaches has been uneven over the project cycle; most participation took place during the preparation stage and only nine percent of the

projects included participatory monitoring and evaluation. This pattern weakened the accountability of project implementers to primary stakeholders. Stakeholder participation in CAS varied; meetings were sometimes just opportunities for the Bank to present and gain acceptance for its country programs rather than to learn about local priorities. In terms of impacts, only modest gains have been made for institutional development and participation in Bank projects has not necessarily influenced implementing organizations. The study found that the key obstacles for governments related to participation included resistance to participation, as well as lack of capacity and experience with participatory approaches and the necessary follow-up. Within the Bank, staff members cope with scarce time and funding for participatory activities, rigid project cycles and inconsistent management support. Although the data is weak, it appears that projects are spending two to twelve percent of their budgets on participation, with most of the funds coming from governments or trust funds. Community members also bear the costs of participation when voluntary labor or time is required. The findings indicate that individuals cannot be expected to participate if they perceive their individual costs of doing so to be greater than their expected benefits.

To improve participation within the Bank, the study recommends that the Bank develop country-level approaches, linked to projects and other instruments, to increase the impact of participation. The Bank should encourage the commitment of governments to participatory approaches by funding a more systematic governance approach to participation that would include decentralization, institutional reform, transparency and accountability. Other recommendations including advocating a shift from the current focus on facilitating participation via Bank instruments (such as the CAS and project preparation) to more of a capacity-building approach to participation. This approach would ensure that government agencies have the capacity to undertake participatory activities, including monitoring and evaluation, with communities. OED also suggested improving the quality of participation in projects and CAS preparation by developing benchmarks, standards and guidelines for participation and also by conducting local institutional analysis as part of the design process.

27. World Bank. 2001. "Forest Policy Implementation Review and Strategy A Revised Draft Strategy for the World Bank Group." World Bank, Washington, DC.

Available from: http://wbln0018.worldbank.org/ESSD/FORESTPOL-E.NSF/23471269758d6018852566270079d1cf/28c6db741f3f059785256a9b00545be9?OpenDocument

Keywords: collaborative forest management (CFM), community, community participation, conflict (management, resolution, mapping, risk assessments), forest management participation, forest policy, Indigenous (communities, groups, peoples), participation, poverty (alleviation, reduction), World Bank

Abstract

Objectives and Methodology. This draft document describes the Bank's proposed new forestry policy and strategy for forestry-related projects. Participation issues are given greater attention in Annex 2 that is focused on forestry and poverty reduction.

Findings. Participation is discussed in several sections of the draft forestry policy. As a global challenge, forestry issues in development are contentious. Participation is key to resolving conflicts between forest stakeholders and devising policies that do not threaten the rights of specific groups among the poor. Because the

Bank has a poverty reduction mission, Bank forest policies and projects will need to consider the impact of forestry projects on communities and include them as key stakeholders in formulating policies and projects that affect access and use of forests. The draft policy stresses the dependence of communities, especially indigenous communities, on the economic and subsistence resources of forests. Community participation is included as part of the poverty reduction strategy for regional programs. The progress of poverty reduction efforts will be assessed by the existence and achievements of participation in forest programs.

Participation is also listed as one of the major principles of national forest programs. The Bank's role in forestry will be to work with client countries to ensure the rights of forest-dependent peoples. The means to accomplish this objective include strengthened policies, institutions, and legal frameworks to ensure that women, the poor, and marginalized groups are active in forest policies and program. In addition, the Bank will support the scaling-up of collaborative and community forest management. Other efforts will include working with NGOs and other partners to integrate forestry into rural development. Following the key policy elements, the revised strategy focuses on harnessing the potential of forests to reduce poverty, integrating forests in sustainable economic development and protecting global forest values.

Annex Two on Forestry and Poverty Reduction further articulates social issues and relevant participatory approaches. For example, indigenous peoples and some other forest users typically rely heavily on forest resources for their livelihoods, yet their tenure, access, and rights are often limited by government policies. Conflicts can develop between subsistence users, commercial users and forest managers. To address these issues, the Bank's poverty alleviation strategy adopts collaborative forest management (CFM). The Bank encourages the devolution of control over forest management to local actors. There are also some recurring deficiencies related to participation in forestry management. There has been a tendency to restrict participatory forestry management to areas of degraded forest. Often, there is insufficient consideration of women's concerns and the gender- specific use and management of forests and forest products. Management bodies have mistakenly assumed that the poor are homogeneous and they have not accounted for stakeholders with diverse interests, uses, values, and claims to forest resources. While donors have promoted participatory development and the devolution of control, these goals have not always been achieved due, in part, to in-country government resistance and insufficient capacity of local management agencies.

Part B

Review of External Documents

28. Alexander, S.E. 2000. "Resident Attitudes Towards Conservation and Black Howler Monkeys in Belize: The Community Baboon Sanctuary." *Environmental Conservation* 27 (4): 341-350.

Available from: http://uk.cambridge.org/journals/enc/

Keywords: Belize, benefits, benefit sharing, community, Community Baboon Sanctuary, ecotourism, local, local attitudes, awareness and environmental education, management capabilities, management collaboration

Abstract

Objectives and Methodology. This study aimed to define residents' feelings about resource protection in their communities and their attitudes toward management of the Sanctuary. Member and non-member households were surveyed, representing three of the eight villages located within the Sanctuary boundaries. Seventy-four percent of the sample were member households and 26 percent were non-member households.

Findings. The Belizean Government views the Community Baboon Sanctuary as a model for participatory ecotourism development. Membership in the Sanctuary is voluntary. It involves a commitment to protect reverie resources as habitat for black howler monkeys (*Alouatta nigra*).

While most local residents understand the intrinsic, aesthetic and material values of this important resource and recognize that protection of it can provide opportunities for promoting ecotourism activities in their communities, some members are dissatisfied with the project and threaten to withdraw their membership. Although the howlers had increased in number since the Sanctuary's establishment, many residents felt that neither their households nor themselves were benefiting. Some Sanctuary members argued that management was not well organized and that benefits to communities and individuals were not evenly distributed. Key issues included the extent and nature of benefits to local residents, perceptions regarding management capabilities and how management is responding to these issues.

While these problems existed, the majority of residents did not want the Sanctuary abolished and strongly supported maintaining Sanctuary status. They might not be reaping benefits directly but they admitted that their lives were no worse off than before and they recognized

that some members were benefiting. They had hope that they, too, would be able to eventually take part in some type of tourism business. For long-term local support to be assured, management must orient its work to more directly address those factors that influence residents' attitudes about the project. These factors include the extent of local participation, representative organization, sound management structure, effective management capabilities, fair employment allocation, and education opportunities for community residents regarding the howlers, protection of their habitat and the value of resource conservation.

29. Anderson, P. N. 2001. "Community-Based Conservation And Social Change Amongst South Indian Honey-Hunters: An Anthropological Perspective." ***ORYX*** **35 (1): 81-83.**

Available from: http://www.blackwell-science.com/~cgilib/jnlpage.asp?Journal=oryx&File=oryx

Keywords: commercialization, community, community-based conservation, consultation (consultative workshops), eco-development (committees, policies), honey-hunters, incentives (economic, other), India, local, local participation, control, ownership, social, social change

Abstract

Objectives and Methodology. This article reconsiders the use of financial incentives for securing the participation of 'local' people in conservation programs. The author raises several less-discussed social consequences of these types of incentives. He focuses on a South Indian honey-hunting 'tribe.'

Findings. Anderson outlines the involvement of this 'tribe' with an eco-development program and the market economy. He notes that commercializing 'traditional' livelihoods may increase the general 'standard of living' but can undermine the social 'fabric' of the community. It can also aid in the rationalization of custom. He concludes by suggesting that social development should precede economic development for communities in transition between subsistence and commodity-oriented economic practices.

30. Badola, R. 1999. "People and Protected Areas in India: Challenges of Joint Forest Management and Eco-development." ***UNASYLVA*** **50 (4): 12-14.**

Available from: http://www.fao.org/docrep/x3030E/x3030e05.htm#people and protected areas in india

Keywords: capacity, capacity building, eco-development (committees, policies), forest protection committees, India, institutions, joint forest management, national policy (forestry, framework), policy, protected area management, resources (sharing, use), stakeholders, tenure (rights, security, community-based, devolution, land rights, use rights), village eco-development committees, World Bank

Abstract

Objectives and Methodology. This paper examines the new eco-development policy in India and assesses the weaknesses and strengths of eco-development and joint forest management approaches for protected area management in India. India's network of protected areas cover 9.1 million hectares and constitute about 14 percent of the country's forest area. They have helped to conserve significant portion of the country's biodiversity.

Findings. Although the basic approach to the management of protected areas (PAs) has been

isolationist, there has been a shift in recent years toward participatory approaches in forest management and biodiversity conservation. In 1988, the National Forest Policy in India declared that all local communities were to be involved in natural resource conservation. Subsequently, in 1990, the Indian Ministry of Environment and Forests issued a circular for joint forest management (JFM) and resources sharing. The JFM approach sought to develop partnerships between state forest departments (as owners) and local community organizations (as co-managers). User groups received usufruct rights only. Since 1991, the government has committed funds for eco-development in 80 PAs through a centrally sponsored scheme and in seven PAs with World Bank officials. The eco-development approach integrates environmental and forest activities with other development activities such as irrigation, animal husbandry, fisheries etc. It is an attempt to reduce forest dependence and to compensate communities with some type of alternative income-generating opportunities. As part of this approach, village eco-development committees or forest protection committees administer all local eco-development activities.

The eco-development approach has benefits and weaknesses. The eco-development approach acknowledges that the people living near PAs may have to bear enormous opportunity costs while deriving few benefits from conservation. However, there are there is lack of understanding of eco-development among forest department officials and local people, who may fear their loss of rights. Participatory methods, such as Participatory Rural Appraisal and Rapid Rural Appraisal, are widely used but not properly understood or applied and the Forest Department. This agency tends to be totally non-participatory in its decision-making processes and has difficulty practicing what it has only recently begun to preach. In addition, Indian PA management does not have financial, managerial and administrative autonomy. Thus, the procurement of funds, expenditures and controls are unclear. The Indian legal, policy and administrative frameworks also do not reflect the new inter-department cooperation envisaged by eco-development.

From a policy and strategic perspective, there are additional problems. The eco-development approach has neglected to push for changes in land tenure legislation and agrarian reforms that could provide incentives to invest in land improvement and conservation. For example, under the present tenurial arrangements, it has been difficult to involve local people in conservation. While the list of eco-development activities is comprehensive, it does not amount to a strategy. As a result, the conservation-development linkages are generally weak and have not been able to control land use of the PA fringes.

The article outlines some ways forward to overcome these problems. The authors recommend capacity building and training for field staff and local communities to create conservation awareness. Local level institutions that previously had an essential role in sustaining resource use patterns should be restored. In addition, institutional linkages with mainstream development programs need to be formalized. Finally, conservation projects must address the different resource priorities and requirements among the various sectors of a community by establishing equitable partnerships among all stakeholders.

31. Barrow, E., H. Gichohi, and M. Infield. 2000. "Rhetoric or Reality? A Review of Community Conservation Policy and Practice in East Africa." ***Evaluating Eden Series*** **No. 5. London: International Institute for Environment and Development and the World Conservation Union.**

Available from: World Conservation Bookstore, http://www.iucn.org/bookstore/index.html

Keywords: access, collaborative management, co-management, community, community involvement, community-based conservation, history, Kenya, Lake Manyara National Park, outreach, ownership, participation, participation processes, Participatory Rural Appraisal (PRA), Tanzania, Tanzanian National Parks Planning Unit and Community Conservation Service (TANAPA), Uganda

Abstract

Objectives and Methodology. This book examines the history and practice of community conservation in Kenya, Tanzania, and Uganda. It covers the evolution of exclusionary park management to the most recent approaches and structures of protected area outreach, collaborative management and community-based conservation. The book includes a case of the successful use of community participation for park planning and management in Lake Manyara National Park by the Tanzanian National Parks Planning Unit and Community Conservation Service (TANAPA).

Findings. The authors briefly discuss two perspectives on community conservation - a participation perspective and an ownership and access perspective. Their framework for community conservation is based on ownership rather than on participation. From this perspective, participation should be seen as a tool and not a solution to community conservation. Resource and land ownership allow for more participation and collaboration between locals and authorities.

Local-level participation runs throughout the book because the book emphasizes structures for community management. The authors explicitly discuss participation in a section on enabling community conservation. They point out several difficulties with participation in protected areas. Truly inclusive participation is unrealistic because of limits on the resources of conservation authorities. PRA can be misused and outside facilitators often cannot notice when more dominant groups can impose their views. In terms of time, participation imposes costs on local people. Although people tend to participate because they expect something in return (e.g., improved access or a significant role in resource management), participation processes often lead to no benefits for local people. At times, the documentation of participatory processes can be misleading because they are prepared by vested interests. For example, community concerns raised during a participatory process can be "laundered out" by the time the final document is prepared.

32. Beltran, J, ed., 2000. "Indigenous and Traditional Peoples and Protected Areas: Principles, Guidelines, and Case Studies." World Conservation Union, Gland, Switzerland and Cambridge, UK and WWF International, Gland, Switzerland.

Available from: http://wcpa.iucn.org/pubs/publications.html

Keywords: accountability, agreements, benefits, benefit sharing, collaborative management, co-management, collaborative research, conflict (management, resolution, mapping, risk assessments), decentralization and devolution, guidelines and guiding principles, indigenous (communities, groups, peoples), indigenous resource use, national boundaries, principles, restricted co-management, traditional authority, traditional groups, transparency

Abstract

Objectives and Methodology. This IUCN book presents principles and guidelines for the

planning, implementation, and management of protected areas (PAs) that also involve local indigenous and traditional groups (Part A). Part B includes eleven case studies featuring indigenous people participation in PA management.

Findings. WWF and IUCN/WEPA adopted five principles. First, indigenous resource use and conservation are compatible and indigenous peoples are rightful equal partners in the management of PAs. Two, agreements between indigenous groups and protected area management must respect indigenous rights. Three, decentralization, participation, transparency, and accountability should be taken into account in areas of PA management. Four, indigenous peoples should share equally in benefits with other stakeholders. Five, indigenous rights and protection are an international responsibility because PA systems cross national boundaries.

Principle 3 covers participation and involvement. The authors suggest that existing management institutions should be reformed to accommodate co-management and co-management should occur under a formal arrangement. Both agencies and indigenous groups should be involved in reporting and monitoring. For new PAs, they should only be established with the agreement of the indigenous group stakeholders and formal recognition of land and resource rights. The establishment of new PAs should make use of collaborative research. All parties need to be mutually accountable and management will be designed in a collaborative process. Agencies will promote communication and necessary policy changes. They will also develop conflict resolution procedures and the capacity of indigenous organizations.

The eleven case studies present three main types of management collaboration: unrestricted co-management, restricted co-management, and non-participatory management. Each of the eleven case studies described the involvement of indigenous groups but not all of them are ideal models. Each case is followed by a critical evaluation of the collaboration. The authors made three global observations about participation in the case studies: 1) where participation has taken place early in the planning process, there have been positive benefits for both indigenous peoples and managers, 2) the wider the participation, the less like the chances for conflict, and 3) where co-management exists, the challenge is to strengthen and extend it; where it does not exist, it should be established.

33. Biodiversity in Development Project. 2001. "Biodiversity in Development: Guiding Principles for Biodiversity in Development, Lessons from Field Projects." World Conservation Union, Gland, Switzerland and Cambridge, UK.

Available from: http://www.wcmc.org.uk/biodev/reports/guiding_principles.pdf

Keywords: biodiversity, biodiversity costs and benefits, European Community/Union, guidelines and guiding principles, institutional arrangements, institutions, national capacity, planning, planning theory

Abstract

Objectives and Methodology. This report aims to ensure that development cooperation projects and programs are effective and sustainable, and take full account of environmental security and biodiversity issues. It captures the experiences and opinions of people working on biodiversity issues in European Community (EC) partner countries and offers lessons learned from European Community/European Union-funded field projects. The production of the report

involved consultations with 98 workshop participants from 35 countries and 4 sites.

Findings. The report condenses the lessons learned into a set of seven Guiding Principles and provides short, illustrative cases. All of the Guiding Principles have implications for participatory conservation. Principles A, E and G suggest harmonizing biodiversity objectives with on-going national institutional capacity, policy frameworks (including adapting tenure systems to suit local and national priorities) and multi-sectoral, ecosystem-based planning approaches. However, four Principles are closely tied to social concerns (B, C, D and F).

Principle B focuses on the promotion of a fair and equitable sharing, among all levels (local, national, regional and international), of the costs and benefits from biodiversity conservation and sustainable use. For participatory approaches to succeed and be sustainable, stakeholders need to see the benefits fairly early in the project process. If short-term benefits are unattainable, then project managers need to suggest complementary short-term development activities. Field experience indicates that if conservation measures disregarded the livelihoods of poor farmers, then they had little chance of success. But income-generating activities that were not associated with the natural habitat did not lead to improved biodiversity management. For tourism activities, sites must be carefully selected, community should be directly involved and tourist revenue contributions to community rural development must be carefully regulated.

Principle C emphasizes the need to respect local values and build upon social and cultural context. Projects should respect expressed needs and locally adapted approaches, as well as making full use of indigenous or local knowledge. Project approaches should build partnerships between civil society, government and the private sector. To ensure full participation, project should listen carefully and conduct PRAs to assess local needs, preferences and culture.

Principle D indicates that there is a need to support capacity building of sustainable structures and to ensure that institutional arrangements are effective, transparent, accountable, inclusive and responsible. For example, the Negril Environmental Protected Area was the first of its kind in Jamaica but replication was slow because the necessary administrative experience, legislation and management infrastructure were missing.

Principle F indicates that it is important to use accurate, appropriate and multidisciplinary information. This information needs to be accurate, accessible and understood by all stakeholders.

34. Biodiversity Conservation Network. 1999. "Final Stories from the Field." Biodiversity Support Program, Washington, DC.

Available from: www.BCNet.org or www.BSP online.org

Keywords: Asia, benefits, benefit sharing, biodiversity conservation and protection, Biodiversity Conservation Network, Biodiversity Support Program (BSP), community, community enterprises, forests, India, marine, monitoring, monitoring and evaluation, natural resources (management, monitoring and evaluation), Pacific and Pacific Region, Papua New Guinea, stakeholders, United States Agency for International Development (USAID)

Abstract

Objectives and Methodology. This book provides 20 stories detailing the lessons learned from

enterprise-based biodiversity conservation projects in Asia and the Pacific. Each account describes how projects worked closely with communities and established a community conservation project. The examples include forests and marine environments.

Findings. The projects show how the Biodiversity Conservation Network's (BCN) three core conditions for success are met in each enterprise project. The conditions are 1) the activity must depend upon the health of the biodiversity to yield benefits and be sustainable, 2) enterprises must generate benefits in both the short and long terms when BCN funding ceases, and 3) the enterprise must involve local community members who are stakeholders. All of the BCN projects contributed to biodiversity conservation by meeting threats, directly protecting biodiversity, improving institutions and educating individuals. The stories also show how to organize a community of stakeholders to take effective action and fundamentally illustrate BCN's basic conclusion that these enterprises can lead to conservation, but only under certain conditions and never on their own.

BCN was established to promote biodiversity conservation at specific project sites, evaluate an enterprise-oriented approach to conservation and develop process lessons. At each site, the biodiversity was threatened by over harvesting of key species, conversion of natural habitats and/or the development of human settlements. Each project attempted to meet these threats by developing one or more enterprises that depended on the biodiversity of the site and incorporated local concerns. There was an emphasis on natural resource monitoring and evaluation. The project armed communities with the appropriate tools and techniques to collect the data needed for informed decision-making to address these threats.

The series of examples in this book highlight the use of participatory approaches to improve and develop enterprises while conserving the natural resource:

In the Biligiri Ranganswamy Temple Wildlife Sanctuary in India, BCN funded enterprise and participatory resource monitoring activities to support Joint Forest Management. They supported a honey-processing unit, a food-processing unit that processed jam and other food products and a herbal medicine-processing unit. In addition, BCN provided inputs on issues such as management and distribution of profits. From the third year of the project, the community was involved in participatory resource monitoring (e.g., preparation of vegetation maps, determination of relative abundance of woody species, work on pollination, seed dispersal and assessment of the impact of fire and weeds on the population dynamics of tree species). To train enterprise workers and other community members, the project helped to prepare simple manuals on production, extraction and regeneration. While there has been some success on conserving biodiversity, BCN concludes that four years is too short of a period to initiate, implement and evaluate the project. Further project progress will depend upon the extent to which the community is able to maintain transparency and distribution of equitable benefits for the enterprise operations and continue participatory monitoring.

In Papua New Guinea, landowners had been selling their timber rights to large foreign logging companies for a fraction of their true market value. In the BCN community, a participatory rural appraisal indicated that the community wanted development because they have no access to roads, seas or the relatively inaccessible forest. Their cash incomes are very low and they have few economic option. Therefore, the Pacific Heritage Foundation and

its partners are using BCN funds to counter logging threats and provide alternative sources of income to residents of six communities in East New Britain Province. The project aims to reduce the decline of forest resources by demonstrating the sustainability of small-scale, community-owned sawmill enterprises and providing economic alternatives. The project also supported social and biological monitoring work and conducted education and awareness training efforts. BCN acknowledged that it is paradoxical to put saws in the hands of communities to save the rainforest but their local partner, the Pacific Heritage Foundation, believes that educating the population and effective monitoring of the resource will ensure the creation of a system of sustainable logging.

35. Brandon, Katrina, Kent Redford, and Steven Sanderson, eds. 1998. *Parks in Peril*: *People, Parks, and Protected Areas*. Island Press, Washington.

Keywords: Caribbean, conflict (management, resolution, mapping, risk assessments), economic development, Indigenous (communities, groups, peoples), Latin America, local, local attitudes, awareness and environmental education, national policy (forestry, framework), natural resources (management, monitoring and evaluation), neo-tropical parks, organizational (roles and structures), park, park establishment, park-buffer zone linkages, Parks in Peril, policy, resettlement, resources (sharing, use), tenure (rights, security, community-based, devolution, land rights, use rights), The Nature Conservancy (TNC), threats, transboundary, United States Agency for International Development (USAID)

Abstract

Objectives and Methodology. This analysis looks broadly at The Nature Conservancy's (TNC) "Parks in Peril" portfolio (PiP) and examines the impacts of ecological, social, and political factors on biodiversity conservation. The analysis features nine case studies of neo-tropical parks in the Latin America and Caribbean region. The methodology included site visits, park documents and discussions by those living in and near parks to capture the "ground truth" from park staff and inhabitants. Each of the studies covers eight themes: park establishment, land and resource tenure, resource use, organizational roles, linkages between park and buffer zones, conflict management and resolution, large-scale threats, and national policy framework. The studies also treat three additional themes, indigenous peoples and social change, transboundary issues and resettlement. The editors ask whether the assumption that humans can both use and conserve biodiversity holds by pointing out that that all human resource use has impacts and that cost-free "win-win" solutions do not exist. They state that "there needs to be substantial rethinking about parks and about what can realistically be expected of efforts to manage and protect them" (p. 11).

Findings. Looking at all PiP sites, the editors describe four categories of strategies and activities for local resident participation in park planning and management: local awareness and environmental education, natural resource management, compatible economic development, and involvement in protected-area management. The editors treat these activities as a vehicle to "win the trust and cooperation of community members" (p. 69). Building local awareness is the most common participation activity at PiP sites, especially through environmental education. Among the most advanced of the environmental education activities is the Rio Bravo Conservation and Management Area in Belize. Outreach to promote the concepts of sustainable development and conservation/economic

relationships is targeted to schools and communities. A majority of PiP sites have developed small-scale sustainable resource management projects involving particular communities or individuals. Common activities include livestock breeding, beekeeping, aquaculture, agroforestry and agroecology. Some PiP sites include development that is compatible with conservation by providing health services and health education and ecotourism development. The most popular method of including locals in management is by hiring them as guards, extensionists, office staff, study assistants and maintenance staff.

Of the nine case studies, only three officially recognize community participation. The form and extent of community participation varies. For example, in Mexico's Ria Lagartos Special Biosphere Reserve, a Technical Advisory council is the only institution available for local participation in management and conservation decisions. A similar council is planned for the nearby Ria Celestun Reserve. However, it remains to be seen, according to the case writers, whether these councils will live up to their full potential as fora for communication among local stakeholders and conflict resolution. It is more likely that the councils serve to transmit and mobilize support for federal government policies. In Guatemala, NGOs are able to manage parks. *Defensores*, the NGO charged with managing the Sierra de las Minas Biosphere Reserve, maintains strong relationships with local communities. They provide environmental education, technical assistance and training to community groups within the Reserve. *Defensores* prepares yearly management plans with extensive local participation. During the month-long process, dozens of communities evaluated past activities and planned future ones. In Costa Rica's Corcovado National Park, the Proyecto de Maneho y Conservation de Bosque de la Peninusula de Osa (BOSCOSA) project worked with locals on several initiatives. These efforts were geared toward strengthening local support for development and economic activities that would be compatible with conservation. A committee brought together locals, project staff, government staff and other governmental institutions involved with the Osa Peninsula. They developed the Osa 2000 development plan. Current BOSCOSA activities include training to strengthen local institutions for community forestry, sustainable resource use, and environmental education.

36. Castro, G., L. Alfaro, and P. Werbrouck. 2001. "A Partnership Between Government and Indigenous People for Managing Protected Areas in Peru." *Parks* 11 (2): 6-13.

Available from: The World Commission on Protected Areas, www.wcpa.iucn.org.

Keywords: Global Environment Facility (GEF), indigenous management of conservation areas, indigenous rights, local, local resource use and rights, Peru

Abstract

Objectives and Methodology. This article describes lessons learned from the participatory strategy used to create a model management scheme for target conservation areas managed by indigenous groups. The project selected areas using a participatory process. Organizations involved in this process included Peruvian park and development agencies, NGOs, indigenous groups, and two indigenous group federations. The Global Environment Facility funded this project.

Findings. The project learned how recognize when local indigenous management will be more successful. The prospects for the success of local management improve when groups are organized, maintain cultural values and

identities, possess traditional knowledge of natural resources, have access to abundant resources and there is knowledge of indigenous people's rights. Local management is undermined by weak organizational structures, lack of capacity in participatory methods and democratic decision-making, poor health conditions, limited energy sources and transportation networks, lack of management plans and insufficient knowledge of markets.

Project lessons and challenges suggest that: 1) the trade-offs between conservation and local resource use that must be balanced using participatory methods, 2) management plans are not always able to control local resource use, and 3) there are difficulties in working with diverse communities with different culture, values, and languages.

37. Colfer, Pierce, R.L. Wadley, and P. Venkateswarlu. 1999. "Understanding Local People's Use of Time: A Pre-Condition for Good Co-Management." ***Environmental Conservation*** **26 (1): 41-52.**

Keywords: collaborative management, co-management, Danau Sentarum Wildlife Reserve, Indonesia, protected area conservation, time allocations, West Kalimantan

Abstract

Objectives and Methodology. As an early step in the co-management of conservation areas, the authors describe and propose the wider use of a method for studying time allocation. The use of time allocation data in co-management is illustrated by a conservation project in the Danau Sentarum Wildlife Reserve (DSWR) in West Kalimantan, Indonesia. The authors analyzed data from spot observations at three levels: "macro-categories" (i.e., production, reproduction and leisure), an intermediate level (e.g., agriculture and food preparation) and a level for individual activities (e.g., fishing, collection of forest foods and hunting).

Findings. The collaborative development of management plans with local people (e.g. co-management) is now an important means of protected area conservation. Formal protected area managers often need more specific information about the local people with whom they want to co-manage resources. In the DSWR, the allocation of time differed according to gender, ethnicity and seasonality, throughout the year of the study. Colfer and Venkateswarlu suggest that knowledge of such patterns of behavior has several advantages. This information can help conservation area managers to understand local people's needs and desires better. It can improve the rapport between
managers and local people. In addition, it can result in better cooperative plans with
local people.

38. Diamond, Nancy K, ed. 2001. "Human Rights, Indigenous Rights and Environmental Issues: Linkage Lessons." Session 3, Environmental-Democracy Governance Exchange (EDGE) Roundtable Series. Biodiversity Support Program, Washington, DC.

Available from: http://www.bsponline.org/publications/asia/roundtable/0101summary.html

Keywords: Biodiversity Support Program (BSP), democracy (and decision-making), governance, government, Indigenous (communities, groups, peoples), Inter-American Development Bank, International Human Rights Law Group, mainstreaming indigenous concerns, Nicaragua, United States Agency for International Development (USAID)

Abstract

Objectives and Methodology. The EDGE Roundtable Series is part of the Biodiversity Support Network's ENV-DG Linkages Initiative to encourage discussion between experts involved in building democracy and governance and experts in the environmental sector. This session focused on the link between indigenous rights and environmental issues and how the concerns of indigenous peoples fit into the environmental and democracy-governance agendas of donors. The speakers were Ariel Dulitzky, International Human Rights Law Group and Carmen Albertos, Indigenous Peoples and Community Development Unit (IPCD), Inter-American Development Bank (IDB).

Findings. Dulitzky discussed the linkages between human, indigenous, and environmental issues in Nicaragua and his organization's work there. The International Human Rights Law Groups worked to increase the ability of indigenous groups to seek justice. They provide information, education and training for indigenous leaders and support their advocacy efforts.

Albertos, the speaker from the IDB, pointed out that indigenous groups often have economic and social practices that are appropriate for protected areas. They are a resource for projects that seek to decentralize government responsibilities. She explained how the IDB has mainstreamed indigenous concerns and recognized and worked with differing indigenous governance styles. The IDB has been successful in mainstreaming because of their institutional mandate, capacity, will, and positive attitude toward change.

Discussion participants raised a range of concerns. Although the IDB tailors its approaches when working with indigenous groups to respect cultural differences in the pace and timing of meetings, presentation, decision-making styles and sometimes uses traditional practices, multilateral lenders in the World Bank Group do not systematically coordinate their efforts related to indigenous peoples. The IDB tends to have more leverage in working with governments than do NGOs and can provide loans to pay for participatory planning. Participants discussed the difficulty of determining who legitimately represents indigenous groups. Sometimes, international groups or national group bring together indigenous representatives, depending on the circumstances. In some cases, it is appropriate to establish new, more representative indigenous organizations to represent indigenous peoples. Finally, environmental organizations sometimes have difficulty supporting indigenous rights when these communities choose to pursue economic activities that damage the environment.

39. Diamond, Nancy K, ed., 2001. "Building Political Capital Outside of Capitol Cities: Advocating for Rural Rights and Livelihoods." Session 4, Environmental-Democracy Governance Exchange (EDGE) Roundtable Series. Biodiversity Support Program, Washington, DC.

Available from: http://www.bsponline.org/publications/asia/roundtable/0103summary.html

Keywords: Africa and Africa Region, Asia, Biodiversity Support Program (BSP), Center for International Environmental Law, civil society, community, community-based property rights, democracy (and decision-making), donors, environmental advocacy, governance, pluralism, United States Agency for International Development (USAID), World Resources Institute (WRI)

Abstract

Objectives and Methodology. The EDGE Roundtable Series is part of the Biodiversity Support Network's ENV-DG Linkages Initiative to encourage discussion between experts involved in building democracy and governance and experts in the environmental sector. This session focused on advocacy related to rural rights and livelihoods and how support for civil society and environmental advocacy can further democracy-governance goals. Presenters included Peter Veit, (World Resources Institute, Washington, DC) and Owen J. Lynch (Center for International Environmental Law, Washington, DC).

Findings. Veit argued that support for pluralism in government and civil society groups is more effective for environmental protection and encouraging participation than efforts to support multiple political parties. According to the speaker, multiple political parties have not resulted in meaningful change in environmental protection. However, the success of environmental advocacy has depended more on civil society and governmental pluralism. He suggested that donors phase investments to support civil society first and political parties, second. He found that NGO advocacy in Africa has been most effective where it was constrained by neither totalitarian states or tradition-bound societies.

Lynch argued for better recognition of community rights to resources. Governments have not promoted CBNRM agreements between communities and governments and have not recognized indigenous community-based property rights. Instead, governments and donors, including the World Bank, continue to promote individual private property rights. Lynch suggests a new category of private-group rights that encompasses individual and common property rights within community-based natural resource management (CBNRM).

Discussion participants made several observations about civil society, democracy-governance and environmental advocacy. Civil society and government pluralism tend to build upon each other. Environmental advocacy NGOs tend to start with environmental goals but eventually shift to broader democracy-governance concerns. It was noted that biodiversity conservation implies restricting rights to resources while NRM programs imply making economic use of resources. The degree to which a government shares control of natural resources depends upon the unique evolution of institutions and resource values. In some cases, communities may have resource rights but they have inadequate access to courts and justice.

40. d'Ostiani, L.F. 1999. "Lessons Learned from an Interregional Experience in Participatory Upland Development." *UNASYLVA* 50 (1): 9-11.

Available from: http://www.fao.org/docrep/x0963e/x0963e04.htm

Keywords: Food and Agriculture Organization (FAO), Italian Government, Participatory Upland Development Project, training (capacity building, needs, workshops)

Abstract

Objectives and Methodology. The purpose of this article is to highlight those lessons related to participatory projects in mountain areas that have major relevance and significant potential for replication elsewhere.

Findings. The Interregional Project for Participatory Upland Conservation and Development has been funded by the Italian

Government and executed by FAO. It has been underway since 1992. The project staff have learned that participatory sustainable mountain development projects are very complex to manage. These projects require expertise in a wide array of disciplines. To successfully address the needs and wishes of interested parties, project staff should be well-trained in the difficult process of negotiation, including conflict management.

41. Enters, T. and J. Anderson. 1999. "Rethinking the Decentralization and Devolution of Biodiversity Conservation: Questioning Prevalent Assumptions about Community Management of Forest Resources." *UNASYLVA* 50 (4): 6-11.

Available from: http://aginfo.snu.ac.kr/research/unasylva/pdf/199_03.pdf or http://www.fao.org/DOCREP/X3030E/X3030E04.HTM

Keywords: biodiversity conservation and protection, community, community forest management (and scaling-up), conflict (management, resolution, mapping, risk assessments), decentralization and devolution, forest communities, Integrated Conservation Development Projects (ICDPs), livelihood (strategies, systems), tenure (rights, security, community-based, devolution, land rights, use rights)

Abstract

Objectives and Methodology. This article challenges current thinking by examining several of the main principles upon which devolution and populist approaches to biodiversity conservation and forest management are based. The focus in this article is on forest and/or forest margin dwellers and their livelihood strategies in tropical forests.

Findings. In the traditional approach to biodiversity conservation, local people and their economic activities were viewed as threats to the undisturbed functioning of the ecosystem and were to be excluded from protected areas. However, it became evident that the social costs of exclusionary conservation projects were sometimes high and that their success rate, even in biological terms, was disappointing. Therefore, the classic approach was replaced by integrated conservation and development projects (ICDPs) that have aimed to enhance biodiversity conservation through approaches that attempt to address the needs, constraints and opportunities of local people by involving local people as active partners. However, the success rate of ICDPs has also been discouraging. Despite this result, many continue to view decentralization and devolution of management responsibilities as the only solution for maintaining ecosystems and it is difficult to question these assumptions.

The authors challenge three assumptions that underpin the concept of partnership in participation: 1) local populations are interested and skilled in sustainable forest resource use and conservation, 2) contemporary local communities are homogeneous and stable, and 3) community-based tenure, knowledge and management systems are appropriate.

To contest the first assumption, the authors cite evidence of increased community harvesting of non-wood forest products in response to market demand and community problems with controlling resource action and taking collective action for managing common or wild resources. They conclude that prior patterns of sustainable resource management can be attributed to low levels of use, traditional restrictions and regulations and low market demand for resources. The authors indicate that it is naïve to believe that people are interested in biodiversity conservation and that they prefer to keep

traditional practices and knowledge. They argue that locals may desire material goods and a better standard of living from forest management. However, these goals may not be consistent with sustainability.

Second, the authors argue that contemporary local communities are not necessarily homogeneous and stable. In reality, villagers are often politically fractured and socially differentiated along gender, wealth, class, age or ethnic lines. Perceptions of biodiversity are similarly differentiated. Furthermore, different interest groups that are subsumed in the category "community" interact with the local environment and its resources in different ways. They may respond differently to changes in the local economy and other external forces.

Third, the authors question the appropriateness of community-based tenure, knowledge and management systems. Increased tenure security has been linked to sustainable farming practices. When applied to forest management, it is assumed that people are only willing to invest their scarce resources in conservation if they know they will reap the rewards. The authors contend that much uncertainty remains regarding the implications of tenure change and devolution for resource conservation. There are both positive and negative examples from Bolivia. Some local governments in indigenous areas patrol their areas to avoid encroachment from logging companies. Others have suffered from petty corruption and sold their timber resources to logging companies with little concern for sustainable production. Thus, it appears that tenure security is necessary but insufficient condition for sustainable forest management and conserving biodiversity.

The authors provide several recommendations. They urge consideration of all socio-economic and political groups in biodiversity conservation work since the needs and interests of other stakeholders frequently contradict those of direct users. It is important to recognize the stratified nature of rural societies. In some situations, it may be necessary to consciously abandon those areas where communities have already made choices that are likely to cause long-term conflict with conservation.

42. Few, R. 2000. "Conservation, Participation, and Power: Protected-Area Planning in the Coastal Zone of Belize." ***Journal of Planning Education and Research*** **19 (4): 401-408.**

Keywords: Belize, biodiversity conservation and protection, coastal zone, participation, power, protected area planning

Abstract

Objectives and Methodology. Drawing on debates over social impacts of biodiversity conservation and the role of power relations in community participation, this paper reports on field research examining community involvement in protected area planning in Belize. The research takes an actor-oriented approach to analyze the social, political,
and technical processes involved in initiating and planning of two protected area projects.

Findings. The author focuses on the scope of public involvement, the power differentials among actors in the planning process and the mechanisms through which power was exercised. He observed an emerging pattern whereby planning officials endeavored to mitigate or circumvent social and political dissent rather than foster an active, broad-based form of community participation. The paper suggests that the notion of containment may have a general applicability wherever protected areas are planned by external agencies that aim to engage local participation.

43. Fisher, R. J. 1999. "Devolution and Decentralization of Forest Management in Asia and the Pacific." *UNASYLVA* 50 (4): 3-5.

Available from: http://aginfo.snu.ac.kr/research/unasylva/pdf/199_02.pdf

Keywords: Asia, decentralization and devolution, forest management, forest policy, local, local participation, control, ownership, Pacific and Pacific Region

Abstract

Objectives and Methodology. In the contemporary discussion of forest policy, decentralization and devolution are dominant themes. This article identifies different models of implementation, trends in implementation and offers recommendations as to how it can be improved. The focus on the article is on Asia and the Pacific.

Findings. The author presents three typical types of decentralization and devolution. In the first, governments encourage local public participation in the implementation of decisions and plans that have been made centrally. For the second, the responsibility for decision-making and implementation is decentralized from central to local government bodies. In the third scenario, control is handed over to local communities. The author notes that the assumptions of various people advocating devolution are often inconsistent and fail to distinguish devolution from decentralization.

To enable meaningful devolution, the author recommends several actions. There is a need to develop trust between foresters and local communities. Further investment is needed for local capacity building in responsible management. Safeguards are necessary for foresters to monitor management. But in turn, foresters must be answerable to communities. If communities have had no part in decision-making processes, then their ability to manage a resource responsibly cannot be accurately measured. Finally, the author suggests that community-based activities should not be judged more stringently than conventional forest management (which has not had perfect results).

The article concludes that it is not enough simply to diversify the responsibility for implementing centrally defined objectives. Instead, decentralization and devolution policy and implementation must progress to genuinely devolved forms of decision-making and joint objective setting. Otherwise, decentralization and devolution will contribute relatively little to sustainable forest management or human development.

44. Griffin, J., D. Cuming, S. Metcalfe, M. t'Sas-Rolfes, J. Singh, E. Chonguica, M. Rowen, and J. Oglethorpe. 1999. "Study on the Development of Transboundary Natural Resource Management Areas in Southern Africa." Biodiversity Support Program, Washington, DC.

Available from: Biodiversity Support Program at http://www.bsponline.org/publications/

Keywords: benefits, benefit sharing, Biodiversity Support Program (BSP), community, community-based natural resource management (CBNRM), decentralization and devolution, heterogeneous communities, tenure (rights, security, community-based, devolution, land rights, use rights), transboundary natural resource management (TBNRM), transparency, United States Agency for International Development (USAID)

Abstract

Objectives and Methodology. USAID funded this study on transboundary natural resource

management areas (TBNRM) in Southern Africa to help guide its future work in natural resource management. The study methodology consisted of stakeholder consultations, a literature review, the circulation of draft papers on specific topics, and large and small consultative meetings with regional stakeholders. The document discusses participation as part of approaches to community-based natural resource management (CBNRM).

Findings. A focus on communities has made CBNRM successful and the authors argue that the long-term success of transboundary conservation and natural resource management (TBNRM) rests on whether or not communities become real partners as opposed to mere beneficiaries. The extent to which communities will be included in collaborative TBNRM depends upon whether communities are organized at local, regional or bilateral levels to assert themselves in policy dialogues and whether they are recognized in official circles. The recognition of communities is conditioned by how much governments have empowered them to control their own resources.

Typically, there is tension between customary and statutory understandings of community. Internally, communities are heterogeneous. In particular, lineage and gender-based issues are important factors in community-based management for TBNRM in Southern Africa. However, governments often view communities as a uniform unit in policies and laws. As a result, communities sometimes struggle to behave as a single stakeholder when dealing with other stakeholders.

Other problematic issues influence CBRNM success. The private sector often seeks decisions at higher, more official levels because it has become frustrated by the slow pace of community decision-making and rigid administration. These situations can lead to a lack of transparency and corruption, as well as communities feeling cheated by their governments. In addition, in southern Africa, lack of clarity around the conferring and application of tenure and use rights is a central problem for CBNRM schemes. This problem affects groups such as pastoralists and women resource user groups who rely on resources located across community, sub-national, and national borders.

The authors discuss devolution in relation to CBNRM. Devolution has typically been limited to giving rights to smaller statutory authorities or traditional authorities or a mix of these groups. However, rights are generally not given at the household or individual level. According to the authors, CBNRM is "fixated at the interface between the community (meso) and local and regulatory authority (macro) levels."

Five principles of devolution are key to CBNRM. First, resources should have focused values so that communities can compare costs and benefits. Second, differential burdens lead to differential benefits. Third, there needs to be a positive relationship between management quality and benefits realized. Fourth, the unit of proprietorship should be the unit of production, management, and benefit. Fifth, the unit of proprietorship should be small. However, applying these principles can be problematic. Practitioners are unsure of the best economic, ecological, and local criteria to use in determining management units. The main problem is that communities lack strong property rights on communal lands. For devolution to be successful, it must include all "bonafide" stakeholders, even if the process must be slowed to build the capacity of local groups.

45. Hockings, M., S. Stolton, and N. Dudley. 2000. "*Evaluating Effectiveness: A Framework for Assessing the Management of Protected*

***Areas*." World Conservation Union, Gland, Switzerland and Cambridge, UK.**

Available from: http://wcpa.iucn.org/pubs/publications.html

Keywords: community, evaluation, protected area planning, stakeholder evaluations

Abstract

Objectives and Methodology. This book is intended for protected area and evaluation professionals. It provides a framework and tools for evaluating the management effectiveness of all types of protected areas in developing and developed countries.

Findings. Management effectiveness relates to design of parks and park systems, the appropriateness of management systems and processes and the achievement of goals. Protected area (PA) planning or management agencies are the principal stakeholders of evaluations. They are interested in knowing whether the goals of the PA are being met. Local communities have an interest in knowing whether a PA is meeting its objectives and constitute another stakeholder group. Ideal evaluations will include partnerships between many players including local managers, senior agency managers, government agencies from other sectors, local communities, indigenous groups, NGOs, donors, and private sector staff. All relevant stakeholders should be included. The authors also suggest that a transparent system is needed to make results available to all stakeholders. Besides having clear management goals and criteria for assessing them, management evaluations should include indicators of social, environmental, and management issues and also how the PA relates to its surroundings. They need to focus on the most important issues and give broad consideration of all of the factors that affect management (such as design and context). The authors suggest a scoring system as an evaluation tool. Several items in a scoring system to evaluate management processes and outputs relate directly to local participation. Management engagement with the neighbors of PAs is scored at four levels (i.e., no contact, limited contact, regular contact, and cooperatively addressing of mutual concern). An element on residents and traditional landowners scores the level of local participation in management (i.e., no or little input, input but no involvement, direct contribution to management in some areas, and direct contribution to management). Additional points can be assigned when there is open communication and trust between managers and locals.

46. Horowitz, L. S. 1998. "Integrating Indigenous Resource Management with Wildlife Conservation: A Case Study of Batang Ai National Park, Sarawak, Malaysia" *Human Ecology* 26 (3): 371-403.

Keywords: Batang Ai National Park, conflict (management, resolution, mapping, risk assessments), customary law, Iban, indigenous management systems, Integrated Conservation Development Projects (ICDPs), land and forest management, local, local authority, Malaysia, park, participation, Sarawak, wildlife

Abstract

Objectives and Methodology. This paper examines the indigenous land and forest management systems of a community comprised of seven Iban longhouses. Their territories comprise the area of Batang Ai National Park in Sarawak, Malaysia. It also discusses the integrated conservation and development program (ICDP) at the park.

Findings. To enlist the cooperation of local people and their leaders in implementing a new conservation strategy, this Malaysian ICDP is

attempting to work within the existing system of customary law. It aims to build upon traditional legislative infrastructure and management practices. In addition to reinforcing local authority, park planners have recognized that it is necessary to offer strong incentives to local people for their participation in co-management of the protected area.

Despite a history of conflict between the State and indigenous peoples, Horowitz argues that State officials have demonstrated a willingness to work with local people and community leaders in this particular situation. At the same time, they are encouraging community development. They have helped local people to find alternatives to activities that threaten the park's wildlife.

47. Infield, M., and A. Namara. 2001. "Community Attitudes, and Behavior Towards Conservation: An Assessment of A Community Conservation Programme Around Lake Mburo, National Park, Uganda." *ORYX* 35 (1): 48-60.

Available from: http://www.blackwell-science.com /~cgilib/jnlpage.asp?Journal=oryx &File=oryx

Keywords: community, community attitudes and behavior, community development, community-based, conservation, Uganda

Abstract

Objectives and Methodology. This paper analyses the impact of a Community Conservation Programme (CCP) implemented over a seven-year period around a national park in Uganda. The authors conducted a survey of community attitudes.

Findings. CCP activities included dialogue, conflict reduction, education, community resource access and support for community development. The attitudinal surveys of attitudes showed that communities who had benefited from the program were significantly more positive towards the park and wildlife than communities that did not receive benefits. The CCP built an understanding of conservation objectives amongst communities whose members were more likely to recognize positive aspects of the park and less likely to demand that it be degazetted.

However, comparisons over the seven-year duration of the CCP do not show that communities were generally more positive towards conservation over the life of the project. Communities were more critical of management and demanded more support and resources than they had received. Their behavior was not greatly changed and high levels of poaching and illegal grazing continued. Community attitudes were influenced by receipt of development assistance but improvements were fragile. They were vulnerable to the poor behavior of park staff and law-enforcement activities that were seen as contradictory to community approaches. Land ownership and economic occupations also influenced community attitudes.

The authors conclude that the CCP was not a panacea for the problems of the park. It did not resolve fundamental conflicts of interest between communities and park management. However, it did change the way the protagonists perceive and interact with each other.

48. IUCN (World Conservation Union). 1999. "Parks for Biodiversity: Policy Guidance Based on Experience in ACP Countries." World Conservation Union, Gland Switzerland and Cambridge, UK.

Available from: http://wcpa.iucn.org/pubs/publications.html

Keywords: Africa and Africa Region, capacity, capacity building, Caribbean Region, decentralization and devolution, local, local participation, control, ownership, Pacific and Pacific Region, World Conservation Union (IUCN)

Abstract

Objectives and Methodology. Intended to provide information to the public, this book offers background information and summarizes the main points from three regional strategies (Africa, the Caribbean and the Pacific Region) that were presented to the European Commission.

Findings. Local participation is a concern that runs throughout the book. The authors point out that donors should "be suspicious of any protected area project that does not have activities with the local community at its heart." The background section also describes five principles derived from the Caracas Action Plan from the Fourth World Congress on National Parks in Caracas, Venezuela. The second principle explicitly calls for the involvement of local people. While it may be more expensive and complex, approaches that encourage participation are more likely to succeed. This success is, in part, attributable to the fact that participatory conservation requires less formal policing since local people often act as unpaid guardians.

The authors discuss categories and issues related to protected area stakeholders. The book lists five stakeholder categories: 1) the public sector, such as electric and water utilities; 2) the commercial sector; 3) non-governmental organizations (NGOs); 4) research institutions; and 5) local communities. The first step of protected area work involves identifying the obvious and not-so-obvious stakeholders, such as military and religious groups.

The book recommends several approaches for working with local communities. The World Conservation Union's (IUCN) Participatory Action Research approach encourages local people to research and understand their natural resources. When they gain an understanding of their impacts on their resources, they are more empowered to take charge of the planning and management processes. As much as possible, managers should include locals in management through boards and co-management structures. When necessary, protected area projects should raise the local standard of living by tying development to the conservation of core areas. In the past, Integrated Conservation and Development Projects have only supported conventional development in areas surrounding core areas. In some areas, they have inadvertently attracted more people to the location and put more pressure on resources in the core area. Responsibility and financing for protected areas should be devolved to the lowest level possible. Projects should encourage local leadership and community initiatives. Achievements can be recognized through award schemes, public ceremonies, and personal contact above all.

In Africa, parks face a two-fold challenge – making protected areas contribute to local needs without compromising conservation and finding ways for conservation go generate income to cover more of the local costs. For the former challenge, the basic park management strategy has involved integrating development needs with conservation. IUCN recommends the co-management model as one option. However, co-management involves risks because it can be difficult and time-consuming, vulnerable to corruption and pressure from vested interests and a lack of community and staff capacity and democracy at the local level.

For the Caribbean region, participation is only briefly mentioned in the strategy. What is mentioned is an overriding belief is that parks

must be able to generate income for local residents. Tourism is intended to play a large role in creating economic opportunities. Co-management and participation are seen as means to foster local cooperation and reduce conflicts between managers and locals. It is noted that "the community has to organize itself into a form in which it can participate in decision-making. " Communities must reach a point where they can think about long-term sustainability and not just meeting immediate needs.

The Pacific Region strategy discusses the uniqueness of the region in terms of tenure. Customary tenure dominates rather than government ownership of natural resources. As a result, these governments have little control over what happens in sensitive areas. Conservation practitioners must work directly with the communities and owners of land and marine areas. Local owners have considerable respect and knowledge of their natural resources but are tempted to exploit resources in order to join the cash economy. In this context, the most appropriate role for donors is to work through community groups and NGOs in order to negotiate with owners. According to IUCN, Pacific Island governments believe that a Trust Fund is the best way to support conservation. These funds are believed to be the best mechanism for providing funding in the most appropriate, small scale for community-based conservation. A Trust Fund has the potential to maintain the approaches that have been successful to date. These approaches take a long-term approach and provide small but sustained amounts of funding. They build capacity and minimize the use of outside experts. They have the flexibility to meet the needs of communities in the "driver's seat" and allow activities to be led by community demand.

49. IUCN (World Conservation Union). 1998. "Protected Areas in the 21st Century: From Islands to Networks." Conference Report, January, 1998, Albany, Australia. World Conservation Union, Gland Switzerland and Cambridge, UK.

Request from: World Conservation Bookstore, http://www.iucn.org/bookstore/index.html

Keywords: capacity, capacity building, indigenous role, management capabilities, management collaboration, Pacific and Pacific Region, protected areas, Venezuela, World Conservation Union (IUCN)

Abstract

Objectives and Methodology. Several plenary sessions and papers in this conference report were briefly discussed in this conference report. The report does not provide papers discussed in the plenary sessions.

Findings. In a plenary entitled "The Changing Nature of Society," speakers noted that indigenous peoples are playing an important role in protected area management and there is a continued need for management collaboration. Often, the interests of indigenous peoples and conservation managers coincide but there are few forums where stakeholders can resolve conflicts. There is increased use of co-management. It has been effective at resolving many deep-rooted conservation problems that stem from poor communication between managers and local communities. Speakers also emphasized that devolution has been valuable and that stakeholders must continue to be fully involved in management.

"The Capacity to Manage" plenary session notes observe that protected area managers need to gain skills in communication, negotiation, and obtain greater socio-economic

knowledge. Managers will need to incorporate local knowledge into management and to communicate the values associated with protected areas. There is a need to train managers on co-management strategies and how to work with communities. Community groups need training to increase their capacity to be managers of protected areas. The summary did not specify exactly what knowledge locals would need.

Several conference papers discussed the role of participation. A paper on the Convention on Biological Diversity stated that the protected area planning and management must be done "with and through" local communities. "The Road from Caracas" paper details the progress made since the 1992 World Parks Congress in Caracas, Venezuela. It mentions that many countries have been promoting collaborative management of PAs that covers the full range of participation from consultation to collaborative management arrangements. While the role of indigenous peoples is increasingly prominent, it is still often inadequately considered in PA management. For the Pacific Islands region, a paper on marine protected areas (MPAs) stated that successful MPA management is a transparent process that uses local participation at every step, builds stakeholder capacity and integrates traditional and modern conservation approaches. Because government-led PA management has failed, other management arrangements have arisen where communities own and depend upon the resources to be conserved. For the South Pacific Biodiversity Conservation Programme, the main characteristics of management are local ownership, full local participation, locally driven processes, and benefits for locals.

50. Kramer, Randall, Carel van Schaik, and Julie Johnson. 1997. "*Last Stand: Protected Areas and the Defense of Tropical Biodiversity*." Oxford, UK: Oxford University Press.

Keywords: compensation, exclusion of people, Integrated Conservation Development Projects (ICDPs), local, local participation, control, ownership, Non-Governmental Organizations (NGOs) (capacity, roles, executing agencies, host country), social, social issues, social threats, tropical rainforests

Abstract

Objectives and Methodology. The overall focus of the book is on the loss of biodiversity in tropical rain forests and the role of protected areas in stemming this loss. This book is the culmination of several years to bring together people from a variety of disciplines, national backgrounds and work experience to share ideas about conservation of biodiversity in the tropics. Tropical rain forests are disappearing rapidly due to human encroachment and have become the subject of international concern. The book moves from general topics such as "what is biodiversity" and the history of the park movement to more complex questions and concepts. For example, what are design problems that need to be improved to keep protected areas (PAs) functioning as viable ecosystems? What are the social threats to PAs? How successful have Integrated Conservation and Development Projects (ICDPs) been and what is the role of local participation in PA management?

Findings. In a chapter on user rights and biodiversity conservation, the authors explicitly discuss the devolution of rights to local people. They point out that there are two main schools of thought regarding the devolution of rights to local people. Some argue that the only way to vest locals in the maintenance of forest resources is to give them specific, income-enhancing rights to its use. Others point to numerous examples of local populations that have exploited their forest resources in ways that are not sustainable, degrading the

biodiversity of the area. The authors suggest the primary issues shaping the devolution debate are population pressure and equity issues. Population pressure drives incursions onto protected areas and inequitable distribution of land and other resources forces disenfranchised individuals to rely on protected areas to enhance their incomes. Several other issues lead to encroachment. Insecure tenure creates perverse incentives to exploit the forest resources at unsustainable rates. There are also conflicts between formal laws/policy and traditional norms, between traditional users and new migrants and between traditional users versus commercial enterprises.

Using three case studies from Costa Rico, Bolivia and Belize, the book recommends how population pressure and equity can be reconciled with preserving biodiversity through creative user-rights arrangements. In Costa Rica, the keys to success included strong government commitment, the institutionalization of these commitments via the creation of several autonomous NGOs, clear links between protection of biodiversity and economic prosperity, establishment of professional and financial relationships with international NGOs and local investment. In Belize, the success of the project was the result of respect for, and dependence upon the local entrepreneurial capabilities of the local population, as well as links to international NGOs. In Bolivia, where the project was less successful, income opportunities were created without providing mechanisms for limiting the subsequent influx of colonizers into the area. As a result, there was greater in-migration and both locals and migrant were forced into harvesting within the protected area.

In the final analysis, the book highlights four principles that would successfully improve protected area management. The first principle is that active protection, through law enforcement, should be a fact of life for protected areas, irrespective of whether or not local people are involved, for sustainability into the future. The second is that it is reasonable to ask that beneficiaries elsewhere be prepared to pay for these benefits, which they currently receive at no cost. It is largely city dwellers and others are benefiting directly or indirectly from the protected resource. Payment measures may include taxation, or support by private foundations. The third principle is that foreign involvement in the management of a country's biodiversity is justified, particularly in transboundary or "common" cases. Much like ozone, biodiversity is perceived to be a common good. The fourth principle is that active involvement of local communities in conservation is mandatory because the involvement of locals is likely to significantly improve protection. However, although this devolution of PA management is effective at the community level, the interests of other stakeholders, national or international, should always be represented. These interests need to be represented, if not at the executive level, then at the oversight level. Thus, the advantages of devolution should be married to the strong points of state involvement.

51. Lane, M.B. 2001. "Affirming New Directions in Planning Theory: Co-Management of Protected Areas." ***Society and Natural Resources*** **14 (8): 657-671.**

Available from: http://tandf.catchword.com/titles/08941920.htm

Keywords: collaborative management, co-management, conservation management, local, local stakeholders, planning, planning theory

Abstract

Objectives and Methodology. This article considers the trajectory of change in planning

theory over the past 50 years and demonstrates that planning theorists have converged on similar ground to managers of protected areas

Findings. In recent years, the conservation management literature has seen many calls for co-management of parks and protected areas. The rationale for this approach to protected area management has come from the experience of park managers who are struggling to integrate protected areas into the socioeconomic fabric of surrounding regions. This rich experience informs calls for more co-management schemes.

However, a theoretical rationale for, and explanation of co-management have been slow in coming. Developing cooperative relationships with local stakeholders and sharing the burden of management responsibilities have emerged as a potential new paradigm in natural resource planning. Therefore, protected areas provide a context to empirically test many of the ideas and concepts that are being debated among scholars of planning.

52. Lohmann, 1998. "Same Platform, Different Train: The Politics of Participation." ***The Corner House Briefing Paper*** **4. Abstracted from: Hildyard, Nicholas, Hegde, Pandurang, Wolverkamp, Paul and Somersekhave Reddy. 1998. "Same Platform, Different Train: Pluralism, Participation and Power." UNASYLVA 49(3).**

Available from: http://cornerhouse.icaap.org/briefings/4.html

Keywords: India, marginalized groups, participation, participation development, poverty (alleviation, reduction), Western Ghats Forestry Project

Abstract

Objectives and Methodology. This article discusses the politics of participation in the Western Ghats Forestry Project in India.

Findings. The author notes that many community groups take a suspicious view of the new vogue among development agencies for forms of participatory development. Some of these groups see donor participatory development as an attempt to actively undermine local efforts to reclaim control over the institutions, forests, fishing grounds, fields and rivers upon which their livelihoods depend.

The Western Ghats Project illustrates some of these issues. The Western Ghats project was intended to ensure that poorer people, women, tribals and other disadvantaged groups who were dependent upon the forest were "not worse and preferably better off." However, in many cases, the project caused considerable hardship to local villagers. For example, the project located funded plantations mainly on village commons. In these areas, villagers and particularly the poorer villagers derive pasture for animals, fuel, manure, medicinal plants and other products to fulfill their basic needs. Now, women much travel longer distances to obtain firewood. Increasingly, they must take this wood from forestlands. The result is often further forest destruction. In addition, despite efforts to include women, the project ended up marginalizing the voices of many women, in particular lower-caste women.

NGOs played a key role in altering the project to incorporate greater involvement of villagers and a poverty-oriented focus. However, many modifications were simply tacked on to an existing framework rather than substantively influencing project design. The project would have taken a very different shape if the NGOs, let alone the villagers, had drawn up their own

project rather than modify someone else's. However, many NGOs continue to participate in these types of projects because they believe they can exert influence.

In conclusion, the Western Ghats project illustrates that "participation" is likely to offer little to marginalized groups if it fails to engage with the distribution and operations of power within local communities and the wider society in which they live. Facilitating measures may be important in negotiations. However, they are not sufficient. Marginal groups need to be granted the bargaining power to overcome the structural dominance enjoyed by more powerful groups. Therefore, participation requires wider processes of social transformation and structural change to the system of social relations through which inequalities are reproduced. To address the structural causes of inequality, it is necessary to make policy changes and rethink the means by which such change is achieved.

53. MacKinnon, K. 2001. "Integrated Conservation and Development Projects- Can They Work?" *PARKS* 11 (2): 1-5.

Available from: The World Commission on Protected Areas, www.wcpa.iucn.org.

Keywords: Integrated Conservation Development Projects (ICDPs), park, park management and park managers, poverty (alleviation, reduction)

Abstract

Objectives and Methodology. MacKinnon provides the editorial introduction on Integrated Conservation and Development Projects to this special issue of *PARKS*.

Findings. The author points out the broad and multi-dimensional roles that protected areas are increasingly expected to play. These roles include protectors of biodiversity and developers of the communities that live within and around parks. However, biodiversity conservation and development objectives often conflict. The author believes that the links between conservation and development opportunities are unclear and cases where there is a link are rare. Although participation is one element of ideal integrated conservation development projects (ICDPs), it is often difficult to fairly target communities and individuals for development.

Park managers are generally poorly equipped and lack the financial resources to tackle issues that extend well beyond park boundaries. These issues include poverty alleviation, tenure and resource allocation issues, as well as social, justice, and market failures. However, training, education, and awareness campaigns have been successful in building local support for conservation.

54. Maguire, Patrick, Nonette, Royo, Laurent Some and Tatiana Zaharchenko. 2000. "Lessons from the Field." Biodiversity Support Program (BSP), Washington, DC.

Available from: http://www.BSPonline.org

Keywords: Biodiversity Support Program (BSP), capacity, capacity building, community, decentralization and devolution, empowerment, institutional capacity, strengthening, institutions, power, threats, United States Agency for International Development (USAID)

Abstract

Objectives and Methodology. For years, conservationists have treated decentralization as a "magic bullet." On the whole, decentralized decision making and increased user group rights have promoted reforestation. However,

there have been problems and the BSP study, "Shifting the Power: Decentralization and Biodiversity Conservation" suggests a more complicated scenario. BSP conducted a study asking two questions: does decentralization empower the people living in direct contact with natural resources and if this power shift occurs, does it result in environmental policies and management practices that reduce threats to biodiversity?

Findings. Obstacles to decentralization in conservation were numerous. Adopting laws to decentralize power did not guarantee that it would occur or that it would prove favorable to conservation. Decentralization was often accompanied by neo-liberal reforms that reduce the government's responsibilities all across the board including the task of ensuring that local actors carry out their responsibilities. The BSP study suggests that it is optimal to build in reciprocal forms of accountability between the local and national levels. The study also showed that while communities face a problems that lead to resource degradation, decentralized conservation programs are unlikely to overcome these problems although they may help address some of them. In some areas, local people distrust conservationists. They fear that the programs they bring will diminish their access to resources. BSP's Senior Program Officer with the KEMALA project also indicated that with decentralization, it is easier to get permits to cut down the forest.

The BSP decentralization study proposes several principles for effective conservation practice. It is important to know, for all stakeholders, the meaning, value and existing rights to the natural resources. It is also necessary to know who benefits most and least from conservation actions. It is helpful to identify institutional partners with authority and legitimacy, local non-conservation goals and their relationship to conservation goals. There is a need for more research and efforts to address underlying social factors behind environmental threats. It is important to pay attention to the position of any potential conservation allies hold within the local community as a whole. It is helpful to find institutional partners with capacity and build the capacity of local resource management structures instead of creating new ones. Projects should work with groups normally marginalized from the public arena, encourage local-national linkages and discourage mere divestment of functions and authority.

55. Margoluis, R., Cheryl Margoluis, Katrina Brandon, and Nick Salafsky. 2000. "In Good Company: Effective Alliances for Conservation." Biodiversity Support Program, Washington, DC.

Available from: http://www.BSPonline.org

Keywords: alliances, biodiversity conservation and protection, Biodiversity Conservation Network, Biodiversity Support Program (BSP), Fiji, India, Indonesia, international agencies, Nepal, Non-Governmental Organizations (NGOs) (capacity, roles, executing agencies, host country), Papua New Guinea, Philippines, Solomon Islands, Threat Reduction Assessment, United States Agency for International Development (USAID)

Abstract

Objectives and Methodology. This study focuses on the characteristics of effective conservation alliances and their member organizations and the key principles that can help organizations work together more effectively. The authors examined a range of alliances working to preserve conservation and conservation NGOs involved in these alliances. The sample focused on 20 projects supported by the Biodiversity Conservation Network (BCN) in Fiji, India,

Indonesia, Nepal, Papua New Guinea, The Philippines and the Solomon Islands. The sample included 39 sites, 43 organizations and 37 enterprises. To measure whether a project had an impact upon biodiversity conservation at each site, the authors used the Threat Reduction Assessment (TRA) approach. This technique evaluates the area, the intensity and the urgency of each threat, as well as the degree to which all threats have been addressed by project activities. The authors drew from the literature and conventional wisdom to select the independent variables that were thought to influence conservation success. They used semi-structured questionnaires to interview BCN staff and alliance personnel.

Findings. The study findings showed some disagreement with the conventional wisdom regarding alliances. For example, neither conservation NGOs nor international organizations were best suited or most effective at managing and implementing conservation projects. To be effective, organizations need to play appropriate roles. Although international organizations generally had the most control over projects, these arrangements proved to be less effective and not sustainable. Local and national organizations need to be involved so that they can create and manage successful conservation projects on their own. Projects that have conservation goals and involve organizing, training or educating people who live around areas of high biodiversity may be better managed by development organizations that work with local people.

The study confirmed some of the commonly accepted assumptions about alliance management. Complex projects and alliances often come with more difficulties because they are difficult to maintain in terms of time, energy and money. Although they may have had greater access to a variety of technical skills and financial resources, alliances with more member organizations were not more effective. More flexible alliances were more likely to achieve conservation success as were alliances that had one strong leader for creating and maintaining successful conservation projects. Simpler alliances with fewer member organizations were better able to establish and maintain clear project goals. Simple alliances, such as partnerships and contractual agreements, allow for complementary resources and skills to be shared, while minimizing the resources that need to be invested by each partner.

56. McNeely, J., ed. 1998. *Major Conservation Issues of the 1990s: Results of the World Conservation Congress Workshops*. World Conservation Union, Gland Switzerland and Cambridge, UK.

Request from: World Conservation Bookstore, http://www.iucn.org/bookstore/index.html

Keywords: biosphere reserves, collaborative management, co-management, indigenous knowledge, intellectual property rights, poverty (alleviation, reduction), World Conservation Congress

Abstract

Objectives and Methodology. This book includes brief summaries of the proceedings of workshops held during the first World Conservation Congress. This meeting was held in Montreal, Canada in 1996. It is intended to whet the appetites of readers for the topics discussed.

Findings. Several workshop proceedings covered participation issues related to conservation efforts in general, and less specifically to protected areas. The most relevant workshops related to Participatory Conservation included "Biosphere Reserves: Myth or Reality," "Collaborative Management

for Conservation" and "Poverty, People, and the Environment."

The "Biosphere Reserves: Myth or Reality" workshop explored operational issues for putting the biosphere reserve model into practice. Three factors contributed to the success of biosphere reserves: 1) demonstrating the direct benefits associated with the Reserve, 2) assuming an "outward focus" that is linked to a targeted communications and outreach strategy, and, 3) real, rather than token, input into decisions by local people.

The "Collaborative Management for Conservation" workshop discussed the issues and possibilities provided by collaborative management (CM). Two overarching opinions surfaced toward CM – CM as an effective way to manage resources and CM as a means to promote equitable access to resources. There is some concern that government should still have responsibilities as the caretaker of the environment, even when stakeholders are incorporated into CM. The disenfranchised sectors of society should be included in framing CM rules. In addition, information should be shared to balance power among stakeholders. CM systems should be aware of, and build upon local knowledge and practices but not uncritically perpetuate harmful practices. To avoid a heavy reliance on natural resources, CM schemes should offer diverse means for generating revenue and flexible incentives that can change with local conditions. Non-governmental organizations (NGOs) are useful facilitators but they risk intruding if they consider themselves to be stakeholders. In general, a long-term approach and support are useful to craft the details of CM systems, build trust between government and communities, resolve conflicts that arise over time and look out for the interests and rights of future generations.

For the "Poverty, People, and the Environment" workshop, participants discussed possible approaches and policies related to a paradigm that links conservation to poverty. The general approach includes preventing environmental degradation and providing livelihood opportunities. However, trade barriers, intellectual property rights, tenure rights and participation influence biodiversity conservation. Trade barriers interfere with the success of biodiversity conservation strategies that depend upon the sale of natural products (i.e., the negative impact of the ivory trade ban upon Zimbabwe's CAMPFIRE program). Despite the presence of intellectual property rights laws, individuals or communities that hold traditional knowledge with market value are generally not compensated. Both public policy and local tenure plans are needed to guarantee local resource rights.

In addition, stakeholder participation has helped avoid destructive conflicts. In buffer zone management, successful participation strategies have included involving and strengthening local institutions, increasing local participation in decision-making; establishing strategic alliances among stakeholders and working by consensus and compromise. It also helps to recognizing the contradictions between short-term poverty alleviation and long-term conservation goals.

57. Mehta, J.N., and J.T. Heinen. 2001. "Does Community-Based Conservation Shape favorable Attitudes Among Locals? An Empirical Study from Nepal." *Environmental Management* 28 (2): 165-177.

Available from: http://link.springer.de/link/service/journals/00267/

Keywords: Annapurna Conservation Area, benefits, benefit sharing, community, community-based conservation, local, local

attitudes, awareness and environmental education, Makalu-Barun Conservation Area, Nepal, people-park relations

Abstract

Objectives and Methodology. This article is geared to the needs of policy-makers and resource managers in Nepal and worldwide who are interested in understanding whether community-based conservation approaches lead to improved attitudes on the part of local people. It also discusses whether or not attitudes are influenced by the personal costs and benefits associated with various intervention programs, as well as socioeconomic and demographic characteristics. The authors explore these questions by looking at the experiences in Annapurna and Makalu-Barun Conservation Areas, Nepal. The research was conducted during 1996 and 1997; the data collection methods included random household questionnaire surveys, informal interviews, and review of official records and published literature.

Findings. Like many developing countries, Nepal has adopted a community-based conservation (CBC) approach to policy formulations, planning and management in recent years to manage its protected areas. This new approach has been adopted mainly in response to poor park-people relations. Under this approach, the government has created new "people-oriented" conservation areas. It has formed and devolved legal authority to grassroots-level institutions to manage local resources. In addition, it has fostered infrastructure development, promoted tourism and provided trainings on income generation for local people.

The study results indicated that the majority of local people held favorable attitudes toward these conservation areas. Logistic regression results revealed that the most significant predictors of local attitudes were participation in training, benefits from tourism, the wildlife depredation issue, ethnicity, gender and educational levels. These predictors were relevant for one or the other conservation areas. The authors concluded that the CBC approach has potential to shape favorable local attitudes and that these attitudes will be mediated by some personal attributes.

58. Metcalfe, S. 1999. "Study on the Development of Transboundary Natural Resources Management Areas in Southern Africa: Community Perspectives." Biodiversity Support Program, Washington, DC.

Available from: Biodiversity Support Program at http://www.bsponline.org/publications/

Keywords: Africa and Africa Region, Biodiversity Support Program (BSP), community, community perspectives, community-based natural resource management (CBNRM), private sector, stakeholders, tenure (rights, security, community-based, devolution, land rights, use rights), transboundary natural resource management (TBNRM), United States Agency for International Development (USAID)

Abstract

Objectives and Methodology. This supplement to the BSP Transboundary Study (see #39), explains specific community perspectives regarding Transboundary Natural Resource Management (TBNRM) and Community-Based Natural Resource Management (CBNRM). It discusses many of the community management issues presented in the main report and also describes the relationships between communities and other stakeholders, constraints to community management and the interventions needed to improve community-based management.

Findings. Communities have different relationships with each type of stakeholder. Governments ultimately decide whether to grant rights and listen to community voices. In southern Africa, governments have not sought the participation of civil society and have not encouraged input from informally organized rural communities. Communities are in greater contact with the private sector because tourism provides a new way to value natural resources. However, communities need clearer tenure rights to be seen by the private sector as partners. NGOs have a history of building local capacities. The ability of communities to participate with other stakeholders depends upon their ability to establish community-based organizations. The role of donors can be unclear. While donors are necessary to support CBNRM, communities are unsure of where their interests fall within donor priorities. CBNRM-related has helped to inform stakeholders, identify issues and conflict, as well as provide options.

The document lists the constraints to community management from the point of view of communities and proposes some solutions. These constraints include weak communal property rights and contestation of rights between traditional and statutory authorities. The time demands of community management create high costs. Large programs tend to marginalize communities and there is a problem with top-down implementation. There is sometimes a lack of NGO transparency. Both communities and government staff lack skills, including the skills needed to work together. Sometimes, cultural heritage is made subordinate to conservation. Some activities lack incentives for compatible land uses in protected areas (PAs). To overcome these constraints, communities need to be involved early on in CBNRM initiatives. Governments should improve the formal access rights for communities. Projects should support the development of community-based organizations to represent communities at all levels. It is important to encourage indigenous knowledge systems, provide training and capacity building and support communication and information sharing. TBNRM should be an extension of CBNRM and allow a unique process to develop that informs the institutional structure of TBNRM.

59. Metcalfe, Simon. 1996. "Whose Resources are at Stake? Community-Based Conservation and Community Self-Governance." The University of Reading Agricultural Extension and Rural Development Department. *The Rural Extension Bulletin* Number 10.

Available from: http://www.undp.org/eo/documents/who.htm

Keywords: CAMPFIRE, capacity, capacity building, community, community self-governance, conservation, participation, participation evaluations and participatory monitoring, planning, planning theory, stakeholders, tenure (rights, security, community-based, devolution, land rights, use rights), traditional authority, traditional groups, United States Agency for International Development (USAID), Zimbabwe

Abstract

Objectives and Methodology. This four-page article shows how political and social factors have led to different community dynamics in two different village wards and to very different outcomes in response to a project. It focuses on lessons from the CAMPFIRE project in Zimbabwe.

Findings. According to the author, the concepts of community and community ownership are attractive but are in danger of being idealized. Colonial interventions and the more recent introduction of democratic structures based on

individual adult representation principles have altered traditional systems of rights and obligations that govern access to resources. Conflict between these interventions and traditional systems can rupture community conservation policies.

Political and social differences influence how the CAMPFIRE Project is able to operate. For example, in the Chapoto Ward of Guruve District, there is conflict between the democratically elected Ward Development Committee and the traditional chief. As long as the chief's authority is not recognized and the community continues to support him, the effectiveness of the CAMPFIRE Committee is undermined. For project activities in this area, CAMPFIRE has had to rely upon firm district level oversight, supervision and enforcement. On the other hand, there is a viable relationship between the Ward Committee and the traditional chief in Kanyurira Ward. Communities adhere to decisions. In addition, this ward has had more consistent technical and institutional support than other wards.

Based on CAMPFIRE's experiences, the author notes several other challenges to community-based conservation. Programs are flawed if they espouse community-based conservation but do not have a firm footing in national legislation. Projects that are not set within an integrated programmatic policy framework provide a poor environment for sound institutional development. Half-hearted devolution of resource tenure will lead to cooptation of communities, not community –based natural resource management (CBNRM). At the local level, there is a need reconcile traditional and statutory authority since this issue directly impacts CBNRM. Finally, dedicated and sensitive implementation facilitates a well designed program's successful outcome.

60. Pimbert, Michel, and Gujja Biksham. 1997. "Village Voices Challenging Wetland Management Policies: Experiences in Participatory Rural Appraisal from India and Pakistan." *Nature and Resources* 33 (1).

Keywords: community, community opposition, conflict (management, resolution, mapping, risk assessments), India, Keoladeo National Park, Pakistan, Participatory Rural Appraisal (PRA), protected area management, protected area management, Punjab, Rajasthan, tenure (rights, security, community-based, devolution, land rights, use rights), training (capacity building, needs, workshops), Ucchali wetland complex, wetland management

Abstract

Objectives and Methodology. This article reports on the community-wetland interactions of two sites of international importance for conservation. These sites are the Ucchali wetland complex in the Pakistani Province of Punjab and the Keoladeo National Park in the Indian State of Rajasthan.

Findings. Although agencies drew up management plans for these wetlands following western scientific principles and the internationally agreed guidelines of the Ramsar Convention, local community opposition has hampered effective PA management. To prevent more intense conflicts with local communities, the conservation authorities initiated local consultations related to wetland management. Participatory Rural Appraisals (PRAs) were carried out in several villages that neighbored the two wetlands in India and Pakistan.

The purpose of the PRAs was three-fold. One objective was to assess the social impact of the PA management system on local communities and to make the assessment available to all stakeholders. The second objective was to revise

the protected area management plans in the light of the interactive dialogues between local people and outsiders. The third objective was to initiate a dialogue on the policy reforms needed to involve local communities as equal partners in wetland conservation. They were designed to involve key government and WWF staff in experiential learning. The training workshops and appraisals reinforced the message that participation is not just the application of a method. Instead, participation was viewed as part of a process of dialogue, action, analysis, conflict resolution and change.

The PRAs revealed a profound mismatch between local experiences of the social and ecological history of the wetlands and the perceptions of outsiders. External organizations assume that the Ucchali and Khabbaki Lakes are natural features of the landscape. However, villagers see Lake Khabbaki as a disaster flood zone instead of a lake. The wetland is of recent origin and was formed by heavy rains over the last 50 years. It sits on prime agricultural land that is owned by neighboring villagers. Currently, Khabbaki is a waterfowl sanctuary. When it was created, local people's prior land rights were neglected and this situation set the stage for conflicts between the state and local communities.

The interactive dialogue between the villagers and the conservationists revealed many ecological and social differences, including differences between villages in the area. During the PRA mapping and dialogues, the villagers drew the boundaries of the wetlands and these were compared with those boundaries drawn by conservation scientists. The villagers shared a wider analysis of the wetlands. In addition, local level diversity suggests that standardized and undifferentiated approaches to wetland planning and implementation are inappropriate.

The PRA also showed that farmers who had lost land or land rights could not appreciate the value of vague "long-term" conservation benefits for society or humanity. In their view, conservation benefits should be immediate and quantifiable. Villagers felt that they should have a fair share of the benefits accruing from successful management of the wetlands or fair compensation for loss of productive resources.

To avoid further conflict, the authors recommend incorporating villager proposals into protected area activities. Villager proposals should be added to existing management and used to shape legal reforms. In addition, increased dialogue between villagers, conservation agencies and government departments must become an essential part of the development of compensation and joint management schemes.

61. Rambaldi, Giacomo. 1997. "RRA as a Tool in Integrating People's Participation in Protected Areas Management." ***Sylvatrop*** **7 (1 & 2): 28-39.**

Keywords: National Integrated Protected Areas Programme (NIPAP), Philippines, Rapid Rural Appraisal (RRA), traditional resource management

Abstract

Objectives and Methodology. This paper focuses on the Rapid Rural Appraisal (RRA) techniques used for protected area (PA) management by the National Integrated Protected Areas Programme (NIPAP) in the Philippines. Through a workshop and data analysis, the NIPAP evaluated several communities to choose target sites. Their criteria included economic, geographic, cultural and ecological considerations related to resource use and access.

Findings. The NIPAP assumed that sustainable, participatory community-based PA planning should be based upon a thorough understanding of local people's knowledge, perception, practices and their relationships with natural resources. This understanding would be progressive and would enhance the empowerment of local disadvantaged groups. In addition to helping to integrate local knowledge and traditional resource management systems into PA management design, the NIPAP promoted a two-way learning process between insiders and outsiders. Direct participation of villagers in discussions and workshops allowed them to have a deeper understanding of their resources. In addition, the participatory learning experiences enabled them to have more relevant and effective planning output for practical and reliable management strategies.

The NIPAP used Rapid Rural Appraisal (RRA) as a strategy to integrate people's participation in protected areas management planning. The RRA tools and methods used at the village level focused on several techniques. The NIPAP undertook a historical transect to detail resource changes over time. The activity allowed villagers to use culturally accepted indicators to measure resource changes. The project also did two-stage resource mapping to help farmers, forest dwellers and fishermen to depict the territory and the distribution of resources known to them. Social mapping enabled villagers, usually women, to picture their village, social infrastructure and services. Villagers participated in transects and transect mapping to identify resource use patterns. Seasonal calendars captured information on climate, income and expenditures and seasonal livelihood matrixes described seasonal access and or management of resources. Venn diagrams enabled the project to identify stakeholders and their relative importance and interaction in the community.

62. Roe, D., Mayers, J., M. Grieg-Gran, A.,Hothari, C. Fabricius, and R. Hughes. 2000. "Evaluating Eden: Exploring the Myths and Realities of Community-Based Wildlife Management." ***Evaluating Eden Series No. 5.*** **London: International Institute for Environment and Development and the World Conservation Union.**

Available from: World Conservation Bookstore, http://www.iucn.org/bookstore/index.html

Keywords: Africa and Africa Region, Asia, Australia, Central America, community, community-based wildlife management (CWM), community-government relationships, customary law, South America, stakeholders, statutory laws

Abstract

Objectives and Methodology. This book focuses on a study about community-based wildlife (CWM). The study assessed the environmental, economic, and social impacts of CWM. It examined the strengths of CWM for wildlife conservation (Chapter 7) and the factors that make CWM work (Chapter 8). The book includes CWM case studies from Africa, Asia, Central America, South America and Australia

Findings. CWM increased environmental awareness among community members and officials. CWM has improved relationships, mutual respect and understanding between resource users and officials. Stakeholders have gained an expanded appreciation for the validity of both scientific and local knowledge. CWM shortcomings include the continued persistence of poaching due to a lack of law enforcement, unsustainable use by communities in spite of CWM, introduction of exotic species and continued use of incompatible agricultural practices.

Environmental, social, human and physical factors contribute to successful CWM:

- From an environmental perspective, CWMs benefit from clear and defensible boundaries, a manageable scale and wildlife are easy to monitor. Collective action is motivated by sufficient scarcity of resources, resources have value and communities are in close proximity to resources. Other favorable factors include seasonal factors that affect livelihoods and the ease of use of the CWM scheme.
- Social attributes also help CWM arrangements to succeed. It is helpful to have clear tenure rights, cultural values related to wildlife and low demand for wildlife. CWM works well with small communities. It helps to have identifiable local stakeholders who have the capacity to resolve conflicts, negotiate with their neighbors and equitably distribute benefits. Institutions for CWM need to represent stakeholders, be built on motivation and retain flexibility. It helps to have effective use rules and a balance between customary and statutory laws. Finally, there needs to be institutional space to build community-government relationships and coordinated efforts among government, civil, and private organizations.
- Human attributes include a balance of scientific and indigenous knowledge, versatile leadership, and education.
- Physical attributes include a strategy for developing and maintaining finances and infrastructure.

63. Rosenberg J., and F.L. Korsmo. 2001. "Local Participation, International Politics, and the Environment: The World Bank and the Grenada Dove." ***Journal of Environmental Management*** **62 (3): 283-300.**

Available from: http://www.academicpress.com/jem

Keywords: Global Environment Facility (GEF), Grenada, habitat protection, social, Social Impact Assessment, social impacts, stakeholder involvement, participation, World Bank

Abstract

Objectives and Methodology. This case study analyzes the participatory methods and results of the World Bank-funded project in Grenada, including an unexpected shift in the policy agenda toward habitat protection for the elusive Grenada Dove, the national bird of Grenada.

Findings. The process of locating waste disposal sites in the Eastern Caribbean country of Grenada illustrate important lessons in the implementation of new international mandates to invite stakeholder participation in projects with environmental and social impacts. The authors conclude that the impact of new requirements for stakeholder inclusion by funding agencies such as the World Bank and Global Environmental Facility has been palpable, but mixed. As the catalysts of more participatory methods, funding agencies still must give more careful consideration to the methods by which their participatory requirements are implemented. In particular, they must develop more effective knowledge of, and relationships with a broader range of stakeholders than are routinely considered by existing methods. They must also allow for, and learn from unexpected contingencies and be flexible as to project goals and methods.

64. Salafsky, N., and E. Wollenberg. 2000. "Linking Livelihoods and Conservation: A Conceptual Framework and Scale for Assessing the Integration of Human Needs and Biodiversity." ***World Development*** **28 (8): 1421-38.**

Keywords: Asia, biodiversity, Biodiversity Conservation Network, conservation, livelihood

(strategies, systems), natural resources (management, monitoring and evaluation), Pacific and Pacific Region, United States Agency for International Development (USAID)

Abstract

Objectives and Methodology. The authors develop a conceptual framework for defining the linkage between livelihood activities and conservation , measure the strength of the linkage and test both by evaluating 39 Asian and Pacific project sites of the Biodiversity Conservation Network.

Findings. Although there has been increasing interest in trying to link the livelihoods of people living near natural resources to the conservation of those resources, there has been little attempt to systematically assess or measure this linkage. The authors constructed a five-dimensional scale to assess the strength of these linkages. The five dimensions include species, habitat, spatial, temporal and conservation association. After testing the framework and the scale, the authors discussed the relevance of linkage for designing appropriate conservation strategies.

65. Samaranayake, Mallika. 2001. "Promoting and Enhancing Stakeholder Participation." International Conference on Protected Area Management in the 21st Century (ICPAM 21). June 17-20, 2001. Subic Bay Freeport, The Philippines.

Available from: http://www.icpam.org/papers_011.shtml

Keywords: landlessness, Participatory Rural Appraisal (PRA), poverty (alleviation, reduction), Sri Lanka, subsistence resources

Abstract

Objectives and Methodology. This short 5-page paper details the methodology of participation and its relevance to protected area management in Sri Lanka. It was presented at an international conference in protected area (PA) management.

Findings. In Sri Lanka, an estimated 1.5 million people live within five kilometers of protected area boundaries. This population creates a high demand for land as well as subsistence resources such as fuel wood and non-timber forest products. Many of the problems associated with PA management occur because the poverty and landlessness around protected areas are inducements for encroachment and poaching. To meet the demands of local populations, resources are degraded. Often, community members release livestock into the protected areas. Outside the reserve, encroached land is used for homesteads, crop cultivation and livestock rearing. Therefore, it is increasingly important to enlist the support of the surrounding communities to manage natural resources.

The author defines participation as a process through which various stakeholders influence and share control over Protected Area Management, including conservation and sustainable use. The process includes the various decisions taken by stakeholders with regard to the resources that affect them. Participatory processes involve the various stages of the development cycle. In addition, there are considerations related to the roles and functions of the different stakeholders in committing themselves to the common objective of Protected Area Management. The author contends that the most effective PA management projects are those that involve people with a stake in the outcome. These people include communities and representatives of implementation agencies (i.e., forest officers, wildlife officers, law enforcement officers), civil administrators and politicians, donors, NGOs, religious groups, community-based organizations and private sector firms.

There are several useful Participatory Rural Appraisal (PRA) and other methodologies for PA management. Participatory Rural Appraisal (PRA) uses participatory methods to do social mapping and obtain generational information on population. PRAs can be used to identify historical trends in the use of forest products. Problem analysis can identify causes and effects of the pressure on the reserve. Wealth and Well-being Ranking as well as Venn Diagrams can help managers to understand power and institutional relationships. Other methods for obtaining stakeholder perspectives include brainstorming, semi-structured interviews, stakeholder consultation workshops and Strength-Weakness-Opportunity-Threat (SWOT) analyses and focus group discussions.

66. Songorwa, A.N. 1999. "Community-Based Wildlife Management in Tanzania: Are the Communities Interested?" ***World Development*** **27 (12): 2061-2079.**

Available from: www.sciencedirect.com

Keywords: Africa and Africa Region, community, community-based conservation, community-based wildlife management (CWM), Selous Conservation Programme, Tanzania

Abstract

Objectives and Methodology. Using the Selous Conservation Programme (SCP) in Tanzania and seven other African cases, this paper examines the plausibility of assumptions regarding the interest and willingness of communities to conserve wildlife on their lands under Community-Based Wildlife Management (CWM) or Community-Based Conservation (CBC) schemes.

Findings. Many conservationists believe that the fences-and-fines approach to wildlife protection, based on the American National Park model, has failed in Africa. However, under the names of Community-based Wildlife Management (CWM) or Community-Based Conservation (CBC), rural communities are given ownership rights or custodianship and management responsibilities for the resource. This new approach is currently under experimentation in many parts of Africa.

67. Straelig, de S. and F. Helles. 2000. "Park-People Conflict Resolution in Royal Chitwan National Park, Nepal: Buying Time at High Cost?" ***Environmental Conservation*** **27 (4): 368-381.**

Available from: http://uk.cambridge.org/journals/enc/

Keywords: community, community-based conservation, conflict (management, resolution, mapping, risk assessments), forests, Grass Cutting Program, nature-based development, Nepal, Royal Chitwan National Park

Abstract

Objectives and Methodology. The aim of the present study was to assess the extent to which the Grass Cutting Program (GCP) of the Royal Chitwan National Park is a form of 'community-based conservation' on the one hand, or 'nature-based development' on the other.

Findings. The Grass Cutting Programme (GCP) of Royal Chitwan National Park (RCNP) has been very successful in gaining local people's acceptance of RCNP. The GCP is internationally recognized as a model for park-people conflict resolution. However, it has seemingly become a spent force. During the ten days of open access in 1999, almost 50 000 tons of biomass were removed from the Park. The total gross economic value of the GCP in 1999 was more than US$ 1 million. But illegal

fuelwood was the single most important product extracted from RCNP and accounted for half of the total quantity and economic value of all resources collected.

Therefore, the authors argue that the GCP does not, in its present form, comply with the concept of community-based conservation. Instead, it is an example of nature-based development, where important natural core areas are exploited in the name of development. This study suggests a two-fold approach to reappraise the importance of the GCP in solving park-people conflicts without ignoring nature conservation. Firstly, access should be provided in different areas at different times instead of opening the whole Park at the same time. Secondly, since for the last 10-15 years buffer-zone community forestry has not been able to substitute fuelwood from RCNP, other ways to address local people's energy demand should be considered. The authors argue that park-people conflicts in RCNP have not been solved but only postponed, especially by compromising forest conservation and the possibility of the GCP to supply villagers with essential products in the future.

68. Thibault, M., and S. Blaney. 2001. "Sustainable Human Resources In A Protected Area In Southwestern Gabon." ***Conservation Biology*** **15 (3): 591-595.**

Available from: http://www.blackwell-synergy.com/Journals/issuelist.asp?journal=cb

Keywords: capacity, capacity building, Gabon, Gamba Protected Areas Complex, Participatory Rural Appraisal (PRA), protected areas, sustainability, sustainable land-use

Abstract

Objectives and Methodology. This study examined the capacity built in government agents and local community members in the Gamba Protected Areas Complex in southwestern Gabon. The authors analyzed the perseverance of all those who participated in training sessions in techniques related to ecological surveys and participatory rural appraisal (socioeconomic studies). They studied participants in training dating form 1996.

Findings. In central Africa, where governments and funding agencies cover only a fraction of the recurrent expenditures needed to effectively manage the protected-areas network. Therefore, it is essential to invest in the people who will be called on to participate in conservation efforts over the long term.

Study results indicated significant differences in the impact of training on government staff compared to local community members. Two years after training, only 7.7 percent of the government agents who attended training sessions continued ecological surveys and none continued to practice participatory rural appraisals. After the same time period, 76.2% and 60.0% of the members of local communities who received training were still active in ecological surveys and participatory rural appraisal, respectively. However, definitive conclusions regarding the participation of nongovernmental organization members cannot be drawn because of the low number of initial participants in the training programs.

The authors conclude that village collaborators seem to be a more "sustainable" human resource than government agents or of nongovernmental organizations members. Even though local communities cannot be solely responsible for managing protected areas, today's conservation professionals must acknowledge the strengths and limitations of village collaborators. Implementing a process involving the participation of community members is a demanding task because

protected-area managers must be based in the field to identify key individuals and to organize intensive training sessions. Also, if constant support is provided during the first years, then the most capable and motivated collaborators will be able to pursue further training. They will then be able to work their way up through the ranks of the organizational structures of protected areas.

69. Tisen, Oswald, and Michael Meredith. 2000. "Participation of Local Communities in Management of Totally Protected Areas." ***Hornbill*** **(4).**

Available from: http://www.mered.org.uk/mike/papers/Comanagement.htm

Keywords: collaborative management, co-management, community, democracy (and decision-making), Integrated Conservation Development Projects (ICDPs), Malaysia, participation, Sarawak, Totally Protected Areas (TPS)

Abstract

Objectives and Methodology. This paper reviews the range of options for involving local people in protected area activities in Sarawak and assessed the value of integrated conservation and development projects (ICDPs) for Totally Protected Areas (TPA) management. It concludes with recommendations for implementing collaborative management in Sarawak.

Findings. In the 1950s, the State of Sarawak recognized the need to put aside areas for the purpose of conservation and protection of wildlife and their habitat. The government enacted Wild Life Protection Ordinance in 1957 and the National Park Ordinance in 1958. These ordinances provided for the establishment of Totally Protected Areas (TPAs), either Wildlife Sanctuaries or National Parks. These ordinances mandated respect for the rights of local communities that are living or using resources within the areas that are needed as TPAs. The government granted rights and privileges for local people to continue use the resources within the TPAs, and even, in some cases, to reside there. This situation has resulted in a system of "split management" where TPA staff have tried to manage the whole ecosystem and local people controlled the harvesting of resources.

In the past, the State of Sarawak, the Forest Department and local communities have had conflicts over the establishment of TPAs. The general view of the local communities was that TPAs were an obstruction to their traditional way of lives. They have felt the need to defend their rights constantly. Management generally saw these community rights as externally imposed constraints. They felt that these constraints made their conservation objectives difficult if not impossible to achieve but they were beyond the control of the Forest Department. In addition, many of the community members holding harvesting licenses have over-harvested resources. As a result of unsustainable harvesting practices by community members, the TPA was unable to fulfill its legal purpose of conservation.

A new approach to TPA management was clearly needed that could also better manage harvesting. The government considered two broad approaches to managing the exploitation of TPAs by local people: integrated conservation (ICDPs) and development projects and collaborative management. ICDPs promote development in or around a TPA. Using politically and economically acceptable approaches, ICDPs aim to curtail the local people's use of resources in TPAs by offering a development incentive (e.g., school, dispensary, road, etc.) in exchange for not harvesting in the

TPA or by providing livelihood alternatives to local people who previously had no alternatives to harvesting in the TPA. However, in many cases, the ICDP approach may be untenable because of the assumptions that development can "compensate" people for their lost harvesting rights. Therefore, the authors suggest that these underlying assumptions should be critically examined and that ICDPs be treated with caution. When local people are no longer able to harvest in the TPA, ICDP project planners need to develop activities that fill a gap in local people's livelihood strategies and this link must be clear. However, the more preferred approach is collaborative management, which is also referred to as co-management, participatory management, joint management, shared management, multi-stakeholder management, or round-table management. The term, "collaborative management" describes a wide range of situations in which some, or all of the relevant stakeholders in a protected area are involved in management activities. If supportive policy and legislation exist, they strengthen a management partnership.

To address the TPA-community conflicts, the State of Sarawak recently recognized the critical importance of collaborative management. They established legal mechanisms to support decision-making participation by local communities. The Master Plan for Wildlife (Wildlife Conservation Society and Sarawak Forest Department 1996) recommended that a Special Committee be established for each TPA. These committees bring together the Forest Department and local people with legal rights or privileges in the TPA. They can provide a forum for collaboration in resource management and are also a means of channeling the benefits of the TPA to local people. For example, the Special Committee could use part of the entrance fees collected from visitors for projects benefiting local people and this revenue could serve as compensation for voluntary reductions in harvesting.

70. Turner, M.D. 1999. "No Space for Participation: Pastoralist Narratives and the Etiology of Park-Herder Conflict in Southeastern Niger." ***Land Degradation and Development*** **10 (4): 345-363.**

Keywords: Fulsse, history, Niger, park, park-herder conflict, participation, pastoralists, state-sponsored programs

Abstract

Objectives and Methodology. This paper examines the growing conflict
between Fulsse herders and managers of National Park "W" in southeastern Niger. The research entailed an examination of historical documents and oral histories.

Findings. Increasingly, state-sponsored programs for protecting natural areas in Africa have adopted "participatory" approaches. These are a welcome change from earlier, more coercive approaches. However, these more participatory programs face several major impediment to their effectiveness. These problems related to how conservationists conceptualize the logic, constraints and spatial scales associated with the production practices of rural inhabitants, including those practices that may cross the perimeters of protected areas.

For the coercive past and "participatory" present, the "development narratives" related to Fulsse livestock husbandry in West Africa provide support for the rationale and reactions of conservationists to herder incursions. Turner shows that these narratives are constructed by sequentially conflating linguistic group, ethnic identity, production practices, production logic and environmental trajectories in an ahistoric fashion. For example, the development/

conservation community has often characterized the Fulsse people of West Africa as "pastoralists." As such, the Fulsse are viewed as highly mobile managers of an unsustainable (ecological or social) form of livestock husbandry, tradition-bound and politically unorganized.

However, historical research indicates that herd management by the Say Fulsse has historically been governed by a two-tiered political structure. They display highly circumscribed patterns of mobility with close integration to agricultural production. Increased incursions of herders into the park are traced, not to a rigid adherence to livestock mobility but to the growing shortage of pastures in their home territory near Say. Draconian enforcements by park guards and "participatory" programs to educate local herders about the merits of sedentary livestock husbandry provide little space for herder-park constructive engagement. In fact, these actions have reduced the positive potential of participatory programs by eroding indigenous political control over livestock movements.

71. Turyaho, Moses and Mark Infield. 1996. Uganda: From Conflict to Partnership: The Work of the Lake Mburo Community Conservation Project with Pastoralists, Fishermen and Farmers." The University of Reading Agricultural Extension and Rural Development Department. *The Rural Extension Bulletin* Number 10.

Available from: The Publications Office, AERDD, The University of Reading, PO Box 238, Earley Gate, Reading RG6 6AL, UK. Tel. (0)1734 318119 Fax. (0)1734 261244.

Keywords: community, conflict (management, resolution, mapping, risk assessments), farmers, fishermen, Lake Mburo Community Conservation Project, park, park management and park managers, participation, partnerships, pastoralists, Uganda

Abstract

Objectives and Methodology. This report, from two of the workers most closely involved in this work, outlines the stages by which the project has built up local community and political support for the park.

Findings. Lake Mburu National Park had a disconcerting beginning. When it was established in 1983, pastoralists and agriculturalists were forcibly evicted from the area. Three years later, in the disorder caused by the fall of the government, these communities moved back to the park and were determined to vandalize the park infrastructure and kill many of the wildlife. The new government reduced the size of the park in an attempt to provide for the legitimate needs of the dispossessed. However, resentment against the park continued.

When the Lake Mburo Community Conservation Project was launched in 1991, its goal was to demonstrate that the park could provide real benefits to local people. The project has progressed through three stages for building of the relationship between the park and neighboring communities: creating good relationships, institutionalizing these relationships and strengthening the Park Management Advisory Committee (PMAC). The authors believe that this three-pronged approach has brought people closer to the park and *vice verse*. Via participation of Local Conservation Committees (LCCs) in park protection activities, hostilities are slowly giving away to mutual sharing of responsibilities and the communities.

In the first stage, the project focused on creating a good relationship by establishing contacts

through the Community Conservation Unit (CCU). They organized regular meetings with the people and their leaders to discuss park-community-related issues. Eventually, these interactions evolved into a park planning process with strong community input and the development of the park's first ever management plan for the 1994-1998 time period. In addition, the project helped form a Park Management Advisory Committee (PMAC) that was comprised of Uganda National Parks (UNP) staff, District Government, pastoralists, agropastoralists, agriculturalists and fishers. Communities assisted in developing, and at times, funding community micro-projects. These activities helped to create economic links between the park and people or in other situation, simply served to improve the public image of the park. The project also helped local communities gain assistance from the government (e.g., the park's main access road helped to ease local transport problems for marketing). Other interventions included a continuous series of awareness programs for communities, schools and other government institutions neighboring the park.

The second stage focused on institutionalizing these relationships. Community representatives attended consultations and workshops that culminated in a draft plan submitted for approval to the Board of Trustees. This draft was put in place to ensure the institutionalization of the PMAC, as an advisory board. Each parish representative on the PMAC also chaired a democratically elected, parish-based LCCs. The PMAC performed functions such as monitoring and advising the park on the implementation of management programs, promoting community participation in park management, coordinating communications and developing linkages between the park and community. In addition, the PMAC developed modalities for benefit, resource and revenue sharing and controlling disbursement of funds.

The third stage focused on strengthening the PMAC institution. The authors indicate that this process is on-going. The PMAC has held general meetings and the committee has successfully implemented an experiment on revenue-sharing supported by USAID funds.

72. Uniyal, V.K., and J. Zacharias. 2001. "Periyar Tiger Reserve: Building Bridges with Local Communities for Biodiversity Conservation." ***Parks*** **11 (2): 14-23.**

Available upon request from: The World Commission on Protected Areas, www.wcpa.iucn.org.

Keywords: community enterprises, eco-development (committees, policies), India Eco-Development Project, micro-development, micro-planning, Participatory Rural Appraisal (PRA), Periyar Tiger Reserve, tribals (and scheduled castes)

Abstract

Objectives and Methodology. This article documents the participatory strategy for the India Eco-Development Project in southern India's Periyar Tiger Reserve. Surrounding the reserve, a large and diverse population makes use of reserve resources and threatens biodiversity conservation. The articles featured three Eco-Development Committees (EDCs) and their impacts: improved pepper cultivation for a tribal group EDC, an EDC of bark smugglers trained to be trekking guides and an EDC of vendors who serve the pilgrims that cross the park annually.

Findings. The IEP's participatory strategy makes use of micro-planning strategies developed by teams consisting of trained forest staff, ecologists, sociologists, and NGOs. Early on in planning, park staff were trained in participatory appraisal and planning

techniques. The teams use participatory rural appraisal techniques to create the plans with local stakeholders who are organized into the EDCs. Each of the micro-development plans described a sustainable, income-generating activity for its EDC members.

The project organized three types of EDCs to accommodate the wide variety of types of "communities." Neighborhood EDCs were based on settlements and villages. User-group EDCs represent people who depend on specific resources. Professional group EDCs were formed by individuals who had specific skills that were useful for park conservation, monitoring, and tourism management. Under the latter EDC type, the project organized bark smugglers, tribal guides, and park guards.

73. WWF (World Wildlife Fund). 2000. "Stakeholder Collaboration: Building Bridges for Conservation." World Wildlife Fund, Washington, DC.

Available upon request from: Ecoregional Conservation Strategies Unit, Research and Development, World Wildlife Fund. 1250 24th Street, NW. Washington DC 20037

Keywords: collaboration, conflict (management, resolution, mapping, risk assessments), stakeholder identification, United States Agency for International Development (USAID)

Abstract

Objectives and Methodology. This manual focuses on improving understanding about, and effectiveness of stakeholder collaboration. It describes terms such as collaboration and stakeholder identification. It details how collaboration and stakeholder identification should be utilized to create successful projects.

Findings. WWF describes "collaboration" as a mutually beneficial relationship between two or more parties who work toward common goals by sharing responsibility, authority, and accountability for achieving results. There are degrees of collaboration. They range from consultation, which is a one-way flow of information with dominance and advocacy by one or two groups to transferred responsibility where there is full control by other stakeholders, empowerment and a two-way flow of information. In the middle of this continuum, shared control gives communities and other stakeholders a fairly high involvement in decision-making and shared responsibility.

According to WWF, collaboration may not work under several circumstances. There are problems when there are fundamental ideological differences. Collaboration is difficult when there is little or no room for negotiation, where power is not evenly spread and where key parties are not willing to participate. In some situation, there is not enough time to work though problems. In other places, the price of collaboration exceeds the benefits gained. Collaboration will be difficult where the institutional culture of stakeholder organizations is unresponsive to collaboration. Therefore, before starting a collaborative process, managers should ask five questions. Is any stakeholder collaboration already occurring? Are there particular factors or conditions enabling this? If stakeholder collaboration is not happening, are there reasons why? Can existing stakeholder efforts be built upon? Are there any collaboration gaps that your organization can fill?

Because stakeholder identification is important to collaboration, this book suggests a stakeholder checklist to categorize all stakeholders. It is necessary to determine whether stakeholders are primary, secondary or opposition stakeholders. Managers must identify the nature and limits of their stake and interest in the issues being explored, including

the basis of this stake (customary rights, ownership, legal responsibilities. It is relevant to know whether their relationship with proposed actions and objectives is supportive or in opposition to others. Managers also must explore stakeholder perceptions of the feasibility of a conservation initiative and their perception of the degree of collaboration and/or compromise required for success. Stakeholder profiles should also stratify by gender, socioeconomic status, political affiliation or profession.

The manual details how specific people can be used to improve and facilitate stakeholder processes. The facilitator should prepare ground rules. They should outline the roles and responsibilities of stakeholders and the mechanisms for their involvement. The convener should identify stakeholders and bring them to the table. They should propose a process for collaboration. They need to catalyze, convene, energize and create an open credible process.

WWF presents four main approaches to resolving conflict in the collaboration process. One approach is to "expand the pie." For example, some stakeholder conflicts are based on a shortage of resources (i.e., natural, financial, professional etc) and solutions can be found when available resources are increased. This approach is useful when the parties find one another's proposals inherently acceptable but reject them because only one group's proposal can be accommodated with existing resources. The "expanding the pie" approach often starts by asking - how can we accomplish my interest and your interest. The second means to resolve conflict is through the "low priority/ high priority" method. In this solution, each party concedes on its own low priority issues that also happen to be of high priority for the other party. According to WWF, this approach is only possible when several issues are under consideration at once and the parties have different priorities among these issues. The third means of resolving conflict is by "cost cutting". Using this solution, Party A gets what it wants and the cost that Party B incurs for agreeing to the proposal are reduced or eliminated. In the last approach, termed "bridging", no party achieves its initial demands. Instead, a new option is devised that satisfies the most important issues underlying these demands. Most often, high-priority interests are served while lower-priority interests are discarded.

74. Wunder, S. 2000. "Ecotourism and Economic Incentives - An Empirical Approach." ***Ecological Economics*** **32 (3): 465-479.**

Available from: http://www.ecological economics.org/publica/publica.htm

Keywords: Amazon, conservation attitudes, conservation incentives, Cuyabeno Wildlife Reserve, ecotourism, Ecuador, impacts on local development, incentives (economic, other), tourism, Tourism participation

Abstract

Objectives and Methodology. The author conceptualizes and empirically analyzes the link between tourism, local benefits and conservation. He uses data from three indigenous group near the Cuyabeno Wildlife Reserve in the Ecuadorian Amazon region, near the border of Colombia and Peru. He quantifies local cash flows from tourism to obtain a comparative analysis of income structure, spending, and the impacts on local development and on conservation attitudes.

Findings. Within the new array of 'green' products and services, ecotourism claims to combine environmental responsibility with the generation of local economic benefits that will have both a development impact and serve as conservation incentives. Economic incentives

are imperative for nature conservation, particularly in remote and ill-monitored regions. In these areas, the state presence is weak and this situation hinders the use of alternative tools of environmental regulation.

Three Cuyabeno indigenous groups have developed different modes of tourism participation ranging from autonomous operations to pure salary employment. The analysis revealed that for the whole study area, tourism has actually provided significant additional income. Counter to common belief, the mode of participation is less decisive for local income generation than the tourist attraction of the natural site, the degree of tourism specialization and the level of local organization. However, as a conservation incentive, the participation and on the substitution versus complementarity of other productive activities: only if tourism changes labor and land allocation decisions, will it have a local conservation impact. The author discusses the circumstances under which the conjectured link between tourism, local incomes and conservation is likely to be effective. He provides some general lessons for government policies, for the design of integrated conservation and development projects (ICDPs), and to a number of site-specific recommendations for improving incentive structures.

75. Wyckoff-Baird, Barbara, Andrea Kaus, Catherine Christen, and Margaret Keck. 2001. "Shifting the Power: Decentralization and Biodiversity Conservation." Biodiversity Support Program, Washington, DC.

Available from: http://www.BSPonline.org

Keywords: biodiversity conservation and protection, Bolivia, Botswana, community, community development, conflict (management, resolution, mapping, risk assessments), decentralization and devolution, Guatemala, Mexico, Panama, protected areas, United States, wildlife trust

Abstract

Objectives and Methodology. This study examines how decentralization of decision-making and management authority affects biodiversity conservation. The research focuses on whether or not decentralization empowers the people living in most direct contact with natural resources and if this power shift does occur, does it result in environmental policies and management practices that reduce threats to biodiversity? The authors drew material from six case studies Bolivia, Botswana, Guatemala, Mexico, Panama and the United States (Florida). These cases were chosen illustrate a broad array of primary levels of decentralized authority over natural resources and a similar diversity of case study units, operating arrangements and countries. For five of these studies, the authors contracted case study authors and provided them with standardized research topic guides to give the study a consistent framework for comparison. The Bolivian authors donated their case study.

Findings. The study sets forth two main assumptions. First, devolution of authority, responsibility and funding capability will give greater power over natural resources management to those people in most direct contact with the resources. Devolution will transfer these assets from the central government to regional and local institutions and organizations. Second, the authors assume that the people most directly in contact with natural resources will promote conservation and thus reduce threats to biodiversity once they have the power to decide how to manage them and have viable economic alternatives to overuse.

For the six case studies, different entities hold decentralized authority. For the Botswana and

Mexico case studies (NW Kalahari Desert and Forest Ejidos of Quintana Roo), the community was the unit of decentralization. In Panama (Wildlands of Kuna Yala), the decentralized authority is the indigenous autonomous district. It is managed, in part by the Kuna people, along with research institutions and international conservation organizations that help the Kuna establish the protected area. In the case of Guatemala's Sierra de la Minas Biosphere Reserve, the decentralized authority is a private NGO that was given the right to manage the reserve by the government. A number of communities live within the boundaries of the reserve. In administering the reserve, the NGO works in association with local communities and leaders, local governments and NGOs and also raises money abroad for reserve maintenance. Under decentralization, Bolivian municipalities have control over local forest resources and they also have the right to receive 25 percent of the royalties from commercial timber harvesting and clearing concessions and to get assistance with the development of social infrastructure. In the United States, a Federal-State body manages the Florida Everglades.

For Botswana, all community members belong to the wildlife trust that was established in 1997. The trust is officially registered with the government. The Trust has sought to preserve cultural conditions and enhance the organizational capacity of the community to utilize and manage its natural resources. Policy decisions have relied on extensive public discussions with both males and females. However, the district councils and central government maintained control over funding capacities and set off-take quotas for wildlife and wildlife management species lists. In this particular example, there are conflicts between the central government delineations of protected areas and local delineations and this situation has limited local access to land and resources.

In Mexico, the community-based control of harvesting and sales of valuable timber resulted from a break with the state-owned timber monopoly in the early 1980s. Timber revenues and resources now go directly to local communities. These communities are *ejidos* and they hold a special legally recognized form of common property. By 1986, these *ejidos* formally banded together in societies that were recognized under Mexican law. They operated as community enterprises that were dedicated to sustained yield forest exploitation and joint sales. This community forestry initiative has been managed via continuous negotiation between the state and federal government, foreign funding agencies, local *ejidos* and regional forest societies. Responsibility for forest policy and regulation and enforcement rests with federal government.

In these cases, the authors found that central government had devolved authority to lower levels of government or other organizations to shed onerous responsibilities rather than being motivated to improve natural resources management. The cases studied tended not to involve the devolution of resource management authority. Instead, they revealed continuing, complex associations between national and local authority with respect to both management and financial responsibilities. The authors found that the impact of decentralization upon natural resource management depended on who gets more authority as a result (e.g., the State, NGO, communities or municipalities). Devolution actually increased the opportunities and power available to some community members while decreasing power to others. The authors conclude that these outcomes may actually exacerbate, rather than resolve, conflict over natural resources. In the final analysis, the authors indicated that conservation did improve with decentralization although biodiversity conservation may not be improving because of decentralization.

Annex 1

Acronym List

BCN	Biodiversity Conservation Network
BSP	Biodiversity Support Program
CAMPFIRE	Communal Area Management Programme for Indigenous Resources
CAS	Country Assistance Strategy
CBNRM	Community-Based Natural Resource Management
CBO	Community-Based Organization
CCU	Community Conservation Unit
CFM	Collaborative Forest Management
COREMAP	Indonesia Coral Reef Rehabilitation and Management Project
CWM	Community-Based Wildlife Management
DFID	Department for International Development (UK)
DFO	Department of Fisheries and Oceans (Canada)
EDC	Eco-Development Committee
EDGE	Environment/Democracy-Governance Exchange
FAO	Food and Agriculture Organization of the United Nations
GEF	Global Environment Facility
ICAD	Integrated Conservation and Development
ICDP	Integrated Conservation and Development Project
IDB	Inter-American Development Bank
IDWP	Integrated Watershed Development Project
IPCD	Indigenous Peoples and Community Development Unit
IUCN	The World Conservation Union (or the International Union for Conservation of Nature and Natural Resources)
JFM	Joint Forest Management
LCC	Local Conservation Committee
MPA	Marine Protected Area
MSP	Medium-Size Project
NFP	National Forest Program
NGO	Non-Governmental Organization
NIPAP	National Integrated Protected Areas Programme
NRM	Natural Resource Management

OED	Operations Evaluation Department
PA	Protected Area
PAD	Project Appraisal Document
PASIA	Protected Areas Social Impact Assessment
PDF	Project Development Funds
PDLG	Participatory Development Learning Group
PMAC	Park Management Advisory Committee
PRA	Participatory Rural Appraisal
RRA	Rapid Rural Assessment
RSCN	Royal Society for the Conservation of Nature
SA	Social Assessment
SGP	Small Grants Program
SIA	Social Impact Assessment
SWOT	Strengths-Weaknesses-Opportunities-Threats
TANPA	Tanzania National Parks Planning Unit and Conservation Service
TBNRM	Trans-Boundary Natural Resource Management
TPA	Totally Protected Area
TRA	Threat Reduction Assessment
UNDP	United Nations Development Program
UNP	Uganda National Parks
USAID	United States Agency for International Development
VDP	Village Development Plan
TNC	The Nature Conservancy
PiP	Parks in Peril Program
BOSCOSA	Proyecto de Maneho y Conservation de Bosque de la Peninusula de Osa.
WWF	World Wildlife Fund or Worldwide Fund for Nature

Annex 2

Keyword Index